



# QUARTERLY STATEMENT

As of June 30, 2020  
of the Condition and Affairs of the

## North American Swiss Alliance

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

### OFFICERS

Name	Title	Name	Title
1. Jan A. Markowski	President	2. Lynn M. Kosin	Secretary/Treasurer
3. Donald P Robison	Vice-President	4.	

**OTHER**

Kevin M. Ruedy	Financial Advisor
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### DIRECTORS OR TRUSTEES

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

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

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

_____ (Signature) Jan A. Markowski _____ 1. (Printed Name) _____ President _____ (Title)	_____ (Signature) Lynn M. Kosin _____ 2. (Printed Name) _____ Secretary/Treasurer _____ (Title)	_____ (Signature) Donald P Robison _____ 3. (Printed Name) _____ Vice-President _____ (Title)
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Subscribed and sworn to before me  
This \_\_\_\_\_ day of \_\_\_\_\_

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

## ASSETS

	Current Statement Date			4
	1	2	3	December 31 Prior Year Net Admitted Assets
	Assets	Nonadmitted Assets	Net Admitted Assets (Cols. 1 - 2)	
1. Bonds.....	3,128,617		3,128,617	3,129,893
2. Stocks:				
2.1 Preferred stocks.....	225,139		225,139	225,139
2.2 Common stocks.....			0	
3. Mortgage loans on real estate:				
3.1 First liens.....			0	
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....			0	
4.2 Properties held for the production of income (less \$.....0 encumbrances).....			0	
4.3 Properties held for sale (less \$.....0 encumbrances).....			0	
5. Cash (\$.....67,154), cash equivalents (\$.....0) and short-term investments (\$.....0).....	67,154		67,154	81,890
6. Contract loans (including \$.....0 premium notes).....	3,850		3,850	4,296
7. Derivatives.....			0	
8. Other invested assets.....			0	
9. Receivables for securities.....			0	
10. Securities lending reinvested collateral assets.....			0	
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	3,424,760	0	3,424,760	3,441,218
13. Title plants less \$.....0 charged off (for Title insurers only).....			0	
14. Investment income due and accrued.....	49,233		49,233	48,391
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....			0	
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....			0	
15.3 Accrued retrospective premiums (\$.....0) and contracts subject to redetermination (\$.....0).....			0	
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers.....			0	
16.2 Funds held by or deposited with reinsured companies.....			0	
16.3 Other amounts receivable under reinsurance contracts.....			0	
17. Amounts receivable relating to uninsured plans.....			0	
18.1 Current federal and foreign income tax recoverable and interest thereon.....			0	
18.2 Net deferred tax asset.....			0	
19. Guaranty funds receivable or on deposit.....			0	
20. Electronic data processing equipment and software.....			0	
21. Furniture and equipment, including health care delivery assets (\$.....0).....			0	
22. Net adjustment in assets and liabilities due to foreign exchange rates.....			0	
23. Receivables from parent, subsidiaries and affiliates.....			0	
24. Health care (\$.....0) and other amounts receivable.....			0	
25. Aggregate write-ins for other than invested assets.....	0	0	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	3,473,993	0	3,473,993	3,489,609
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			0	
28. Total (Lines 26 and 27).....	3,473,993	0	3,473,993	3,489,609

### DETAILS OF WRITE-INS

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

## LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31 Prior Year
1. Aggregate reserve for life contracts \$.....0 less \$.....0 included in Line 6.3 (including \$.....0 Modco Reserve).....	2,495,963	2,508,963
2. Aggregate reserve for accident and health contracts (including \$.....0 Modco Reserve).....		
3. Liability for deposit-type contracts (including \$.....0 Modco Reserve).....		
4. Contract claims:		
4.1 Life.....	3,000	3,000
4.2 Accident and health.....		
5. Policyholders' dividends/refunds to members \$.....0 and coupons \$.....0 due and unpaid.....		
6. Provision for policyholders' dividends/refunds to members and coupons payable in following calendar year - estimated amounts:		
6.1 Policyholder's dividends/refunds to members apportioned for payment (including \$.....0 Modco).....	8,000	8,000
6.2 Policyholder's dividends/refunds to members not yet apportioned (including \$.....0 Modco).....		
6.3 Coupons and similar benefits (including \$.....0 Modco).....		
7. Amount provisionally held for deferred dividend policies not included in Line 6.....		
8. Premiums and annuity considerations for life and accident and health contracts received in advance less \$.....0 discount; including \$.....0 accident and health premiums.....		
9. Contract liabilities not included elsewhere:		
9.1 Surrender values on canceled contracts.....		
9.2 Provision for experience rating refunds, including the liability of \$.....0 accident and health experience rating refunds of which \$.....0 is for medical loss ratio rebate per the Public Health Service Act.....		
9.3 Other amounts payable on reinsurance, including \$.....0 assumed and \$.....0 ceded.....		
9.4 Interest Maintenance Reserve.....	55,369	69,638
10. Commissions to agents due or accrued - life and annuity contracts \$.....0, accident and health \$.....0 and deposit-type contract funds \$.....0.....		
11. Commissions and expense allowances payable on reinsurance assumed.....		
12. General expenses due or accrued.....	4,550	1,250
13. Transfers to Separate Accounts due or accrued (net) (including \$.....0 accrued for expense allowances recognized in reserves, net of reinsured allowances).....		
14. Taxes, licenses and fees due or accrued, excluding federal income taxes.....		
15.1 Current federal and foreign income taxes, including \$.....0 on realized capital gains (losses).....		
15.2 Net deferred tax liability.....		
16. Unearned investment income.....		
17. Amounts withheld or retained by reporting entity as agent or trustee.....	601	1,446
18. Amounts held for agents' account, including \$.....0 agents' credit balances.....		
19. Remittances and items not allocated.....		
20. Net adjustment in assets and liabilities due to foreign exchange rates.....		
21. Liability for benefits for employees and agents if not included above.....		
22. Borrowed money \$.....0 and interest thereon \$.....0.....		
23. Dividends to stockholders declared and unpaid.....		
24. Miscellaneous liabilities:		
24.01 Asset valuation reserve.....	34,118	29,580
24.02 Reinsurance in unauthorized and certified (\$.....0) companies.....		
24.03 Funds held under reinsurance treaties with unauthorized and certified (\$.....0) reinsurers.....		
24.04 Payable to parent, subsidiaries and affiliates.....		
24.05 Drafts outstanding.....		
24.06 Liability for amounts held under uninsured plans.....		
24.07 Funds held under coinsurance.....		
24.08 Derivatives.....		
24.09 Payable for securities.....		
24.10 Payable for securities lending.....		
24.11 Capital notes \$.....0 and interest thereon \$.....0.....		
25. Aggregate write-ins for liabilities.....	0	0
26. Total liabilities excluding Separate Accounts business (Lines 1 to 25).....	2,601,601	2,621,877
27. From Separate Accounts statement.....		
28. Total liabilities (Lines 26 and 27).....	2,601,601	2,621,877
29. Common capital stock.....		
30. Preferred capital stock.....		
31. Aggregate write-ins for other-than-special surplus funds.....	0	0
32. Surplus notes.....		
33. Gross paid in and contributed surplus.....		
34. Aggregate write-ins for special surplus funds.....	33,673	33,673
35. Unassigned funds (surplus).....	838,719	834,059
36. Less treasury stock, at cost:		
36.1 .....0.000 shares common (value included in Line 29 \$.....0).....		
36.2 .....0.000 shares preferred (value included in Line 30 \$.....0).....		
37. Surplus (Total Lines 31 + 32 + 33 + 34 + 35 - 36) (including \$.....0 in Separate Accounts Statement).....	872,392	867,732
38. Totals of Lines 29, 30 and 37.....	872,392	867,732
39. Totals of Lines 28 and 38 (Page 2, Line 28, Col. 3).....	3,473,993	3,489,609

### DETAILS OF WRITE-INS

2501. ....		
2502. ....		
2503. ....		
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	0	0
3101. ....		
3102. ....		
3103. ....		
3198. Summary of remaining write-ins for Line 31 from overflow page.....	0	0
3199. Totals (Lines 3101 thru 3103 plus 3198) (Line 31 above).....	0	0
3401. Relief and Benevolent Funds.....	33,673	33,673
3402. ....		
3403. ....		
3498. Summary of remaining write-ins for Line 34 from overflow page.....	0	0
3499. Totals (Lines 3401 thru 3403 plus 3498) (Line 34 above).....	33,673	33,673

## SUMMARY OF OPERATIONS

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
1. Premiums and annuity considerations for life and accident and health contracts.....	14,064	11,735	20,374
2. Considerations for supplementary contracts with life contingencies.....			
3. Net investment income.....	80,629	82,247	157,445
4. Amortization of Interest Maintenance Reserve (IMR).....	6,624	8,527	18,151
5. Separate Accounts net gain from operations excluding unrealized gains or losses.....			
6. Commissions and expense allowances on reinsurance ceded.....			
7. Reserve adjustments on reinsurance ceded.....			
8. Miscellaneous Income:			
8.1 Income from fees associated with investment management, administration and contract guarantees from Separate Accounts.....			
8.2 Charges and fees for deposit-type contracts.....			
8.3 Aggregate write-ins for miscellaneous income.....	6	0	112
9. Totals (Lines 1 to 8.3).....	101,323	102,509	196,082
10. Death benefits.....	22,739	20,090	40,579
11. Matured endowments (excluding guaranteed annual pure endowments).....	1,738	3,572	4,685
12. Annuity benefits.....			
13. Disability benefits and benefits under accident and health contracts.....			
14. Coupons, guaranteed annual pure endowments and similar benefits.....			
15. Surrender benefits and withdrawals for life contracts.....	5,562	10,327	15,451
16. Group conversions.....			
17. Interest and adjustments on contract or deposit-type contract funds.....			
18. Payments on supplementary contracts with life contingencies.....			
19. Increase in aggregate reserves for life and accident and health contracts.....	(13,000)	(15,000)	(43,828)
20. Totals (Lines 10 to 19).....	17,039	18,989	16,887
21. Commissions on premiums, annuity considerations and deposit-type contract funds (direct business only).....			
22. Commissions and expense allowances on reinsurance assumed.....			
23. General insurance expenses and fraternal expenses.....	48,308	49,179	99,849
24. Insurance taxes, licenses and fees, excluding federal income taxes.....	2,188	2,160	3,358
25. Increase in loading on deferred and uncollected premiums.....			
26. Net transfers to or (from) Separate Accounts net of reinsurance.....			
27. Aggregate write-ins for deductions.....	0	0	0
28. Totals (Lines 20 to 27).....	67,535	70,328	120,094
29. Net gain from operations before dividends to policyholders and federal income taxes (Line 9 minus Line 28).....	33,788	32,181	75,988
30. Dividends to policyholders and refunds to members.....	3,324	3,926	5,756
31. Net gain from operations after dividends to policyholders, refunds to members and before federal income taxes (Line 29 minus Line 30).....	30,464	28,255	70,232
32. Federal and foreign income taxes incurred (excluding tax on capital gains).....			
33. Net gain from operations after dividends to policyholders, refunds to members and federal income taxes and before realized capital gains or (losses) (Line 31 minus Line 32).....	30,464	28,255	70,232
34. Net realized capital gains (losses) (excluding gains (losses) transferred to the IMR) less capital gains tax of \$.....0 (excluding taxes of \$.....0 transferred to the IMR).....			
35. Net income (Line 33 plus Line 34).....	30,464	28,255	70,232
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
36. Capital and surplus, December 31, prior year.....	867,732	793,407	793,407
37. Net income (Line 35).....	30,464	28,255	70,232
38. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0.....	(21,266)	5,262	11,650
39. Change in net unrealized foreign exchange capital gain (loss).....			
40. Change in net deferred income tax.....			
41. Change in nonadmitted assets.....			
42. Change in liability for reinsurance in unauthorized and certified companies.....			
43. Change in reserve on account of change in valuation basis, (increase) or decrease.....			
44. Change in asset valuation reserve.....	(4,538)	(62)	(7,557)
45. Change in treasury stock.....			
46. Surplus (contributed to) withdrawn from Separate Accounts during period.....			
47. Other changes in surplus in Separate Accounts Statement.....			
48. Change in surplus notes.....			
49. Cumulative effect of changes in accounting principles.....			
50. Capital changes:			
50.1 Paid in.....			
50.2 Transferred from surplus (Stock Dividend).....			
50.3 Transferred to surplus.....			
51. Surplus adjustment:			
51.1 Paid in.....			
51.2 Transferred to capital (Stock Dividend).....			
51.3 Transferred from capital.....			
51.4 Change in surplus as a result of reinsurance.....			
52. Dividends to stockholders.....			
53. Aggregate write-ins for gains and losses in surplus.....	0	0	0
54. Net change in capital and surplus (Lines 37 through 53).....	4,660	33,455	74,325
55. Capital and surplus as of statement date (Lines 36 + 54).....	872,392	826,862	867,732
<b>DETAILS OF WRITE-INS</b>			
08.301. SUNDRY REFUNDS, DISCOUNTS.....	6		112
08.302. ....			
08.303. ....			
08.398. Summary of remaining write-ins for Line 8.3 from overflow page.....	0	0	0
08.399. Totals (Lines 08.301 thru 08.303 plus 08.398) (Line 8.3 above).....	6	0	112
2701. ....			
2702. ....			
2703. ....			
2798. Summary of remaining write-ins for Line 27 from overflow page.....	0	0	0
2799. Totals (Lines 2701 thru 2703 plus 2798) (Line 27 above).....	0	0	0
5301. ....			
5302. ....			
5303. ....			
5398. Summary of remaining write-ins for Line 53 from overflow page.....	0	0	0
5399. Totals (Lines 5301 thru 5303 plus 5398) (Line 53 above).....	0	0	0

**CASH FLOW**

	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>CASH FROM OPERATIONS</b>			
1. Premiums collected net of reinsurance.....	14,064	11,735	20,374
2. Net investment income.....	87,889	91,506	177,039
3. Miscellaneous income.....	6		112
4. Total (Lines 1 through 3).....	101,959	103,241	197,525
5. Benefit and loss related payments.....	30,039	35,208	62,826
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	47,196	47,964	101,957
8. Dividends paid to policyholders.....	3,324	3,926	7,756
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....			
10. Total (Lines 5 through 9).....	80,559	87,098	172,539
11. Net cash from operations (Line 4 minus Line 10).....	21,400	16,143	24,986
<b>CASH FROM INVESTMENTS</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	251,333	50,000	261,623
12.2 Stocks.....		18,750	43,750
12.3 Mortgage loans.....			
12.4 Real estate.....			
12.5 Other invested assets.....			
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments.....			
12.7 Miscellaneous proceeds.....			
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	251,333	68,750	305,373
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	287,069	95,709	317,234
13.2 Stocks.....			
13.3 Mortgage loans.....			
13.4 Real estate.....			
13.5 Other invested assets.....			
13.6 Miscellaneous applications.....			
13.7 Total investments acquired (Lines 13.1 to 13.6).....	287,069	95,709	317,234
14. Net increase or (decrease) in contract loans and premium notes.....	(445)		227
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14).....	(35,291)	(26,959)	(12,088)
<b>CASH FROM FINANCING AND MISCELLANEOUS SOURCES</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes.....			
16.2 Capital and paid in surplus, less treasury stock.....			
16.3 Borrowed funds.....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities.....			
16.5 Dividends to stockholders.....			
16.6 Other cash provided (applied).....	(845)	209	(1)
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	(845)	209	(1)
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11 plus Line 15 plus Line 17).....	(14,736)	(10,607)	12,897
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	81,890	68,993	68,993
19.2 End of period (Line 18 plus Line 19.1).....	67,154	58,386	81,890

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

20.0001			
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**EXHIBIT 1**

**DIRECT PREMIUMS AND DEPOSIT-TYPE CONTRACTS**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Industrial life.....			
2. Ordinary life insurance.....	14,064	11,735	20,374
3. Ordinary individual annuities.....			
4. Credit life (group and individual).....			
5. Group life insurance.....			
6. Group annuities.....			
7. A&H - group.....			
8. A&H - credit (group and individual).....			
9. A&H - other.....			
10. Aggregate of all other lines of business.....	0	0	0
11. Subtotal (Lines 1 through 10).....	14,064	11,735	20,374
12. Fraternal ( Fraternal Benefit Societies Only).....			
13. Subtotal (Lines 11 through 12).....	14,064	11,735	20,374
14. Deposit-type contracts.....			
15. Total (Lines 13 and 14).....	14,064	11,735	20,374

**DETAILS OF WRITE-INS**

1001. ....			
1002. ....			
1003. ....			
1098. Summary of remaining write-ins for Line 10 from overflow page.....	0	0	0
1099. Total (Lines 1001 thru 1003 plus 1098) (Line 10 above).....	0	0	0

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

## A. Accounting Practices

	SSAP #	F/S Page	F/S Line #	Current Year to Date	2019
<b>NET INCOME</b>					
(1) North American Swiss Alliance Company state basis (Page 4, Line 35, Columns 1 & 3)	XXX	XXX	XXX	\$ 30,464	\$ 70,232
(2) State Prescribed Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(3) State Permitted Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(4) NAIC SAP (1 – 2 – 3 = 4)	XXX	XXX	XXX	\$ 30,464	\$ 70,232
<b>SURPLUS</b>					
(5) North American Swiss Alliance Company state basis (Page 3, line 38, Columns 1 & 2)	XXX	XXX	XXX	\$ 872,392	\$ 867,732
(6) State Prescribed Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(7) State Permitted Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(8) NAIC SAP (5 – 6 – 7 = 8)	XXX	XXX	XXX	\$ 872,392	\$ 867,732

The financial statements of North American Swiss Alliance 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 statements of a Fraternal Benefit Society, for determining its solvency under the Ohio Insurance Law. The National Association of Insurance Commissioners' (NAIC) Accounting Practices Manual (NAIC SAP), has been adopted as a component of prescribed or permitted practices by the state of Ohio. The state has adopted certain prescribed accounting practices from NAIC SAP. Specifically, 1) goodwill arising from the purchase of a subsidiary, controlled or affiliated entity is written off directly to surplus in the year it originates by the amount of goodwill in amounts not to exceed 10% of an insurer's capital and surplus may be capitalized and all amounts of goodwill are amortized to unrealized gains over periods not to exceed 10 years, and, 2) 100% of all fixed assets are admitted by Ohio domiciled Fraternal Benefit Societies. In NAIC SAP, fixed assets are not admitted if they have the right to permit other specific practices that deviate from prescribed practices.

A reconciliation of the Society's net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the state of Ohio results in no change.

B. Use of Estimates in the Preparation of the Financial Statement  
No significant changes

## C. Accounting Policy

Life premiums are recognized as income over the premium paying period of the related policies. If applicable, annuity considerations are recognized as revenue when received. If applicable, health premiums are earned ratably, over the term of the related insurance policies. Expenses incurred in connection with acquiring new insurance business, including acquisition costs such as sales commissions, are charged to operations as incurred.

The amount of dividends to be paid to policyholders is determined annually by the Society's Board of Directors. The aggregate amount of policyholders' dividends is related to actual interest, mortality, morbidity, and expense experience for the year and judgment as to the appropriate level of statutory surplus to be retained by the Society.

- (1) Basis for Short-Term Investments  
No significant changes
- (2) Basis for Bonds, Mandatory Convertible Securities, SVO-Identified Investments and Amortization Method  
Bonds: Not backed by other loans at amortized cost using the interest method:  
loan-backed bonds and structured securities at amortized cost using the interest method including anticipated prepayments at the date of purchase; significant changes in estimated cash flows from the original purchase assumptions are accounted for using the composite method. Bonds rated NAIC Class 6 are valued at market and the basis is reduced and a realized loss is recognized.
- (3) Basis for Common Stocks  
No significant changes
- (4) Basis for Preferred Stocks  
No significant changes
- (5) Basis for Mortgage Loans  
No significant changes
- (6) Basis for Loan-Backed Securities and Adjustment Methodology  
Loan backed securities are handled the same as bonds as described in in item C(2) above.
- (7) Accounting Policies for Investments in Subsidiaries, Controlled and Affiliated Entities  
No significant changes
- (8) Accounting Policies for Investments in Joint Ventures, Partnerships and Limited Liability Entities  
No significant changes
- (9) Accounting Policies for Derivatives  
No significant changes
- (10) Anticipated Investment Income Used in Premium Deficiency Calculation  
No significant changes
- (11) Management's Policies and Methodologies for Estimating Liabilities for Losses and Loss/Claim Adjustment Expenses  
No significant changes
- (12) Changes in the Capitalization Policy and Predefined Thresholds from Prior Period  
No significant changes
- (13) Method Used to Estimate Pharmaceutical Rebate Receivables  
No significant changes

## D. Going Concern

After carefully evaluating the Alliance's ability to continue as a going concern, Alliance management is not aware of any conditions or events which raised substantial doubts concerning the Alliance's ability as a going concern as of the date of this filing.

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

No significant changes

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## NOTES TO FINANCIAL STATEMENTS

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**Note 3 – Business Combinations and Goodwill**

No significant changes

**Note 4 – Discontinued Operations**

No significant changes

**Note 5 – Investments**

A. Mortgage Loans, including Mezzanine Real Estate Loans

No significant changes

B. Debt Restructuring

No significant changes

C. Reverse Mortgages

No significant changes

D. Loan-Backed Securities

- (1) Description of Sources Used to Determine Prepayment Assumptions  
NO LOAN BACKED SECURITIES
- (2) Securities with Recognized Other-Than-Temporary Impairments

(3) Recognized OTTI securities

(4) All impaired securities (fair value is less than cost or amortized cost) for which an other-than-temporary impairment has not been recognized in earnings as a realized loss (including securities with a recognized other-than-temporary impairment for non-interest related declines when a non-recognized interest related impairment remains):

(5) Information Investor Considered in Reaching Conclusion that Impairments are Not Other-Than-Temporary

E. Dollar Repurchase Agreements and/or Securities Lending Transactions

Not Applicable

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing

Not Applicable

G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing  
Repurchase Transactions – Cash Provider – Overview of Secured Borrowing Transactions

Not Applicable

H. Repurchase Agreements Transactions Accounted for as a Sale  
Repurchase Transaction – Cash Taker – Overview of Sale Transactions

Not Applicable

I. Reverse Repurchase Agreements Transactions Accounted for as a Sale  
Repurchase Transaction – Cash Provider – Overview of Sale Transactions

Not Applicable

J. Real Estate  
No significant changes

K. Low-Income Housing Tax Credits (LIHTC)  
No significant changes

L. Restricted Assets  
No significant changes

M. Working Capital Finance Investments  
(1) Aggregate Working Capital Finance Investments (WCFI) Book/Adjusted Carrying Value by NAIC Designation  
No significant changes  
(2) Aggregate Maturity Distribution on the Underlying Working Capital Finance Programs  
NO WORKING CAPITAL INVESTMENTS

(3) Any Events of Default or Working Capital Finance Investments

**NOTES TO FINANCIAL STATEMENTS**

- N. Offsetting and Netting of Assets and Liabilities  
NO OFFSETTING ASSETS OR LIABILITIES
- O. 5GI Securities  
No significant changes
- P. Short Sales  
No significant changes
- Q. Prepayment Penalty and Acceleration Fees  
No significant changes

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

No significant changes

**Note 7 – Investment Income**

No significant changes

**Note 8 – Derivative Instruments**

NOT APPLICABLE

- A. Derivatives Under SSAP No. 86 – *Derivatives*
- (1) Market Risk, Credit Risk and Cash Requirements  
No significant changes
  - (2) Objectives for Derivative Use  
No significant changes
  - (3) Accounting Policies for Recognition and Measurement  
No significant changes
  - (4) Identification of Whether Derivative Contracts with Financing Premiums  
No significant changes
  - (5) Net Gain or Loss Recognized  
No significant changes
  - (6) Net Gain or Loss Recognized from Derivatives that no Longer Qualify for Hedge Accounting  
No significant changes
  - (7) Derivatives Accounted for as Cash Flow Hedges  
No significant changes
  - (8) Total Premium Costs for Contracts
- B. Derivatives under SSAP No. 108 – *Derivatives Hedging Variable Annuity Guarantees*
- (1) Discussion of Hedged Item/Hedging Instruments and Hedging Strategy  
No significant changes
  - (2) Recognition of Gains/Losses and Deferred Assets and Liabilities
    - a. Not applicable
 

Amortization Year	Deferred Assets	Deferred Liabilities
1. 2020	\$	\$
2. 2021		
3. 2022		
4. 2023		
5. 2024		
6. 2025		
7. 2026		
8. 2027		
9. 2028		
10. 2029		
11. Total	\$	\$
  - (3) Hedging Strategies Identified as No Longer Highly Effective  
No significant changes
  - (4) Hedging Strategies Terminated  
No significant changes

**Note 9 – Income Taxes**

No significant changes.  
The Alliance is a fraternal benefit society and is exempt from income taxes.

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

No significant changes

**Note 11 – Debt**

- A. Debt Including Capital Notes  
No significant changes

**NOTES TO FINANCIAL STATEMENTS**

## B. FHLB (Federal Home Loan Bank) Agreements

NOT APPLICABLE

- (1) Information on the Nature of the Agreement  
NOT APPLICABLE
- (2) FHLB Capital Stock- NONE

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

Not Applicable. The Alliance does not have any retirement plans for it's employees.

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

No significant changes

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

No significant changes

**Note 15 – Leases**

No significant changes

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

No significant changes

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

Not Applicable

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

No significant changes

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

No significant changes

**Note 20 – Fair Value Measurements**

## A. Fair Value Measurements

- (1) Fair Value Measurements at Reporting Date

Description for Each Type of Asset or Liability	Level 1	Level 2	Level 3	Net Asset Value (NAV)	Total
Assets at Fair Value					
	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$
Liabilities at Fair Value					
	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$

- (2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy
- 
- NONE

- (3) Policies when Transfers Between Levels are Recognized

- (4) Description of Valuation Techniques and Inputs Used in Fair Value Measurement

- (5) Fair Value Disclosures for Derivative Assets and Liabilities

## B. Fair Value Reporting under SSAP 100 and Other Accounting Pronouncements

## C. Fair Value Level

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Not Practicable (Carrying Value)
BONDS	\$ 3,339,592	\$ 3,128,618	\$	\$ 3,339,592	\$	\$	\$
PREFERRED STOCKS	\$ 222,613	\$ 225,139	\$ 222,613	\$	\$	\$	\$
CASH	\$ 67,154	\$ 67,154	\$ 67,154	\$	\$	\$	\$
TOTAL	\$ 3,629,359	\$ 3,420,911	\$ 289,767	\$ 3,339,592	\$	\$	\$

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## NOTES TO FINANCIAL STATEMENTS

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D. Not Practicable to Estimate Fair Value

E. NAV Practical Expedient Investments

**Note 21 – Other Items**

No significant changes

**Note 22 – Events Subsequent**

Subsequent events have been considered through for these statutory financial statements which are to be issued on . There were no events occurring subsequent to the end of the quarter that merited recognition or disclosure in these statements.

**Note 23 – Reinsurance**

No significant changes

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

Not Applicable

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

A. Change in Incurred Losses and Loss Adjustment Expenses

NO CHANGES OCCURRED IN THIS QUARTER.

B. Information about Significant Changes in Methodologies and Assumptions

NO CHANGES OCCURRED IN THE METHODOLOGIES AND ASSUMPTIONS USED IN CALCULATING THE LIABILITY FOR UNPAID LOSSES.

**Note 26 – Intercompany Pooling Arrangements**

No significant changes

**Note 27 – Structured Settlements**

No significant changes

**Note 28 – Health Care Receivables**

No significant changes

**Note 29 – Participating Policies**

No significant changes

**Note 30 – Premium Deficiency Reserves**

No significant changes

**Note 31 – Reserves for Life Contracts and Deposit-Type Contracts**

No significant changes

**Note 32 – Analysis of Annuity Actuarial Reserves and Deposit Liabilities by Withdrawal Characteristics**

No significant changes

**Note 33 – Analysis of Life Actuarial Reserves by Withdrawal Characteristics**

No significant changes

**Note 34 – Premium and Annuity Considerations Deferred and Uncollected**

No significant changes

**Note 35 – Separate Accounts**

No significant changes

**Note 36 – Loss/Claim Adjustment Expenses**

No significant changes

# GENERAL INTERROGATORIES

## PART 1 - COMMON INTERROGATORIES

### GENERAL

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? Yes [ ] No [X]
- 1.2 If yes, has the report been filed with the domiciliary state? Yes [ ] No [ ]
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes [ ] No [X]
- 2.2 If yes, date of change: \_\_\_\_\_
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes [ ] No [X]  
If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes [ ] No [X]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.

- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? Yes [ ] No [X]
- 3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group.

- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? Yes [ ] No [X]  
If yes, complete and file the merger history data file with the NAIC for the annual filing corresponding to this period.
- 4.2 If yes, provide name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? Yes [ ] No [X] N/A [ ]  
If yes, attach an explanation.

- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2019
- 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. 12/31/2019
- 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). 07/31/2020

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 [X] No [ ] N/A [ ]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [X] 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 [X]
- 7.2 If yes, give full information:

- 8.1 Is the company a subsidiary of a bank holding company regulated with the Federal Reserve Board? Yes [ ] No [X]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.

- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? Yes [ ] No [X]

- 8.4 If the response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

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

- 9.1 Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards? Yes [X] No [ ]
- (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;
- (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;
- (c) Compliance with applicable governmental laws, rules and regulations;
- (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and
- (e) Accountability for adherence to the code.

- 9.11 If the response to 9.1 is No, please explain:

- 9.2 Has the code of ethics for senior managers been amended? Yes [ ] No [X]

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

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

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

# GENERAL INTERROGATORIES

## PART 1 - COMMON INTERROGATORIES

### FINANCIAL

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes [ ] No [X]
- 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ 0

### INVESTMENT

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes [ ] No [X]
- 11.2 If yes, give full and complete information relating thereto:
12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ 0
13. Amount of real estate and mortgages held in short-term investments: \$ 0
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes [ ] No [X]
- 14.2 If yes, please complete the following:

	1 Prior Year End Book/Adjusted Carrying Value		2 Current Quarter Book/Adjusted Carrying Value
14.21	\$ 0		\$ 0
14.22	0		0
14.23	0		0
14.24	0		0
14.25	0		0
14.26	0		0
14.27	\$ 0		\$ 0
14.28	\$ 0		\$ 0

- 15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes [ ] No [X]
- 15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes [ ] No [ ] N/A [X]
- If no, attach a description with this statement.

16. For the reporting entity's security lending program, state the amount of the following as of current statement date:
- 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0
- 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0
- 16.3 Total payable for securities lending reported on the liability page: \$ 0
17. Excluding items in Schedule E-Part 3-Special Deposits, real estate, mortgage loans and investments held physically in the reporting entity's offices, vaults or safety deposit boxes, were all stocks, bonds and other securities, owned throughout the current year held pursuant to a custodial agreement with a qualified bank or trust company in accordance with Section 1, III - General Examination Considerations, F. Outsourcing of Critical Functions, Custodial or Safekeeping Agreements of the NAIC *Financial Condition Examiners Handbook*? Yes [X] No [ ]

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

1 Name of Custodian(s)	2 Custodian Address
WELLS FARGO ADVISORS	950 MAIN AVE STE 300 CLEVELAND, OH 44113

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 and complete 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
DONALD ROBISON, VICE-PRESIDENT	I

- 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 invested assets? Yes [ ] No [X]
- 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 invested assets? Yes [ ] No [X]

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

1 Central Registration Depository Number	2 Name of Firm or Individual	3 Legal Entity Identifier (LEI)	4 Registered With	5 Investment Management Agreement (IMA) Filed

- 18.1 Have all the filing requirements of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* been followed? Yes [X] No [ ]
- 18.2 If no, list exceptions:

## GENERAL INTERROGATORIES

### PART 1 - COMMON INTERROGATORIES

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:
- 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 for 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]
21. By assigning FE to a Schedule BA non-registered private fund, the reporting entity is certifying the following elements of each self-designated FE fund:
- a. The security was purchased prior to January 1, 2019.
  - b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - c. The security had a public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO prior to January 1, 2019.
  - d. The fund only or predominantly holds bonds in its portfolio.
  - e. The current reporting NAIC designation was derived from the public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO.
  - f. The public credit rating(s) with annual surveillance assigned by an NAIC CRP has not lapsed.
- Has the reporting entity assigned FE to Schedule BA non-registered private funds that complied with the above criteria? Yes [ ] No [X]

## GENERAL INTERROGATORIES (continued)

### PART 2 - LIFE AND ACCIDENT AND HEALTH COMPANIES/FRATERNAL BENEFIT SOCIETIES

#### Life and Accident and Health Companies/Fraternal Benefit Societies

1. Report the statement value of mortgage loans at the end of this reporting period for the following categories:		Amount
1.1 Long-term mortgages in good standing		\$
1.11 Farm mortgages.....		\$.....
1.12 Residential mortgages.....		\$.....
1.13 Commercial mortgages.....		\$.....
1.14 Total mortgages in good standing.....		\$.....0
1.2 Long-term mortgages in good standing with restructured terms		
1.21 Total mortgages in good standing with restructured terms.....		\$.....
1.3 Long-term mortgage loans upon which interest is overdue more than three months		
1.31 Farm mortgages.....		\$.....
1.32 Residential mortgages.....		\$.....
1.33 Commercial mortgages.....		\$.....
1.34 Total mortgages with interest overdue more than three months.....		\$.....0
1.4 Long-term mortgage loans in process of foreclosure		
1.41 Farm mortgages.....		\$.....
1.42 Residential mortgages.....		\$.....
1.43 Commercial mortgages.....		\$.....
1.44 Total mortgages in process of foreclosure.....		\$.....0
1.5 Total mortgage loans (Lines 1.14 + 1.21 + 1.34 + 1.44) (Page 2, Column 3, Lines 3.1 + 3.2)		\$.....0
1.6 Long-term mortgages foreclosed, properties transferred to real estate in current quarter		
1.61 Farm mortgages.....		\$.....
1.62 Residential mortgages.....		\$.....
1.63 Commercial mortgages.....		\$.....
1.64 Total mortgages foreclosed and transferred to real estate.....		\$.....0
2. Operating Percentages:		
2.1 A&H loss percent.....		.....
2.2 A&H cost containment percent.....		.....
2.3 A&H expense percent excluding cost containment expenses.....		.....
3.1 Do you act as a custodian for health savings accounts?.....	Yes [ ]	No [ X ]
3.2 If yes, please provide the amount of custodial funds held as of the reporting date.....		\$.....
3.3 Do you act as an administrator for health savings accounts?.....	Yes [ ]	No [ X ]
3.4 If yes, please provide the balance of the funds administered as of the reporting date.....		\$.....
4. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states?.....	Yes [ X ]	No [ ]
4.1 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 [ X ]	No [ ]

#### Fraternal Benefit Societies Only:

5.1 In all cases where the reporting entity has assumed accident and health risks from another company, provisions should be made in this statement on account of such reinsurance for reserve equal to that which the original company would have been required to establish had it retained the risks. Has this been done?	Yes [ ]	No [ ]	N/A [ X ]
5.2 If no, explain:			

6.1 Does the reporting entity have outstanding assessments in the form of liens against policy benefits that have increased surplus?	Yes [ ]	No [ X ]
6.2 If yes, what is the date(s) of the original lien and the total outstanding balance of liens that remain in surplus?		

Date	Outstanding Lien Amount

**SCHEDULE S - CEDED REINSURANCE**  
 Showing All New Reinsurance Treaties - Current Year to Date

1	2	3	4	5	6	7	8	9	10
NAIC Company Code	ID Number	Effective Date	Name of Reinsurer	Domiciliary Jurisdiction	Type of Reinsurance Ceded	Type of Business Ceded	Type of Reinsurer	Certified Reinsurer Rating (1 through 6)	Effective Date of Certified Reinsurer Rating

**NONE**

# North American Swiss Alliance SCHEDULE T - PREMIUMS AND ANNUITY CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

States, Etc.	1	Direct Business Only					
		Life Contracts		4	5	6	7
		2	3				
	Active Status (a)	Life Insurance Premiums	Annuity Considerations	A&H Insurance Premiums, Including Policy Membership and Other Fees	Other Considerations	Total Columns 2 through 5	Deposit-Type Contracts
1. Alabama.....	AL	N.					0
2. Alaska.....	AK	N.					0
3. Arizona.....	AZ	N.					0
4. Arkansas.....	AR	N.					0
5. California.....	CA	L.					0
6. Colorado.....	CO	N.					0
7. Connecticut.....	CT	N.					0
8. Delaware.....	DE	N.					0
9. District of Columbia.....	DC	N.					0
10. Florida.....	FL	N.					0
11. Georgia.....	GA	N.					0
12. Hawaii.....	HI	N.					0
13. Idaho.....	ID	N.					0
14. Illinois.....	IL	N.					0
15. Indiana.....	IN	N.					0
16. Iowa.....	IA	N.					0
17. Kansas.....	KS	N.					0
18. Kentucky.....	KY	N.					0
19. Louisiana.....	LA	N.					0
20. Maine.....	ME	N.					0
21. Maryland.....	MD	N.					0
22. Massachusetts.....	MA	N.					0
23. Michigan.....	MI	N.					0
24. Minnesota.....	MN	N.					0
25. Mississippi.....	MS	N.					0
26. Missouri.....	MO	N.					0
27. Montana.....	MT	N.					0
28. Nebraska.....	NE	N.					0
29. Nevada.....	NV	N.					0
30. New Hampshire.....	NH	N.					0
31. New Jersey.....	NJ	N.					0
32. New Mexico.....	NM	N.					0
33. New York.....	NY	N.					0
34. North Carolina.....	NC	N.					0
35. North Dakota.....	ND	N.					0
36. Ohio.....	OH	L.	10,166			10,166	
37. Oklahoma.....	OK	N.					0
38. Oregon.....	OR	N.					0
39. Pennsylvania.....	PA	N.					0
40. Rhode Island.....	RI	N.					0
41. South Carolina.....	SC	N.					0
42. South Dakota.....	SD	N.					0
43. Tennessee.....	TN	N.					0
44. Texas.....	TX	N.					0
45. Utah.....	UT	N.					0
46. Vermont.....	VT	N.					0
47. Virginia.....	VA	N.					0
48. Washington.....	WA	N.					0
49. West Virginia.....	WV	N.					0
50. Wisconsin.....	WI	N.					0
51. Wyoming.....	WY	N.					0
52. American Samoa.....	AS	N.					0
53. Guam.....	GU	N.					0
54. Puerto Rico.....	PR	N.					0
55. US Virgin Islands.....	VI	N.					0
56. Northern Mariana Islands.....	MP	N.					0
57. Canada.....	CAN	N.					0
58. Aggregate Other Alien.....	OT	XXX.	0	0	0	0	0
59. Subtotal.....	XXX.		10,166	0	0	10,166	0
90. Reporting entity contributions for employee benefit plans.....	XXX.						
91. Dividends or refunds applied to purchase paid-up additions and annuities.....	XXX.		3,898			3,898	
92. Dividends or refunds applied to shorten endowment or premium paying period.....	XXX.						
93. Premium or annuity considerations waived under disability or other contract provisions.....	XXX.						
94. Aggregate other amounts not allocable by State.....	XXX.		0	0	0	0	0
95. Totals (Direct Business).....	XXX.		14,064	0	0	14,064	0
96. Plus Reinsurance Assumed.....	XXX.						
97. Totals (All Business).....	XXX.		14,064	0	0	14,064	0
98. Less Reinsurance Ceded.....	XXX.						
99. Totals (All Business) less Reinsurance Ceded.....	XXX.		14,064	0	0	14,064	0

**DETAILS OF WRITE-INS**

58001.....	XXX.						0
58002.....	XXX.						0
58003.....	XXX.						0
58998. Summary of remaining write-ins for line 58 from overflow page.....	XXX.		0	0	0	0	0
58999. Total (Lines 58001 thru 58003 plus 58998) (Line 58 above).....	XXX.		0	0	0	0	0
9401.....	XXX.						0
9402.....	XXX.						0
9403.....	XXX.						0
9498. Summary of remaining write-ins for line 94 from overflow page.....	XXX.		0	0	0	0	0
9499. Total (Lines 9401 thru 9403 plus 9498) (Line 94 above).....	XXX.		0	0	0	0	0

(a) Active Status Count

L - Licensed or Chartered - Licensed insurance carrier or domiciled RRG..... 2  
 E - Eligible - Reporting entities eligible or approved to write surplus lines in the state..... 0

R - Registered - Non-domiciled RRGs..... 0  
 Q - Qualified - Qualified or accredited reinsurer..... 0  
 N - None of the above - Not allowed to write business in the state..... 55

**Sch. Y - Pt. 1  
NONE**

**Sch. Y Pt. 1A  
NONE**

# SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

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

	Response
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement?	NO
2. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?	NO
3. Will the Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV be filed with the state of domicile and electronically with the NAIC?	NO
4. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXV be filed with the state of domicile and electronically with the NAIC?	NO
5. Will the Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI be filed with the state of domicile and electronically with the NAIC?	NO
6. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value) be filed with the state of domicile and electronically with the NAIC?	NO
7. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value) be filed with the state of domicile and electronically with the NAIC?	NO
8. Will the Life PBR Statement of Exemption be filed with the state of domicile by July 1st and electronically with the NAIC with the second quarterly filing per the Valuation Manual (by August 15)? (2nd Quarterly Only). The response for 1st and 3rd quarters should be N/A. A NO response resulting with a barcode is only appropriate in the 2nd quarter.	NO

**Explanations:**

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

**Bar Code:**



**NONE**

Statement as of June 30, 2020 of the **North American Swiss Alliance**  
**SCHEDULE A - VERIFICATION**

Real Estate

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	0	
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 end of current period (Lines 1+2+3+4-5+6-7-8).....	0	0
10. Deduct total nonadmitted amounts.....		
11. Statement value at end of current period (Line 9 minus Line 10).....	0	0

NONE

**SCHEDULE B - VERIFICATION**

Mortgage Loans

	1 Year to Date	2 Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year.....	0	
2. Cost of acquired:		
2.1 Actual cost at time of acquisition.....		
2.2 Additional investment made after acquisition.....		
3. Capitalized deferred interest and other.....		
4. Accrual of discount.....		
5. Unrealized valuation increase (decrease).....		
6. Total gain (loss) on disposals.....		
7. Deduct amounts received on disposals.....		
8. Deduct amortization of premium and mortgage interest points and commitment fees.....		
9. Total foreign exchange change in book value/recorded investment excluding accrued interest.....		
10. Deduct current year's other-than-temporary impairment recognized.....		
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10).....	0	0
12. Total valuation allowance.....		
13. Subtotal (Line 11 plus Line 12).....	0	0
14. Deduct total nonadmitted amounts.....		
15. Statement value at end of current period (Line 13 minus Line 14).....	0	0

NONE

**SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	0	
2. Cost of acquired:		
2.1 Actual cost at time of acquisition.....		
2.2 Additional investment made after acquisition.....		
3. Capitalized deferred interest and other.....		
4. Accrual of discount.....		
5. Unrealized valuation increase (decrease).....		
6. Total gain (loss) on disposals.....		
7. Deduct amounts received on disposals.....		
8. Deduct amortization of premium and depreciation.....		
9. Total foreign exchange change in book/adjusted carrying value.....		
10. Deduct current year's other-than-temporary impairment recognized.....		
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10).....	0	0
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	0	0

NONE

**SCHEDULE D - VERIFICATION**

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year.....	3,355,032	3,353,121
2. Cost of bonds and stocks acquired.....	287,069	317,234
3. Accrual of discount.....	665	1,330
4. Unrealized valuation increase (decrease).....	(21,266)	11,650
5. Total gain (loss) on disposals.....	(7,645)	(892)
6. Deduct consideration for bonds and stocks disposed of.....	251,333	305,373
7. Deduct amortization of premium.....	9,269	22,038
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.....	503	
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10).....	3,353,756	3,355,032
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	3,353,756	3,355,032

### SCHEDULE D - PART 1B

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

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a).....	1,577,007		132,645	(3,760)	1,577,007	1,440,602		1,631,268
2. NAIC 2 (a).....	1,291,281	157,378		(103,858)	1,291,281	1,344,801		1,272,409
3. NAIC 3 (a).....	250,253			92,961	250,253	343,214		226,218
4. NAIC 4 (a).....						0		
5. NAIC 5 (a).....						0		
6. NAIC 6 (a).....						0		
7. Total Bonds.....	3,118,541	157,378	132,645	(14,657)	3,118,541	3,128,617	0	3,129,895
<b>PREFERRED STOCK</b>								
8. NAIC 1.....	25,000				25,000	25,000		
9. NAIC 2.....	200,139				200,139	200,139		
10. NAIC 3.....						0		
11. NAIC 4.....						0		
12. NAIC 5.....						0		
13. NAIC 6.....						0		
14. Total Preferred Stock.....	225,139	0	0	0	225,139	225,139	0	0
15. Total Bonds and Preferred Stock.....	3,343,680	157,378	132,645	(14,657)	3,343,680	3,353,756	0	3,129,895

QSI02

(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 \$.....0; NAIC 2 \$.....0; NAIC 3 \$.....0; NAIC 4 \$.....0; NAIC 5 \$.....0; NAIC 6 \$.....0.

**Sch. DA - Pt. 1  
NONE**

**Sch. DA - Verification  
NONE**

**Sch. DB - Pt. A - Verification  
NONE**

**Sch. DB - Pt. B - Verification  
NONE**

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

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

**Sch. DB - Verification  
NONE**

**Sch. E - Pt. 2 Verification  
NONE**

**Sch. A Pt. 2  
NONE**

**Sch. A Pt. 3  
NONE**

**Sch. B - Pt. 2  
NONE**

**Sch. B - Pt. 3  
NONE**

**Sch. BA - Pt. 2  
NONE**

**Sch. BA - Pt. 3  
NONE**

### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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
<b>Bonds - Industrial and Miscellaneous</b>									
124857 AJ 2	CBS CORP.....		06/18/2020.....	WELL FARGO ADVISORS.....		54,455	50,000	1,152	2FE.....
500255 AU 8	KOHL'S CORPORATION.....		06/18/2020.....	WELL FARGO ADVISORS.....		50,477	50,000	915	2FE.....
636180 BP 5	NATIONAL FUEL GAS CO.....		06/22/2020.....	WELL FARGO ADVISORS.....		52,446	50,000	745	2FE.....
3899999	Total - Bonds - Industrial and Miscellaneous.....					157,378	150,000	2,812	XXX.....
8399997	Total - Bonds - Part 3.....					157,378	150,000	2,812	XXX.....
8399999	Total - Bonds.....					157,378	150,000	2,812	XXX.....
9999999	Total - Bonds, Preferred and Common Stocks.....					157,378	XXX	2,812	XXX.....

QE04

### SCHEDULE D - PART 4

Showing all Long-Term Bonds and Stocks SOLD, REDEEMED or Otherwise DISPOSED OF During Current Quarter

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Forfeign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) / Accretion	Current Year's Other-Than-Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
<b>Bonds - U.S. Special Revenue and Special Assessment</b>																					
59333N SD 6	MIAMI DADE CNTY SPL.....		04/02/2020	WELL FARGO ADVISORS.....		.....50,000	.....50,000	.....58,972	.....56,372	.....	.....(372)	.....	.....(372)	.....	.....56,000	.....	.....(6,000)	.....(6,000)	.....	04/01/2040	1FE.....
102885 GY 0	BOWLING GREEN ST. UNV.....		06/01/2020	WELL FARGO ADVISORS.....		.....50,000	.....50,000	.....59,179	.....51,142	.....	.....(1,142)	.....	.....(1,142)	.....	.....50,000	.....	.....	.....0	.....	06/01/2039	1FE.....
64966H MT 4	NEW YORK SUB A2 BUILD AMER BDS...		04/01/2020	WELL FARGO ADVISORS.....		.....25,000	.....25,000	.....26,987	.....26,771	.....	.....(126)	.....	.....(126)	.....	.....26,645	.....	.....(1,645)	.....(1,645)	.....	10/01/1934	1FE.....
3199999	Total - Bonds - U.S. Special Revenue and Special Assessments.....					.....125,000	.....125,000	.....145,138	.....134,285	.....0	.....(1,640)	.....0	.....(1,640)	.....0	.....132,645	.....0	.....(7,645)	.....(7,645)	.....0	XXX	XXX
8399997	Total - Bonds - Part 4.....					.....125,000	.....125,000	.....145,138	.....134,285	.....0	.....(1,640)	.....0	.....(1,640)	.....0	.....132,645	.....0	.....(7,645)	.....(7,645)	.....0	XXX	XXX
8399999	Total - Bonds.....					.....125,000	.....125,000	.....145,138	.....134,285	.....0	.....(1,640)	.....0	.....(1,640)	.....0	.....132,645	.....0	.....(7,645)	.....(7,645)	.....0	XXX	XXX
9999999	Total - Bonds, Preferred and Common Stocks.....					.....125,000	XXX	.....145,138	.....134,285	.....0	.....(1,640)	.....0	.....(1,640)	.....0	.....132,645	.....0	.....(7,645)	.....(7,645)	.....0	XXX	XXX

QE05

**Sch. DB - Pt. A - Sn. 1**  
**NONE**

**Sch. DB - Pt. B - Sn. 1**  
**NONE**

**Sch. DB - Pt. D - Sn. 1**  
**NONE**

**Sch. DB - Pt. D - Sn. 2**  
**NONE**

**Sch. DB - Pt. E**  
**NONE**

**Sch. DL - Pt. 1**  
**NONE**

**Sch. DL - Pt. 2**  
**NONE**

## SCHEDULE E - PART 1 - CASH

### Month End Depository Balances

1 Depository	2 Code	3 Rate of Interest	4 Amount of Interest Received During Current Quarter	5 Amount or interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9 *
					6 First Month	7 Second Month	8 Third Month	
<b>Open Depositories</b>								
KEY BANK -CHECKING..... CLEVELAND , OH.....					7,484	11,109	1,885	XXX
WELLS FARGO -CASH SWEEP..... CLEVELAND , OH.....		0.010	3		139,350	127,967	26,307	XXX
GBU ACCOUNT..... PITTSBURGH , PA.....		3.000	364		38,597	38,598	38,962	XXX
0199999. Total Open Depositories.....	XXX	XXX	367	0	185,431	177,674	67,154	XXX
0399999. Total Cash on Deposit.....	XXX	XXX	367	0	185,431	177,674	67,154	XXX
0599999. Total Cash.....	XXX	XXX	367	0	185,431	177,674	67,154	XXX

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

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

NONE