

QUARTERLY STATEMENT

OF THE

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OFFICE OF RISK
ASSESSMENT

SOCA Benefit Plan

Of

Dayton

in the state of OH

to the Insurance Department

of the State of Ohio

For the Period Ended

September 30, 2019

2019

ASSETS

	Current Statement Date			4 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds.....	..			0
2. Stocks:				
2.1 Preferred stocks.....				0
2.2 Common stocks.....				0
3. Mortgage loans on real estate:				
3.1 First liens.....				0
3.2 Other than first liens.....				0
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....				0
4.2 Properties held for the production of income (less \$.....0 encumbrances).....				0
4.3 Properties held for sale (less \$.....0 encumbrances).....				0
5. Cash (\$....21,469,625), cash equivalents (\$.....0) and short-term investments (\$....6,179,562).....		27,649,187		27,649,187 13,725,882
6. Contract loans (including \$.....0 premium notes).....				0
7. Derivatives.....				0
8. Other invested assets.....				0
9. Receivables for securities.....				0
10. Securities lending reinvested collateral assets.....				0
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	27,649,187	0	27,649,187	13,725,882
13. Title plants less \$.....0 charged off (for Title insurers only).....				0
14. Investment income due and accrued.....	10,099		10,099	11,089
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....				0
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....				0
15.3 Accrued retrospective premiums (\$.....0) and contracts subject to redetermination (\$.....0).....				0
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers.....				0
16.2 Funds held by or deposited with reinsured companies.....				0
16.3 Other amounts receivable under reinsurance contracts.....	1,948,463		1,948,463	941,566
17. Amounts receivable relating to uninsured plans.....				0
18.1 Current federal and foreign income tax recoverable and interest thereon.....				0
18.2 Net deferred tax asset.....				0
19. Guaranty funds receivable or on deposit.....				0
20. Electronic data processing equipment and software.....				0
21. Furniture and equipment, including health care delivery assets (\$.....0).....				0
22. Net adjustment in assets and liabilities due to foreign exchange rates.....				0
23. Receivables from parent, subsidiaries and affiliates.....				0
24. Health care (\$.....0) and other amounts receivable.....				0
25. Aggregate write-ins for other than invested assets.....	0	0	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	29,607,749	0	29,607,749	14,678,537
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....				0
28. Total (Lines 26 and 27).....	29,607,749	0	29,607,749	14,678,537

DETAILS OF WRITE-INS

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

LIABILITIES, CAPITAL AND SURPLUS

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$.....18,846,528 reinsurance ceded).....2,094,058	2,094,058964,124
2. Accrued medical incentive pool and bonus amounts.....		0	
3. Unpaid claims adjustment expenses.....33,000	33,00015,000
4. Aggregate health policy reserves, including the liability of \$.....0 for medical loss ratio rebate per the Public Health Service Act.....		0	
5. Aggregate life policy reserves.....		0	
6. Property/casualty unearned premium reserve.....		0	
7. Aggregate health claim reserves.....		0	
8. Premiums received in advance.....		0	
9. General expenses due or accrued.....243,817	243,81753,521
10.1 Current federal and foreign income tax payable and interest thereon (including \$.....0 on realized gains (losses)).....		0	
10.2 Net deferred tax liability.....		0	
11. Ceded reinsurance premiums payable.....21,399,515	21,399,51510,225,117
12. Amounts withheld or retained for the account of others.....		0	
13. Remittances and items not allocated.....		0	
14. Borrowed money (including \$.....0 current) and interest thereon \$.....0 (including \$.....0 current).....		0	
15. Amounts due to parent, subsidiaries and affiliates.....		0	
16. Derivatives.....		0	
17. Payable for securities.....		0	
18. Payable for securities lending.....		0	
19. Funds held under reinsurance treaties with (\$.....0 authorized reinsurers, \$.....0 unauthorized reinsurers and certified \$.....0 reinsurers).....		0	
20. Reinsurance in unauthorized and certified (\$.....0) companies.....		0	
21. Net adjustments in assets and liabilities due to foreign exchange rates.....		0	
22. Liability for amounts held under uninsured plans.....		0	
23. Aggregate write-ins for other liabilities (including \$.....0 current).....0000
24. Total liabilities (Lines 1 to 23).....23,770,390023,770,39011,257,762
25. Aggregate write-ins for special surplus funds.....XXXXXX2,970,2660
26. Common capital stock.....XXXXXX		
27. Preferred capital stock.....XXXXXX		
28. Gross paid in and contributed surplus.....XXXXXX510,000510,000
29. Surplus notes.....XXXXXX		
30. Aggregate write-ins for other than special surplus funds.....XXXXXX00
31. Unassigned funds (surplus).....XXXXXX2,357,0932,910,774
32. Less treasury stock, at cost:				
32.10.000 shares common (value included in Line 26 \$.....0).....XXXXXX		
32.20.000 shares preferred (value included in Line 27 \$.....0).....XXXXXX		
33. Total capital and surplus (Lines 25 to 31 minus Line 32).....XXXXXX5,837,3593,420,774
34. Total liabilities, capital and surplus (Lines 24 and 33).....XXXXXX29,607,74914,678,536

DETAILS OF WRITE-INS

2301.0	
2302.0	
2303.0	
2398. Summary of remaining write-ins for Line 23 from overflow page.....0000
2399. Totals (Lines 2301 thru 2303 plus 2398) (Line 23 above).....0000
2501. Special Surplus HIT tax.....XXXXXX2,970,266	
2502.				
2503.				
2598. Summary of remaining write-ins for Line 25 from overflow page.....XXXXXX00
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....XXXXXX2,970,2660
3001.				
3002.				
3003.				
3098. Summary of remaining write-ins for Line 30 from overflow page.....XXXXXX00
3099. Totals (Lines 3001 thru 3003 plus 3098) (Line 30 above).....XXXXXX00

STATEMENT OF REVENUE AND EXPENSES

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member months.....	XXX.....	422,640	196,650	281,689
2. Net premium income (including \$.....0 non-health premium income).....	XXX.....	14,091,094	7,044,865	9,877,609
3. Change in unearned premium reserves and reserve for rate credits.....	XXX.....			
4. Fee-for-service (net of \$.....0 medical expenses).....	XXX.....			
5. Risk revenue.....	XXX.....			
6. Aggregate write-ins for other health care related revenues.....	XXX.....	0	0	0
7. Aggregate write-ins for other non-health revenues.....	XXX.....	0	0	0
8. Total revenues (Lines 2 to 7).....	XXX.....	14,091,094	7,044,865	9,877,609
Hospital and Medical:				
9. Hospital/medical benefits.....		86,878,303	35,766,296	53,676,960
10. Other professional services.....		8,176,781	5,424,018	5,051,949
11. Outside referrals.....				
12. Emergency room and out-of-area.....		7,154,684	3,759,220	4,420,456
13. Prescription drugs.....		17,934,114	8,753,613	12,783,116
14. Aggregate write-ins for other hospital and medical.....	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts.....				
16. Subtotal (Lines 9 to 15).....	0	120,143,882	53,703,147	75,932,481
Less:				
17. Net reinsurance recoveries.....		108,343,748	48,420,620	68,440,932
18. Total hospital and medical (Lines 16 minus 17).....	0	11,800,134	5,282,527	7,491,549
19. Non-health claims (net).....				
20. Claims adjustment expenses, including \$....102,883 cost containment expenses.....		321,509	139,330	205,353
21. General administrative expenses.....		(303,693)	347,091	281,441
22. Increase in reserves for life and accident and health contracts (including \$.....0 increase in reserves for life only).....				
23. Total underwriting deductions (Lines 18 through 22).....	0	11,817,950	5,768,948	7,978,343
24. Net underwriting gain or (loss) (Lines 8 minus 23).....	XXX.....	2,273,144	1,275,917	1,899,266
25. Net investment income earned.....		141,449	53,533	90,828
26. Net realized capital gains (losses) less capital gains tax of \$....0.....				
27. Net investment gains or (losses) (Lines 25 plus 26).....	0	141,449	53,533	90,828
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$.....0) (amount charged off \$.....0)].....				
29. Aggregate write-ins for other income or expenses.....	0	0	0	0
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29).....	XXX.....	2,414,593	1,329,450	1,990,094
31. Federal and foreign income taxes incurred.....	XXX.....			
32. Net income (loss) (Lines 30 minus 31).....	XXX.....	2,414,593	1,329,450	1,990,094

DETAILS OF WRITE-INS

0601.	XXX.....			
0602.	XXX.....			
0603.	XXX.....			
0698. Summary of remaining write-ins for Line 6 from overflow page.....	XXX.....	0	0	0
0699. Totals (Lines 0601 thru 0603 plus 0698) (Line 6 above).....	XXX.....	0	0	0
0701.	XXX.....			
0702.	XXX.....			
0703.	XXX.....			
0798. Summary of remaining write-ins for Line 7 from overflow page.....	XXX.....	0	0	0
0799. Totals (Lines 0701 thru 0703 plus 0798) (Line 7 above).....	XXX.....	0	0	0
1401.				
1402.				
1403.				
1498. Summary of remaining write-ins for Line 14 from overflow page.....	0	0	0	0
1499. Totals (Lines 1401 thru 1403 plus 1498) (Line 14 above).....	0	0	0	0
2901.				
2902.				
2903.				
2998. Summary of remaining write-ins for Line 29 from overflow page.....	0	0	0	0
2999. Totals (Lines 2901 thru 2903 plus 2998) (Line 29 above).....	0	0	0	0

STATEMENT OF REVENUE AND EXPENSES (Continued)

CAPITAL AND SURPLUS ACCOUNT	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
33. Capital and surplus prior reporting year.....	3,420,774	1,274,154	1,274,154
34. Net income or (loss) from Line 32.....	2,414,593	1,329,450	1,990,094
35. Change in valuation basis of aggregate policy and claim reserves.....			
36. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0			
37. Change in net unrealized foreign exchange capital gain or (loss).....			
38. Change in net deferred income tax.....			
39. Change in nonadmitted assets.....	1,992	140,707	156,526
40. Change in unauthorized and certified reinsurance.....			
41. Change in treasury stock.....			
42. Change in surplus notes.....			
43. Cumulative effect of changes in accounting principles.....			
44. Capital changes:			
44.1 Paid in.....			
44.2 Transferred from surplus (Stock Dividend).....			
44.3 Transferred to surplus.....			
45. Surplus adjustments:			
45.1 Paid in.....			
45.2 Transferred to capital (Stock Dividend).....			
45.3 Transferred from capital.....			
46. Dividends to stockholders.....			
47. Aggregate write-ins for gains or (losses) in surplus.....	.0	0	0
48. Net change in capital and surplus (Lines 34 to 47).....	2,416,585	1,470,157	2,146,620
49. Capital and surplus end of reporting period (Line 33 plus 48).....	5,837,359	2,744,311	3,420,774

DETAILS OF WRITE-INS

4701.			
4702.			
4703.			
4798. Summary of remaining write-ins for Line 47 from overflow page.....	.0	0	0
4799. Totals (Lines 4701 thru 4703 plus 4798) (Line 47 above).....	.0	0	0

CASH FLOW

	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
CASH FROM OPERATIONS			
1. Premiums collected net of reinsurance.....	25,265,492	9,755,776	11,945,335
2. Net investment income.....	142,439	47,070	82,365
3. Miscellaneous income.....			
4. Total (Lines 1 through 3).....	25,407,931	9,802,846	12,027,700
5. Benefit and loss related payments.....	11,677,097	2,382,283	4,814,723
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	(190,480)	461,266	446,483
8. Dividends paid to policyholders.....			
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....			
10. Total (Lines 5 through 9).....	11,486,617	2,843,549	5,261,206
11. Net cash from operations (Line 4 minus Line 10).....	13,921,314	6,959,297	6,766,494
CASH FROM INVESTMENTS			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....			
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.....		140,707	158,518
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	0	140,707	158,518
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....			
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).....	0	0	0
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).....	0	140,707	158,518
CASH FROM FINANCING AND MISCELLANEOUS SOURCES			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes.....			
16.2 Capital and paid in surplus, less treasury stock.....			
16.3 Borrowed funds.....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities.....			
16.5 Dividends to stockholders.....			
16.6 Other cash provided (applied).....	1,991		(1,991)
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	1,991	0	(1,991)
RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS			
18. Net change in cash, cash equivalents and short-term investments (Line 11 plus Line 15 plus Line 17).....	13,923,305	7,100,004	6,923,022
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	13,725,882	6,802,860	6,802,860
19.2 End of period (Line 18 plus Line 19.1).....	27,649,187	13,902,864	13,725,882

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

20.0001
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EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1 Total	Comprehensive (Hospital & Medical)		4 Medicare Supplement	5 Vision Only	6 Dental Only	7 Federal Employees Health Benefit Plan	8 Title XVIII Medicare	9 Title XIX Medicaid	10 Other
		2 Individual	3 Group							
Total Members at End of:										
1. Prior Year.....	28,716									
2. First Quarter.....	41,909									
3. Second Quarter.....	57,221									
4. Third Quarter.....	51,761									
5. Current Year.....	0									
6. Current Year Member Months.....	422,114									
Total Member Ambulatory Encounters for Period:										
7. Physician.....	0									
8. Non-Physician.....	0									
9. Total.....	0									
10. Hospital Patient Days Incurred.....	0									
11. Number of Inpatient Admissions.....	0									
12. Health Premiums Written (a).....	147,509,851									
13. Life Premiums Direct.....	0									
14. Property/Casualty Premiums Written.....	0									
15. Health Premiums Earned.....	147,509,851									
16. Property/Casualty Premiums Earned.....	0									
17. Amount Paid for Provision of Health Care Services.....	108,844,536									
18. Amount Incurred for Provision of Health Care Services.....	120,143,882									

CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)

Claims Unpaid (Reported)	Account	Aging Analysis of Unpaid Claims					Total
		1 - 30 Days	31 - 60 Days	61 - 90 Days	91 - 120 Days	Over 120 Days	
0199999, Individually Listed Claims Unpaid		20,940,586	0	0	0	0	20,940,586
0499999, Subtotals		20,940,586	0	0	0	0	20,940,586
0799999, Total Claims Unpaid		20,940,586	0	0	0	0	20,940,586

UNDERWRITING AND INVESTMENT EXHIBIT

Analysis of Claims Unpaid - Prior Year - Net of Reinsurance

Line of Business	Claims Paid Year to Date	Liability End of Current Quarter		Claims Incurred in Prior Years (Columns 1 + 3)	Estimated Claim Reserve and Claim Liability December 31 of Prior Year
		1 On Claims Incurred Prior to January 1 of Current Year	2 On Claims Incurred During the Year		
1. Comprehensive (hospital and medical)	1,010,362	9,659,838	12,000	2,082,058	964,124
2. Medicare Supplement					0
3. Dental only					0
4. Vision only					0
5. Federal Employees Health Benefits Plan					0
6. Title XVIII - Medicare					0
7. Title XIX - Medicaid					0
8. Other health					0
9. Health subtotal (Lines 1 to 8)	1,010,362	9,659,838	12,000	2,082,058	964,124
10. Healthcare receivables (a)					0
11. Other non-health					0
12. Medical incentive pools and bonus amounts					0
13. Totals (Lines 9-10+11+12)	1,010,362	9,659,838	12,000	2,082,058	964,124

(a) Excludes \$.....0 loans or advances to providers not yet expensed.

NOTES TO FINANCIAL STATEMENTS**Note 1 – Summary of Significant Accounting Policies and Going Concern****A. Accounting Practices**

These financial statements of the Southern Ohio Chamber Alliance Benefit Plan ("SOCA BP" or the "Arrangement") have been prepared in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures Manual, as prescribed by the Ohio Department of Insurance.

	SSAP #	F/S Page	F/S Line #	Current Year to Date	2018
NET INCOME					
(1) SOCA Benefit Plan Company state basis (Page 4, Line 32, Columns 2 & 4)	XXX	XXX	XXX	\$ 2,414,593	\$ 1,990,094
(2) State Prescribed Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(3) State Permitted Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(4) NAIC SAP (1 – 2 – 3 = 4)	XXX	XXX	XXX	\$ 2,414,593	\$ 1,990,094
SURPLUS					
(5) SOCA Benefit Plan Company state basis (Page 3, line 33, Columns 3 & 4)	XXX	XXX	XXX	\$ 5,837,359	\$ 3,420,774
(6) State Prescribed Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(7) State Permitted Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(8) NAIC SAP (5 – 6 – 7 = 8)	XXX	XXX	XXX	\$ 5,837,359	\$ 3,420,774

C. Accounting Policy

(2) Basis for Bonds, Mandatory Convertible Securities, SVO-Identified Investments and Amortization Method
The Arrangement does not hold any such investments.

(6) Basis for Loan-Backed Securities and Adjustment Methodology
The Arrangement does not hold any loan-backed securities.

D. Going Concern

The Arrangement has neither the intention nor the need to liquidate or curtail materially the scale of its operations.

Note 2 – Accounting Changes and Corrections of Errors

None

Note 3 – Business Combinations and Goodwill

None

Note 4 – Discontinued Operations

None

Note 5 – Investments

D. Loan-Backed Securities - None

E. Dollar Repurchase Agreements and/or Securities Lending Transactions - None

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing - None

G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing
Repurchase Transactions – Cash Provider – Overview of Secured Borrowing Transactions - None

H. Repurchase Agreements Transactions Accounted for as a Sale
Repurchase Transaction – Cash Taker – Overview of Sale Transactions - None

I. Reverse Repurchase Agreements Transactions Accounted for as a Sale
Repurchase Transaction – Cash Provider – Overview of Sale Transactions - None

M. Working Capital Finance Investments - None

N. Offsetting and Netting of Assets and Liabilities - None

Note 6 – Joint Ventures, Partnerships and Limited Liability Companies

NOTES TO FINANCIAL STATEMENTS

None

Note 7 – Investment Income

- A. The bases, by category of investment income, for excluding (nonadmitting) any investment income due and accrued:
The Arrangement does not admit investment income due and accrued if the amounts are over 90 days past due.
- B. The total amount excluded:
None

Note 8 – Derivative Instruments

None

Note 9 – Income Taxes

The Arrangement is exempt from federal income taxes under Section 501(c)(9) of the Internal Revenue Code. As of September 30, 2019, the Arrangement's income tax years from 2017 and thereafter remain subject to examination by the Internal Revenue Service.

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

Not applicable

Note 11 – Debt

None

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

The Arrangement has no retirement plans, deferred compensation, postemployment benefits and compensated absences or other postretirement benefit plans.

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

Not applicable

Note 14 – Liabilities, Contingencies and Assessments

- A. Contingent Commitments - None
- B. Assessments - None
- C. Gain Contingencies - None
- D. Claims Related Extra Contractual Obligation and Bad Faith Losses Stemming from Lawsuits - Total SSAP 97 and SSAP 48 Contingent Liabilities - None
- E. Joint and Several Liabilities - None
- F. All Other Contingencies - None

Note 15 – Leases

- A. Lessee Operating Lease - None
- B. Lessor Leases - None

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

Not applicable, the Arrangement has no such instruments.

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

- A. Transfers of Receivables Reported as Sales - None
- B. Transfer and Servicing of Financial Assets - None
- C. Wash Sales - None

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

- A. ASO Plans - None
- B. ASC Plans - None
- C. Medicare or Similarly Structured Cost Based Reimbursement Contract - None

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

None

Note 20 – Fair Value Measurements

Not applicable as all Arrangement assets are reportable at valuations recognized by the Securities and Valuation Office.

NOTES TO FINANCIAL STATEMENTS

Note 21 – Other Items

- A. Unusual or Infrequent Items - None
- B. Troubled Debt Restructuring Debtors - None
- C. Other Disclosures - None
- D. Business Interruption Insurance Recoveries - None
- E. State Transferable and Non-Transferable Tax Credits - None
- F. Subprime Mortgage Related Risk Exposure - None
- G. Retained Assets - None
- H. Insurance-Linked Securities (ILS) Contracts - None

Note 22 – Events Subsequent

Subsequent events have been considered through November 13, 2019 for these statutory financial statements. There were no events occurring subsequent to the end of the quarter that merited recognition or disclosure in these statements.

Note 23 – Reinsurance

During 2019, the Plan has been subject to a quota share reinsurance agreement with Community Insurance Company to cede 90% of the Plan's health business.

During 2019, the Plan has been subject to a stop loss reinsurance agreement with Community Insurance Company for medical and prescription drug coverage. The premium is based upon the monthly funding rates and number of participants in each month of the contract. The specific stop loss threshold per covered person is \$400,000, for the policy year ending 4/30/20.

Note 24 – Retrospectively Rated Contracts and Contracts Subject to Redetermination

- E. Risk Sharing Provisions of the Affordable Care Act - Not applicable

Note 25 – Change in Incurred Losses and Loss Adjustment Expenses

- A. Change in Incurred Losses and Loss Adjustment Expenses
 - None
- B. Information about Significant Changes in Methodologies and Assumptions
 - None

Note 26 – Intercompany Pooling Arrangements - Not applicable

The Arrangement has no intercompany pooling arrangements.

Note 27 – Structured Settlements

Not Applicable

Note 28 – Health Care Receivables

- A. Pharmaceutical Rebate Receivables - None
- B. Risk Sharing Receivables - None

Note 29 – Participating Policies

Not applicable

Note 30 – Premium Deficiency Reserves

None

Note 31 – Anticipated Salvage and Subrogation

None

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 [] No [X]
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]
If yes, complete and file the merger history data file with the NAIC for the annual filing corresponding to this period.

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

1	2 NAIC Company Code	3 State of Domicile
Name of Entity		

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 [X] N/A []
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. _____

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

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

6.4 By what department or departments? _____

6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes [] No [] N/A [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 with 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 the response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

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

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

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

9.3 Have any provisions of the code of ethics been waived for any of the specified officers? Yes [] No [X]

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

GENERAL INTERROGATORIES**PART 1 - COMMON INTERROGATORIES****FINANCIAL**

10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes [] No [X]

10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ 0

INVESTMENT

11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes [] No [X]

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

12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ 0

13. Amount of real estate and mortgages held in short-term investments: \$ 0

14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes [] No [X]

14.2 If yes, please complete the following:

14.21 Bonds
14.22 Preferred Stock
14.23 Common Stock
14.24 Short-Term Investments
14.25 Mortgage Loans on Real Estate
14.26 All Other
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26)
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above

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

15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes [] No [X]

15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes [] No []

If no, attach a description with this statement.

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

16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0

16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0

16.3 Total payable for securities lending reported on the liability page: \$ 0

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

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

1	2
Name of Custodian(s)	Custodian Address
PNC Bank, National Association	One PNC Plaza, 249 Fifth Avenue, Pittsburgh, PA 15222

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	2	3
Name(s)	Location(s)	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 and complete information relating thereto:

1	2	3	4
Old Custodian	New Custodian	Date of Change	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	2
Name of Firm or Individual	Affiliation
PNC Bank, National Association	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	2	3	4	5
Central Registration Depository Number	Name of Firm or Individual	Legal Entity Identifier (LEI)	Registered With	Investment Management Agreement (IMA) Filed
N/A	PNC Bank	N/A	OCC	NO

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:

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

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

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

Has the reporting entity self-designated 5GI securities?

20. By self-designating PLGI securities, the reporting entity is certifying the following elements for each self-designated PLGI security:

- The security was purchased prior to January 1, 2018.
- The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
- The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
- The reporting entity is not permitted to share this credit rating of the PL security with the SVO.

Has the reporting entity self-designated PLGI securities?

Yes [] No [X]

Yes [] No [X]

GENERAL INTERROGATORIES (continued)**PART 2 - HEALTH**

1. Operating Percentages:		
1.1 A&H loss percent	84.5 %	
1.2 A&H cost containment percent	0.7 %	
1.3 A&H expense percent excluding cost containment expenses	(0.6)%	
2.1 Do you act as a custodian for health savings accounts?	Yes []	No [X]
2.2 If yes, please provide the amount of custodial funds held as of the reporting date.		0
2.3 Do you act as an administrator for health savings accounts?	Yes []	No [X]
2.4 If yes, please provide the amount of funds administered as of the reporting date.		0
3. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states?.....	Yes []	No [X]
3.1 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 [X]

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

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

A&H Non-Affiliates

10345.....	31-1440175.....	05/01/2016	Community Insurance Company.....	OH.....	QA/G.....	Authorized.....
10345.....	31-1440175.....	05/01/2016	Community Insurance Company.....	OH.....	SSL/G.....	Authorized.....
10345.....	31-1440175.....	05/01/2016	Community Insurance Company.....	OH.....	ASL/G.....	Authorized.....

SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

State, Etc.	1 Active Status (a)	Direct Business Only							
		2 Accident and Health Premiums	3 Medicare Title XVIII	4 Medicaid Title XIX	5 Federal Employees Health Benefits Program Premiums	6 Life and Annuity Premiums and Other Considerations	7 Property/ Casualty Premiums	8 Total Columns 2 through 7	9 Deposit-Type Contracts
1. Alabama.....	.AL	N						0	
2. Alaska.....	.AK	N						0	
3. Arizona.....	.AZ	N						0	
4. Arkansas.....	.AR	N						0	
5. California.....	.CA	N						0	
6. Colorado.....	.CO	N						0	
7. Connecticut.....	.CT	N						0	
8. Delaware.....	.DE	N						0	
9. District of Columbia.....	.DC	N						0	
10. Florida.....	.FL	N						0	
11. Georgia.....	.GA	N						0	
12. Hawaii.....	.HI	N						0	
13. Idaho.....	.ID	N						0	
14. Illinois.....	.IL	N						0	
15. Indiana.....	.IN	N						0	
16. Iowa.....	.IA	N						0	
17. Kansas.....	.KS	N						0	
18. Kentucky.....	.KY	N						0	
19. Louisiana.....	.LA	N						0	
20. Maine.....	.ME	N						0	
21. Maryland.....	.MD	N						0	
22. Massachusetts.....	.MA	N						0	
23. Michigan.....	.MI	N						0	
24. Minnesota.....	.MN	N						0	
25. Mississippi.....	.MS	N						0	
26. Missouri.....	.MO	N						0	
27. Montana.....	.MT	N						0	
28. Nebraska.....	.NE	N						0	
29. Nevada.....	.NV	N						0	
30. New Hampshire.....	.NH	N						0	
31. New Jersey.....	.NJ	N						0	
32. New Mexico.....	.NM	N						0	
33. New York.....	.NY	N						0	
34. North Carolina.....	.NC	N						0	
35. North Dakota.....	.ND	N						0	
36. Ohio.....	.OH	L	147,509,851					147,509,851	
37. Oklahoma.....	.OK	N						0	
38. Oregon.....	.OR	N						0	
39. Pennsylvania.....	.PA	N						0	
40. Rhode Island.....	.RI	N						0	
41. South Carolina.....	.SC	N						0	
42. South Dakota.....	.SD	N						0	
43. Tennessee.....	.TN	N						0	
44. Texas.....	.TX	N						0	
45. Utah.....	.UT	N						0	
46. Vermont.....	.VT	N						0	
47. Virginia.....	.VA	N						0	
48. Washington.....	.WA	N						0	
49. West Virginia.....	.WV	N						0	
50. Wisconsin.....	.WI	N						0	
51. Wyoming.....	.WY	N						0	
52. American Samoa.....	.AS	N						0	
53. Guam.....	.GU	N						0	
54. Puerto Rico.....	.PR	N						0	
55. U.S. Virgin Islands.....	.VI	N						0	
56. Northern Mariana Islands.....	.MP	N						0	
57. Canada.....	.CAN	N						0	
58. Aggregate Other alien.....	.OT	XXX	0	0	0	0	0	0	0
59. Subtotal.....		XXX	147,509,851	0	0	0	0	147,509,851	0
60. Reporting entity contributions for Employee Benefit Plans.....		XXX							0
61. Total (Direct Business).....		XXX	147,509,851	0	0	0	0	147,509,851	0

DETAILS OF WRITE-INS

58001.....								0	
58002.....								0	
58003.....								0	
58998. Summary of remaining write-ins for line 58 from overflow page.....		0	0	0	0	0	0	0	0
58999. Total (Lines 58001 thru 58003 plus 58998) (Line 58 above).....		0	0	0	0	0	0	0	0

(a) Active Status Count

L - Licensed or Chartered - Licensed insurance carrier or domiciled RRG..... 1 R - Registered - Non-domiciled RRGs..... 0

E - Eligible - Reporting entities eligible or approved to write surplus lines in the state 0 Q - Qualified - Qualified or accredited reinsurer..... 0

N - None of the above - Not allowed to write business in the state..... 56

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

PART 1 – ORGANIZATIONAL CHART

Southern Ohio Chamber Alliance Benefit Plan
Employer's ID Number: 47-1277622
NAIC Company Code: 00120
State of Domicile: OH

SOCA Benefit Plan

Statement as of September 30, 2019 of the

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)	If Control is Through Board, Management, Attorney-in-Fact, Influence, Other	If Control is Through Ownership, Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Required? (Y/N) *	

NONE

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 Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?

NO

Explanation:

1.

Bar Code:



Overflow Page
NONE

Sch. A - Verification
NONE

Sch. B - Verification
NONE

Sch. BA - Verification
NONE

Sch. D - Verification
NONE

Sch. D - Pt. 1B
NONE

SCHEDULE DA - PART 1**Short-Term Investments**

	1 Book/Adjusted Carrying Value	2 Par Value	3 Actual Cost	4 Interest Collected Year To Date	5 Paid for Accrued Interest Year To Date
9199999.....	6,179,562	XXX.....	5,500,000	108,550	10,099

SCHEDULE DA - VERIFICATION**Short-Term Investments**

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	6,079,531	3,012,495
2. Cost of short-term investments acquired.....	100,031	3,000,000
3. Accrual of discount.....		
4. Unrealized valuation increase (decrease).....		67,036
5. Total gain (loss) on disposals.....		
6. Deduct consideration received on disposals.....		
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).....	6,179,562	6,079,531
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	6,179,562	6,079,531

Sch. DB - Pt. A - Verification

NONE

Sch. DB - Pt. B - Verification

NONE

Sch. DB - Pt. C - Sn. 1

NONE

Sch. DB - Pt. C - Sn. 2

NONE

Sch. DB - Verification

NONE

Sch. E - Pt. 2 Verification

NONE

Sch. A Pt. 2

NONE

Sch. A Pt. 3

NONE

Sch. B - Pt. 2

NONE

Sch. B - Pt. 3

NONE

Sch. BA - Pt. 2

NONE

Sch. BA - Pt. 3

NONE

Sch. D - Pt. 3

NONE

Sch. D - Pt. 4

NONE

Sch. DB - Pt. A - Sn. 1

NONE

Sch. DB - Pt. B - Sn. 1

NONE

Sch. DB - Pt. D - Sn. 1

NONE

Sch. DB - Pt. D - Sn. 2

NONE

Sch. DL - Pt. 1

NONE

Sch. DL - Pt. 2

NONE

SCHEDULE E - PART 1 - CASH**Month End Depository Balances**

1 Depository	2 Code	3 Rate of Interest	4 Amount of Interest Received During Current Quarter	5 Amount of Interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9
					6 First Month	7 Second Month	8 Third Month	

Open Depositories

249 Fifth Avenue, One PNC Plaza, Pittsburgh PA 15222					19,516,485	19,406,712	21,469,625	XXX
0199999. Total Open Depositories	XXX	XXX	0	0	19,516,485	19,406,712	21,469,625	XXX
0399999. Total Cash on Deposit	XXX	XXX	0	0	19,516,485	19,406,712	21,469,625	XXX
0599999. Total Cash	XXX	XXX	0	0	19,516,485	19,406,712	21,469,625	XXX

SCHEDULE E - PART 2 - CASH EQUIVALENTS
Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	3 Code	4 Date Acquired	5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due & Accrued	9 Amount Received During Year
1								

NONE

**MEDICARE PART D COVERAGE SUPPLEMENT**

(Net of Reinsurance)

NAIC Group Code....0

NAIC Company Code....120

	Individual Coverage		Group Coverage		5 Total Cash
	1 Insured	2 Uninsured	3 Insured	4 Uninsured	
1. Premiums collected.....		XXX.....		XXX.....	0
2. Earned premiums.....		XXX.....		XXX.....	XXX.....
3. Claims paid.....		XXX.....		XXX.....	0
4. Claims incurred.....		XXX.....		XXX.....	XXX.....
5. Reinsurance coverage and low income cost sharing - claims paid net of reimbursements applied (a).....	XXX.....		XXX.....		0
6. Aggregate policy reserves - change.....		XXX.....		XXX.....	XXX.....
7. Expenses paid.....		XXX.....		XXX.....	0
8. Expenses incurred.....		XXX.....		XXX.....	XXX.....
9. Underwriting gain or loss.....	0	XXX.....	0	XXX.....	XXX.....
10. Cash flow results.....	XXX.....	XXX.....	XXX.....	XXX.....	0

(a) Uninsured Receivable/Payable with CMS at End of Quarter \$.....0 due from CMS or \$.....0 due to CMS.

NONE

Sch. A-Pt 2
NONE

Sch. A-Pt 3
NONE

Sch. B-Pt 2
NONE

Sch. B-Pt 3
NONE

Sch. BA-Pt 2
NONE

Sch. BA-Pt 3
NONE

Sch. D-Pt 3
NONE

Sch. D-Pt 4
NONE

Sch. DB-Pt A-Sn 1
NONE

Sch. DB-Pt B-Sn 1
NONE

Sch. DL-Pt. 1
NONE

Sch. DL-Pt. 2
NONE

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1	
Depository	Legal Identifier

Open Depositories

PNC Bank	249 Fifth Avenue, One PNC Plaza, Pittsburg PA 15222
0199999. Total Open Depositories.....	
0399999. Total Cash on Deposit.....	
0599999. Total Cash.....	

Sch. E-Pt 2-Cash Equivalents
NONE

Sch. Y Pt. 1A
NONE

Sch. A-Pt 2
NONE

Sch. A-Pt 3
NONE

Sch. B-Pt 2
NONE

Sch. B-Pt 3
NONE

Sch. BA-Pt 2
NONE

Sch. BA-Pt 3
NONE

Sch. D-Pt 3
NONE

Sch. D-Pt 4
NONE

Sch. DB-Pt A-Sn 1
NONE

Sch. DB-Pt B-Sn 1
NONE

Sch. DB-Pt D-Sn 1
NONE

Sch. DB-Pt D-Sn 2
NONE

Sch. DL-Pt. 1
NONE

Sch. DL-Pt. 2
NONE

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1 Depository	2 Code	3 Rate of interest	4 Amount of Interest Received During Current Quarter	5 Amount of Interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9 *
					6 First Month	7 Second Month	8 Third Month	
Open Depositories								
0299999. Total Suspended Depositories.....	XXX	XXX00000	XXX
0399999. Total Cash on Deposit.....	XXX	XXX00	19,516,485	19,406,712	21,469,625	XXX
0499999. Cash in Company's Office.....	XXX	XXX	XXX	XXX000	XXX
0599999. Total Cash.....	XXX	XXX00	19,516,485	19,406,712	21,469,625	XXX

SCHEDULE E - PART 2 - CASH EQUIVALENTS
Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	3 Code	4 Date Acquired	5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due & Accrued	9 Amount Received During Year
0199999. U.S. Government Bonds - Issuer Obligations						0	0	0
0299999. U.S. Government Bonds - Residential Mortgage-Backed Securities						0	0	0
0399999. U.S. Government Bonds - Commercial Mortgage-Backed Securities						0	0	0
0499999. U.S. Government Bonds - Other Loan-Backed and Structured Securities						0	0	0
0599999. Total - U.S. Government Bonds						0	0	0
0699999. All Other Government Bonds - Issuer Obligations						0	0	0
0799999. All Other Government Bonds - Residential Mortgage-Backed Securities						0	0	0
0899999. All Other Government Bonds - Commercial Mortgage-Backed Securities						0	0	0
0999999. All Other Government Bonds - Other Loan-Backed and Structured Securities						0	0	0
1099999. Total - All Other Government Bonds						0	0	0
1199999. U.S. States, Territories and Possessions (Direct and Guaranteed) - Issuer Obligations						0	0	0
1299999. U.S. States, Territories and Possessions - Residential Mortgage-Backed Securities						0	0	0
1399999. U.S. States, Territories and Possessions - Commercial Mortgage-Backed Securities						0	0	0
1499999. U.S. States, Territories and Possessions - Other Loan-Backed and Structured Securities						0	0	0
1799999. Total - U.S. States, Territories and Possessions (Direct and Guaranteed)						0	0	0
1899999. U.S. Political Subdivisions (Direct and Guaranteed) - Issuer Obligations						0	0	0
1999999. U.S. Political Subdivisions (Direct and Guaranteed) - Residential Mortgage-Backed Securities						0	0	0
2099999. U.S. Political Subdivisions (Direct and Guaranteed) - Commercial Mortgage-Backed Securities						0	0	0
2199999. U.S. Political Subdivisions (Direct and Guaranteed) - Other Loan-Backed and Structured Securities						0	0	0
2499999. Total - U.S. Political Subdivisions (Direct and Guaranteed)						0	0	0
2599999. U.S. Special Revenue & Special Assessment Obligations - Issuer Obligations						0	0	0
2699999. U.S. Special Revenue & Special Assessment Obligations - Residential Mortgage-Backed Securities						0	0	0
2799999. U.S. Special Revenue & Special Assessment Obligations - Defined Multi-Class Residential Mortgage-Backed Sec.						0	0	0
2899999. U.S. Special Revenue & Special Assessment Obligations - Other Multi-Class Residential Mortgage-Backed Sec.						0	0	0
3199999. Total - U.S. Special Revenue & Special Assessment Obligations and all Non-Guaranteed Obligations						0	0	0
3299999. Industrial and Miscellaneous (Unaffiliated) - Issuer Obligations						0	0	0
3399999. Industrial and Miscellaneous (Unaffiliated) - Residential Mortgage-Backed Securities						0	0	0
3499999. Industrial and Miscellaneous (Unaffiliated) - Commercial Mortgage-Backed Securities						0	0	0
3599999. Industrial and Miscellaneous (Unaffiliated) - Other Loan-Backed and Structured Securities						0	0	0
3899999. Total - Industrial and Miscellaneous (Unaffiliated)						0	0	0
4299999. Hybrid Securities (Unaffiliated) - Issuer Obligations						0	0	0
4399999. Hybrid Securities (Unaffiliated) - Residential Mortgage-Backed Securities						0	0	0
4499999. Hybrid Securities (Unaffiliated) - Commercial Mortgage-Backed Securities						0	0	0
4599999. Hybrid Securities (Unaffiliated) - Other Loan-Backed and Structured Securities						0	0	0
4899999. Total - Hybrid Securities (Unaffiliated)						0	0	0
4999999. Parent, Subsidiaries and Affiliates - Issuer Obligations						0	0	0
5099999. Parent, Subsidiaries and Affiliates - Residential Mortgage-Backed Securities						0	0	0
5199999. Parent, Subsidiaries and Affiliates - Commercial Mortgage-Backed Securities						0	0	0
5299999. Parent, Subsidiaries and Affiliates - Other Loan-Backed and Structured Securities						0	0	0
5599999. Total - Parent, Subsidiaries and Affiliates						0	0	0
5899999. SVO Identified Funds - Exchange Traded Funds						0	0	0
5999999. SVO Identified Funds - Bond Mutual Funds						0	0	0
6099999. Total - SVO Identified Funds						0	0	0
6399999. Total - Bank Loans - Issued						0	0	0
6499999. Total - Bank Loans Acquired						0	0	0
6599999. Total - Bank Loans						0	0	0

SCHEDULE E - PART 2 - CASH EQUIVALENTS
 Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	Show Investments Owned End of Current Quarter			5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due & Accrued	9 Amount Received During Year
		3 Code	4 Date Acquired						
Total Bonds									
77999999, Subtotals - Issuer Obligations								0	0
78999999, Subtotals - Residential Mortgage-Backed Securities								0	0
79999999, Subtotals - Commercial Mortgage-Backed Securities								0	0
80999999, Other Loan-Backed and Structured Securities								0	0
81999999, Subtotals - SVO Identified Funds								0	0
82999999, Subtotals - Bank Loans								0	0
83999999, Subtotals - Bonds								0	0
84999999, Total - Sweep Accounts								0	0
85999999, Total - Other Cash Equivalents								0	0
85999999, Total - Other Cash Equivalents								0	0
85999999, Total - Other Cash Equivalents								0	0

NONE