



QUARTERLY STATEMENT  
AS OF SEPTEMBER 30, 2016  
OF THE CONDITION AND AFFAIRS OF THE  
HEALTHCARE UNDERWRITERS GROUP, INC.

NAIC Group Code	0000	0000	NAIC Company Code	12233	Employer's ID Number	74-3129288
	(Current Period)	(Prior Period)				
Organized under the Laws of	Ohio		State of Domicile or Port of Entry	Ohio		
Country of Domicile	United States of America					
Incorporated/Organized	11/30/2004		Commenced Business	12/14/2004		
Statutory Home Office	1900 Polaris Parkway, Suite 450		Columbus, OH, US 43240-4064			
	(Street and Number)		(City or Town, State, Country and Zip Code)			
Main Administrative Office	1250 South Pine Island Road, Suite 300					
	(Street and Number)					
	Plantation, FL, US 33324-4402		(866)484-5715			
	(City or Town, State, Country and Zip Code)		(Area Code) (Telephone Number)			
Mail Address	1250 South Pine Island Road, Suite 300		Plantation, FL, US 33324-4402			
	(Street and Number or P.O. Box)		(City or Town, State, Country and Zip Code)			
Primary Location of Books and Records	1250 South Pine Island Road, Suite 300					
	(Street and Number)					
	Plantation, FL, US 33324-4402		(866)484-5715			
	(City or Town, State, Country and Zip Code)		(Area Code) (Telephone Number)			
Internet Web Site Address	www.hugroupinc.com					
Statutory Statement Contact	Thomas William Mueller, CPA, CGMA		(866)484-5716			
	(Name)		(Area Code)(Telephone Number)(Extension)			
	tmueller@hugroupinc.com		(877)895-0996			
	(E-Mail Address)		(Fax Number)			

OFFICERS

Name	Title
Joshua Marc Salman	CEO & President
David Wayne Lester CPA, CGMA	Treasurer, VP, CFO
Thomas William Mueller CPA, CGMA	Secretary, VP Finance & Controller
Morton Caldwell Bell	VP, Chief Underwriting Officer
William Carl Ludwig JD	VP, Chief Claims Officer

OTHERS

DIRECTORS OR TRUSTEES

Morton Caldwell Bell	David Wayne Lester CPA, CGMA
William Carl Ludwig JD	Thomas William Mueller CPA, CGMA
Joshua Marc Salman	

State of Ohio  
County of Franklin ss

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

(Signature)	(Signature)	(Signature)
Joshua Marc Salman	David Wayne Lester, CPA, CGMA	Thomas William Mueller, CPA, CGMA
(Printed Name)	(Printed Name)	(Printed Name)
1.	2.	3.
CEO & President	Treasurer, VP, CFO	Secretary, VP Finance & Controller
(Title)	(Title)	(Title)

Subscribed and sworn to before me this	a. Is this an original filing?	Yes[X] No[ ]
day of , 2016	b. If no,	
	1. State the amendment number	
	2. Date filed	
	3. Number of pages attached	
(Notary Public Signature)		

ASSETS

		Current Statement Date			4
		1	2	3	
		Assets	Nonadmitted Assets	Net Admitted Assets (Cols. 1 - 2)	December 31 Prior Year Net Admitted Assets
1.	Bonds .....	73,807,212		73,807,212	74,305,709
2.	Stocks:				
2.1	Preferred stocks .....				
2.2	Common stocks .....	8,298,171		8,298,171	8,138,003
3.	Mortgage loans on real estate:				
3.1	First liens .....				
3.2	Other than first liens .....				
4.	Real estate:				
4.1	Properties occupied by the company (less \$.....0 encumbrances) .....				
4.2	Properties held for the production of income (less \$.....0 encumbrances) .....				
4.3	Properties held for sale (less \$.....0 encumbrances) .....				
5.	Cash (\$.....546,580), cash equivalents (\$.....50) and short-term investments (\$.....1,634,278) .....	2,180,908		2,180,908	2,878,911
6.	Contract loans (including \$.....0 premium notes) .....				
7.	Derivatives .....				
8.	Other invested assets .....				
9.	Receivables for securities .....				
10.	Securities lending reinvested collateral assets .....				
11.	Aggregate write-ins for invested assets .....				
12.	Subtotals, cash and invested assets (Lines 1 to 11) .....	84,286,291		84,286,291	85,322,623
13.	Title plants less \$.....0 charged off (for Title insurers only) .....				
14.	Investment income due and accrued .....	485,559		485,559	428,768
15.	Premiums and considerations:				
15.1	Uncollected premiums and agents' balances in the course of collection .....	2,473,277		2,473,277	2,209,566
15.2	Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums) .....				
15.3	Accrued retrospective premiums (\$.....0) and contracts subject to redetermination (\$.....0) .....				
16.	Reinsurance:				
16.1	Amounts recoverable from reinsurers .....	186,535		186,535	
16.2	Funds held by or deposited with reinsured companies .....	100,000		100,000	100,000
16.3	Other amounts receivable under reinsurance contracts .....				
17.	Amounts receivable relating to uninsured plans .....				
18.1	Current federal and foreign income tax recoverable and interest thereon .....				
18.2	Net deferred tax asset .....	2,311,559		2,311,559	2,300,624
19.	Guaranty funds receivable or on deposit .....				
20.	Electronic data processing equipment and software .....				
21.	Furniture and equipment, including health care delivery assets (\$.....0) .....				
22.	Net adjustments in assets and liabilities due to foreign exchange rates .....				
23.	Receivables from parent, subsidiaries and affiliates .....				
24.	Health care (\$.....0) and other amounts receivable .....				
25.	Aggregate write-ins for other-than-invested assets .....	154,427	154,427		
26.	TOTAL assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	89,997,648	154,427	89,843,221	90,361,581
27.	From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....				
28.	TOTAL (Lines 26 and 27) .....	89,997,648	154,427	89,843,221	90,361,581
DETAILS OF WRITE-INS					
1101.	.....				
1102.	.....				
1103.	.....				
1198.	Summary of remaining write-ins for Line 11 from overflow page .....				
1199.	TOTALS (Lines 1101 through 1103 plus 1198) (Line 11 above) .....				
2501.	Other Prepaid Expense .....	154,427	154,427		
2502.	.....				
2503.	.....				
2598.	Summary of remaining write-ins for Line 25 from overflow page .....				
2599.	TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....	154,427	154,427		

LIABILITIES, SURPLUS AND OTHER FUNDS

		1	2
		Current Statement Date	December 31, Prior Year
1.	Losses (current accident year \$.....3,841,174) .....	16,314,595	18,811,921
2.	Reinsurance payable on paid losses and loss adjustment expenses .....		
3.	Loss adjustment expenses .....	13,578,335	12,366,955
4.	Commissions payable, contingent commissions and other similar charges .....	619,850	570,249
5.	Other expenses (excluding taxes, licenses and fees) .....	288,684	263,455
6.	Taxes, licenses and fees (excluding federal and foreign income taxes) .....	97,576	140,306
7.1	Current federal and foreign income taxes (including \$.....0 on realized capital gains (losses)) .....		
7.2	Net deferred tax liability .....		
8.	Borrowed money \$.....0 and interest thereon \$.....0 .....		
9.	Unearned premiums (after deducting unearned premiums for ceded reinsurance of \$.....695,172 and including warranty reserves of \$.....0 and accrued accident and health experience rating refunds including \$.....0 for medical loss ratio rebate per the Public Health Service Act) .....	9,237,268	8,429,135
10.	Advance premium .....	697,319	1,049,761
11.	Dividends declared and unpaid:		
11.1	Stockholders .....		
11.2	Policyholders .....		
12.	Ceded reinsurance premiums payable (net of ceding commissions) .....	1,670,328	1,394,248
13.	Funds held by company under reinsurance treaties .....		
14.	Amounts withheld or retained by company for account of others .....		
15.	Remittances and items not allocated .....		
16.	Provision for reinsurance (including \$.....0 certified) .....		
17.	Net adjustments in assets and liabilities due to foreign exchange rates .....		
18.	Drafts outstanding .....		
19.	Payable to parent, subsidiaries and affiliates .....	276,725	624,571
20.	Derivatives .....		
21.	Payable for securities .....		
22.	Payable for securities lending .....		
23.	Liability for amounts held under uninsured plans .....		
24.	Capital notes \$.....0 and interest thereon \$.....0 .....		
25.	Aggregate write-ins for liabilities .....		
26.	TOTAL liabilities excluding protected cell liabilities (Lines 1 through 25) .....	42,780,680	43,650,601
27.	Protected cell liabilities .....		
28.	TOTAL liabilities (Lines 26 and 27) .....	42,780,680	43,650,601
29.	Aggregate write-ins for special surplus funds .....		
30.	Common capital stock .....	8,186,047	8,186,047
31.	Preferred capital stock .....		
32.	Aggregate write-ins for other than special surplus funds .....		
33.	Surplus notes .....		
34.	Gross paid in and contributed surplus .....	31,680,780	31,680,780
35.	Unassigned funds (surplus) .....	7,195,714	6,844,153
36.	Less treasury stock, at cost:		
36.1	.....0 shares common (value included in Line 30 \$.....0) .....		
36.2	.....0 shares preferred (value included in Line 31 \$.....0) .....		
37.	Surplus as regards policyholders (Lines 29 to 35, less 36) .....	47,062,541	46,710,980
38.	TOTALS (Page 2, Line 28, Col. 3) .....	89,843,221	90,361,581
DETAILS OF WRITE-INS			
2501.	.....		
2502.	.....		
2503.	.....		
2598.	Summary of remaining write-ins for Line 25 from overflow page .....		
2599.	TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....		
2901.	.....		
2902.	.....		
2903.	.....		
2998.	Summary of remaining write-ins for Line 29 from overflow page .....		
2999.	TOTALS (Lines 2901 through 2903 plus 2998) (Line 29 above) .....		
3201.	.....		
3202.	.....		
3203.	.....		
3298.	Summary of remaining write-ins for Line 32 from overflow page .....		
3299.	TOTALS (Lines 3201 through 3203 plus 3298) (Line 32 above) .....		

STATEMENT OF INCOME

		1	2	3
		Current Year to Date	Prior Year to Date	Prior Year Ended December 31
UNDERWRITING INCOME				
1.	Premiums earned			
1.1	Direct (written \$.....10,332,487)	10,031,681	10,020,330	13,970,170
1.2	Assumed (written \$.....3,715,870)	2,900,613	2,126,427	4,170,592
1.3	Ceded (written \$.....1,360,352)	1,052,422	1,564,144	2,722,420
1.4	Net (written \$.....12,688,005)	11,879,872	10,582,613	15,418,342
DEDUCTIONS:				
2.	Losses incurred (current accident year \$.....3,841,174)			
2.1	Direct	(96,659)	1,203,278	1,100,391
2.2	Assumed	1,357,202	1,102,151	1,395,382
2.3	Ceded	304,369	287,405	756,383
2.4	Net	956,174	2,018,024	1,739,390
3.	Loss adjustment expenses incurred	7,314,501	3,801,926	5,374,605
4.	Other underwriting expenses incurred	5,098,787	6,261,094	7,798,632
5.	Aggregate write-ins for underwriting deductions			
6.	TOTAL underwriting deductions (Lines 2 through 5)	13,369,462	12,081,044	14,912,627
7.	Net income of protected cells			
8.	Net underwriting gain or (loss) (Line 1 minus Line 6 + Line 7)	(1,489,590)	(1,498,431)	505,715
INVESTMENT INCOME				
9.	Net investment income earned	1,467,290	1,379,085	1,796,456
10.	Net realized capital gains (losses) less capital gains tax of \$.....0	(103,119)	221,609	158,094
11.	Net investment gain (loss) (Lines 9 + 10)	1,364,171	1,600,694	1,954,550
OTHER INCOME				
12.	Net gain or (loss) from agents' or premium balances charged off (amount recovered \$.....0 amount charged off \$.....0)			
13.	Finance and service charges not included in premiums			
14.	Aggregate write-ins for miscellaneous income	16,610	18,985	24,338
15.	TOTAL other income (Lines 12 through 14)	16,610	18,985	24,338
16.	Net income before dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes (Lines 8 + 11 + 15)	(108,809)	121,248	2,484,603
17.	Dividends to policyholders			
18.	Net income, after dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes (Line 16 minus Line 17)	(108,809)	121,248	2,484,603
19.	Federal and foreign income taxes incurred		(26,013)	(169,925)
20.	Net income (Line 18 minus Line 19) (to Line 22)	(108,809)	147,261	2,654,528
CAPITAL AND SURPLUS ACCOUNT				
21.	Surplus as regards policyholders, December 31 prior year	46,710,980	45,598,089	45,598,089
22.	Net income (from Line 20)	(108,809)	147,261	2,654,528
23.	Net transfers (to) from Protected Cell accounts			
24.	Change in net unrealized capital gains or (losses) less capital gains tax of \$.....0	305,599	(603,033)	(135,870)
25.	Change in net unrealized foreign exchange capital gain (loss)			
26.	Change in net deferred income tax	(85,352)	(121,850)	(1,048,533)
27.	Change in nonadmitted assets	240,123	2,066,000	2,182,348
28.	Change in provision for reinsurance			
29.	Change in surplus notes			
30.	Surplus (contributed to) withdrawn from Protected cells			
31.	Cumulative effect of changes in accounting principles			
32.	Capital changes:			
32.1	Paid in			
32.2	Transferred from surplus (Stock Dividend)			
32.3	Transferred to surplus			
33.	Surplus adjustments:			
33.1	Paid in			
33.2	Transferred to capital (Stock Dividend)			
33.3	Transferred from capital			
34.	Net remittances from or (to) Home Office			
35.	Dividends to stockholders			
36.	Change in treasury stock			
37.	Aggregate write-ins for gains and losses in surplus		(2,539,581)	(2,539,581)
38.	Change in surplus as regards policyholders (Lines 22 through 37)	351,561	(1,051,203)	1,112,891
39.	Surplus as regards policyholders, as of statement date (Lines 21 plus 38)	47,062,541	44,546,886	46,710,980
DETAILS OF WRITE-INS				
0501.				
0502.				
0503.				
0598.	Summary of remaining write-ins for Line 5 from overflow page			
0599.	TOTALS (Lines 0501 through 0503 plus 0598) (Line 5 above)			
1401.	Municipal Tax Collection Fee Income	16,610	18,985	24,338
1402.				
1403.				
1498.	Summary of remaining write-ins for Line 14 from overflow page			
1499.	TOTALS (Lines 1401 through 1403 plus 1498) (Line 14 above)	16,610	18,985	24,338
3701.	Merger adjustments		(2,539,581)	(2,539,581)
3702.				
3703.				
3798.	Summary of remaining write-ins for Line 37 from overflow page			
3799.	TOTALS (Lines 3701 through 3703 plus 3798) (Line 37 above)		(2,539,581)	(2,539,581)

CASH FLOW

		1	2	3
		Current	Prior	Prior
		Year	Year	Year Ended
		To Date	To Date	December 31
Cash from Operations				
1.	Premiums collected net of reinsurance .....	12,347,932	9,390,440	12,548,365
2.	Net investment income .....	1,648,385	1,730,998	2,296,752
3.	Miscellaneous income .....	16,610	18,985	24,338
4.	TOTAL (Lines 1 to 3) .....	14,012,927	11,140,423	14,869,455
5.	Benefit and loss related payments .....	3,640,035	1,516,183	2,517,074
6.	Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			
7.	Commissions, expenses paid and aggregate write-ins for deductions .....	11,027,027	10,568,647	14,501,641
8.	Dividends paid to policyholders .....			
9.	Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses) .....		(4,410)	(4,595)
10.	TOTAL (Lines 5 through 9) .....	14,667,062	12,080,420	17,014,120
11.	Net cash from operations (Line 4 minus Line 10) .....	(654,135)	(939,997)	(2,144,665)
Cash from Investments				
12.	Proceeds from investments sold, matured or repaid:			
12.1	Bonds .....	14,642,153	18,908,945	24,990,353
12.2	Stocks .....	2,925,676	2,246,107	3,280,948
12.3	Mortgage loans .....			
12.4	Real estate .....			
12.5	Other invested assets .....			
12.6	Net gains or (losses) on cash, cash equivalents and short-term investments .....			
12.7	Miscellaneous proceeds .....			
12.8	TOTAL investment proceeds (Lines 12.1 to 12.7) .....	17,567,829	21,155,052	28,271,301
13.	Cost of investments acquired (long-term only):			
13.1	Bonds .....	14,474,426	19,661,511	24,001,483
13.2	Stocks .....	2,790,480	2,823,308	3,550,146
13.3	Mortgage loans .....			
13.4	Real estate .....			
13.5	Other invested assets .....			
13.6	Miscellaneous applications .....			1
13.7	TOTAL investments acquired (Lines 13.1 to 13.6) .....	17,264,906	22,484,819	27,551,630
14.	Net increase (or decrease) in contract loans and premium notes .....			
15.	Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	302,923	(1,329,767)	719,671
Cash from Financing and Miscellaneous Sources				
16.	Cash provided (applied):			
16.1	Surplus notes, capital notes .....			
16.2	Capital and paid in surplus, less treasury stock .....			
16.3	Borrowed funds .....			
16.4	Net deposits on deposit-type contracts and other insurance liabilities .....			
16.5	Dividends to stockholders .....			
16.6	Other cash provided (applied) .....	(346,791)	(183,518)	51,910
17.	Net cash from financing and miscellaneous sources (Line 16.1 through 16.4 minus Line 16.5 plus Line 16.6) .....	(346,791)	(183,518)	51,910
RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS				
18.	Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	(698,003)	(2,453,282)	(1,373,085)
19.	Cash, cash equivalents and short-term investments:			
19.1	Beginning of year .....	2,878,911	4,251,996	4,251,996
19.2	End of period (Line 18 plus Line 19.1) .....	2,180,908	1,798,714	2,878,911

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

20.0001				
---------	--	--	--	--

**Notes to Financial Statement**

**1. Summary of Significant Accounting Policies**

**A. Accounting Practices**

The accompanying financial statements of Healthcare Underwriters Group, Inc. (HU or the Company) have been completed in accordance with the *Accounting Practices and Procedures Manual* (NAIC SAP). A reconciliation of the Company’s net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the state of Ohio is shown below:

	State of Domicile	2016	2015
<u>NET INCOME</u>			
(1) State basis (Page 4, Line 20, Columns 1 & 3)	OH	(108,809)	2,654,528
(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	(108,809)	2,654,528
<u>SURPLUS</u>			
(5) State basis (Page 3, Line 37, Columns 1 & 2)	OH	47,062,541	46,710,980
(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	47,062,541	46,710,980

B. Use of Estimates in the Preparation of the Financial Statements – No change.

C. Accounting Policies – Loan-backed securities are stated at amortized cost.

**2. Accounting Changes and Corrections of Errors – None.**

**3. Business Combinations and Goodwill**

On January 8, 2015, a merger was completed among Healthcare Underwriters Group of Florida, Inc., Healthcare Underwriters Group Insurance of Kentucky, Inc. and Healthcare Underwriters Group of Ohio, Inc. and their respective management companies to form a combined medical professional liability insurance company. The combined company, Healthcare Underwriters Group, Inc., is wholly owned by a holding company, Global Insurance Management Company, Inc. (GIMC), which is owned by the former owners of all of the companies. For all future financial reporting purposes, the combination was treated as though it occurred on January 1, 2015.

As a result of the merger and changes to the structure of the organization, an Administrative Service Agreement, including cost sharing and provision of management services, was executed. In addition, certain consolidating and adjusting entries were required to reflect the financial results of the combined entities.

These adjustments had no effect on post merger operating results and therefore were not reflected in the 2015 operating results of the company but as adjustments to HU’s surplus on the Balance Sheet. The adjustments total \$2,539,581, net of tax of \$1,308,269, and are shown on the Statement of Income on line 37 as a prior year reduction in surplus.

**4. Discontinued Operations – There are no discontinued operations.**

**5. Investments**

A. Mortgage Loans – The Company has no mortgage loans.

B. Debt Restructuring – The Company has no restructured debt.

C. Reverse Mortgages – The Company has no reverse mortgages.

**D. Loan-Backed Securities**

(1) HU’s loan-backed securities consist entirely of U.S. Government residential mortgage-backed securities. Any prepayment assumptions are provided by the Company’s investment advisors, PNC Capital Advisors, LLC and Regions Investment Management.

(2) None of the Company’s loan-backed securities have a recognized other-than-temporary impairment.

(3) None of the Company’s loan-backed securities have a recognized other-than-temporary impairment.

(4) All impaired securities (fair value is less than amortized cost) for which an other-than temporary impairment has not been recognized in earnings as a realized loss:

Description	Amount
a. The aggregate amount of unrealized losses:	
1. Less than 12 Months	65,900
2. 12 Months or Longer	125,789
b. The aggregate related fair value of securities with unrealized losses:	
1. Less than 12 Months	4,954,144
2. 12 Months or Longer	2,640,549

(5) Advice from the Company’s investment managers was considered in reaching the conclusion that the impairments are not other-than-temporary.

Notes to Financial Statement

5. Investments (Continued)

E. Repurchase Agreements and/or Securities Lending Transactions - The Company has none.

F. Real Estate - The Company has no investments in real estate.

G. Low-income housing tax credits - HU has no investments in low-income housing tax credits.

H. Restricted Assets

(1) Restricted Assets (Including Pledged)

Restricted Asset Category	Gross Restricted							8	Percentage	
	Current Year					6	7	Total Current Year Admitted Restricted	9	10
	1	2	3	4	5					
	Total General Account (G/A)	G/A Supporting Protected Cell Account Activity (a)	Total Protected Cell Account Restricted Assets	Protected Cell Account Assets Supporting G/A Activity (b)	Total (1 plus 3)	Total From Prior Year	Increase/ (Decrease) (5 minus 6)		Gross Restricted to Total Assets	Admitted Restricted to Total Admitted Assets
(a) Subject to contractual obligation for which liability is not shown	---	---	---	---	---	---	---	---	---%	---%
(b) Collateral held under security lending agreements	---	---	---	---	---	---	---	---	---%	---%
(c) Subject to repurchase agreements	---	---	---	---	---	---	---	---	---%	---%
(d) Subject to reverse repurchase agreements	---	---	---	---	---	---	---	---	---%	---%
(e) Subject to dollar repurchase agreements	---	---	---	---	---	---	---	---	---%	---%
(f) Subject to dollar reverse repurchase agreements	---	---	---	---	---	---	---	---	---%	---%
(g) Placed under option contracts	---	---	---	---	---	---	---	---	---%	---%
(h) Letter stock or securities restricted as to sale – ex-cluding FHLB capital stock	---	---	---	---	---	---	---	---	---%	---%
(i) FHLB capital stock	---	---	---	---	---	---	---	---	---%	---%
(j) On deposit with states	1,136,123	---	---	---	1,136,123	1,375,912	(239,789)	---	1.262%	---%
(k) On deposit with other regulatory bodies	---	---	---	---	---	---	---	---	---%	---%
(l) Pledged as collateral to FHLB (including assets backing funding agreements)	---	---	---	---	---	---	---	---	---%	---%
(m) Pledged as collateral not captured in other categories	4,605,055	---	---	---	4,605,055	2,738,536	1,866,519	---	5.117%	---%
(n) Other restricted assets	---	---	---	---	---	---	---	---	---%	---%
(o) Total Restricted Assets	5,741,178	---	---	---	5,741,178	4,114,448	1,626,730	---	6,379%	---%
(a) Subset of column 1										
(b) Subset of column 3										

(2) Detail of Assets Pledged as Collateral Not Captured in Other Categories – Securities and a short-term investment in a separate trust account as collateral pertaining to the Company’s quota share reinsurance treaty.

(3) Detail of Other Restricted Assets - None

I. Working Capital Finance Investments - None

J. Offsetting and Netting of Assets and Liabilities – Not applicable.

K. Structured Notes – The Company has no structured notes.

6. Joint Ventures, Partnerships and Limited Liability Companies – Not applicable.

7. Investment Income – No investment income due and accrued was excluded from surplus.

8. Derivative Instruments – Not applicable.

9. Income Taxes

A. The components of the net deferred tax asset/(liability) at September 30 are as follows:

1.

Description	09/30/2016			Prior Year End			Change		
	(1) Ordinary	(2) Capital	(3) (Col. 1 + 2) Total	(4) Ordinary	(5) Capital	(6) (Col. 4 + 5) Total	(7) (Col. 1 – 4) Ordinary	(8) (Col. 2 – 5) Capital	(9) (Col. 7 + 8) Total
(a) Gross Deferred Tax Assets	2,569,233	---	2,569,233	2,560,067	---	2,560,067	9,166	---	9,166
(b) Statutory Valuation Allowance Adjustments	---	---	---	---	---	---	---	---	---
(c) Adjusted Gross Deferred Tax Assets (1a – 1b)	2,569,233	---	2,569,233	2,560,067	---	2,560,067	9,166	---	9,166
(d) Deferred Tax Assets Nonadmitted	---	---	---	---	---	96,233	(96,233)	---	(96,233)
(e) Subtotal Net Admitted Deferred Tax Asset (1c – 1d)	2,569,233	---	2,569,233	2,463,834	---	2,463,834	105,399	---	105,399
(f) Deferred Tax Liabilities	257,674	---	257,674	163,210	---	163,210	94,464	---	94,464
(g) Net Admitted Deferred Tax Asset/(Net Deferred Tax Liability) (1e – 1f)	2,311,559	---	2,311,559	2,300,624	---	2,300,624	10,935	---	10,935

2.

Admission Calculation Components SSAP No. 101	09/30/2016			Prior Year End			Change		
	(1) Ordinary	(2) Capital	(3) (Col. 1 + 2) Total	(4) Ordinary	(5) Capital	(6) (Col. 4 + 5) Total	(7) (Col. 1 – 4) Ordinary	(8) (Col. 2 – 5) Capital	(9) (Col. 7 + 8) Total
(a) Federal Income Taxes Paid In Prior Years Recoverable Through Loss Carrybacks	---	---	---	---	---	---	---	---	---
(b) Adjusted Gross Deferred Tax Assets Expected To Be Realized (Excluding The Amount Of Deferred Tax Assets From 2(a) Above) After Application of the Threshold Limitation (The Lesser of 2(b)1 and 2(b)2 below)	2,311,559	---	2,311,559	2,300,624	---	2,300,624	10,935	---	10,935
1. Adjusted Gross Deferred Tax Assets Expected to be Realized Following the Balance Sheet Date	2,311,559	---	2,311,559	2,300,624	---	2,300,624	10,935	---	10,935
2. Adjusted Gross Deferred Tax Assets Allowed per Limitation Threshold	XXX	XXX	---	XXX	XXX	---	XXX	XXX	---
(c) Adjusted Gross Deferred Tax Assets (Excluding The Amount Of Deferred Tax Assets From 2(a) and 2(b) above) Offset by Gross Deferred Tax Liabilities	257,674	---	257,674	163,210	---	163,210	94,464	---	94,464
(d) Deferred Tax Assets Admitted as the result of application of SSAP No. 101 Total (2(a) + 2(b) + 2(c))	2,569,233	---	2,569,233	2,463,834	---	2,463,834	105,399	---	105,399

Notes to Financial Statement

9. Income Taxes (Continued)

3.

Description		2016	2015
(a)	Ratio Percentage Used To Determine Recovery Period And Threshold Limitation Amount.	1,221,000	1,217,000
(b)	Amount Of Adjusted Capital And Surplus Used To Determine Recovery Period And Threshold Limitation in 2(b) 2 Above.	44,750,982	44,410,356

4. Impact of Tax Planning Strategies

	09/30/2016		Prior Year End		Change	
	(1)	(2)	(3)	(4)	(5) (Col. 1 – 3) Ordinary	(6) (Col. 2 - 4) Capital
Impact of Tax-Planning Strategies	Ordinary	Capital	Ordinary	Capital		
(a) Determination of adjusted gross deferred tax assets and net admitted deferred tax assets, by tax character as a percentage						
1. Adjusted gross DTAs amount from Note 9A1(c)	2,569,233	---	2,560,067	---	9,166	---
2. Percentage of adjusted gross DTAs by tax character attributable to the impact of tax planning strategies		---		---		---
3. Net Admitted Adjusted Gross DTAs amount from Note 9A1(e)	2,569,233	---	2,463,834	---	105,399	---
4. Percentage of net admitted adjusted gross DTAs by tax character admitted because of the impact of tax planning strategies	---	---	---	---	---	---

(b) Does the Company’s tax-planning strategies include the use of reinsurance? Yes \_\_\_\_\_ No X

B. Regarding deferred tax liabilities that are not recognized – Not applicable.

C. Current income taxes incurred consist of the following major components:

Description	(1) 9/30/2016	(2) Prior Year End	(3) (Col. 1 – 2) Change
1. Current Income Tax			
(a) Federal	---	---	---
(b) Foreign	---	---	---
(c) Subtotal	---	---	---
(d) Federal income tax on net capital gains	---	(81,443)	81,443
(e) Utilization of capital loss carry-forwards	---	---	---
(f) Other	---	(88,452)	88,452
(g) Federal and foreign income taxes incurred	---	(169,895)	169,895
2. Deferred Tax Assets:			
(a) Ordinary			
(1) Discounting of unpaid losses	573,141	613,050	(39,909)
(2) Unearned premium reserve	628,134	573,181	54,953
(3) Advance premiums	47,418	71,384	(23,966)
(4) Fixed assets	---	176	(176)
(5) Net operating loss carry-forward	1,238,710	1,175,349	63,361
(6) Other (including items < 5% of total ordinary tax assets)	81,830	126,927	(45,097)
(99) Subtotal	2,569,233	2,560,067	9,166
(b) Statutory valuation allowance adjustment	---	---	---
(c) Nonadmitted	---	96,233	(96,233)
(d) Admitted ordinary deferred tax assets (2a99 – 2b – 2c)	2,569,233	2,463,834	105,399
(e) Capital:			
(1) Investments	---	---	---
(2) Net capital loss carry-forward	---	---	---
(3) Other (including items < 5% of total capital tax assets)	---	---	---
(99) Subtotal	---	---	---
(f) Statutory valuation allowance adjustment	---	---	---
(g) Nonadmitted	---	---	---
(h) Admitted capital deferred tax assets (2e99 – 2f – 2g)	---	---	---
(i) Admitted deferred tax assets (2d + 2h)	2,569,233	2,463,834	105,399
3. Deferred Tax Liabilities:			
(a) Ordinary			
(1) Deferred acquisition costs	18,640	28,061	(9,421)
(2) Other (including items < 5% of total ordinary tax liabilities)	---	---	---
(99) Subtotal	18,640	28,061	(9,421)
(b) Capital:			
(1) Investments	---	---	---
(2) Real estate	---	---	---
(3) Other (including items < 5% of total capital tax liabilities)	239,034	135,149	103,885
(99) Subtotal	239,034	135,149	103,885
(c) Deferred tax liabilities (3a99 + 3b99)	257,674	163,210	94,464
4. Net deferred tax assets/liabilities (2i – 3c)	2,311,559	2,300,624	10,935



Notes to Financial Statement

10. Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties – No change.
11. Debt – The Company has no debt.
12. Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans – Not applicable.
13. Capital and Surplus, Dividend Restrictions and Quasi-Reorganizations
- (1) & (2) The Company was organized as a non-assessable mutual company with no capital stock and converted to a stock insurance company effective August 25, 2014. In connection with the merger described earlier, each outstanding share of the Company’s stock was exchanged for 1 share of GIMC’s common stock. As a result, GIMC holds 8,186,047 shares of common stock in the Company.
- (3), (4) & (5) Under Ohio insurance statutes, dividends can only be paid from net realized savings and net realized earnings which are in excess of the Company’s minimum required surplus as determined on a statutory basis. No dividend may be paid without providing notice to the Ohio Department of Insurance (ODI) and giving the ODI 30 days to disapprove such dividend. No dividends were paid during the first nine months of 2016 or all of 2015.
- (6) There were no restrictions placed on the Company’s surplus, including for whom the surplus is being held.
- (7) There were no advances to surplus not repaid.
- (8) Amount of stock withheld by the Company for special purposes – None.
- (9) The Company has no changes in the balances of any special surplus funds from the prior year.
- (10) Unassigned funds (surplus) are not represented or reduced by cumulative unrealized gains and losses.
- (11) Surplus Notes – None.
- (12) & (13) Quasi-reorganizations – Not applicable.
14. Liabilities, Contingencies and Assessments – None.
15. Leases – The Company has no leases.
16. Information About Financial Instruments With Off-Balance-Sheet Risk And Financial Instruments With Concentrations of Credit Risk – Not applicable.
17. Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities – Not applicable.
18. Gain or Loss to the Reporting Entity from Uninsured Plans and the Uninsured Portion of Partially Insured Plans – Not applicable.
19. Direct Premium Written/Produced by Managing General Agents/Third Party Administrators – None.
20. Fair Value Measurements

A. The Company’s estimates of fair value for financial assets and financial liabilities are based on the framework established in the Fair Value Measurements and Disclosures accounting guidance. The framework is based on the inputs used in valuation and requires that observable inputs be used in the valuations when available. The disclosure of fair value estimates in the fair value accounting guidance includes a hierarchy based on whether significant valuation inputs are observable. In determining the level of the hierarchy in which the estimate is disclosed, the highest priority is given to unadjusted quoted prices in active markets and the lowest priority to unobservable inputs that reflect HU’s significant market assumptions. The only assets and liabilities measured and reported at fair value are common stocks. The three levels of the hierarchy are as follows:

- Level 1 – Quoted prices in active markets for identical securities.
- Level 2 – Quoted prices in active markets for similar securities.
- Level 3 – Inputs to the valuation methodology are unobservable for the asset or liability and are significant to the fair value measurement.

(1) Fair Value Measurements at Reporting Date

Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Total
a. Assets at fair value				
Common Stock				
Industrial and Misc.	8,298,171	---	---	8,298,171
Parent, Subsidiaries and Affiliates	---	---	---	---
Total Common Stocks	---	---	---	---
	8,298,171	---	---	8,298,171
Total assets at fair value	8,298,171	---	---	8,298,171
b. Liabilities at fair value				
Derivative liabilities	---	---	---	---
Total liabilities at fair value	---	---	---	---

(2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy – Not applicable.

Notes to Financial Statement

20. Fair Value Measurements (Continued)

- B. Combination of fair value information disclosed under SSAP No. 100, Fair Value Measurements, with the fair value information disclosed under other accounting pronouncements – Not applicable.
- C. Aggregate fair value for all financial instruments and the level within the fair value hierarchy in which the fair value measurements in their entirety fall.

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Not Practicable (Carrying Value)
Bonds	75,410,497	73,807,212	13,427,056	61,983,441	---	---
Common Stock	8,298,171	8,298,171	8,298,171	---	---	---

- D. Not Practicable to Estimate Fair Value – Not applicable.

21. Other Items

- A. Extraordinary Items – None.
- B. Troubled Debt Restructuring: Debtors – Not applicable.
- C. Other Disclosures and Unusual Items – None.
- D. Business Interruption Insurance Recoveries – None.
- E. State Transferable and Non-transferable Tax Credits – None.
- F. Subprime-Mortgage-Related Risk Exposure – None.
- G. Agents’ Balances Certification, Section 625.012(5), Florida Statutes:
- a. Agents’ Balances or Uncollected Premiums as reported on Page 2, 15.1 - \$2,473,277.
  - b. Amount of Agents’ Balances or Uncollected Premiums from Page 2, Line 15.1 that is due from “controlled” or “controlling” persons – None.
  - c. Amount reported in #2 above and secured by a: Trust Fund, Letter of Credit, and Financial Guaranty Bond as required by Section 625.012, Florida Statutes – None.

22. Events Subsequent – Subsequent events have been considered through November 11, 2016 for the quarterly statement issued on November 14, 2016. There have been no material recognized or nonrecognized subsequent events.

23. Reinsurance – Ceded reinsurance premiums payable related to insured events of prior years were increased by \$100,000 as a result of re-estimation of unpaid reinsured claims. Management determined to increase ceded reinsurance premiums payable based on management’s judgment and evaluation of the payable based in part on advice received from its independent consulting actuary.

- A. Unsecured Reinsurance Recoverables – None
- B. Reinsurance Recoverable in Dispute - None
- C. Reinsurance Assumed and Ceded – No return commission would be due reinsurers if the Company’s reinsurance was canceled.
- D. Uncollectible Reinsurance - None
- E. Commutation of Ceded Reinsurance - None
- F. Retroactive Reinsurance - None
- G. Reinsurance Accounted for as a Deposit – None
- H. Disclosures for the Transfer of Property and Casualty Run-Off Agreements - None
- I. Certified Reinsurer Rating Downgraded or Status Subject to Revocation - None

24. Retrospectively Rated Contracts & Contracts Subject to Redetermination – Not applicable.

25. Changes in Incurred Losses and Loss Adjustment Expenses – Net reserves for losses and loss adjustment expenses as of September 30, 2016 related to insured events of prior years were decreased by \$525,000 year to date as a result of re-estimation of unpaid claims because the Company has reduced its estimates of claims severity (i.e. the average size of a claim) related to those years. Based on recent internal and industry claims data, management believes claims severity for those earlier years will be less than was actuarially projected and that claims severity is increasing at a rate slower than was estimated when reserves for those years were established. No return premiums have been accrued as a result of the prior-year effects.

26. Intercompany Pooling Arrangements – Not applicable.

27. Structured Settlements – Not applicable.

# Notes to Financial Statement

- 28. **Health Care Receivables** – Not applicable.
- 29. **Participating Policies** – Not applicable.
- 30. **Premium Deficiency Reserves** – No change.
- 31. **High Deductibles** – Not applicable.
- 32. **Discounting of Liabilities for Unpaid Losses or Unpaid Loss Adjustment Expenses** – Not applicable.
- 33. **Asbestos/Environmental Reserves** – Not applicable.
- 34. **Subscriber Savings Accounts** – Not applicable.
- 35. **Multiple Peril Crop Insurance** – Not applicable.
- 36. **Financial Guaranty Insurance** – Not applicable.

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES  
GENERAL

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act?

Yes[ ] No[X]
- 1.2 If yes, has the report been filed with the domiciliary state?

Yes[ ] No[ ] N/A[X]
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity?

Yes[ ] No[X]
- 2.2 If yes, date of change:
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer?

Yes[X] No[ ]
- If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end?

Yes[ ] 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 the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

1	2	3
Name of Entity	NAIC Company Code	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[X] N/A[ ]
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made.

11/30/2013
- 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.

11/30/2013
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date).

01/30/2014
- 6.4 By what department or departments?

Ohio Department of Insurance
- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments?

Yes[ ] No[ ] N/A[X]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with?

Yes[ ] No[ ] N/A[X]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period?

Yes[ ] No[X]
- 7.2 If yes, give full information
- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board?

Yes[ ] No[X]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms?

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

1	2	3	4	5	6
Affiliate Name	Location (City, State)	FRB	OCC	FDIC	SEC
		Yes[ ] No[X]	Yes[ ] No[X]	Yes[ ] No[X]	Yes[ ] No[X]

- 9.1 Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards?

(a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;

(b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;

(c) Compliance with applicable governmental laws, rules and regulations;

(d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and

(e) Accountability for adherence to the code.

Yes[X] No[ ]
- 9.11 If the response to 9.1 is No, please explain:
- 9.2 Has the code of ethics for senior managers been amended?

Yes[ ] No[X]
- 9.21 If the response to 9.2 is Yes, provide information related to amendment(s).
- 9.3 Have any provisions of the code of ethics been waived for any of the specified officers?

Yes[ ] No[X]
- 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

FINANCIAL

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement?

Yes[ ] 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

GENERAL INTERROGATORIES (Continued)

INVESTMENT

14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates?

14.2 If yes, please complete the following:

Yes[ ] No[X]

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

15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB?

15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state?  
If no, attach a description with this statement.

Yes[ ] No[X]  
Yes[ ] No[ ] N/A[X]

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

16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2

16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2

16.3 Total payable for securities lending reported on the liability page

\$ ..... 0  
\$ ..... 0  
\$ ..... 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?

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

Yes[X] No[ ]

1 Name of Custodian(s)	2 Custodian Address
PNC Bank .....	1900 E. 9th Street, Cleveland, OH 44114 .....
Regions Bank .....	1511 N. Westshore Blvd., Ste. 850, Tampa, FL 33607

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?

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

Yes[ ] No[X]

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

17.5 Identify all investment advisors, brokers/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
151829 .....	PNC Capital Advisors, LLC .....	1900 E. 9th Street, Cleveland, OH 44114 .....
111715 .....	Regions Investment Management .....	1511 N. Westshore Blvd., Ste. 850, Tampa, FL 33607 .....

18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed?

18.2 If no, list exceptions:

Yes[X] No[ ]

GENERAL INTERROGATORIES

PART 2 - PROPERTY & CASUALTY INTERROGATORIES

1. If the reporting entity is a member of a pooling arrangement, did the agreement or the reporting entity's participation change?  
If yes, attach an explanation.

Yes[ ] No[ ] N/A[X]
2. Has the reporting entity reinsured any risk with any other reporting entity and agreed to release such entity from liability, in whole or in part, from any loss that may occur on the risk, or portion thereof, reinsured?  
If yes, attach an explanation.

Yes[ ] No[X]
- 3.1 Have any of the reporting entity's primary reinsurance contracts been canceled?

Yes[ ] No[X]
- 3.2 If yes, give full and complete information thereto
- 4.1 Are any of the liabilities for unpaid losses and loss adjustment expenses other than certain workers' compensation tabular reserves (see annual statement instructions pertaining to disclosure of discounting for definition of "tabular reserves,") discounted at a rate of interest greater than zero?

Yes[ ] No[X]
- 4.2 If yes, complete the following schedule:

1  Line of Business	2  Maximum Interest	3  Discount Rate	TOTAL DISCOUNT				DISCOUNT TAKEN DURING PERIOD			
			4  Unpaid Losses	5  Unpaid LAE	6  IBNR	7  TOTAL	8  Unpaid Losses	9  Unpaid LAE	10  IBNR	11  TOTAL
04.2999 Total .....			.....	.....	.....	.....	.....	.....	.....	.....

5. Operating Percentages:

5.1 A&H loss percent

5.2 A&H cost containment percent

5.3 A&H expense percent excluding cost containment expenses

.....0.000%

.....0.000%

.....0.000%
- 6.1 Do you act as a custodian for health savings accounts?

Yes[ ] No[X]
- 6.2 If yes, please provide the amount of custodial funds held as of the reporting date.

\$.....0
- 6.3 Do you act as an administrator for health savings accounts?

Yes[ ] No[X]
- 6.4 If yes, please provide the balance of the funds administered as of the reporting date.

\$.....0

**SCHEDULE F - CEDED REINSURANCE**  
**Showing all new reinsurers - Current Year to Date**

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

**SCHEDULE T - EXHIBIT OF PREMIUMS WRITTEN**

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

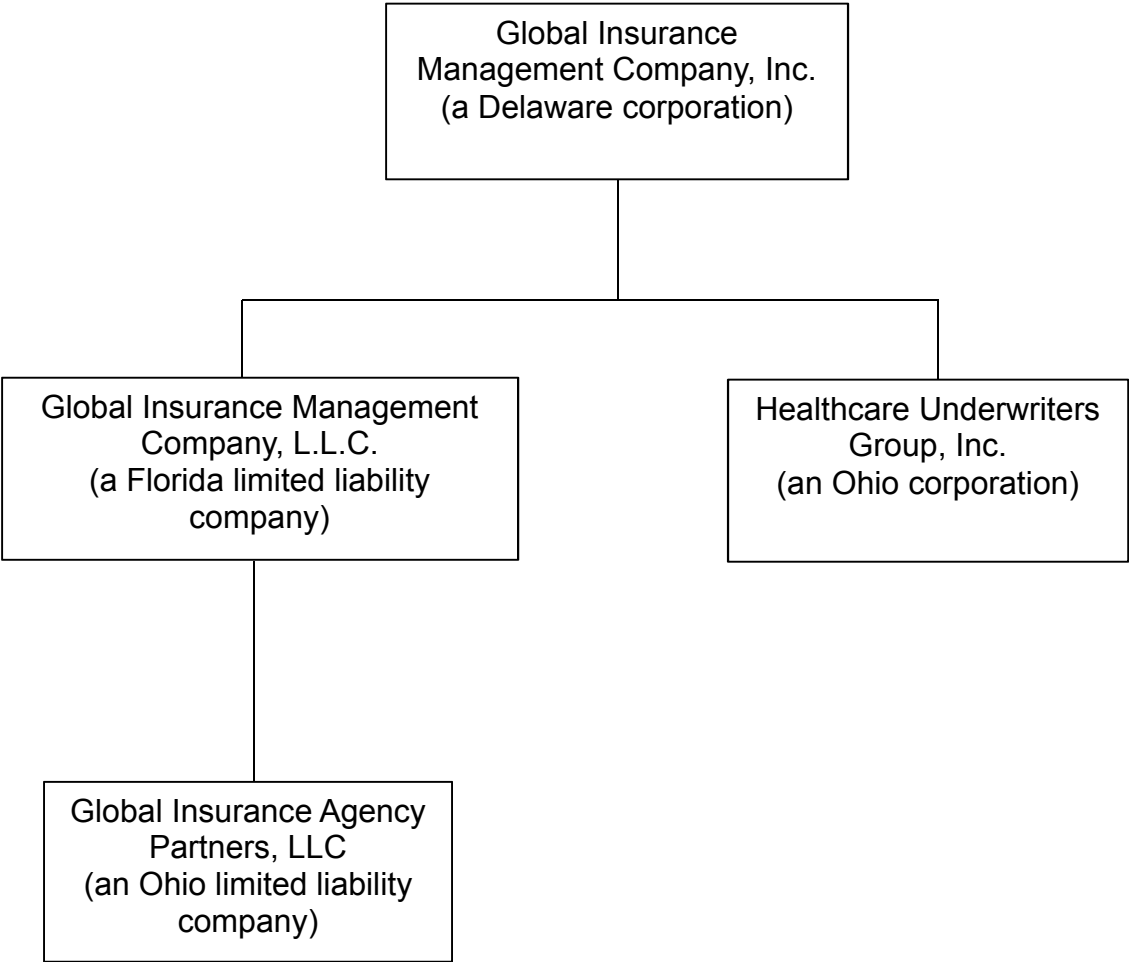
		1	Direct Premiums Written		Direct Losses Paid (Deducting Salvage)		Direct Losses Unpaid	
			2	3	4	5	6	7
States, etc.		Active Status	Current Year To Date	Prior Year To Date	Current Year To Date	Prior Year To Date	Current Year To Date	Prior Year To Date
1.	Alabama (AL) .....	N						
2.	Alaska (AK) .....	N						
3.	Arizona (AZ) .....	N						
4.	Arkansas (AR) .....	N						
5.	California (CA) .....	N						
6.	Colorado (CO) .....	N						
7.	Connecticut (CT) .....	N						
8.	Delaware (DE) .....	N						
9.	District of Columbia (DC) .....	N						
10.	Florida (FL) .....	L	4,625,608	4,616,510	1,932,500	1,290,000	5,872,276	7,157,392
11.	Georgia (GA) .....	N						
12.	Hawaii (HI) .....	N						
13.	Idaho (ID) .....	N						
14.	Illinois (IL) .....	N						
15.	Indiana (IN) .....	L	14,760				2,490	
16.	Iowa (IA) .....	N						
17.	Kansas (KS) .....	N						
18.	Kentucky (KY) .....	L	2,028,054	2,360,144	940,000	1,250,000	5,376,702	7,898,078
19.	Louisiana (LA) .....	N						
20.	Maine (ME) .....	N						
21.	Maryland (MD) .....	N						
22.	Massachusetts (MA) .....	N						
23.	Michigan (MI) .....	N						
24.	Minnesota (MN) .....	N						
25.	Mississippi (MS) .....	N						
26.	Missouri (MO) .....	N						
27.	Montana (MT) .....	N						
28.	Nebraska (NE) .....	N						
29.	Nevada (NV) .....	N						
30.	New Hampshire (NH) .....	N						
31.	New Jersey (NJ) .....	N						
32.	New Mexico (NM) .....	N						
33.	New York (NY) .....	N						
34.	North Carolina (NC) .....	N						
35.	North Dakota (ND) .....	N						
36.	Ohio (OH) .....	L	3,664,065	3,908,500	950,000	60,000	5,004,607	6,939,301
37.	Oklahoma (OK) .....	N						
38.	Oregon (OR) .....	N						
39.	Pennsylvania (PA) .....	N						
40.	Rhode Island (RI) .....	N						
41.	South Carolina (SC) .....	N						
42.	South Dakota (SD) .....	N						
43.	Tennessee (TN) .....	N						
44.	Texas (TX) .....	N						
45.	Utah (UT) .....	N						
46.	Vermont (VT) .....	N						
47.	Virginia (VA) .....	N						
48.	Washington (WA) .....	N						
49.	West Virginia (WV) .....	N						
50.	Wisconsin (WI) .....	N						
51.	Wyoming (WY) .....	N						
52.	American Samoa (AS) .....	N						
53.	Guam (GU) .....	N						
54.	Puerto Rico (PR) .....	N						
55.	U.S. Virgin Islands (VI) .....	N						
56.	Northern Mariana Islands (MP) .....	N						
57.	Canada (CAN) .....	N						
58.	Aggregate other alien (OT) .....	X X X						
59.	Totals .....	(a). 4	10,332,487	10,885,154	3,822,500	2,600,000	16,256,075	21,994,771
DETAILS OF WRITE-INS								
58001.....	X X X							
58002.....	X X X							
58003.....	X X X							
58998Summary of remaining write-ins for Line 58 from overflow page .....	X X X							
58999TOTALS (Lines 58001 through 58003 plus 58998) (Line 58 above) .....	X X X							

(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.



**SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER**  
**MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 - ORGANIZATIONAL CHART**  
Global Insurance Management Company, Inc.  
Organizational Chart  
September 30, 2016



**SCHEDULE Y**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	FEDERAL RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity / Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies) / Person(s)	*
.....	.....	00000	47-1971933	.....	.....	.....	Global Insurance Management Company, Inc. ....	DE	UDP	Shareholders .....	Ownership .....	100.0	.....	.....
.....	.....	12233	74-3129288	.....	.....	.....	Healthcare Underwriters Group, Inc. ....	OH	DS	Global Insurance Management Company, Inc. ....	Ownership .....	100.0	Global Insurance Management Company, Inc. ....	.....
.....	.....	00000	16-1647591	.....	.....	.....	Global Insurance Management Co., LLC ..	FL	DS	Global Insurance Management Company, Inc. ....	Ownership .....	100.0	Global Insurance Management Company, Inc. ....	.....
.....	.....	00000	46-1740386	.....	.....	.....	Global Insurance Agency Partners, LLC ..	OH	DS	Global Insurance Management Co., LLC ...	Ownership .....	100.0	Global Insurance Management Company, Inc. ....	.....

Asterisk	Explanation
0000001	.....

STATEMENT AS OF **September 30, 2016** OF THE **HEALTHCARE UNDERWRITERS GROUP, INC.**

PART 1 - LOSS EXPERIENCE

Line of Business		Current Year to Date			4 Prior Year to Date Direct Loss Percentage
		1 Direct Premiums Earned	2 Direct Losses Incurred	3 Direct Loss Percentage	
1.	Fire .....				
2.	Allied lines .....				
3.	Farmowners multiple peril .....				
4.	Homeowners multiple peril .....				
5.	Commercial multiple peril .....				
6.	Mortgage guaranty .....				
8.	Ocean marine .....				
9.	Inland marine .....				
10.	Financial guaranty .....				
11.1	Medical professional liability - occurrence .....	1,297,750	303,022	23.350	29.845
11.2	Medical professional liability - claims made .....	8,733,931	(399,681)	(4.576)	10.717
12.	Earthquake .....				
13.	Group accident and health .....				
14.	Credit accident and health .....				
15.	Other accident and health .....				
16.	Workers' compensation .....				
17.1	Other liability - occurrence .....				
17.2	Other liability - claims made .....				
17.3	Excess Workers' Compensation .....				
18.1	Products liability - occurrence .....				
18.2	Products liability - claims made .....				
19.1	19.2 Private passenger auto liability .....				
19.3	19.4 Commercial auto liability .....				
21.	Auto physical damage .....				
22.	Aircraft (all perils) .....				
23.	Fidelity .....				
24.	Surety .....				
26.	Burglary and theft .....				
27.	Boiler and machinery .....				
28.	Credit .....				
29.	International .....				
30.	Warranty .....				
31.	Reinsurance-Nonproportional Assumed Property .....	X X X	X X X	X X X	X X X
32.	Reinsurance-Nonproportional Assumed Liability .....	X X X	X X X	X X X	X X X
33.	Reinsurance-Nonproportional Assumed Financial Lines .....	X X X	X X X	X X X	X X X
34.	Aggregate write-ins for other lines of business .....				
35.	TOTALS .....	10,031,681	(96,659)	(0.964)	12.008
DETAILS OF WRITE-INS					
3401.	.....				
3402.	.....				
3403.	.....				
3498.	Summary of remaining write-ins for Line 34 from overflow page .....				
3499.	TOTALS (Lines 3401 through 3403 plus 3498) (Line 34 above) .....				

PART 2 - DIRECT PREMIUMS WRITTEN

Line of Business		1 Current Quarter	2 Current Year to Date	3 Prior Year Year to Date
1.	Fire .....			
2.	Allied lines .....			
3.	Farmowners multiple peril .....			
4.	Homeowners multiple peril .....			
5.	Commercial multiple peril .....			
6.	Mortgage guaranty .....			
8.	Ocean marine .....			
9.	Inland marine .....			
10.	Financial guaranty .....			
11.1	Medical professional liability - occurrence .....	312,517	1,297,750	676,523
11.2	Medical professional liability - claims made .....	3,830,813	9,034,737	10,208,631
12.	Earthquake .....			
13.	Group accident and health .....			
14.	Credit accident and health .....			
15.	Other accident and health .....			
16.	Workers' compensation .....			
17.1	Other liability - occurrence .....			
17.2	Other liability - claims made .....			
17.3	Excess Workers' Compensation .....			
18.1	Products liability - occurrence .....			
18.2	Products liability - claims made .....			
19.1	19.2 Private passenger auto liability .....			
19.3	19.4 Commercial auto liability .....			
21.	Auto physical damage .....			
22.	Aircraft (all perils) .....			
23.	Fidelity .....			
24.	Surety .....			
26.	Burglary and theft .....			
27.	Boiler and machinery .....			
28.	Credit .....			
29.	International .....			
30.	Warranty .....			
31.	Reinsurance-Nonproportional Assumed Property .....	X X X	X X X	X X X
32.	Reinsurance-Nonproportional Assumed Liability .....	X X X	X X X	X X X
33.	Reinsurance-Nonproportional Assumed Financial Lines .....	X X X	X X X	X X X
34.	Aggregate write-ins for other lines of business .....			
35.	TOTALS .....	4,143,330	10,332,487	10,885,154
DETAILS OF WRITE-INS				
3401.	.....			
3402.	.....			
3403.	.....			
3498.	Summary of remaining write-ins for Line 34 from overflow page .....			
3499.	TOTALS (Lines 3401 through 3403 plus 3498) (Line 34 above) .....			

**PART 3 (000 omitted)**  
**LOSS AND LOSS ADJUSTMENT EXPENSE RESERVES SCHEDULE**

		1	2	3	4	5	6	7	8	9	10	11	12	13
Years in Which Losses Occurred		Prior Year-End Known Case Loss and LAE Reserves	Prior Year-End IBNR Loss and LAE Reserves	Total Prior Year-End Loss and LAE Reserves (Cols. 1 + 2)	2016 Loss and LAE Payments on Claims Reported as of Prior Year-End	2016 Loss and LAE Payments on Claims Unreported as of Prior Year-End	Total 2016 Loss and LAE Payments (Cols. 4 + 5)	Q.S. Date Known Case Loss and LAE Reserves on Claims Reported and Open as of Prior Year-End	Q.S. Date Known Case Loss and LAE Reserves on Claims Reported or Reopened Subsequent to Prior Year-End	Q.S. Date IBNR Loss and LAE Reserves	Total Q.S. Loss and LAE Reserves (Cols. 7 + 8 + 9)	Prior Year-End Known Case Loss and LAE Reserves Developed (Savings)/ Deficiency (Cols. 4 + 7 minus Col. 1)	Prior Year-End IBNR Loss and LAE Reserves Developed (Savings)/ Deficiency (Cols. 5 + 8 + 9 minus Col. 2)	Prior Year-End Total Loss and LAE Reserves Developed (Savings)/ Deficiency (Cols. 11 + 12)
1.	2013 + Prior .....	9,822	5,415	15,237	5,781		5,781	7,004		2,652	9,656	2,963	(2,763)	200
2.	2014 .....	2,087	3,048	5,135	1,269		1,269	2,280		1,561	3,841	1,462	(1,487)	(25)
3.	Subtotals 2014 + Prior .....	11,909	8,463	20,372	7,050		7,050	9,284		4,213	13,497	4,425	(4,250)	175
4.	2015 .....	4,894	5,913	10,807	2,038		2,038	3,983		4,086	8,069	1,127	(1,827)	(700)
5.	Subtotals 2015 + Prior .....	16,803	14,376	31,179	9,088		9,088	13,267		8,299	21,566	5,552	(6,077)	(525)
6.	2016 .....	X X X	X X X	X X X	X X X	469	469	X X X	6,076	2,247	8,323	X X X	X X X	X X X
7.	Totals .....	16,803	14,376	31,179	9,088	469	9,557	13,267	6,076	10,546	29,889	5,552	(6,077)	(525)
8.	Prior Year-End Surplus As Regards Policyholders .....	46,711										Col. 11, Line 7 As % of Col. 1 Line 7	Col. 12, Line 7 As % of Col. 2 Line 7	Col. 13, Line 7 As % of Col. 3 Line 7
												1..... 33.042	2..... (42.272)	3..... (1.684)
														Col. 13, Line 7 Line 8
	.....													4..... (1.124)

# 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.

	RESPONSES
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement?	No
2. Will Supplement A to Schedule T (Medical Professional Liability Supplement) be filed with this statement?	Yes
3. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?	No
4. Will the Director and Officer Insurance Coverage Supplement be filed with the state of domicile and the NAIC with this statement?	No

Explanations:

Bar Codes:

Trusteed Surplus Statement



Medicare Part D Coverage Supplement



Director and Officer Supplement



**OVERFLOW PAGE FOR WRITE-INS**

STATEMENT AS OF **September 30, 2016** OF THE **HEALTHCARE UNDERWRITERS GROUP, INC.**  
**SCHEDULE A - VERIFICATION**

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

**SCHEDULE B - VERIFICATION**

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

**SCHEDULE BA - VERIFICATION**

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

**SCHEDULE D - VERIFICATION**

Bonds and Stocks		1	2
		Year To Date	Prior Year Ended December 31
1.	Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	82,443,712	83,485,816
2.	Cost of bonds and stocks acquired .....	17,264,906	27,551,629
3.	Accrual of discount .....	45,609	34,746
4.	Unrealized valuation increase (decrease) .....	305,599	(135,870)
5.	Total gain (loss) on disposals .....	(103,119)	239,538
6.	Deduct consideration for bonds and stocks disposed of .....	17,567,829	28,271,301
7.	Deduct amortization of premium .....	283,494	460,846
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) .....	82,105,383	82,443,712
11.	Deduct total nonadmitted amounts .....		
12.	Statement value at end of current period (Line 10 minus Line 11) .....	82,105,383	82,443,712

**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) .....	63,892,384	6,883,718	6,111,282	(72,849)	63,154,888	63,892,384	64,591,971	65,211,509
2.	NAIC 2 (a) .....	11,232,701	289,568	1,116,532	(2,974)	11,838,548	11,232,701	10,402,763	10,099,847
3.	NAIC 3 (a) .....								
4.	NAIC 4 (a) .....								
5.	NAIC 5 (a) .....								
6.	NAIC 6 (a) .....								
7.	Total Bonds .....	75,125,084	7,173,286	7,227,814	(75,823)	74,993,435	75,125,084	74,994,733	75,311,356
<b>PREFERRED STOCK</b>									
8.	NAIC 1 .....								
9.	NAIC 2 .....								
10.	NAIC 3 .....								
11.	NAIC 4 .....								
12.	NAIC 5 .....								
13.	NAIC 6 .....								
14.	Total Preferred Stock .....								
15.	Total Bonds & Preferred Stock .....	75,125,084	7,173,286	7,227,814	(75,823)	74,993,435	75,125,084	74,994,733	75,311,356

(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



**SCHEDULE DA - PART 1**

**Short - Term Investments**

	1 Book/Adjusted Carrying Value	2  Par Value	3  Actual Cost	4  Interest Collected Year To Date	5 Paid for Accrued Interest Year To Date
9199999. Totals .....	1,634,278	X X X	1,634,278	1,600	722

**SCHEDULE DA - Verification**

**Short-Term Investments**

		1  Year To Date	2 Prior Year Ended December 31
1.	Book/adjusted carrying value, December 31 of prior year .....	1,030,952	2,575,802
2.	Cost of short-term investments acquired .....	4,927,786	11,173,797
3.	Accrual of discount .....		
4.	Unrealized valuation increase (decrease) .....		
5.	Total gain (loss) on disposals .....		
6.	Deduct consideration received on disposals .....	4,323,520	12,718,647
7.	Deduct amortization of premium .....	940	
8.	Total foreign exchange change in book/adjusted carrying value .....		
9.	Deduct current year's other than temporary impairment recognized ....		
10.	Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9) .....	1,634,278	1,030,952
11.	Deduct total nonadmitted amounts .....		
12.	Statement value at end of current period (Line 10 minus Line 11) .....	1,634,278	1,030,952

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

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

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

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

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

**SCHEDULE E - Verification**  
**(Cash Equivalents)**

		1	2
		Year To Date	Prior Year Ended December 31
1.	Book/adjusted carrying value, December 31 of prior year .....	660,072	1,626,634
2.	Cost of cash equivalents acquired .....	13,443,061	17,252,026
3.	Accrual of discount .....		
4.	Unrealized valuation increase (decrease) .....		
5.	Total gain (loss) on disposals .....		
6.	Deduct consideration received on disposals .....	14,102,888	18,218,588
7.	Deduct amortization of premium .....	195	
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) .....	50	660,072
11.	Deduct total nonadmitted amounts .....		
12.	Statement value at end of current period (Line 10 minus Line 11) .....	50	660,072

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

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

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

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

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

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

**SCHEDULE D - PART 3**

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

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation or Market Indicator (a)
<b>Bonds - U.S. Governments</b>									
912828G61 ..	UNITED STATES TREASURY .....		08/24/2016 ..	MORGAN STANLEY CO .....	X X X .....	941,657 .....	925,000 .....	3,260 .....	1 .....
912828H52 ..	UNITED STATES TREASURY .....		08/22/2016 ..	Morgan Stanley .....	X X X .....	252,393 .....	250,000 .....	728 .....	1 .....
912828HR4 ..	UNITED STATES TREASURY .....		09/23/2016 ..	Morgan Stanley .....	X X X .....	77,865 .....	75,000 .....	300 .....	1 .....
912828R36 ..	UNITED STATES TREASURY .....		09/23/2016 ..	VARIOUS .....	X X X .....	1,780,259 .....	1,775,000 .....	8,622 .....	1 .....
0599999	Subtotal - Bonds - U.S. Governments .....				X X X .....	3,052,174 .....	3,025,000 .....	12,910 .....	X X X .....
<b>Bonds - All Other Governments</b>									
3128MJSS0 ..	RMBS - FH G08528 .....		07/26/2016 ..	BARCLAYS CAPITAL INC FIXED INC .....	X X X .....	499,537 .....	481,264 .....	1,123 .....	1 .....
1099999	Subtotal - Bonds - All Other Governments .....				X X X .....	499,537 .....	481,264 .....	1,123 .....	X X X .....
<b>Bonds - U.S. Special Revenue, Special Assessment</b>									
3128MDPJ6 ..	RMBS - FH G14725 .....		07/26/2016 ..	JPM/INTL FCSTONE FINANCIAL INC .....	X X X .....	497,249 .....	479,854 .....	933 .....	1 .....
3128MJXX3 ..	RMBS - FH G08693 .....		07/26/2016 ..	RBC Dain Rauscher (US) .....	X X X .....	101,660 .....	96,611 .....	263 .....	1 .....
3138W9BN9 ..	FN AS0044 - RMBS .....		09/08/2016 ..	NOMURA SECURITIES/FIXED INCOME .....	X X X .....	41,185 .....	39,530 .....	43 .....	1 .....
31417G3T1 ..	FN AB9809 - RMBS .....		09/19/2016 ..	NOMURA SECURITIES/FIXED INCOME .....	X X X .....	99,596 .....	95,895 .....	168 .....	1 .....
31418ACM8 ..	RMBS - FN MA0975 .....		07/14/2016 ..	BNY CAPITAL MARKETS, INC. ....	X X X .....	778,107 .....	734,930 .....	1,000 .....	1 .....
3199999	Subtotal - Bonds - U.S. Special Revenue, Special Assessment .....				X X X .....	1,517,797 .....	1,446,820 .....	2,407 .....	X X X .....
<b>Bonds - Industrial and Miscellaneous (Unaffiliated)</b>									
031162CH1 ..	AMGEN INC .....		08/11/2016 ..	VARIOUS .....	X X X .....	289,568 .....	290,000 .....		2FE .....
05582QAD9 ..	ABS - BMWOT 16A A3 .....		07/12/2016 ..	CHASE SECURITIES INC .....	X X X .....	249,999 .....	250,000 .....		1FE .....
06367THQ6 ..	BANK OF MONTREAL .....	I .....	07/14/2016 ..	VARIOUS .....	X X X .....	389,940 .....	390,000 .....	9 .....	1FE .....
161571HF4 ..	CHAIT 165 A - ABS .....		08/04/2016 ..	BARCLAYS CAPITAL INC FIXED INC .....	X X X .....	199,945 .....	200,000 .....		1FE .....
17275RBL5 ..	CISCO SYSTEMS INC .....		09/14/2016 ..	Morgan Stanley .....	X X X .....	440,182 .....	440,000 .....		1FE .....
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated) .....				X X X .....	1,569,634 .....	1,570,000 .....	9 .....	X X X .....
8399997	Subtotal - Bonds - Part 3 .....				X X X .....	6,639,142 .....	6,523,083 .....	16,449 .....	X X X .....
8399998	Summary Item from Part 5 for Bonds (N/A to Quarterly) .....				X X X .....	X X X .....	X X X .....	X X X .....	X X X .....
8399999	Subtotal - Bonds .....				X X X .....	6,639,142 .....	6,523,083 .....	16,449 .....	X X X .....
8999998	Summary Item from Part 5 for Preferred Stocks (N/A to Quarterly) .....				X X X .....	X X X .....	X X X .....	X X X .....	X X X .....
<b>Common Stocks - Industrial and Miscellaneous (Unaffiliated)</b>									
002824100 ..	ABBOTT LABORATORIES ORD .....		07/14/2016 ..	VARIOUS .....	500.000 .....	21,146 .....	X X X .....		L .....
023135106 ..	AMAZON COM ORD .....		09/14/2016 ..	CONVERGEX .....	45.000 .....	34,275 .....	X X X .....		L .....
126650100 ..	CVS HEALTH ORD .....		09/14/2016 ..	CONVERGEX .....	60.000 .....	5,376 .....	X X X .....		L .....
143658300 ..	CARNIVAL ORD .....		08/17/2016 ..	VARIOUS .....	900.000 .....	42,040 .....	X X X .....		L .....
151020104 ..	CELGENE ORD .....		09/14/2016 ..	CONVERGEX .....	375.000 .....	39,776 .....	X X X .....		L .....
191216100 ..	COCA-COLA ORD .....		09/14/2016 ..	CONVERGEX .....	90.000 .....	3,790 .....	X X X .....		L .....
192446102 ..	COGNIZANT TECHNOLOGY SOLUTN CL A ORD .....		09/14/2016 ..	CONVERGEX .....	100.000 .....	5,439 .....	X X X .....		L .....
233331107 ..	DTE ENERGY ORD .....		08/17/2016 ..	VARIOUS .....	580.000 .....	54,406 .....	X X X .....		L .....
256677105 ..	DOLLAR GENERAL ORD .....		09/14/2016 ..	CONVERGEX .....	120.000 .....	8,588 .....	X X X .....		L .....
345370860 ..	FORD MOTOR ORD .....		07/14/2016 ..	INVESTMENT TECHNOLOGY GROUP, I .....	1,150.000 .....	15,702 .....	X X X .....		L .....
369550108 ..	GENERAL DYNAMICS ORD .....		09/14/2016 ..	CONVERGEX .....	510.000 .....	76,470 .....	X X X .....		L .....
370334104 ..	GENERAL MILLS ORD .....		07/14/2016 ..	Stifel Nicolaus & Co. ....	830.000 .....	59,835 .....	X X X .....		L .....
577081102 ..	MATTEL ORD .....		09/14/2016 ..	CONVERGEX .....	1,210.000 .....	37,921 .....	X X X .....		L .....
580135101 ..	MCDONALD'S ORD .....		09/14/2016 ..	CONVERGEX .....	30.000 .....	3,451 .....	X X X .....		L .....
58933Y105 ..	MERCK & CO ORD .....		08/17/2016 ..	DEUTSCHE MORGAN GRENFELL INC. ....	400.000 .....	25,215 .....	X X X .....		L .....
609207105 ..	MONDELEZ INTERNATIONAL CL A ORD .....		09/14/2016 ..	CONVERGEX .....	60.000 .....	2,552 .....	X X X .....		L .....
74251V102 ..	PRINCIPAL FINANCIAL GROUP ORD .....		08/16/2016 ..	JP MORGAN SECURITIES INC. ....	310.000 .....	14,591 .....	X X X .....		L .....
863667101 ..	STRYKER ORD .....		09/14/2016 ..	CONVERGEX .....	50.000 .....	5,541 .....	X X X .....		L .....
867914103 ..	SUNTRUST BANKS ORD .....		08/16/2016 ..	VARIOUS .....	1,470.000 .....	62,276 .....	X X X .....		L .....

QE04

**SCHEDULE D - PART 3**

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

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation or Market Indicator (a)
89353D107 ..	TRANSCANADA ORD .....	... I ...	.. 09/16/2016 ..	CONVERGEX .....	..... 970.000	..... 45,417	..... X X X .....	.....	L .....
92343V104 ..	VERIZON COMMUNICATIONS ORD .....	.....	.. 09/14/2016 ..	CONVERGEX .....	..... 720.000	..... 37,116	..... X X X .....	.....	L .....
966837106 ...	WHOLE FOODS MARKET ORD .....	.....	.. 09/14/2016 ..	CONVERGEX .....	..... 240.000	..... 6,731	..... X X X .....	.....	L .....
H1467J104 ..	CHUBB ORD .....	... F ...	.. 09/14/2016 ..	CONVERGEX .....	..... 10.000	..... 1,250	..... X X X .....	.....	L .....
N53745100 ..	LYONDELLBASELL INDUSTRIES CL A ORD .....	.....	.. 09/14/2016 ..	CONVERGEX .....	..... 20.000	..... 1,514	..... X X X .....	.....	L .....
9099999	Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated) .....				..... X X X .....	..... 610,418	..... X X X .....	.....	..... X X X .....
9799997	Subtotal - Common Stocks - Part 3 .....				..... X X X .....	..... 610,418	..... X X X .....	.....	..... X X X .....
9799998	Summary Item from Part 5 for Common Stocks (N/A to Quarterly) .....				..... X X X .....	..... X X X .....	..... X X X .....	..... X X X .....	..... X X X .....
9799999	Subtotal - Common Stocks .....				..... X X X .....	..... 610,418	..... X X X .....	.....	..... X X X .....
9899999	Subtotal - Preferred and Common Stocks .....				..... X X X .....	..... 610,418	..... X X X .....	.....	..... X X X .....
9999999	Total - Bonds, Preferred and Common Stocks .....				..... X X X .....	..... 7,249,560	..... X X X .....	..... 16,449	..... X X X .....

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

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	F o r e i g n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11 + 12 - 13)	Total Foreign Exchange Change in B./A.C.V.	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation or Market Indicator (a)
<b>Bonds - U.S. Governments</b>																					
912828FY1	UNITED STATES TREASURY		08/24/2016	NOMURA SECURITIES INTL., FIXED I	X X X	100,953	100,000	109,671	101,038		(770)		(770)		100,268		685	685	3,594	11/15/2016	1
912828LP3	UNITED STATES TREASURY		08/24/2016	NOMURA SECURITIES INTL., FIXED I	X X X	75,196	75,000	81,439	75,817		(709)		(709)		75,108		88	88	2,029	09/30/2016	1
912828NR7	UNITED STATES TREASURY		09/14/2016	DEUTSCHE BANK SECURITIES, INC.	X X X	507,324	500,000	512,578	512,234		(5,447)		(5,447)		506,788		537	537	13,359	07/31/2017	1
912828RU6	UNITED STATES TREASURY		08/24/2016	CITIGROUP GLOBAL MARKETS INC.	X X X	1,001,367	1,000,000	1,004,414	1,002,012		(1,427)		(1,427)		1,000,585		782	782	6,431	11/30/2016	1
912828VW7	UNITED STATES TREASURY		08/24/2016	HSBC SECURITIES	X X X	250,078	250,000	251,992	250,780		(717)		(717)		250,063		15	15	2,063	09/15/2016	1
0599999 Subtotal - Bonds - U.S. Governments					X X X	1,934,919	1,925,000	1,960,095	1,941,881		(9,069)		(9,069)		1,932,813		2,106	2,106	27,476	X X X	X X X
<b>Bonds - All Other Governments</b>																					
3128MJSS0	RMBS - FH G08528		09/15/2016	Direct	X X X	28,684	28,684	28,320	15,394		20		20		28,398		286	286	374	04/01/2043	1
912828VL1	UNITED STATES TREASURY		07/15/2016	Maturity	X X X	200,000	200,000	200,170	200,125		(125)		(125)		200,000				1,250	07/15/2016	1
1099999 Subtotal - Bonds - All Other Governments					X X X	228,684	228,684	228,490	215,519		(105)		(105)		228,398		286	286	1,624	X X X	X X X
<b>Bonds - U.S. Special Revenue, Special Assessment</b>																					
3128M9TQ5	RMBS - FH G07459		09/15/2016	Direct	X X X	32,720	32,720	34,233	34,197		(45)		(45)		34,152		(1,432)	(1,432)	765	08/01/2043	1
3128MAFA2	RMBS - FH G07961		09/15/2016	Direct	X X X	10,816	10,816	11,252	11,245		(29)		(29)		11,216		(400)	(400)	255	03/01/2045	1
3128MBM79	RMBS - FH G12882		09/15/2016	Direct	X X X	8,806	8,806	14,327	11,005		(458)		(458)		10,547		(1,742)	(1,742)	294	11/01/2019	1
3128MCMY1	RMBS - FH G14116		09/15/2016	Direct	X X X	26,841	26,841	30,107	29,331		(183)		(183)		29,148		(2,307)	(2,307)	628	04/01/2029	1
3128MDPJ6	FH G14725 - RMBS		09/15/2016	Direct	X X X	15,718	15,718	16,288	15,718		7		7		16,295		(577)	(577)	50	04/01/2028	1
3128MJAW0	RMBS - FH G08020		09/15/2016	Direct	X X X	383	383	427	427		2		2		428		(46)	(46)	12	11/01/2034	1
3128MJT26	RMBS - FH G08568		09/15/2016	Direct	X X X	14,404	14,404	16,085	15,978		(24)		(24)		15,955		(1,551)	(1,551)	449	01/01/2044	1
3128MJTH3	RMBS - FH G08551		09/15/2016	Direct	X X X	1,649	1,649	1,758	1,757		0		0		1,757		(108)	(108)	44	10/01/2043	1
3128MJTL4	RMBS - FH G08554		09/15/2016	Direct	X X X	31,833	31,833	32,985	32,969		(12)		(12)		32,957		(1,125)	(1,125)	749	10/01/2043	1
3128MJUB4	RMBS - FH G08577		09/15/2016	Direct	X X X	5,924	5,924	6,335	6,335		7		7		6,343		(418)	(418)	81	03/01/2044	1
3128MJXK1	RMBS - FH G08681		09/15/2016	Direct	X X X	31,215	31,215	32,554	32,510		(43)		(43)		32,510		(1,296)	(1,296)	500	12/01/2045	1
3128MJXX3	FH G08693 - RMBS		09/15/2016	Direct	X X X	4,725	4,725	4,972	4,972		1		1		4,973		(248)	(248)	23	03/01/2046	1
3128MMQ22	RMBS - FH G18472		09/15/2016	Direct	X X X	3,190	3,190	3,300	3,298		(1)		(1)		3,298		(108)	(108)	26	07/01/2028	1
3128MMQT3	RMBS - FH G18465		09/15/2016	Direct	X X X	1,063	1,063	1,088	1,088		(1)		(1)		1,087		(24)	(24)	18	05/01/2028	1
3128MMTS2	RMBS - FH G18560		09/15/2016	Direct	X X X	824	824	837	837		(1)		(1)		836		(11)	(11)	14	07/01/2030	1
3128MMUG6	RMBS - FH G18582		09/15/2016	Direct	X X X	24,760	24,760	25,885	25,885		(32)		(32)		25,853		(1,094)	(1,094)	264	01/01/2031	1
3128PT3P8	RMBS - FH J14406		09/15/2016	Direct	X X X	15,053	15,053	15,932	15,900		(45)		(45)		15,855		(801)	(801)	348	02/01/2026	1
3128PTGQ2	RMBS - FH J13807		09/15/2016	Direct	X X X	1,188	1,188	1,260	1,258		(4)		(4)		1,254		(66)	(66)	28	12/01/2025	1
3128PTJX4	RMBS - FH J13878		09/15/2016	Direct	X X X	40,806	40,806	45,959	44,710		(83)		(83)		44,628		(3,822)	(3,822)	961	01/01/2026	1
3128PUJ29	RMBS - FH J14781		09/15/2016	Direct	X X X	3,968	3,968	4,174	4,166		(8)		(8)		4,166		(198)	(198)	79	03/01/2026	1
3128PWBW7	RMBS - FH J16353		09/15/2016	Direct	X X X	840	840	888	886		(2)		(2)		884		(44)	(44)	19	08/01/2026	1
31292K4Q7	RMBS - FH C03531		09/15/2016	Direct	X X X	469	469	501	501		(1)		(1)		500		(31)	(31)	12	10/01/2040	1
31292SAV6	RMBS - FH C09023		09/15/2016	Direct	X X X	27,420	27,420	28,740	28,740		(9)		(9)		28,731		(1,311)	(1,311)	503	12/01/2042	1
312933WQ3	RMBS - FH A86955		09/15/2016	Direct	X X X	3,673	3,673	3,983	3,983		27		27		4,010		(337)	(337)	96	06/01/2039	1
312936NA1	RMBS - FH A89385		09/15/2016	Direct	X X X	1,447	1,447	1,579	1,577		1		1		1,579		(132)	(132)	43	10/01/2039	1
3129387E7	RMBS - FH A90893		09/15/2016	Direct	X X X	9,086	9,086	9,927	9,766		(23)		(23)		9,743		(658)	(658)	325	01/01/2040	1
312945DS4	RMBS - FH A96413		09/15/2016	Direct	X X X	2,677	2,677	2,854	2,855		(3)		(3)		2,851		(174)	(174)	71	01/01/2041	1
31294KTD7	RMBS - FH E01448		09/15/2016	Direct	X X X	11,342	11,342	18,269	13,527		(513)		(513)		13,014		(1,672)	(1,672)	376	09/01/2018	1
31335AFV5	RMBS - FH G60180		09/15/2016	Direct	X X X	950	950	1,040	1,038		0		0		1,038		(89)	(89)	29	05/01/2042	1
31371LBA6	RMBS - FN 254833		09/26/2016	Direct	X X X	38,500	38,500	59,164	44,573		(1,516)		(1,516)		43,057		(4,557)	(4,557)	1,152	08/01/2018	1
3138A2GR4	RMBS - FN AH1107		09/26/2016	Direct	X X X	33,787	33,787	36,343	36,209		(90)		(90)		36,119		(2,332)	(2,332)	886	12/01/2040	1
3138A4Y58	RMBS - FN AH3431		09/26/2016	Direct	X X X	36,250	36,250	40,076	38,951		(176)		(176)		38,775		(2,525)	(2,525)	851	01/01/2026	1
3138A5AP7	RMBS - FN AH3613		09/26/2016	Direct	X X X	2,641	2,641	2,786	2,786		(6)		(6)		2,780		(138)	(138)	54	01/01/2026	1
3138A7GY8	RMBS - FN AH5614		09/26/2016	Direct	X X X	969	969	1,027	1,025		(4)		(4)		1,021		(52)	(52)	23	02/01/2026	1
3138A8RD0	RMBS - FN AH6783		09/26/2016	Direct	X X X	34,548	34,548	37,000	36,963		(66)		(66)		36,897		(2,350)	(2,350)	940	03/01/2041	1
3138ABBY4	RMBS - FN AH9054		09/26/2016	Direct	X X X	1,128	1,128	1,233	1,231		(1)		(1)		1,230		(102)	(102)	35	04/01/2041	1
3138EQRA9	RMBS - FN AJ7680		09/26/2016	Direct	X X X	3,931	3,931	4,144	4,144		(1)		(1)		4,143		(212)	(212)	48	12/01/2041	1
3138E1K48	RMBS - FN AJ8414		09/26/2016	Direct	X X X	33,894	33,894	38,495	37,965		(9)		(9)		37,966		(4,062)	(4,062)	901	02/01/2042	1
3138E2GH2	RMBS - FN AJ9199		09/26/2016	Direct	X X X	11,727	11,727	13,626	13,406		(81)		(81)		13,325		(1,598)	(1,598)	327	01/01/2042	1
3138E2JY2	RMBS - FN AJ9278		09/26/2016	Direct	X X X	22,545	22,545	23,120	23,076		(20)		(20)		23,056		(511)	(511)	535	12/01/2041	1
3138EHBB7	RMBS - FN AL0933		09/26/2016	Direct	X X X	919	919	1,030	1,029		0		0		1,029		(110)	(110)	30	10/01/2041	1
3138EHSV5	RMBS - FN AL1431		09/26/2016	Direct	X X X	10,147	10,147	11,022	11,010		(12)		(12)		11,010		(863)	(863)	193	11/01/2041	1
3138EHTN2	RMBS - FN AL1456		09/26/2016	Direct	X X X	40,043	40,043	43,253	43,173		(127)		(127)		43,046		(3,003)	(3,003)	1,088	01/01/2042	1
3138EP2C7	RMBS - FN AL7070		09/26/2016	Direct	X X X	12,560	12,560	12,732	12,734		(7)		(7)		12,727		(168)	(168)	250	07/01/2043	1

QE05

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

1	2	3 F o r e i g n	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		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	Contractual Maturity Date	Designation or Market Indicator (a)
3138LWCJ8	RMBS - FN AO5472		09/26/2016	Direct	X X X	18,278	18,278	19,019	19,008		(25)		(25)		18,984		(706)	(706)	433	07/01/2042	1
3138M5LN7	RMBS - FN AP2132		09/26/2016	Direct	X X X	16,771	16,771	17,389	17,388		(18)		(18)		17,370		(599)	(599)	397	08/01/2042	1
3138W9BG4	RMBS - FN AS0038		09/26/2016	Direct	X X X	1,969	1,969	2,021		0			0		2,021		(52)	(52)	11	07/01/2043	1
3138W9GP9	RMBS - FN AS0205		09/26/2016	Direct	X X X	21,575	21,575	21,986			(3)		(3)		21,984		(408)	(408)	265	08/01/2043	1
3138W9CNP4	RMBS - FN AS3097		09/26/2016	Direct	X X X	10,045	10,045	10,444	10,444		(29)		(29)		10,415		(370)	(370)	246	08/01/2044	1
3138WE6X2	RMBS - FN AS5385		09/26/2016	Direct	X X X	61,122	61,122	65,247	65,206		(216)		(216)		64,990		(3,868)	(3,868)	1,664	07/01/2045	1
3138WGA66	RMBS - FN AS6311		09/26/2016	Direct	X X X	21,569	21,569	22,653			(27)		(27)		22,626		(1,057)	(1,057)	198	12/01/2045	1
3138WGLA0	RMBS - FN AS6620		09/26/2016	Direct	X X X	14,406	14,406	15,149			(57)		(57)		15,092		(686)	(686)	267	02/01/2046	1
3138WPG24	RMBS - FN AT2016		09/26/2016	Direct	X X X	19,767	19,767	19,993	19,990		(7)		(7)		19,983		(216)	(216)	402	04/01/2043	1
3138WPJG0	RMBS - FN AT2062		09/26/2016	Direct	X X X	398	398	407			(1)		(1)		406		(8)	(8)	7	04/01/2028	1
3138X3EH1	RMBS - FN AU3735		09/26/2016	Direct	X X X	610	610	615		0			0		615		(5)	(5)	12	08/01/2043	1
3138X3EJ7	RMBS - FN AU3736		09/26/2016	Direct	X X X	21,472	21,472	21,337	18,708		0		0		21,344		128	128	427	08/01/2043	1
3138YAGT6	RMBS - FN AX8309		09/26/2016	Direct	X X X	28,959	28,959	30,053	30,022		(73)		(73)		29,950		(991)	(991)	584	11/01/2029	1
31402Q3J8	RMBS - FN 735301		09/26/2016	Direct	X X X	13,087	13,087	9,788	11,887		85		85		11,972		1,115	1,115	348	03/01/2020	1
31402QYH8	RMBS - FN 735212		09/26/2016	Direct	X X X	2,742	2,742	3,036		5			5		3,041		(298)	(298)	80	12/01/2034	1
31402RDD8	RMBS - FN 735500		09/26/2016	Direct	X X X	514	514	584	583		(1)		(1)		582		(68)	(68)	19	05/01/2035	1
31402RP29	RMBS - FN 735841		09/26/2016	Direct	X X X	10,584	10,584	13,729	11,718		(213)		(213)		11,505		(921)	(921)	316	11/01/2019	1
31410LHC9	RMBS - FN 890427		09/26/2016	Direct	X X X	25,543	25,543	26,580	26,565		(14)		(14)		26,552		(1,009)	(1,009)	608	04/01/2042	1
31410LHW5	RMBS - FN 890445		09/26/2016	Direct	X X X	16,223	16,223	17,403	17,343		(40)		(40)		17,303		(1,081)	(1,081)	433	07/01/2042	1
31416BTH1	RMBS - FN 995252		09/26/2016	Direct	X X X	1,305	1,305	1,882			(30)		(30)		1,590		(285)	(285)	44	12/01/2023	1
31416BTHW8	RMBS - FN 995265		09/26/2016	Direct	X X X	1,588	1,588	2,269	2,024		(39)		(39)		1,985		(397)	(397)	59	01/01/2024	1
31416M3A0	RMBS - FN AA4392		09/26/2016	Direct	X X X	3,238	3,238	3,478		6			6		3,484		(246)	(246)	43	04/01/2039	1
31416WL91	RMBS - FN AB1251		09/26/2016	Direct	X X X	23,904	23,904	30,018	29,151		(130)		(130)		29,020		(5,117)	(5,117)	799	07/01/2040	1
31416XPB4	RMBS - FN AB1845		09/26/2016	Direct	X X X	12,070	12,070	13,848			(37)		(37)		13,544		(1,474)	(1,474)	327	11/01/2040	1
31416YL G1	RMBS - FN AB3026		09/26/2016	Direct	X X X	9,919	9,919	10,764	10,643		(30)		(30)		10,614		(695)	(695)	262	05/01/2041	1
31417ARG6	RMBS - FN AB4086		09/26/2016	Direct	X X X	703	703	733	732		(2)		(2)		731		(28)	(28)	14	12/01/2026	1
31417CVM4	RMBS - FN AB6019		09/26/2016	Direct	X X X	723	723	753	752		(1)		(1)		752		(29)	(29)	17	08/01/2042	1
31417TNK0	RMBS - FN AC6693		09/26/2016	Direct	X X X	13,322	13,322	16,127	15,739		(6)		(6)		15,734		(2,411)	(2,411)	407	01/01/2040	1
31417VN66	RMBS - FN AC8512		09/26/2016	Direct	X X X	3,106	3,106	3,372		8			8		3,381		(275)	(275)	82	12/01/2039	1
31417Y2Y2	RMBS - FN MA0790		09/26/2016	Direct	X X X	13,360	13,360	15,845	15,503		(44)		(44)		15,459		(2,098)	(2,098)	404	07/01/2041	1
31417Y5Z6	RMBS - FN MA0863		09/26/2016	Direct	X X X	18,603	18,603	20,391	20,365		(25)		(25)		20,339		(1,736)	(1,736)	561	10/01/2041	1
31417YQQ3	RMBS - FN MA0462		09/26/2016	Direct	X X X	5,823	5,823	7,026	6,644		(52)		(52)		6,592		(769)	(769)	166	07/01/2025	1
31418ACM8	FN MA0975 - RMBS		09/26/2016	Direct	X X X	30,535	30,535	32,329		16			16		32,345		(1,810)	(1,810)	133	02/01/2042	1
31418QPK3	RMBS - FN AD3125		09/26/2016	Direct	X X X	9,133	9,133	10,828	10,597		(15)		(15)		10,582		(1,449)	(1,449)	281	05/01/2040	1
31418VUT7	RMBS - FN AD7793		09/26/2016	Direct	X X X	9,672	9,672	11,431		46			46		11,166		(1,493)	(1,493)	286	07/01/2040	1
31419AG27	RMBS - FN AE0216		09/26/2016	Direct	X X X	22,283	22,283	23,670	23,666		(21)		(21)		23,645		(1,362)	(1,362)	596	08/01/2040	1
31419FFW1	RMBS - FN AE4680		09/26/2016	Direct	X X X	3,880	3,880	4,317	4,253		(19)		(19)		4,234		(354)	(354)	107	11/01/2040	1
3199999 Subtotal - Bonds - U.S. Special Revenue, Special Assessment					X X X	1,106,178	1,106,178	1,219,112	937,465		(4,600)		(4,600)		1,183,709		(77,531)	(77,531)	25,680	X X X	X X X
Bonds - Industrial and Miscellaneous (Unaffiliated)																					
05578XAC2	ABS - BMWOT 13A A3		09/26/2016	Direct	X X X	30,205	30,205	30,204	30,246		(24)		(24)		30,222		(17)	(17)	134	11/27/2017	1FE
17305EFC4	ABS - CCCIT 13A3 A3		07/22/2016	Direct	X X X	500,000	500,000	499,900	499,948		52		52		500,000				5,550	07/23/2018	1FE
19458LAU4	COELT 04A1 A3 - ABS		09/28/2016	Direct	X X X	24,999	24,999	23,867	24,153		379		379		24,531		468	468	158	09/28/2026	1FE
34530PAD4	ABS - FORDO 14C A3		09/15/2016	Direct	X X X	23,573	23,573	23,570		1			1		23,571		2	2	167	05/15/2019	1FE
427866AP3	HERSHEY CO		09/01/2016	Maturity	X X X	150,000	150,000	157,680	154,697		(4,697)		(4,697)		150,000				8,175	09/01/2016	1FE
42809HAB3	HESS CORP		09/28/2016	Unknown	X X X	11,546	10,000		11,583		(364)		(364)		11,219		327	327	910	02/15/2019	2FE
43814JAC8	ABS - HAROT 144 A3	R	09/15/2016	Direct	X X X	39,190	39,190	39,183	39,185		2		2		39,187		3	3	258	09/17/2018	1FE
44890QAC7	ABS - HART 13C A3	R	09/15/2016	Direct	X X X	61,751	61,751	61,740	61,746		3		3		61,749		3	3	414	02/15/2018	1FE
45920GX3	INTERNATIONAL BUSINESS MACHINES CORP		07/22/2016	Maturity	X X X	875,000	875,000	906,184	878,890		(3,890)		(3,890)		875,000				17,063	07/22/2016	1FE
477877AD6	ABS - JDOT 14B A3		09/15/2016	Direct	X X X	49,693	49,693	49,682	49,685		3		3		49,688		5	5	354	11/15/2018	1FE
539830AX7	LOCKHEED MARTIN CORP		09/15/2016	Maturity	X X X	500,000	500,000	506,125	503,826		(3,826)		(3,826)		500,000				10,625	09/15/2016	2FE
565849AL0	MARATHON OIL CORP		09/15/2016	VARIOUS	X X X	383,828	410,000	370,222	370,915		2,294		2,294		373,209		10,619	10,619	12,201	06/01/2025	2FE
779382AP5	ROWAN CO INC		07/20/2016	DEUTSCHE BANC ALEX. BROWN INST	X X X	201,410	220,000	238,867	233,182		(1,078)		(1,078)		232,104		(30,694)	(30,694)	6,971	06/01/2022	3FE
92867RAC3	ABS - VALET 141 A3	R	09/20/2016	Direct	X X X	39,297	39,297	39,289	39,292		1		1		39,293		4	4	238	10/22/2018	1FE
3899999 Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					X X X	2,890,491	2,933,707	2,958,299	2,920,918		(11,145)		(11,145)		2,909,773		(19,282)	(19,282)	63,218	X X X	X X X
8399997 Subtotal - Bonds - Part 4					X X X	6,160,272	6,193,569	6,365,996	6,015,783		(24,919)		(24,919)		6,254,693		(94,421)	(94,421)	117,997	X X X	X X X
8399998 Summary Item from Part 5 for Bonds (N/A to Quarterly)					X X X	X X X	X X X	X X X	X X X		X X X		X X X		X X X		X X X	X X X	X X X	X X X	X X X
8399999 Subtotal - Bonds					X X X	6,160,272	6,193,569	6,365,996	6,015,783		(24,919)		(24,919)		6,254,693		(94,421)	(94,421)	117,997	X X X	X X X
8999998 Summary Item from Part 5 for Preferred Stocks (N/A to Quarterly)					X X X	X X X	X X X	X X X	X X X		X X X		X X X		X X X		X X X	X X X	X X X	X X X	X X X



**SCHEDULE D - PART 4**  
**Show All Long-Term Bonds and Stocks Sold, Redeemed or Otherwise Disposed of**  
**During the Current Quarter**

QE05.2

1	2	3 F o r e i g n	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		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)
<b>Common Stocks - Industrial and Miscellaneous (Unaffiliated)</b>																					
02079K305	ALPHABET CL A ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	10.000	7,903	X X X	6,835	7,780	(945)			(945)		6,835		1,068	1,068		X X X	L
026874784	AMERICAN INTERNATIONAL GROUP ORD		09/29/2016	SUNGARD BROKERAGE AND SECURITIES	25.000	1,454	X X X	1,369	1,549	(180)			(180)		1,369		85	85	24	X X X	L
037833100	APPLE ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	190.000	21,297	X X X	17,952	19,999	(2,047)			(2,047)		17,952		3,344	3,344	315	X X X	L
09247X101	BLACKROCK ORD		09/23/2016	SUNGARD BROKERAGE AND SECURITIES	10.000	3,611	X X X	3,102	3,405	(304)			(304)		3,102		509	509	69	X X X	L
110122108	BRISTOL MYERS SQUIBB ORD		09/14/2016	CONVERGEX	370.000	20,431	X X X	23,190	25,452	(2,263)			(2,263)		23,190		(2,759)	(2,759)	441	X X X	L
14040H105	CAPITAL ONE FINANCIAL ORD		07/26/2016	ISI GROUP INC.	560.000	37,889	X X X	42,656	36,090	2,642			2,642		42,656		(4,767)	(4,767)	448	X X X	L
17275R102	CISCO SYSTEMS ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	125.000	3,874	X X X	2,994	3,394	(401)			(401)		2,994		880	880	91	X X X	L
172967424	CITIGROUP ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	125.000	5,861	X X X	5,970	6,469	(499)			(499)		5,970		(109)	(109)	33	X X X	L
177376100	CITRIX SYSTEMS ORD		09/14/2016	CONVERGEX	509.000	42,336	X X X	31,755	33,967	(6,257)			(6,257)		31,755		10,581	10,581		X X X	L
30303M102	FACEBOOK CL A ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	90.000	11,482	X X X	7,062	9,419	(2,358)			(2,358)		7,062		4,420	4,420		X X X	L
344849104	FOOT LOCKER ORD		07/29/2016	ABEL NOSER CORPORATION	750.000	43,365	X X X	35,764	48,818	(13,054)			(13,054)		35,764		7,601	7,601	600	X X X	L
345370860	FORD MOTOR ORD		09/01/2016	CONVERGEX	4,075.000	50,136	X X X	62,827	41,213	5,912			5,912		62,827		(12,691)	(12,691)	2,220	X X X	L
369604103	GENERAL ELECTRIC ORD		09/14/2016	CONVERGEX	1,104.000	33,330	X X X	28,690	34,390	(5,700)			(5,700)		28,690		4,640	4,640	762	X X X	L
427866108	HERSHEY FOODS ORD		07/14/2016	CONVERGEX	470.000	50,872	X X X	43,146							43,146		7,726	7,726	274	X X X	L
458140100	INTEL ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	350.000	12,443	X X X	9,589	12,058	(2,469)			(2,469)		9,589		2,854	2,854	273	X X X	L
46625H100	JPMORGAN CHASE ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	100.000	6,642	X X X	5,660	6,603	(943)			(943)		5,660		982	982	136	X X X	L
58933Y105	MERCK & CO ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	50.000	3,071	X X X	2,745	2,641	104			104		2,745		326	326	69	X X X	L
59156R108	METLIFE ORD		09/13/2016	CONVERGEX	775.000	31,322	X X X	41,081	37,363	3,718			3,718		41,081		(9,759)	(9,759)	911	X X X	L
595017104	MICROCHIP TECHNOLOGY ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	200.000	11,837	X X X	8,827	9,308	(481)			(481)		8,827		3,009	3,009	216	X X X	L
654106103	NIKE CL B ORD		09/14/2016	VARIOUS	710.000	39,531	X X X	36,790	29,375	(7,013)			(7,013)		36,790		2,741	2,741	368	X X X	L
68389X105	ORACLE ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	125.000	5,024	X X X	4,805	4,566	238			238		4,805		219	219	56	X X X	L
744320102	PRUDENTIAL FINANCIAL ORD		09/15/2016	SUNGARD BROKERAGE AND SECURITIES	75.000	5,955	X X X	6,284	6,106	178			178		6,284		(329)	(329)	158	X X X	L
747525103	QUALCOMM ORD		09/21/2016	SUNGARD BROKERAGE AND SECURITIES	120.000	7,387	X X X	7,573	5,998	1,575			1,575		7,573		(186)	(186)	185	X X X	L
806857108	SCHLUMBERGER ORD	R	07/08/2016	Adjustment			X X X												5	X X X	L
863667101	STRYKER ORD		09/01/2016	SUNGARD BROKERAGE AND SECURITIES	150.000	6,537	X X X	6,216	6,426	(210)			(210)		6,216		321	321	111	X X X	L
867914103	SUNTRUST BANKS ORD		09/15/2016	SUNGARD BROKERAGE AND SECURITIES	30.000	4,408	X X X	3,439	4,256	(816)			(816)		3,439		969	969	14	X X X	L
883556102	THERMO FISHER SCIENTIFIC ORD		09/14/2016	VARIOUS	237.000	42,320	X X X	34,651	35,702	(1,051)			(1,051)		34,651		7,669	7,669	789	X X X	L
88579Y101	3M ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	50.000	4,626	X X X	4,910	3,910	1,000			1,000		4,910		(284)	(284)	83	X X X	L
907818108	UNION PACIFIC ORD		09/30/2016	SUNGARD BROKERAGE AND SECURITIES	50.000	5,083	X X X	5,477	4,804	674			674		5,477		(394)	(394)	98	X X X	L
913017109	UNITED TECHNOLOGIES ORD		09/14/2016	JP MORGAN SECURITIES INC.	790.000	44,553	X X X	48,685	51,618	(7,227)			(7,227)		48,685		(4,132)	(4,132)	1,422	X X X	L
92343V104	VERIZON COMMUNICATIONS ORD		09/06/2016	SUNGARD BROKERAGE AND SECURITIES	604.000	32,332	X X X	29,668	27,917	1,751			1,751		29,668		2,664	2,664	1,024	X X X	L
92532F100	VERTEX PHARMACEUTICALS ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	30.000	2,689	X X X	3,844	3,775	69			69		3,844		(1,155)	(1,155)		X X X	L
92939U106	WEC ENERGY GROUP ORD		09/01/2016	VARIOUS	840.000	50,538	X X X	38,248	43,100	(4,852)			(4,852)		38,248		12,290	12,290	1,247	X X X	L
931142103	WAL MART STORES ORD		09/14/2016	SUNGARD BROKERAGE AND SECURITIES	50.000	3,575	X X X	2,972	3,065	(93)			(93)		2,972		604	604	75	X X X	L
G0177J108	ALLERGAN ORD	R	09/14/2016	SUNGARD BROKERAGE AND SECURITIES	20.000	4,895	X X X	4,940							4,940		(44)	(44)		X X X	L
G29183103	EATON ORD	R	09/14/2016	SUNGARD BROKERAGE AND SECURITIES	110.000	6,914	X X X	6,927							6,927		(13)	(13)	125	X X X	L

**SCHEDULE D - PART 4**  
**Show All Long-Term Bonds and Stocks Sold, Redeemed or Otherwise Disposed of**  
**During the Current Quarter**

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	F o r e i g n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11 + 12 - 13)	Total Foreign Exchange Change in B./A.C.V.	Book/ Adjusted Carrying Value at Disposal Date	Foreign 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)
G491BT108 .	INVESCO ORD . . . . .	...	09/14/2016	SUNGARD BROKERAGE																	
H1467J104 .	CHUBB ORD . . . . .	F	07/26/2016	AND SECURITIES CONVERGEX . . . . .	125,000 110,000	3,790 14,075	X X X X X X	4,405 11,761	4,185 12,854	220 (1,093)			220 (1,093)		4,405 11,761		(615) 2,314	(615) 2,314	104 194	X X X X X X	L L
9099999 Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated)					X X X	683,387	X X X	642,808	587,575	(42,172)			(42,172)		642,808		40,579	40,579	12,956	X X X	X X X
9799997 Subtotal - Common Stocks - Part 4					X X X	683,387	X X X	642,808	587,575	(42,172)			(42,172)		642,808		40,579	40,579	12,956	X X X	X X X
9799998 Summary Item from Part 5 for Common Stocks (N/A to Quarterly)					X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X
9799999 Subtotal - Common Stocks					X X X	683,387	X X X	642,808	587,575	(42,172)			(42,172)		642,808		40,579	40,579	12,956	X X X	X X X
9899999 Subtotal - Preferred and Common Stocks					X X X	683,387	X X X	642,808	587,575	(42,172)			(42,172)		642,808		40,579	40,579	12,956	X X X	X X X
9999999 Total - Bonds, Preferred and Common Stocks					X X X	6,843,659	X X X	7,008,804	6,603,357	(42,172)	(24,919)		(67,090)		6,897,501		(53,842)	(53,842)	130,954	X X X	X X X

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

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

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

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

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

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

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

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

**SCHEDULE E - PART 1 - CASH**

**Month End Depository Balances**

1			2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
					Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date	6	7	8	
Depository			Code	Rate of Interest			First Month	Second Month	Third Month	*
<b>open depositories</b>										
PNC Bank .....	.....	.....	.....	.....	.....	.....	436,169	127,589	521,354	X X X
Regions Bank .....	.....	.....	.....	.....	.....	.....	25,226	25,226	25,226	X X X
0199998 Deposits in .....0 depositories that do not exceed the allowable limit in any one depository (see Instructions) - open depositories ..			X X X	... X X X ..	.....	.....	.....	.....	.....	X X X
0199999 Totals - Open Depositories .....			X X X	... X X X ..	.....	.....	461,395	152,815	546,580	X X X
0299998 Deposits in .....0 depositories that do not exceed the allowable limit in any one depository (see Instructions) - suspended depositories .....										
.....			X X X	... X X X ..	.....	.....	.....	.....	.....	X X X
0299999 Totals - Suspended Depositories .....			X X X	... X X X ..	.....	.....	.....	.....	.....	X X X
0399999 Total Cash On Deposit .....			X X X	... X X X ..	.....	.....	461,395	152,815	546,580	X X X
0499999 Cash in Company's Office .....			X X X	... X X X ..	X X X	... X X X ..	.....	.....	.....	X X X
0599999 Total Cash .....			X X X	... X X X ..	.....	.....	461,395	152,815	546,580	X X X

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

Show Investments Owned End of Current Quarter

1	2	3	4	5	6	7	8
Description	Code	Date Acquired	Rate of Interest	Maturity Date	Book/Adjusted Carrying Value	Amount of Interest Due & Accrued	Amount Received During Year
7799999 Subtotals - Bonds - Total Bonds - Issuer Obligations .....					.....	.....	.....
7899999 Subtotals - Bonds - Total Bonds - Residential Mortgage-Backed Securities .....					.....	.....	.....
7999999 Subtotals - Bonds - Total Bonds - Commercial Mortgage-Backed Securities .....					.....	.....	.....
8099999 Subtotals - Bonds - Total Bonds - Other Loan-Backed and Structured Securities .....					.....	.....	.....
8399999 Subtotals - Bonds - Total Bonds .....					.....	.....	.....
<b>Sweep Accounts</b>							
PNC PREMIUM BUSINESS MONEY MARKET .....		09/30/2016 .....	0.000 .....		50 .....		1,524 .....
REGIONS TRUST CASH SWEEP .....			0.000 .....				75 .....
8499999 Sweep Accounts .....					50 .....		1,599 .....
8599999 Other Cash Equivalents .....					.....	.....	.....
8699999 Total - Cash Equivalents .....					50 .....		1,599 .....



Designate the type of health care  
providers reported on this page:

Physicians, including surgeons and osteopaths

**SUPPLEMENT "A" TO SCHEDULE T**  
**EXHIBIT OF MEDICAL PROFESSIONAL LIABILITY PREMIUMS WRITTEN**  
**ALLOCATED BY STATES AND TERRITORIES**

		1	2	Direct Losses Paid		5	Direct Losses Unpaid		8
				3	4		6	7	
States, Etc.		Direct Premiums Written	Direct Premiums Earned	Amount	Number of Claims	Direct Losses Incurred	Amount Reported	Number of Claims	Direct Losses Incurred but not Reported
1.	Alabama (AL) .....								
2.	Alaska (AK) .....								
3.	Arizona (AZ) .....								
4.	Arkansas (AR) .....								
5.	California (CA) .....								
6.	Colorado (CO) .....								
7.	Connecticut (CT) .....								
8.	Delaware (DE) .....								
9.	District of Columbia (DC) .....								
10.	Florida (FL) ..... 4,625,608	4,625,608	4,081,513	1,932,500	18	199,004	2,787,000	68	3,085,276
11.	Georgia (GA) .....								
12.	Hawaii (HI) .....								
13.	Idaho (ID) .....								
14.	Illinois (IL) .....								
15.	Indiana (IN) ..... 14,760	14,760	10,107			2,490			2,490
16.	Iowa (IA) .....								
17.	Kansas (KS) .....								
18.	Kentucky (KY) ..... 2,028,054	2,028,054	2,024,959	940,000	3	219,387	3,720,000	57	1,656,702
19.	Louisiana (LA) .....								
20.	Maine (ME) .....								
21.	Maryland (MD) .....								
22.	Massachusetts (MA) .....								
23.	Michigan (MI) .....								
24.	Minnesota (MN) .....								
25.	Mississippi (MS) .....								
26.	Missouri (MO) .....								
27.	Montana (MT) .....								
28.	Nebraska (NE) .....								
29.	Nevada (NV) .....								
30.	New Hampshire (NH) .....								
31.	New Jersey (NJ) .....								
32.	New Mexico (NM) .....								
33.	New York (NY) .....								
34.	North Carolina (NC) .....								
35.	North Dakota (ND) .....								
36.	Ohio (OH) ..... 3,664,065	3,664,065	3,915,102	950,000	3	(517,540)	3,029,000	62	1,975,607
37.	Oklahoma (OK) .....								
38.	Oregon (OR) .....								
39.	Pennsylvania (PA) .....								
40.	Rhode Island (RI) .....								
41.	South Carolina (SC) .....								
42.	South Dakota (SD) .....								
43.	Tennessee (TN) .....								
44.	Texas (TX) .....								
45.	Utah (UT) .....								
46.	Vermont (VT) .....								
47.	Virginia (VA) .....								
48.	Washington (WA) .....								
49.	West Virginia (WV) .....								
50.	Wisconsin (WI) .....								
51.	Wyoming (WY) .....								
52.	American Samoa (AS) .....								
53.	Guam (GU) .....								
54.	Puerto Rico (PR) .....								
55.	U.S. Virgin Islands (VI) .....								
56.	Northern Mariana Islands (MP) .....								
57.	Canada (CAN) .....								
58.	Aggregate other alien (OT) .....								
59.	Totals .....	10,332,487	10,031,681	3,822,500	24	(96,659)	9,536,000	187	6,720,075
DETAILS OF WRITE-INS									
58001.	.....								
58002.	.....								
58003.	.....								
58998.	Summary of remaining write-ins for Line 58 from overflow page .....								
58999.	TOTALS (Lines 5801 through 5803 plus 5898) (Line 58 above) .....								

**Supp5   Sup. A To T - Hospitals ..... NONE**

**Supp5   Sup. A To T - Other Healthcare Professionals ..... NONE**

**Supp5   Sup. A To T - Other Healthcare Facilities ..... NONE**

**INDEX TO PROPERTY & CASUALTY  
QUARTERLY STATEMENT**

Accident and Health Insurance; Q3; Q13
Accounting Changes and Corrections of Errors; Q6, Note 2
Accounting Practices and Policies; Q6, Note 1
Admitted Assets; Q2; QSI01
Affiliated Transactions; Q2; Q3; Q7; Q7.1
Asbestos Losses and Loss Adjustment Expenses; Q6, Note 33
Bonds; Q2; Q5; Q7.1; Q7.2; QSI01; QSI02; QE04; QE05; QSupp2
Business Combinations and Goodwill; Q6, Note 3
Capital Gains (Losses); Q3; Q4; Q5
Capital Stock; Q3; Q4; Q6, Note 13
Capital Notes; Q3; Q5; Q6, Note 11
Caps; QE06; QSI04
Cash; Q2; Q5; QE12; QSupp2
Cash Equivalents; Q2; Q5; QE13
Collars; QE06; QSI04
Commissions; Q3; Q5
Common Stock; Q2; Q7.1; Q7.2; QSI01; QE04; QE05; QSupp2
Counterparty Exposure; Q6, Note 8; QE06; QE08
Contingencies; Q6, Note 14
Debt; Q6, Note 11
Deferred Compensation; Q6, Note 12
Derivative Instruments; Q6, Note 8; QSI04; QSI05; QSI06; QSI07; QE06; QE07; QE08
Director and Officer; QSupp7
Discontinued Operations; Q6, Note 4
Discounting of Liabilities; Q6, Note 32; Q8
Electronic Data Processing Equipment; Q2
Environmental Losses and Loss Adjustment Expenses; Q6, Note 33
Exchange or Counterparty; QE06; QE08
Expenses; Q3; Q4; Q5; Q8; QE01; QSupp3
Extinguishment of Liabilities; Q6, Note 17
Extraordinary Items; Q6, Note 21
Fair Value; Q7, Note 20
Federal ID Number; Q9
Federal Reserve Board; Q7
Finance and Service Charge; Q4
Floors; QE06; QSI04
Foreign Exchange; Q2; Q3; Q4; QSI01; QSI02; QSI03; QE04; QE05
Forwards; QE06; QSI04
Futures Contracts; QE07; QSI04
Guaranty Fund; Q2
Health Care Receivables; Q6, Note 28
Hedging Transactions; Q7.1; QE06; QE07
High Deductible Policies; Q6, Note 31
Holding Company; Q7; Q11; Q12
Income Generation Transactions; QE06;QE07
Income Taxes; Q2; Q3; Q4; Q5; Q6, Note 9
Intercompany Pooling; Q6, Note 26
Investment Income; Q2; Q4; Q5; Q6, Note 7; QSupp2
Investments; Q2; Q4; Q6, Note 5; Q7.1; Q7.2; QSI01; QSI03; QE03; QE04; QE05; QE08; QE13; QSupp2
Joint Venture; Q6, Note 6
Leases; Q6, Note 15
Licensing; Q3; Q7; Q10
Limited Liability Company (LLC); Q6, Note 6
Limited Partnership; Q6, Note 6
Lines of Business; Q8; Q13
Long-Term Invested Assets; QSI01; QE03
Loss Development; Q6
Losses; Q3; Q4; Q5; Q6, Note 25; Q8; Q10; Q13; Q14; QSupp1; QSupp3
Loss Adjustment Expenses; Q3; Q6, Note 26; Q8; Q14; QSupp3
Managing General Agents; Q6, Note 19; Q7
Medical Malpractice Insurance; Q13; Q15; QSupp5
Medicare Part D Coverage; QSupp6
Mortgage Loans; Q2; Q5; Q7.1; QSI01; QE02; QSupp2
Multiple Peril Crop Insurance; Q6, Note 35
Nonadmitted Assets; Q2; Q4; QSI01; QSI03
Non-Tabular Discount; Q6, Note 32
Off-Balance Sheet Risk; Q6, Note 16



**INDEX TO PROPERTY & CASUALTY  
QUARTERLY STATEMENT**

Options; Q7.1; QE06; QSI04

Organizational Chart; Q7; Q11

Other Derivative Transactions; QE06; QE07

Parent, Subsidiaries and Affiliates; Q2; Q3; Q6, Note 10; Q7.1

Participating Policies; Q6, Note 29

Pharmaceutical Rebates; Q6, Note 28

Policyholder Dividends; Q3; Q4; Q5

Postemployment Benefits; Q6, Note 12

Postretirement Benefits; Q6, Note 12

Preferred Stock; Q2; Q7.1; Q7.2; QSI01; QSI02; QE04; QSupp2

Premium Deficiency Reserves; Q6, Note 30

Premium Notes; Q2; Q5

Premiums; Q3; Q5; Qsupp3

    Accrued Retrospective; Q2

    Advance; Q3

    Direct; Q10; Q13

    Earned; Q4; Q10; Q13; QSupp5

    Earned but Unbilled; Q2

    Unearned; Q3

    Written; Q4; Q10; Q13; QSupp5

Quasi Reorganizations; Q6, Note 13

Real Estate; Q2; Q5; Q7.1; QSI01; QE01; QSupp2

Redetermination, Contract Subject to; Q6, Note 24

Reinsurance; Q6, Note 23

    Assumed; Q13

    Ceded; Q3; Q9; QSupp3

    Commutation; Q6, Note 23

    Funds Held; Q2; Q3

    Losses; Q3; Q4; Q8; QSupp3

    Payable; Q3; QSupp3

    Premiums; Q3; QSupp3

    Receivable; Q2; QSupp3

    Unsecured; Q6, Note 23

    Uncollectible; Q6, Note 23

Reserves

    Incurred but Not Reported (IBNR); Q8; Q14

    Unpaid Loss Adjustment Expense (LAE); Q14

Retirement Plans; Q6, Note 12

Retrospectively Rated Contracts; Q6, Note 24

Salvage and Subrogation; Q10

Securities Lending; Q2; Q3; QE9; QE11

Servicing of Financial Assets; Q6, Note 17

Short-Term Investments; Q2; Q5; Q7.1; QSI03; QSupp2

Special Deposits; QSupp2

Stockholder Dividends; Q3; Q4; Q5

Structured Settlements; Q6, Note 27

Subscriber Savings Accounts; Q6, Note 34

Subsequent Events; Q6, Note 22

Surplus; Q3; Q4; Q5; Q6, Note 13; Q14; Q15; QSupp1; QSupp2; QSupp3

Surplus Notes; Q3; Q4; Q5

Swaps; QE07; QSI04

Synthetic Assets; QSI04; QSI05

Tabular Discount; Q6, Note 32

Third Party Administrator; Q6, Note 19; Q7

Treasury Stock; Q3; Q4; Q5

Underwriting Expenses; Q4

Uninsured Accident and Health; Q3; Q6, Note 18

Valuation Allowance; QSI01

Wash Sales; Q6, Note 17