



QUARTERLY STATEMENT

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

United Transportation Union Insurance Association

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

NAIC Company Code..... 56413

Employer's ID Number..... 23-7131460

Organized under the Laws of Ohio
Incorporated/Organized..... November 16, 1970

State of Domicile or Port of Entry Ohio
Commenced Business..... March 10, 1971

Country of Domicile US

Statutory Home Office
24950 Country Club Blvd Ste 340..... North Olmsted OH US 44070-5333
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office
24950 Country Club Blvd Ste 340..... North Olmsted OH US 44070-5333 216-228-9400
(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address
24950 Country Club Blvd Ste 340..... North Olmsted OH US 44070-5333
(Street and Number or P. O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records
24950 Country Club Blvd Ste 340..... North Olmsted OH US 44070-5333 216-228-9400
(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Web Site Address
utuia.org

Statutory Statement Contact
Richard A Kusnic Sr
(Name)
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(E-Mail Address)
216-228-9400
(Area Code) (Telephone Number) (Extension)
216-228-0411
(Fax Number)

OFFICERS

Name	Title	Name	Title
1. Ken Laugel	President	2. Richard A Kusnic	Secretary
3. Richard Kusnic	Treasurer	4.	

OTHER

DIRECTORS OR TRUSTEES

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

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

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

(Signature)	(Signature)	(Signature)
Ken Laugel	Richard A Kusnic	Richard Kusnic
1. (Printed Name)	2. (Printed Name)	3. (Printed Name)
President	Secretary	Treasurer
(Title)	(Title)	(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.....	197,206,940		197,206,940	197,850,788
2. Stocks:				
2.1 Preferred stocks.....			0	
2.2 Common stocks.....	17,866,573		17,866,573	17,069,699
3. Mortgage loans on real estate:				
3.1 First liens.....			0	
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....			0	
4.2 Properties held for the production of income (less \$.....0 encumbrances).....	1,530,511		1,530,511	1,561,746
4.3 Properties held for sale (less \$.....0 encumbrances).....			0	
5. Cash (\$.....368,522), cash equivalents (\$.....1,843,261) and short-term investments (\$.....0).....	2,211,784		2,211,784	2,193,942
6. Contract loans (including \$.....0 premium notes).....	5,167,233		5,167,233	5,481,887
7. Derivatives.....			0	
8. Other invested assets.....			0	
9. Receivables for securities.....			0	
10. Securities lending reinvested collateral assets.....			0	
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	223,983,041	0	223,983,041	224,158,062
13. Title plants less \$.....0 charged off (for Title insurers only).....			0	
14. Investment income due and accrued.....	2,211,043		2,211,043	2,270,002
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....	38,896		38,896	52,957
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....	80,311		80,311	171,629
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.....	270,000		270,000	155,000
21. Furniture and equipment, including health care delivery assets (\$.....0).....			0	
22. Net adjustment in assets and liabilities due to foreign exchange rates.....			0	
23. Receivables from parent, subsidiaries and affiliates.....			0	
24. Health care (\$.....0) and other amounts receivable.....			0	
25. Aggregate write-ins for other than invested assets.....	0	0	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	226,583,291	0	226,583,291	226,807,650
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			0	
28. Total (Lines 26 and 27).....	226,583,291	0	226,583,291	226,807,650

DETAILS OF WRITE-INS

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

United Transportation Union Insurance Association
LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31 Prior Year
1. Aggregate reserve for life contracts (including \$.....0 Modco Reserve).....	159,235,293	160,793,370
2. Aggregate reserve for accident and health contracts (including \$.....0 Modco Reserve).....	5,003,257	4,891,522
3. Liability for deposit-type contracts (including \$.....0 Modco Reserve).....	4,677,664	5,349,761
4. Contract claims:		
4.1 Life.....	1,269,614	1,147,863
4.2 Accident and health.....	149,522	137,585
5. Refunds due and unpaid.....	4,200	8,522
6. Provisions for refunds payable in following calendar year - estimated amounts:		
6.1 Apportioned for payment.....		
6.2 Not yet apportioned.....		
7. Premiums and annuity considerations for life and accident and health contracts received in advance less \$.....0 discount; including \$.....181,215 accident and health premiums.....	412,646	305,630
8. Certificate and contract liabilities not included elsewhere:		
8.1 Surrender values on canceled contracts.....	60,965	84,100
8.2 Other amounts payable on reinsurance including \$.....0 assumed and \$.....0 ceded.....		
8.3 Interest maintenance reserve (IMR).....	4,777,742	5,634,685
9. Commissions to fieldworkers due or accrued - life and annuity contracts \$.....19,733, accident and health \$.....31,197 and deposit-type contract funds \$.....0.....	50,930	55,332
10. Commissions and expense allowances payable on reinsurance assumed.....		
11. General expenses due or accrued.....	331,218	254,606
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.....	2,794	2,846
14. Unearned investment income.....		
15. Amounts withheld or retained by Society as agent or trustee.....		
16. Amounts held for fieldworkers' account, including \$.....0 fieldworkers' credit balances.....		
17. Remittances and items not allocated.....		
18. Net adjustment in assets and liabilities due to foreign exchange rates.....		
19. Liability for benefits for employees and fieldworkers if not included above.....		
20. Borrowed money \$.....0 and interest thereon \$.....0.....		
21. Miscellaneous liabilities:		
21.1 Asset valuation reserve.....	3,227,906	2,659,462
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.....	6,672	224,846
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.....	75,775	471,108
23. Total liabilities excluding Separate Accounts business (Lines 1 to 22).....	179,286,198	182,021,238
24. From Separate Accounts Statement.....		
25. Total liabilities (Lines 23 to 24).....	179,286,198	182,021,238
26. Aggregate write-ins for other than liabilities and surplus funds.....	0	0
27. Surplus notes.....		
28. Aggregate write-ins for surplus funds.....	0	0
29. Unassigned funds.....	47,297,093	44,786,412
30. Total (Lines 26 through 29) (including \$.....0 in Separate Accounts Statement).....	47,297,093	44,786,412
31. Totals (Lines 25 + 30) (Page 2, Line 28, Col. 3).....	226,583,291	226,807,650

DETAILS OF WRITE-INS		
2201. Liability for uncashed checks.....	27,775	30,275
2202. Experience Refund Due.....		440,833
2203. Fraternal Benefits payable.....	48,000	
2298. Summary of remaining write-ins for Line 22 from overflow page.....	0	0
2299. Totals (Lines 2201 thru 2203 plus 2298) (Line 22 above).....	75,775	471,108
2601.		
2602.		
2603.		
2698. Summary of remaining write-ins for Line 26 from overflow page.....	0	0
2699. Totals (Lines 2601 thru 2603 plus 2698) (Line 26 above).....	0	0
2801.		
2802.		
2803.		
2898. Summary of remaining write-ins for Line 28 from overflow page.....	0	0
2899. Totals (Lines 2801 thru 2803 plus 2898) (Line 28 above).....	0	0

United Transportation Union Insurance Association
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.....	10,126,131	10,836,042	13,759,109
2. Considerations for supplementary contracts with life contingencies.....			
3. Net investment income.....	7,111,756	7,156,497	8,914,020
4. Amortization of Interest Maintenance Reserve (IMR).....	719,487	821,970	1,106,912
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.....	213,621	23,115	64,678
9. Totals (Lines 1 to 8.3).....	18,170,995	18,837,624	23,844,719
10. Death benefits.....	2,897,144	3,286,380	4,041,420
11. Matured endowments (excluding guaranteed annual pure endowments).....	79,422	142,305	151,994
12. Annuity benefits.....	6,619,021	6,003,237	7,969,717
13. Disability benefits and benefits under accident and health contracts including premiums waived \$0.....	1,014,512	916,977	1,330,914
14. Surrender benefits and withdrawals for life contracts.....	2,264,892	1,913,848	2,516,281
15. Interest and adjustments on contract or deposit-type contract funds.....	4,122	4,320	5,215
16. Payments on supplementary contracts with life contingencies.....			
17. Increase in aggregate reserve for life and accident and health contracts.....	(2,102,171)	(1,160,499)	(1,627,587)
18. Totals (Lines 10 to 17).....	10,776,942	11,106,568	14,387,954
19. Commissions on premiums, annuity considerations and deposit-type contract funds (direct business only).....	479,672	531,472	729,181
20. Commissions and expense allowances on reinsurance assumed.....			
21. General insurance expenses and fraternal expenses.....	4,686,645	5,028,792	5,511,479
22. Insurance taxes, licenses and fees.....	142,908	404,855	369,775
23. Increase in loading on deferred and uncollected premiums.....			
24. Net transfers to or (from) Separate Accounts net of reinsurance.....			
25. Aggregate write-ins for deductions.....	0	0	0
26. Totals (Lines 18 to 25).....	16,086,167	17,071,687	20,998,389
27. Net gain from operations before refunds to members (Line 9 minus Line 26).....	2,084,828	1,765,937	2,846,330
28. Refunds to members.....	(3,996)	(2,104)	(3,040)
29. Net gain from operations after refunds to members and before realized capital gains (losses) (Line 27 minus Line 28).....	2,088,824	1,768,041	2,849,370
30. Net realized capital gains (losses) less capital gains tax of0 (excluding \$0 transferred to the IMR).....	47,764	(31,629)	66,446
31. Net income (Lines 29 + 30).....	2,136,588	1,736,412	2,915,816
SURPLUS ACCOUNT			
32. Surplus, December 31, prior year.....	44,786,412	42,443,460	42,443,460
33. Net income from operations (Line 31).....	2,136,588	1,736,412	2,915,816
34. Change in net unrealized capital gains (losses) less capital gains tax of \$0.....	942,537	(1,318,889)	(788,075)
35. Change in net unrealized foreign exchange capital gain (loss).....			
36. Change in nonadmitted assets.....			
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.....	(568,444)	750,975	215,211
40. Surplus (contributed to) withdrawn from Separate Accounts during period.....			
41. Other changes in surplus in Separate Accounts Statement.....			
42. Change in surplus notes.....			
43. Cumulative effect of changes in accounting principles.....			
44. Change in surplus as a result of reinsurance.....			
45. Aggregate write-ins for gains and losses in surplus.....	0	0	0
46. Net change in surplus for the year (Lines 33 through 45).....	2,510,681	1,168,498	2,342,952
47. Surplus as of statement date (Lines 32 + 46).....	47,297,093	43,611,958	44,786,412

DETAILS OF WRITE-INS			
08.301. Miscellaneous Income.....	208,577	14,623	54,695
08.302. Penalty on early withdrawl.....	5,044	8,492	9,983
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).....	213,621	23,115	64,678
2501.			
2502.			
2503.			
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	0	0	0
4501.			
4502.			
4503.			
4598. Summary of remaining write-ins for Line 45 from overflow page.....	0	0	0
4599. Totals (Lines 4501 thru 4503 plus 4598) (Line 45 above).....	0	0	0

CASH FLOW

	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
CASH FROM OPERATIONS			
1. Premiums collected net of reinsurance.....	10,338,526	10,789,364	13,591,430
2. Net investment income.....	7,477,867	7,505,414	9,377,035
3. Miscellaneous income.....	213,621	23,115	64,678
4. Total (Lines 1 through 3).....	18,030,014	18,317,893	23,033,143
5. Benefit and loss related payments.....	12,768,560	12,387,949	16,194,183
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	5,632,400	5,668,548	6,518,204
8. Dividends paid to policyholders.....	326	(5,203)	(5,263)
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....			
10. Total (Lines 5 through 9).....	18,401,286	18,051,294	22,707,124
11. Net cash from operations (Line 4 minus Line 10).....	(371,272)	266,599	326,019
CASH FROM INVESTMENTS			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	7,842,421	20,740,795	27,780,540
12.2 Stocks.....	1,882,091	2	98,966
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).....	9,724,512	20,740,797	27,879,506
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	7,571,947	23,081,699	29,386,879
13.2 Stocks.....	1,728,444	231,879	458,191
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).....	9,300,392	23,313,578	29,845,070
14. Net increase or (decrease) in contract loans and premium notes.....	(314,654)	(552,540)	(585,090)
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14).....	738,774	(2,020,241)	(1,380,474)
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.....			(563,178)
16.5 Dividends to stockholders.....			
16.6 Other cash provided (applied).....	(349,661)	(990,549)	(176,246)
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	(349,661)	(990,549)	(739,424)
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).....	17,842	(2,744,192)	(1,793,879)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	2,193,944	3,987,822	3,987,822
19.2 End of period (Line 18 plus Line 19.1).....	2,211,785	1,243,631	2,193,944

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

20.0001			
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EXHIBIT 1

DIRECT PREMIUMS AND DEPOSIT-TYPE CONTRACTS

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Life Insurance.....	3,435,615	4,326,872	5,760,066
2. Individual annuities.....	3,222,817	3,473,343	3,836,293
3. Accident and Health.....	2,939,736	2,692,072	3,517,673
4. Aggregate of all other lines of business.....	527,963	635,451	988,785
5. Subtotal (Lines 1 through 4).....	10,126,131	11,127,738	14,102,817
6. Fraternal.....			
7. Expenses.....			
8. Subtotal (Lines 5 through 7).....	10,126,131	11,127,738	14,102,817
9. Deposit-type contracts.....		635,451	988,785
10. Total.....	10,126,131	11,763,189	15,091,602

DETAILS OF WRITE-INS

0401. Supplenentry Contracts.....	527,963	635,451	988,785
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).....	527,963	635,451	988,785

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) United Transportation Union Insurance Association state basis (Page 4, Line 31, Columns 1 & 3)	OH	\$ 2,136,588	\$ 2,915,816
(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	\$ 2,136,588	\$ 2,915,816
SURPLUS			
(5) United Transportation Union Insurance Association state basis (Page 3, line 30, Columns 1 & 2)	OH	\$ 47,297,093	\$ 44,786,412
(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	\$ 47,297,093	\$ 44,786,412

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

NOTES TO FINANCIAL STATEMENTS

(1)

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

NOTES TO FINANCIAL STATEMENTS

NOTE 7 – INVESTMENT INCOME

No significant changes

NOTE 8 – DERIVATIVE INSTRUMENTS

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-End

	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

	1 Current Period Total (2+3+4+5+6)	2 Not Eligible for Redemption	Eligible for Redemption			
			3 Less than 6 Months	4 6 Months to Less Than 1 Year	5 1 to Less Than 3 Years	6 3 to 5 Years
Membership Stock						
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
1. Current Period Total General and Separate Accounts Total Collateral Pledged (Lines 2+3)	\$	\$	\$
2. Current Period General Account Total Collateral Pledged	\$	\$	\$
3. Current Period Separate Accounts Total Collateral Pledged	\$	\$	\$
4. Prior Year Total General and Separate Accounts Total Collateral Pledged	\$	\$	\$

b. Maximum Amount Pledged During Reporting Period

	1	2	3 Amount Borrowed at Time of

NOTES TO FINANCIAL STATEMENTS

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

(4) Borrowing from FHLB

a. Amount as of the Reporting Date

1. Current Period

	1 Total 2 + 3	2 General Account	3 Separate Account	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 Account	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

NOTES TO FINANCIAL STATEMENTS

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, this Should be Specifically Noted	Current Status of Payment or Performance Risk of Guarantee. Also Provide Additional Discussion as Warranted
	\$		\$	
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

United Transportation Union Insurance Association 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

NOTES TO FINANCIAL STATEMENTS

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)

(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)
			\$	\$	\$

NOTE 18 – GAIN OR LOSS TO THE REPORTING ENTITY FROM UNINSURED PLANS AND THE PORTION OF PARTIALLY INSURED PLANS

Not applicable

NOTE 19 – DIRECT PREMIUM WRITTEN/PRODUCED BY MANAGING GENERAL AGENTS/THIRD PARTY ADMINISTRATORS

Not applicable

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
	\$	%		

NOTES TO FINANCIAL STATEMENTS

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)			
	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	Cumulative Balance from Prior Years (Col. 1-3+7)	Cumulative Balance from Prior Years (Col. 2-4+8)	
						5	6	7	8	9	10	11
		1 Receivable	2 (Payable)	3 Receivable	4 (Payable)	5 Receivable	6 (Payable)	7 Receivable	8 (Payable)	9 Ref	10 Receivable	11 (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								F		

NOTES TO FINANCIAL STATEMENTS

		premiums										
	5.	Ceded reinsurance premiums payable								G		
	6.	Liability for amounts held under uninsured plans								H		
	7.	Subtotal ACA Transitional Reinsurance Program	\$	\$	\$	\$	\$	\$	\$		\$	\$
c.	Temporary ACA Risk Corridors Program											
	1.	Accrued retrospective premium	\$	\$	\$	\$	\$	\$	\$	I	\$	\$
	2.	Reserve for rate credits or policy experience rating refunds								J		
	3.	Subtotal ACA Risk Corridors Program										
d.	Total for ACA Risk Sharing Provisions											
			\$	\$	\$	\$	\$	\$	\$		\$	\$

Explanations of Adjustments

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

12-31-2012
- 6.2

State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released.
- 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).
- 6.4

By what department or departments?

- 6.5

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

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:

United Transportation Union Insurance Association
GENERAL INTERROGATORIES (continued)
PART 2 - FRATERNAL

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

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.....34.1

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

3.3 A&H expense percent excluding cost containment expenses.....34.1

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

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

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

Current Year to Date - Allocated by States and Territories

State, Etc.	1	Direct Business Only					
		Life Contracts		4 Accident and Health Insurance Premiums, Including Policy, Membership and Other Fees	5 Other Considerations	6 Total Columns 2 through 5	7 Deposit-Type Contracts
		2 Life Insurance Premiums	3 Annuity Considerations				
1. Alabama.....	AL	.N	60,342	9,290	25,135	94,767	
2. Alaska.....	AK	.N	355	378	606	1,339	
3. Arizona.....	AZ	.N	52,029	25,724	58,374	136,127	
4. Arkansas.....	AR	.N	98,604	13,131	39,406	151,141	
5. California.....	CA	.L	441,471	346,336	246,676	1,034,483	41,927
6. Colorado.....	CO	.L	70,187	92,346	63,915	226,448	14,216
7. Connecticut.....	CT	.N	2,189		4,400	6,589	
8. Delaware.....	DE	.N	6,395		3,514	9,909	
9. District of Columbia.....	DC	.L	6,922		6,456	13,378	
10. Florida.....	FL	.N	58,718	141,871	26,194	226,783	
11. Georgia.....	GA	.N	147,222	5,494	105,404	258,120	23,840
12. Hawaii.....	HI	.N				0	
13. Idaho.....	ID	.N	22,677	420	43,887	66,984	
14. Illinois.....	IL	.N	361,560	161,886	359,801	883,247	
15. Indiana.....	IN	.N	145,773	18,770	116,813	281,356	
16. Iowa.....	IA	.N	61,930	75,414	32,743	170,087	
17. Kansas.....	KS	.N	121,365	119,160	72,943	313,468	
18. Kentucky.....	KY	.N	113,545	33,855	36,392	183,792	
19. Louisiana.....	LA	.N	84,100	19,503	109,082	212,685	
20. Maine.....	ME	.N	2,088	10,093	454	12,635	
21. Maryland.....	MD	.N	45,238	14,325	11,594	71,157	
22. Massachusetts.....	MA	.N	8,257	9,661	13,269	31,187	
23. Michigan.....	MI	.N	43,197	69,109	24,035	136,341	
24. Minnesota.....	MN	.N	58,777	6,721	25,688	91,186	9,862
25. Mississippi.....	MS	.N	19,876	15,048	20,229	55,153	
26. Missouri.....	MO	.N	160,920	328,394	115,053	604,367	
27. Montana.....	MT	.N	17,978	693	19,645	38,316	
28. Nebraska.....	NE	.N	116,863	15,211	123,224	255,298	26,589
29. Nevada.....	NV	.N	8,292		5,468	13,760	
30. New Hampshire.....	NH	.N			92	92	
31. New Jersey.....	NJ	.N	88,886	254,494	284,169	627,549	44,289
32. New Mexico.....	NM	.L	14,921	7,813	13,217	35,951	
33. New York.....	NY	.N	120,496	74,682	89,852	285,030	8,053
34. North Carolina.....	NC	.N	67,826	56,251	36,463	160,540	36,564
35. North Dakota.....	ND	.N	64,845	2,684	35,769	103,298	31,213
36. Ohio.....	OH	.L	189,991	430,917	111,314	732,222	210,529
37. Oklahoma.....	OK	.N	31,219		11,568	42,787	
38. Oregon.....	OR	.N	9,222		12,290	21,512	
39. Pennsylvania.....	PA	.L	101,506	503,651	141,107	746,264	
40. Rhode Island.....	RI	.N			50	50	
41. South Carolina.....	SC	.N	51,323	9,149	41,673	102,145	
42. South Dakota.....	SD	.N	4,757		4,902	9,659	
43. Tennessee.....	TN	.N	76,156	23,096	42,699	141,951	
44. Texas.....	TX	.N	182,360	63,344	185,732	431,436	
45. Utah.....	UT	.N	23,033		11,423	34,456	
46. Vermont.....	VT	.N	346		132	478	
47. Virginia.....	VA	.N	83,986	73,184	48,089	205,259	3,150
48. Washington.....	WA	.N	21,281	5,629	25,302	52,212	
49. West Virginia.....	WV	.L	47,112	153,613	35,094	235,819	77,731
50. Wisconsin.....	WI	.N	52,384	22,168	28,064	102,616	
51. Wyoming.....	WY	.N	91,354	9,309	70,335	170,998	
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). 7		3,659,874	3,222,817	2,939,736	9,822,427	527,963
90. Reporting entity contributions for employee benefit plans	XXX					0	
91. Dividends or refunds applied to purchase paid-up additions and annuities.....	XXX					0	
92. Dividends or refunds applied to shorten endowment or premium paying period.....	XXX					0	
93. Premium or annuity considerations waived under disability or other contract provisions.....	XXX					0	
94. Aggregate other amounts not allocable by state.....	XXX		0	0	0	0	0
95. Totals (Direct Business).....	XXX		3,659,874	3,222,817	2,939,736	9,822,427	527,963
96. Plus reinsurance assumed.....	XXX					0	
97. Totals (All Business).....	XXX		3,659,874	3,222,817	2,939,736	9,822,427	527,963
98. Less reinsurance ceded.....	XXX		224,259			224,259	
99. Totals (All Business) less reinsurance ceded.....	XXX		3,435,615	3,222,817	2,939,736	9,598,168	527,963

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-domicled 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

United Transportation Union Insurance Association

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

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

	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.

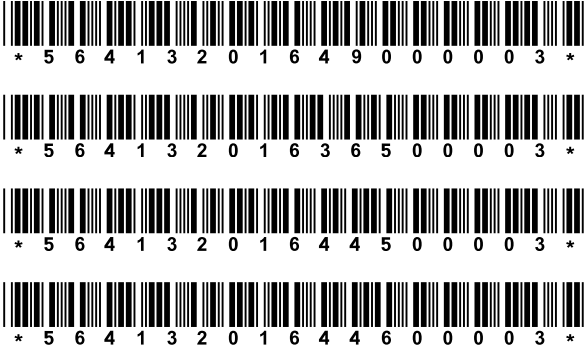
The data for this supplement is not required to be filed.
5.

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:



United Transportation Union Insurance Association
Overflow Page for Write-Ins

NONE

United Transportation Union Insurance Association
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.....	1,561,746	1,603,392
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.....	31,236	41,646
9. Book/adjusted carrying value at end of current period (Lines 1+2+3+4-5+6-7-8).....	1,530,511	1,561,746
10. Deduct total nonadmitted amounts.....		
11. Statement value at end of current period (Line 9 minus Line 10).....	1,530,511	1,561,746

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

NONE

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

NONE

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year.....	214,920,480	213,553,565
2. Cost of bonds and stocks acquired.....	9,300,392	29,845,070
3. Accrual of discount.....	48,410	68,589
4. Unrealized valuation increase (decrease).....	942,537	(788,075)
5. Total gain (loss) on disposals.....	(89,468)	629,084
6. Deduct consideration for bonds and stocks disposed of.....	9,724,512	27,879,506
7. Deduct amortization of premium.....	324,327	508,246
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).....	215,073,513	214,920,480
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	215,073,513	214,920,480

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).....	138,387,058	1,492,725	1,366,132	(2,202,925)	140,877,881	138,387,058	136,310,726	143,382,588
2. NAIC 2 (a).....	57,726,153			697,765	54,892,687	57,726,153	58,423,919	56,411,003
3. NAIC 3 (a).....	1,684,453			249	2,411,752	1,684,453	1,684,703	
4. NAIC 4 (a).....	581,316			144	581,303	581,316	581,460	
5. NAIC 5 (a).....							0	
6. NAIC 6 (a).....							0	
7. Total Bonds.....	198,378,981	1,492,725	1,366,132	(1,504,767)	198,763,624	198,378,981	197,000,807	199,793,591
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.....	198,378,981	1,492,725	1,366,132	(1,504,767)	198,763,624	198,378,981	197,000,807	199,793,591

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

Sch. DA - Pt. 1
NONE

Sch. DA - Verification
NONE

Sch. DB - Pt. A - Verification
NONE

Sch. DB - Pt. B - Verification
NONE

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

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

Sch. DB - Verification
NONE

SCHEDULE E- VERIFICATION

Cash Equivalents

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	1,942,803	3,329,109
2. Cost of cash equivalents acquired.....	17,626,922	38,639,957
3. Accrual of discount.....		
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....		
6. Deduct consideration received on disposals.....	17,726,463	40,026,263
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).....	1,843,262	1,942,803
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	1,843,262	1,942,803

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									
594918 BT 0	MICROSOFT CORP.....		08/08/2016....	MLPFS Inc.....		1,492,725	1,500,000		1.....
3899999. Total Bonds - Industrial and Miscellaneous.....						1,492,725	1,500,000	0	XXX
8399997. Total Bonds - Part 3.....						1,492,725	1,500,000	0	XXX
8399999. Total Bonds.....						1,492,725	1,500,000	0	XXX
Common Stocks - Industrial and Miscellaneous									
744336 50 4	PRUDENTIAL INVT PORTFOLIO 12.....		07/25/2016....	Dividend Reinvestment.....	277.944	7,076	XXX		L.....
922040 10 0	VANGUARD INSTL INDEX FD.....		09/19/2016....	Dividend Reinvestment.....	224.718	43,901	XXX		L.....
9099999. Total Common Stocks - Industrial and Miscellaneous.....						50,977	XXX	0	XXX
Common Stocks - Mutual Funds									
922908 64 5	Vanguard Index TR.....		09/20/2016....	Dividend Reinvestment.....	22.202	3,490	XXX		L.....
9299999. Total Common Stocks - Mutual Funds.....						3,490	XXX	0	XXX
9799997. Total Common Stocks - Part 3.....						54,467	XXX	0	XXX
9799999. Total Common Stocks.....						54,467	XXX	0	XXX
9899999. Total Preferred and Common Stocks.....						54,467	XXX	0	XXX
9999999. Total Bonds, Preferred and Common Stocks.....						1,547,192	XXX	0	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 Design- ation or Market Indicator (a)

Bonds - U.S. Government

3128P7	X9	9	FHLMC PC	GOLD CASH 20.....	09/15/2016.	PRINCIPAL RECEIPT.....		84,860	84,860	87,558	87,453		(2,594)		(2,594)		84,860			0	1,263	01/01/2033....	1.....
31292S	AQ	3	FHLMC PC	GOLD CASH 30.....	09/15/2016.	PRINCIPAL RECEIPT.....		48,587	48,587	50,690	50,659		(2,071)		(2,071)		48,587			0	864	10/01/2042....	1.....
31292S	AU	4	FHLMC PC	GOLD CASH 30.....	09/15/2016.	PRINCIPAL RECEIPT.....		55,942	55,942	58,678	58,647		(2,705)		(2,705)		55,942			0	988	12/01/2042....	1.....
312946	N9	3	FHLMC PC	GOLD COMB 30.....	09/15/2016.	PRINCIPAL RECEIPT.....		27,421	27,421	29,906	29,884		(2,463)		(2,463)		27,421			0	745	03/01/2041....	1.....
3132HM	K2	6	FHLMC PC	GOLD PC 30YR.....	09/15/2016.	PRINCIPAL RECEIPT.....		54,911	54,911	57,434	57,410		(2,499)		(2,499)		54,911			0	967	09/01/2042....	1.....
31417E	SS	1	FNMA PASS-THRU	LNG 30 YEAR.....	09/25/2016.	PRINCIPAL RECEIPT.....		19,707	19,707	19,528	19,530		177		177		19,707			0	288	01/01/2043....	1.....
31417F	ML	9	FNMA PASS-THRU	LNG 30 YEAR.....	09/25/2016.	PRINCIPAL RECEIPT.....		8,640	8,640	8,062	8,068		572		572		8,640			0	101	01/01/2043....	1.....
31417H	CR	3	FNMA PASS-THRU	LNG LP SF30YR.....	09/25/2016.	PRINCIPAL RECEIPT.....		85,580	85,580	89,604	89,496		(3,917)		(3,917)		85,580			0	2,146	07/01/2043....	1.....
36202D	YY	1	GNMA II Pool	3427.....	09/20/2016.	PRINCIPAL RECEIPT.....		7,138	7,138	6,995	7,005		133		133		7,138			0	189	08/20/2033....	1.....
36290S	5M	9	GNMA II Pool	616552.....	09/20/2016.	PRINCIPAL RECEIPT.....		4,340	4,340	4,649	4,621		(282)		(282)		4,340			0	166	08/20/2034....	1.....
36225A	KR	0	GNMA PASS-THRU	780304.....	09/15/2016.	PRINCIPAL RECEIPT.....		8,985	8,985	10,333	9,674		(689)		(689)		8,985			0	568	07/15/2021....	1.....
36225B	4C	9	GNMA PASS-THRU	781719.....	09/15/2016.	PRINCIPAL RECEIPT.....		5,378	5,378	5,655	5,648		(270)		(270)		5,378			0	189	02/15/2034....	1.....
0599999. Total Bonds - U.S. Government.....								411,488	411,488	429,093	428,095	0	(16,607)	0	(16,607)	0	411,488	0	0	0	8,474	XXX	XXX

Bonds - U.S. Special Revenue and Special Assessment

3128M4	JF	1	FG G02662.....	09/15/2016.	PRINCIPAL RECEIPT.....		7,321	7,321	7,797	7,704		(384)		(384)		7,321			0	332	07/01/2034....	1.....
31292H	NC	4	FGC 01287.....	09/15/2016.	PRINCIPAL RECEIPT.....		4,663	4,663	4,733	4,721		(57)		(57)		4,663			0	174	01/01/2032....	1.....
3128M7	VT	0	FGG 05726.....	09/15/2016.	PRINCIPAL RECEIPT.....		19,042	19,042	20,208	20,165		(1,123)		(1,123)		19,042			0	573	08/01/2039....	1.....
312935	H8	5	FHLMC PC A8-8355.....	09/15/2016.	PRINCIPAL RECEIPT.....		14,908	14,908	15,061	15,059		(151)		(151)		14,908			0	410	09/01/2039....	1.....
3128M7	LX	2	FHLMC PC 5442.....	09/15/2016.	PRINCIPAL RECEIPT.....		30,575	30,575	34,435	33,273		(2,698)		(2,698)		30,575			0	1,741	07/01/2032....	1.....
3128M8	3G	7	FHLMC PC G06799 GOLD COMB 30.....	09/15/2016.	PRINCIPAL RECEIPT.....		47,327	47,327	48,451	48,401		(1,074)		(1,074)		47,327			0	1,008	11/01/2041....	1.....
3137B4	HD	1	FHLMC REMIC SERIES 4247.....	09/15/2016.	PRINCIPAL RECEIPT.....		59,200	59,200	65,046	63,622		(4,422)		(4,422)		59,200			0	1,570	12/15/2042....	1FE.....
3138EB	PJ	8	FN AK6724.....	09/25/2016.	PRINCIPAL RECEIPT.....		21,716	21,716	22,188	22,157		(441)		(441)		21,716			0	392	03/01/2042....	1.....
31371K	Y7	0	FN 254634.....	09/25/2016.	PRINCIPAL RECEIPT.....		3,622	3,622	3,639	3,627		(5)		(5)		3,622			0	117	02/01/2023....	1.....
31402C	U6	7	FN 725205.....	09/25/2016.	PRINCIPAL RECEIPT.....		7,555	7,555	7,559	7,555		(0)		(0)		7,555			0	226	03/01/2034....	1.....
31404V	TS	7	FN 780061.....	09/25/2016.	PRINCIPAL RECEIPT.....		18,837	18,837	18,828	18,820		16		16		18,837			0	498	05/01/2034....	1.....
31407F	GC	8	FN 829195.....	09/25/2016.	PRINCIPAL RECEIPT.....		52	52	50	50		2		2		52			0	1	07/01/2035....	1.....
31408F	GA	1	FN 849893.....	09/25/2016.	PRINCIPAL RECEIPT.....		2,078	2,078	1,938	1,988		90		90		2,078			0	49	11/01/2023....	1.....
31408G	Y2	7	FN 851329.....	09/25/2016.	PRINCIPAL RECEIPT.....		419	419	414	415		5		5		419			0	14	02/01/2036....	1.....
31419A	KZ	9	FN Pool AE0311.....	09/25/2016.	PRINCIPAL RECEIPT.....		30,857	30,857	30,886	30,881		(24)		(24)		30,857			0	649	08/01/2040....	1.....
31371K	7E	5	FNMA PASS-THRU 254793.....	09/25/2016.	PRINCIPAL RECEIPT.....		9,527	9,527	9,551	9,549		(21)		(21)		9,527			0	282	07/01/2033....	1.....
31381D	2J	3	FNMA PASS-THRU 458077.....	09/25/2016.	PRINCIPAL RECEIPT.....		4,294	4,294	4,659	4,582		(288)		(288)		4,294			0	181	08/15/2027....	1.....
31385J	DJ	4	FNMA PASS-THRU 545605.....	09/25/2016.	PRINCIPAL RECEIPT.....		4,895	4,895	5,373	5,338		(442)		(442)		4,895			0	204	05/01/2032....	1.....
31403D	T8	2	FNMA PASS-THRU 745875.....	09/25/2016.	PRINCIPAL RECEIPT.....		8,352	8,352	8,964	8,952		(600)		(600)		8,352			0	319	09/01/2036....	1.....
31403U	PF	2	FNMA PASS-THRU 758322.....	09/25/2016.	PRINCIPAL RECEIPT.....		7,055	7,055	7,369	7,363		(307)		(307)		7,055			0	257	12/01/2033....	1.....
31416C	FS	0	FNMA PASS-THRU 995777.....	09/25/2016.	PRINCIPAL RECEIPT.....		40,249	40,249	43,771	43,504		(3,255)		(3,255)		40,249			0	1,752	04/01/2033....	1.....

SCHEDULE D - PART 4

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

1	2			3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
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 Desig- nation or Market Indicator (a)
31396Y	S2	9	FNR 2008-26 ZK.....	09/25/2016.	PRINCIPAL RECEIPT.....			72,492	72,492	58,400	71,517			974		974		72,492			0		04/25/2038....	1.....
45201L	VF	9	ILLINOIS HSG DEV AUTH.....	09/30/2016.	Call.....			125,000	125,000	125,000	125,000					0		125,000			0	6,922	07/01/2033....	1FE.....
57586N	MV	0	MASSACHUSETTS ST HSG FIN AGY.....	07/01/2016.	Call.....			165,000	165,000	165,000	165,000					0		165,000			0	4,655	06/01/2043....	1FE.....
3199999. Total Bonds - U.S. Special Revenue and Special Assessment.....								705,035	705,035	709,319	719,242	0	(14,207)	0	(14,207)	0	705,035	0	0	0	22,325	XXX	XXX	
Bonds - Industrial and Miscellaneous																								
61754K	AC	9	MORGAN STANLEY CAP 2007-IQ14.....	09/15/2016.	PRINCIPAL RECEIPT.....			34,578	34,578	35,874	34,947		(369)		(369)		34,578			0	1,500	04/15/2049....	1FM.....	
69349L	AG	3	PNC BK N A PITTSBURGH PA.....	08/08/2016.	Baird, Robert W & Co.....			254,318	250,000	249,978	249,980		1		1		249,980		4,337	4,337	5,194	11/01/2022....	1FE.....	
74332M	AA	3	PROGRESS RESI TR 2015-SFR2.....	09/14/2016.	PRINCIPAL RECEIPT.....			1,006	1,006	1,006	1,005		0		0		1,006			0	18	06/14/2032....	1FE.....	
90783W	AA	1	Union Pacific RR Co.....	07/02/2016.	Sink PMT @ 100.0000000.....			9,333	9,333	9,333	9,333				0		9,333			0	281	07/02/2030....	1FE.....	
929227	ZC	3	WAMU 2002 - AR18 A.....	09/25/2016.	PRINCIPAL RECEIPT.....			1,018	1,018	1,013	1,011		7		7		1,018			0	17	01/25/2033....	1FM.....	
92978Y	AB	6	WBCMT 2007-C32 A2.....	09/15/2016.	PRINCIPAL RECEIPT.....			12,893	12,893	13,240	13,068		(174)		(174)		12,893			0	475	06/15/2049....	1FM.....	
3899999. Total Bonds - Industrial and Miscellaneous.....								313,146	308,828	310,444	309,345	0	(536)	0	(536)	0	308,809	0	4,337	4,337	7,485	XXX	XXX	
8399997. Total Bonds - Part 4.....								1,429,669	1,425,352	1,448,856	1,456,681	0	(31,349)	0	(31,349)	0	1,425,332	0	4,337	4,337	38,284	XXX	XXX	
8399999. Total Bonds.....								1,429,669	1,425,352	1,448,856	1,456,681	0	(31,349)	0	(31,349)	0	1,425,332	0	4,337	4,337	38,284	XXX	XXX	
9999999. Total Bonds, Preferred and Common Stocks.....								1,429,669	XXX	1,448,856	1,456,681	0	(31,349)	0	(31,349)	0	1,425,332	0	4,337	4,337	38,284	XXX	XXX	

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

QE05.1

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								
Fifth Third Bank..... Cleveland, Ohio.....					108,422	(61,266)	326,919	XXX
US Bank..... Cleveland, Ohio.....							41,602	XXX
0199999. Total Open Depositories.....	XXX	XXX	0	0	108,422	(61,266)	368,522	XXX
0399999. Total Cash on Deposit.....	XXX	XXX	0	0	108,422	(61,266)	368,522	XXX
0599999. Total Cash.....	XXX	XXX	0	0	108,422	(61,266)	368,522	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
U.S. Government Bonds - Issuer Obligations							
First America Prime Oblig Fund CI Y.....		Various.....			1,843,263		529
0199999. U.S. Government Bonds - Issuer Obligations.....					1,843,263	0	529
0599999. Total - U.S. Government Bonds.....					1,843,263	0	529
Total Bonds							
7799999. Subtotals - Issuer Obligations.....					1,843,263	0	529
8399999. Subtotals - Bonds.....					1,843,263	0	529
8699999. Total - Cash Equivalents.....					1,843,263	0	529