



QUARTERLY STATEMENT

As of September 30, 2016
of the Condition and Affairs of the

Alliance Of Transylvanian Saxons

NAIC Group Code..... 0, 0
(Current Period) (Prior Period)

NAIC Company Code..... 56197

Employer's ID Number..... 34-0138510

Organized under the Laws of Ohio
Incorporated/Organized..... August 31, 1902

State of Domicile or Port of Entry Ohio
Commenced Business..... August 31, 1902

Country of Domicile US

Statutory Home Office

5393 Pearl Road..... Cleveland OH US 44129-1597
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office

5393 Pearl Road..... Cleveland OH US 44129-1597
(Street and Number) (City or Town, State, Country and Zip Code)

440-842-8442
(Area Code) (Telephone Number)

Mail Address

5393 Pearl Road..... Cleveland OH US 44129-1597
(Street and Number or P. O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records

5393 Pearl Road..... Cleveland OH US 44129-1597
(Street and Number) (City or Town, State, Country and Zip Code)

440-842-8442
(Area Code) (Telephone Number)

Internet Web Site Address

http://www.atsaxons.com

Statutory Statement Contact

Denise Aeling Crawford
(Name)
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(E-Mail Address)

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(Area Code) (Telephone Number) (Extension)
440-842-5442
(Fax Number)

OFFICERS

Name	Title	Name	Title
1. Joan Annette Miller-Malue #	President	2. Monica Frances Gilles #	Secretary
3. Denise Aeling Crawford	Treasurer	4. Heidorn Consulting, Inc.	Consulting Actuary

OTHER

Robert Burns Cunningham, III John Boehm, Jr.	First Vice President Third Vice President	Monica Marie Weber #	Second Vice President
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DIRECTORS OR TRUSTEES

John Boehm Jr. Peter Karsti, II Jacob F. Spor	Denise Aeling Crawford Joan Annette Miller-Malue Monica Marie Weber	Robert Burns Cunningham, III Monica Frances Gilles # Randall B. Floyd	Hanz G. Hermann Barbara A. Spack
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State of..... Ohio
County of..... Cuyahoga

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)
Joan Annette Miller-Malue
1. (Printed Name)
President
(Title)

(Signature)
Monica Frances Gilles
2. (Printed Name)
Secretary
(Title)

(Signature)
Denise Aeling Crawford
3. (Printed Name)
Treasurer
(Title)

Subscribed and sworn to before me
This _____ day of _____

a. Is this an original filing?
b. If no: 1. State the amendment number
2. Date filed
3. Number of pages attached

Yes [X] No []

ASSETS

	Current Statement Date			4
	1	2	3	December 31 Prior Year Net Admitted Assets
	Assets	Nonadmitted Assets	Net Admitted Assets (Cols. 1 - 2)	
1. Bonds.....	67,682,341		67,682,341	67,113,980
2. Stocks:				
2.1 Preferred stocks.....			0	
2.2 Common stocks.....	1,179,419		1,179,419	1,072,234
3. Mortgage loans on real estate:				
3.1 First liens.....			0	
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....	7,950		7,950	7,950
4.2 Properties held for the production of income (less \$.....0 encumbrances).....			0	
4.3 Properties held for sale (less \$.....0 encumbrances).....			0	
5. Cash (\$.....52,271), cash equivalents (\$.....0) and short-term investments (\$.....14,814,485).....	14,866,756		14,866,756	13,973,457
6. Contract loans (including \$.....0 premium notes).....	162,764		162,764	164,350
7. Derivatives.....			0	
8. Other invested assets.....	2,082,619		2,082,619	2,082,619
9. Receivables for securities.....			0	
10. Securities lending reinvested collateral assets.....			0	
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	85,981,849	0	85,981,849	84,414,590
13. Title plants less \$.....0 charged off (for Title insurers only).....			0	
14. Investment income due and accrued.....	1,155,085		1,155,085	1,104,167
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....			0	
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....	3,967		3,967	3,927
15.3 Accrued retrospective premiums (\$.....0) and contracts subject to redetermination (\$.....0).....			0	
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers.....			0	
16.2 Funds held by or deposited with reinsured companies.....			0	
16.3 Other amounts receivable under reinsurance contracts.....			0	
17. Amounts receivable relating to uninsured plans.....			0	
18.1 Current federal and foreign income tax recoverable and interest thereon.....			0	
18.2 Net deferred tax asset.....			0	
19. Guaranty funds receivable or on deposit.....			0	
20. Electronic data processing equipment and software.....	11,545		11,545	11,545
21. Furniture and equipment, including health care delivery assets (\$.....0).....			0	
22. Net adjustment in assets and liabilities due to foreign exchange rates.....			0	
23. Receivables from parent, subsidiaries and affiliates.....			0	
24. Health care (\$.....0) and other amounts receivable.....	21,480		21,480	13,398
25. Aggregate write-ins for other than invested assets.....	535,786	535,786	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	87,709,712	535,786	87,173,926	85,547,627
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			0	
28. Total (Lines 26 and 27).....	87,709,712	535,786	87,173,926	85,547,627

DETAILS OF WRITE-INS

1101.			0	
1102.			0	
1103.			0	
1198. Summary of remaining write-ins for Line 11 from overflow page.....	0	0	0	0
1199. Totals (Lines 1101 thru 1103 plus 1198) (Line 11 above).....	0	0	0	0
2501. Retirement Funds.....	535,711	535,711	0	
2502. Deposit.....	75	75	0	
2503.			0	
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	535,786	535,786	0	0

Alliance Of Transylvanian Saxons

LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31 Prior Year
1. Aggregate reserve for life contracts (including \$.....0 Modco Reserve).....66,819,75165,691,717
2. Aggregate reserve for accident and health contracts (including \$.....0 Modco Reserve).....
3. Liability for deposit-type contracts (including \$.....0 Modco Reserve).....7,996,7868,476,688
4. Contract claims:		
4.1 Life.....1,775,2611,406,548
4.2 Accident and health.....
5. Refunds due and unpaid.....
6. Provisions for refunds payable in following calendar year - estimated amounts:		
6.1 Apportioned for payment.....
6.2 Not yet apportioned.....55,00055,000
7. Premiums and annuity considerations for life and accident and health contracts received in advance less \$.....0 discount; including \$.....0 accident and health premiums.....2,7261,585
8. Certificate and contract liabilities not included elsewhere:		
8.1 Surrender values on canceled contracts.....
8.2 Other amounts payable on reinsurance including \$.....0 assumed and \$.....0 ceded.....
8.3 Interest maintenance reserve (IMR).....87,728108,092
9. Commissions to fieldworkers due or accrued - life and annuity contracts \$.....0, accident and health \$.....0 and deposit-type contract funds \$.....0.....232340
10. Commissions and expense allowances payable on reinsurance assumed.....
11. General expenses due or accrued.....31,90334,319
12. Transfers to Separate Accounts due or accrued (net) (including \$.....0 accrued for expense allowances recognized in reserves).....
13. Taxes, licenses and fees due or accrued.....2,7642,031
14. Unearned investment income.....
15. Amounts withheld or retained by Society as agent or trustee.....
16. Amounts held for fieldworkers' account, including \$.....0 fieldworkers' credit balances.....
17. Remittances and items not allocated.....
18. Net adjustment in assets and liabilities due to foreign exchange rates.....
19. Liability for benefits for employees and fieldworkers if not included above.....
20. Borrowed money \$.....0 and interest thereon \$.....0.....
21. Miscellaneous liabilities:		
21.1 Asset valuation reserve.....645,501615,002
21.2 Reinsurance in unauthorized and certified (\$.....0) companies.....
21.3 Funds held under reinsurance treaties with unauthorized and certified (\$.....0) reinsurers.....
21.4 Payable to subsidiaries and affiliates.....
21.5 Drafts outstanding.....
21.6 Funds held under coinsurance.....
21.7 Derivatives.....
21.8 Payable for securities.....
21.9 Payable for securities lending.....
22. Aggregate write-ins for liabilities.....514,362496,607
23. Total liabilities excluding Separate Accounts business (Lines 1 to 22).....77,932,01476,887,929
24. From Separate Accounts Statement.....
25. Total liabilities (Lines 23 to 24).....77,932,01476,887,929
26. Aggregate write-ins for other than liabilities and surplus funds.....00
27. Surplus notes.....
28. Aggregate write-ins for surplus funds.....00
29. Unassigned funds.....9,241,9128,659,698
30. Total (Lines 26 through 29) (including \$.....0 in Separate Accounts Statement).....9,241,9128,659,698
31. Totals (Lines 25 + 30) (Page 2, Line 28, Col. 3).....87,173,92685,547,627

DETAILS OF WRITE-INS		
2201. Scholarship Fund.....507,456496,129
2202. Payroll Withholdings.....6,906478
2203.
2298. Summary of remaining write-ins for Line 22 from overflow page.....00
2299. Totals (Lines 2201 thru 2203 plus 2298) (Line 22 above).....514,362496,607
2601.
2602.
2603.
2698. Summary of remaining write-ins for Line 26 from overflow page.....00
2699. Totals (Lines 2601 thru 2603 plus 2698) (Line 26 above).....00
2801.
2802.
2803.
2898. Summary of remaining write-ins for Line 28 from overflow page.....00
2899. Totals (Lines 2801 thru 2803 plus 2898) (Line 28 above).....00

SUMMARY OF OPERATIONS

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Premiums and annuity considerations for life and accident and health contracts.....	2,047,693	2,392,396	2,998,421
2. Considerations for supplementary contracts with life contingencies.....			
3. Net investment income.....	3,278,433	3,210,623	4,228,991
4. Amortization of Interest Maintenance Reserve (IMR).....	20,364	25,964	33,062
5. Separate Accounts net gain from operations excluding unrealized gains and losses.....			
6. Commissions and expense allowances on reinsurance ceded.....			
7. Reserve adjustments on reinsurance ceded.....			
8. Miscellaneous income:			
8.1 Income from fees associated with investment management, administration and contract guarantees from Separate Accounts.....			
8.2 Charges and fees for deposit-type contracts.....			
8.3 Aggregate write-ins for miscellaneous income.....	23,536	8,032	11,378
9. Totals (Lines 1 to 8.3).....	5,370,026	5,637,015	7,271,852
10. Death benefits.....	167,574	185,817	227,939
11. Matured endowments (excluding guaranteed annual pure endowments).....	10,000	6,000	6,000
12. Annuity benefits.....	2,569,558	2,127,993	2,792,181
13. Disability benefits and benefits under accident and health contracts including premiums waived \$.....0			
14. Surrender benefits and withdrawals for life contracts.....	52,676	23,244	32,761
15. Interest and adjustments on contract or deposit-type contract funds.....	207,664	213,214	287,198
16. Payments on supplementary contracts with life contingencies.....			
17. Increase in aggregate reserve for life and accident and health contracts.....	1,128,035	1,977,765	2,462,102
18. Totals (Lines 10 to 17).....	4,135,507	4,534,033	5,808,181
19. Commissions on premiums, annuity considerations and deposit-type contract funds (direct business only).....	2,631	5,394	6,872
20. Commissions and expense allowances on reinsurance assumed.....			
21. General insurance expenses and fraternal expenses.....	608,617	602,236	756,227
22. Insurance taxes, licenses and fees.....	17,385	20,641	20,616
23. Increase in loading on deferred and uncollected premiums.....	134	(69)	(19)
24. Net transfers to or (from) Separate Accounts net of reinsurance.....			
25. Aggregate write-ins for deductions.....	0	0	0
26. Totals (Lines 18 to 25).....	4,764,274	5,162,235	6,591,877
27. Net gain from operations before refunds to members (Line 9 minus Line 26).....	605,752	474,780	679,975
28. Refunds to members.....	33,256	37,305	55,962
29. Net gain from operations after refunds to members and before realized capital gains (losses) (Line 27 minus Line 28).....	572,496	437,475	624,013
30. Net realized capital gains (losses) less capital gains tax of0 (excluding \$.....0 transferred to the IMR).....	(67,525)	35,136	1,399
31. Net income (Lines 29 + 30).....	504,971	472,611	625,412
SURPLUS ACCOUNT			
32. Surplus, December 31, prior year.....	8,659,698	8,089,726	8,089,726
33. Net income from operations (Line 31).....	504,971	472,611	625,412
34. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0.....	107,741	(149,116)	(75,281)
35. Change in net unrealized foreign exchange capital gain (loss).....			
36. Change in nonadmitted assets.....			(245,858)
37. Change in liability for reinsurance in unauthorized and certified companies.....			
38. Change in reserve on account of change in valuation basis (increase) or decrease.....			
39. Change in asset valuation reserve.....	(30,498)	(16,355)	19,841
40. Surplus (contributed to) withdrawn from Separate Accounts during period.....			
41. Other changes in surplus in Separate Accounts Statement.....			
42. Change in surplus notes.....			
43. Cumulative effect of changes in accounting principles.....			
44. Change in surplus as a result of reinsurance.....			
45. Aggregate write-ins for gains and losses in surplus.....	0	0	245,858
46. Net change in surplus for the year (Lines 33 through 45).....	582,214	307,140	569,972
47. Surplus as of statement date (Lines 32 + 46).....	9,241,912	8,396,866	8,659,698
DETAILS OF WRITE-INS			
08.301. Miscellaneous Income.....	23,536	8,032	11,378
08.302.			
08.303.			
08.398. Summary of remaining write-ins for Line 8.3 from overflow page.....	0	0	0
08.399. Totals (Lines 08.301 thru 08.303 plus 08.398) (Line 8.3 above).....	23,536	8,032	11,378
2501.			
2502.			
2503.			
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	0	0	0
4501. Retirement Funds Adjustment.....			245,858
4502.			
4503.			
4598. Summary of remaining write-ins for Line 45 from overflow page.....	0	0	0
4599. Totals (Lines 4501 thru 4503 plus 4598) (Line 45 above).....	0	0	245,858

CASH FLOW

	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
CASH FROM OPERATIONS			
1. Premiums collected net of reinsurance.....	2,048,660	2,393,159	2,998,141
2. Net investment income.....	3,227,515	3,136,696	4,201,157
3. Miscellaneous income.....	23,536	8,032	11,378
4. Total (Lines 1 through 3).....	5,299,711	5,537,887	7,210,676
5. Benefit and loss related payments.....	2,637,843	2,620,046	3,445,390
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	630,316	633,186	789,261
8. Dividends paid to policyholders.....	33,256	37,305	55,962
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....			
10. Total (Lines 5 through 9).....	3,301,415	3,290,537	4,290,613
11. Net cash from operations (Line 4 minus Line 10).....	1,998,296	2,247,350	2,920,063
CASH FROM INVESTMENTS			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	1,217,139	952,735	1,869,985
12.2 Stocks.....	22,775	34,735	34,736
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).....	1,239,914	987,470	1,904,721
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	1,849,025	2,579,690	3,784,210
13.2 Stocks.....	26,220	109,364	109,364
13.3 Mortgage loans.....			
13.4 Real estate.....			
13.5 Other invested assets.....			
13.6 Miscellaneous applications.....			
13.7 Total investments acquired (Lines 13.1 to 13.6).....	1,875,245	2,689,054	3,893,574
14. Net increase or (decrease) in contract loans and premium notes.....	(1,586)	(4,041)	2,991
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14).....	(633,745)	(1,697,543)	(1,991,844)
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).....	(471,252)	367,161	379,475
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	(471,252)	367,161	379,475
RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS			
18. Net change in cash, cash equivalents and short-term investments (Line 11 plus Line 15 plus Line 17).....	893,299	916,968	1,307,694
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	13,973,457	12,665,763	12,665,763
19.2 End of period (Line 18 plus Line 19.1).....	14,866,756	13,582,731	13,973,457
Note: Supplemental disclosures of cash flow information for non-cash transactions:			
20.0001			

EXHIBIT 1

DIRECT PREMIUMS AND DEPOSIT-TYPE CONTRACTS

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Life Insurance.....	47,226	65,087	87,767
2. Individual annuities.....	2,000,467	2,329,063	2,913,326
3. Accident and Health.....			
4. Aggregate of all other lines of business.....	0	0	0
5. Subtotal (Lines 1 through 4).....	2,047,693	2,394,150	3,001,093
6. Fraternal.....			
7. Expenses.....			
8. Subtotal (Lines 5 through 7).....	2,047,693	2,394,150	3,001,093
9. Deposit-type contracts.....	24,412	11,092	11,092
10. Total.....	2,072,105	2,405,242	3,012,185

DETAILS OF WRITE-INS

0401.			
0402.			
0403.			
0498. Summary of remaining write-ins for Line 4 from overflow page.....	0	0	0
0499. Total (Lines 0401 thru 0403 plus 0498) (Line 4 above).....	0	0	0

NOTES TO FINANCIAL STATEMENTS

Note 1 – Summary of Significant Accounting Policies and Going Concern

A. Accounting Practices

	State of Domicile	Current Period	Prior Year
NET INCOME			
(1) Alliance Of Transylvanian Saxons state basis (Page 4, Line 31, Columns 1 & 3)	OH	\$ 504,971	\$ 625,412
(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	\$ 504,971	\$ 625,412
SURPLUS			
(5) Alliance Of Transylvanian Saxons state basis (Page 3, line 30, Columns 1 & 2)	OH	\$ 9,241,912	\$ 8,659,698
(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	\$ 9,241,912	\$ 8,659,698

C. Accounting Policy

(6)

D. Going Concern

Note 2 – Accounting Changes and Corrections of Errors

No significant changes

Note 3 – Business Combinations and Goodwill

No significant change.

Note 4 – Discontinued Operations

A. Discontinued Operation Disposed of or Classified as Held for Sale

(1)

(2)

(3)

(4)

(5) The amounts related to Discontinued Operations and the effect on the Company's Balance Sheet and Summary of Operations as follows:

Balance sheet end of current quarter, 2016

Assets

a. Line 5	Cash	\$
b. Line 28	Totals	\$

Liabilities, Surplus and Other Funds

c. Line 28	Total Liabilities	\$
d. Line 37	Surplus	\$
e. Line 39	Total	\$

Summary of Operations end of current quarter, 2016

f. Line 1	Premiums	\$
g. Line 19	Increase in aggregate reserves for accident & health (current less prior year)	\$
h. Line 32	Federal and foreign income taxes incurred	\$
i. Line 34	Net realized capital gains (losses)	\$
j. Line 35	Net Income	\$

B. Change in Plan of Sale of Discontinued Operation

C. Nature of any Significant Continuing Involvement with Discontinued Operations After Disposal

D. Equity Interest Retained in the Discontinued Operation After Disposal

Note 5 – Investments

D. Loan-Backed Securities

(1)

	1	2a	2b	c
(2)	Amortized Cost Basis Before Other-than-Temporary	Other-than-Temporary Impairment Recognized in Loss		Fair Value 1 – (2a + 2b)

NOTES TO FINANCIAL STATEMENTS

		Impairment			
OTTI recognized 1 st Quarter			Interest	Non-Interest	
a.	Intent to sell	\$	\$	\$	\$
b.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis				
c.	Total 1 st Quarter	\$	\$	\$	\$
OTTI recognized 2 nd Quarter					
d.	Intent to sell	\$	\$	\$	\$
e.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis				
f.	Total 2 nd Quarter	\$	\$	\$	\$
OTTI recognized 3 rd Quarter					
g.	Intent to sell	\$	\$	\$	\$
h.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis				
i.	Total 4 th Quarter	\$	\$	\$	\$
OTTI recognized 4 th Quarter					
j.	Intent to sell	\$	\$	\$	\$
k.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis				
l.	Total 4 th Quarter	\$	\$	\$	\$
m.	Annual aggregate total	XXX	\$	\$	XXX

(3) Recognized OTTI securities

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

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

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

(5)

E. Repurchase Agreements and/or Securities Lending Transactions

(3) Collateral Received

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

I. Working Capital Finance Investments

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

		Book/Adjusting Carrying Value
a.	Up to 180 Days	\$
b.	181 to 365 Days	
c.	Total	\$

(3)

J. Offsetting and Netting of Assets and Liabilities

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

Note 6 – Joint Ventures, Partnerships and Limited Liability Companies

No significant changes

Note 7 – Investment Income

No significant changes

Note 8 – Derivative Instruments

NOTES TO FINANCIAL STATEMENTS

No significant changes

Note 9 – Income Taxes

No significant changes

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

No significant changes

Note 11 – Debt

B. FHLB (Federal Home Loan Bank) Agreements

(1)

(2) FHLB Capital Stock

a. Aggregate Totals

1. Current Period

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

2. Prior Year

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

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

Membership Stick	1 Current Period Total (2+3+4+5+6)	2 Not Eligible for Redemption	Eligible for Redemption			
			3	4	5	6
			Less than 6 Months	6 Months to Less Than 1 Year	1 to Less Than 3 Years	3 to 5 Years
1. Class A	\$	\$	\$	\$	\$	\$
2. Class B	\$	\$	\$	\$	\$	\$

(3) Collateral Pledged to FHLB

a. Amount Pledged as of Reporting Date

	1 Fair Value	2 Carrying Value	3 Aggregate Total Borrowing
Current Period Total General and Separate Accounts Total Collateral Pledged (Lines 2+3)	\$	\$	\$
Current Period General Account Total Collateral Pledged	\$	\$	\$
Current Period Separate Accounts Total Collateral Pledged	\$	\$	\$
Prior Year Total General and Separate Accounts Total Collateral Pledged	\$	\$	\$

b. Maximum Amount Pledged During Reporting Period

	1 Fair Value	2 Carrying Value	3 Amount Borrowed at Time of Maximum Collateral
Current Period Total General and Separate Accounts Total Collateral Pledged (Lines 2+3)	\$	\$	\$
Current Period General Account Total Collateral Pledged	\$	\$	\$
Current Period Separate Accounts Total Collateral Pledged	\$	\$	\$
Prior Year Total General and Separate Accounts Total Collateral Pledged	\$	\$	\$

(4) Borrowing from FHLB

NOTES TO FINANCIAL STATEMENTS

a. Amount as of the Reporting Date

1. Current Period

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

2. Prior Year

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

b. Maximum Amount During Reporting Period (Current Period)

	1 Total 2 + 3	2 General Account	3 Separate Accounts
1. Debt	\$	\$	\$
2. Funding Agreements			
3. Other			
4. Aggregate Total (Lines 1+2+3)	\$	\$	\$

c. FHLB – Prepayment Obligations

	Does the Company have Prepayment Obligations under the Following Arrangements (YES/NO)
1. Debt	
2. Funding Agreements	
3. Other	

Note 12 – Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans

A. Defined Benefit Plan

(4)	Components of net periodic benefit cost		Pension Benefits		Postretirement Benefits		Special or Contractual Benefits per SSAP No. 11	
			Current Period	Prior Year	Current Period	Prior Year	Current Period	Prior Year
a.	Service cost	\$	\$		\$	\$	\$	\$
b.	Interest cost							
c.	Expected return on plan assets							
d.	Transition asset or obligation							
e.	Gains and losses							
f.	Prior service cost or credit							
g.	Gain or loss recognized due to a settlement curtailment							
h.	Total net periodic benefit cost	\$	\$		\$	\$	\$	\$

Note 13 – Capital and Surplus, Dividend Restrictions and Quasi-Reorganizations

No significant changes

Note 14 – Liabilities, Contingencies and Assessments

A. Contingent Commitments

(1) Total SSAP No. 97, Investments in Subsidiary, Controlled, and Affiliated Entities, A Replacement of SSAP No. 88, and SSAP No. 48, Joint Ventures, Partnerships and Limited Liability Company contingent liabilities: \$.

(2) Detail of other contingent commitments

Nature and Circumstances of Guarantee and Key Attributes, Including Date and Duration of Agreement	Liability Recognition of Guarantee, (Including Amount Recognized at Inception. If no Initial Recognition, Document Exception Allowed Under SSAP No. 5R)	Ultimate Financial Statement Impact if Action under the Guarantee is Required	Maximum Potential Amount of Future Payments (Undiscounted) the Guarantor could be Required to make under the Guarantee. If unable to Develop an Estimate,	Current Status of Payment or Performance Risk of Guarantee. Also Provide Additional Discussion as Warranted

NOTES TO FINANCIAL STATEMENTS

			this Should be Specifically Noted	
	\$		\$	
Total	\$	XXX	\$	XXX

(3)

a.	Aggregate maximum potential of future payments of all guarantees (undiscounted) the guarantor could be required to make under guarantees. (Should equal the total of column 4 for (2) above.)			\$
b.	Current liability recognized in F/S			
	1.	Noncontingent liabilities		\$
	2.	Contingent liabilities		\$
c.	Ultimate financial statement impact if action under the guarantee is required			
	1.	Investments in SCA		\$
	2.	Joint Venture		
	3.	Dividends to stockholders (capital contribution)		
	4.	Expense		
	5.	Other		
	6.	Total (should equal (3)a)		\$

B. Assessments

(1) Where Amount is Unknown

Where Amount is Known

(2)

a.	Assets recognized from paid and accrued premium tax offsets and policy surcharges prior year –end			\$
b.	Decreases current period:			\$
c.	Increases current period:			\$
d.	Assets recognized from paid and accrued premium tax offsets and policy surcharges current period			\$

C. Gain Contingencies

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

Alliance Of Transylvanian Saxons paid the following amounts in the reporting period to settle claims related extra contractual obligations or bad faith claims stemming from lawsuits:

	Direct
Claims related ECO and bad faith losses paid during the reporting period	\$

Number of claims where amounts were paid to settle claims related extra contractual obligations or bad faith claims resulting from lawsuits during the reporting period:

(a) 0-25 Claims	(b) 26-50 Claims	(c) 51-100 Claims	(d) 101-500 Claims	(e) More than 500 Claims

Indicate whether claim count information is disclosed per claim or per claimant:

(f) Per Claim [] (g) Per Claimant []

E. Joint and Several Liabilities

F. All Other Contingencies

Note 15 – Leases

No significant changes

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

No significant changes

Note 17 – Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities

B. Transfer and Servicing of Financial Assets

(2)

(4)

(a)

(b)

C. Wash Sales

(1) NONE

(2) The details by NAIC designation 3 or below, or unrated of securities sold during the year ended December 31, 2016 and reacquired within 30 days of the sale date are:

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

NOTES TO FINANCIAL STATEMENTS

			\$	\$	\$
--	--	--	----	----	----

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

No significant changes

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

No significant changes

Note 20 – Fair Value Measurements

A.

(1) Fair Value Measurements at Reporting Date

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

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

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

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

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

(3)

(4)

(5)

B.

C.

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

D. Not Practicable to Estimate Fair Value

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

NOTE 21 –OTHER ITEMS

No significant changes

Note 22 – Events Subsequent

No significant changes

Note 23 – Reinsurance

No significant changes

Note 24 – Retrospectively Rated Contracts and Contracts Subject to Redetermination

E. Risk Sharing Provisions of the Affordable Care Act

- (1) Did the reporting entity write accident and health insurance premium which is subject to the Affordable Care Act risk sharing provisions
- (2) Impact of Risk Sharing Provisions of the Affordable Care Act on admitted assets, liabilities and revenue for the current period:

a.	Permanent ACA Risk Adjustment Program	AMOUNT
	Assets	
1.	Premium adjustments receivable due to ACA Risk Adjustment	\$
	Liabilities	
2.	Risk adjustment user fees payable for ACA Risk Adjustment	
3.	Premium adjustments payable due to ACA Risk Adjustment	
	Operations (Revenue & Expenses)	

NOTES TO FINANCIAL STATEMENTS

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

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

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

NOTES TO FINANCIAL STATEMENTS

Explanations of Adjustments

- A.
- B.
- C.
- D.
- E.
- F.
- G.
- H.
- I.
- J.

Note 25 – Change in Incurred Losses and Loss Adjustment Expenses

Note 26 – Intercompany Pooling Arrangements

No significant changes

Note 27 – Structured Settlements

No significant changes

Note 28 – Health care receivables

No significant changes

Note 29 – Participating policies

No significant changes

Note 30 – Premium Deficiency Reserves

No significant changes

Note 31 – Reserves for Life Contracts and Deposit-Type Contracts

No significant changes

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

No significant changes

Note 33 – Premium and Annuity Considerations Deferred and Uncollected

No significant changes

Note 34 – Separate Accounts

No significant changes

Note 35 – Loss/Claim Adjustment Expenses

No significant changes

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

- 1.1

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

Yes [☐] No [☒]
- 1.2

If yes, has the report been filed with the domiciliary state?

Yes [☐] No [☐]
- 2.1

Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity?

Yes [☐] No [☒]
- 2.2

If yes, date of change:
- 3.1

Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? If yes, complete Schedule Y, Parts 1 and 1A.

Yes [☐] No [☒]
- 3.2

Have there been any substantial changes in the organizational chart since the prior quarter end?

Yes [☐] No [☒]
- 3.3

If the response to 3.2 is yes, provide a brief description of those changes.

- 4.1

Has the reporting entity been a party to a merger or consolidation during the period covered by this statement?

Yes [☐] No [☒]
- 4.2

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

1	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 [☒] N/A [☐]

- 6.1

State as of what date the latest financial examination of the reporting entity was made or is being made.

10/05/2015
- 6.2

State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released.

12/31/2014
- 6.3

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

01/19/2016

- 6.4

By what department or departments?
Ohio

- 6.5

Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments?

Yes [☒] No [☐] N/A [☐]
- 6.6

Have all of the recommendations within the latest financial examination report been complied with?

Yes [☒] No [☐] N/A [☐]
- 7.1

Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period?

Yes [☐] No [☒]
- 7.2

If yes, give full information:

- 8.1

Is the company a subsidiary of a bank holding company regulated with the Federal Reserve Board?

Yes [☐] No [☒]
- 8.2

If response to 8.1 is yes, please identify the name of the bank holding company.

- 8.3

Is the company affiliated with one or more banks, thrifts or securities firms?

Yes [☐] No [☒]
- 8.4

If the response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator].

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

- 9.1

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

Yes [☒] No [☐]

(a)

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

(b)

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

(c)

Compliance with applicable governmental laws, rules and regulations;

(d)

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

(e)

Accountability for adherence to the code.
- 9.11

If the response to 9.1 is No, please explain:

- 9.2

Has the code of ethics for senior managers been amended?

Yes [☐] No [☒]
- 9.21

If the response to 9.2 is Yes, provide information related to amendment(s).

- 9.3

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

Yes [☐] No [☒]
- 9.31

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

FINANCIAL

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

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

Yes [☐] No [☒]

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 [☒]

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

12. Amount of real estate and mortgages held in other invested assets in Schedule BA:

\$

0

13. Amount of real estate and mortgages held in short-term investments:

\$

0

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

Yes [☐] No [☒]

14.2 If yes, please complete the following:

14.21 Bonds

14.22 Preferred Stock

14.23 Common Stock

14.24 Short-Term Investments

14.25 Mortgage 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

1 Prior Year-End Book/Adjusted Carrying Value	2 Current Quarter Book/Adjusted Carrying Value
\$ 0	\$ 0
0	0
0	0
0	0
0	0
0	0
\$ 0	\$ 0
\$ 0	\$ 0

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

Yes [☐] No [☒]

15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state?

Yes [☐] No [☐]

If no, attach a description with this statement.

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

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

\$

0

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

\$

0

16.3 Total payable for securities lending reported on the liability page:

\$

0

17. Excluding items in Schedule E-Part 3-Special Deposits, real estate, mortgage loans and investments held physically in the reporting entity's offices, vaults or safety deposit boxes, were all stocks, bonds and other securities, owned throughout the current year held pursuant to a custodial agreement with a qualified bank or trust company in accordance with Section 1, III - General Examination Considerations, F. Outsourcing of Critical Functions, Custodial or Safekeeping Agreements of the NAIC *Financial Condition Examiners Handbook*?

Yes [☒] No [☐]

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

1 Name of Custodian(s)	2 Custodian Address
US BANK	425 East Walnut St., CN-WN-06TC, Cincinnati, OH

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

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

17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter?

Yes [☐] No [☒]

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

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

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

1 Central Registration Depository	2 Name(s)	3 Address

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

Yes [☒] No [☐]

18.2 If no, list exceptions:

Alliance Of Transylvanian Saxons
GENERAL INTERROGATORIES (continued)
PART 2 - FRATERNAL

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

1.1 Long-term mortgages in good standing:

Reponses

1.11 Farm mortgages.....

1.12 Residential mortgages.....

1.13 Commercial mortgages.....

1.14 Total mortgages in good standing.....

\$.....0

1.2 Long-term mortgages in good standing with restructured terms:

1.21 Total mortgages in good standing with restructured terms.....

1.3 Long-term mortgage loans upon which interest is overdue more than three months:

1.31 Farm mortgages.....

1.32 Residential mortgages.....

1.33 Commercial mortgages.....

1.34 Total mortgages with interest overdue more than three months.....

\$.....0

1.4 Long-term mortgage loans in process of foreclosure:

1.41 Farm mortgages.....

1.42 Residential mortgages.....

1.43 Commercial mortgages.....

1.44 Total mortgages in process of foreclosure.....

\$.....0

1.5 Total mortgage loans (Lines 1.14 + 1.21 + 1.34 + 1.44) (Page 2, Column 3, Lines 3.1 + 3.2).....

\$.....0

1.6 Long-term mortgages foreclosed, properties transferred to real estate in current quarter:

1.61 Farm mortgages.....

1.62 Residential mortgages.....

1.63 Commercial mortgages.....

1.64 Total mortgages foreclosed and transferred to real estate.....

\$.....0

2.1 In all cases where the reporting entity has assumed accident and health risks from another company, provisions should be made in this statement on account of such reinsurance for reserve equal to that which the original company would have been required to establish had it retained the risks. Has this been done?

Yes []

No [X]

2.2 If no, explain.....

3. Operating Percentages:

3.1 A&H loss percent.....

3.2 A&H cost containment percent.....

3.3 A&H expense percent excluding cost containment expenses.....

4.1 Do you act as a custodian for health savings accounts?.....

Yes []

No [X]

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

\$.....

4.3 Do you act as an administrator for health savings accounts?.....

Yes []

No [X]

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

\$.....

5.1 Does the reporting entiy have outstanding assessments in the form of liens against policy benefits that have increased surplus?.....

Yes []

No [X]

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

Date

Outstanding Lien Amounts

Q09

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

1	2	3	4	5	6	7	8	9
NAIC Company Code	ID Number	Effective Date	Name of Reinsurer	Domiciliary Jurisdiction	Type of Reinsurance Ceded	Type of Reinsurer	Certified Reinsurer Rating (1 through 6)	Effective Date of Certified Reinsuer Rating

NONE

Alliance Of Transylvanian Saxons
SCHEDULE T - PREMIUMS AND ANNUITY CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

State, Etc.	1	Direct Business Only					
		Life Contracts		4 Accident and Health Insurance Premiums, Including Policy, Membership and Other Fees	5 Other Considerations	6 Total Columns 2 through 5	7 Deposit-Type Contracts
		2 Life Insurance Premiums	3 Annuity Considerations				
1. Alabama.....	AL	.N				0	
2. Alaska.....	AK	.N				0	
3. Arizona.....	AZ	.N				0	
4. Arkansas.....	AR	.N				0	
5. California.....	CA	.N				0	
6. Colorado.....	CO	.N				0	
7. Connecticut.....	CT	.N				0	
8. Delaware.....	DE	.N				0	
9. District of Columbia.....	DC	.N				0	
10. Florida.....	FL	.N				0	
11. Georgia.....	GA	.N				0	
12. Hawaii.....	HI	.N				0	
13. Idaho.....	ID	.N				0	
14. Illinois.....	IL	L	1,401	83,568		84,969	
15. Indiana.....	IN	L	386	106,622		107,008	
16. Iowa.....	IA	.N				0	
17. Kansas.....	KS	.N				0	
18. Kentucky.....	KY	.N				0	
19. Louisiana.....	LA	.N				0	
20. Maine.....	ME	.N				0	
21. Maryland.....	MD	.N				0	
22. Massachusetts.....	MA	.N				0	
23. Michigan.....	MI	L	423	54,608		55,031	
24. Minnesota.....	MN	.N				0	
25. Mississippi.....	MS	.N				0	
26. Missouri.....	MO	.N				0	
27. Montana.....	MT	.N				0	
28. Nebraska.....	NE	.N				0	
29. Nevada.....	NV	.N				0	
30. New Hampshire.....	NH	.N				0	
31. New Jersey.....	NJ	.N				0	
32. New Mexico.....	NM	.N				0	
33. New York.....	NY	.N				0	
34. North Carolina.....	NC	.N				0	
35. North Dakota.....	ND	.N				0	
36. Ohio.....	OH	L	15,507	1,457,623		1,473,130	24,412
37. Oklahoma.....	OK	.N				0	
38. Oregon.....	OR	.N				0	
39. Pennsylvania.....	PA	L	4,547	298,047		302,593	
40. Rhode Island.....	RI	.N				0	
41. South Carolina.....	SC	.N				0	
42. South Dakota.....	SD	.N				0	
43. Tennessee.....	TN	.N				0	
44. Texas.....	TX	.N				0	
45. Utah.....	UT	.N				0	
46. Vermont.....	VT	.N				0	
47. Virginia.....	VA	.N				0	
48. Washington.....	WA	.N				0	
49. West Virginia.....	WV	.N				0	
50. Wisconsin.....	WI	.N				0	
51. Wyoming.....	WY	.N				0	
52. American Samoa.....	AS	.N				0	
53. Guam.....	GU	.N				0	
54. Puerto Rico.....	PR	.N				0	
55. US Virgin Islands.....	VI	.N				0	
56. Northern Mariana Islands.....	MP	.N				0	
57. Canada.....	CAN	.N				0	
58. Aggregate Other Alien.....	OT	XXX	0	0	0	0	0
59. Subtotals.....	(a) . . 5	22,264	2,000,467	0	0	2,022,731	24,412
90. Reporting entity contributions for employee benefit plans	XXX					0	
91. Dividends or refunds applied to purchase paid-up additions and annuities.....	XXX	25,930				25,930	
92. Dividends or refunds applied to shorten endowment or premium paying period.....	XXX					0	
93. Premium or annuity considerations waived under disability or other contract provisions.....	XXX					0	
94. Aggregate other amounts not allocable by state.....	XXX	0	0	0	0	0	0
95. Totals (Direct Business).....	XXX	48,194	2,000,467	0	0	2,048,661	24,412
96. Plus reinsurance assumed.....	XXX					0	
97. Totals (All Business).....	XXX	48,194	2,000,467	0	0	2,048,661	24,412
98. Less reinsurance ceded.....	XXX					0	
99. Totals (All Business) less reinsurance ceded.....	XXX	48,194	2,000,467	0	0	2,048,661	24,412

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

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

Sch. Y - Pt. 1
NONE

Sch. Y - Pt. 1A
NONE

Alliance Of Transylvanian Saxons

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

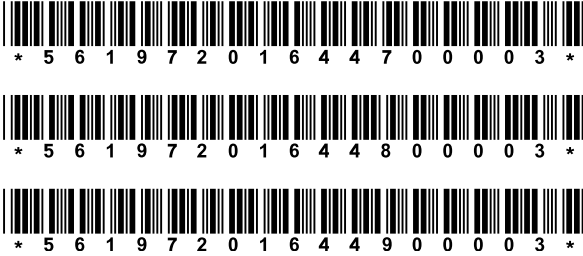
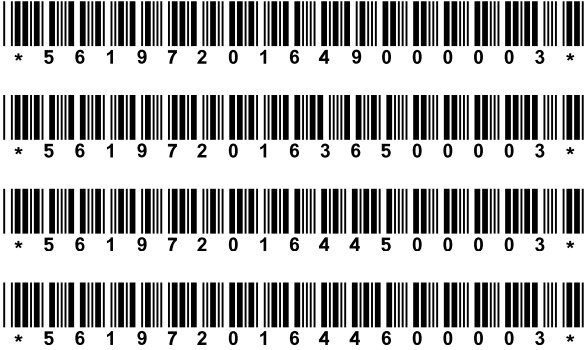
The following supplemental reports are required to be filed as part of your statement filing. However, in the event that your company does not transact the type of business for which the special report must be filed, your response of NO to the specific interrogatory will be accepted in lieu of filing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

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

Explanations:

1. The data for this supplement is not required to be filed.
2. The data for this supplement is not required to be filed.
3. The data for this supplement is not required to be filed.
4. The data for this supplement is not required to be filed.
5. The data for this supplement is not required to be filed.
6. The data for this supplement is not required to be filed.
7. The data for this supplement is not required to be filed.

Bar Code:



Alliance Of Transylvanian Saxons
Overflow Page for Write-Ins

NONE

Alliance Of Transylvanian Saxons
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.....	7,950	7,950
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 end of current period (Lines 1+2+3+4-5+6-7-8).....	7,950	7,950
10. Deduct total nonadmitted amounts.....		
11. Statement value at end of current period (Line 9 minus Line 10).....	7,950	7,950

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

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.....	2,082,619	2,082,619
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).....	2,082,619	2,082,619
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	2,082,619	2,082,619

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.....	68,186,214	66,456,138
2. Cost of bonds and stocks acquired.....	1,875,245	3,893,574
3. Accrual of discount.....		25,066
4. Unrealized valuation increase (decrease).....	107,740	(75,281)
5. Total gain (loss) on disposals.....	(67,525)	(1,766)
6. Deduct consideration for bonds and stocks disposed of.....	1,239,914	1,904,721
7. Deduct amortization of premium.....		206,796
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).....	68,861,760	68,186,214
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	68,861,760	68,186,214

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

	1	2	3	4	5	6	7	8
NAIC Designation	Book/Adjusted Carrying Value Beginning of Current Quarter	Acquisitions During Current Quarter	Dispositions During Current Quarter	Non-Trading Activity During Current Quarter	Book/Adjusted Carrying Value End of First Quarter	Book/Adjusted Carrying Value End of Second Quarter	Book/Adjusted Carrying Value End of Third Quarter	Book/Adjusted Carrying Value December 31 Prior Year
BONDS								
1. NAIC 1 (a).....	62,174,757	8,234,339	7,803,943		61,648,207	62,174,757	62,605,153	61,041,089
2. NAIC 2 (a).....	18,880,383	648,400			18,880,383	18,880,383	19,528,783	18,880,383
3. NAIC 3 (a).....	1,065,769		702,879		1,065,769	1,065,769	362,890	1,065,769
4. NAIC 4 (a).....							.0	
5. NAIC 5 (a).....							.0	
6. NAIC 6 (a).....							.0	
7. Total Bonds.....	82,120,909	8,882,739	8,506,822	.0	81,594,359	82,120,909	82,496,826	80,987,241
PREFERRED STOCK								
8. NAIC 1.....							.0	
9. NAIC 2.....							.0	
10. NAIC 3.....							.0	
11. NAIC 4.....							.0	
12. NAIC 5.....							.0	
13. NAIC 6.....							.0	
14. Total Preferred Stock.....	.0	.0	.0	.0	.0	.0	.0	.0
15. Total Bonds and Preferred Stock.....	82,120,909	8,882,739	8,506,822	.0	81,594,359	82,120,909	82,496,826	80,987,241

(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.....	14,814,485	XXX.....	14,814,485		

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.....	13,873,261	12,468,627
2. Cost of short-term investments acquired.....	17,357,401	38,553,239
3. Accrual of discount.....		
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....		
6. Deduct consideration received on disposals.....	16,416,177	37,148,605
7. Deduct amortization of premium.....		
8. Total foreign exchange change in book/adjusted carrying value.....		
9. Deduct current year's other-than-temporary impairment recognized.....		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9).....	14,814,485	13,873,261
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	14,814,485	13,873,261

Sch. DB - Pt. A - Verification
NONE

Sch. DB - Pt. B - Verification
NONE

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

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

Sch. DB - Verification
NONE

Sch. E - Verification
NONE

Sch. A - Pt. 2
NONE

Sch. A - Pt. 3
NONE

Sch. B - Pt. 2
NONE

Sch. B - Pt. 3
NONE

Sch. BA - Pt. 2
NONE

Sch. BA - Pt. 3
NONE

SCHEDULE D - PART 3

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

1	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)
Bonds - Industrial and Miscellaneous									
037389 AU 7	AON Corp.....		09/08/2016....	William Blair648,400	.500,000	14,149	2Z.....
3899999. Total Bonds - Industrial and Miscellaneous.....						.648,400	.500,000	14,149	XXX
8399997. Total Bonds - Part 3.....						.648,400	.500,000	14,149	XXX
8399999. Total Bonds.....						.648,400	.500,000	14,149	XXX
9999999. Total Bonds, Preferred and Common Stocks.....						.648,400	XXX	14,149	XXX

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

SCHEDULE D - PART 4

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

1	2			3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
												11	12	13	14	15								
CUSIP Identification	Description			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)	
Bonds - U.S. States, Territories and Possessions																								
57587A	EL	8	Massachusetts St. Housing.....	.	07/01/2016.	Partial Call.....	153,750150,000150,625153,5710	153,571	(3,571)(3,571)625	12/01/2045....	1Z.....	
1799999. Total Bonds - U.S. States, Territories and Possessions.....							153,750150,000150,625153,57100000153,5710(3,571)(3,571)625	XXX	XXX	
Bonds - Industrial and Miscellaneous																								
257867	AF	8	Donnelley (R.R.) & Sons.....	.	09/06/2016.	William Blair.....	491,750500,000580,190549,3080	549,308	(57,558)(57,558)17,640	04/15/2031....	3Z.....	
3899999. Total Bonds - Industrial and Miscellaneous.....							491,750500,000580,190549,30800000549,3080(57,558)(57,558)17,640	XXX	XXX	
8399997. Total Bonds - Part 4.....							645,500650,000730,815702,87900000702,8790(61,129)(61,129)18,265	XXX	XXX	
8399999. Total Bonds.....							645,500650,000730,815702,87900000702,8790(61,129)(61,129)18,265	XXX	XXX	
9999999. Total Bonds, Preferred and Common Stocks.....							645,500	XXX730,815702,87900000702,8790(61,129)(61,129)18,265	XXX	XXX	

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

Sch. DB - Pt. A - Sn. 1

NONE

Sch. DB - Pt. B - Sn. 1

NONE

Sch. DB - Pt. D - Sn. 1

NONE

Sch. DB - Pt. D - Sn. 2

NONE

Sch. DL - Pt. 1

NONE

Sch. DL - Pt. 2

NONE

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1	2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
					6	7	8	
Depository	Code	Rate of Interest	Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date	First Month	Second Month	Third Month	*
Open Depositories								
Key Bank - Checking..... 127 Public Square Cleveland, Ohio 44114.....					86,308	45,917	2,759	XXX
Key Bank - Reward Checking..... 127 Public Square Cleveland, Ohio 44114.....					42,575	45,826	49,487	XXX
0199999. Total Open Depositories.....	XXX	XXX	0	0	128,883	91,743	52,246	XXX
0399999. Total Cash on Deposit.....	XXX	XXX	0	0	128,883	91,743	52,246	XXX
0499999. Cash in Society's Office.....	XXX	XXX	XXX	XXX	25	25	25	XXX
0599999. Total Cash.....	XXX	XXX	0	0	128,908	91,768	52,271	XXX

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

NONE