



PROPERTY AND CASUALTY COMPANIES - ASSOCIATION EDITION

QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2018

OF THE CONDITION AND AFFAIRS OF THE

Utica National Insurance Company of Ohio

NAIC Group Code 0201 (Current) 0201 (Prior) NAIC Company Code 13998 Employer's ID Number 27-2764004

Organized under the Laws of Ohio, State of Domicile or Port of Entry OH

Country of Domicile United States of America

Incorporated/Organized 04/06/2010 Commenced Business 12/22/2010

Statutory Home Office 2 Easton Oval, Suite 225 (Street and Number) Columbus, OH, US 43219 (City or Town, State, Country and Zip Code)

Main Administrative Office 180 Genesee Street (Street and Number) New Hartford, NY, US 13413 (City or Town, State, Country and Zip Code) 315-734-2000 (Area Code) (Telephone Number)

Mail Address Post Office Box 530 (Street and Number or P.O. Box) Utica, NY, US 13503-0530 (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 180 Genesee Street (Street and Number) New Hartford, NY, US 13413 (City or Town, State, Country and Zip Code) 315-734-2000 (Area Code) (Telephone Number)

Internet Website Address www.uticanational.com

Statutory Statement Contact Sandra Jean Giehl (Name) 315-734-2192 (Area Code) (Telephone Number) sandy.giehl@uticanational.com (E-mail Address) 315-734-2994 (FAX Number)

OFFICERS

Chairman, President & CEO Richard Patrick Creedon Secretary Louisa Suzanne Ruffine CFO & Treasurer Brian Wade Miller Jr.

OTHER

Kristen Holly Martin, EVP & COO

DIRECTORS OR TRUSTEES

John Martin Anderson Richard Patrick Creedon Louisa Suzanne Ruffine Jolene Marie Casatelli Steven Paul Guzski Paul Lewis Cohen Kristen Holly Martin

State of New York County of Oneida SS:

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

Richard Patrick Creedon Chairman, President & CEO

Brian Wade Miller, Jr. CFO & Treasurer

Louisa Suzanne Ruffine Secretary

Subscribed and sworn to before me this day of

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

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**ASSETS**

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds .....	17,378,712		17,378,712	17,489,805
2. Stocks:				
2.1 Preferred stocks .....				
2.2 Common stocks .....				
3. Mortgage loans on real estate:				
3.1 First liens .....				
3.2 Other than first liens.....				
4. Real estate:				
4.1 Properties occupied by the company (less \$ ..... encumbrances) .....				
4.2 Properties held for the production of income (less \$ ..... encumbrances) .....				
4.3 Properties held for sale (less \$ ..... encumbrances) .....				
5. Cash (\$ .....255,107 ), cash equivalents (\$ .....638 ) and short-term investments (\$ ..... ) .....	255,745		255,745	352,611
6. Contract loans (including \$ ..... premium notes) .....				
7. Derivatives .....				
8. Other invested assets .....				
9. Receivables for securities .....				
10. Securities lending reinvested collateral assets .....				
11. Aggregate write-ins for invested assets .....				
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	17,634,457		17,634,457	17,842,415
13. Title plants less \$ ..... charged off (for Title insurers only) .....				
14. Investment income due and accrued .....	118,096		118,096	114,362
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....				
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ ..... earned but unbilled premiums) .....				
15.3 Accrued retrospective premiums (\$ ..... ) and contracts subject to redetermination (\$ ..... ) .....				
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....				
16.2 Funds held by or deposited with reinsured companies .....				
16.3 Other amounts receivable under reinsurance contracts .....				
17. Amounts receivable relating to uninsured plans .....				
18.1 Current federal and foreign income tax recoverable and interest thereon .....	9,260		9,260	
18.2 Net deferred tax asset .....				
19. Guaranty funds receivable or on deposit .....				
20. Electronic data processing equipment and software .....				
21. Furniture and equipment, including health care delivery assets (\$ ..... ) .....				
22. Net adjustment in assets and liabilities due to foreign exchange rates .....				
23. Receivables from parent, subsidiaries and affiliates .....	1,982,071		1,982,071	2,620,407
24. Health care (\$ ..... ) and other amounts receivable .....				
25. Aggregate write-ins for other than invested assets .....				
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	19,743,884		19,743,884	20,577,184
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....				
28. Total (Lines 26 and 27)	19,743,884		19,743,884	20,577,184
<b>DETAILS OF WRITE-INS</b>				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....				
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)				
2501. ....				
2502. ....				
2503. ....				
2598. Summary of remaining write-ins for Line 25 from overflow page .....				
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)				

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**LIABILITIES, SURPLUS AND OTHER FUNDS**

	1 Current Statement Date	2 December 31, Prior Year
1. Losses (current accident year \$ ..... )		
2. Reinsurance payable on paid losses and loss adjustment expenses		
3. Loss adjustment expenses		
4. Commissions payable, contingent commissions and other similar charges	1,219,772	3,478,613
5. Other expenses (excluding taxes, licenses and fees)	3,496	2,972
6. Taxes, licenses and fees (excluding federal and foreign income taxes)	199,200	188,100
7.1 Current federal and foreign income taxes (including \$ ..... on realized capital gains (losses))	1,116,360	735,010
7.2 Net deferred tax liability	3,270	3,763
8. Borrowed money \$ ..... and interest thereon \$ .....		
9. Unearned premiums (after deducting unearned premiums for ceded reinsurance of \$ .....49,455,597 and including warranty reserves of \$ ..... and accrued accident and health experience rating refunds including \$ ..... for medical loss ratio rebate per the Public Health Service Act)		
10. Advance premium		
11. Dividends declared and unpaid:		
11.1 Stockholders		
11.2 Policyholders		
12. Ceded reinsurance premiums payable (net of ceding commissions)		
13. Funds held by company under reinsurance treaties		
14. Amounts withheld or retained by company for account of others	572,572	959,128
15. Remittances and items not allocated		
16. Provision for reinsurance (including \$ ..... certified)		
17. Net adjustments in assets and liabilities due to foreign exchange rates		
18. Drafts outstanding		
19. Payable to parent, subsidiaries and affiliates		
20. Derivatives		
21. Payable for securities	24	
22. Payable for securities lending		
23. Liability for amounts held under uninsured plans		
24. Capital notes \$ ..... and interest thereon \$ .....		
25. Aggregate write-ins for liabilities		
26. Total liabilities excluding protected cell liabilities (Lines 1 through 25)	3,114,694	5,367,586
27. Protected cell liabilities		
28. Total liabilities (Lines 26 and 27)	3,114,694	5,367,586
29. Aggregate write-ins for special surplus funds		
30. Common capital stock	4,000,000	4,000,000
31. Preferred capital stock		
32. Aggregate write-ins for other than special surplus funds		
33. Surplus notes		
34. Gross paid in and contributed surplus	6,229,204	6,229,204
35. Unassigned funds (surplus)	6,399,986	4,980,394
36. Less treasury stock, at cost:		
36.1 ..... shares common (value included in Line 30 \$ ..... )		
36.2 ..... shares preferred (value included in Line 31 \$ ..... )		
37. Surplus as regards policyholders (Lines 29 to 35, less 36)	16,629,190	15,209,598
38. Totals (Page 2, Line 28, Col. 3)	19,743,884	20,577,184
<b>DETAILS OF WRITE-INS</b>		
2501. ....		
2502. ....		
2503. ....		
2598. Summary of remaining write-ins for Line 25 from overflow page		
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)		
2901. ....		
2902. ....		
2903. ....		
2998. Summary of remaining write-ins for Line 29 from overflow page		
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above)		
3201. ....		
3202. ....		
3203. ....		
3298. Summary of remaining write-ins for Line 32 from overflow page		
3299. Totals (Lines 3201 through 3203 plus 3298)(Line 32 above)		

**STATEMENT OF INCOME**

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
<b>UNDERWRITING INCOME</b>			
1. Premiums earned:			
1.1 Direct (written \$ 71,533,334 )	62,333,228	58,861,187	80,103,372
1.2 Assumed (written \$ )			
1.3 Ceded (written \$ 71,533,334 )	62,333,228	58,861,187	80,103,372
1.4 Net (written \$ )			
<b>DEDUCTIONS:</b>			
2. Losses incurred (current accident year \$ ):			
2.1 Direct	16,798,882	31,407,000	47,080,303
2.2 Assumed	200	200	200
2.3 Ceded	16,799,082	31,407,200	47,080,503
2.4 Net			
3. Loss adjustment expenses incurred			
4. Other underwriting expenses incurred	(1,448,623)	(1,417,387)	(1,680,602)
5. Aggregate write-ins for underwriting deductions			
6. Total underwriting deductions (Lines 2 through 5)	(1,448,623)	(1,417,387)	(1,680,602)
7. Net income of protected cells			
8. Net underwriting gain or (loss) (Line 1 minus Line 6 + Line 7)	1,448,623	1,417,387	1,680,602
<b>INVESTMENT INCOME</b>			
9. Net investment income earned	388,051	336,660	452,983
10. Net realized capital gains (losses) less capital gains tax of \$ (9,260)	(36,224)	8,740	9,686
11. Net investment gain (loss) (Lines 9 + 10)	351,826	345,401	462,670
<b>OTHER INCOME</b>			
12. Net gain or (loss) from agents' or premium balances charged off (amount recovered \$ amount charged off \$ )			
13. Finance and service charges not included in premiums			
14. Aggregate write-ins for miscellaneous income			
15. Total other income (Lines 12 through 14)			
16. Net income before dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes (Lines 8 + 11 + 15)	1,800,449	1,762,788	2,143,272
17. Dividends to policyholders			
18. Net income, after dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes (Line 16 minus Line 17)	1,800,449	1,762,788	2,143,272
19. Federal and foreign income taxes incurred	381,350	600,339	804,246
20. Net income (Line 18 minus Line 19)(to Line 22)	1,419,099	1,162,449	1,339,026
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
21. Surplus as regards policyholders, December 31 prior year	15,209,598	13,869,613	13,869,613
22. Net income (from Line 20)	1,419,099	1,162,449	1,339,026
23. Net transfers (to) from Protected Cell accounts			
24. Change in net unrealized capital gains (losses) less capital gains tax of \$			
25. Change in net unrealized foreign exchange capital gain (loss)			
26. Change in net deferred income tax	493	(963)	959
27. Change in nonadmitted assets			
28. Change in provision for reinsurance			
29. Change in surplus notes			
30. Surplus (contributed to) withdrawn from protected cells			
31. Cumulative effect of changes in accounting principles			
32. Capital changes:			
32.1 Paid in			
32.2 Transferred from surplus (Stock Dividend)			
32.3 Transferred to surplus			
33. Surplus adjustments:			
33.1 Paid in			
33.2 Transferred to capital (Stock Dividend)			
33.3 Transferred from capital			
34. Net remittances from or (to) Home Office			
35. Dividends to stockholders			
36. Change in treasury stock			
37. Aggregate write-ins for gains and losses in surplus			
38. Change in surplus as regards policyholders (Lines 22 through 37)	1,419,592	1,161,486	1,339,985
39. Surplus as regards policyholders, as of statement date (Lines 21 plus 38)	16,629,190	15,031,099	15,209,598
<b>DETAILS OF WRITE-INS</b>			
0501.			
0502.			
0503.			
0598. Summary of remaining write-ins for Line 5 from overflow page			
0599. Totals (Lines 0501 through 0503 plus 0598)(Line 5 above)			
1401.			
1402.			
1403.			
1498. Summary of remaining write-ins for Line 14 from overflow page			
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above)			
3701.			
3702.			
3703.			
3798. Summary of remaining write-ins for Line 37 from overflow page			
3799. Totals (Lines 3701 through 3703 plus 3798)(Line 37 above)			

## STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**CASH FLOW**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....			
2. Net investment income .....	419,400	380,485	513,532
3. Miscellaneous income .....			
4. Total (Lines 1 to 3) .....	419,400	380,485	513,532
5. Benefit and loss related payments .....			
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			
7. Commissions, expenses paid and aggregate write-ins for deductions .....	801,161	33,390	(2,361,150)
8. Dividends paid to policyholders .....			
9. Federal and foreign income taxes paid (recovered) net of \$ ..... tax on capital gains (losses) .....			659,645
10. Total (Lines 5 through 9) .....	801,161	33,390	(1,701,505)
11. Net cash from operations (Line 4 minus Line 10) .....	(381,761)	347,095	2,215,037
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	4,613,459	3,288,299	3,659,437
12.2 Stocks .....			
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 .....	24		
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	4,613,483	3,288,299	3,659,437
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	4,582,411	3,385,333	5,253,947
13.2 Stocks .....			
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) .....	4,582,411	3,385,333	5,253,947
14. Net increase (or decrease) in contract loans and premium notes .....			
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	31,072	(97,034)	(1,594,509)
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....			
16.2 Capital and paid in surplus, less treasury stock .....			
16.3 Borrowed funds .....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....			
16.5 Dividends to stockholders .....			
16.6 Other cash provided (applied) .....	253,823	(259,137)	(378,492)
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	253,823	(259,137)	(378,492)
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	(96,866)	(9,076)	242,035
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	352,611	110,575	110,575
19.2 End of period (Line 18 plus Line 19.1) .....	255,745	101,499	352,611

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

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STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO  
**NOTES TO FINANCIAL STATEMENTS**

**Note 1 – Summary of Significant Accounting Policies and Going Concern**

A. Accounting Practices

The financial statements of Utica National Insurance Company of Ohio are presented on the basis of accounting practices prescribed or permitted by the Ohio Insurance Department.

The Ohio Insurance Department recognizes only statutory accounting practices prescribed or permitted by the state of Ohio for determining and reporting the financial condition and results of operations of an insurance company and for determining its solvency under the Ohio Insurance Laws. The National Association of Insurance Commissioners' (NAIC) *Accounting Practices and Procedures* manual (NAIC SAP) has been adopted as a component of prescribed or permitted practices by the state of Ohio. The state of Ohio has adopted some practices that differ from NAIC SAP; however, none of those changes would impact the financial results of Utica National Insurance Company of Ohio.

A reconciliation of the Company's net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the state of Ohio is not required since there are no differences.

<u>Net Income</u>	<u>SSAP#</u>	<u>F/S Page</u>	<u>F/S Line #</u>	<u>2018</u>	<u>2017</u>
(1) Net Income, state basis (Page 4, Line 20, Columns 1 & 3)	XXX	XXX	XXX	\$ 1,419,099	\$ 1,339,026
(2) State Prescribed Practices that increase/(decrease) NAIC SAP				0	0
(3) State Permitted Practices that increase/(decrease) NAIC SAP				0	0
(4) Net Income, NAIC SAP (1 - 2 - 3 = 4)	XXX	XXX	XXX	<u>\$ 1,419,099</u>	<u>\$ 1,339,026</u>
 <u>Surplus</u>					
(5) Statutory surplus, state basis (Page 3, Line 37, Columns 1 & 2)	XXX	XXX	XXX	\$ 16,629,190	\$ 15,209,598
(6) State Prescribed Practices that increase/(decrease) NAIC SAP				0	0
(7) State Permitted Practices that increase/(decrease) NAIC SAP				0	0
(8) Statutory Surplus, NAIC SAP (5 - 6 - 7 = 8)	XXX	XXX	XXX	<u>\$ 16,629,190</u>	<u>\$ 15,209,598</u>

B. No change.

C. Accounting Policies

1. – 5. No change.
6. Loan-backed securities are stated at either amortized cost, or the lower of amortized cost or fair market value. The prospective adjustment method is used to value all loan-backed securities.
7. - 13. No change.

D. Management's evaluation of the financial condition of the Company did not indicate any going concern issues.

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

No change.

**Note 3 – Business Combinations and Goodwill**

No change.

**Note 4 – Discontinued Operations**

No change.

**Note 5 - Investments**

- A. No change.
- B. No change.
- C. No change.

D. Loan-Backed Securities

- (1) Our asset manager uses a proprietary model for loss assumptions and widely accepted models for prepayment assumptions in valuing mortgage-backed and asset-backed securities with inputs from major third party data providers. The models combine the effects of interest rates, volatility, and pre-payment speeds based on various scenarios (Monte Carlo), simulations with resulting effective analytics (spreads, duration, convexity) and cash flows on a monthly basis. Credit sensitive cash flows are calculated using a proprietary model which estimates future loan defaults in terms of timing and severity. Model assumptions are specific to asset class and collateral types and are regularly evaluated and adjusted where appropriate.
- (2) Not applicable.
- (3) Not applicable.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO  
**NOTES TO FINANCIAL STATEMENTS**

(4) Unrealized Losses

a. The aggregate amount of unrealized losses:

Less than 12 months	Greater than 12 months	Total
83,150	87,883	171,033

b. The aggregate related fair value of securities with unrealized losses:

Less than 12 months	Greater than 12 months	Total
3,318,050	1,677,699	4,995,749

(5) There are a number of factors considered in determining if an other-than-temporary impairment does not exist for an investment, including but not limited to, debt burden, credit rating, sector, liquidity, financial flexibility, company management, expected earnings and cash flow stream, and economic prospects associated with the investment.

E. The Company does not have any dollar repurchase agreements or securities lending transactions in its portfolio.

a. b. Not applicable

F. The Company does not have any repurchase agreements transactions accounted for as secured borrowing.

G. The Company does not have any reverse repurchase transactions accounted for as secured borrowing.

H. The Company does not have any repurchase agreements transactions accounted for as a sale.

I. The Company does not have any reverse repurchase agreements transactions accounted for as a sale.

J. The Company does not have any real estate in its portfolio.

K. The Company does not have any low-income housing tax credits (LIHTC) in its portfolio.

L. No change.

M. The Company does not have any working capital finance investments.

(2) Aggregate Maturity Distribution on the Underlying Working Capital Finance Program - not applicable

(3) There are no events of default of working capital finance investments during the reporting period – not applicable.

N. Offsetting and Netting of Assets and Liabilities - Not applicable.

O. Structured Securities – Not applicable.

P. 5\* Securities – Not applicable.

Q. Short Sales - Not applicable.

R. Prepayment Penalty and Acceleration Fees – Not applicable.

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

No change.

**Note 7 – Investment Income**

No change.

**Note 8 – Derivative Instruments**

No change.

**Note 9 – Income Taxes**

No change.

**Note 10 – Information Concerning Parent, Subsidiaries, and Affiliates**

No change.

**Note 11 - Debt**

No change.

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

No change.

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

No change.

**Note 14 – Liabilities, Contingencies and Assessments**

No change.

**Note 15 – Leases**

No change.

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

No change.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO  
**NOTES TO FINANCIAL STATEMENTS**

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

- A. No change.
- B. No change.
- C. Not applicable.

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

No change.

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

No change.

**Note 20 – Fair Value Measurement**

- A. Assets Measured at Fair Value on a Recurring Basis

(1) (a) Fair Value Measurements at Reporting Date

	Level 1	Level 2	Level 3	Total
<b>a. Assets at Fair Value</b>				
<b>Short Term</b>				
Cash Equivalent	638	0	0	638
Total Short Term	638	0	0	638
<b>Total Assets at Fair Value</b>	<b>638</b>	<b>0</b>	<b>0</b>	<b>638</b>

(b) Liabilities at Fair Value – Not applicable

(2) Not applicable.

(3) Not applicable.

(4) The following are the levels of the hierarchy and a brief description of the type of valuation inputs that are used to establish each level:

Pricing Level 1 – Valuations based on unadjusted quoted prices in active markets for identical assets that our pricing sources have the ability to access. Since the valuations are based on quoted prices that are readily and regularly available in an active market, valuation of these securities does not entail a significant amount or degree of judgment.

Pricing Level 2 – Valuations based upon quoted prices for similar assets in active markets, quoted prices for identical or similar assets in inactive markets; or valuations based on models where significant inputs are observable (e.g. interest rates, yield curves, prepayment speeds, default rates, loss severities) or can be corroborated by observable market data.

Pricing Level 3 – Valuations that are derived from techniques in which one or more of the significant inputs are unobservable, including broker quotes which are non-binding.

(5) Not applicable.

- B. Not applicable.

C.

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Not Practicable (Carrying Value)
Bonds	16,982,550	17,379,350	638	16,981,912	0	0

- D. Not applicable.

**Note 21 – Other Items**

No change.

**Note 22 – Events Subsequent**

No change.

**Property & Casualty Specific Notes**

**Note 23 – Reinsurance**

No change.

**Note 24 – Retrospectively Rated Contracts and Contracts Subject to Redetermination**

No change.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO  
**NOTES TO FINANCIAL STATEMENTS**

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

No change.

***Note 26 – Intercompany Pooling Arrangements***

No change.

***Note 27 – Structured Settlements***

No change.

***Note 28 – Health Care Receivables***

No change.

***Note 29 – Participating Policies***

No change.

***Note 30 – Premium Deficiency Reserves***

No change.

***Note 31 – High Deductibles***

No change.

***Note 32 – Discounting of Liabilities for Unpaid Losses or Unpaid Loss Adjustment Expenses***

No change.

***Note 33 – Asbestos / Environmental Reserves***

No change.

***Note 34 – Subscriber Savings Accounts***

No change.

***Note 35 – Multiple Peril Crop Insurance***

No change.

***Note 36 – Financial Guaranty Insurance***

No change.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO  
**GENERAL INTERROGATORIES**

**PART 1 - COMMON INTERROGATORIES**

**GENERAL**

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? ..... Yes [ ] No [ X ]
- 1.2 If yes, has the report been filed with the domiciliary state? ..... Yes [ ] No [ ]
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? ..... Yes [ ] No [ X ]
- 2.2 If yes, date of change: .....
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? ..... Yes [ X ] No [ ]  
 If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? ..... Yes [ ] No [ X ]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.
- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? ..... Yes [ ] No [ X ]
- 3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group. ....
- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? ..... Yes [ ] No [ X ]
- 4.2 If yes, provide the name of the 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? ..... Yes [ ] No [ ] N/A [ X ]  
 If yes, attach an explanation.
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. .... 12/31/2014
- 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). .... 06/30/2016
- 6.4 By what department or departments?  
 Ohio Department of Insurance
- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? ..... Yes [ ] No [ ] N/A [ X ]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? ..... Yes [ ] No [ ] N/A [ X ]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? ..... Yes [ ] No [ X ]
- 7.2 If yes, give full information:
- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? ..... Yes [ ] No [ X ]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? ..... Yes [ ] No [ X ]
- 8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

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

## GENERAL INTERROGATORIES

- 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

- 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: ..... \$ ..... 1,982,071

### 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: ..... \$ .....
13. Amount of real estate and mortgages held in short-term investments: ..... \$ .....
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? ..... Yes [  ] No [  ]
- 14.2 If yes, please complete the following:
- |                                                                                                     | 1<br>Prior Year-End<br>Book/Adjusted<br>Carrying Value | 2<br>Current Quarter<br>Book/Adjusted<br>Carrying Value |
|-----------------------------------------------------------------------------------------------------|--------------------------------------------------------|---------------------------------------------------------|
| 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 .....                       | \$ .....                                               | \$ .....                                                |
- 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.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO  
**GENERAL INTERROGATORIES**

16. For the reporting entity's security lending program, state the amount of the following as of the current statement date:
- 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 .....\$ .....
- 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 .....\$ .....
- 16.3 Total payable for securities lending reported on the liability page .....\$ .....

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

1 Name of Custodian(s)	2 Custodian Address
Bank of New York Mellon .....	One Wall Street, New York, NY .....

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

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

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

- 17.4 If yes, give full information relating thereto:

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

- 17.5 Investment management – Identify all investment advisors, investment managers, broker/dealers, including individuals that have the authority to make investment decisions on behalf of the reporting entity. For assets that are managed internally by employees of the reporting entity, note as such. ["...that have access to the investment accounts"; "...handle securities"]

1 Name of Firm or Individual	2 Affiliation
Conning Asset Management .....	U.....

- 17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") manage more than 10% of the reporting entity's assets?..... Yes [ X ] No [ ]

- 17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's assets?..... Yes [ X ] No [ ]

- 17.6 For those firms or individuals listed in the table for 17.5 with an affiliation code of "A" (affiliated) or "U" (unaffiliated), provide the information for the table below.

1 Central Registration Depository Number	2 Name of Firm or Individual	3 Legal Entity Identifier (LEI)	4 Registered With	5 Investment Management Agreement (IMA) Filed
107423 .....	Conning, Inc. ....	549300Z0G14KK37BDV40 .....	SEC .....	DS.....

- 18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed? ..... Yes [ X ] No [ ]

- 18.2 If no, list exceptions:

19. By self-designating 5\*GI securities, the reporting entity is certifying the following elements for each self-designated 5\*GI security:

- a. Documentation necessary to permit a full credit analysis of the security does not exist.
- b. Issuer or obligor is current on all contracted interest and principal payments.
- c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

- Has the reporting entity self-designated 5\*GI securities? ..... Yes [ ] No [ X ]

# GENERAL INTERROGATORIES

## PART 2 - PROPERTY & CASUALTY INTERROGATORIES

1. If the reporting entity is a member of a pooling arrangement, did the agreement or the reporting entity's participation change? ..... Yes [ ] No [ ] N/A [ X ]  
If yes, attach an explanation.

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

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

3.2 If yes, give full and complete information thereto.

4.1 Are any of the liabilities for unpaid losses and loss adjustment expenses other than certain workers' compensation tabular reserves (see Annual Statement Instructions pertaining to disclosure of discounting for definition of "tabular reserves") discounted at a rate of interest greater than zero? ..... Yes [ ] No [ X ]

4.2 If yes, complete the following schedule:

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

5. Operating Percentages:

5.1 A&H loss percent ..... %

5.2 A&H cost containment percent ..... %

5.3 A&H expense percent excluding cost containment expenses ..... %

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

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

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

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

7. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states? ..... Yes [ X ] No [ ]

7.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity? ..... Yes [ ] No [ ]

**SCHEDULE F - CEDED REINSURANCE**

Showing All New Reinsurers - Current Year to Date

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

**SCHEDULE T - EXHIBIT OF PREMIUMS WRITTEN**

Current Year to Date - Allocated by States and Territories

States, etc.	1 Active Status (a)	Direct Premiums Written		Direct Losses Paid (Deducting Salvage)		Direct Losses Unpaid	
		2 Current Year To Date	3 Prior Year To Date	4 Current Year To Date	5 Prior Year To Date	6 Current Year To Date	7 Prior Year To Date
1. Alabama .....AL	N						
2. Alaska .....AK	N						
3. Arizona .....AZ	N						
4. Arkansas .....AR	N						
5. California .....CA	N						
6. Colorado .....CO	N						
7. Connecticut .....CT	L						
8. Delaware .....DE	N						
9. District of Columbia .....DC	N						
10. Florida .....FL	N						
11. Georgia .....GA	L	1,107,304		60,149		216,100	
12. Hawaii .....HI	N						
13. Idaho .....ID	N						
14. Illinois .....IL	N						
15. Indiana .....IN	N						
16. Iowa .....IA	N						
17. Kansas .....KS	N						
18. Kentucky .....KY	N						
19. Louisiana .....LA	N						
20. Maine .....ME	N						
21. Maryland .....MD	N						
22. Massachusetts .....MA	N						
23. Michigan .....MI	N						
24. Minnesota .....MN	N						
25. Mississippi .....MS	N						
26. Missouri .....MO	N						
27. Montana .....MT	N						
28. Nebraska .....NE	N						
29. Nevada .....NV	N						
30. New Hampshire .....NH	L						
31. New Jersey .....NJ	N						
32. New Mexico .....NM	N						
33. New York .....NY	L	67,735,898	68,572,872	14,715,053	16,161,142	63,746,965	53,637,258
34. North Carolina .....NC	N						
35. North Dakota .....ND	N						
36. Ohio .....OH	L	63,108	60,263	27,900	8,314	7,825	7,758
37. Oklahoma .....OK	N						
38. Oregon .....OR	N						
39. Pennsylvania .....PA	L	2,627,023	1,651,708	961,654	174,134	2,302,942	498,763
40. Rhode Island .....RI	N						
41. South Carolina .....SC	N						
42. South Dakota .....SD	N						
43. Tennessee .....TN	N						
44. Texas .....TX	N						
45. Utah .....UT	N						
46. Vermont .....VT	N						
47. Virginia .....VA	N						
48. Washington .....WA	N						
49. West Virginia .....WV	N						
50. Wisconsin .....WI	N						
51. Wyoming .....WY	N						
52. American Samoa .....AS	N						
53. Guam .....GU	N						
54. Puerto Rico .....PR	N						
55. U.S. Virgin Islands .....VI	N						
56. Northern Mariana Islands .....MP	N						
57. Canada .....CAN	N						
58. Aggregate Other Alien OT	XXX						
59. Totals	XXX	71,533,334	70,284,843	15,764,756	16,343,590	66,273,832	54,143,779
DETAILS OF WRITE-INS							
58001.	XXX						
58002.	XXX						
58003.	XXX						
58998. Summary of remaining write-ins for Line 58 from overflow page	XXX						
58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)	XXX						

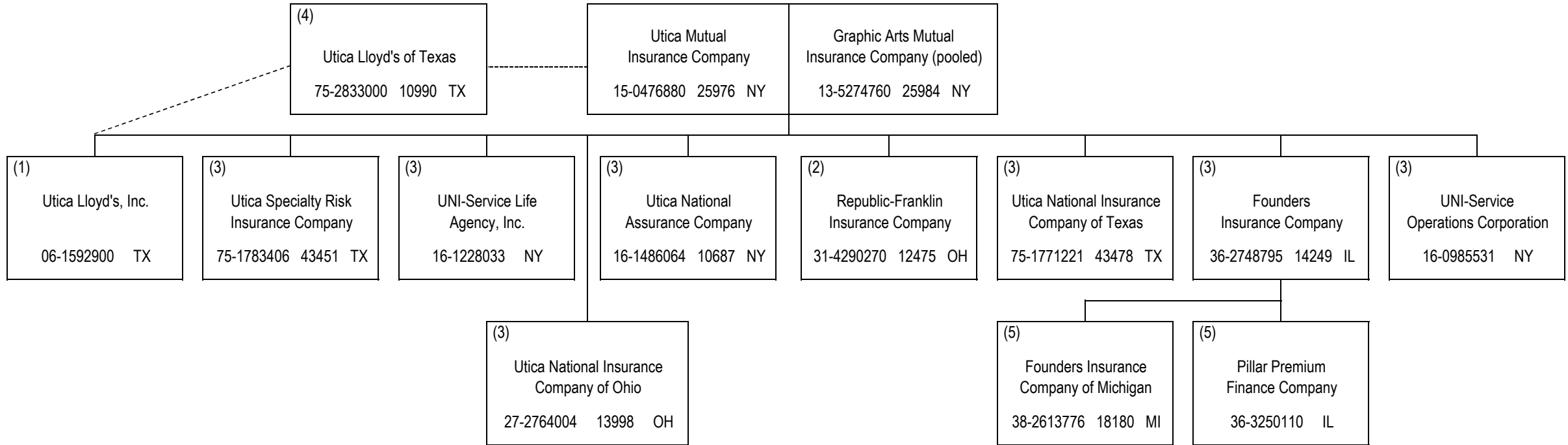
(a) Active Status Counts:

- L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG ..... 6
- E - Eligible - Reporting entities eligible or approved to write surplus lines in the state (other than their state of domicile - see DSLI) .....
- D - Domestic Surplus Lines Insurer (DSLII) - Reporting entities authorized to write surplus lines in the state of domicile .....
- R - Registered - Non-domiciled RRGs .....
- Q - Qualified - Qualified or accredited reinsurer .....
- N - None of the above - Not allowed to write business in the state ..... 51

**SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**

**PART 1 - ORGANIZATIONAL CHART**

**UTICA NATIONAL INSURANCE GROUP ORGANIZATION STRUCTURE SEPTEMBER 30, 2018**



- 1. Owned 100% by Utica Mutual Insurance Company; operates as attorney-in-fact for Utica Lloyd's of Texas.
- 2. Owned 94% by Utica Mutual Insurance Company and 6% by Graphic Arts Mutual Insurance Company.
- 3. Owned 100% by Utica Mutual Insurance Company.

- 4. A Texas Lloyd's association of twelve underwriters under sponsorship of the Utica Mutual Insurance Company.
- 5. Owned 100% by Founders Insurance Company.
- 6. Shares common management with the group.

(6)  
Utica National  
Group Foundation, Inc.  
16-1313450 NY

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**SCHEDULE Y**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Required? (Y/N)	*
.0201	Utica National Insurance Group	25796	15-0476880				Utica Mutual Insurance Company	NY	DDP		Board of Directors	0.000		N	
.0201	Utica National Insurance Group	25984	13-5274760				Graphic Arts Mutual Insurance Company	NY	IA	Utica Mutual Insurance Company	Management	0.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	12475	31-4290270				Republic-Franklin Insurance Company	OH	IA	Utica Mutual Insurance Company	Ownership	94.000	Utica Mutual Insurance Company	N	1
.0201	Utica National Insurance Group	10687	16-1486064				Utica National Assurance Company	NY	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	43478	75-1771221				Utica National Insurance Company of Texas	TX	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	13998	27-2764004				Utica National Insurance Company of Ohio	OH		Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	43451	75-1783406				Utica Specialty Risk Insurance Company	TX	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	10990	75-2833000				Utica Lloyd's of Texas	TX	IA	Utica Lloyds Inc.	Attorney-In-Fact	0.000	Utica Mutual Insurance Company	N	2
			06-1592900				Utica Lloyd's, Inc.	TX	NIA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
			16-0985531				Uni-Service Operations Corporation	NY	NIA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
.0201	Utica National Insurance Group	14249	36-2748795				Founders Insurance Company	IL	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	18180	38-2613776				Founders Insurance Company of Michigan	MI	IA	Founders Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
			36-3250110				Pillar Premium Finance Company	IL	NIA	Founders Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
			16-1228033				Uni-Service Life Agency, Inc.	NY	NIA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
			16-1313450				Utica National Group Foundation, Inc.	NY	DTH		Other	0.000		N	3

Asterisk	Explanation
1	Owned 6% by Graphic Arts Mutual Insurance Company.
2	A Texas Lloyd's association of twelve underwriters under the sponsorship of the Utica Mutual Insurance Company.
3	Shares common management with the group.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**PART 1 - LOSS EXPERIENCE**

Line of Business	Current Year to Date			4 Prior Year to Date Direct Loss Percentage
	1 Direct Premiums Earned	2 Direct Losses Incurred	3 Direct Loss Percentage	
1. Fire	12,719	19	0.2	0.1
2. Allied Lines	13,741			
3. Farmowners multiple peril				
4. Homeowners multiple peril				
5. Commercial multiple peril	28,102,045	8,451,035	30.1	59.7
6. Mortgage guaranty				
8. Ocean marine				
9. Inland marine	2,431	32	1.3	0.6
10. Financial guaranty				
11.1 Medical professional liability - occurrence				
11.2 Medical professional liability - claims-made				
12. Earthquake				
13. Group accident and health				
14. Credit accident and health				
15. Other accident and health				
16. Workers' compensation	18,724,038	8,500,362	45.4	58.3
17.1 Other liability - occurrence	6,411,610	(4,337,008)	(67.6)	19.9
17.2 Other liability - claims-made	2,467			
17.3 Excess workers' compensation				
18.1 Products liability - occurrence	1,284	24	1.9	1.4
18.2 Products liability - claims-made				
19.1,19.2 Private passenger auto liability				
19.3,19.4 Commercial auto liability	7,107,528	3,299,395	46.4	52.1
21. Auto physical damage	1,955,365	885,023	45.3	36.5
22. Aircraft (all perils)				
23. Fidelity				
24. Surety				
26. Burglary and theft				
27. Boiler and machinery				
28. Credit				
29. International				
30. Warranty				
31. Reinsurance - Nonproportional Assumed Property	XXX	XXX	XXX	XXX
32. Reinsurance - Nonproportional Assumed Liability	XXX	XXX	XXX	XXX
33. Reinsurance - Nonproportional Assumed Financial Lines	XXX	XXX	XXX	XXX
34. Aggregate write-ins for other lines of business				
35. Totals	62,333,228	16,798,882	27.0	53.4
<b>DETAILS OF WRITE-INS</b>				
3401.				
3402.				
3403.				
3498.	Summary of remaining write-ins for Line 34 from overflow page			
3499.	Totals (Lines 3401 through 3403 plus 3498)(Line 34 above)			

**PART 2 - DIRECT PREMIUMS WRITTEN**

Line of Business	1	2	3
	Current Quarter	Current Year to Date	Prior Year Year to Date
1. Fire	15,112	15,112	15,781
2. Allied Lines	14,366	14,366	14,224
3. Farmowners multiple peril			
4. Homeowners multiple peril			
5. Commercial multiple peril	28,766,704	34,400,643	34,184,522
6. Mortgage guaranty			
8. Ocean marine			
9. Inland marine	3,153	3,153	3,254
10. Financial guaranty			
11.1 Medical professional liability - occurrence			
11.2 Medical professional liability - claims-made			
12. Earthquake			
13. Group accident and health			
14. Credit accident and health			
15. Other accident and health			
16. Workers' compensation	4,467,859	18,452,596	18,526,161
17.1 Other liability - occurrence	3,816,473	7,245,001	7,349,808
17.2 Other liability - claims-made	29,879	31,629	22,037
17.3 Excess workers' compensation			
18.1 Products liability - occurrence		22	(70)
18.2 Products liability - claims-made			
19.1,19.2 Private passenger auto liability			
19.3,19.4 Commercial auto liability	5,829,005	8,895,701	7,922,894
21. Auto physical damage	1,849,547	2,475,111	2,246,233
22. Aircraft (all perils)			
23. Fidelity			
24. Surety			
26. Burglary and theft			
27. Boiler and machinery			
28. Credit			
29. International			
30. Warranty			
31. Reinsurance - Nonproportional Assumed Property	XXX	XXX	XXX
32. Reinsurance - Nonproportional Assumed Liability	XXX	XXX	XXX
33. Reinsurance - Nonproportional Assumed Financial Lines	XXX	XXX	XXX
34. Aggregate write-ins for other lines of business			
35. Totals	44,792,098	71,533,334	70,284,843
<b>DETAILS OF WRITE-INS</b>			
3401.			
3402.			
3403.			
3498.	Summary of remaining write-ins for Line 34 from overflow page		
3499.	Totals (Lines 3401 through 3403 plus 3498)(Line 34 above)		

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**PART 3 (000 omitted)**

LOSS AND LOSS ADJUSTMENT EXPENSE RESERVES SCHEDULE

	1	2	3	4	5	6	7	8	9	10	11	12	13	
Years in Which Losses Occurred	Prior Year-End Known Case Loss and LAE Reserves	Prior Year-End IBNR Loss and LAE Reserves	Total Prior Year-End Loss and LAE Reserves (Cols. 1+2)	2018 Loss and LAE Payments on Claims Reported as of Prior Year-End	2018 Loss and LAE Payments on Claims Unreported as of Prior Year-End	Total 2018 Loss and LAE Payments (Cols. 4+5)	Q.S. Date Known Case Loss and LAE Reserves on Claims Reported and Open as of Prior Year End	Q.S. Date Known Case Loss and LAE Reserves on Claims Reported or Reopened Subsequent to Prior Year End	Q.S. Date IBNR Loss and LAE Reserves	Total Q.S. Loss and LAE Reserves (Cols.7+8+9)	Prior Year-End Known Case Loss and LAE Reserves Developed (Savings)/ Deficiency (Cols.4+7 minus Col. 1)	Prior Year-End IBNR Loss and LAE Reserves Developed (Savings)/ Deficiency (Cols. 5+8+9 minus Col. 2)	Prior Year-End Total Loss and LAE Reserve Developed (Savings)/ Deficiency (Cols. 11+12)	
1. 2015 + Prior .....														
2. 2016 .....														
3. Subtotals 2016 + Prior .....														
4. 2017 .....														
5. Subtotals 2017 + Prior .....														
6. 2018 .....	XXX	XXX	XXX	XXX			XXX				XXX	XXX	XXX	
7. Totals .....														
8. Prior Year-End Surplus As Regards Policyholders	15,210											Col. 11, Line 7 As % of Col. 1 Line 7	Col. 12, Line 7 As % of Col. 2 Line 7	Col. 13, Line 7 As % of Col. 3 Line 7
												1.	2.	3.
												Col. 13, Line 7 As a % of Col. 1 Line 8		
												4.		

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

## 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.

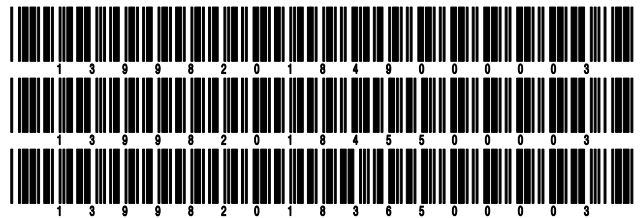
	Response
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement? .....	NO
2. Will Supplement A to Schedule T (Medical Professional Liability Supplement) be filed with this statement? .....	NO
3. Will the Medicare Part D Coverage Supplement be filed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

Explanations:

- 1.
- 2.
- 3.

Bar Codes:

1. Trusteed Surplus Statement [Document Identifier 490]
2. Supplement A to Schedule T [Document Identifier 455]
3. Medicare Part D Coverage Supplement [Document Identifier 365]



**OVERFLOW PAGE FOR WRITE-INS**

**SCHEDULE A - VERIFICATION**

Real Estate

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

**NONE****SCHEDULE B - VERIFICATION**

Mortgage Loans

	1 Year to Date	2 Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year .....		
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 premium 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) .....		
12. Total valuation allowance .....		
13. Subtotal (Line 11 plus Line 12) .....		
14. Deduct total nonadmitted amounts .....		
15. Statement value at end of current period (Line 13 minus Line 14)		

**NONE****SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

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

**NONE****SCHEDULE D - VERIFICATION**

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	17,489,806	15,942,933
2. Cost of bonds and stocks acquired .....	4,582,411	5,253,949
3. Accrual of discount .....	7,021	6,524
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....	(45,484)	15,147
6. Deduct consideration for bonds and stocks disposed of .....	4,613,459	3,659,443
7. Deduct amortization of premium .....	41,581	69,304
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other than temporary impairment recognized .....		
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....		
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10) .....	17,378,713	17,489,806
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12)	17,378,713	17,489,806

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**SCHEDULE D - PART 1B**

Showing the Acquisitions, Dispositions and Non-Trading Activity  
During the Current Quarter for all Bonds and Preferred Stock by NAIC Designation

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a) .....	15,090,079	118,795	520,193	(59,438)	16,749,517	15,090,079	14,629,244	14,898,444
2. NAIC 2 (a) .....	2,601,653	99,079		48,542	3,436,343	2,601,653	2,749,275	2,591,361
3. NAIC 3 (a) .....								
4. NAIC 4 (a) .....								
5. NAIC 5 (a) .....								
6. NAIC 6 (a) .....								
7. Total Bonds	17,691,732	217,874	520,193	(10,895)	20,185,860	17,691,732	17,378,519	17,489,805
<b>PREFERRED STOCK</b>								
8. NAIC 1 .....								
9. NAIC 2 .....								
10. NAIC 3 .....								
11. NAIC 4 .....								
12. NAIC 5 .....								
13. NAIC 6 .....								
14. Total Preferred Stock								
15. Total Bonds and Preferred Stock	17,691,732	217,874	520,193	(10,895)	20,185,860	17,691,732	17,378,519	17,489,805

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of short-term and cash equivalent bonds by NAIC designation:

NAIC 1 \$ ..... ; NAIC 2 \$ ..... ; NAIC 3 \$ ..... NAIC 4 \$ ..... ; NAIC 5 \$ ..... ; NAIC 6 \$ .....

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Schedule DA - Part 1 - Short-Term Investments

**N O N E**

Schedule DA - Verification - Short-Term Investments

**N O N E**

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards

**N O N E**

Schedule DB - Part B - Verification - Futures Contracts

**N O N E**

Schedule DB - Part C - Section 1 - Replication (Synthetic Asset) Transactions (RSATs) Open

**N O N E**

Schedule DB-Part C-Section 2-Reconciliation of Replication (Synthetic Asset) Transactions Open

**N O N E**

Schedule DB - Verification - Book/Adjusted Carrying Value, Fair Value and Potential Exposure of  
Derivatives

**N O N E**

**SCHEDULE E - PART 2 - VERIFICATION**

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of cash equivalents acquired .....	1,276	
3. Accrual of discount .....		
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....		
6. Deduct consideration received on disposals .....	639	
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) .....	637	
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11)	637	

Schedule A - Part 2 - Real Estate Acquired and Additions Made

**N O N E**

Schedule A - Part 3 - Real Estate Disposed

**N O N E**

Schedule B - Part 2 - Mortgage Loans Acquired and Additions Made

**N O N E**

Schedule B - Part 3 - Mortgage Loans Disposed, Transferred or Repaid

**N O N E**

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made

**N O N E**

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid

**N O N E**

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**SCHEDULE D - PART 3**

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

1 CUSIP Identification	2 Description	3 Foreign	4 Date Acquired	5 Name of Vendor	6 Number of Shares of Stock	7 Actual Cost	8 Par Value	9 Paid for Accrued Interest and Dividends	10 NAIC Desig- nation or Market Indicator (a)
36180M-2R-7	G2 AD8884 - RMBS		.08/29/2018	CREDIT SUISSE SECURITIES (USA)		118,795	118,195	333	1
0599999. Subtotal - Bonds - U.S. Governments						118,795	118,195	333	XXX
521070-AJ-4	LAZARD GROUP LLC	C	.09/12/2018	Citigroup (SSB)		99,079	100,000		2FE
3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						99,079	100,000		XXX
8399997. Total - Bonds - Part 3						217,874	218,195	333	XXX
8399998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX
8399999. Total - Bonds						217,874	218,195	333	XXX
8999997. Total - Preferred Stocks - Part 3							XXX		XXX
8999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks							XXX		XXX
9799997. Total - Common Stocks - Part 3							XXX		XXX
9799998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX
9799999. Total - Common Stocks							XXX		XXX
9899999. Total - Preferred and Common Stocks							XXX		XXX
9999999 - Totals						217,874	XXX	333	XXX

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

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	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)
36178W-GL-7	GN AB9203 - RMBS		08/29/2018	VARIOUS		119,874	122,009	130,350	129,624		(168)		(168)		129,456		(9,582)	(9,582)	2,745	11/15/2042	1
36180M-ZR-7	G2 AD8884 - RMBS		09/01/2018	Paydown		1,880	1,880	1,889			(10)		(10)		1,880					03/20/2043	1
36202F-M7-8	G2 004882 - RMBS		09/01/2018	Paydown		3,237	3,237	3,312	3,309		(72)		(72)		3,237				77	12/20/2040	1
36202F-PF-7	G2 004922 - RMBS		09/01/2018	Paydown		3,111	3,111	3,190	3,188		(78)		(78)		3,111				74	01/20/2041	1
36202F-TL-0	G2 005055 - RMBS		09/01/2018	Paydown		4,190	4,190	4,438	4,438		(249)		(249)		4,190		0	0	112	05/20/2041	1
36202F-UE-4	G2 005081 - RMBS		09/01/2018	Paydown		2,459	2,459	2,529	2,529		(70)		(70)		2,459				58	06/20/2041	1
36202F-UF-1	G2 005082 - RMBS		09/01/2018	Paydown		2,662	2,662	2,812	2,812		(150)		(150)		2,662		0	0	71	06/20/2041	1
36202F-V5-9	G2 005232 - RMBS		09/01/2018	Paydown		10,516	10,516	10,892	10,867		(352)		(352)		10,516		0	0	216	11/20/2041	1
36241L-S3-1	GN 783238 - RMBS		09/01/2018	Paydown		2,735	2,735	2,819	2,819		(84)		(84)		2,735				65	01/15/2041	1
912828-N2-2	UNITED STATES TREASURY		07/27/2018	NOMURA SECURITIES/FIXED INCOME		99,691	100,000	99,922	99,962		23		23		99,985		(294)	(294)	779	12/15/2018	1
0599999	Subtotal - Bonds - U.S. Governments					250,355	252,798	262,153	259,549		(1,208)		(1,208)		260,230		(9,875)	(9,875)	4,195	XXX	XXX
3128M9-2M-3	FH G07680 - RMBS		09/01/2018	Paydown		1,260	1,260	1,330	1,326		(67)		(67)		1,260		0	0	29	04/01/2044	1
3128MJ-V2-3	FH G08632 - RMBS		09/01/2018	Paydown		1,595	1,595	1,666	1,666		(70)		(70)		1,595				33	03/01/2045	1
3128MJ-XX-3	FH G08693 - RMBS		09/01/2018	Paydown		3,111	3,111	3,207	3,206		(96)		(96)		3,111		0	0	64	03/01/2046	1
3128MJ-Z9-4	FH G08767 - RMBS		09/01/2018	Paydown		1,877	1,877	1,983	1,983		(106)		(106)		1,877				44	06/01/2047	1
3128MJ-ZF-0	FH G08741 - RMBS		09/01/2018	Paydown		2,093	2,093	2,061	2,062		31		31		2,093				37	01/01/2047	1
3128MJ-ZH-6	FH G08743 - RMBS		09/01/2018	Paydown		2,300	2,300	2,421	2,418		(118)		(118)		2,300				52	01/01/2047	1
3128MJ-ZP-8	FH G08749 - RMBS		09/01/2018	Paydown		2,495	2,495	2,619	2,619		(124)		(124)		2,495				60	02/01/2047	1
3128MJ-VZ-3	FH G18631 - RMBS		09/01/2018	Paydown		5,016	5,016	5,034	5,033		(17)		(17)		5,016				74	02/01/2032	1
3128MM-WS-8	FH G18656 - RMBS		09/01/2018	Paydown		4,633	4,633	4,743	4,743		(110)		(110)		4,633				72	08/01/2032	1
31307N-E3-4	FH J31954 - RMBS		09/01/2018	Paydown		4,825	4,825	5,066	5,053		(228)		(228)		4,825				101	12/01/2028	1
3132GD-RW-4	FH Q00501 - RMBS		09/01/2018	Paydown		524	524	543	540		(17)		(17)		524		0	0	14	05/01/2041	1
3132GK-5A-0	FH Q04741 - RMBS		09/01/2018	Paydown		619	619	661	661		(42)		(42)		619				15	11/01/2041	1
3132M9-2R-4	FH Q29184 - RMBS		09/01/2018	Paydown		2,055	2,055	2,196	2,196		(140)		(140)		2,055				48	10/01/2044	1
3132XU-SK-2	FH Q52321 - RMBS		09/01/2018	Paydown		2,156	2,156	2,261	2,261		(104)		(104)		2,156				31	11/01/2047	1
31335A-S7-4	FH G60542 - RMBS		09/01/2018	Paydown		771	771	825	825		(54)		(54)		771				18	09/01/2045	1
3138E7-TV-6	FN AK3263 - RMBS		09/01/2018	Paydown		3,972	3,972	4,098	4,086		(115)		(115)		3,972				71	02/01/2027	1
3138EJ-3Y-2	FN AL2614 - RMBS		09/01/2018	Paydown		4,277	4,277	4,489	4,489		(212)		(212)		4,277				86	11/01/2042	1
3138EQ-7L-0	FN AL8098 - RMBS		09/01/2018	Paydown		2,046	2,046	2,195	2,195		(149)		(149)		2,046		0	0	47	06/01/2043	1
3138M0-AK-6	FN A08109 - RMBS		09/01/2018	Paydown		1,739	1,739	1,805	1,805		(66)		(66)		1,739				32	08/01/2042	1
3138M5-EA-3	FN AP1928 - RMBS		09/01/2018	Paydown		2,148	2,148	2,288	2,282		(134)		(134)		2,148				50	08/01/2042	1
3138M5-LP-2	FN AP2133 - RMBS		09/01/2018	Paydown		1,471	1,471	1,526	1,523		(52)		(52)		1,471		0	0	29	08/01/2042	1
3138MB-XL-5	FN AP7882 - RMBS		09/01/2018	Paydown		1,374	1,374	1,413	1,411		(37)		(37)		1,374		0	0	28	10/01/2042	1
3138W6-SU-1	FN AR8630 - RMBS		09/01/2018	Paydown		2,604	2,604	2,653	2,653		(49)		(49)		2,604				47	04/01/2043	1
3138W9-BF-6	FN AS0037 - RMBS		09/01/2018	Paydown		1,875	1,875	1,969	1,969		(93)		(93)		1,875				38	07/01/2043	1
3138WB-AR-6	FN AS1815 - RMBS		09/01/2018	Paydown		2,366	2,366	2,464	2,453		(87)		(87)		2,366				58	02/01/2044	1
3138WB-LK-9	FN AS2385 - RMBS		09/01/2018	Paydown		2,727	2,727	2,880	2,868		(140)		(140)		2,727				63	05/01/2044	1
3138WD-ME-8	FN AS3956 - RMBS		09/01/2018	Paydown		2,002	2,002	2,144	2,144		(142)		(142)		2,002				47	12/01/2044	1
3138WE-6G-9	FN ASS370 - RMBS		09/01/2018	Paydown		2,256	2,256	2,349	2,343		(87)		(87)		2,256				45	07/01/2045	1
3138WE-KB-4	FN AS4789 - RMBS		09/01/2018	Paydown		1,922	1,922	1,999	1,997		(75)		(75)		1,922		0	0	35	04/01/2045	1
3138WE-KG-3	FN AS4794 - RMBS		09/01/2018	Paydown		1,030	1,030	1,075	1,071		(41)		(41)		1,030				22	04/01/2045	1
3138WF-NN-2	FN ASS796 - RMBS		09/01/2018	Paydown		2,043	2,043	2,132	2,124		(81)		(81)		2,043				35	09/01/2030	1
3138WG-BA-1	FN AS6332 - RMBS		09/01/2018	Paydown		2,349	2,349	2,472	2,469		(120)		(120)		2,349				48	12/01/2045	1
3138WG-BW-3	FN AS6352 - RMBS		09/01/2018	Paydown		2,389	2,389	2,501	2,500		(111)		(111)		2,389		0	0	56	12/01/2045	1
3138WG-DN-1	FN AS6408 - RMBS		09/01/2018	Paydown		1,800	1,800	1,884	1,882		(81)		(81)		1,800		0	0	37	01/01/2046	1
3138WJ-H3-5	FN AS8349 - RMBS		09/01/2018	Paydown		2,366	2,366	2,433	2,428		(62)		(62)		2,366				42	11/01/2036	1
3138WJ-K5-6	FN AS8415 - RMBS		09/01/2018	Paydown		2,070	2,070	2,060	2,061		10		10		2,070		0	0	35	11/01/2046	1
3138WK-4X-0	FN AS9837 - RMBS		09/01/2018	Paydown		4,437	4,437	4,431			5		5		4,437				57	06/01/2032	1
3138WL-C2-7	FN AS9988 - RMBS		09/01/2018	Paydown		2,499	2,499	2,619	2,619		(120)		(120)		2,499		0	0	39	07/01/2047	1
3138WV-X5-5	FN AT7899 - RMBS		09/01/2018	Paydown		2,707	2,707	2,839	2,837		(130)		(130)		2,707				56	07/01/2043	1
3138X4-V9-8	FN AU5139 - RMBS		09/01/2018	Paydown		2,150	2,150	2,241	2,241		(91)		(91)		2,150				43	08/01/2043	1
3138Y6-3S-1	FN AX5308 - RMBS		09/01/2018	Paydown		1,563	1,563	1,639	1,638		(76)		(76)		1,563		0	0	32	01/01/2042	1
3140EV-T7-2	FN BC1473 - RMBS		09/01/2018	Paydown		3,573	3,573	3,568	3,568		4		4		3,573				54	07/01/2031	1
3140FI-DF-0	FN BE1901 - RMBS		09/01/2018	Paydown		1,271	1,271	1,272	1,272		(1)		(1)		1,271				22	12/01/2046	1
3140J5-LM-9	FN BM1231 - RMBS		09/01/2018	Paydown		4,477	4,477	4,644	4,643		(166)		(166)		4,477				93	11/01/2031	1
3140O7-LE-5	FN CA0324 - RMBS		09/01/2018	Paydown		4,176	4,176	4,381	4,381		(205)		(205)		4,176		0	0	64	09/01/2047	1

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STATEMENT AS OF SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
										11	12	13	14	15								
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	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)	
314008-10-3	FN CA1283 - RMBS		09/01/2018	Paydown		3,215	3,215	3,274			(60)		(60)		3,215				37	02/01/2033	1	
31417B-7A-9	FN AB5388 - RMBS		09/01/2018	Paydown		1,333	1,333	1,426	1,426		(93)		(93)		1,333				32	06/01/2042	1	
31417C-S3-0	FN AB5937 - RMBS		09/01/2018	Paydown		1,736	1,736	1,828	1,828		(90)		(90)		1,736				36	08/01/2042	1	
31417D-TR-4	FN AB6859 - RMBS		09/01/2018	Paydown		2,314	2,314	2,405	2,405		(91)		(91)		2,314				44	11/01/2042	1	
31417G-5A-0	FN AB9840 - RMBS		09/01/2018	Paydown		2,608	2,608	2,737	2,736		(128)		(128)		2,608				54	07/01/2043	1	
31417G-TF-3	FN AB9549 - RMBS		09/01/2018	Paydown		3,196	3,196	3,203	3,201		(5)		(5)		3,196		0	0	57	06/01/2043	1	
31418C-E6-7	FN MA2856 - RMBS		09/01/2018	Paydown		2,017	2,017	2,151	2,143		(126)		(126)		2,017				50	12/01/2036	1	
31418C-FG-4	FN MA2866 - RMBS		09/01/2018	Paydown		2,397	2,397	2,414	2,413		(16)		(16)		2,397				42	01/01/2037	1	
31418C-ND-2	FN MA3087 - RMBS		09/01/2018	Paydown		1,938	1,938	1,989	1,988		(51)		(51)		1,938				40	08/01/2047	1	
31418C-OB-3	FN MA3149 - RMBS		09/01/2018	Paydown		3,162	3,162	3,283			(121)		(121)		3,162		0	0	64	10/01/2047	1	
3199999	Subtotal - Bonds - U.S. Special Revenues					132,922	132,922	137,788	112,673		(4,742)		(4,742)		132,922		0	0	2,559	XXX	XXX	
02007M-AD-2	ALLYA 181 A2 - ABS		09/15/2018	Paydown		8,079	8,079	8,079			1		1		8,079				94	09/15/2020	1FE	
36252A-AA-4	GSMS 15GS1 A1 - CMBS		09/01/2018	Paydown		4,102	4,102	4,102	4,102		0		0		4,102		0	0	47	11/13/2048	1FE	
89238M-AB-4	TAOT 17A A2A - ABS		09/15/2018	Paydown		6,753	6,753	6,750	6,754		(1)		(1)		6,753		0	0	66	09/16/2019	1FE	
911312-BL-9	UNITED PARCEL SERVICE INC		09/05/2018	Citigroup (SSB)		96,457	100,000	99,647	99,653		33		33		99,686		(3,229)	(3,229)	2,279	11/15/2024	1FE	
94989X-AY-1	WFCM 15NXS4 A1 - CMBS		09/01/2018	Paydown		4,252	4,252	4,252	4,252		0		0		4,252				48	12/17/2048	1FE	
98161Y-AB-0	WOLS 18A A2 - ABS		09/15/2018	Paydown		4,168	4,168				0		0		4,168		0	0	45	11/16/2020	1FE	
8999999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					123,811	127,354	126,997	114,760		34		34		127,040		(3,229)	(3,229)	2,579	XXX	XXX	
8399997	Total - Bonds - Part 4					507,088	513,075	526,938	486,981		(5,916)		(5,916)		520,193		(13,105)	(13,105)	9,334	XXX	XXX	
8399998	Total - Bonds - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8399999	Total - Bonds					507,088	513,075	526,938	486,981		(5,916)		(5,916)		520,193		(13,105)	(13,105)	9,334	XXX	XXX	
8999997	Total - Preferred Stocks - Part 4						XXX													XXX	XXX	
8999998	Total - Preferred Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8999999	Total - Preferred Stocks						XXX													XXX	XXX	
9799997	Total - Common Stocks - Part 4						XXX													XXX	XXX	
9799998	Total - Common Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999	Total - Common Stocks						XXX													XXX	XXX	
9899999	Total - Preferred and Common Stocks						XXX													XXX	XXX	
9999999	Totals					507,088	XXX	526,938	486,981		(5,916)		(5,916)		520,193		(13,105)	(13,105)	9,334	XXX	XXX	

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

Schedule DB - Part A - Section 1 - Options, Caps, Floors, Collars, Swaps and Forwards Open

**N O N E**

Schedule DB - Part B - Section 1 - Futures Contracts Open

**N O N E**

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made

**N O N E**

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open

**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged By

**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged To

**N O N E**

Schedule DL - Part 1 - Reinvested Collateral Assets Owned

**N O N E**

Schedule DL - Part 2 - Reinvested Collateral Assets Owned

**N O N E**







SUPPLEMENT FOR THE QUARTER ENDING SEPTEMBER 30, 2018 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

# DIRECTOR AND OFFICER INSURANCE COVERAGE SUPPLEMENT

Year To Date For The Period Ended SEPTEMBER 30, 2018

NAIC Group Code 0201

NAIC Company Code 13998

Company Name UTICA NATIONAL INSURANCE COMPANY OF OHIO

If the reporting entity writes any director and officer (D&O) business, please provide the following:

1. Monoline Policies

1 Direct Written Premium	2 Direct Earned Premium	3 Direct Losses Incurred
\$ .....	\$ .....	\$ .....

2. Commercial Multiple Peril (CMP) Packaged Policies

- 2.1 Does the reporting entity provide D&O liability coverage as part of a CMP packaged policy? ..... Yes [ X ] No [ ]
- 2.2 Can the direct premium earned for D&O liability coverage provided as part of a CMP packaged policy be quantified or estimated? ..... Yes [ X ] No [ ]
- 2.3 If the answer to question 2.2 is yes, provide the quantified or estimated direct premium earned amount for D&O liability coverage in CMP packaged policies
- 2.31 Amount quantified:.....\$ .....137,150
- 2.32 Amount estimated using reasonable assumptions:.....\$ .....
- 2.4 If the answer to question 2.1 is yes, provide direct losses incurred (losses paid plus change in case reserves) for the D&O liability coverage provided in CMP packaged policies. ....\$ .....