



PROPERTY AND CASUALTY COMPANIES - ASSOCIATION EDITION

QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2019

OF THE CONDITION AND AFFAIRS OF THE

Utica National Insurance Company of Ohio

NAIC Group Code02010201NAIC Company Code13998Employer's ID Number27-2764004  
(Current)(Prior)

Organized under the Laws ofOhio, State of Domicile or Port of EntryOH

Country of DomicileUnited States of America

Incorporated/Organized04/06/2010Commenced Business12/22/2010

Statutory Home Office2 Easton Oval, Suite 225Columbus, OH, US 43219  
(Street and Number)(City or Town, State, Country and Zip Code)

Main Administrative Office180 Genesee StreetNew Hartford, NY, US 13413800-598-8422  
(Street and Number)(City or Town, State, Country and Zip Code)(Area Code) (Telephone Number)

Mail AddressPost Office Box 530Utica, NY, US 135030530  
(Street and Number or P.O. Box)(City or Town, State, Country and Zip Code)

Primary Location of Books and Records180 Genesee StreetNew Hartford, NY, US 13413800-598-8422  
(Street and Number)(City or Town, State, Country and Zip Code)(Area Code) (Telephone Number)

Internet Website Addresswww.uticanational.com

Statutory Statement ContactSandra Jean Giehl315-734-2192  
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OFFICERS

Chairman & CEORichard Patrick CreedonCFO & TreasurerBrian Wade Miller Jr.  
President# & COOKristen Holly MartinSecretaryLouisa Suzanne Ruffine

OTHER

DIRECTORS OR TRUSTEES

John Martin AndersonJolene Marie CasatelliPaul Lewis Cohen  
Richard Patrick CreedonSteven Paul GuzskiKristen Holly Martin  
Louisa Suzanne Ruffine

State ofNew YorkSS:  
County ofOneida

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.

Kristen Holly MartinPresident & COOBrian Wade Miller, Jr.CFO & TreasurerLouisa Suzanne RuffineSecretary

Subscribed and sworn to before me thisa. Is this an original filing? .....Yes [ X ] No [ ]  
day ofb. If no,  
1. State the amendment number.....  
2. Date filed .....  
3. Number of pages attached.....

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 .....	16,228,755		16,228,755	18,806,328
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 (\$ .....109,439 ), cash equivalents (\$ ..... ) and short-term investments (\$ ..... ) .....	109,439		109,439	187,652
6. Contract loans (including \$ ..... premium notes) .....				
7. Derivatives .....				
8. Other invested assets .....				
9. Receivables for securities .....	3,128,658		3,128,658	
10. Securities lending reinvested collateral assets .....				
11. Aggregate write-ins for invested assets .....				
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	19,466,853		19,466,853	18,993,980
13. Title plants less \$ ..... charged off (for Title insurers only) .....				
14. Investment income due and accrued .....	113,279		113,279	120,763
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 .....				14,323
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 .....	2,252,449		2,252,449	2,988,216
24. Health care (\$ ..... ) and other amounts receivable .....				
25. Aggregate write-ins for other than invested assets .....	3,026		3,026	
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	21,835,607		21,835,607	22,117,282
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....				
28. Total (Lines 26 and 27)	21,835,607		21,835,607	22,117,282
DETAILS OF WRITE-INS				
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. Equities & Deposits in Pools and Associations .....	3,026		3,026	
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)	3,026		3,026	

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 .....	1,173,847	3,842,213
5. Other expenses (excluding taxes, licenses and fees) .....	4,058	3,508
6. Taxes, licenses and fees (excluding federal and foreign income taxes) .....	503,688	97,700
7.1 Current federal and foreign income taxes (including \$ .....23,858 on realized capital gains (losses)) .....	882,713	465,569
7.2 Net deferred tax liability .....	4,674	3,649
8. Borrowed money \$ ..... and interest thereon \$ .....		
9. Unearned premiums (after deducting unearned premiums for ceded reinsurance of \$ .....52,486,349 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 .....	688,358	769,921
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 .....		99
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) .....	3,257,339	5,182,659
27. Protected cell liabilities .....		
28. Total liabilities (Lines 26 and 27) .....	3,257,339	5,182,659
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) .....	8,349,064	6,705,419
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) .....	18,578,268	16,934,623
38. Totals (Page 2, Line 28, Col. 3)	21,835,607	22,117,282
DETAILS OF WRITE-INS		
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	2	3
	Current Year to Date	Prior Year to Date	Prior Year Ended December 31
UNDERWRITING INCOME			
1. Premiums earned:			
1.1 Direct (written \$ .....76,250,574 ) .....	65,003,109	62,333,228	84,052,740
1.2 Assumed (written \$ .....56,556 ) .....	42,492		
1.3 Ceded (written \$ .....76,307,129 ) .....	65,045,600	62,333,228	84,052,740
1.4 Net (written \$ ..... ) .....			
DEDUCTIONS:			
2. Losses incurred (current accident year \$ ..... ):			
2.1 Direct .....	21,641,949	16,798,882	25,228,450
2.2 Assumed .....	40,941	200	200
2.3 Ceded .....	21,682,891	16,799,082	25,228,650
2.4 Net .....			
3. Loss adjustment expenses incurred .....			
4. Other underwriting expenses incurred .....	(1,542,987)	(1,448,623)	(1,721,398)
5. Aggregate write-ins for underwriting deductions .....			
6. Total underwriting deductions (Lines 2 through 5) .....	(1,542,987)	(1,448,623)	(1,721,398)
7. Net income of protected cells .....			
8. Net underwriting gain or (loss) (Line 1 minus Line 6 + Line 7) .....	1,542,987	1,448,623	1,721,398
INVESTMENT INCOME			
9. Net investment income earned .....	420,863	388,051	525,251
10. Net realized capital gains (losses) less capital gains tax of \$ .....23,858 .....	88,429	(36,224)	(56,169)
11. Net investment gain (loss) (Lines 9 + 10) .....	509,292	351,826	469,082
OTHER INCOME			
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) .....	2,052,279	1,800,449	2,190,480
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) .....	2,052,279	1,800,449	2,190,480
19. Federal and foreign income taxes incurred .....	407,609	381,350	465,569
20. Net income (Line 18 minus Line 19)(to Line 22) .....	1,644,670	1,419,099	1,724,911
CAPITAL AND SURPLUS ACCOUNT			
21. Surplus as regards policyholders, December 31 prior year .....	16,934,623	15,209,598	15,209,598
22. Net income (from Line 20) .....	1,644,670	1,419,099	1,724,911
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 .....	(1,025)	493	114
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) .....	1,643,645	1,419,592	1,725,025
39. Surplus as regards policyholders, as of statement date (Lines 21 plus 38) .....	18,578,268	16,629,190	16,934,623
DETAILS OF WRITE-INS			
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) .....			

CASH FLOW

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
Cash from Operations			
1. Premiums collected net of reinsurance .....			
2. Net investment income .....	464,967	419,400	564,558
3. Miscellaneous income .....			
4. Total (Lines 1 to 3) .....	464,967	419,400	564,558
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 .....	719,390	801,161	(1,991,798)
8. Dividends paid to policyholders .....			
9. Federal and foreign income taxes paid (recovered) net of \$ ..... 23,858 tax on capital gains (losses) .....			735,010
10. Total (Lines 5 through 9) .....	719,390	801,161	(1,256,788)
11. Net cash from operations (Line 4 minus Line 10) .....	(254,424)	(381,761)	1,821,346
Cash from Investments			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	7,922,341	4,613,459	5,551,841
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	99
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	7,922,341	4,613,483	5,551,940
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	5,268,552	4,582,411	6,984,028
13.2 Stocks .....			
13.3 Mortgage loans .....			
13.4 Real estate .....			
13.5 Other invested assets .....			
13.6 Miscellaneous applications .....	3,128,757		
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	8,397,309	4,582,411	6,984,028
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) .....	(474,968)	31,072	(1,432,088)
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) .....	651,179	253,823	(554,216)
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	651,179	253,823	(554,216)
RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) ..	(78,213)	(96,866)	(164,958)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	187,652	352,611	352,611
19.2 End of period (Line 18 plus Line 19.1) .....	109,439	255,745	187,652

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

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STATEMENT AS OF SEPTEMBER 30, 2019 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>2019</u>	<u>2018</u>
(1) Net Income, state basis (Page 4, Line 20, Columns 1 & 3)	XXX	XXX	XXX	\$ 1,644,670	\$ 1,724,911
(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>\$ 1,644,670</u>	<u>\$ 1,724,911</u>
<u>Surplus</u>					
(5) Statutory surplus, state basis (Page 3, Line 37, Columns 1 & 2)	XXX	XXX	XXX	\$ 18,578,268	\$ 16,934,623
(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>\$ 18,578,268</u>	<u>\$ 16,934,623</u>

B. No change.

C. Accounting Policies

- 1. No change.
- 2. Bonds not backed by loans are carried at amortized cost using the scientific yield to worst method. Bonds that are defined by the NAIC as non-investment grade (rated 3 through 6) are carried at the lower of amortized cost or fair market value.
- 3. – 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, 2019 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
440	8,272	8,712

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

Less than 12 months	Greater than 12 months	Total
368,945	926,510	1,295,455

(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.

(3) 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

**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, 2019 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 – Not applicable
    - (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	Net Asset Value (NAV)	Not Practicable (Carrying Value)
Bonds	16,833,805	16,228,755	0	16,228,755	0	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.

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

No change.

**Note 26 – Intercompany Pooling Arrangements**

No change.



STATEMENT AS OF SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**NOTES TO FINANCIAL STATEMENTS**

***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, 2019 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 [ ☒ ]
- 1.2

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

Yes [ ☐ ] No [ ☐ ]
- 2.1

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

Yes [ ☐ ] No [ ☒ ]
- 2.2

If yes, date of change: .....
- 3.1

Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? .....

If yes, complete Schedule Y, Parts 1 and 1A.

Yes [ ☒ ] No [ ☐ ]
- 3.2

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

Yes [ ☐ ] No [ ☒ ]
- 3.3

If the response to 3.2 is yes, provide a brief description of those changes.
- 3.4

Is the reporting entity publicly traded or a member of a publicly traded group? .....

Yes [ ☐ ] No [ ☒ ]
- 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? .....

If yes, complete and file the merger history data file with the NAIC for the annual filing corresponding to this period.

Yes [ ☐ ] No [ ☒ ]
- 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? .....

If yes, attach an explanation.

Yes [ ☐ ] No [ ☐ ] N/A [ ☒ ]
- 6.1

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

12/31/2014
- 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 [ ☒ ]
- 6.6

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

Yes [ ☐ ] No [ ☐ ] N/A [ ☒ ]
- 7.1

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

Yes [ ☐ ] No [ ☒ ]
- 7.2

If yes, give full information:
- 8.1

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

Yes [ ☐ ] No [ ☒ ]
- 8.2

If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3

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

Yes [ ☐ ] No [ ☒ ]
- 8.4

If 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? .....  
(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.

Yes [ X ] No [ ]
- 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 [ X ] No [ ]
- 9.21

If the response to 9.2 is Yes, provide information related to amendment(s).  
The Code of Conduct was amended in April 2019 to require all employees and directors to notify the Company within thirty days after they have been subject to an injunction, judgment or decree involving a violation of antifraud, antitrust or insurance laws, or if a company they served as an officer, director or owner has been placed in bankruptcy or receivership or had its charter revoked.
- 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).

FINANCIAL

- 10.1

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

Yes [ X ] No [ ]
- 10.2

If yes, indicate any amounts receivable from parent included in the Page 2 amount: .....

\$ 2,252,449

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: .....

\$ .....
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 [ X ]
- 14.2

If yes, please complete the following:
- |   | 1   | 2  |
|---|---|--|
|   | Prior Year-End<br>Book/Adjusted<br>Carrying Value | 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 [ X ]
- 15.2

If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? .....  
If no, attach a description with this statement.

Yes [ ] No [ ]
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. ....

\$ .....

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

GENERAL INTERROGATORIES

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	2	3	4	5
Central Registration Depository Number	Name of Firm or Individual	Legal Entity Identifier (LEI)	Registered With	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 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:

a. 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.

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 5GI securities? Yes [ ] No [ X ]
20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:

a. The security was purchased prior to January 1, 2018.

b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.

c. 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.

d. 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 ]

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? .....  
If yes, attach an explanation.

Yes [ ] No [ ] N/A [ X ]
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? .....  
If yes, attach an explanation.

Yes [ ] No [ X ]
- 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 [ ]

## STATEMENT AS OF SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

## SCHEDULE F - CEDED REINSURANCE

Showing All New Reinsurers - Current Year to Date

[illegible]

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	14,851				287	
8. Delaware.....DE	N						
9. District of Columbia.....DC	N						
10. Florida.....FL	N						
11. Georgia.....GA	L	3,043,767	1,107,304	370,283	60,149	751,195	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	9,644				166	
31. New Jersey.....NJ	N						
32. New Mexico.....NM	N						
33. New York.....NY	L	70,250,606	67,735,898	13,809,375	14,715,053	72,452,720	63,746,965
34. North Carolina.....NC	N						
35. North Dakota.....ND	N						
36. Ohio.....OH	L	84,665	63,108	145	27,900	11,608	7,825
37. Oklahoma.....OK	N						
38. Oregon.....OR	N						
39. Pennsylvania.....PA	L	2,844,702	2,627,023	1,131,201	961,654	2,699,399	2,302,942
40. Rhode Island.....RI	N						
41. South Carolina.....SC	N						
42. South Dakota.....SD	N						
43. Tennessee.....TN	L	2,338				1	
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	76,250,574	71,533,334	15,311,004	15,764,756	75,915,376	66,273,832
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.....7

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 (DSLI) - Reporting entities authorized to write surplus lines in the state of domicile.....

R - Registered - Non-domiciled RRGs.....

Q - Qualified - Qualified or accredited reinsurer.....

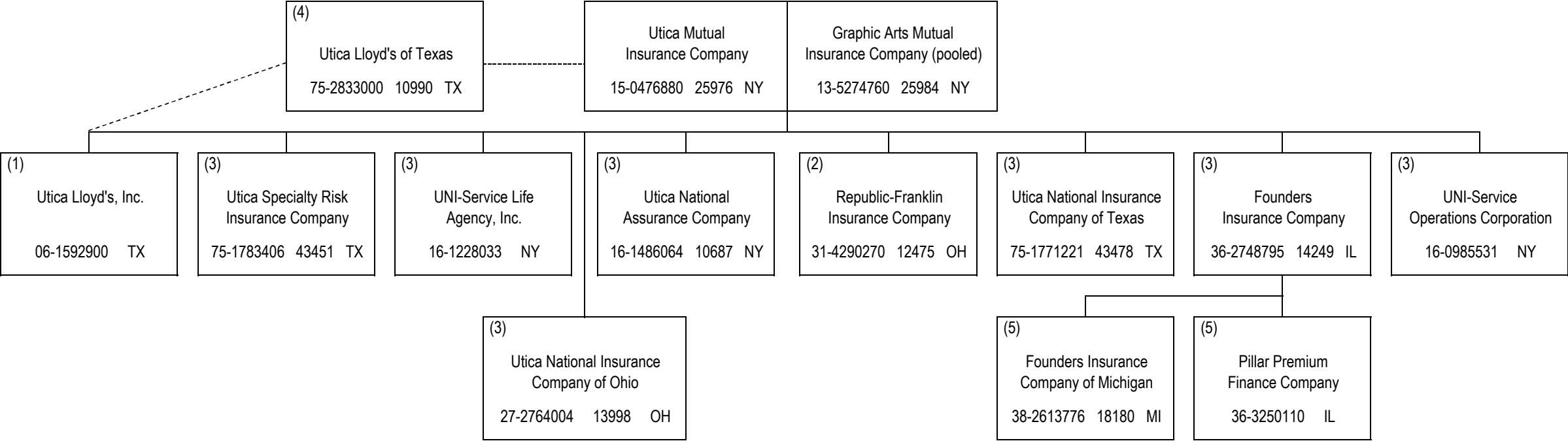
N - None of the above - Not allowed to write business in the state.....50

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, 2019

⇒



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.



**SCHEDULE Y**

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

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. ....

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 .....	17,269	14	0.1	0.2
2.	Allied Lines .....	15,878	(1,162)	(7.3)	
3.	Farmowners multiple peril .....				
4.	Homeowners multiple peril .....				
5.	Commercial multiple peril .....	28,881,283	11,226,039	38.9	30.1
6.	Mortgage guaranty .....				
8.	Ocean marine .....				
9.	Inland marine .....	2,443	(44)	(1.8)	1.3
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 .....	17,932,008	5,112,553	28.5	45.4
17.1	Other liability - occurrence .....	6,533,805	1,147,065	17.6	(67.6)
17.2	Other liability - claims-made .....	60,023	540	0.9	
17.3	Excess workers' compensation .....				
18.1	Products liability - occurrence .....	291	307	105.5	1.9
18.2	Products liability - claims-made .....				
19.1,19.2	Private passenger auto liability .....				
19.3,19.4	Commercial auto liability .....	9,010,360	3,377,877	37.5	46.4
21.	Auto physical damage .....	2,549,734	778,760	30.5	45.3
22.	Aircraft (all perils) .....				
23.	Fidelity .....				
24.	Surety .....				
26.	Burglary and theft .....	15	0	0.1	
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	65,003,109	21,641,949	33.3	27.0
DETAILS OF WRITE-INS					
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 .....	21,716	22,713	15,112
2.	Allied Lines .....	15,482	16,001	14,366
3.	Farmowners multiple peril .....			
4.	Homeowners multiple peril .....			
5.	Commercial multiple peril .....	29,270,793	35,919,136	34,400,643
6.	Mortgage guaranty .....			
8.	Ocean marine .....			
9.	Inland marine .....	4,062	4,062	3,153
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 .....	5,080,109	18,351,714	18,452,596
17.1	Other liability - occurrence .....	4,043,095	7,524,056	7,245,001
17.2	Other liability - claims-made .....	104,738	157,756	31,629
17.3	Excess workers' compensation .....			
18.1	Products liability - occurrence .....			22
18.2	Products liability - claims-made .....			
19.1,19.2	Private passenger auto liability .....			
19.3,19.4	Commercial auto liability .....	6,872,950	11,085,054	8,895,701
21.	Auto physical damage .....	2,104,018	3,170,082	2,475,111
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	47,516,964	76,250,574	71,533,334
DETAILS OF WRITE-INS				
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, 2019 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)	2019 Loss and LAE Payments on Claims Reported as of Prior Year-End	2019 Loss and LAE Payments on Claims Unreported as of Prior Year-End	Total 2019 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. 2016 + Prior .....													
2. 2017 .....													
3. Subtotals 2017 + Prior .....													
4. 2018 .....													
5. Subtotals 2018 + Prior .....													
6. 2019 .....	XXX	XXX	XXX	XXX			XXX				XXX	XXX	XXX
7. Totals .....													
8. Prior Year-End Surplus As Regards Policyholders	16,935										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, 2019 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]





SCHEDULE A - VERIFICATION

Real Estate

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
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)		

SCHEDULE B - VERIFICATION

Mortgage Loans

	1	2
	Year to Date	Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year .....		
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 paid 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)		

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. 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)		

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	18,806,329	17,489,806
2. Cost of bonds and stocks acquired .....	5,268,552	6,984,028
3. Accrual of discount .....	9,420	9,563
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....	112,287	(70,492)
6. Deduct consideration for bonds and stocks disposed of .....	7,927,201	5,552,025
7. Deduct amortization of premium .....	45,489	54,735
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 .....	4,860	184
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10) .....	16,228,757	18,806,329
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12)	16,228,757	18,806,329

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
BONDS								
1. NAIC 1 (a) .....	15,738,427	575,013	2,467,055	36,745	18,958,654	15,738,427	13,883,130	15,553,512
2. NAIC 2 (a) .....	2,952,029		556,500	(49,904)	3,002,627	2,952,029	2,345,625	3,252,816
3. NAIC 3 (a) .....								
4. NAIC 4 (a) .....								
5. NAIC 5 (a) .....								
6. NAIC 6 (a) .....								
7. Total Bonds	18,690,456	575,013	3,023,555	(13,160)	21,961,282	18,690,456	16,228,755	18,806,328
PREFERRED STOCK								
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	18,690,456	575,013	3,023,555	(13,160)	21,961,282	18,690,456	16,228,755	18,806,328

(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 \$ .....

SCHEDULE DA - PART 1

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Prior Year Value	Actual Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals		XX			

SCHEDULE DA - VERIFICATION

Short-Term Investments

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of short-term investments acquired .....		
3. Accrual of discount .....		
4. Unrealized valuation increase (decrease) .....		
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) .....		
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11)		



SCHEDULE DB - PART A - VERIFICATION

Options, Caps, Floors, Collars, Swaps and Forwards

1.	Book/Adjusted Carrying Value, December 31, prior year (Line 9, prior year)		
2.	Cost Paid/(Consideration Received) on additions		
3.	Unrealized Valuation increase/(decrease)		
4.	Total gain (loss) on termination recognized		
5.	Considerations received/(paid) on terminations		
6.	Amortization		
7.	Adjustment to the Book/Adjusted Carrying Value of hedged item		
8.	Total foreign exchange change in Book/Adjusted Carrying Value		
9.	Book/Adjusted Carrying Value at End of Current Period (Lines 1+2+3+4-5+6+7+8)		
10.	Deduct nonadmitted assets		
11.	Statement value at end of current period (Line 9 minus Line 10)		

NONE

SCHEDULE DB - PART B - VERIFICATION

Futures Contracts

1.	Book/Adjusted carrying value, December 31 of prior year (Line 6, prior year)		
2.	Cumulative cash change (Section 1, Broker Name/Net Cash Deposits Footnote - Cumulative Cash Change column)		
3.1	Add:		
	Change in variation margin on open contracts - Highly Effective Hedges		
3.11	Section 1, Column 15, current year to date minus		
3.12	Section 1, Column 15, prior year		
	Change in variation margin on open contracts - All Other		
3.13	Section 1, Column 18, current year to date minus		
3.14	Section 1, Column 18, prior year		
3.2	Add:		
	Change in adjustment to basis of hedged item		
3.21	Section 1, Column 17, current year to date minus		
3.22	Section 1, Column 17, prior year		
	Change in amount recognized		
3.23	Section 1, Column 19, current year to date minus		
3.24	Section 1, Column 19, prior year		
3.3	Subtotal (Line 3.1 minus Line 3.2)		
4.1	Cumulative variation margin on terminated contracts during the year		
4.2	Less:		
	4.21 Amount used to adjust basis of hedged item		
	4.22 Amount recognized		
4.3	Subtotal (Line 4.1 minus Line 4.2)		
5.	Dispositions gains (losses) on contracts terminated in prior year:		
	5.1 Total gain (loss) recognized for terminations in prior year		
	5.2 Total gain (loss) adjusted into the hedged item(s) for terminations in prior year		
6.	Book/Adjusted carrying value at end of current period (Lines 1+2+3.3-4.3-5.1-5.2)		
7.	Deduct total nonadmitted amounts		
8.	Statement value at end of current period (Line 6 minus Line 7)		

NONE

## SCHEDULE DB - PART C - SECTION 1

[illegible]

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

**SCHEDULE DB - PART C - SECTION 2**

Replication (Synthetic Asset) Transactions Open

	First Quarter		Second Quarter		Third Quarter		Fourth Quarter		Year To Date	
	1 Number of Positions	2 Total Replication (Synthetic Asset) Transactions Statement Value	3 Number of Positions	4 Total Replication (Synthetic Asset) Transactions Statement Value	5 Number of Positions	6 Total Replication (Synthetic Asset) Transactions Statement Value	7 Number of Positions	8 Total Replication (Synthetic Asset) Transactions Statement Value	9 Number of Positions	10 Total Replication (Synthetic Asset) Transactions Statement Value
1. Beginning Inventory .....										
2. Add: Opened or Acquired Transactions.....										
3. Add: Increases in Replication (Synthetic Asset) Transactions Statement Value.....	XXX		XXX		XXX		XXX		XXX	
4. Less: Closed or Disposed of Transactions.....										
5. Less: Positions Disposed of for Failing Effectiveness Criteria.....										
6. Less: Decreases in Replication (Synthetic Asset) Transactions Statement Value	XXX		XXX		XXX		XXX		XXX	
7. Ending Inventory										

SCHEDULE DB - VERIFICATION

Verification of Book/Adjusted Carrying Value, Fair Value and Potential Exposure of all Open Derivative Contracts

		Book/Adjusted Carrying Value Check
1.	Part A, Section 1, Column 14.....	.....
2.	Part B, Section 1, Column 15 plus Part B, Section 1 Footnote - Total Ending Cash Balance.....	.....
3.	Total (Line 1 plus Line 2) .....	.....
4.	Part D, Section 1, Column 5 .....	.....
5.	Part D, Section 1, Column 6 .....	.....
6.	Total (Line 3 minus Line 4 minus Line 5) .....	.....
		Fair Value Check
7.	Part A, Section 1, Column 16 .....	.....
8.	Part B, Section 1, Column 13 .....	.....
9.	Total (Line 7 plus Line 8) .....	.....
10.	Part D, Section 1, Column 8 .....	.....
11.	Part D, Section 1, Column 9 .....	.....
12.	Total (Line 9 minus Line 10 minus Line 11) .....	.....
		Potential Exposure Check
13.	Part A, Section 1, Column 21 .....	.....
14.	Part B, Section 1, Column 20 .....	.....
15.	Part D, Section 1, Column 11 .....	.....
16.	Total (Line 13 plus Line 14 minus Line 15) .....	.....

NONE

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 .....	0	
2. Cost of cash equivalents acquired .....	1,276	1,277
3. Accrual of discount .....		
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....		
6. Deduct consideration received on disposals .....	1,275	1,277
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) .....		0
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11)		0

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE A - PART 2

Showing All Real Estate ACQUIRED AND ADDITIONS MADE During the Current Quarter

1	Location		4	5	6	7	8	9
	2	3						
Description of Property	City	State	Date Acquired	Name of Vendor	Actual Cost at Time of Acquisition	Amount of Encumbrances	Book/Adjusted Carrying Value Less Encumbrances	Additional Investment Made After Acquisition
			NONE					
0399999 - Totals								

SCHEDULE A - PART 3

Showing All Real Estate DISPOSED During the Quarter, Including Payments During the Final Year on "Sales Under Contract"

1	Location		4	5	6	7	8	Change in Book/Adjusted Carrying Value Less Encumbrances					14	15	16	17	18	19	20
	2	3						9	10	11	12	13							
Description of Property	City	State	Disposal Date	Name of Purchaser	Actual Cost	Expended for Additions, Permanent Improvements and Changes in Encumbrances	Book/ Adjusted Carrying Value Less Encumbrances Prior Year	Current Year's Depreciation	Current Year's Other Than Temporary Impairment Recognized	Current Year's Change in Encumbrances	Total Change in Book/ Adjusted Carrying Value (11-9-10)	Total Foreign Exchange Change in Book/ Adjusted Carrying Value	Book/ Adjusted Carrying Value Less Encumbrances on Disposal	Amounts Received During Year	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Gross Income Earned Less Interest Incurred on Encumbrances	Taxes, Repairs and Expenses Incurred
0399999 - Totals																			

## STATEMENT AS OF SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

## SCHEDULE B - PART 2

Showing All Mortgage Loans ACQUIRED AND ADDITIONS MADE During the Current Quarter

[illegible]

## SCHEDULE B - PART 3

Showing All Mortgage Loans DISPOSED, Transferred or Repaid During the Current Quarter

[illegible]

SCHEDULE BA - PART 2

Showing Other Long-Term Invested Assets ACQUIRED AND ADDITIONS MADE During the Current Quarter												
1  CUSIP Identification	2  Name or Description	Location		5  Name of Vendor or General Partner	6 NAIC Designation and Admini- strative Symbol/ Market Indicator	7  Date Originally Acquired	8  Type and Strategy	9  Actual Cost at Time of Acquisition	10  Additional Investment Made After Acquisition	11  Amount of Encumbrances	12  Commitment for Additional Investment	13  Percentage of Ownership
		3  City	4  State									

SCHEDULE BA - PART 3

Showing Other Long-Term Invested Assets DISPOSED, Transferred or Repaid During the Current Quarter																		
1  CUSIP Identification	2  Name or Description	Location		5  Name of Purchaser or Nature of Disposal	6  Date Originally Acquired	7  Disposal Date	8  Book/ Adjusted Carrying Value Less Encum- brances, Prior Year	Change in Book/Adjusted Carrying Value					15  Book/ Adjusted Carrying Value Less Encum- brances on Disposal	16  Consid- eration	17  Foreign Exchange Gain (Loss) on Disposal	18  Realized Gain (Loss) on Disposal	19  Total Gain (Loss) on Disposal	20  Invest- ment Income
		3  City	4  State					9  Unrealized Valuation Increase (De- crease)	10  Current Year's (Depre- ciation) or (Amorti- zation)/ Accretion	11  Current Year's Other Than Temporary Impair- ment Recogn- ized	12  Capital- ized Deferred Interest and Other	13  Total Change in Book/ Adjusted Carrying Value (9+10- 11+12)						



STATEMENT AS OF SEPTEMBER 30, 2019 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	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation and Administrative Symbol/Market Indicator (a)
31418D-BF-8	FN MA3637 - RMBS		08/21/2019	CITIGROUP GLOBAL MARKETS INC.		153,026	149,032	362	1
3199999. Subtotal - Bonds - U.S. Special Revenues						153,026	149,032	362	XXX
05971K-AD-1	BANCO SANTANDER SA	C	07/18/2019	BNP Paribas		199,612	200,000	376	1FE
58933Y-AW-5	MERCK & CO INC		09/23/2019	CANTOR FITZGERALD + CO.		119,277	100,000	200	1FE
767201-AD-8	RIO TINTO FINANCE (USA) LTD	C	08/20/2019	MORGAN STANLEY CO		103,099	75,000	549	1FE
3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						421,988	375,000	1,125	XXX
8399997. Total - Bonds - Part 3						575,013	524,032	1,487	XXX
8399998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX
8399999. Total - Bonds						575,013	524,032	1,487	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						575,013	XXX	1,487	XXX

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

STATEMENT AS OF SEPTEMBER 30, 2019 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 Ident-ification	Description	For-foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog-nized	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 Con-tractual Maturity Date	NAIC Desig-nation and Admini-strative Symbol /Market Indicator (a)
.36180M-2R-7	G2 AD8884 - RMBS		08/01/2019	VARIOUS		107,745	104,225	104,754	104,753		(36)		(36)		104,717		3,028	3,028	2,409	03/20/2043	1
.36202F-M7-8	G2 004882 - RMBS		09/01/2019	Paydown		2,764	2,764	2,828	2,828		(62)		(62)		2,764				74	12/20/2040	1
.36202F-PF-7	G2 004922 - RMBS		09/01/2019	Paydown		2,768	2,768	2,839	2,838		(70)		(70)		2,768		0	0	74	01/20/2041	1
.36202F-TL-0	G2 005055 - RMBS		09/01/2019	Paydown		3,704	3,704	3,924	3,927		(223)		(223)		3,704		0	0	112	05/20/2041	1
.36202F-UE-4	G2 005081 - RMBS		09/01/2019	Paydown		2,361	2,361	2,428	2,429		(68)		(68)		2,361				63	06/20/2041	1
.36202F-UF-1	G2 005082 - RMBS		09/01/2019	Paydown		2,330	2,330	2,461	2,464		(133)		(133)		2,330				70	06/20/2041	1
.36202F-Y5-9	G2 005232 - RMBS		09/01/2019	Paydown		8,773	8,773	9,087	9,072		(298)		(298)		8,773		0	0	207	11/20/2041	1
.36241L-S3-1	GN 783238 - RMBS		09/01/2019	Paydown		2,316	2,316	2,387	2,387		(71)		(71)		2,316		0	0	63	01/15/2041	1
.912828-5P-1	UNITED STATES TREASURY		07/29/2019	JP MORGAN SECURITIES LLC		599,977	575,000	578,504	578,464		(381)		(381)		578,084		21,893	21,893	10,976	11/30/2023	1
.912828-M5-6	UNITED STATES TREASURY		07/29/2019	JP MORGAN SECURITIES LLC							410		410		195,081		8,974	8,974	3,179	11/15/2025	1
0599999	Subtotal - Bonds - U.S. Governments					936,793	904,242	902,998	903,831		(932)		(932)		902,898		33,895	33,895	17,226	XXX	XXX
.13063C-NA-4	CALIFORNIA ST		07/17/2019	PERSHING DIV OF DLJ SEC LINDING		118,721	100,000	121,224	113,077		(1,161)		(1,161)		111,917		6,804	6,804	4,000	10/01/2027	1FE
1799999	Subtotal - Bonds - U.S. States, Territories and Possessions					118,721	100,000	121,224	113,077		(1,161)		(1,161)		111,917		6,804	6,804	4,000	XXX	XXX
.3128M9-2M-3	FH G07680 - RMBS		09/01/2019	Paydown		1,134	1,134	1,198	1,195		(61)		(61)		1,134				30	04/01/2044	1
.3128MJ-V2-3	FH G08632 - RMBS		09/01/2019	Paydown		1,792	1,792	1,872	1,872		(80)		(80)		1,792				42	03/01/2045	1
.3128MJ-XX-3	FH G08693 - RMBS		09/01/2019	Paydown		3,720	3,720	3,835	3,836		(115)		(115)		3,720		0	0	88	03/01/2046	1
.3128MJ-Z9-4	FH G08767 - RMBS		09/01/2019	Paydown		3,738	3,738	3,949	3,945		(207)		(207)		3,738		0	0	101	06/01/2047	1
.3128MJ-ZF-0	FH G08741 - RMBS		09/01/2019	Paydown		2,910	2,910	2,864	2,867		43		43		2,910				58	01/01/2047	1
.3128MJ-ZH-6	FH G08743 - RMBS		09/01/2019	Paydown		2,894	2,894	3,046	3,043		(150)		(150)		2,894		0	0	80	01/01/2047	1
.3128MJ-ZP-8	FH G08749 - RMBS		09/01/2019	Paydown		3,018	3,018	3,168	3,170		(151)		(151)		3,018				81	02/01/2047	1
.3128MM-VZ-3	FH G18631 - RMBS		08/01/2019	VARIOUS		125,640	124,986	125,436	125,352		(36)		(36)		125,316		324	324	2,045	02/01/2032	1
.3128MM-WS-8	FH G18656 - RMBS		09/01/2019	Paydown		3,343	3,343	3,423	3,421		(77)		(77)		3,343				75	08/01/2032	1
.31307N-E3-4	FH J31954 - RMBS		09/01/2019	Paydown		1,806	1,806	1,896	1,891		(85)		(85)		1,806		0	0	40	12/01/2028	1
.3132G0-RW-4	FH 000501 - RMBS		09/01/2019	Paydown		4,123	4,123	4,275	4,246		(123)		(123)		4,123		0	0	136	05/01/2041	1
.3132GK-SA-0	FH 004741 - RMBS		09/01/2019	Paydown		546	546	583	585		(39)		(39)		546				17	11/01/2041	1
.3132M9-2R-4	FH 029184 - RMBS		09/01/2019	Paydown		2,663	2,663	2,844	2,849		(187)		(187)		2,663				69	10/01/2044	1
.3132XU-SK-2	FH 052321 - RMBS		09/01/2019	Paydown		4,398	4,398	4,612	4,605		(207)		(207)		4,398				131	11/01/2047	1
.31335A-S7-4	FH G60542 - RMBS		09/01/2019	Paydown		2,749	2,749	2,940	2,937		(188)		(188)		2,749				74	09/01/2045	1
.3137FJ-JV-2	FHMS K083 A1 - CMBS		09/01/2019	Paydown		77	77	79	79		(2)		(2)		77		0	0	2	07/25/2028	1
.3138E7-TV-6	FN AK3263 - RMBS		09/01/2019	Paydown		3,879	3,879	4,003	3,980		(102)		(102)		3,879				78	02/01/2027	1
.3138EJ-3Y-2	FN AL2614 - RMBS		09/01/2019	Paydown		3,647	3,647	3,828	3,834		(187)		(187)		3,647		0	0	88	11/01/2042	1
.3138EQ-7L-0	FN AL8098 - RMBS		09/01/2019	Paydown		2,557	2,557	2,743	2,742		(185)		(185)		2,557		0	0	66	06/01/2043	1
.3138MO-AK-6	FN A08109 - RMBS		09/01/2019	Paydown		1,790	1,790	1,858	1,858		(68)		(68)		1,790				42	08/01/2042	1
.3138M5-EA-3	FN AP1928 - RMBS		09/01/2019	Paydown		2,292	2,292	2,442	2,440		(147)		(147)		2,292		0	0	60	08/01/2042	1
.3138M5-LP-2	FN AP2133 - RMBS		09/01/2019	Paydown		1,282	1,282	1,330	1,326		(44)		(44)		1,282		0	0	30	08/01/2042	1
.3138MB-XL-5	FN AP7882 - RMBS		09/01/2019	Paydown		2,282	2,282	2,347	2,342		(61)		(61)		2,282				54	10/01/2042	1
.3138W6-SU-1	FN AR8630 - RMBS		09/01/2019	Paydown		1,647	1,647	1,679	1,679		(31)		(31)		1,647				33	04/01/2043	1
.3138W9-BF-6	FN AS0037 - RMBS		09/01/2019	Paydown		1,804	1,804	1,894	1,895		(91)		(91)		1,804				43	07/01/2043	1
.3138WB-AR-6	FN AS1815 - RMBS		09/01/2019	Paydown		1,514	1,514	1,577	1,570		(55)		(55)		1,514		0	0	43	02/01/2044	1
.3138WB-LK-9	FN AS2385 - RMBS		09/01/2019	Paydown		1,669	1,669	1,762	1,758		(89)		(89)		1,669				44	05/01/2044	1
.3138WD-ME-8	FN AS3956 - RMBS		09/01/2019	Paydown		1,951	1,951	2,089	2,094		(143)		(143)		1,951				52	12/01/2044	1
.3138WE-6G-9	FN ASS370 - RMBS		09/01/2019	Paydown		2,866	2,866	2,984	2,977		(111)		(111)		2,866				67	07/01/2045	1
.3138WE-KB-4	FN AS4789 - RMBS		09/01/2019	Paydown		1,617	1,617	1,682	1,679		(62)		(62)		1,617				32	04/01/2045	1
.3138WE-KG-3	FN AS4794 - RMBS		09/01/2019	Paydown		1,132	1,132	1,181	1,178		(46)		(46)		1,132				27	04/01/2045	1
.3138WF-NN-2	FN AS5796 - RMBS		09/01/2019	Paydown		2,573	2,573	2,686	2,671		(97)		(97)		2,573				51	09/01/2030	1
.3138WG-BA-1	FN AS6332 - RMBS		09/01/2019	Paydown		4,199	4,199	4,419	4,413		(214)		(214)		4,199				101	12/01/2045	1
.3138WG-BW-3	FN AS6352 - RMBS		09/01/2019	Paydown		3,168	3,168	3,316	3,317		(149)		(149)		3,168				86	12/01/2045	1
.3138WG-DN-1	FN AS6408 - RMBS		09/01/2019	Paydown		2,149	2,149	2,248	2,246		(97)		(97)		2,149		0	0	51	01/01/2046	1
.3138WJ-H3-5	FN AS8349 - RMBS		09/01/2019	Paydown		2,896	2,896	2,978	2,969		(72)		(72)		2,896		0	0	56	11/01/2036	1
.3138WJ-K5-6	FN AS8415 - RMBS		09/01/2019	Paydown		2,638	2,638	2,626	2,625		13		13		2,638		0	0	52	11/01/2046	1
.3138WK-4X-0	FN AS9837 - RMBS		09/01/2019	Paydown		3,664	3,664	3,660	3,659		5		5		3,664				74	06/01/2032	1
.3138WL-C2-7	FN AS9988 - RMBS		09/01/2019	Paydown		6,672	6,672	6,991	6,984		(312)		(312)		6,672				200	07/01/2047	1
.3138WV-X5-5	FN A17899 - RMBS		09/01/2019	Paydown		2,623	2,623	2,751	2,752		(128)		(128)		2,623				61	07/01/2043	1

## SCHEDULE D - PART 4

## E05.1

CUSIP Identification	Description	3 Foreign	4 Disposal Date	5 Name of Purchaser	6 Number of Shares of Stock	7 Consideration	8 Par Value	9 Actual Cost	10 Prior Year Book/ Adjusted Carrying Value	Change In Book/Adjusted Carrying Value					16 Book/ Adjusted Carrying Value at Disposal Date	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Bond Interest/ Stock Dividends Received During Year	21 Stated Contractual Maturity Date	22 NAIC Designation and Administrative Symbol /Market Indicator (a)
										11 Unrealized Valuation Increase/ (Decrease)	12 Current Year's (Amortization)/ Accretion	13 Current Year's Other Than Temporary Impairment Recognized	14 Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	15 Total Foreign Exchange Change in Book /Adjusted Carrying Value							
.3138X4-V9-8	FN AU5139 - RMB5		.09/01/2019	Paydown		2,505	2,505	2,611	2,615		(109)		(109)		2,505				.60	.08/01/2043	1
.3138Y6-3S-1	FN AX5308 - RMB5		.09/01/2019	Paydown		1,561	1,561	1,638	1,637		(76)		(76)		1,561				.35	.01/01/2042	1
.3140EV-T7-2	FN BC1473 - RMB5		.09/01/2019	Paydown		3,863	3,863	3,858	3,858		6		6		3,863				.64	.07/01/2031	1
.3140FM-DF-0	FN BE1901 - RMB5		.09/01/2019	Paydown		2,547	2,547	2,548	2,547		(1)		(1)		2,547				.49	.12/01/2046	1
.3140J5-LM-9	FN BM1231 - RMB5		.09/01/2019	Paydown		3,758	3,758	3,898	3,891		(132)		(132)		3,758				.87	.11/01/2031	1
.3140J8-HC-0	FN BM3826 - RMB5		.09/01/2019	Paydown		7,586	7,586	7,826	7,825		(239)		(239)		7,586				.227	.04/01/2048	1
.3140J9-EB-3	FN BM4629 - RMB5		.08/01/2019	VARIOUS		100,049	94,946	95,213	95,208		(40)		(40)		95,168		4,881	4,881	2,529	.10/01/2048	1
.3140J9-LV-1	FN BM4839 - RMB5		.08/01/2019	VARIOUS		101,280	96,250	96,370	96,365		(33)		(33)		96,332		4,948	4,948	2,566	.10/01/2048	1
.314007-LE-5	FN CA0324 - RMB5		.09/01/2019	Paydown		4,047	4,047	4,246	4,253		(206)		(206)		4,047				.120	.09/01/2047	1
.314008-M9-3	FN CA1283 - RMB5		.09/01/2019	Paydown		2,070	2,070	2,108	2,106		(36)		(36)		2,070				.51	.02/01/2033	1
.31417B-7A-9	FN AB5388 - RMB5		.09/01/2019	Paydown		621	621	664	664		(43)		(43)		621				.18	.06/01/2042	1
.31417C-S3-0	FN AB5937 - RMB5		.09/01/2019	Paydown		1,303	1,303	1,372	1,369		(66)		(66)		1,303				.31	.08/01/2042	1
.31417D-TR-4	FN AB6859 - RMB5		.09/01/2019	Paydown		2,970	2,970	3,087	3,086		(116)		(116)		2,970		0	0	.73	.11/01/2042	1
.31417G-SA-0	FN AB9840 - RMB5		.09/01/2019	Paydown		2,429	2,429	2,549	2,546		(117)		(117)		2,429				.57	.07/01/2043	1
.31417G-TF-3	FN AB9549 - RMB5		.08/01/2019	VARIOUS		118,353	116,590	116,845	116,743		(21)		(21)		116,722		1,630	1,630	2,286	.06/01/2043	1
.31418C-E6-7	FN MA2856 - RMB5		.09/01/2019	Paydown		2,240	2,240	2,388	2,378		(138)		(138)		2,240				.61	.12/01/2036	1
.31418C-FG-4	FN MA2866 - RMB5		.09/01/2019	Paydown		3,026	3,026	3,048	3,044		(18)		(18)		3,026				.60	.01/01/2037	1
.31418C-ND-2	FN MA3087 - RMB5		.09/01/2019	Paydown		4,284	4,284	4,397	4,391		(107)		(107)		4,284		0	0	.102	.08/01/2047	1
.31418C-QB-3	FN MA3149 - RMB5		.09/01/2019	Paydown		5,208	5,208	5,407	5,407		(199)		(199)		5,208		0	0	.140	.10/01/2047	1
.31418D-BF-8	FN MA3637 - RMB5		.09/01/2019	Paydown		5,037	5,037	5,172	5,172		(135)		(135)		5,037				.15	.04/01/2049	1
.575579-ZG-5	MASSACHUSETTS BAY TRANSN AUTH MASS SALES		.07/17/2019	Stifel Nicolaus & Co.		89,938	75,000	90,605	85,989		(860)		(860)		85,129		4,809	4,809	3,938	.07/01/2023	1FE
.65830R-CE-7	NORTH CAROLINA TPK AUTH TRIANGLE EXPIRY S		.08/07/2019	Unknown		110,659	100,000	111,272	111,221		(561)		(561)		110,659				3,284	.01/01/2036	2FE
31999999. Subtotal - Bonds - U.S. Special Revenues						802,397	764,250	798,216	788,018		(7,386)		(7,386)		785,805		16,592	16,592	20,372	XXX	XXX
.02007M-AD-2	ALLYA 181 A2 - ABS		.09/01/2019	Paydown		11,562	11,562	11,562	11,562		0		0		11,562				.125	.09/15/2020	1FE
.037833-CU-2	APPLE INC		.07/29/2019	BARCLAYS CAPITAL INC MITSUBISHI UFJ		102,640	100,000	100,337			(21)		(21)		100,316		2,324	2,324	2,058	.05/11/2024	1FE
.05971K-AD-1	BANCO SANTANDER SA	C.	.07/29/2019	SECURITIES		200,034	200,000	199,612			2		2		199,614		420	420	.511	.06/27/2024	1FE
.17275R-BL-5	CISCO SYSTEMS INC		.07/29/2019	GOLDMAN		101,312	100,000	93,568			419		419		93,987		7,325	7,325	2,160	.09/20/2026	1FE
.209111-FE-8	CONSOLIDATED EDISON CO OF NEW YORK INC		.07/29/2019	PERSHING DIV OF DLJ SEC LNDING		93,038	90,000	89,688	89,805		17		17		89,823		3,216	3,216	1,980	.12/01/2024	1FE
.26442C-AV-6	DUKE ENERGY CAROLINAS LLC		.07/29/2019	PERSHING DIV OF DLJ SEC LNDING		154,416	150,000	149,825	149,853		19		19		149,872		4,544	4,544	4,016	.03/15/2023	1FE
.278642-AU-7	EBAY INC		.07/29/2019	WELLS FARGO SECURITIES LLC		102,739	100,000	99,917	99,930		4		4		99,934		2,805	2,805	2,360	.06/05/2027	2FE
.285512-AC-3	ELECTRONIC ARTS INC		.09/09/2019	MORGAN STANLEY CO		25,504	25,000	24,963	24,984		5		5		24,989		515	515	.951	.03/01/2021	2FE
.36252A-AA-4	GSM 15GS1 A1 - CMBS		.09/01/2019	Paydown		4,963	4,963	4,963	4,961		2		2		4,963		0	0	.64	.11/13/2048	1FE
.38014B-AD-1	GMALT 181 A3 - ABS		.09/20/2019	Paydown		7,337	7,337	7,337	7,337		0		0		7,337				.144	.01/20/2021	1FE
.460146-CL-5	INTERNATIONAL PAPER CO		.07/29/2019	WELLS FARGO SECURITIES LLC		104,778	100,000	101,518	101,363		(104)		(104)		101,259		3,519	3,519	3,969	.01/15/2026	2FE
.718549-AA-6	PHILLIPS 66 PARTNERS LP		.09/30/2019	PERSHING DIV OF DLJ SEC LNDING		70,070	70,000	68,937	69,730		180		180		69,910		160	160	2,094	.02/15/2020	2FE
.87236Y-AH-1	TD AMERITRADE HOLDING CORP		.07/29/2019	PERSHING DIV OF DLJ SEC LNDING		105,232	100,000	99,779	99,784		20		20		99,805		5,427	5,427	2,813	.04/01/2024	1FE
.92343V-AX-2	VERIZON COMMUNICATIONS INC		.07/29/2019	MORGAN STANLEY CO		155,816	150,000	148,718	149,666		83		83		149,748		6,067	6,067	5,750	.04/01/2021	2FE
.94989X-AY-1	IFCM 15NXS4 A1 - CMBS		.09/01/2019	Paydown		5,061	5,061	5,059	5,059		2		2		5,061		0	0	.63	.12/17/2048	1FE
.98161Y-AB-0	WOLS 18A A2 - ABS		.09/15/2019	Paydown		14,755	14,755	14,754	14,755		0		0		14,755				.253	.11/16/2020	1FE
38999999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						1,259,256	1,228,678	1,220,536	828,789		629		629		1,222,935		36,322	36,322	29,309	XXX	XXX
83999997. Total - Bonds - Part 4						3,117,168	2,997,170	3,042,973	2,633,715		(8,849)		(8,849)		3,023,555		93,613	93,613	70,907	XXX	XXX
83999998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
83999999. Total - Bonds						3,117,168	2,997,170	3,042,973	2,633,715		(8,849)		(8,849)		3,023,555		93,613	93,613	70,907	XXX	XXX
89999997. Total - Preferred Stocks - Part 4							XXX													XXX	XXX
89999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
89999999. Total - Preferred Stocks							XXX													XXX	XXX
97999997. Total - Common Stocks - Part 4							XXX													XXX	XXX

STATEMENT AS OF SEPTEMBER 30, 2019 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 Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted 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 Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol /Market Indicator (a)
9799998. Total - Common Stocks - Part 5						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						3,117,168	XXX	3,042,973	2,633,715		(8,849)		(8,849)		3,023,555		93,613	93,613	70,907	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

Showing all Options, Caps, Floors, Collars, Swaps and Forwards Open as of Current Statement Date

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s) (a)	Exchange, Counterparty or Central Clearinghouse	Trade Date	Date of Maturity or Expiration	Number of Contracts	Notional Amount	Strike Price or Index (Paid)	Cumulative Prior Year's Initial Cost of Hedge (Received) Paid	Current Year's Cost of Hedge (Paid)	Current Year Income	Book/ Adjusted Carrying Value	Code	Fair Value	Unrealized Valuation Increase/ (Decrease)	Total Foreign Exchange Change in B./A.C.V.	Current Year's (Amortization)/ Accretion	Adjustment to Carrying Value of Hedged Item	Potential Exposure	Credit Quality of Reference Entity	Hedge Effectiveness at Inception and at Quarter-end (b)
1449999999 - Totals														XXX							XXX	XXX

(a)	Code	Description of Hedged Risk(s)

(b)	Code	Financial or Economic Impact of the Hedge at the End of the Reporting Period

## SCHEDULE DB - PART B - SECTION 1

1	2	3	4	5	6	7	8	9	10	11	12	13	14	Highly Effective Hedges			18	19	20	21	22
Ticker Symbol	Number of Contracts	Notional Amount	Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s) (a)	Date of Maturity or Expiration	Exchange	Trade Date	Transaction Price	Reporting Date Price	Fair Value	Book/ Adjusted Carrying Value	15	16	17	Cumulative Variation Margin for All Other Hedges	Change in Variation Margin Gain (Loss) Recognized in Current Year	Potential Exposure	Hedge Effectiveness at Inception and at Quarter-end (b)	Value of One (1) Point
														Cumulative Variation Margin	Deferred Variation Margin	Change in Variation Margin Gain (Loss) Used to Adjust Basis of Hedged Item					
NONE																					
1449999999 - Totals																			XXX	XXX	

Broker Name	Beginning Cash Balance	Cumulative Cash Change	Ending Cash Balance
Total Net Cash Deposits			

[illegible]

(b)	Code	Financial or Economic Impact of the Hedge at the End of the Reporting Period

## SCHEDULE DB - PART D - SECTION 1

1 Description of Exchange, Counterparty or Central Clearinghouse	2 Master Agreement (Y or N)	3 Credit Support Annex (Y or N)	4 Fair Value of Acceptable Collateral	Book/Adjusted Carrying Value			Fair Value			11 Potential Exposure	12 Off-Balance Sheet Exposure
				5 Contracts With Book/Adjusted Carrying Value >0	6 Contracts With Book/Adjusted Carrying Value <0	7 Exposure Net of Collateral	8 Contracts With Fair Value >0	9 Contracts With Fair Value <0	10 Exposure Net of Collateral		
0199999999 - Aggregate Sum of Exchange Traded Derivatives	XXX	XXX	XXX								
<div style="font-size: 100px; font-weight: bold; opacity: 0.5;">NONE</div>											
0999999999 - Gross Totals											
1. Offset per SSAP No. 64											
2. Net after right of offset per SSAP No. 64											

## Collateral for Derivative Instruments Open as of Current Statement Date

1	2	3	4	5	6	7	8	9
Exchange, Counterparty or Central Clearinghouse	Type of Asset Pledged	CUSIP Identification	Description	Fair Value	Par Value	Book/Adjusted Carrying Value	Maturity Date	Type of Margin (I, V or IV)
<div style="font-size: 100px; font-weight: bold; opacity: 0.5;">NONE</div>								
0199999999 - Total							XXX	XXX

1	2	3	4	5	6	7	8	9
Exchange, Counterparty or Central Clearinghouse	Type of Asset Pledged	CUSIP Identification	Description	Fair Value	Par Value	Book/Adjusted Carrying Value	Maturity Date	Type of Margin (I, V or IV)
NONE								
0299999999 - Total						XXX	XXX	XXX



(Securities lending collateral assets reported in aggregate on Line 10 of the Assets page and not included on Schedules A, B, BA, D, DB and E)

1	2	3	4	5	6	7
CUSIP Identification	Description	Code	NAIC Designation and Administrative Symbol/Market Indicator	Fair Value	Book/Adjusted Carrying Value	Maturity Date
<b>NONE</b>						
9999999 - Totals						XXX

General Interrogatories:

1. Total activity for the year Fair Value \$ ..... Book/Adjusted Carrying Value \$ .....
2. Average balance for the year Fair Value \$ ..... Book/Adjusted Carrying Value \$ .....
3. Reinvested securities lending collateral assets book/adjusted carrying value included in this schedule by NAIC designation:  
NAIC 1 \$ ..... NAIC 2 \$ ..... NAIC 3 \$ ..... NAIC 4 \$ ..... NAIC 5 \$ ..... NAIC 6 \$ .....



## SCHEDULE E - PART 1 - CASH

[illegible]

## STATEMENT AS OF SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

## 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 and Accrued	9 Amount Received During Year
NONE								
8899999 - Total Cash Equivalents								



SUPPLEMENT FOR THE QUARTER ENDING SEPTEMBER 30, 2019 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

DIRECTOR AND OFFICER INSURANCE COVERAGE SUPPLEMENT

Year To Date For The Period Ended SEPTEMBER 30, 2019

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 [ ] 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 [ ] 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:

\$

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.

\$