



ANNUAL STATEMENT

For the Year Ended December 31, 2018

of the Condition and Affairs of the

North American Swiss Alliance

| | | | | | |
|---------------------------------------|--|---------------------------------------|-------------------|--|------------|
| NAIC Group Code..... | 0, 0 | NAIC Company Code..... | 56375 | Employer's ID Number..... | 34-0719168 |
| | (Current Period) (Prior Period) | | | | |
| Organized under the Laws of OH | | State of Domicile or Port of Entry OH | | Country of Domicile | US |
| Incorporated/Organized..... | September 6, 1889 | Commenced Business..... | September 6, 1889 | | |
| Statutory Home Office | 26777 Lorain Road, Suite 321 .. North Olmsted .. OH .. US .. 44070-3225 | | | | |
| | (Street and Number) (City or Town, State, Country and Zip Code) | | | | |
| Main Administrative Office | 26777 Lorain Road, Suite 321 .. North Olmsted .. OH .. US .. 44070-3225 | | | 440-777-7114 | |
| | (Street and Number) (City or Town, State, Country and Zip Code) | | | (Area Code) (Telephone Number) | |
| Mail Address | 26777 Lorain Road, Suite 321 .. North Olmsted .. OH .. US .. 44070-3225 | | | | |
| | (Street and Number or P. O. Box) (City or Town, State, Country and Zip Code) | | | | |
| Primary Location of Books and Records | 26777 Lorain Road, Suite 321 .. North Olmsted .. OH .. US .. 44070-3225 | | | 440-777-7114 | |
| | (Street and Number) (City or Town, State, Country and Zip Code) | | | (Area Code) (Telephone Number) | |
| Internet Web Site Address | n/a | | | | |
| Statutory Statement Contact | Lynn M. Kosin | | | 440-777-7114 | |
| | (Name) | | | (Area Code) (Telephone Number) (Extension) | |
| | naswiss@sbcglobal.net | | | | |
| | (E-Mail Address) | | | (Fax Number) | |

OFFICERS

| Name | Title | Name | Title |
|-----------------------|-------------------|--------------------|---------------------|
| 1. Jan A. Markowski # | President | 2. Lynn M. Kosin # | Secretary/Treasurer |
| 3. Donald P Robison # | Vice-President | 4. | |
| OTHER | | | |
| Kevin M. Ruedy # | Financial Advisor | | |

DIRECTORS OR TRUSTEES

| | | | |
|-------------------|-------------------|--------------------|----------------------|
| Lynn M. Kosin # | Kevin M. Ruedy | Jan A Markowski | Donald P. Robison |
| John J. Jencson # | David E. Stucki # | Darlene Kilchemann | Thomas M. Vassallo # |

State of..... Ohio
County of..... Cuyahoga

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

| | | |
|-----------------------------------|--------------------------------|-------------------------------|
| (Signature) | (Signature) | (Signature) |
| Jan A. Markowski | Lynn M. Kosin | Donald P Robison |
| 1. (Printed Name) | 2. (Printed Name) | 3. (Printed Name) |
| President | Secretary/Treasurer | Vice-President |
| (Title) | (Title) | (Title) |
| Subscribed and sworn to before me | a. Is this an original filing? | Yes [X] No [] |
| This _____ day of _____ 2019 | b. If no | 1. State the amendment number |
| | | 2. Date filed |
| | | 3. Number of pages attached |



LIFE INSURANCE

DIRECT BUSINESS IN THE STATE OF CALIFORNIA DURING THE YEAR
NAIC Group Code.....0 NAIC Society Code.....56375

| DIRECT PREMIUMS AND ANNUITY CONSIDERATIONS | | 1 Life and Annuities |
|---|--|-------------------------|
| 1. Life insurance..... | | |
| 2. Annuity considerations..... | | |
| 3. Deposit-type contract funds..... | | |
| 4. Other considerations..... | | |
| 5. Total (Lines 1 to 4)..... | | 0 |
| DIRECT REFUNDS TO MEMBERS | | |
| Life Insurance: | | |
| 6.1 Paid in cash or left on deposit..... | | |
| 6.2 Applied to pay renewal premiums..... | | |
| 6.3 Applied to provide paid-up additions or shorten the endowment or premium-paying period..... | | 573 |
| 6.4 Other..... | | |
| 6.5 Total (Sum of Lines 6.1 to 6.4)..... | | 573 |
| Annuities: | | |
| 7.1 Paid in cash or left on deposit..... | | |
| 7.2 Applied to provide paid-up annuities..... | | |
| 7.3 Other..... | | |
| 7.4 Total (Sum of Lines 7.1 to 7.3)..... | | 0 |
| 8. Total (Line 6.5 plus Line 7.4)..... | | 573 |
| DIRECT CLAIMS AND BENEFITS PAID | | |
| 9. Death benefits..... | | 3,038 |
| 10. Matured endowments..... | | |
| 11. Annuity benefits..... | | |
| 12. Surrender values and withdrawals for life contracts..... | | |
| 13. Aggregate write-ins for miscellaneous direct claims and benefits paid..... | | 0 |
| 14. All other benefits, except accident & health..... | | |
| 15. Total..... | | 3,038 |
| DETAILS OF WRITE-INS | | |
| 1301. | | |
| 1302. | | |
| 1303. | | |
| 1398. Summary of remaining write-ins for Line 13 from overflow page..... | | 0 |
| 1399. Totals (Items 1301 through 1303 plus 1398) (Line 13 above)..... | | 0 |

| DIRECT DEATH BENEFITS AND MATURED ENDOWMENTS INCURRED | | 1 Number of Certificates | 2 Amount |
|--|------|-----------------------------|-------------|
| 16. Unpaid December 31, prior year..... | | | |
| 17. Incurred during current year..... | 1 | | 3,038 |
| Settled during current year: | | | |
| 18.1 By payment in full..... | 1 | | 3,038 |
| 18.2 By payment on compromised claims..... | | | |
| 18.3 Total paid..... | 1 | | 3,038 |
| 18.4 Reduction by compromise..... | | | |
| 18.5 Amount rejected..... | | | |
| 18.6 Total settlements..... | 1 | | 3,038 |
| 19. Unpaid Dec. 31, current year (Lines 16 + 17 - 18.6)..... | 0 | | 0 |
| POLICY EXHIBIT | | | |
| 20. In force December 31, prior year..... | 154 | | 212,672 |
| 21. Issued during year..... | | | 1,309 |
| 22. Other changes to in force (net)..... | (23) | | 59,559 |
| 23. In force December 31, current year..... | 131 | | 273,540 |

ACCIDENT AND HEALTH INSURANCE

| | 1 | 2 | 3 | 4 | 5 |
|--|--------------------|------------------------------|---|--------------------------|------------------------------|
| | Direct Premiums | Direct Premiums Earned | Refunds Paid or Credited on Direct Business | Direct Losses Paid | Direct Losses Incurred |
| 24. Collectively Renewable Certificates..... | NONE | | | | |
| Other Individual Certificates: | | | | | |
| 25.1 Non-cancelable..... | | | | | |
| 25.2 Guaranteed renewable..... | | | | | |
| 25.3 Non-renewable for stated reasons only..... | | | | | |
| 25.4 Other accident only..... | | | | | |
| 25.5 Medicare Title XVIII exempt from state taxes or fees..... | | | | | |
| 25.6 All Other..... | | | | | |
| 25.7 Totals (sum of Lines 25.1 to 25.6)..... | | 0 | 0 | 0 | 0 |
| 26. Totals (Line 24 + 25.7)..... | | 0 | 0 | 0 | 0 |



LIFE INSURANCE

DIRECT BUSINESS IN GRAND TOTAL DURING THE YEAR
NAIC Group Code.....0 NAIC Society Code.....56375

| DIRECT PREMIUMS AND ANNUITY CONSIDERATIONS | | 1 Life and Annuities |
|---|--|-------------------------|
| 1. Life insurance..... | | 9,470 |
| 2. Annuity considerations..... | | |
| 3. Deposit-type contract funds..... | | |
| 4. Other considerations..... | | |
| 5. Total (Lines 1 to 4)..... | | 9,470 |
| DIRECT REFUNDS TO MEMBERS | | |
| Life Insurance: | | |
| 6.1 Paid in cash or left on deposit..... | | |
| 6.2 Applied to pay renewal premiums..... | | |
| 6.3 Applied to provide paid-up additions or shorten the endowment or premium-paying period..... | | 7,795 |
| 6.4 Other..... | | |
| 6.5 Total (Sum of Lines 6.1 to 6.4)..... | | 7,795 |
| Annuities: | | |
| 7.1 Paid in cash or left on deposit..... | | |
| 7.2 Applied to provide paid-up annuities..... | | |
| 7.3 Other..... | | |
| 7.4 Total (Sum of Lines 7.1 to 7.3)..... | | 0 |
| 8. Total (Line 6.5 plus Line 7.4)..... | | 7,795 |
| DIRECT CLAIMS AND BENEFITS PAID | | |
| 9. Death benefits..... | | 54,550 |
| 10. Matured endowments..... | | 6,143 |
| 11. Annuity benefits..... | | |
| 12. Surrender values and withdrawals for life contracts..... | | 12,786 |
| 13. Aggregate write-ins for miscellaneous direct claims and benefits paid..... | | 0 |
| 14. All other benefits, except accident & health..... | | |
| 15. Total..... | | 73,479 |

| DETAILS OF WRITE-INS | |
|--|---|
| 1301. | |
| 1302. | |
| 1303. | |
| 1398. Summary of remaining write-ins for Line 13 from overflow page..... | 0 |
| 1399. Totals (Items 1301 through 1303 plus 1398) (Line 13 above)..... | 0 |

| DIRECT DEATH BENEFITS AND MATURED ENDOWMENTS INCURRED | | 1 Number of Certificates | 2 Amount |
|--|--|-----------------------------|-------------|
| 16. Unpaid December 31, prior year..... | | 5 | 4,864 |
| 17. Incurred during current year..... | | 36 | 54,550 |
| Settled during current year: | | | |
| 18.1 By payment in full..... | | 36 | 54,303 |
| 18.2 By payment on compromised claims..... | | | |
| 18.3 Total paid..... | | 36 | 54,303 |
| 18.4 Reduction by compromise..... | | | |
| 18.5 Amount rejected..... | | | |
| 18.6 Total settlements..... | | 36 | 54,303 |
| 19. Unpaid Dec. 31, current year (Lines 16 + 17 - 18.6)..... | | 5 | 5,111 |
| POLICY EXHIBIT | | | |
| 20. In force December 31, prior year..... | | 2,138 | 4,665,235 |
| 21. Issued during year..... | | 20 | 65,956 |
| 22. Other changes to in force (net)..... | | (51) | (82,645) |
| 23. In force December 31, current year..... | | 2,107 | 4,648,546 |

ACCIDENT AND HEALTH INSURANCE

| | 1 | 2 | 3 | 4 | 5 |
|--|--------------------|------------------------------|---|--------------------------|------------------------------|
| | Direct Premiums | Direct Premiums Earned | Refunds Paid or Credited on Direct Business | Direct Losses Paid | Direct Losses Incurred |
| 24. Collectively Renewable Certificates..... | NONE | | | | |
| Other Individual Certificates: | | | | | |
| 25.1 Non-cancelable..... | | | | | |
| 25.2 Guaranteed renewable..... | | | | | |
| 25.3 Non-renewable for stated reasons only..... | | | | | |
| 25.4 Other accident only..... | | | | | |
| 25.5 Medicare Title XVIII exempt from state taxes or fees..... | | | | | |
| 25.6 All Other..... | | | | | |
| 25.7 Totals (sum of Lines 25.1 to 25.6)..... | | 0 | 0 | 0 | 0 |
| 26. Totals (Line 24 + 25.7)..... | | 0 | 0 | 0 | 0 |



LIFE INSURANCE

DIRECT BUSINESS IN THE STATE OF OHIO DURING THE YEAR

NAIC Group Code.....0 NAIC Society Code.....56375

| DIRECT PREMIUMS AND ANNUITY CONSIDERATIONS | | 1 Life and Annuities |
|---|--|-------------------------|
| 1. Life insurance..... | | 9,470 |
| 2. Annuity considerations..... | | |
| 3. Deposit-type contract funds..... | | |
| 4. Other considerations..... | | |
| 5. Total (Lines 1 to 4)..... | | 9,470 |
| DIRECT REFUNDS TO MEMBERS | | |
| Life Insurance: | | |
| 6.1 Paid in cash or left on deposit..... | | |
| 6.2 Applied to pay renewal premiums..... | | |
| 6.3 Applied to provide paid-up additions or shorten the endowment or premium-paying period..... | | 7,222 |
| 6.4 Other..... | | |
| 6.5 Total (Sum of Lines 6.1 to 6.4)..... | | 7,222 |
| Annuities: | | |
| 7.1 Paid in cash or left on deposit..... | | |
| 7.2 Applied to provide paid-up annuities..... | | |
| 7.3 Other..... | | |
| 7.4 Total (Sum of Lines 7.1 to 7.3)..... | | 0 |
| 8. Total (Line 6.5 plus Line 7.4)..... | | 7,222 |
| DIRECT CLAIMS AND BENEFITS PAID | | |
| 9. Death benefits..... | | 51,512 |
| 10. Matured endowments..... | | 6,143 |
| 11. Annuity benefits..... | | |
| 12. Surrender values and withdrawals for life contracts..... | | 12,786 |
| 13. Aggregate write-ins for miscellaneous direct claims and benefits paid..... | | 0 |
| 14. All other benefits, except accident & health..... | | |
| 15. Total..... | | 70,441 |

| DETAILS OF WRITE-INS | |
|--|---|
| 1301. | |
| 1302. | |
| 1303. | |
| 1398. Summary of remaining write-ins for Line 13 from overflow page..... | 0 |
| 1399. Totals (Items 1301 through 1303 plus 1398) (Line 13 above)..... | 0 |

| DIRECT DEATH BENEFITS AND MATURED ENDOWMENTS INCURRED | | 1 Number of Certificates | 2 Amount |
|--|--|-----------------------------|-------------|
| 16. Unpaid December 31, prior year..... | | 5 | 4,864 |
| 17. Incurred during current year..... | | 35 | 51,512 |
| Settled during current year: | | | |
| 18.1 By payment in full..... | | 35 | 51,265 |
| 18.2 By payment on compromised claims..... | | | |
| 18.3 Total paid..... | | 35 | 51,265 |
| 18.4 Reduction by compromise..... | | | |
| 18.5 Amount rejected..... | | | |
| 18.6 Total settlements..... | | 35 | 51,265 |
| 19. Unpaid Dec. 31, current year (Lines 16 + 17 - 18.6)..... | | 5 | 5,111 |
| POLICY EXHIBIT | | | |
| 20. In force December 31, prior year..... | | 1,984 | 4,452,563 |
| 21. Issued during year..... | | 20 | 64,647 |
| 22. Other changes to in force (net)..... | | (28) | (142,204) |
| 23. In force December 31, current year..... | | 1,976 | 4,375,006 |

ACCIDENT AND HEALTH INSURANCE

| | 1 | 2 | 3 | 4 | 5 |
|--|--------------------|------------------------------|---|--------------------------|------------------------------|
| | Direct Premiums | Direct Premiums Earned | Refunds Paid or Credited on Direct Business | Direct Losses Paid | Direct Losses Incurred |
| 24. Collectively Renewable Certificates..... | NONE | | | | |
| Other Individual Certificates: | | | | | |
| 25.1 Non-cancelable..... | | | | | |
| 25.2 Guaranteed renewable..... | | | | | |
| 25.3 Non-renewable for stated reasons only..... | | | | | |
| 25.4 Other accident only..... | | | | | |
| 25.5 Medicare Title XVIII exempt from state taxes or fees..... | | | | | |
| 25.6 All Other..... | | | | | |
| 25.7 Totals (sum of Lines 25.1 to 25.6)..... | | 0 | 0 | 0 | 0 |
| 26. Totals (Line 24 + 25.7)..... | | 0 | 0 | 0 | 0 |

FORM FOR CALCULATING THE INTEREST MAINTENANCE RESERVE

Interest Maintenance Reserve

| | 1 Amount |
|--|-------------|
| 1. Reserve as of December 31, prior year..... | 112,117 |
| 2. Current year's realized pre-tax capital gains/(losses) of \$.....1,199 transferred into the reserve net of taxes of \$.....0..... | 1,199 |
| 3. Adjustment for current year's liability gains/(losses) released from the reserve..... | 0 |
| 4. Balance before reduction for amount transferred to Summary of Operations (Line 1 + Line 2 + Line 3)..... | 113,316 |
| 5. Current year's amortization released to Summary of Operations (Amortization, Line 1, Column 4)..... | 24,635 |
| 6. Reserve as of December 31, current year (Line 4 minus Line 5)..... | 88,681 |

Amortization

| Year of Amortization | 1 Reserve as of December 31, Prior Year | 2 Current Year's Realized Capital Gains/(Losses) Transferred into the Reserve Net of Taxes | 3 Adjustment for Current Year's Liability Gains/(Losses) Released from the Reserve | 4 Balance Before Reduction for the Current Year's Amortization (Cols. 1 + 2 + 3) |
|--------------------------------|--|---|---|---|
| 1. 2018..... | 23,861 | 774 | | 24,635 |
| 2. 2019..... | 16,629 | 425 | | 17,054 |
| 3. 2020..... | 12,430 | | | 12,430 |
| 4. 2021..... | 8,661 | | | 8,661 |
| 5. 2022..... | 5,918 | | | 5,918 |
| 6. 2023..... | 4,958 | | | 4,958 |
| 7. 2024..... | 4,806 | | | 4,806 |
| 8. 2025..... | 4,490 | | | 4,490 |
| 9. 2026..... | 4,319 | | | 4,319 |
| 10. 2027..... | 4,126 | | | 4,126 |
| 11. 2028..... | 3,953 | | | 3,953 |
| 12. 2029..... | 3,642 | | | 3,642 |
| 13. 2030..... | 3,139 | | | 3,139 |
| 14. 2031..... | 2,312 | | | 2,312 |
| 15. 2032..... | 1,475 | | | 1,475 |
| 16. 2033..... | 894 | | | 894 |
| 17. 2034..... | 632 | | | 632 |
| 18. 2035..... | 602 | | | 602 |
| 19. 2036..... | 843 | | | 843 |
| 20. 2037..... | 1,089 | | | 1,089 |
| 21. 2038..... | 1,148 | | | 1,148 |
| 22. 2039..... | 899 | | | 899 |
| 23. 2040..... | 670 | | | 670 |
| 24. 2041..... | 484 | | | 484 |
| 25. 2042..... | 143 | | | 143 |
| 26. 2043..... | (7) | | | (7) |
| 27. 2044..... | | | | 0 |
| 28. 2045..... | | | | 0 |
| 29. 2046..... | | | | 0 |
| 30. 2047..... | | | | 0 |
| 31. 2048 and Later..... | | | | 0 |
| 32. Total (Lines 1 to 31)..... | 112,117 | 1,199 | 0 | 113,316 |

ASSET VALUATION RESERVE

| | Default Component | | | Equity Component | | | 7 |
|--|--------------------------------------|------------------------|-----------------------------|----------------------|--|-----------------------------|----------------------------------|
| | 1 Other Than Mortgage Loans | 2 Mortgage Loans | 3 Total (Cols. 1 + 2) | 4 Common Stock | 5 Real Estate and Other Invested Assets | 6 Total (Cols. 4 + 5) | Total Amount (Cols. 3 + 6) |
| 1. Reserve as of December 31, prior year..... | 31,620 | | 31,620 | | | 0 | 31,620 |
| 2. Realized capital gains/(losses) net of taxes - General Account..... | 1,199 | | 1,199 | | | 0 | 1,199 |
| 3. Realized capital gains/(losses) net of taxes - Separate Accounts..... | | | 0 | | | 0 | 0 |
| 4. Unrealized capital gains/(losses) - net of deferred taxes - General Account..... | 14,093 | | 14,093 | | | 0 | 14,093 |
| 5. Unrealized capital gains/(losses) - net of deferred taxes - Separate Accounts..... | | | 0 | | | 0 | 0 |
| 6. Capital gains credited/(losses charged) to contract benefits, payments or reserves..... | | | 0 | | | 0 | 0 |
| 7. Basic contribution..... | 4,458 | | 4,458 | | | 0 | 4,458 |
| 8. Accumulated balances (Lines 1 through 5, minus 6 plus 7)..... | 51,371 | 0 | 51,371 | 0 | 0 | 0 | 51,371 |
| 9. Maximum reserve..... | 22,023 | | 22,023 | | | 0 | 22,023 |
| 10. Reserve objective..... | 14,978 | | 14,978 | | | 0 | 14,978 |
| 11. 20% of (Line 10 minus Line 8)..... | (7,279) | 0 | (7,279) | 0 | 0 | 0 | (7,279) |
| 12. Balance before transfers (Lines 8 + 11)..... | 44,092 | 0 | 44,092 | 0 | 0 | 0 | 44,092 |
| 13. Transfers..... | | | 0 | | | 0 | 0 |
| 14. Voluntary contribution..... | | | 0 | | | 0 | 0 |
| 15. Adjustment down to maximum/up to zero..... | (22,069) | | (22,069) | | | 0 | (22,069) |
| 16. Reserve as of December 31, current year (Lines 12 + 13 + 14 + 15)..... | 22,023 | 0 | 22,023 | 0 | 0 | 0 | 22,023 |

ASSET VALUATION RESERVE

Basic Contribution, Reserve Objective and Maximum Reserve Calculations

Default Component

| Line Number | NAIC Desig- nation | Description | 1 | 2 | 3 | 4 | Basic Contribution | | Reserve Objective | | Maximum Reserve | |
|----------------|--------------------------|--|------------------------------------|---|------------------------------------|---|--------------------|-------------------------|-------------------|-------------------------|-----------------|-------------------------|
| | | | Book/Adjusted Carrying Value | Reclassify Related Party Encumbrances | Add Third Party Encumbrances | Balance for AVR Reserve Calculations (Cols. 1 + 2 + 3) | 5 | 6 | 7 | 8 | 9 | 10 |
| | | | | | | | Factor | Amount (Cols. 4 x 5) | Factor | Amount (Cols. 4 x 7) | Factor | Amount (Cols. 4 x 9) |
| | | LONG-TERM BONDS | | | | | | | | | | |
| 1 | | Exempt obligations..... | | XXX..... | XXX..... | 0 | 0.0000 | 0 | 0.0000 | 0 | 0.0000 | 0 |
| 2 | 1 | Highest quality..... | 1,791,923 | XXX..... | XXX..... | 1,791,923 | 0.0004 | 717 | 0.0023 | 4,121 | 0.0030 | 5,376 |
| 3 | 2 | High quality..... | 1,182,461 | XXX..... | XXX..... | 1,182,461 | 0.0019 | 2,247 | 0.0058 | 6,858 | 0.0090 | 10,642 |
| 4 | 3 | Medium quality..... | 109,848 | XXX..... | XXX..... | 109,848 | 0.0093 | 1,022 | 0.0230 | 2,527 | 0.0340 | 3,735 |
| 5 | 4 | Low quality..... | | XXX..... | XXX..... | 0 | 0.0213 | 0 | 0.0530 | 0 | 0.0750 | 0 |
| 6 | 5 | Lower quality..... | | XXX..... | XXX..... | 0 | 0.0432 | 0 | 0.1100 | 0 | 0.1700 | 0 |
| 7 | 6 | In or near default..... | | XXX..... | XXX..... | 0 | 0.0000 | 0 | 0.2000 | 0 | 0.2000 | 0 |
| 8 | | Total unrated multi-class securities acquired by conversion..... | | XXX..... | XXX..... | 0 | XXX..... | 0 | XXX..... | 0 | XXX..... | |
| 9 | | Total long-term bonds (sum of Lines 1 through 8)..... | 3,084,232 | XXX..... | XXX..... | 3,084,232 | XXX..... | 3,985 | XXX..... | 13,506 | XXX..... | 19,753 |
| | | PREFERRED STOCKS | | | | | | | | | | |
| 10 | 1 | Highest quality..... | 25,000 | XXX..... | XXX..... | 25,000 | 0.0004 | 10 | 0.0023 | 58 | 0.0030 | 75 |
| 11 | 2 | High quality..... | 243,889 | XXX..... | XXX..... | 243,889 | 0.0019 | 463 | 0.0058 | 1,415 | 0.0090 | 2,195 |
| 12 | 3 | Medium quality..... | | XXX..... | XXX..... | 0 | 0.0093 | 0 | 0.0230 | 0 | 0.0340 | 0 |
| 13 | 4 | Low quality..... | | XXX..... | XXX..... | 0 | 0.0213 | 0 | 0.0530 | 0 | 0.0750 | 0 |
| 14 | 5 | Lower quality..... | | XXX..... | XXX..... | 0 | 0.0432 | 0 | 0.1100 | 0 | 0.1700 | 0 |
| 15 | 6 | In or near default..... | | XXX..... | XXX..... | 0 | 0.0000 | 0 | 0.2000 | 0 | 0.2000 | 0 |
| 16 | | Affiliated life with AVR..... | | XXX..... | XXX..... | 0 | 0.0000 | 0 | 0.0000 | 0 | 0.0000 | 0 |
| 17 | | Total preferred stocks (sum of Lines 10 through 16)..... | 268,889 | XXX..... | XXX..... | 268,889 | XXX..... | 473 | XXX..... | 1,472 | XXX..... | 2,270 |
| | | SHORT-TERM BONDS | | | | | | | | | | |
| 18 | | Exempt obligations..... | | XXX..... | XXX..... | 0 | 0.0000 | 0 | 0.0000 | 0 | 0.0000 | 0 |
| 19 | 1 | Highest quality..... | | XXX..... | XXX..... | 0 | 0.0004 | 0 | 0.0023 | 0 | 0.0030 | 0 |
| 20 | 2 | High quality..... | | XXX..... | XXX..... | 0 | 0.0019 | 0 | 0.0058 | 0 | 0.0090 | 0 |
| 21 | 3 | Medium quality..... | | XXX..... | XXX..... | 0 | 0.0093 | 0 | 0.0230 | 0 | 0.0340 | 0 |
| 22 | 4 | Low quality..... | | XXX..... | XXX..... | 0 | 0.0213 | 0 | 0.0530 | 0 | 0.0750 | 0 |
| 23 | 5 | Lower quality..... | | XXX..... | XXX..... | 0 | 0.0432 | 0 | 0.1100 | 0 | 0.1700 | 0 |
| 24 | 6 | In or near default..... | | XXX..... | XXX..... | 0 | 0.0000 | 0 | 0.2000 | 0 | 0.2000 | 0 |
| 25 | | Total short-term bonds (sum of Lines 18 through 24)..... | 0 | XXX..... | XXX..... | 0 | XXX..... | 0 | XXX..... | 0 | XXX..... | 0 |
| | | DERIVATIVE INSTRUMENTS | | | | | | | | | | |
| 26 | | Exchange traded..... | | XXX..... | XXX..... | 0 | 0.0004 | 0 | 0.0023 | 0 | 0.0030 | 0 |
| 27 | 1 | Highest quality..... | | XXX..... | XXX..... | 0 | 0.0004 | 0 | 0.0023 | 0 | 0.0030 | 0 |
| 28 | 2 | High quality..... | | XXX..... | XXX..... | 0 | 0.0019 | 0 | 0.0058 | 0 | 0.0090 | 0 |
| 29 | 3 | Medium quality..... | | XXX..... | XXX..... | 0 | 0.0093 | 0 | 0.0230 | 0 | 0.0340 | 0 |
| 30 | 4 | Low quality..... | | XXX..... | XXX..... | 0 | 0.0213 | 0 | 0.0530 | 0 | 0.0750 | 0 |
| 31 | 5 | Lower quality..... | | XXX..... | XXX..... | 0 | 0.0432 | 0 | 0.1100 | 0 | 0.1700 | 0 |
| 32 | 6 | In or near default..... | | XXX..... | XXX..... | 0 | 0.0000 | 0 | 0.2000 | 0 | 0.2000 | 0 |
| 33 | | Total derivative instruments..... | 0 | XXX..... | XXX..... | 0 | XXX..... | 0 | XXX..... | 0 | XXX..... | 0 |
| 34 | | Total (Lines 9 + 17 + 25 + 33)..... | 3,353,121 | XXX..... | XXX..... | 3,353,121 | XXX..... | 4,458 | XXX..... | 14,978 | XXX..... | 22,023 |

Asset Valuation Reserve - Default
NONE

Asset Valuation Reserve - Equity
NONE

Asset Valuation Reserve - Equity
NONE

Asset Valuation Reserve - Equity
NONE

Asset Valuation Reserve - Replications (Synthetic) Assets
NONE

Sch. F - Claims
NONE

Sch. H - Pt. 1
NONE

Sch. H - Pt. 2
NONE

Sch. H - Pt. 3
NONE

Sch. H - Pt. 4
NONE

Sch. H - Pt. 5
NONE

Sch. S - Pt. 1 - Sn. 1
NONE

Sch. S - Pt. 1 - Sn. 2
NONE

Sch. S - Pt. 2
NONE

Sch. S - Pt. 3 - Sn. 1
NONE

Sch. S - Pt. 3 - Sn. 2
NONE

Sch. S - Pt. 4
NONE

Sch. S - Pt. 5
NONE

Sch. S - Pt. 6
NONE

Sch. S - Pt. 7
NONE

SCHEDULE T - PART 2

INTERSTATE COMPACT - EXHIBIT OF PREMIUMS WRITTEN

Allocated by States and Territories

| States, Etc. | | | Direct Business Only | | | | |
|--------------|-------------------------------|-----|-------------------------------------|--|--|---|--------------------------------|
| | | | 1 Life (Group and Individual) | 2 Annuities (Group and Individual) | 3 Disability Income (Group and Individual) | 4 Long-Term Care (Group and Individual) | 5 Deposit-Type Contracts |
| 1. | Alabama..... | AL | | | | |0 |
| 2. | Alaska..... | AK | | | | |0 |
| 3. | Arizona..... | AZ | | | | |0 |
| 4. | Arkansas..... | AR | | | | |0 |
| 5. | California..... | CA | | | | |0 |
| 6. | Colorado..... | CO | | | | |0 |
| 7. | Connecticut..... | CT | | | | |0 |
| 8. | Delaware..... | DE | | | | |0 |
| 9. | District of Columbia..... | DC | | | | |0 |
| 10. | Florida..... | FL | | | | |0 |
| 11. | Georgia..... | GA | | | | |0 |
| 12. | Hawaii..... | HI | | | | |0 |
| 13. | Idaho..... | ID | | | | |0 |
| 14. | Illinois..... | IL | | | | |0 |
| 15. | Indiana..... | IN | | | | |0 |
| 16. | Iowa..... | IA | | | | |0 |
| 17. | Kansas..... | KS | | | | |0 |
| 18. | Kentucky..... | KY | | | | |0 |
| 19. | Louisiana..... | LA | | | | |0 |
| 20. | Maine..... | ME | | | | |0 |
| 21. | Maryland..... | MD | | | | |0 |
| 22. | Massachusetts..... | MA | | | | |0 |
| 23. | Michigan..... | MI | | | | |0 |
| 24. | Minnesota..... | MN | | | | |0 |
| 25. | Mississippi..... | MS | | | | |0 |
| 26. | Missouri..... | MO | | | | |0 |
| 27. | Montana..... | MT | | | | |0 |
| 28. | Nebraska..... | NE | | | | |0 |
| 29. | Nevada..... | NV | | | | |0 |
| 30. | New Hampshire..... | NH | | | | |0 |
| 31. | New Jersey..... | NJ | | | | |0 |
| 32. | New Mexico..... | NM | | | | |0 |
| 33. | New York..... | NY | | | | |0 |
| 34. | North Carolina..... | NC | | | | |0 |
| 35. | North Dakota..... | ND | | | | |0 |
| 36. | Ohio..... | OH | 9,470 | | | | 9,470 |
| 37. | Oklahoma..... | OK | | | | |0 |
| 38. | Oregon..... | OR | | | | |0 |
| 39. | Pennsylvania..... | PA | | | | |0 |
| 40. | Rhode Island..... | RI | | | | |0 |
| 41. | South Carolina..... | SC | | | | |0 |
| 42. | South Dakota..... | SD | | | | |0 |
| 43. | Tennessee..... | TN | | | | |0 |
| 44. | Texas..... | TX | | | | |0 |
| 45. | Utah..... | UT | | | | |0 |
| 46. | Vermont..... | VT | | | | |0 |
| 47. | Virginia..... | VA | | | | |0 |
| 48. | Washington..... | WA | | | | |0 |
| 49. | West Virginia..... | WV | | | | |0 |
| 50. | Wisconsin..... | WI | | | | |0 |
| 51. | Wyoming..... | WY | | | | |0 |
| 52. | American Samoa..... | AS | | | | |0 |
| 53. | Guam..... | GU | | | | |0 |
| 54. | Puerto Rico..... | PR | | | | |0 |
| 55. | US Virgin Islands..... | VI | | | | |0 |
| 56. | Northern Mariana Islands..... | MP | | | | |0 |
| 57. | Canada..... | CAN | | | | |0 |
| 58. | Aggregate Other Alien..... | OT | | | | |0 |
| 59. | Totals..... | | 9,470 | 0 | 0 | 0 | 9,470 |

Sch. Y - Pt. 1A
NONE

Sch. Y - Pt. 2
NONE

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing unless specifically waived by the domiciliary state. However, in the event that your state of domicile waives the filing requirement, your response of WAIVED to the specific interrogatory will be accepted in lieu of filing a "NONE" report and a bar code will be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and provide an explanation following the interrogatory questions.

| | Responses |
|--|-----------------|
| MARCH FILING | |
| 1. Will the Supplemental Compensation Exhibit be filed with the state of domicile by March 1? | YES |
| 2. Will the confidential Risk-Based Capital Report be filed with the NAIC by March 1? | YES |
| 3. Will the confidential Risk-Based Capital Report be filed with the state of domicile, if required, by March 1? | YES |
| 4. Will an actuarial opinion be filed by March 1? | YES |
| APRIL FILING | |
| 5. Will Management's Discussion and Analysis be filed by April 1? | YES |
| 6. Will the Supplemental Investment Risk Interrogatories be filed by April 1? | YES |
| JUNE FILING | |
| 7. Will an audited financial report be filed by June 1? | SEE EXPLANATION |
| 8. Will Accountants Letter of Qualifications be filed with the state of domicile and electronically with the NAIC by June 1? | SEE EXPLANATION |
| AUGUST FILING | |
| 9. Will the regulator only (non-public) Communication of Internal Control Related Matters Noted in Audit be filed with the state of domicile and electronically with the NAIC (as a regulator-only non-public document) by August 1? | NO |

The following supplemental reports are required to be filed as part of your statement filing **if your company is engaged in the type of business covered by the supplement. 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.

| | |
|---|-----|
| MARCH FILING | |
| 10. Will the Medicare Supplement Insurance Experience Exhibit be filed with the state of domicile and the NAIC by March 1? | NO |
| 11. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC by March 1? | NO |
| 12. Will the actuarial opinion on participating and non-participating policies as required in Interrogatories 1 and 2 to Exhibit 5 be filed with the state of domicile and electronically with the NAIC by March 1? | YES |
| 13. Will the statement on non-guaranteed elements as required in interrogatory #3 to Exhibit 5 be filed with the state of domicile and electronically with the NAIC by March 1? | YES |
| 14. Will the actuarial opinion on X-Factors be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 15. Will the actuarial opinion on Separate Accounts Funding Guaranteed Minimum Benefit be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 16. Will the actuarial opinion on Synthetic Guaranteed Investment Contracts be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 17. Will the Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 18. 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 by March 1? | NO |
| 19. 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 by March 1? | NO |
| 20. 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 by March 1? | NO |
| 21. 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 by March 1? | NO |
| 22. Will the C-3 RBC Certifications required under C-3 Phase I be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 23. Will the C-3 RBC Certifications required under C-3 Phase II be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 24. Will the Actuarial Certifications Related to Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 25. Will the actuarial opinion required by the Modified Guaranteed Annuity Model Regulation be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 26. Will the Actuarial Certifications Related to Hedging required by Actuarial Guideline XLIII be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 27. Will the Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 28. Will the Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 29. Will the Actuarial Certification Related to the Reserves required by Actuarial Guideline XLIII be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 30. Will the Actuarial Certification regarding the use of 2001 Preferred Class Tables required by the Model Regulation Permitting the Recognition of Preferred Mortality Tables for Use in Determining Minimum Reserve Liabilities be filed with the state of domicile and electronically with the NAIC by March 1? | NO |
| 31. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC by March 1? | NO |
| 32. Will an approval from the reporting entity's state of domicile for relief related to the five-year rotation requirement for lead audit partner be filed electronically with the NAIC by March 1? | NO |
| 33. Will an approval from the reporting entity's state of domicile for relief related to the one-year cooling off period for independent CPA be filed electronically with the NAIC by March 1? | NO |
| 34. Will an approval from the reporting entity's state of domicile for relief related to the Requirements for Audit Committees be filed electronically with the NAIC by March 1? | NO |
| 35. Will the VM-20 Reserves Supplement be filed with the state of domicile and the NAIC by March 1? | NO |
| APRIL FILING | |
| 36. Will the confidential Regulatory Asset Adequacy Issues Summary (RAAIS) required by the Valuation Manual be filed with the state of domicile by April 1? | YES |
| 37. Will the Long-Term Care Experience Reporting be filed with the state of domicile and the NAIC by April 1? | NO |
| 38. Will the Interest-Sensitive Life Insurance Products Report Forms be filed with the state of domicile and the NAIC by April 1? | YES |
| 39. Will the Accident and Health Policy Experience Exhibit be filed by April 1? | NO |
| 40. Will the Analysis of Annuity Operations by Lines of Business be filed with the state of domicile and the NAIC by April 1? | YES |
| 41. Will the Analysis of Increase in Annuity Reserves During the Year be filed with the state of domicile and the NAIC by April 1? | YES |
| 42. Will the Supplemental Health Care Exhibit (Parts 1, 2 and 3) be filed with the state of domicile and the NAIC by April 1? | NO |
| 43. Will the regulator only (non-public) Supplemental Health Care Exhibit's Expense Allocation Report be filed with the state of domicile and the NAIC by April 1? | NO |
| 44. Will the confidential Actuarial Memorandum required by Actuarial Guideline XXXVIII 8D be filed with the state of domicile by April 30? | YES |
| 45. Will the Supplemental Term and Universal Life Insurance Reinsurance Exhibit be filed with the state of domicile and the NAIC by April 1? | YES |
| 46. Will the Variable Annuities Supplement by filed with the state of domicile and the NAIC by April 1? | NO |
| AUGUST FILING | |
| 47. Will Management's Report of Internal Control Over Financial Reporting be filed with the state of domicile by August 1? | YES |

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

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



38.

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



40.

41.

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



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



44.

45.

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



47.

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NONE**

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NONE**

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