



PROPERTY AND CASUALTY COMPANIES - ASSOCIATION EDITION

QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2020

OF THE CONDITION AND AFFAIRS OF THE

Utica National Insurance Company of Ohio

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

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

Country of Domicile United States of America

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

Statutory Home Office 2 Easton Oval, Suite 225 Columbus, OH, US 43219

Main Administrative Office 180 Genesee Street New Hartford, NY, US 13413 800-598-8422

Mail Address Post Office Box 530 Utica, NY, US 135030530

Primary Location of Books and Records 180 Genesee Street New Hartford, NY, US 13413 800-598-8422

Internet Website Address www.uticanational.com

Statutory Statement Contact Sandra Jean Giehl 315-734-2192 sandy.giehl@uticanational.com 315-734-2994

OFFICERS

Chairman & CEO Richard Patrick Creedon CFO & Treasurer Brian Wade Miller Jr. President & COO Kristen Holly Martin Secretary Louisa Suzanne Ruffine

OTHER

DIRECTORS OR TRUSTEES

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

State of New York County of Oneida SS:

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

Kristen Holly Martin President & COO

Brian Wade Miller, Jr. CFO & Treasurer

Louisa Suzanne Ruffine Secretary

Subscribed and sworn to before me this day of

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

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

ASSETS

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds	16,990,875		16,990,875	18,126,254
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 (\$265,646), cash equivalents (\$0) and short-term investments (\$)	265,646		265,646	219,019
6. Contract loans (including \$ premium notes)				
7. Derivatives				
8. Other invested assets				
9. Receivables for securities	3,986,321		3,986,321	3,058,347
10. Securities lending reinvested collateral assets				
11. Aggregate write-ins for invested assets				
12. Subtotals, cash and invested assets (Lines 1 to 11)	21,242,842		21,242,842	21,403,620
13. Title plants less \$ charged off (for Title insurers only)				
14. Investment income due and accrued	115,493		115,493	113,808
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				
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	2,305,300		2,305,300	3,403,350
24. Health care (\$) and other amounts receivable				
25. Aggregate write-ins for other than invested assets	3,026		3,026	3,026
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25)	23,666,661		23,666,661	24,923,803
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts				
28. Total (Lines 26 and 27)	23,666,661		23,666,661	24,923,803
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 & Associations	3,026		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	3,026

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO
LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31, Prior Year
1. Losses (current accident year \$)		
2. Reinsurance payable on paid losses and loss adjustment expenses		
3. Loss adjustment expenses		
4. Commissions payable, contingent commissions and other similar charges	1,219,345	4,127,228
5. Other expenses (excluding taxes, licenses and fees)	4,253	4,130
6. Taxes, licenses and fees (excluding federal and foreign income taxes)	391,569	516,764
7.1 Current federal and foreign income taxes (including \$17,050 on realized capital gains (losses))	959,697	522,645
7.2 Net deferred tax liability	20,545	4,909
8. Borrowed money \$ and interest thereon \$		
9. Unearned premiums (after deducting unearned premiums for ceded reinsurance of \$56,375,349 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	435,126	822,775
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		
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)	3,030,535	5,998,452
27. Protected cell liabilities		
28. Total liabilities (Lines 26 and 27)	3,030,535	5,998,452
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)	10,406,922	8,696,147
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)	20,636,126	18,925,351
38. Totals (Page 2, Line 28, Col. 3)	23,666,661	24,923,803
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 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
UNDERWRITING INCOME			
1. Premiums earned:			
1.1 Direct (written \$ 81,079,390)	69,485,121	65,003,109	87,841,399
1.2 Assumed (written \$ 79,268)	65,340	42,492	50,461
1.3 Ceded (written \$ 81,158,658)	69,550,461	65,045,600	87,891,860
1.4 Net (written \$)			
DEDUCTIONS:			
2. Losses incurred (current accident year \$):			
2.1 Direct	25,028,334	21,641,949	28,212,146
2.2 Assumed	58,837	40,941	48,917
2.3 Ceded	25,087,171	21,682,891	28,261,063
2.4 Net			
3. Loss adjustment expenses incurred			
4. Other underwriting expenses incurred	(1,635,475)	(1,542,987)	(1,850,228)
5. Aggregate write-ins for underwriting deductions			
6. Total underwriting deductions (Lines 2 through 5)	(1,635,475)	(1,542,987)	(1,850,228)
7. Net income of protected cells			
8. Net underwriting gain or (loss) (Line 1 minus Line 6 + Line 7)	1,635,475	1,542,987	1,850,228
INVESTMENT INCOME			
9. Net investment income earned	377,893	420,863	552,107
10. Net realized capital gains (losses) less capital gains tax of \$ 17,050	133,045	88,429	88,575
11. Net investment gain (loss) (Lines 9 + 10)	510,938	509,292	640,681
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)	2,146,413	2,052,279	2,490,909
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)	2,146,413	2,052,279	2,490,909
19. Federal and foreign income taxes incurred	420,002	407,609	498,921
20. Net income (Line 18 minus Line 19)(to Line 22)	1,726,411	1,644,670	1,991,988
CAPITAL AND SURPLUS ACCOUNT			
21. Surplus as regards policyholders, December 31 prior year	18,925,351	16,934,623	16,934,623
22. Net income (from Line 20)	1,726,411	1,644,670	1,991,988
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	(15,636)	(1,025)	(1,260)
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)	1,710,775	1,643,645	1,990,728
39. Surplus as regards policyholders, as of statement date (Lines 21 plus 38)	20,636,126	18,578,268	18,925,351
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)			

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

CASH FLOW

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
Cash from Operations			
1. Premiums collected net of reinsurance			
2. Net investment income	441,355	464,967	601,301
3. Miscellaneous income			
4. Total (Lines 1 to 3)	441,355	464,967	601,301
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	1,397,605	719,390	(2,554,308)
8. Dividends paid to policyholders			
9. Federal and foreign income taxes paid (recovered) net of \$17,050 tax on capital gains (losses)			451,442
10. Total (Lines 5 through 9)	1,397,605	719,390	(2,102,866)
11. Net cash from operations (Line 4 minus Line 10)	(956,250)	(254,424)	2,704,167
Cash from Investments			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds	8,098,243	7,922,341	8,497,878
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			
12.8 Total investment proceeds (Lines 12.1 to 12.7)	8,098,243	7,922,341	8,497,878
13. Cost of investments acquired (long-term only):			
13.1 Bonds	7,805,768	5,268,552	10,805,373
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)	7,805,768	8,397,309	10,805,373
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)	292,475	(474,968)	(2,307,495)
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)	710,402	651,179	(365,306)
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6)	710,402	651,179	(365,306)
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)	46,627	(78,213)	31,366
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year	219,019	187,652	187,652
19.2 End of period (Line 18 plus Line 19.1)	265,646	109,439	219,019

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

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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 net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the state of Ohio is shown below.

	SSAP #	F/S Page	F/S Line #	2020	2019
NET INCOME					
(1) State basis (Page 4, Line 20, Columns 1 & 3)	XXX	XXX	XXX	\$ 1,726,411	\$ 1,991,988
(2) State Prescribed Practices that are an increase/ (decrease) from NAIC SAP:				0	0
(3) State Permitted Practices that are an increase/(decrease) from NAIC SAP:				0	0
(4) NAIC SAP (1-2-3=4)	XXX	XXX	XXX	<u>\$ 1,726,411</u>	<u>\$ 1,991,988</u>
SURPLUS					
(5) State basis (Page 3, Line 37, Columns 1 & 2)	XXX	XXX	XXX	\$ 20,636,126	\$ 18,925,351
(6) State Prescribed Practices that are an increase/(decrease) from NAIC SAP:				0	0
(7) State Permitted Practices that are an increase/(decrease) from NAIC SAP:				0	0
(8) NAIC SAP (5-6-7=8)	XXX	XXX	XXX	\$ 20,636,126	\$ 18,925,351

B. Use of Estimates in the Preparation of the Financial Statements

No change.

C. Accounting Policy

(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) Not change.

(6) Loan-backed securities are stated at either amortized cost, or the lower of amortized cost or fair market value if defined by the NAIC as non-investment grade (rated 3 through 6). The prospective adjustment method is used to value all loan-backed securities.

(7 - 13) No change.

D. Going Concern

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. Mortgage Loans, including Mezzanine Real Estate Loans - not applicable

B. Debt Restructuring - not applicable

C. Reverse Mortgages - not applicable

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 scenario (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) OTTI Recognized - not applicable

(3) OTTI by CUSIP - not applicable

(4)

a) The aggregate amount of unrealized losses:

1. Less than 12 Months

\$ 2,079

2. 12 Months or Longer

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

1. Less than 12 Months

\$ 994,272

2. 12 Months or Longer

(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. Dollar Repurchase Agreements and/or Securities Lending Transactions - not applicable

(3) Collateral Received - not applicable

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing - not applicable

NOTES TO FINANCIAL STATEMENTS

- G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing - not applicable
- H. Repurchase Agreements Transactions Accounted for as a Sale - not applicable
- I. Reverse Repurchase Agreements Transactions Accounted for as a Sale - not applicable
- J. Real Estate - not applicable
- K. Low Income Housing tax Credits (LIHTC) - not applicable
- L. Restricted Assets - no change
- M. Working Capital Finance Investments - not applicable
2. Aggregate Maturity Distribution on the Underlying Working Capital Finance Programs - not applicable
3. Not applicable
- N. Offsetting and Netting of Assets and Liabilities - not applicable
- O. 5GI Securities - not applicable
- P. Short Sales - not applicable
- Q. Prepayment Penalty and Acceleration Fees

	General Account	Protected Cell
1. Number of CUSIPs	1	0
2. Aggregate Amount of Investment Income	\$ 8,574	\$ -

NOTE 6 Joint Ventures, Partnerships and Limited Liability Companies
No change

NOTE 7 Investment Income
No change

NOTE 8 Derivative Instruments

- A. Derivatives under SSAP No. 86—Derivatives - not applicable
(8) Not applicable
- B. Derivatives under SSAP No. 108—Derivative Hedging Variable Annuity Guarantees - not applicable
(2) Recognition of gains/losses and deferred assets and liabilities - not applicable

NOTE 9 Income Taxes
No change

NOTE 10 Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties
No change

NOTE 11 Debt
No change

- B. FHLB (Federal Home Loan Bank) Agreements - not applicable

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

No change.

- (4) Not applicable

NOTE 13 Capital and Surplus, Shareholders' 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.

NOTE 17 Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities

- A. No change.
- B. No change.
- C. Wash Sales - 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.

NOTES TO FINANCIAL STATEMENTS

NOTE 20 Fair Value Measurements

A.

- (1) Fair Value Measurements at Reporting Date - not applicable
- b. Not applicable
- (2) Fair Value Measurements in (Level 3) of the Fair Value hierarchy - 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. Aggregate fair value for all financial instruments and the level within the fair value hierarchy in which the fair value measurements in their entirety fall.

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Not Practicable (Carrying Value)
Bonds	\$ 18,297,141	\$ 16,990,875	\$ -	\$ 18,297,141	\$ -	\$ -	\$ -

D. Not Practicable to Estimate Fair Value - not applicable

E. Not applicable

NOTE 21 Other Items

No change.

NOTE 22 Events Subsequent

No change

NOTE 23 Reinsurance

No change.

NOTE 24 Retrospectively Rated Contracts & Contracts Subject to Redetermination

No change

F. Risk Sharing Provisions of the Affordable Care Act - not applicable

(1) Did the reporting entity write accident and health insurance premium which is subject to the Affordable Care Act risk sharing provisions (YES/NO)?

Yes [] No [X]

NOTE 25 Change in Incurred Losses and Loss Adjustment Expenses

The Company does not have any loss or loss adjustment expense.

NOTE 26 Intercompany Pooling Arrangements

No change.

NOTE 27 Structured Settlements

No change.

NOTE 28 Health Care Receivables

No change.

NOTE 29 Participating Policies

No change.

NOTE 30 Premium Deficiency Reserves

No change.

NOTE 31 High Deductibles

No change.

NOTE 32 Discounting of Liabilities for Unpaid Losses or Unpaid Loss Adjustment Expenses

No change.

NOTE 33 Asbestos/Environmental Reserves

No change.

NOTE 34 Subscriber Savings Accounts

No change.

NOTE 35 Multiple Peril Crop Insurance

No change.

NOTE 36 Financial Guaranty Insurance

No change.

B. Schedule of insured financial obligations at the end of the period - not applicable

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO
GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? Yes [] No [X]
- 1.2 If yes, has the report been filed with the domiciliary state? Yes [] No []
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes [] No [X]
- 2.2 If yes, date of change:
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes [X] No []
 If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes [X] No []
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.
 The Parent Company (Utica Mutual) formed 201 Lafayette St LLC for the purpose of owning a building at that address in Utica, NY.
- 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.
- 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 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 [] N/A [X]
 If yes, attach an explanation.
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2019
- 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. 12/31/2014
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). 06/30/2016
- 6.4 By what department or departments?
 Ohio Department of Insurance
- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes [] No [] N/A [X]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [] No [] N/A [X]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [] No [X]
- 7.2 If yes, give full information:
- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? Yes [] No [X]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? Yes [] No [X]
- 8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

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

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO
GENERAL INTERROGATORIES

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

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: \$ 2,305,300

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
Prior Year-End
Book/Adjusted
Carrying Value | 2
Current Quarter
Book/Adjusted
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? Yes [] No [] N/A []
 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 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, 2020 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 [] 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 []

- 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 invested assets?..... Yes [] 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 invested assets?..... Yes [] 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 [] 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 []

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 []

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 shares were 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 reported 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 []

GENERAL INTERROGATORIES

PART 2 - PROPERTY & CASUALTY INTERROGATORIES

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

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

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

3.2 If yes, give full and complete information thereto.

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

4.2 If yes, complete the following schedule:

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

5. Operating Percentages:

5.1 A&H loss percent %

5.2 A&H cost containment percent %

5.3 A&H expense percent excluding cost containment expenses %

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

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

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

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

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

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

SCHEDULE 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	27,988	14,851		2,208	287	
8. Delaware	DE	N						
9. District of Columbia	DC	N						
10. Florida	FL	N						
11. Georgia	GA	L	5,835,874	3,043,767	945,576	370,283	2,176,673	751,195
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	L						
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	30,122	9,644	11,430		26,202	166
31. New Jersey	NJ	L						
32. New Mexico	NM	N						
33. New York	NY	L	70,691,727	70,250,606	13,595,397	13,809,375	80,803,798	72,452,720
34. North Carolina	NC	N						
35. North Dakota	ND	N						
36. Ohio	OH	L	91,347	84,665	29,065	145	15,393	11,608
37. Oklahoma	OK	N						
38. Oregon	OR	N						
39. Pennsylvania	PA	L	4,240,583	2,844,702	641,042	1,131,201	3,598,202	2,699,399
40. Rhode Island	RI	N						
41. South Carolina	SC	N						
42. South Dakota	SD	N						
43. Tennessee	TN	L	161,749	2,338	3,110		17,058	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	81,079,390	76,250,574	15,225,620	15,311,004	86,639,534	75,915,376	
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:

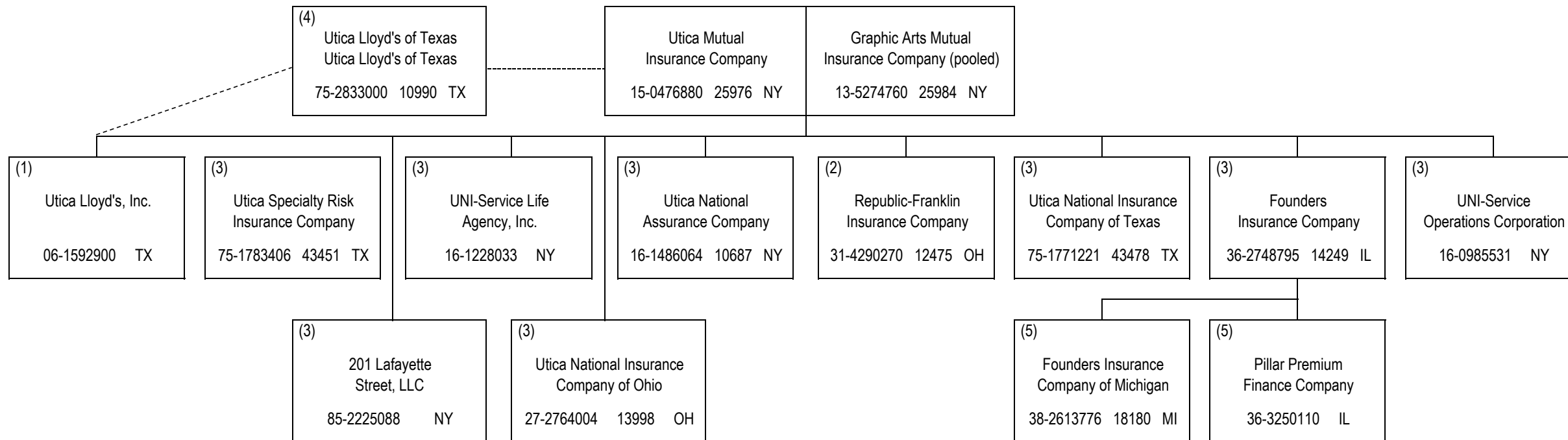
- L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG 9
- E - Eligible - Reporting entities eligible or approved to write surplus lines in the state (other than their state of domicile - see DSLI)
- D - Domestic Surplus Lines Insurer (DSLII) - Reporting entities authorized to write surplus lines in the state of domicile
- R - Registered - Non-domiciled RRGs
- Q - Qualified - Qualified or accredited reinsurer
- N - None of the above - Not allowed to write business in the state 48

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, 2020

⇒



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

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

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

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Loca-tion	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0201	Utica National Insurance Group	25796	15-0476880				Utica Mutual Insurance Company	NY	DDP		Board of Directors	0.000		N	
.0201	Utica National Insurance Group	25984	13-5274760				Graphic Arts Mutual Insurance Company	NY	IA	Utica Mutual Insurance Company	Management	0.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	12475	31-4290270				Republic-Franklin Insurance Company	OH	IA	Utica Mutual Insurance Company	Ownership	94.000	Utica Mutual Insurance Company	N	1
.0201	Utica National Insurance Group	10687	16-1486064				Utica National Assurance Company	NY	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	43478	75-1771221				Utica National Insurance Company of Texas	TX	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	13998	27-2764004				Utica National Insurance Company of Ohio	OH		Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	43451	75-1783406				Utica Specialty Risk Insurance Company	TX	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	10990	75-2833000				Utica Lloyd's of Texas	TX	IA	Utica Lloyds Inc.	Attorney-In-Fact	0.000	Utica Mutual Insurance Company	N	2
			06-1592900				Utica Lloyd's, Inc.	TX	NIA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
			16-0985531				Uni-Service Operations Corporation	NY	NIA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
.0201	Utica National Insurance Group	14249	36-2748795				Founders Insurance Company	IL	IA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	N	
.0201	Utica National Insurance Group	18180	38-2613776				Founders Insurance Company of Michigan	MI	IA	Founders Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
			36-3250110				Pillar Premium Finance Company	IL	NIA	Founders Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
			16-1228033				Uni-Service Life Agency, Inc.	NY	NIA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	
			16-1313450				Utica National Group Foundation, Inc.	NY	DTH		Other	0.000		N	3
			85-2225088				201 Lafayette Street, LLC	NY	NIA	Utica Mutual Insurance Company	Ownership	100.000	Utica Mutual Insurance Company	Y	

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

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

PART 1 - LOSS EXPERIENCE

Line of Business	Current Year to Date			4 Prior Year to Date Direct Loss Percentage
	1 Direct Premiums Earned	2 Direct Losses Incurred	3 Direct Loss Percentage	
1. Fire	10,647	10	0.1	0.1
2. Allied Lines	5,973			(7.3)
3. Farmowners multiple peril				
4. Homeowners multiple peril				
5. Commercial multiple peril	30,870,082	11,743,149	38.0	38.9
6. Mortgage guaranty				
8. Ocean marine				
9. Inland marine	197	(118)	(59.9)	(1.8)
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	17,108,497	6,897,205	40.3	28.5
17.1 Other liability - occurrence	7,096,345	1,279,937	18.0	17.6
17.2 Other liability - claims-made	179,760	42,359	23.6	0.9
17.3 Excess workers' compensation				
18.1 Products liability - occurrence	291	(56)	(19.3)	105.5
18.2 Products liability - claims-made				
19.1,19.2 Private passenger auto liability				
19.3,19.4 Commercial auto liability	11,043,658	4,102,012	37.1	37.5
21. Auto physical damage	3,169,053	963,835	30.4	30.5
22. Aircraft (all perils)				
23. Fidelity				
24. Surety				
26. Burglary and theft	618	1	0.2	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	69,485,121	25,028,334	36.0	33.3
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	11,129	11,129	22,713
2. Allied Lines	18,208	18,208	16,001
3. Farmowners multiple peril			
4. Homeowners multiple peril			
5. Commercial multiple peril	31,122,878	38,743,293	35,919,136
6. Mortgage guaranty			
8. Ocean marine			
9. Inland marine	660	660	4,062
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	3,471,520	15,751,493	18,351,714
17.1 Other liability - occurrence	4,381,721	8,217,602	7,524,056
17.2 Other liability - claims-made	122,486	237,938	157,756
17.3 Excess workers' compensation			
18.1 Products liability - occurrence			
18.2 Products liability - claims-made			
19.1,19.2 Private passenger auto liability			
19.3,19.4 Commercial auto liability	7,979,645	14,180,523	11,085,054
21. Auto physical damage	2,341,598	3,918,544	3,170,082
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	49,449,844	81,079,390	76,250,574
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, 2020 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)	2020 Loss and LAE Payments on Claims Reported as of Prior Year-End	2020 Loss and LAE Payments on Claims Unreported as of Prior Year-End	Total 2020 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. 2017 + Prior														
2. 2018														
3. Subtotals 2018 + Prior														
4. 2019														
5. Subtotals 2019 + Prior														
6. 2020	XXX	XXX	XXX	XXX			XXX				XXX	XXX	XXX	
7. Totals														
8. Prior Year-End Surplus As Regards Policyholders	18,925											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, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

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

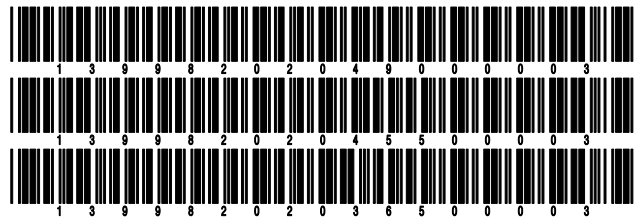
	Response
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement?	NO
2. Will Supplement A to Schedule T (Medical Professional Liability Supplement) be filed with this statement?	NO
3. Will the Medicare Part D Coverage Supplement be filed with the state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

Explanations:

- 1.
- 2.
- 3.

Bar Codes:

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



OVERFLOW PAGE FOR WRITE-INS

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE A - VERIFICATION

Real Estate

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

NONE

SCHEDULE B - VERIFICATION

Mortgage Loans

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

NONE

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

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

NONE

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year	18,126,255	18,806,329
2. Cost of bonds and stocks acquired	6,877,794	7,746,927
3. Accrual of discount	8,643	12,336
4. Unrealized valuation increase (decrease)		
5. Total gain (loss) on disposals	150,095	112,495
6. Deduct consideration for bonds and stocks disposed of	8,106,817	8,503,102
7. Deduct amortization of premium	73,668	53,953
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	8,574	5,224
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10)	16,990,877	18,126,255
12. Deduct total nonadmitted amounts		
13. Statement value at end of current period (Line 11 minus Line 12)	16,990,877	18,126,255

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE D - PART 1B

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

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
BONDS								
1. NAIC 1 (a)	15,344,899	1,055,079	1,633,028	(15,823)	19,257,189	15,344,899	14,751,129	15,867,826
2. NAIC 2 (a)	2,489,813		249,986	(81)	2,516,456	2,489,813	2,239,747	2,258,428
3. NAIC 3 (a)	63,844		74,615	10,771		63,844		
4. NAIC 4 (a)								
5. NAIC 5 (a)								
6. NAIC 6 (a)								
7. Total Bonds	17,898,557	1,055,079	1,957,629	(5,132)	21,773,645	17,898,557	16,990,875	18,126,254
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	17,898,557	1,055,079	1,957,629	(5,132)	21,773,645	17,898,557	16,990,875	18,126,254

(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 \$

S102

SCHEDULE DA - PART 1

Short-Term Investments

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

NONE

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)		

NONE

SCHEDULE DB - PART A - VERIFICATION

Options, Caps, Floors, Collars, Swaps and Forwards

1.	Book/Adjusted Carrying Value, December 31, prior year (Line 10, prior year)
2.	Cost Paid/(Consideration Received) on additions
3.	Unrealized Valuation increase/(decrease)
4.	SSAP No. 108 adjustments
5.	Total gain (loss) on termination recognized
6.	Considerations received/(paid) on terminations
7.	Amortization
8.	Adjustment to the Book/Adjusted Carrying Value of hedged item
9.	Total foreign exchange change in Book/Adjusted Carrying Value
10.	Book/Adjusted Carrying Value at End of Current Period (Lines 1+2+3+4+5-6+7+8+9)
11.	Deduct nonadmitted assets
12.	Statement value at end of current period (Line 10 minus Line 11)

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
3.25	SSAP No. 108 adjustments
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
4.23	SSAP No. 108 adjustments
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

Replication (Synthetic Asset) Transactions Open as of Current Statement Date

Replication (Synthetic Asset) Transactions								Components of the Replication (Synthetic Asset) Transactions								
1 Number	2 Description	3 NAIC Designation or Other Description	4 Notional Amount	5 Book/Adjusted Carrying Value	6 Fair Value	7 Effective Date	8 Maturity Date	Derivative Instrument(s) Open			Cash Instrument(s) Held					
								9 Description	10 Book/Adjusted Carrying Value	11 Fair Value	12 CUSIP	13 Description	14 NAIC Designation or Other Description	15 Book/Adjusted Carrying Value	16 Fair Value	
NONE																
999999999 - Totals								XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX

STATEMENT AS OF SEPTEMBER 30, 2020 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										

NONE

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).....

NONE

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).....

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	0
2. Cost of cash equivalents acquired	638	1,276
3. Accrual of discount		
4. Unrealized valuation increase (decrease)		
5. Total gain (loss) on disposals		
6. Deduct consideration received on disposals	638	1,275
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	0
11. Deduct total nonadmitted amounts		
12. Statement value at end of current period (Line 10 minus Line 11)	0	0

STATEMENT AS OF SEPTEMBER 30, 2020 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 Description of Property	Location		4 Date Acquired	5 Name of Vendor	6 Actual Cost at Time of Acquisition	7 Amount of Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances	9 Additional Investment Made After Acquisition
	2 City	3 State						
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 Description of Property	Location		4 Disposal Date	5 Name of Purchaser	6 Actual Cost	7 Expended for Additions, Permanent Improvements and Changes in Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances Prior Year	Change in Book/Adjusted Carrying Value Less Encumbrances					14 Book/Adjusted Carrying Value Less Encumbrances on Disposal	15 Amounts Received During Year	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal	19 Gross Income Earned Less Interest Incurred on Encumbrances	20 Taxes, Repairs and Expenses Incurred
	2 City	3 State						9 Current Year's Depreciation	10 Current Year's Other-Than-Temporary Impairment Recognized	11 Current Year's Change in Encumbrances	12 Total Change in Book/Adjusted Carrying Value (11-9-10)	13 Total Foreign Exchange Change in Book/Adjusted Carrying Value							
NONE																			
0399999 - Totals																			

E01

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE B - PART 2

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

1 Loan Number	2 Location		4 Loan Type	5 Date Acquired	6 Rate of Interest	7 Actual Cost at Time of Acquisition	8 Additional Investment Made After Acquisition	9 Value of Land and Buildings
	2 City	3 State						
NONE								
3399999 - Totals								

SCHEDULE B - PART 3

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

1 Loan Number	2 Location		4 Loan Type	5 Date Acquired	6 Disposal Date	7 Book Value/Recorded Investment Excluding Accrued Interest Prior Year	8 Change in Book Value/Recorded Investment						14 Book Value/Recorded Investment Excluding Accrued Interest on Disposal	15 Consideration	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal
	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other-Than-Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)	13 Total Foreign Exchange Change in Book Value					
NONE																	
0599999 - Totals																	

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 Symbo	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									
NONE												
5099999 - Totals												XXX

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 Tempor- ary Impair- ment Recogn- ized	12 Capital- ized Deferred Interest and Other	13 Total Change in Book/ Adjusted Carrying Value (9+10- 11+12)	14 Total Foreign Exchange Change in Book/ Adjusted Carrying Value						
NONE																			
5099999 - Totals																			

STATEMENT AS OF SEPTEMBER 30, 2020 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
3140Y6-UB-5	FN FM3277 - RIBS		07/24/2020	CREDIT SUISSE SECURITIES (USA)		528,322	500,186	1,313	1
3140X7-YP-8	FN FM4317 - RIBS		09/17/2020	WELLS FARGO SECURITIES LLC		526,758	500,000	833	1
3199999	Subtotal - Bonds - U.S. Special Revenues					1,055,079	1,000,186	2,146	XXX
8399997	Total - Bonds - Part 3					1,055,079	1,000,186	2,146	XXX
8399998	Total - Bonds - Part 5					XXX	XXX	XXX	XXX
8399999	Total - Bonds					1,055,079	1,000,186	2,146	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					1,055,079	XXX	2,146	XXX

E04

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
36202F-N7-8	G2 004882 - RMBS		09/01/2020	Paydown		6,165	6,165	6,307	6,296		(132)		(132)		6,165				160	12/20/2040	1
36202F-PF-7	G2 004922 - RMBS		09/01/2020	Paydown		5,860	5,860	6,010	5,999		(139)		(139)		5,860				152	01/20/2041	1
36202F-TL-0	G2 005055 - RMBS		09/01/2020	Paydown		7,149	7,149	7,574	7,560		(411)		(411)		7,149		0	0	208	05/20/2041	1
36202F-UE-4	G2 005081 - RMBS		09/01/2020	Paydown		4,159	4,159	4,277	4,273		(114)		(114)		4,159				108	06/20/2041	1
36202F-LF-1	G2 005082 - RMBS		09/01/2020	Paydown		4,184	4,184	4,420	4,414		(229)		(229)		4,184				122	06/20/2041	1
36202F-V5-9	G2 005232 - RMBS		09/01/2020	Paydown		18,067	18,067	18,713	18,652		(585)		(585)		18,067		0	0	415	11/20/2041	1
36241L-S3-1	GN 783238 - RMBS		09/01/2020	Paydown		6,504	6,504	6,703	6,696		(192)		(192)		6,504		0	0	167	01/15/2041	1
912828-F9-6	UNITED STATES TREASURY		08/10/2020	JP MORGAN SECURITIES LLC		102,289	100,000	99,754	99,906		31		31		99,937		2,352	2,352	1,560	10/31/2021	1
912828-N4-8	UNITED STATES TREASURY		07/30/2020	JP MORGAN SECURITIES LLC		100,699	100,000	99,320	99,827		100		100		99,928		772	772	1,022	12/31/2020	1
912828-VV-9	UNITED STATES TREASURY		08/31/2020	Maturity @ 100.00		60,000	60,000	61,082	60,196		(196)		(196)		60,000				1,275	08/31/2020	1
912828-Z8-6	UNITED STATES TREASURY		07/30/2020	JP MORGAN SECURITIES LLC		128,965	125,000	127,051			(283)		(283)		126,768		2,197	2,197	789	02/15/2023	1
912828-Z9-4	UNITED STATES TREASURY		07/30/2020	Citigroup (SSB)		272,744	250,000	253,730			(150)		(150)		253,580		19,164	19,164	1,720	02/15/2030	1
0599999	Subtotal - Bonds - U.S. Governments					716,786	687,088	694,942	313,819		(2,300)		(2,300)		692,301		24,485	24,485	7,700	XXX	XXX
3128M9-2M-3	FH G07680 - RMBS		09/01/2020	Paydown		1,225	1,225	1,293	1,287		(62)		(62)		1,225		0	0	33	04/01/2044	1
3128MJ-V2-3	FH G08632 - RMBS		09/01/2020	Paydown		4,184	4,184	4,371	4,365		(180)		(180)		4,184				97	03/01/2045	1
3128MJ-XY-3	FH G08693 - RMBS		09/01/2020	Paydown		8,129	8,129	8,379	8,373		(244)		(244)		8,129		0	0	188	03/01/2046	1
3128MJ-Z9-4	FH G08767 - RMBS		09/01/2020	Paydown		7,038	7,038	7,435	7,401		(363)		(363)		7,038				186	06/01/2047	1
3128MJ-ZF-0	FH G08741 - RMBS		09/01/2020	Paydown		7,782	7,782	7,660	7,672		110		110		7,782				157	01/01/2047	1
3128MJ-ZH-6	FH G08743 - RMBS		09/01/2020	Paydown		4,176	4,176	4,396	4,383		(207)		(207)		4,176				110	01/01/2047	1
3128MJ-ZP-8	FH G08749 - RMBS		09/01/2020	Paydown		4,801	4,801	5,039	5,026		(225)		(225)		4,801				128	02/01/2047	1
3128MI-WS-8	FH G18656 - RMBS		09/01/2020	Paydown		3,498	3,498	3,581	3,571		(74)		(74)		3,498		0	0	81	08/01/2032	1
31307N-E3-4	FH J31954 - RMBS		09/01/2020	Paydown		2,059	2,059	2,162	2,142		(82)		(82)		2,059				51	12/01/2028	1
3132AD-PF-9	FH Z11322 - RMBS		09/01/2020	Paydown		23,792	23,792	25,476	25,489		(1,698)		(1,698)		23,792		0	0	782	11/01/2048	1
3132DV-4H-5	FH S08024 - RMBS		09/01/2020	Paydown		31,117	31,117	31,621	31,613		(496)		(496)		31,117				626	11/01/2049	1
3132DV-4P-7	FH S08030 - RMBS		09/01/2020	Paydown		65,314	65,314	66,250	66,234		(921)		(921)		65,314		0	0	1,315	12/01/2049	1
3132GD-RW-4	FH 000501 - RMBS		09/01/2020	Paydown		3,202	3,202	3,320	3,294		(92)		(92)		3,202				107	05/01/2041	1
3132GK-SA-0	FH 004741 - RMBS		09/01/2020	Paydown		828	828	885	884		(56)		(56)		828				23	11/01/2044	1
3132M9-2R-4	FH 029184 - RMBS		09/01/2020	Paydown		3,217	3,217	3,437	3,439		(222)		(222)		3,217		0	0	85	10/01/2044	1
3132XU-SK-2	FH 052321 - RMBS		09/01/2020	Paydown		6,103	6,103	6,399	6,369		(266)		(266)		6,103				184	11/01/2047	1
31335A-S7-4	FH G60542 - RMBS		09/01/2020	Paydown		1,817	1,817	1,943	1,940		(123)		(123)		1,817				48	09/01/2045	1
31339S-BB-0	FH 0A2734 - RMBS		09/01/2020	Paydown		30,529	30,529	30,870	30,867		(338)		(338)		30,529		0	0	613	09/01/2049	1
3137FJ-JV-2	FHMS K-083 A1 - CMBS		09/01/2020	Paydown		81	81	83	82		(1)		(1)		81		0	0	2	07/25/2028	1
3138E7-TV-6	FN AK3263 - RMBS		09/01/2020	Paydown		3,935	3,935	4,061	4,026		(90)		(90)		3,935				78	02/01/2027	1
3138EJ-3Y-2	FN AL2614 - RMBS		09/01/2020	Paydown		2,784	2,784	2,922	2,929		(145)		(145)		2,784				64	11/01/2042	1
3138EQ-7L-0	FN AL8098 - RMBS		09/01/2020	Paydown		4,669	4,669	5,009	4,990		(321)		(321)		4,669				125	06/01/2043	1
3138M0-AK-6	FN A08109 - RMBS		09/01/2020	Paydown		7,666	7,666	7,960	7,954		(288)		(288)		7,666		0	0	185	08/01/2042	1
3138M5-EA-3	FN AP1928 - RMBS		09/01/2020	Paydown		4,794	4,794	5,107	5,086		(293)		(293)		4,794				129	08/01/2042	1
3138M5-LP-2	FN AP2133 - RMBS		09/01/2020	Paydown		3,314	3,314	3,438	3,423		(108)		(108)		3,314				78	08/01/2042	1
3138M-XL-5	FN AP7882 - RMBS		09/01/2020	Paydown		3,544	3,544	3,645	3,635		(91)		(91)		3,544				82	10/01/2042	1
3138M6-SU-1	FN AR8630 - RMBS		09/01/2020	Paydown		1,989	1,989	2,026	2,027		(38)		(38)		1,989				41	04/01/2043	1
3138M9-BF-6	FN AS0037 - RMBS		09/01/2020	Paydown		3,938	3,938	4,135	4,127		(189)		(189)		3,938		0	0	91	07/01/2043	1
3138M9-AR-6	FN AS1815 - RMBS		09/01/2020	Paydown		2,285	2,285	2,380	2,363		(78)		(78)		2,285				59	02/01/2044	1
3138M9-LK-9	FN AS2385 - RMBS		09/01/2020	Paydown		1,778	1,778	1,877	1,862		(84)		(84)		1,778				49	05/01/2044	1
3138M9-NE-8	FN AS3956 - RMBS		09/01/2020	Paydown		4,582	4,582	4,906	4,904		(322)		(322)		4,582		0	0	123	12/01/2044	1
3138M9-6G-9	FN AS5370 - RMBS		09/01/2020	Paydown		5,403	5,403	5,626	5,605		(202)		(202)		5,403				125	07/01/2045	1
3138M9-KB-4	FN AS4789 - RMBS		09/01/2020	Paydown		6,090	6,090	6,335	6,316		(226)		(226)		6,090				123	04/01/2045	1
3138M9-KG-3	FN AS4794 - RMBS		09/01/2020	Paydown		1,763	1,763	1,839	1,830		(67)		(67)		1,763				40	04/01/2045	1
3138M9-NN-2	FN AS5796 - RMBS		09/01/2020	Paydown		3,568	3,568	3,724	3,696		(129)		(129)		3,568		0	0	72	09/01/2030	1
3138M9-BA-1	FN AS6332 - RMBS		09/01/2020	Paydown		7,911	7,911	8,325	8,297		(387)		(387)		7,911				181	12/01/2045	1
3138M9-BW-3	FN AS6352 - RMBS		09/01/2020	Paydown		5,808	5,808	6,079	6,070		(262)		(262)		5,808		0	0	149	12/01/2045	1
3138M9-DN-1	FN AS6408 - RMBS		09/01/2020	Paydown		4,766	4,766	4,987	4,972		(206)		(206)		4,766				111	01/01/2046	1
3138M9-H3-5	FN AS8349 - RMBS		09/01/2020	Paydown		2,190	2,190	2,252	2,241		(51)		(51)		2,190		0	0	45	11/01/2036	1
3138M9-K5-6	FN AS8415 - RMBS		09/01/2020	Paydown		7,126	7,126	7,092	7,094		33		33		7,126				144	11/01/2046	1
3138M9-4X-0	FN AS9837 - RMBS		09/01/2020	Paydown		4,730	4,730	4,725	4,724		6		6		4,730		0	0	93	06/01/2032	1

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
										11	12	13	14	15								
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol	
3138W-C2-7	FN AS9988 - RMBS		09/01/2020	Paydown		7,845	7,845	8,221	8,203		(357)		(357)		7,845		.0	.0	.230	07/01/2047	1	
3138W-X5-5	FN A17899 - RMBS		09/01/2020	Paydown		4,166	4,166	4,369	4,364		(198)		(198)		4,166		.0	.0	.96	07/01/2043	1	
3138X4-V9-8	FN AU5139 - RMBS		09/01/2020	Paydown		4,812	4,812	5,015	5,020		(209)		(209)		4,812		.0	.0	.113	08/01/2043	1	
3138Y6-3S-1	FN AX5308 - RMBS		09/01/2020	Paydown		4,002	4,002	4,198	4,190		(188)		(188)		4,002		.0	.0	.97	01/01/2042	1	
3140EV-T7-2	FN BC1473 - RMBS		09/01/2020	Paydown		4,377	4,377	4,371	4,371		.6		.6		4,377		.0	.0	.72	07/01/2031	1	
3140FM-DF-0	FN BE1901 - RMBS		09/01/2020	Paydown		5,129	5,129	5,132	5,130		(1)		(1)		5,129		.0	.0	.106	12/01/2046	1	
3140J5-LM-9	FN BM1231 - RMBS		09/01/2020	Paydown		3,897	3,897	4,042	4,017		(119)		(119)		3,897		.0	.0	.91	11/01/2031	1	
3140J6-HC-0	FN BM3826 - RMBS		09/01/2020	Paydown		7,303	7,303	7,534	7,537		(234)		(234)		7,303		.0	.0	.222	04/01/2048	1	
3140O7-LE-5	FN CA0324 - RMBS		09/01/2020	Paydown		4,575	4,575	4,800	4,802		(227)		(227)		4,575		.0	.0	.136	09/01/2047	1	
3140O8-M9-3	FN CA1283 - RMBS		09/01/2020	Paydown		1,436	1,436	1,462	1,456		(21)		(21)		1,436		.0	.0	.33	02/01/2033	1	
3140U6-LB-5	FN FM3277 - RMBS		09/01/2020	Paydown		57,791	57,791	61,042	61,042		(3,251)		(3,251)		57,791		.0	.0	.254	05/01/2048	1	
31417B-7A-9	FN AB5388 - RMBS		09/01/2020	Paydown		3,822	3,822	4,090	4,085		(263)		(263)		3,822		.0	.0	.98	06/01/2042	1	
31417C-S3-0	FN AB5937 - RMBS		09/01/2020	Paydown		2,792	2,792	2,940	2,921		(130)		(130)		2,792		.0	.0	.65	08/01/2042	1	
31417D-TR-4	FN AB6859 - RMBS		09/01/2020	Paydown		2,376	2,376	2,470	2,465		(89)		(89)		2,376		.0	.0	.56	11/01/2042	1	
31417G-5A-0	FN AB9840 - RMBS		09/01/2020	Paydown		6,219	6,219	6,528	6,503		(283)		(283)		6,219		.0	.0	.149	07/01/2043	1	
31418C-E6-7	FN MA2856 - RMBS		09/01/2020	Paydown		1,558	1,558	1,661	1,648		(90)		(90)		1,558		.0	.0	.40	12/01/2036	1	
31418C-FG-4	FN MA2866 - RMBS		09/01/2020	Paydown		6,501	6,501	6,547	6,537		(36)		(36)		6,501		.0	.0	.131	01/01/2037	1	
31418C-ND-2	FN MA3087 - RMBS		09/01/2020	Paydown		11,706	11,706	12,014	11,981		(275)		(275)		11,706		.0	.0	.271	08/01/2047	1	
31418C-QB-3	FN MA3149 - RMBS		09/01/2020	Paydown		7,964	7,964	8,269	8,253		(289)		(289)		7,964		.0	.0	.211	10/01/2047	1	
31418D-BF-8	FN MA3637 - RMBS		09/01/2020	Paydown		19,288	19,288	19,805	19,863		(575)		(575)		19,288		.0	.0	.445	04/01/2049	1	
31418D-KJ-0	FN MA3896 - RMBS		09/01/2020	Paydown		25,346	25,346	25,621	25,621		(275)		(275)		25,346		.0	.0	.369	01/01/2035	1	
3199999	Subtotal - Bonds - U.S. Special Revenues					496,430	496,430	513,180	425,947		(16,181)		(16,181)		496,430		0	0	10,288	XXX	XXX	
02665W-AZ-4	AMERICAN HONDA FINANCE CORP		07/30/2020	JP MORGAN SECURITIES LLC		100,292	100,000	100,650	100,129		(104)		(104)		100,025		.267	.267	2,103	09/24/2020	1FE	
037735-CR-6	APPALACHIAN POWER CO		07/30/2020	MERRILL LYNCH PIERCE FENNER & SMITH INC		50,984	50,000	49,861	49,980		.9		.9		49,990		.994	.994	1,936	03/30/2021	1FE	
20030N-BR-1	COMCAST CORP		09/10/2020	Call @ 100.00		158,574	150,000	148,365	148,948		221		221		149,169		.831	.831	12,802	03/01/2023	1FE	
343412-AC-6	FLUOR CORP		08/10/2020	MORGAN STANLEY CO		61,688	75,000	74,189	74,566		50		50		74,615		(12,928)	(12,928)	1,728	12/15/2024	3FE	
36252A-AA-4	GSMS 2015-GS1 A1 - CMBS		09/01/2020	Paydown		5,202	5,202	5,202	5,200		2		2		5,202		.0	.0	.67	11/13/2048	1FM	
36962G-4R-2	GENERAL ELECTRIC CO		07/30/2020	JP MORGAN SECURITIES LLC		150,686	150,000	149,277	149,938		.52		.52		149,989		.696	.696	5,779	09/16/2020	2FE	
418056-AT-4	HASBRO INC		07/29/2020	MORGAN STANLEY CO		20,303	20,000	19,981	19,996		.2		.2		19,998		.305	.305	.448	05/15/2021	2FE	
713448-BR-8	PEPSICO INC		07/30/2020	PERSHING DIV OF DLJ SEC		40,280	40,000	37,276	39,720		197		197		39,917		.363	.363	.944	11/01/2020	1FE	
855244-AL-3	STARBUCKS CORP		07/30/2020	MORGAN STANLEY CO		80,506	80,000	79,986	79,996		3		3		79,999		.507	.507	1,227	11/22/2020	2FE	
961214-CS-0	WESTPAC BANKING CORP	C	07/30/2020	TORONTO DOMINION SECS USA INC		100,725	100,000	99,925	99,986		.9		.9		99,995		.730	.730	1,791	11/23/2020	1FE	
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					769,238	770,202	764,712	768,458		440		440		768,898		(8,234)	(8,234)	28,825	XXX	XXX	
8399997	Total - Bonds - Part 4					1,982,453	1,953,719	1,972,834	1,508,225		(18,041)		(18,041)		1,957,629		16,251	16,251	46,813	XXX	XXX	
8399998	Total - Bonds - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8399999	Total - Bonds					1,982,453	1,953,719	1,972,834	1,508,225		(18,041)		(18,041)		1,957,629		16,251	16,251	46,813	XXX	XXX	
8999997	Total - Preferred Stocks - Part 4					XXX	XXX	XXX	XXX											XXX	XXX	
8999998	Total - Preferred Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8999999	Total - Preferred Stocks					XXX	XXX	XXX	XXX											XXX	XXX	
9799997	Total - Common Stocks - Part 4					XXX	XXX	XXX	XXX											XXX	XXX	
9799998	Total - Common Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999	Total - Common Stocks					XXX	XXX	XXX	XXX											XXX	XXX	
9899999	Total - Preferred and Common Stocks					XXX	XXX	XXX	XXX											XXX	XXX	
9999999	Totals					1,982,453	1,953,719	1,972,834	1,508,225		(18,041)		(18,041)		1,957,629		16,251	16,251	46,813	XXX	XXX	

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE DB - PART B - SECTION 1

Futures Contracts Open as of the Current Statement Date

1 Ticker Symbol	2 Number of Contracts	3 Notional Amount	4 Description	5 Description of Item(s) Hedged, Used for Income Generation or Replicated	6 Schedule/ Exhibit Identifier	7 Type(s) of Risk(s) (a)	8 Date of Maturity or Expiration	9 Exchange	10 Trade Date	11 Transaction Price	12 Reporting Date Price	13 Fair Value	14 Book/ Adjusted Carrying Value	Highly Effective Hedges			18 Cumulative Variation Margin for All Other Hedges	19 Change in Variation Margin Gain (Loss) Recognized in Current Year	20 Potential Exposure	21 Hedge Effectiveness at Inception and at Quarter-end (b)	22 Value of One (1) Point																				
														15 Cumulative Variation Margin	16 Deferred Variation Margin	17 Change in Variation Margin Gain (Loss) Used to Adjust Basis of Hedged Item																									
NONE																																									
1759999999 - Totals																																								XXX	XXX

Broker Name	Beginning Cash Balance	Cumulative Cash Change	Ending Cash Balance
NONE			
Total Net Cash Deposits			

- (a)

Code	Description of Hedged Risks
- (b)

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

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE DB - PART D - SECTION 1

Counterparty Exposure for Derivative Instruments Open as of Current Statement Date

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								
NONE											
0999999999 - Gross Totals											
1. Offset per SSAP No. 64											
2. Net after right of offset per SSAP No. 64											

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

SCHEDULE DB - PART D - SECTION 2

Collateral for Derivative Instruments Open as of Current Statement Date

Collateral Pledged by Reporting Entity

1 Exchange, Counterparty or Central Clearinghouse	2 Type of Asset Pledged	3 CUSIP Identification	4 Description	5 Fair Value	6 Par Value	7 Book/Adjusted Carrying Value	8 Maturity Date	9 Type of Margin (I, V or IV)
NONE								
0199999999 - Total							XXX	XXX

Collateral Pledged to Reporting Entity

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

SCHEDULE DB - PART E

Derivatives Hedging Variable Annuity Guarantees as of Current Statement Date
 This schedule is specific for the derivatives and the hedging programs captured in SSAP No. 108

CDHS		Hedged Item								Hedging Instruments								
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
Identifier	Description	Prior Fair Value in Full Contract Cash Flows Attributed to Interest Rates	Ending Fair Value in Full Contract Cash Flows Attributed to Interest Rates	Fair Value Gain (Loss) in Full Contract Cash Flows Attributed to Interest Rates (4-3)	Fair Value Gain (Loss) in Hedged Item Attributed to Hedged Risk	Current Year Increase (Decrease) in VM-21 Liability	Current Year Increase (Decrease) in VM-21 Liability Attributed to Interest Rates	Change in the Hedged Item Attributed to Hedged Risk Percentage (6/5)	Current Year Increase (Decrease) in VM-21 Liability Attributed to Hedged Risk (8*9)	Prior Deferred Balance	Current Year Fair Value Fluctuation of the Hedge Instruments	Current Year Natural Offset to VM-21 Liability	Hedging Instruments' Current Fair Value Fluctuation Not Attributed to Hedged Risk	Hedge Gain (Loss) in Current Year Deferred Adjustment [12-(13+14)]	Current Year Prescribed Deferred Amortization	Current Year Additional Deferred Amortization	Current Year Total Deferred Amortization (16+17)	Ending Deferred Balance (11+15+18)
NONE																		
Total								XXX										

**SCHEDULE DL - PART 1
SECURITIES LENDING COLLATERAL ASSETS**

Reinvested Collateral Assets Owned Current Statement Date

(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 CUSIP Identification	2 Description	3 Code	4 NAIC Designation and Administrative Symbol	5 Fair Value	6 Book/Adjusted Carrying Value	7 Maturity Date
NONE						
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 DL - PART 2
SECURITIES LENDING COLLATERAL ASSETS**

Reinvested Collateral Assets Owned Current Statement Date

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

1	2	3	4	5	6	7
CUSIP Identification	Description	Code	NAIC Designation and Administrative Symbol	Fair Value	Book/Adjusted Carrying Value	Maturity Date
NONE						
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 \$ |



SUPPLEMENT FOR THE QUARTER ENDING SEPTEMBER 30, 2020 OF THE UTICA NATIONAL INSURANCE COMPANY OF OHIO

DIRECTOR AND OFFICER INSURANCE COVERAGE SUPPLEMENT

Year To Date For The Period Ended SEPTEMBER 30, 2020

NAIC Group Code 0201

NAIC Company Code 13998

Company Name UTICA NATIONAL INSURANCE COMPANY OF OHIO

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

1. Monoline Policies

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

2. Commercial Multiple Peril (CMP) Packaged Policies

- 2.1 Does the reporting entity provide D&O liability coverage as part of a CMP packaged policy? Yes [X] No []
- 2.2 Can the direct premium earned for D&O liability coverage provided as part of a CMP packaged policy be quantified or estimated? Yes [X] No []
- 2.3 If the answer to question 2.2 is yes, provide the quantified or estimated direct premium earned amount for D&O liability coverage in CMP packaged policies
- 2.31 Amount quantified:.....\$126,815
- 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.\$