



PROPERTY AND CASUALTY COMPANIES - ASSOCIATION EDITION

QUARTERLY STATEMENT
AS OF SEPTEMBER 30, 2020
OF THE CONDITION AND AFFAIRS OF THE
Dealers Assurance Company

NAIC Group Code 0315 0000 NAIC Company Code 16705 Employer's ID Number 34-6513705
(Current) (Prior)

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

Country of Domicile United States of America

Incorporated/Organized 08/02/1935 Commenced Business 08/02/1935

Statutory Home Office 41 South High Street Suite 1700 Columbus, OH, US 43215
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 15920 Addison Road Addison, TX, US 75001
(Street and Number) (City or Town, State, Country and Zip Code)
800-282-8913 (Area Code) (Telephone Number)

Mail Address 15920 Addison Road Addison, TX, US 75001
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 15920 Addison Road Addison, TX, US 75001
(Street and Number) (City or Town, State, Country and Zip Code)
800-282-8913 (Area Code) (Telephone Number)

Internet Website Address www.dealersassurance.com

Statutory Statement Contact Steven C. Barrett 800-282-8913
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OFFICERS

President Kristen Anne Gruber Treasurer Linda Marie Toy
Secretary Joshua Robert Pedelty Assistant Secretary Lisa Aileen Kirk

OTHER

Michael Lee Stickney, Managing Director Kirk Alan Borchartd, Executive Vice President Linda Marie Toy, Vice President
Joshua Robert Pedelty, Vice President

DIRECTORS OR TRUSTEES

Warren Van Genderen Michael Lee Stickney Douglas Alexander Carrothers
Denis Yves Ricard Marilyn Rose Froelich Douglas Curtis Oksendahl
Shelby Land Peavy Normand Pepin Yvon Charest

State of Texas SS:
County of Dallas

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 Anne Gruber
President

Joshua Robert Pedelty
Secretary

Linda Marie Toy
Treasurer

Subscribed and sworn to before me this
day of

- a. Is this an original filing? Yes [ ] 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 Dealers Assurance Company

**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 .....	139,284,160		139,284,160	128,678,919
2. Stocks:				
2.1 Preferred stocks .....			0	0
2.2 Common stocks .....	6,827,902		6,827,902	2,989,190
3. Mortgage loans on real estate:				
3.1 First liens .....	200,170		200,170	214,442
3.2 Other than first liens.....			0	0
4. Real estate:				
4.1 Properties occupied by the company (less \$ encumbrances) .....	3,787,351		3,787,351	3,796,984
4.2 Properties held for the production of income (less \$ ..... encumbrances) .....			0	0
4.3 Properties held for sale (less \$ encumbrances) .....			0	0
5. Cash (\$ .....7,098,994 ), cash equivalents (\$ .....4,827,884 ) and short-term investments (\$ ..... ) .....	11,926,878		11,926,878	6,857,405
6. Contract loans (including \$ ..... premium notes) .....			0	0
7. Derivatives .....			0	0
8. Other invested assets .....			0	0
9. Receivables for securities .....			0	0
10. Securities lending reinvested collateral assets .....			0	0
11. Aggregate write-ins for invested assets .....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	162,026,461	0	162,026,461	142,536,940
13. Title plants less \$ ..... charged off (for Title insurers only) .....			0	0
14. Investment income due and accrued .....	954,128		954,128	853,464
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	3,573,040		3,573,040	2,690,445
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ ..... earned but unbilled premiums) .....	244,755		244,755	0
15.3 Accrued retrospective premiums (\$ ..... ) and contracts subject to redetermination (\$ ..... ) .....			0	0
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....			0	0
16.2 Funds held by or deposited with reinsured companies .....			0	0
16.3 Other amounts receivable under reinsurance contracts .....			0	0
17. Amounts receivable relating to uninsured plans .....			0	0
18.1 Current federal and foreign income tax recoverable and interest thereon .....			0	0
18.2 Net deferred tax asset .....	1,151,806	617,651	534,155	318,428
19. Guaranty funds receivable or on deposit .....			0	0
20. Electronic data processing equipment and software .....			0	0
21. Furniture and equipment, including health care delivery assets (\$ ..... ) .....			0	0
22. Net adjustment in assets and liabilities due to foreign exchange rates .....			0	0
23. Receivables from parent, subsidiaries and affiliates .....	12,348		12,348	664,958
24. Health care (\$ ..... ) and other amounts receivable .....			0	0
25. Aggregate write-ins for other than invested assets .....	764,944	0	764,944	791,387
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	168,727,482	617,651	168,109,831	147,855,622
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			0	0
28. Total (Lines 26 and 27)	168,727,482	617,651	168,109,831	147,855,622
<b>DETAILS OF WRITE-INS</b>				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)	0	0	0	0
2501. Accounts Receivable .....	764,944		764,944	791,363
2502. Interest Receivable .....			0	24
2503. ....				
2598. Summary of remaining write-ins for Line 25 from overflow page .....	0	0	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	764,944	0	764,944	791,387

## STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**LIABILITIES, SURPLUS AND OTHER FUNDS**

	1 Current Statement Date	2 December 31, Prior Year
1. Losses (current accident year \$ ..... 276,578 ) .....	276,578	276,578
2. Reinsurance payable on paid losses and loss adjustment expenses .....		0
3. Loss adjustment expenses .....		
4. Commissions payable, contingent commissions and other similar charges .....	210,711	432,936
5. Other expenses (excluding taxes, licenses and fees) .....	1,107,591	1,470,515
6. Taxes, licenses and fees (excluding federal and foreign income taxes) .....	466,116	582,685
7.1 Current federal and foreign income taxes (including \$ ..... on realized capital gains (losses)) .....	10,124	512,001
7.2 Net deferred tax liability .....		
8. Borrowed money \$ ..... and interest thereon \$ .....		18,992
9. Unearned premiums (after deducting unearned premiums for ceded reinsurance of \$ ..... 300,430,367 and including warranty reserves of \$ ..... 24,695,232 and accrued accident and health experience rating refunds including \$ ..... 0 for medical loss ratio rebate per the Public Health Service Act) .....	36,764,970	33,458,393
10. Advance premium .....		
11. Dividends declared and unpaid:		
11.1 Stockholders .....		
11.2 Policyholders .....		
12. Ceded reinsurance premiums payable (net of ceding commissions) .....	2,199,046	1,370,565
13. Funds held by company under reinsurance treaties .....	26,261,621	19,249,425
14. Amounts withheld or retained by company for account of others .....	5,327,531	6,428,238
15. Remittances and items not allocated .....	3,080,243	1,673,436
16. Provision for reinsurance (including \$ ..... certified) .....		0
17. Net adjustments in assets and liabilities due to foreign exchange rates .....		
18. Drafts outstanding .....		
19. Payable to parent, subsidiaries and affiliates .....	201,252	179,355
20. Derivatives .....	0	0
21. Payable for securities .....	1,699,490	
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 .....	0	0
26. Total liabilities excluding protected cell liabilities (Lines 1 through 25) .....	77,605,273	65,653,119
27. Protected cell liabilities .....		
28. Total liabilities (Lines 26 and 27) .....	77,605,273	65,653,119
29. Aggregate write-ins for special surplus funds .....	0	0
30. Common capital stock .....	4,200,990	4,200,990
31. Preferred capital stock .....		
32. Aggregate write-ins for other than special surplus funds .....	0	0
33. Surplus notes .....	3,000,000	3,000,000
34. Gross paid in and contributed surplus .....	9,732,810	9,732,810
35. Unassigned funds (surplus) .....	73,570,758	65,268,703
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) .....	90,504,558	82,202,503
38. Totals (Page 2, Line 28, Col. 3)	168,109,831	147,855,622
<b>DETAILS OF WRITE-INS</b>		
2501. ....		
2502. ....		
2503. ....		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	0	0
2901. ....		
2902. ....		
2903. ....		
2998. Summary of remaining write-ins for Line 29 from overflow page .....	0	0
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above)	0	0
3201. ....		
3202. ....		
3203. ....		
3298. Summary of remaining write-ins for Line 32 from overflow page .....	0	0
3299. Totals (Lines 3201 through 3203 plus 3298)(Line 32 above)	0	0

**STATEMENT OF INCOME**

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
<b>UNDERWRITING INCOME</b>			
1. Premiums earned:			
1.1 Direct (written \$ 144,745,038 )	118,381,647	112,083,302	146,792,500
1.2 Assumed (written \$ 0 )	84,204	349,965	376,954
1.3 Ceded (written \$ 128,643,858 )	105,675,583	103,131,623	134,829,337
1.4 Net (written \$ 16,101,180 )	12,790,268	9,301,644	12,340,117
<b>DEDUCTIONS:</b>			
2. Losses incurred (current accident year \$ 1,409,626 ):			
2.1 Direct	68,557,101	60,662,170	79,998,189
2.2 Assumed	2,071	844	887
2.3 Ceded	66,950,585	59,372,206	78,570,008
2.4 Net	1,608,587	1,290,808	1,429,068
3. Loss adjustment expenses incurred		47,424	47,424
4. Other underwriting expenses incurred	4,418,116	3,811,003	5,225,913
5. Aggregate write-ins for underwriting deductions	0	0	0
6. Total underwriting deductions (Lines 2 through 5)	6,026,703	5,149,235	6,702,405
7. Net income of protected cells			
8. Net underwriting gain or (loss) (Line 1 minus Line 6 + Line 7)	6,763,565	4,152,409	5,637,712
<b>INVESTMENT INCOME</b>			
9. Net investment income earned	2,776,561	2,378,387	3,301,172
10. Net realized capital gains (losses) less capital gains tax of \$ 4,776	17,966	97,173	133,493
11. Net investment gain (loss) (Lines 9 + 10)	2,794,527	2,475,560	3,434,665
<b>OTHER INCOME</b>			
12. Net gain or (loss) from agents' or premium balances charged off (amount recovered \$ amount charged off \$ )	0	0	0
13. Finance and service charges not included in premiums			
14. Aggregate write-ins for miscellaneous income	(208,228)	(97,290)	(137,955)
15. Total other income (Lines 12 through 14)	(208,228)	(97,290)	(137,955)
16. Net income before dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes (Lines 8 + 11 + 15)	9,349,864	6,530,679	8,934,422
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)	9,349,864	6,530,679	8,934,422
19. Federal and foreign income taxes incurred	1,794,210	1,337,588	1,839,936
20. Net income (Line 18 minus Line 19)(to Line 22)	7,555,654	5,193,091	7,094,486
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
21. Surplus as regards policyholders, December 31 prior year	82,202,503	74,723,405	74,723,403
22. Net income (from Line 20)	7,555,654	5,193,091	7,094,486
23. Net transfers (to) from Protected Cell accounts			
24. Change in net unrealized capital gains (losses) less capital gains tax of \$ 111,442	419,234	247,683	394,341
25. Change in net unrealized foreign exchange capital gain (loss)			
26. Change in net deferred income tax	(165,330)	(12,147)	171,303
27. Change in nonadmitted assets	492,497		(181,029)
28. Change in provision for reinsurance			0
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	0	0	0
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			0
37. Aggregate write-ins for gains and losses in surplus	0	0	0
38. Change in surplus as regards policyholders (Lines 22 through 37)	8,302,055	5,428,627	7,479,101
39. Surplus as regards policyholders, as of statement date (Lines 21 plus 38)	90,504,558	80,152,032	82,202,503
<b>DETAILS OF WRITE-INS</b>			
0501.			
0502.			
0503.			
0598. Summary of remaining write-ins for Line 5 from overflow page	0	0	0
0599. Totals (Lines 0501 through 0503 plus 0598)(Line 5 above)	0	0	0
1401. Misc. Income (Expense)	(6,841)	(710)	1,261
1402. Admin/Service Fee Income	141,984	108,204	157,743
1403. Interest Expense-Funds held	(343,371)	(204,784)	(296,959)
1498. Summary of remaining write-ins for Line 14 from overflow page	0	0	0
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above)	(208,228)	(97,290)	(137,955)
3701.			
3702.			
3703.			
3798. Summary of remaining write-ins for Line 37 from overflow page	0	0	0
3799. Totals (Lines 3701 through 3703 plus 3798)(Line 37 above)	0	0	0

## STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**CASH FLOW**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....	15,797,976	14,539,884	17,563,007
2. Net investment income .....	2,856,510	2,512,610	3,631,256
3. Miscellaneous income .....	(208,228)	(97,290)	(137,955)
4. Total (Lines 1 to 3) .....	18,446,258	16,955,204	21,056,308
5. Benefit and loss related payments .....	1,608,587	1,290,808	1,335,931
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0
7. Commissions, expenses paid and aggregate write-ins for deductions .....	5,040,286	4,944,662	5,329,242
8. Dividends paid to policyholders .....	0	0	0
9. Federal and foreign income taxes paid (recovered) net of \$ ..... tax on capital gains (losses) .....	2,300,864	1,474,437	2,852,920
10. Total (Lines 5 through 9) .....	8,949,737	7,709,907	9,518,093
11. Net cash from operations (Line 4 minus Line 10) .....	9,496,521	9,245,297	11,538,215
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	30,397,340	29,149,712	37,372,137
12.2 Stocks .....	1,217,586	1,306,361	1,022,619
12.3 Mortgage loans .....	14,272	13,113	17,571
12.4 Real estate .....	0	0	0
12.5 Other invested assets .....	0	0	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	0	0	0
12.7 Miscellaneous proceeds .....	1,699,490	0	0
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	33,328,689	30,469,186	38,412,327
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	41,208,800	37,325,121	47,065,014
13.2 Stocks .....	4,527,794	1,834,762	1,587,584
13.3 Mortgage loans .....	0	0	0
13.4 Real estate .....	19,401	220,112	220,110
13.5 Other invested assets .....	0	0	0
13.6 Miscellaneous applications .....	0	0	0
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	45,755,994	39,379,995	48,872,708
14. Net increase (or decrease) in contract loans and premium notes .....	0	0	0
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	(12,427,305)	(8,910,809)	(10,460,381)
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....	0	0	0
16.2 Capital and paid in surplus, less treasury stock .....	0	0	0
16.3 Borrowed funds .....	(18,992)	(1,671)	(1,826)
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....	0	0	0
16.5 Dividends to stockholders .....	0	0	0
16.6 Other cash provided (applied) .....	8,019,248	4,035,361	1,020,045
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	8,000,256	4,033,690	1,018,219
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	5,069,472	4,368,178	2,096,053
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	6,857,406	4,761,353	4,761,353
19.2 End of period (Line 18 plus Line 19.1) .....	11,926,878	9,129,531	6,857,406

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

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**NOTES TO FINANCIAL STATEMENTS**


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**Note 1 – Summary of Significant Accounting Policies**

## A. Accounting policy

The accompanying financial statements of Dealers Assurance Company have been prepared in conformity with accounting practices prescribed or permitted by the National Association of Insurance Commissioners and the State of Ohio. The company adopted codification as of 01/01/01.

	SSAP #	F/S Page	F/S Line #	2020	2019
<u>Net Income</u>					
(1) Company state basis (Page 4, Line 20, Columns 1 & 2)	-	-	-	\$ 7,555,654	\$ 7,094,486
(2) State Prescribed Practices that (increase)/decrease NAIC SAP	-	-	-	-	-
(3) State Permitted Practices that (increase)/decrease NAIC SAP S	-	-	-	-	-
(4) NAIC SAP (1 – 2 – 3 = 4)	-	-	-	<u>\$ 7,555,654</u>	<u>\$ 7,094,486</u>
<u>Surplus</u>					
(5) Company state basis (Page 3, Line 37, Columns 1 & 2)	-	-	-	\$ 90,504,558	\$ 82,202,503
(6) State Prescribed Practices that increase/(decrease) NAIC SAP	-	-	-	-	-
(7) State Permitted Practices that increase/(decrease) NAIC SAP	-	-	-	-	-
(8) NAIC SAP (1 – 2 – 3 = 4)	-	-	-	<u>\$ 90,504,558</u>	<u>\$ 82,202,503</u>

## B. Use of Estimates in Preparation of the Financial Statement

No significant change.

## C. Accounting Policy

Real estate investments on the balance sheet are classified as properties occupied by the company. These are carried at depreciated cost.

In addition, the Company uses the following accounting policies:

- Short-term investments are stated at cost.
- Bonds are stated at amortized cost using the scientific method.
- Common stocks are stated at market.
- Preferred stocks are stated in accordance with the guidelines stated in SSAP No.32.
- The Company has one first lien mortgage loan on real estate which are stated at their unpaid principal balances.
- Loan-backed securities are stated at either amortized cost or the lower of amortized cost or fair value. The retrospective adjustment method is used to value all securities except for interest only securities or securities where the yield had become negative, that are valued using the prospective method.
- The Company has no investments in subsidiaries or the parent company.
- Investments are not made in joint ventures, partnerships and limited liability companies.
- The Company does not use derivatives.
- The Company does not have a premium deficiency reserve.
- Unpaid losses and loss adjustment expenses include an amount determined from individual case estimates and loss reports and amount, based on past experience, for losses incurred but not reported. Such liabilities are necessarily based on assumptions and estimates and while management believes the amount is adequate, the ultimate liability may be in excess of or less than the amount provided. The methods for making such estimates and for establishing the resulting liabilities are continually reviewed and any adjustments are reflected in the period determined.
- The Company has not modified its capitalization policy from the prior period.
- The Company has not reported receivables for pharmaceutical rebates.

## D. Going Concern

Based upon its evaluation of relevant conditions and events, management does not have substantial doubt about the Company's ability to continue as a going concern.

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

A. to C. No significant change.

D. Loan-Backed Securities

**Note 3 – Business Combinations and Good Will**

No significant change.

**Note 4 – Discontinued Operations**

No significant change.

**Note 5 – Investments**

D. Loan-Backed Securities

- Bloomberg is used as a source for the prepayment factors
- 4. Not applicable.
- No impairments exist other than interest rate related declines classified as temporary.

No significant change in other items.

## NOTES TO FINANCIAL STATEMENTS

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

No significant change.

### Note 7 – Investment Income

No significant change.

### Note 8 – Derivative Instruments

The Company does not own derivative instruments.

### Note 9 – Income Taxes

A. The components of the net deferred tax assets (liability) at September 30, 2020 are as follows:

	9/30/2020			12/31/2019			Change		
	Ordinary	Capital	Total	Ordinary	Capital	Total	Ordinary	Capital	Total
a Gross Deferred Tax Assets - Actual	\$ 1,394,954	\$ -	\$ 1,394,954	\$ 1,560,283	\$ -	\$ 1,560,283	\$ (165,329)	\$ -	\$ (165,329)
b Statutory Valuation Allowance Adjustments	-	-	-	-	-	-	-	-	-
c Adjusted Gross Deferred Tax Assets	1,394,954	-	1,394,954	1,560,283	-	1,560,283	(165,329)	-	(165,329)
d Deferred Tax Assets Nonadmitted	617,651	-	617,651	1,110,149	-	1,110,149	(492,498)	-	(492,498)
e Subtotal Net Admitted Deferred Tax Asset	777,302	-	777,302	450,134	-	450,134	327,168	-	327,168
f Deferred Tax Liabilities	-	243,147	243,147	-	131,706	131,706	-	111,441	111,441
g Net Admitted Deferred Tax Asset/(Net Deferred Tax Liability)	\$ 777,302	\$ (243,147)	\$ 534,155	\$ 450,134	\$ (131,706)	\$ 318,428	\$ 327,168	\$ (111,441)	\$ 215,727

2. Admission calculation components SSAP No. 101:

	9/30/2020			12/31/2019			Change		
	Ordinary	Capital	Total	Ordinary	Capital	Total	Ordinary	Capital	Total
Federal Income Taxes Paid in Prior Years Recoverable through loss carrybacks [3 year Carryback]	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Adjusted Gross Deferred Tax Assets Expected to Be Realized (Excluding the amount of Deferred Tax Assets from 2 (a) After Application of the Threshold Limitation. (The Lesser of 2 (b) 1 and 2 (b) 2 Below)	777,302	(243,147)	534,155	450,134	(131,706)	318,428	327,168	(111,441)	215,727
1. Adjusted Gross Deferred Tax Assets Expected to be Realized Following the Balance Sheet Date	777,302	(243,147)	534,155	450,134	(131,706)	318,428	327,168	(111,441)	215,727
2. Adjusted Gross Deferred Tax Assets Allowed per the Limitation Threshold	XXX	XXX	13,495,561	XXX	XXX	12,282,611	XXX	XXX	1,212,950
Adjusted Gross Deferred Tax Assets (Excluding The Amount of Deferred Tax Assets from 2 (a) and 2(b) above) Offset by Gross Deferred Tax Liabilities	-	-	-	-	-	-	-	-	-
c Deferred Tax Assets Admitted as the result of application of SSAP 101									
d Total (2(a) + 2(b) + 2 (c))	\$ 777,302	\$ (243,147)	\$ 534,155	\$ 450,134	\$ (131,706)	\$ 318,428	\$ 327,168	\$ (111,441)	\$ 215,727

	2020	2019
a Ratio Percentage Used to Determine Recovery Period And Threshold Limitation Amount	981%	893%
b Amount of Adjusted Capital and Surplus Used to Determine Recovery Period And Threshold Limitation in 2(b)2 Above.	90,504,558	82,202,503

4. Impact of Tax Planning Strategies:

	9/30/2020			12/31/2019			Change		
	Ordinary Percent	Capital Percent	Total Percent	Ordinary Percent	Capital Percent	Total Percent	Ordinary Percent	Capital Percent	Total Percent
a Adjusted Gross DTAs (% of Total Adjusted Gross DTAs)	100%	0%	100%	100%	0%	100%	0%	0%	0%
b Net Admitted Adjusted Gross DTAs (% of Total Net Admitted Adjusted Gross DTAs)	146%	-46%	100%	141%	-41%	100%	5%	-5%	0%
c Does the Company's tax-planning strategies include the use of Reinsurance? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>									

B. Deferred tax liabilities not recognized at September 30, 2020 and December 31, 2019 are as follows:

Not applicable as all deferred tax liabilities have been recognized.

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**NOTES TO FINANCIAL STATEMENTS**


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C. The provisions for incurred tax on earnings are as follows:

	9/30/2020	12/31/2019	Change
1. Current Income Tax:			
Federal	\$ 1,794,210	\$ 1,839,936	\$ (45,726)
Foreign	-	-	-
Subtotal	1,794,210	1,839,936	(45,726)
Federal income tax on net capital gains	4,776	35,485	(30,709)
Federal and foreign income taxes incurred	<u>\$ 1,798,986</u>	<u>\$ 1,875,421</u>	<u>\$ (76,435)</u>
2. Deferred Tax Assets:			
<u>Ordinary</u>			
Discounting of unpaid losses	\$ 8,712	\$ 8,712	\$ -
Unearned premium reserve	1,544,129	1,405,252	138,877
Investments	89,008	131,681	(42,673)
Fixed assets	(248,344)	14,638	(262,982)
Other	1,449	-	1,449
Subtotal	1,394,954	1,560,283	(165,330)
Statutory valuation allowance adjustment	-	-	-
Nonadmitted	617,651	1,110,149	(492,498)
Admitted ordinary deferred tax assets	<u>777,302</u>	<u>450,134</u>	<u>327,168</u>
<u>Capital</u>			
Statutory valuation allowance adjustment	-	-	-
Nonadmitted	-	-	-
Admitted capital deferred tax assets	-	-	-
Admitted deferred tax assets	<u>\$ 777,302</u>	<u>\$ 450,134</u>	<u>\$ 327,168</u>
Deferred Tax Liabilities:			
<u>Ordinary</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
<u>Capital</u>			
Investments	243,147	131,706	111,441
Deferred tax liabilities	<u>243,147</u>	<u>131,706</u>	<u>111,441</u>
Net deferred tax assets/liabilities	<u>\$ 534,155</u>	<u>\$ 318,428</u>	<u>\$ 215,727</u>

D. Among the more significant book to tax adjustments are the following:

	Amount	Tax Effect	%
Income before taxes	\$ 9,354,640	\$ 1,964,474	21%
Unearned premium adjustment	661,315	138,876	1%
Bond Discount	(203,204)	(42,673)	0%
Loss reserve discounting	-	-	0%
Dividends received deduction	(4,305)	(904)	0%
Depreciation Book/Tax	(1,252,296)	(262,982)	-3%
Other	10,452	2,195	0%
	<u>\$ 8,566,603</u>	<u>\$ 1,798,986</u>	<u>19%</u>

E. At September 30, 2020, the Company has no net capital-loss carry forward available for recoupment against future capital gains.

F. The Company files a consolidated federal income tax return with its parent company, IA American Holdings, Inc., and other affiliated group members. The Company has a written agreement, approved by the Company's Board of Directors, which sets forth the manner in which the total combined federal income tax is allocated to each entity which is party to the consolidation. Pursuant to this agreement, the Company has the enforceable right to recoup federal income taxes paid in prior years in the event of future net losses, which it may incur, or recoup its net losses carried forward as an offset to future net income subject to federal income taxes.

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

No significant change.

**Note 11 – Debt**

The Company does not have any outstanding debt.

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

No significant change.

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

No significant change.

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

No significant change.

## NOTES TO FINANCIAL STATEMENTS

**Note 15 – Leases**

No significant change.

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

No significant change.

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

The Company does not have any sales or transfers to report.

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

No significant change.

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

No significant change.

**Note 20 – Fair Value Measurements**

The Company has categorized its assets and liabilities that are reported on the balance sheet at fair value into the three level fair value hierarchy as reflected in the tables below. The three level hierarchy is based upon the degree of subjectivity inherent in the valuation method by which fair value was determined. The three levels of are defined as follows:

- Level 1 – Unadjusted quoted market prices for identical assets or liabilities in active markets that the Company can access.
- Level 2 – Quoted prices for similar assets or liabilities in active markets; quoted prices for identical or similar items in inactive markets; or valuations based on models where the significant inputs are observable or can be corroborated by observable market data.
- Level 3 – Valuations based on models where significant inputs are not observable. The Company has no assets or liabilities measured at fair value in this category.

## A. Securities measured and reported at fair value as of September 30, 2020:

Description	Level 1	Level 2	Level 3	Net Asset Value (NAV)	Total
Assets at fair value					
Cash Equivalents					
Exempt MM Fund	\$ 75,051	\$ -	\$ -	\$ -	\$ 75,051
Other MM Fund	4,752,832	-	-	-	4,752,832
Total Cash Equivalent	4,827,882	-	-	-	4,827,882
Bonds					
Indust. & Misc.	1,202,985	594,375	-	-	1,797,360
Common Stock:					
Indust. & Misc	6,833,564	-	-	-	6,833,564
Derivative assets	-	-	-	-	-
Separate account assets	-	-	-	-	-
Total assets at fair value	12,864,432	594,375	-	-	13,458,807
Liabilities at fair value					
Total liabilities at fair value	\$ -	\$ -	\$ -	\$ -	\$ -

Transfers between Level 1 and Level 2 relate to two bonds: Ford Motor Credit Company LLC and Occidental Petroleum Corp.

B. Other fair value disclosures  
Not applicable

## NOTES TO FINANCIAL STATEMENTS

- C. The table below reflects the fair values and admitted values of all admitted assets and liabilities that are financial instruments. The fair values are also categorized into the three level fair value hierarchy as described above in Note 20A. This was not practical for mortgages loans as described below in Note 20D.

### At September 30, 2020

Description	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Not Practicable (carrying value)
Bonds	\$ 147,021,552	\$ 139,284,160	\$ 27,068,827	\$ 119,952,725	\$ -	\$ -
Preferred Stock	-	-	-	-	-	-
Common Stock	6,827,902	6,827,902	6,827,902	-	-	-
Mortgage loans	-	200,170	-	-	-	200,170
Cash, cash equivalents and short-term investments	11,926,878	11,926,878	11,926,878	-	-	-

### At December 31, 2019

Description	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Not Practicable (carrying value)
Bonds	\$ 132,294,154	\$ 128,678,919	\$ 20,054,894	\$ 112,239,260	\$ -	\$ -
Preferred Stock	-	-	-	-	-	-
Common Stock	2,989,190	2,989,190	2,989,190	-	-	-
Mortgage loans	-	214,442	-	-	-	214,442
Cash, cash equivalents and short-term investments	6,857,405	6,857,405	6,857,405	-	-	-

- D. It is not practical to determine the fair values of mortgage loans for the above disclosure due because these items are not traded and therefore quoted market prices are not available. Also, the cost of obtaining fair value estimates from other sources are considered excessive given the immateriality of the mortgage loans.

Type or Class of Financial Instrument	Carrying Value	Effective Interest Rate	Maturity Date	Explanation
Mortgage Loans				
DAC 002 Mokena, IL	200,170	4	9/1/2029	See paragraph above

- E. No investments are measured at NAV.

### **Note 21 – Other Items**

No significant change.

### **Note 22 – Subsequent Events**

No significant change.

### **Note 23 – Reinsurance**

No significant change.

### **Note 24 – Retrospectively Rated Contracts & Subject to Redetermination**

The Company does not have retrospectively rated contracts or contracts subject to redetermination.

### **Note 25 – Changes in Incurred Losses and Loss Adjustment Expenses**

Reserves as of December 31, 2019 were \$276,578. As of September 30, 2020, \$475,538 (net of reinsured prior year claims) was paid for incurred losses and loss adjustment expenses attributable to insured events of prior years. This resulted in \$198,960 of unfavorable prior year development.

There was no re-estimation of unpaid claims and claim adjustment expenses. Business written by DAC is related to service contracts issued on an assortment of consumer goods, but primarily, automobile service contracts. Historically, losses on this coverage are settled within 90 days of incurred date (98.7%); and the balance is settled within 180 days of incurred date.

### **Note 26 – Intercompany Pooling Arrangements**

Not applicable.

### **Note 27 – Structure Settlements**

Not applicable.

### **Note 28 – Health Care Receivables**

Not applicable.

### **Note 29 – Participating Policies**

Not applicable.

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## NOTES TO FINANCIAL STATEMENTS

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**Note 30 – Premium Deficiency Reserves**

No significant change.

**Note 31 – High Deductibles**

Not applicable.

**Note 32 – Discounting of Liabilities for Unpaid Loss or Unpaid Loss Adjustment Expenses**

Not applicable.

**Note 33 – Asbestos/Environmental Reserves**

Not applicable.

**Note 34 – Subscriber Savings Accounts**

Not applicable.

**Note 35 – Multiple Peril Crop Insurance**

Not applicable.

**Note 36 – Financial Guaranty Insurance**

The Company does not write financial guaranty insurance.

**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 [ ] No [ X ]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.
- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? ..... Yes [ ] No [ X ]
- 3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group. ....
- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? ..... Yes [ ] No [ X ]  
If yes, complete and file the merger history data file with the NAIC.
- 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 [ X ] N/A [ ]  
If yes, attach an explanation.
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. .... 12/31/2018
- 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. .... 12/31/2018
- 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). .... 10/20/2019
- 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 [ X ] No [ ]
- 8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

1 Affiliate Name	2 Location (City, State)	3 FRB	4 OCC	5 FDIC	6 SEC
The Securities Affiliates do not operate in the US .....	Quebec, Canada .....	NO	NO	NO	NO

## 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  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
- 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
- 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  No
- 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: ..... \$ .....0

### INVESTMENT

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) ..... Yes  No
- 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
- 14.2 If yes, please complete the following:
- |   | 1<br>Prior Year-End<br>Book/Adjusted<br>Carrying Value | 2<br>Current Quarter<br>Book/Adjusted<br>Carrying Value |
|---|--|---|
| 14.21 Bonds .....   | \$ .....0  | \$ .....  |
| 14.22 Preferred Stock .....   | \$ .....0  | \$ .....  |
| 14.23 Common Stock .....  | \$ .....0  | \$ .....  |
| 14.24 Short-Term Investments .....  | \$ .....0  | \$ .....  |
| 14.25 Mortgage Loans on Real Estate .....   | \$ .....0  | \$ .....  |
| 14.26 All Other .....   | \$ .....0  | \$ .....  |
| 14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) ..... | \$ .....0  | \$ .....0   |
| 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
- 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 ..... \$ .....0
- 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 ..... \$ .....0
- 16.3 Total payable for securities lending reported on the liability page. .... \$ .....0

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company  
**GENERAL INTERROGATORIES**

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

1 Name of Custodian(s)	2 Custodian Address
Fifth Third Bank .....	Cincinnati, OH .....
US Bank .....	Winston Salem, NC .....
Wells Fargo Bank .....	Richmond, VA .....
Citibank, NA .....	New York, NY .....
Century Bank .....	Sante Fe, NM .....
RBS Citizens, NA .....	Providence, RI .....
Conduent State & Local Solutions, Inc. ....	Quincy, MA .....
Bank of New York Mellon .....	Atlanta, GA .....
First National Bankers Bank .....	Little Rock, AR .....
Ameritrade .....	Omaha, NE .....

- 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 [ X ] No [ ]
- 17.4 If yes, give full information relating thereto:

1 Old Custodian	2 New Custodian	3 Date of Change	4 Reason
Wells Fargo Bank .....	Ameritrade .....	08/01/2020 .....	Switched investment advisors .....

- 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
Industrial Alliance Investment Management Inc. (make investment decisions) .....	A .....
Asset Allocation and Management Company .....	U .....
Bank of New York Wealth Management .....	U .....
San Luis Wealth Advisors, LLC .....	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 [ X ] No [ ]
- 17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's invested assets? Yes [ X ] No [ ]

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

1 Central Registration Depository Number	2 Name of Firm or Individual	3 Legal Entity Identifier (LEI)	4 Registered With	5 Investment Management Agreement (IMA) Filed
Exempt .....	Industrial Alliance Investment Management Inc. ....	N/A .....	N/A .....	DS .....
109875 .....	Asset Allocation and Management Company .....	549300DSCHEV1V5W3U963 .....	Securities Exchange Commission .....	NO .....
8275 .....	Bank of New York Wealth Management .....	N/A .....	Office of Controller of Currency .....	NO .....
309506 .....	San Luis Wealth Advisors .....	N/A .....	Securities Exchange Commission .....	NO .....

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

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:
- Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.
  - Issuer or obligor is current on all contracted interest and principal payments.
  - The insurer has an actual expectation of ultimate payment of all contracted interest and principal.
- Has the reporting entity self-designated 5GI securities? Yes [ ] No [ ]

20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:
- The security was purchased prior to January 1, 2018.
  - The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
  - The reporting entity is not permitted to share this credit rating of the PL security with the SVO.
- Has the reporting entity self-designated PLGI securities? Yes [ ] No [ ]

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:
- The shares were purchased prior to January 1, 2019.
  - The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - 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.
  - The fund only or predominantly holds bonds in its portfolio.
  - 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.
  - 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 [  ]  
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 [  ]  
If yes, attach an explanation.

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

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 [  ]

4.2 If yes, complete the following schedule:

			TOTAL DISCOUNT				DISCOUNT TAKEN DURING PERIOD			
1 Line of Business	2 Maximum Interest	3 Discount Rate	4 Unpaid Losses	5 Unpaid LAE	6 IBNR	7 TOTAL	8 Unpaid Losses	9 Unpaid LAE	10 IBNR	11 TOTAL
TOTAL			0	0	0	0	0	0	0	0

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 [  ]

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 [  ]

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 [  ] No [  ]

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



STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company  
**SCHEDULE T - EXHIBIT OF PREMIUMS WRITTEN**

Current Year to Date - Allocated by States and Territories

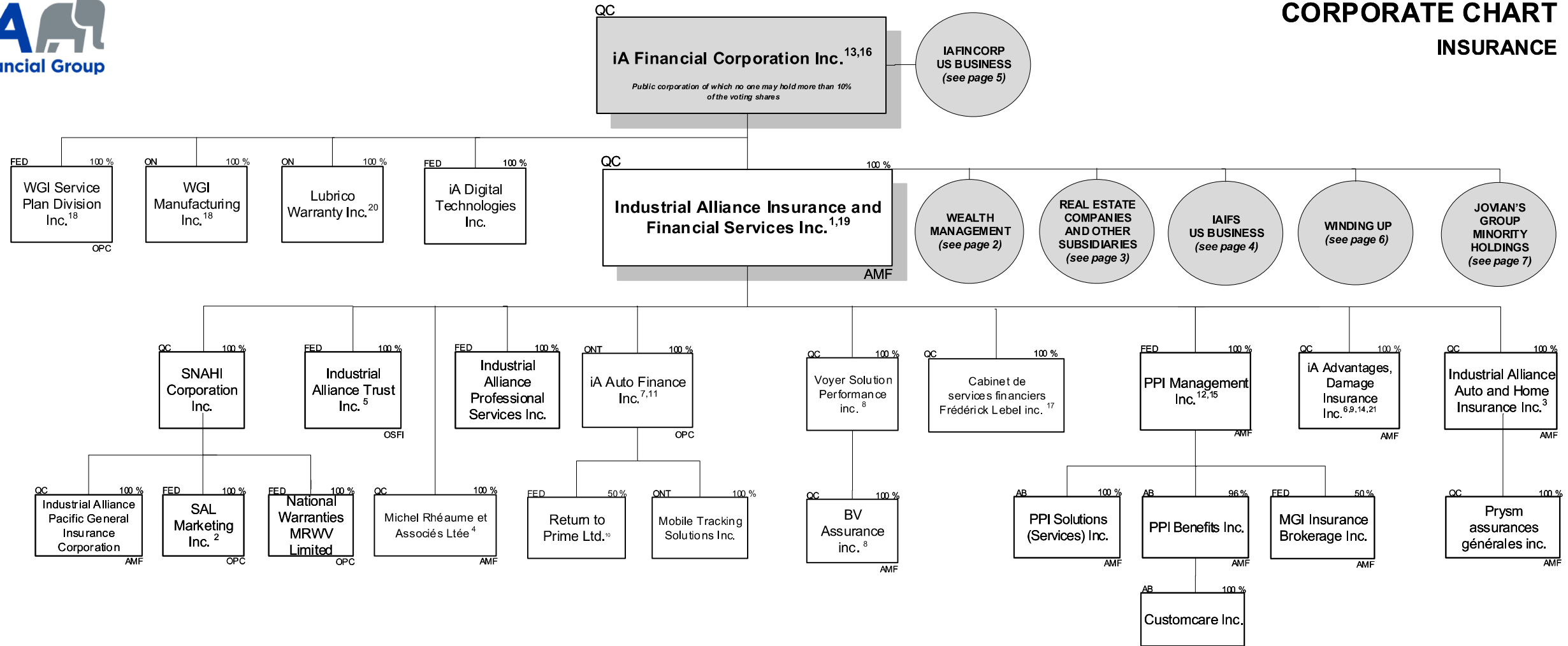
States, etc.	1 Active Status (a)	Direct Premiums Written		Direct Losses Paid (Deducting Salvage)		Direct Losses Unpaid		
		2 Current Year To Date	3 Prior Year To Date	4 Current Year To Date	5 Prior Year To Date	6 Current Year To Date	7 Prior Year To Date	
1. Alabama	AL	L	1,829,304	1,847,643	773,061	723,377	5,695	97,871
2. Alaska	AK	L	146,675	65,063	45,860	15,708	0	150
3. Arizona	AZ	L	491,865	1,623,477	243,729	509,791	0	28,480
4. Arkansas	AR	L	1,942,882	1,904,168	1,076,995	1,093,015	0	223,959
5. California	CA	L	2,284,040	2,633,793	1,192,168	1,495,638	54,223	112,661
6. Colorado	CO	L	7,500,068	3,857,610	2,938,236	2,292,996	186,120	134,135
7. Connecticut	CT	L	496,804	241,954	328,379	58,492	0	18,703
8. Delaware	DE	L	5,906,263	13,193,625	4,184,111	4,398,567	357,365	316,933
9. District of Columbia	DC	L	0	0	0	0	0	0
10. Florida	FL	L	5,972,199	5,233,138	3,942,211	3,789,664	538,368	559,020
11. Georgia	GA	L	2,090,870	1,611,450	1,503,878	1,284,808	8,917	63,220
12. Hawaii	HI	L	0	0	0	0	0	0
13. Idaho	ID	L	294,892	346,257	137,134	137,149	12,325	8,916
14. Illinois	IL	L	2,330,879	2,007,020	849,408	750,352	1,615	36,042
15. Indiana	IN	L	2,239,355	2,025,244	1,131,012	1,140,346	0	80,998
16. Iowa	IA	L	679,353	53,200	406,677	99,824	0	10,908
17. Kansas	KS	L	155,251	164,130	54,138	30,472	0	18,993
18. Kentucky	KY	L	924,687	782,380	388,615	385,451	18,852	41,880
19. Louisiana	LA	L	2,055,025	2,135,828	1,301,286	903,734	0	366,689
20. Maine	ME	L	848,075	910,544	506,989	484,248	0	39,230
21. Maryland	MD	L	1,098,360	649,552	763,175	477,018	0	67,709
22. Massachusetts	MA	L	457,624	218,318	244,816	270,640	0	24,278
23. Michigan	MI	L	6,048,736	4,762,913	4,667,534	3,811,339	0	192,891
24. Minnesota	MN	L	1,323,472	780,074	925,981	724,146	0	38,094
25. Mississippi	MS	L	1,889,401	2,122,609	904,822	986,626	0	62,475
26. Missouri	MO	L	2,089,211	1,224,835	1,063,044	622,435	0	72,463
27. Montana	MT	L	188,051	43,973	137,794	143,782	8,027	9,462
28. Nebraska	NE	L	423,840	502,978	192,402	470,268	11,978	17,858
29. Nevada	NV	L	132,087	91,286	117,663	97,877	0	6,757
30. New Hampshire	NH	L	274,811	421,296	97,060	230,917	0	7,851
31. New Jersey	NJ	L	1,859,461	534,453	769,818	41,251	0	31,219
32. New Mexico	NM	L	2,345,949	1,313,724	229,464	144,748	0	38,928
33. New York	NY	L	3,212,647	2,816,654	2,452,545	2,555,305	0	121,650
34. North Carolina	NC	L	12,561,158	9,660,301	6,318,129	4,872,685	848,035	421,600
35. North Dakota	ND	L	37,522	(108,176)	37,257	(90,443)	0	1,886
36. Ohio	OH	L	22,397,736	15,306,220	4,548,016	3,224,977	120,329	254,096
37. Oklahoma	OK	L	304,443	1,099,620	229,032	387,136	4,949	74,248
38. Oregon	OR	L	301,728	204,211	51,821	40,527	0	2,979
39. Pennsylvania	PA	L	3,439,606	3,649,318	1,437,683	1,862,410	0	114,319
40. Rhode Island	RI	L	263,831	402,243	94,253	198,941	0	7,352
41. South Carolina	SC	L	451,805	579,936	97,361	310,515	0	32,734
42. South Dakota	SD	L	80,725	46,818	47,188	11,582	0	1,585
43. Tennessee	TN	L	2,194,244	543,085	1,061,436	526,283	414	118,660
44. Texas	TX	L	29,357,340	33,632,232	14,222,637	12,801,414	4,897,980	2,346,418
45. Utah	UT	L	38,500	324,856	12,839	141,190	0	586
46. Vermont	VT	L	124,937	(234,561)	67,491	(146,118)	0	5,071
47. Virginia	VA	L	925,882	335,753	508,840	60,829	0	42,808
48. Washington	WA	L	10,839,063	15,402,493	5,463,718	5,352,214	603,017	371,941
49. West Virginia	WV	L	615,212	899,258	316,124	354,739	0	42,481
50. Wisconsin	WI	L	1,206,160	529,689	452,765	516,776	0	33,894
51. Wyoming	WY	L	73,009	109,178	20,507	66,529	6	5,300
52. American Samoa	AS	N	0	0	0	0	0	0
53. Guam	GU	N	0	0	0	0	0	0
54. Puerto Rico	PR	N	0	0	0	0	0	0
55. U.S. Virgin Islands	VI	N	0	0	0	0	0	0
56. Northern Mariana Islands	MP	N	0	0	0	0	0	0
57. Canada	CAN	N	0	0	0	0	0	0
58. Aggregate Other Alien	OT	XXX	0	0	0	0	0	0
59. Totals	XXX		144,745,038	138,501,663	68,557,102	60,662,170	7,678,215	6,728,381
DETAILS OF WRITE-INS								
58001.	XXX			0		0		0
58002.	XXX							
58003.	XXX							
58998. Summary of remaining write-ins for Line 58 from overflow page	XXX		0	0	0	0	0	0
58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)	XXX		0	0	0	0	0	0

(a) Active Status Counts:

L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG	51	R - Registered - Non-domiciled RRGs	0
E - Eligible - Reporting entities eligible or approved to write surplus lines in the state (other than their state of domicile - see DSLI)	0	Q - Qualified - Qualified or accredited reinsurer	0
D - Domestic Surplus Lines Insurer (DSLII) - Reporting entities authorized to write surplus lines in the state of domicile	0	N - None of the above - Not allowed to write business in the state	6



**CORPORATE CHART  
INSURANCE**



11

<sup>1</sup> Amalgamation of Industrial Alliance Insurance and Financial Services Inc. (IAIFS) and Industrial Alliance Pacific Insurance and Financial Services Inc. (IAP) on June 30, 2012.

<sup>2</sup> Formerly Seaboard Marketing Inc.

<sup>3</sup> Formerly Industrial Alliance General Insurance Company.

<sup>4</sup> Formerly Société d'Investissements L'Excellence Ltée.

<sup>5</sup> Industrial Alliance Trust Company changed its name and its jurisdiction on March 2, 2005.

<sup>6</sup> Amalgamation of Solicour Inc. and Solicour Insurance Services Inc. on January 1<sup>st</sup>, 2014.

<sup>7</sup> Acquisition of CTL Corp. by IAIFS on October 1<sup>st</sup>, 2015.

<sup>8</sup> Acquisition of Groupe PPP by IAIFS on November 18, 2016.

<sup>9</sup> Amalgamation of iA Avantages Cabinets d'assurances inc. and Solicour inc. on March 1<sup>st</sup>, 2017.

<sup>10</sup> Incorporation of Return to Prime Ltd. on February 16, 2017, 50% owned by CTL Corp. on March 3<sup>rd</sup>, 2017.

<sup>11</sup> CTL Corp. changed its name to iA Auto Finance Inc. on June 19, 2017.

<sup>12</sup> Acquisition of PPI Management Inc. by IAIFS on February 26, 2018.

<sup>13</sup> Incorporated by IAIFS on February 20, 2018.

<sup>14</sup> Amalgamation between iA Avantages, Cabinet d'assurance inc, Premier Plan Assurance inc. et Performa Assurance inc. on January 1<sup>st</sup>, 2019. The name of the amalgamated corporation is iA Avantages, Cabinet d'assurance inc.

<sup>15</sup> Amalgamation between PPI Management Inc., Hollis Insurance Inc., PPI Solutions Inc., PPI Solutions (Winnipeg) Inc. and 3752178 Canada Inc. on January 1<sup>st</sup>, 2019. The name of the amalgamated corporation is PPI Management Inc.

<sup>16</sup> January 1st, 2019, effective date of the Arrangement.

<sup>17</sup> Acquisition of Cabinet de services financiers Frédéric Lebel Inc. by IAIFS on August 15, 2019.

<sup>18</sup> Acquisition of WGI Manufacturing Inc. and WGI Services Plan Division Inc. January 1st, 2020.

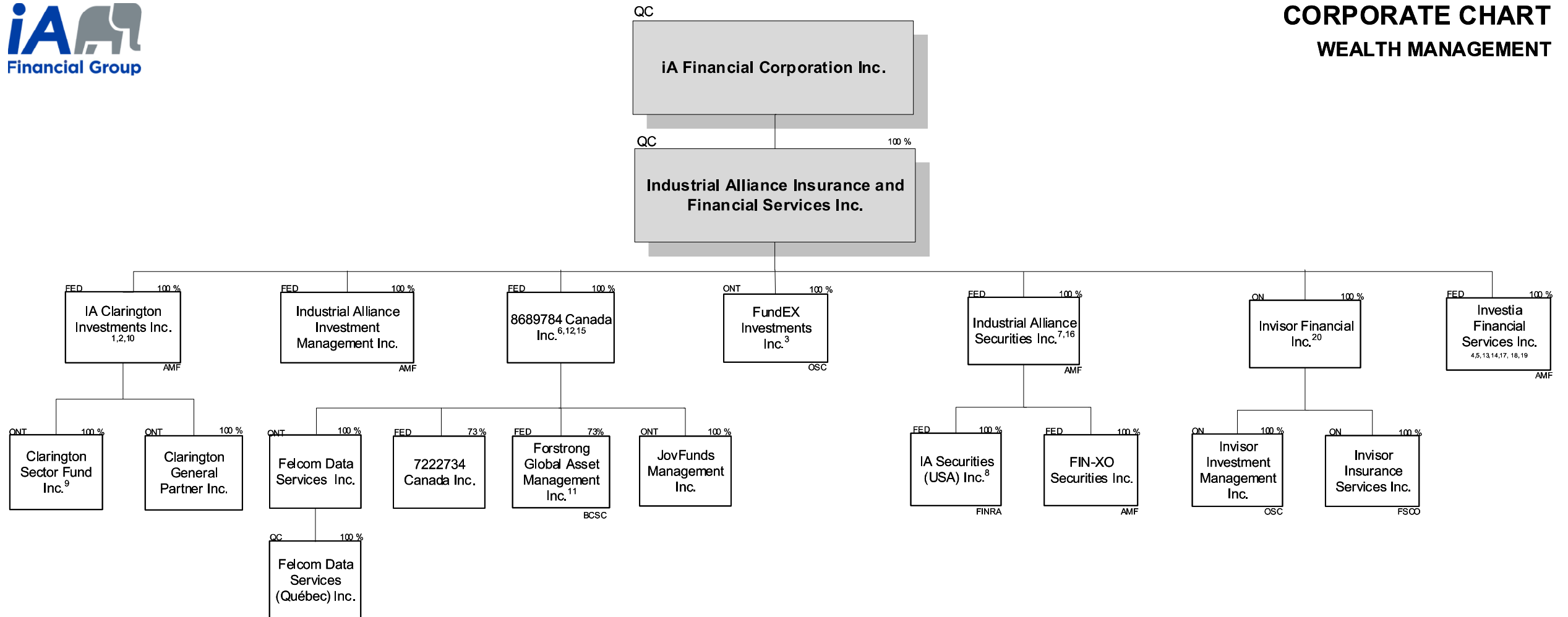
<sup>19</sup> Amalgamation between Corporation Financière L'Excellence Itée and The Excellence Life Insurance Company on January 1st, 2020.

<sup>20</sup> Acquisition of LWM Holdings Ltd. On January 8, 2020 and amalgamation with Lubrico Warranty Inc.

<sup>21</sup> Formerly iA Avantages, Cabinet d'assurances inc.



**CORPORATE CHART**  
**WEALTH MANAGEMENT**



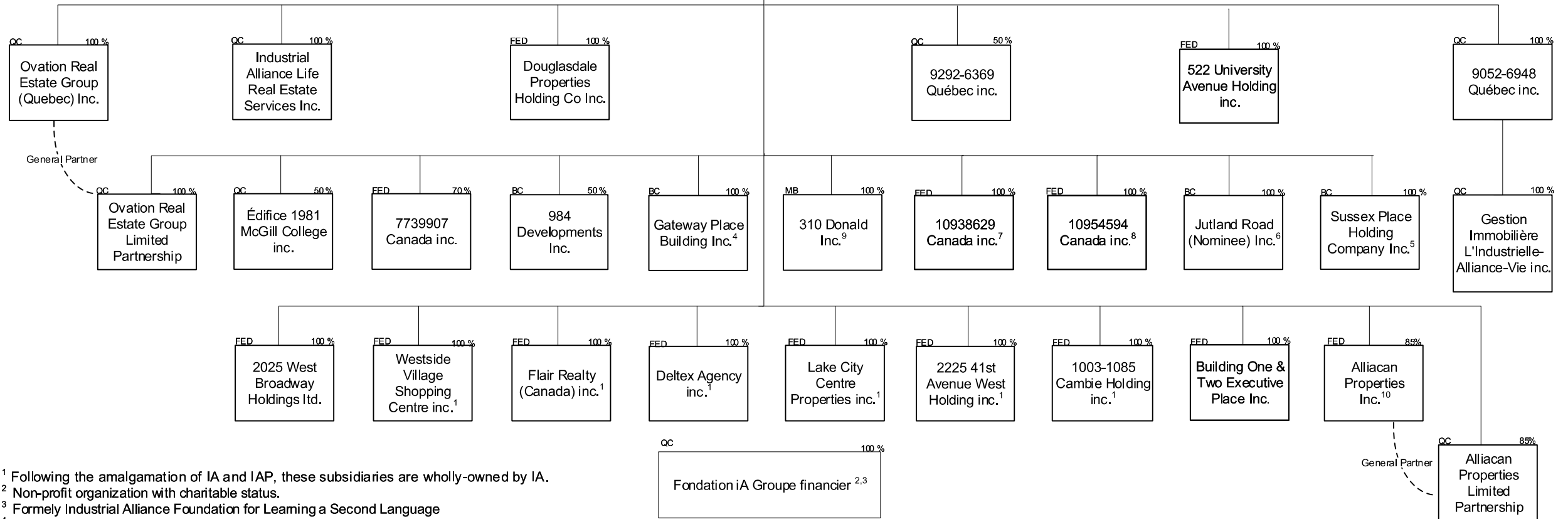
11.1

<sup>1</sup> Amalgamation of Sarbit Asset Management Inc. (acquired on October 31, 2008) and IA Clarington Investments Inc. on January 1<sup>st</sup>, 2009.  
<sup>2</sup> Amalgamation of Industrial Alliance Mutual Funds Inc. and IA Clarington Investments on January 1<sup>st</sup>, 2011.  
<sup>3</sup> Acquisition of Fundtrade Financial Corp. on August 18, 2006 and amalgamation of Fundtrade Financial Corp. and FundEX Investments Inc. on September 1<sup>st</sup>, 2006.  
<sup>4</sup> Acquisition of National Financial Corporation on July 1<sup>st</sup>, 2008 and amalgamation of NFC, Aegon Dealer Services Canada and Investia Services Inc. on September 30, 2008.  
<sup>5</sup> Amalgamation of Investia Financial Services Inc. and Dundee Private Investors Ltd. on September 1<sup>st</sup>, 2009.  
<sup>6</sup> Amalgamation of Jovian Capital Corporation and Jovian Asset Management Inc. on January 1<sup>st</sup>, 2014.  
<sup>7</sup> Amalgamation of Industrial Alliance Securities Inc. and MGI Securities Inc. on April 1<sup>st</sup>, 2014.  
<sup>8</sup> Formerly MGI Securities (USA) Inc.  
<sup>9</sup> Amalgamation of Clarington Sector Fund Inc. and JovCorporate Funds Ltd. On November 28, 2014.  
<sup>10</sup> Amalgamation of IA Clarington Investments Inc. and Jov Financial Solutions Inc. on March 1<sup>st</sup>, 2015.  
<sup>11</sup> Formerly Hahn Investment Stewards & Company Inc.  
<sup>12</sup> Formerly Jovian Capital Corporation.  
<sup>13</sup> Acquisition of Les Services financiers Planifax inx. by Investia on January 1<sup>st</sup>, 2016.  
<sup>14</sup> Amalgamation between Investia Financial Services and Planifax on January 1<sup>st</sup>, 2016.

<sup>15</sup> Amalgamation of 8689784 Canada Inc. and 2782073 Canada Inc. on April 28, 2016.  
<sup>16</sup> Amalgamation of Industrial Alliance Securities Inc. and Burgeonvest Bick Securities Limited on May 1<sup>st</sup>, 2016.  
<sup>17</sup> Acquisition of Byrns Holdings Inc. and Christoph Holdings Inc. by Investia Financial Services Inc. on December 1<sup>st</sup>, 2016  
<sup>18</sup> Liquidation of Byrns Holdings Inc., Christoph Holdings Inc. Roybyrns & Associates Inc. and Services Financier G.A.P. Financial Services Inc. on December 15 2016 and Winding up of Byrns, Christoph, Roybyrns and G.A.P. on December 31<sup>st</sup>, 2016  
<sup>19</sup> Acquisition of HollisWealth Advisory Services Inc. by IAIFS and amalgamated with Investia, both on August 4, 2017.  
<sup>20</sup> Acquisition of Invisor Financial Inc. by IAIFS on April 3rd, 2018.



**CORPORATE CHART**  
**REAL ESTATE COMPANIES AND OTHER SUBSIDIARIES**



11.2

<sup>1</sup> Following the amalgamation of IA and IAP, these subsidiaries are wholly-owned by IA.

<sup>2</sup> Non-profit organization with charitable status.

<sup>3</sup> Formerly Industrial Alliance Foundation for Learning a Second Language

<sup>4</sup> Formerly Bosa Properties (Gateway-Comm) Inc.

<sup>5</sup> Incorporated by IAIFS on November 1<sup>st</sup>, 2017.

<sup>6</sup> Purchased by IAIFS on November 15, 2017.

<sup>7</sup> Incorporated by IAIFS on August 9, 2018.

<sup>8</sup> Incorporated by IAIFS on August 21, 2018.

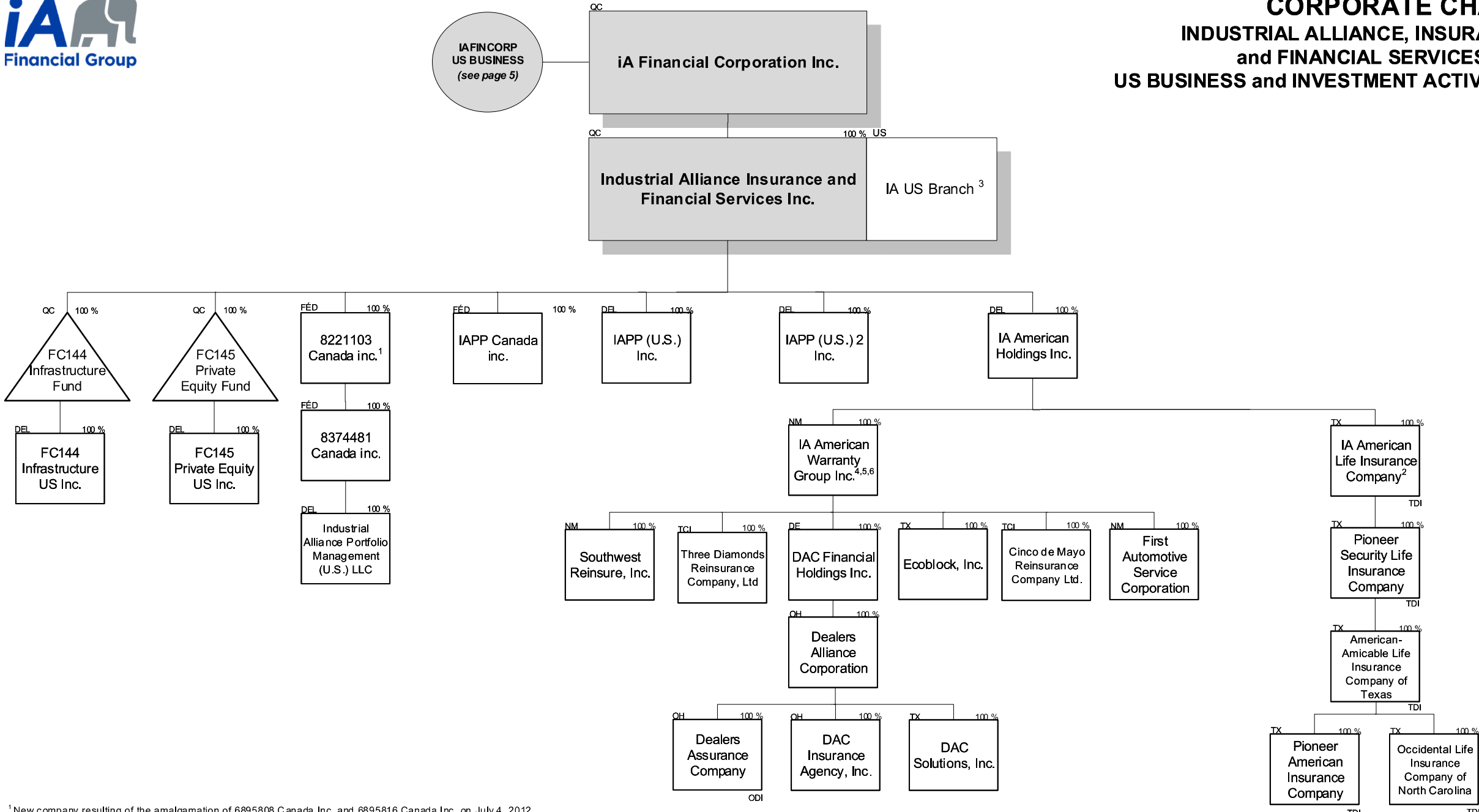
<sup>9</sup> Purchased by IAIFS on October 31, 2018.

<sup>10</sup> Incorporated by IAIFS on August 20, 2019.



**CORPORATE CHART**  
**INDUSTRIAL ALLIANCE, INSURANCE**  
**and FINANCIAL SERVICES INC.**  
**US BUSINESS and INVESTMENT ACTIVITIES**

11.3

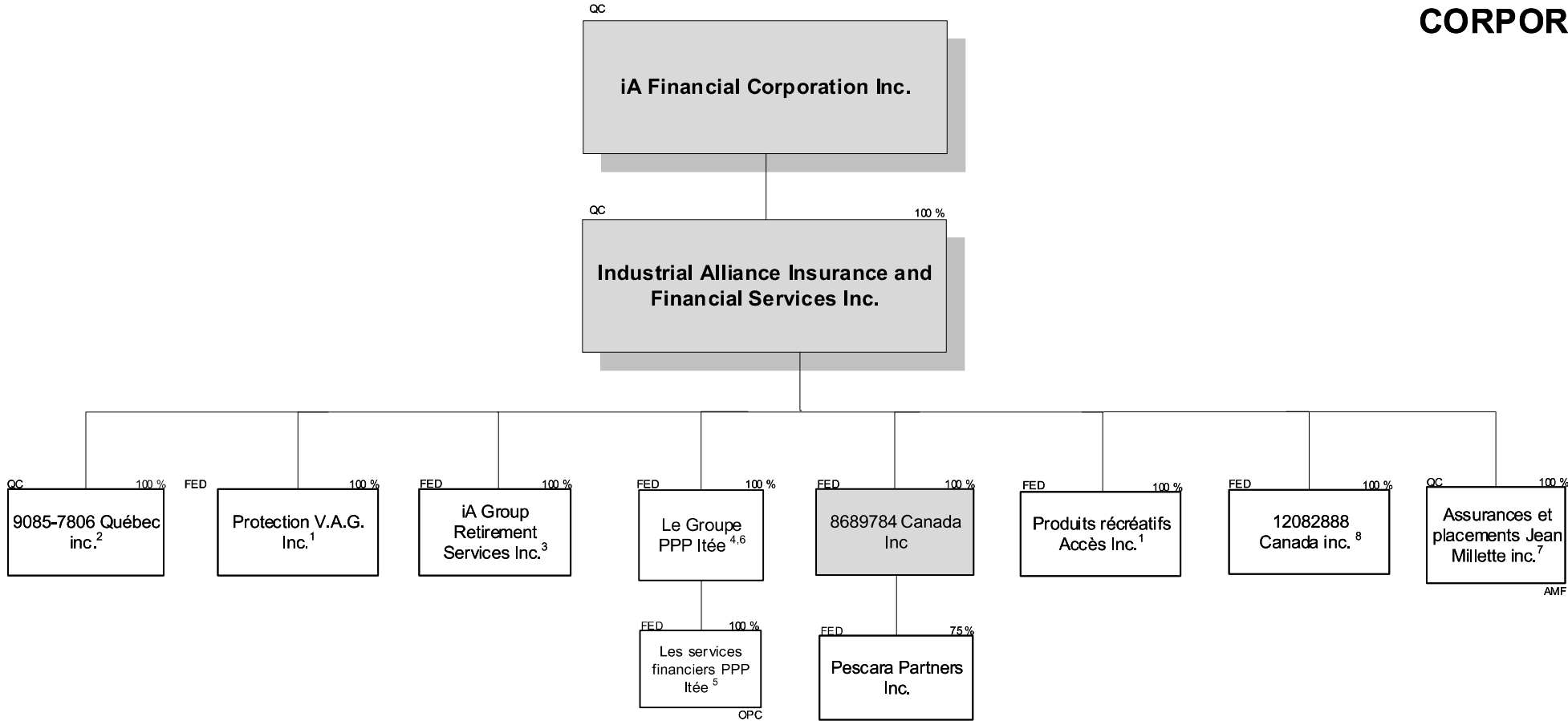


<sup>1</sup> New company resulting of the amalgamation of 6895808 Canada Inc. and 6895816 Canada Inc. on July 4, 2012.  
<sup>2</sup> Formerly United Family Life Insurance Company.  
<sup>3</sup> IAIFS carries on business in the U.S. via its American branch which is not a distinct corporate entity.  
<sup>4</sup> Acquisition by IA American Holdings Inc. on January 23, 2018.  
<sup>5</sup> Formerly known as Helios Financial Holdings Corp.  
<sup>6</sup> Formerly known as IA American Casualty Holdings Inc.





**CORPORATE CHART  
WINDING UP**

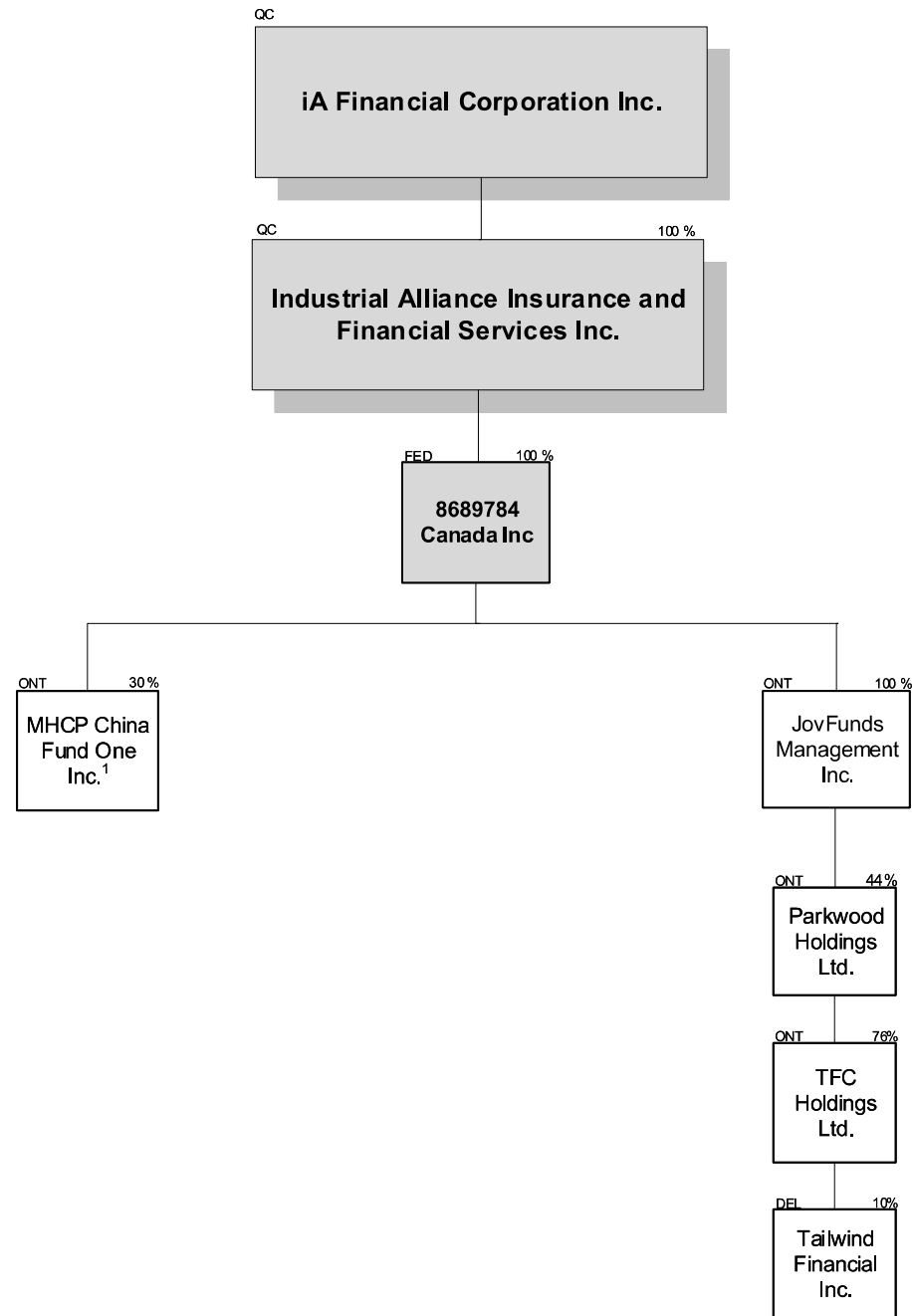


11.5

<sup>1</sup> Liquidated in iAIFS on July 1<sup>st</sup>, 2013.  
<sup>2</sup> Liquidated in iAIFS on February 15, 2017.  
<sup>3</sup> Liquidated in iAIFS on December 17, 2018.  
<sup>4</sup> Acquisition of Groupe PPP by iAIFS on November 18, 2016.  
<sup>5</sup> Liquidated in Le Groupe PPP Ltée on April 1<sup>st</sup>, 2019.  
<sup>6</sup> Liquidated in iAIFS on April 1<sup>st</sup>, 2019.  
<sup>7</sup> Liquidated in iAIFS on April 27<sup>th</sup>, 2020.  
<sup>8</sup> Liquidated in iAIFS on May 28<sup>th</sup>, 2020.



# CORPORATE CHART JOVIAN GROUP'S MINORITY HOLDINGS



11.6

<sup>1</sup> Amalgamation between Mission Hills Partners Inc. and MHCP China Fund One Inc. on April 1<sup>st</sup>, 2018.

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**SCHEDULE Y**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	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 Required? (Y/N)	*
.0315	Industrial Alliance GRP	.00000	00-0000000			TSX	Industrial Alliance Insurance and Financial Services Inc.	.CAN	.UIP	Publicly Traded			Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.14406	98-0018913				Industrial Alliance Insurance and Financial Services - USB	.TX	.IA	Industrial Alliance Insurance and Financial Services Inc	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	85-0479228				IA American Casualty Holdings Inc.	.NM	.UIP	IA American Holdings Inc.	Ownership		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	20-0833446				DAC Financial Holdings, Inc.	.DE	.UIP	IA American Casualty Holdings Inc.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	31-0906655				Dealers Alliance Corp.	.OH	.UDP	DAC Financial Holdings, Inc	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.16705	34-6513705				Dealers Assurance Company	.OH	.IA	Dealers Alliance Corp.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	31-0908416				DAC Insurance Agency, Inc.	.OH	.IA	Dealers Alliance Corp.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	46-2008908				DAC Solutions, Inc.	.TX	.NIA	Dealers Alliance Corp.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	85-0339432				Southwest Reinsure, Inc.	.NM	.NIA	IA American Casualty Holdings Inc.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	98-0231706				Three Diamonds Reinsurance Co., LTD	.TCA	.IA	IA American Casualty Holdings Inc.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	42-1563507				Ecoblock, Inc.	.TX	.NIA	IA American Casualty Holdings Inc.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	98-0516902				Cinco de Mayo Reinsurance Co., LTD	.TCA	.IA	IA American Casualty Holdings Inc.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.00000	91-2020119				First Automotive Service Corp.	.NM	.NIA	IA American Casualty Holdings Inc.	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.91693	13-3036472				IA American Life Insurance Company	.TX	.IA	IA American Holdings Inc.	Ownership		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.67946	75-1083342				Pioneer Security Life Insurance Company	.TX	.IA	IA American Life Insurance Company	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.68594	74-2179909				American Amicable Life Ins. Co. of Texas	.TX	.IA	Pioneer Security Life Insurance Company	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.67148	56-0343440				Occidental Life Insurance Co. of North Carolina	.TX	.IA	American Amicable Life Insurance Co. of Texas	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	
.0315	Industrial Alliance GRP	.67873	75-0914374				Pioneer American Insurance Company	.TX	.IA	American Amicable Life Insurance Co. of Texas	Ownership/Management/Board of Directors		Industrial Alliance Ins. & Fin. Srv., Inc.	.N	

Asterisk	Explanation
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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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			0.0	0.0
2. Allied Lines			0.0	0.0
3. Farmowners multiple peril			0.0	0.0
4. Homeowners multiple peril			0.0	0.0
5. Commercial multiple peril			0.0	0.0
6. Mortgage guaranty			0.0	0.0
8. Ocean marine			0.0	0.0
9. Inland marine			0.0	0.0
10. Financial guaranty			0.0	0.0
11.1 Medical professional liability - occurrence			0.0	0.0
11.2 Medical professional liability - claims-made			0.0	0.0
12. Earthquake			0.0	0.0
13. Group accident and health			0.0	0.0
14. Credit accident and health			0.0	0.0
15. Other accident and health			0.0	0.0
16. Workers' compensation			0.0	0.0
17.1 Other liability - occurrence	13,522,629	9,202,309	68.1	122.2
17.2 Other liability - claims-made			0.0	0.0
17.3 Excess workers' compensation			0.0	0.0
18.1 Products liability - occurrence			0.0	0.0
18.2 Products liability - claims-made			0.0	0.0
19.1,19.2 Private passenger auto liability			0.0	0.0
19.3,19.4 Commercial auto liability			0.0	0.0
21. Auto physical damage			0.0	0.0
22. Aircraft (all perils)			0.0	0.0
23. Fidelity			0.0	0.0
24. Surety			0.0	0.0
26. Burglary and theft			0.0	0.0
27. Boiler and machinery			0.0	0.0
28. Credit			0.0	0.0
29. International			0.0	0.0
30. Warranty	104,859,018	59,354,792	56.6	49.9
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	0	0	0.0	0.0
35. Totals	118,381,647	68,557,101	57.9	54.1
<b>DETAILS OF WRITE-INS</b>				
3401.				
3402.				
3403.				
3498. Summary of remaining write-ins for Line 34 from overflow page	0	0	0.0	0.0
3499. Totals (Lines 3401 through 3403 plus 3498)(Line 34 above)	0	0	0.0	0.0

**PART 2 - DIRECT PREMIUMS WRITTEN**

Line of Business	1	2	3
	Current Quarter	Current Year to Date	Prior Year Year to Date
1. Fire	0		
2. Allied Lines	0		
3. Farmowners multiple peril	0		
4. Homeowners multiple peril	0		
5. Commercial multiple peril	0		
6. Mortgage guaranty	0		
8. Ocean marine	0		
9. Inland marine	0		
10. Financial guaranty	0		
11.1 Medical professional liability - occurrence	0		
11.2 Medical professional liability - claims-made	0		
12. Earthquake	0		
13. Group accident and health	0		
14. Credit accident and health	0		
15. Other accident and health	0		
16. Workers' compensation	0		
17.1 Other liability - occurrence	4,474,624	10,884,248	10,979,308
17.2 Other liability - claims-made	0		
17.3 Excess workers' compensation	0		
18.1 Products liability - occurrence	0		
18.2 Products liability - claims-made	0		
19.1,19.2 Private passenger auto liability	0		
19.3,19.4 Commercial auto liability	0		
21. Auto physical damage	0		
22. Aircraft (all perils)	0		
23. Fidelity	0		
24. Surety	0		
26. Burglary and theft	0		
27. Boiler and machinery	0		
28. Credit	0		
29. International	0		
30. Warranty	50,111,769	133,860,790	127,522,355
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	0	0	0
35. Totals	54,586,393	144,745,038	138,501,663
<b>DETAILS OF WRITE-INS</b>			
3401.			
3402.			
3403.			
3498. Summary of remaining write-ins for Line 34 from overflow page	0	0	0
3499. Totals (Lines 3401 through 3403 plus 3498)(Line 34 above)	0	0	0

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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 .....			0			0				0	0	0	0
2. 2018 .....			0	4	1	5				0	4	1	5
3. Subtotals 2018 + Prior .....	0	0	0	4	1	5	0	0	0	0	4	1	5
4. 2019 .....		277	277	282	188	470				0	282	(89)	193
5. Subtotals 2019 + Prior .....	0	277	277	286	189	475	0	0	0	0	286	(88)	198
6. 2020 .....	XXX	XXX	XXX	XXX	1,133	1,133	XXX		277	277	XXX	XXX	XXX
7. Totals .....	0	277	277	286	1,322	1,608	0	0	277	277	286	(88)	198
8. Prior Year-End Surplus As Regards Policyholders	82,203										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. 0.0	2. (31.8)	3. 71.5
													Col. 13, Line 7 As a % of Col. 1 Line 8
													4. 0.2

# 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.

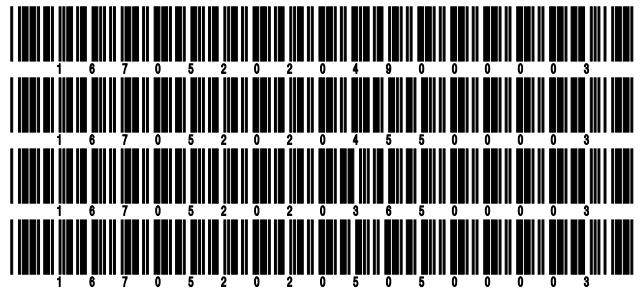
	Response
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement? .....	NO
2. Will Supplement A to Schedule T (Medical Professional Liability Supplement) be filed with this statement? .....	NO
3. Will the Medicare Part D Coverage Supplement be filed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

Explanations:

- 1.
- 2.
- 3.
- 4.

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]
4. Director and Officer Supplement [Document Identifier 505]



**OVERFLOW PAGE FOR WRITE-INS**

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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 .....	3,796,984	3,714,953
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....	19,401	220,110
3. Current year change in encumbrances .....		0
4. Total gain (loss) on disposals .....		
5. Deduct amounts received on disposals .....		
6. Total foreign exchange change in book/adjusted carrying value .....		0
7. Deduct current year's other than temporary impairment recognized .....		0
8. Deduct current year's depreciation .....	29,034	138,079
9. Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8) .....	3,787,351	3,796,984
10. Deduct total nonadmitted amounts .....		0
11. Statement value at end of current period (Line 9 minus Line 10) .....	3,787,351	3,796,984

**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 .....	214,442	232,013
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 .....	14,272	17,571
8. Deduct amortization of premium and mortgage interest points and commitment fees .....		
9. Total foreign exchange change in book value/recorded investment excluding accrued interest .....		
10. Deduct current year's other than temporary impairment recognized .....		
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) .....	200,170	214,442
12. Total valuation allowance .....		
13. Subtotal (Line 11 plus Line 12) .....	200,170	214,442
14. Deduct total nonadmitted amounts .....		
15. Statement value at end of current period (Line 13 minus Line 14) .....	200,170	214,442

**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 .....	131,668,109	120,964,030
2. Cost of bonds and stocks acquired .....	45,736,593	48,652,598
3. Accrual of discount .....	129,991	185,492
4. Unrealized valuation increase (decrease) .....	534,222	499,166
5. Total gain (loss) on disposals .....	(61,051)	168,978
6. Deduct consideration for bonds and stocks disposed of .....	31,736,497	38,429,941
7. Deduct amortization of premium .....	280,876	407,399
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 .....	121,570	35,185
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10) .....	146,112,062	131,668,109
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12) .....	146,112,062	131,668,109

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**SCHEDULE D - PART 1B**

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

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a) .....	100,144,863	16,505,630	8,019,231	(749,179)	97,958,356	100,144,863	107,882,083	100,614,562
2. NAIC 2 (a) .....	30,588,431	899,790	1,868,568	700,731	28,283,377	30,588,431	30,320,384	28,064,357
3. NAIC 3 (a) .....	1,083,264	0	0	(1,571)	1,234,559	1,083,264	1,081,693	
4. NAIC 4 (a) .....	0				0	0	0	
5. NAIC 5 (a) .....	0				0	0	0	
6. NAIC 6 (a) .....	0				0	0	0	
7. Total Bonds	131,816,558	17,405,420	9,887,799	(50,018)	127,476,292	131,816,558	139,284,160	128,678,919
<b>PREFERRED STOCK</b>								
8. NAIC 1 .....	0				0	0	0	0
9. NAIC 2 .....	0				0	0	0	0
10. NAIC 3 .....	0				0	0	0	0
11. NAIC 4 .....	0				0	0	0	0
12. NAIC 5 .....	0				0	0	0	0
13. NAIC 6 .....	0				0	0	0	0
14. Total Preferred Stock	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock	131,816,558	17,405,420	9,887,799	(50,018)	127,476,292	131,816,558	139,284,160	128,678,919

(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 \$ .....

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**SCHEDULE DA - PART 1**

Short-Term Investments

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

**SCHEDULE DA - VERIFICATION**

Short-Term Investments

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

**N O N E**

Schedule DB - Part B - Verification - Futures Contracts

**N O N E**

Schedule DB - Part C - Section 1 - Replication (Synthetic Asset) Transactions (RSATs) Open

**N O N E**

Schedule DB-Part C-Section 2-Reconciliation of Replication (Synthetic Asset) Transactions Open

**N O N E**

Schedule DB - Verification - Book/Adjusted Carrying Value, Fair Value and Potential Exposure of  
Derivatives

**N O N E**

**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 .....	1,703,683	2,773,571
2. Cost of cash equivalents acquired .....	50,863,002	38,705,309
3. Accrual of discount .....		
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....		
6. Deduct consideration received on disposals .....	47,738,801	39,775,197
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) .....	4,827,884	1,703,683
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11)	4,827,884	1,703,683

Schedule A - Part 2 - Real Estate Acquired and Additions Made

**N O N E**

Schedule A - Part 3 - Real Estate Disposed

**N O N E**

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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
	3 City	3 State						
<b>NONE</b>								
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 Consid-eration	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal	
	3 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
DAC002	Mokena	IL		08/21/2014	09/30/2020						0	3,432	3,432			0	
0299999. Mortgages with partial repayments							0	0	0	0	0	0	3,432	3,432	0	0	0
0599999 - Totals							0	0	0	0	0	0	3,432	3,432	0	0	0

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made

**N O N E**

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid

**N O N E**

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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
912828-3Z-1	UNITED STATES TREASURY		.09/04/2020	HSBC SECS INC, NEW YORK		277,910	250,000	152	1
912828-K7-4	UNITED STATES TREASURY		.08/28/2020	Various		1,843,637	1,700,000	1,478	1
912828-P4-6	UNITED STATES TREASURY		.09/04/2020	GOLDMAN SACHS & CO, NY		267,568	250,000	265	1
912828-R3-6	UNITED STATES TREASURY		.09/29/2020	NOMURA SECURITIES INTERNATIONAL		1,930,718	1,800,000	10,969	1
912828-T9-1	UNITED STATES TREASURY		.07/31/2020	INTL FcStone L.P.		1,467,813	1,400,000	5,873	1
912828-WJ-5	UNITED STATES TREASURY		.09/04/2020	NatWest Markets		108,449	100,000	788	1
912828-X8-8	UNITED STATES TREASURY		.09/04/2020	HSBC SECS INC, NEW YORK		282,002	250,000	1,872	1
912828-Z8-6	UNITED STATES TREASURY		.09/04/2020	HSBC SECS INC, NEW YORK		102,969	100,000	90	1
912828-ZD-5	UNITED STATES TREASURY		.08/28/2020	INTL FcStone Financial Inc.		1,513,770	1,500,000	3,444	1
<b>0599999. Subtotal - Bonds - U.S. Governments</b>						<b>7,794,835</b>	<b>7,350,000</b>	<b>24,930</b>	<b>XXX</b>
023051-YE-9	AMARILLO TEX INDP SCH DIST		.09/16/2020	HILLTOP SECURITIES		700,000	700,000	0	1FE
179093-KT-5	CLACKAMAS CNTY ORE SCH DIST NO 12 NORTH		.09/11/2020	PIPER JAFFRAY		1,000,000	1,000,000	0	1FE
79623P-ER-2	SAN ANTONIO TEX		.07/01/2020	SIEBERT BRANDFORD SHANK		1,400,000	1,400,000	0	1FE
<b>2499999. Subtotal - Bonds - U.S. Political Subdivisions of States, Territories and Possessions</b>						<b>3,100,000</b>	<b>3,100,000</b>	<b>0</b>	<b>XXX</b>
235036-6P-0	DALLAS FORT WORTH TEX INTL APPT REV		.09/03/2020	MORGAN STANLEY & CO LLC		709,051	700,000	884	1FE
68607D-VC-6	OREGON ST DEPT TRANSHIY USER TAX REV		.09/11/2020	MORGAN STANLEY & CO LLC		675,000	675,000	0	1FE
<b>3199999. Subtotal - Bonds - U.S. Special Revenues</b>						<b>1,384,051</b>	<b>1,375,000</b>	<b>884</b>	<b>XXX</b>
06051G-FS-3	BANK OF AMERICA CORP		.09/04/2020	MARKETAXESS CORPORATION		28,575	25,000	102	1FE
06367W-HH-9	BANK OF MONTREAL	C.	.09/04/2020	MERRILL LYNCH PROFESSIONAL CLR		218,112	200,000	623	1FE
191216-DD-9	COCA-COLA CO		.09/14/2020	CITIGROUP GLOBAL MARKETS INC.		399,684	400,000	0	1FE
20030N-CA-7	COMCAST CORP		.09/04/2020	MERRILL LYNCH PROFESSIONAL CLR		226,500	200,000	420	1FE
22546Q-AP-2	CREDIT SUISSE AG (NEW YORK BRANCH)		.09/04/2020	MORGAN STANLEY & CO INC, NY		27,841	25,000	0	1FE
314353-AA-1	FEDERAL EXPRESS CORPORATION 2020-1 PASS		.07/30/2020	CITIBANK, N.A.		1,000,000	1,000,000	0	1FE
38937L-AB-7	GRAY OAK PIPELINE, LLC		.09/11/2020	MIZUHO SECURITIES		599,982	600,000	0	2FE
391399-AA-0	GREAT-WEST LIFE CO US FINANCE 2020 LP		.08/10/2020	MORGAN STANLEY & CO LLC		1,000,000	1,000,000	0	1FE
86562M-AF-7	SUMITOMO MITSUI FINANCIAL GROUP INC	C.	.09/04/2020	MORGAN STANLEY & CO INC, NY		217,008	200,000	804	1FE
872540-AS-8	TJX COMPANIES INC		.09/04/2020	JANE STREET EXECUTION SERVICES LLC		230,922	200,000	3,292	1FE
89400P-AK-9	TRANSURBAN FINANCE COMPANY PTY LTD	C.	.09/09/2020	CITIBANK, N.A.		299,808	300,000	0	2FE
915271-AC-4	UNIVEST FINANCIAL CORP		.07/29/2020	US BANK N.A.		175,000	175,000	0	1Z
<b>3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)</b>						<b>4,423,432</b>	<b>4,325,000</b>	<b>5,241</b>	<b>XXX</b>
464287-17-6	ISHARES:TIPS BD ETF		.09/15/2020	TD Ameritrade		171,040	0	0	1Z
464288-58-8	ISHARES:MBS ETF		.09/15/2020	TD Ameritrade		151,828	0	0	1Z
464288-63-8	ISHARES:5-10 IG CORP BD		.09/15/2020	TD Ameritrade		190,125	0	0	1Z
921937-81-9	VANGUARD INT-T B ETF		.09/15/2020	TD Ameritrade		190,109	0	0	1Z
<b>8099999. Subtotal - Bonds - SVO Identified Funds</b>						<b>703,102</b>	<b>0</b>	<b>0</b>	<b>XXX</b>
<b>8399997. Total - Bonds - Part 3</b>						<b>17,405,420</b>	<b>16,150,000</b>	<b>31,056</b>	<b>XXX</b>
<b>8399998. Total - Bonds - Part 5</b>						<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>
<b>8399999. Total - Bonds</b>						<b>17,405,420</b>	<b>16,150,000</b>	<b>31,056</b>	<b>XXX</b>
<b>8999997. Total - Preferred Stocks - Part 3</b>						<b>0</b>	<b>XXX</b>	<b>0</b>	<b>XXX</b>
<b>8999998. Total - Preferred Stocks - Part 5</b>						<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>
<b>8999999. Total - Preferred Stocks</b>						<b>0</b>	<b>XXX</b>	<b>0</b>	<b>XXX</b>
023135-10-6	AMAZON COM ORD		.09/29/2020	Strategas Securities LLC		3,000	9,482	0	
026874-78-4	AMERICAN INTERNATIONAL GROUP ORD		.08/07/2020	BAYPOINT TRADING LLC		190,000	5,711	0	
037833-10-0	APPLE ORD		.09/04/2020	DIRECT		200,000	23,529	0	
101137-10-7	BOSTON SCIENTIFIC ORD		.07/17/2020	JP MORGAN SECURITIES LLC		240,000	9,022	0	
150870-10-3	CELANESE ORD		.09/01/2020	RBC CAPITAL MARKETS, LLC		93,000	9,637	0	
191216-10-0	COCA-COLA ORD		.07/27/2020	MORGAN STANLEY & CO INC, NY		180,000	8,726	0	
22052L-10-4	CORTEVA ORD		.09/01/2020	Various		0,000	(120)	0	
260557-10-3	DOW ORD		.09/01/2020	Various		0,000	(199)	0	
26078J-10-0	DUPONT DE NEMOURS ORD		.09/01/2020	Various		0,000	(647)	0	
26614N-10-2	DUPONT DE NEMOURS ORD		.09/01/2020	Various		0,000	(288)	0	
302491-30-3	FMC ORD		.07/15/2020	JP MORGAN SECURITIES LLC		210,000	22,505	0	
366505-10-5	GARRETT MOTION ORD	C.	.09/01/2020	Unknown		(21,900)	(259)	0	
366505-10-5	GARRETT MOTION ORD	C.	.09/01/2020	Various		21,900	251	0	
438516-10-6	HONEYWELL INTERNATIONAL ORD		.04/22/2020	Various		(8,000)	(1,968)	0	
438516-10-6	HONEYWELL INTERNATIONAL ORD		.04/22/2020	Various		8,000	519	0	
45687V-10-6	INGERSOLL RAND ORD		.03/02/2020	EXCHANGE		0,000	(356)	0	
517834-10-7	LAS VEGAS SANDS ORD		.09/17/2020	Various		540,000	27,027	0	

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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	
532457-10-8	ELI LILLY ORD		.08/03/2020	GOLDMAN SACHS & CO, NY	73.000	11.200		0		
55024U-10-9	LUMENTUM HOLDINGS ORD		.09/04/2020	Various	110.000	8.751		0		
595112-10-3	MICRON TECHNOLOGY ORD		.09/04/2020	Strategas Securities LLC	120.000	5.526		0		
64110L-10-6	NETFLIX ORD		.08/03/2020	GOLDMAN SACHS & CO, NY	22.000	10.960		0		
717081-10-3	PFIZER ORD		.08/24/2020	CREDIT SUISSE, NEW YORK (CSUS)	130.000	5.049		0		
76118Y-10-4	RESIDEO TECHNOLOGIES ORD		.09/01/2020	Various	0.000	(23)		0		
83088M-10-2	SKYWORKS SOLUTIONS ORD		.09/09/2020	Various	169.000	22.387		0		
87165B-10-3	SYNCHRONY FINANCIAL ORD		.08/07/2020	Various	820.000	18.864		0		
882508-10-4	TEXAS INSTRUMENTS ORD		.09/09/2020	Various	70.000	9.481		0		
89832Q-10-9	TRUIST FINANCIAL ORD		.08/03/2020	CITIGROUP GLOBAL MARKETS INC.	150.000	5.673		0		
92826C-83-9	VISA CL A ORD		.08/03/2020	MORGAN STANLEY & CO INC, NY	57.000	10.906		0		
931142-10-3	WALMART ORD		.09/01/2020	WELLS FARGO ADVISORS LLC	1,014.000	149.619		0		
988498-10-1	YUM BRANDS ORD		.06/03/2020	Various	150.000	8.248		0		
988498-10-1	YUM BRANDS ORD		.06/03/2020	SEI FINANCIAL SERVICES CO	(150.000)	(8.248)		0		
65960L-10-3	MEDTRONIC ORD	C.	.08/24/2020	CREDIT SUISSE, NEW YORK (CSUS)	50.000	5.045		0		
68994E-10-3	TRANE TECHNOLOGIES ORD	C.	.04/22/2020	EXCHANGE	0.000	(1.232)		0		
<b>9099999. Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated) Publicly Traded</b>							374,775	XXX	0	XXX
00143W-30-5	INVESCO CORE BOND Y		.09/30/2020	Various	22,899.337	161.698		0		
015565-36-9	ALGER-SM CAP FOC Z		.09/15/2020	TD AMERITRADE	1,442.125	38.024		0		
015570-77-3	ALGER INST:FOCUS EQTY Z		.09/15/2020	TD Ameritrade	1,422.422	76.024		0		
02508J-70-5	AMER CENT:SHT DUR I		.09/30/2020	Various	18,410.206	190.937		0		
09260B-63-0	BLACKROCK:HY BD I		.09/30/2020	Various	17,877.449	134.088		0		
277923-56-1	EATON VANCE SD G INC I		.09/30/2020	Various	23,532.647	190.876		0		
316071-10-9	FIDELITY CONTRAFUND		.09/15/2020	TD Ameritrade	4,542.738	76.024		0		
31635V-21-6	FIDELITY SH TR TRS BD IX		.09/30/2020	DIVIDEND REINVESTMENT	61.794	673		0		
464288-68-7	ISHARES:PREF AND INC SEC		.09/15/2020	TD Ameritrade	4,167.000	152.698		0		
74253Q-74-7	PRINCIPAL:MIDCAP INST		.09/15/2020	TD Ameritrade	1,176.470	38.024		0		
921908-84-4	VANGUARD DIV A I ETF		.09/15/2020	TD Ameritrade	1,172.000	153.029		0		
921937-80-1	VANGUARD INT-T B ADM		.09/01/2020	DIVIDEND REINVESTMENT	54.085	685		0		
<b>9499999. Subtotal - Common Stocks - Mutual Funds</b>							1,212,780	XXX	0	XXX
<b>9799997. Total - Common Stocks - Part 3</b>							1,587,556	XXX	0	XXX
<b>9799998. Total - Common Stocks - Part 5</b>							XXX	XXX	XXX	XXX
<b>9799999. Total - Common Stocks</b>							1,587,556	XXX	0	XXX
<b>9899999. Total - Preferred and Common Stocks</b>							1,587,556	XXX	0	XXX
<b>9999999 - Totals</b>							18,992,976	XXX	31,056	XXX

E04.1

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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	
912828-5S-5	UNITED STATES TREASURY		09/17/2020	JP MORGAN SECURITIES LLC		110,773	110,000	110,950	110,915	.0	(652)	.0	(652)	.0	110,263	.0	510	510	1,965	12/31/2020	1	
912828-K7-4	UNITED STATES TREASURY		09/14/2020	Various		1,166,704	1,075,000	1,143,030	329,656	.0	(899)	.0	(899)	.0	1,142,126	.0	24,578	24,578	8,102	08/15/2025	1	
912828-KD-1	UNITED STATES TREASURY		09/01/2020	Maturity @ 100.00		.0	.0	.0	.0	.0	371	.0	371	.0	371	.0	(371)	.0	.0	02/15/2019	1	
912828-T9-1	UNITED STATES TREASURY		09/14/2020	Various		941,431	900,000	943,594	.0	.0	(899)	.0	(899)	.0	942,694	.0	(1,264)	(1,264)	4,756	10/31/2023	1	
912828-VP-2	UNITED STATES TREASURY		07/31/2020	Maturity @ 100.00		350,000	350,000	350,322	349,691	.0	309	.0	309	.0	350,000	.0	.0	.0	7,000	07/31/2020	1	
912828-ZD-5	UNITED STATES TREASURY		09/10/2020	INTL FCStone L.P.		1,664,102	1,650,000	1,665,170	.0	.0	(410)	.0	(410)	.0	1,664,760	.0	(658)	(658)	.0	03/15/2023	1	
<b>059999 Subtotal - Bonds - U.S. Governments</b>						<b>4,233,010</b>	<b>4,085,000</b>	<b>4,213,065</b>	<b>790,263</b>	<b>0</b>	<b>(2,181)</b>	<b>0</b>	<b>(2,181)</b>	<b>0</b>	<b>4,210,214</b>	<b>0</b>	<b>22,796</b>	<b>22,796</b>	<b>25,701</b>	<b>XXX</b>	<b>XXX</b>	
3132DV-3Z-6	FH SDB016 - RMBS		09/01/2020	Paydown		204,433	204,433	207,275	207,212	.0	(2,779)	.0	(2,779)	.0	204,433	.0	.0	.0	4,119	10/01/2049	1	
3132XC-RY-3	FH G67703 - RMBS		09/01/2020	Paydown		45,016	45,016	44,397	44,405	.0	611	.0	611	.0	45,016	.0	.0	.0	1,049	04/01/2047	1	
31335B-YF-8	FH G61578 - RMBS		09/01/2020	Paydown		99,272	99,272	102,653	102,647	.0	(3,375)	.0	(3,375)	.0	99,272	.0	.0	.0	2,978	08/01/2048	1	
3137F3-Y4-1	FHR 4764 XV - CMO/RMBS		09/01/2020	Paydown		12,411	12,411	12,415	12,412	.0	(1)	.0	(1)	.0	12,411	.0	.0	.0	290	03/15/2031	1	
31397S-5N-0	FNR 2011-43 B - CMO/RMBS		09/01/2020	Paydown		56,768	56,768	56,679	56,671	.0	97	.0	97	.0	56,768	.0	.0	.0	1,295	05/25/2031	1	
3140J9-CJ-6	FN BMA581 - RMBS		09/01/2020	Paydown		52,828	52,828	53,950	53,888	.0	(1,060)	.0	(1,060)	.0	52,828	.0	.0	.0	1,986	09/01/2033	1	
31418D-GG-1	FN MA3798 - RMBS		09/01/2020	Paydown		142,648	142,648	146,259	146,131	.0	(3,483)	.0	(3,483)	.0	142,648	.0	.0	.0	2,859	10/01/2034	1	
31418D-JR-4	FN MA3871 - RMBS		09/01/2020	Paydown		199,794	199,794	202,479	202,481	.0	(2,686)	.0	(2,686)	.0	199,794	.0	.0	.0	4,032	12/01/2049	1	
31418D-KK-7	FN MA3897 - RMBS		09/01/2020	Paydown		138,950	138,950	142,597	142,580	.0	(3,630)	.0	(3,630)	.0	138,950	.0	.0	.0	2,797	01/01/2035	1	
31418D-O4-7	FN MA4074 - RMBS		09/01/2020	Paydown		46,031	46,031	47,663	.0	.0	(1,633)	.0	(1,633)	.0	46,031	.0	.0	.0	166	07/01/2035	1	
34074G-DH-4	FLORIDA HURRICANE CATASTROPHE FD FIN COR		07/01/2020	Maturity @ 100.00		125,000	125,000	129,246	125,522	.0	(622)	.0	(622)	.0	125,000	.0	.0	.0	3,744	07/01/2020	1FE	
<b>319999 Subtotal - Bonds - U.S. Special Revenues</b>						<b>1,123,150</b>	<b>1,123,150</b>	<b>1,145,615</b>	<b>1,093,948</b>	<b>0</b>	<b>(18,462)</b>	<b>0</b>	<b>(18,462)</b>	<b>0</b>	<b>1,123,150</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>24,713</b>	<b>XXX</b>	<b>XXX</b>	
00206R-ON-0	AT&T INC		08/12/2020	TENDER		447,544	400,000	381,084	384,944	.0	1,554	.0	1,554	.0	386,498	.0	13,502	13,502	57,631	05/15/2025	2FE	
02007P-AD-5	ALLYA 2017-1 A4 - ABS		09/15/2020	Paydown		152,610	152,610	152,578	152,604	.0	.7	.0	.7	.0	152,610	.0	.0	.0	2,020	11/15/2021	1FE	
02377L-AA-2	AAL 2019-1 AA - ABS		08/15/2020	Paydown		9,686	9,686	9,686	9,686	.0	.0	.0	.0	.0	9,686	.0	.0	.0	305	08/15/2033	2FE	
126650-CJ-7	CVS HEALTH CORP		07/20/2020	Maturity @ 100.00		615,000	615,000	630,369	616,842	.0	(1,842)	.0	(1,842)	.0	615,000	.0	.0	.0	17,220	07/20/2020	2FE	
34528Q-EC-4	FOROF 2015-5 A - ABS		08/15/2020	Paydown		650,000	650,000	652,844	650,303	.0	(303)	.0	(303)	.0	650,000	.0	.0	.0	10,357	08/15/2022	1FE	
375558-BB-8	GILEAD SCIENCES INC		09/01/2020	Maturity @ 100.00		500,000	500,000	514,510	502,248	.0	(2,248)	.0	(2,248)	.0	500,000	.0	.0	.0	12,750	09/01/2020	1FE	
53944V-AK-5	LLOYDS BANK PLC	C	08/17/2020	Maturity @ 100.00		200,000	200,000	198,378	199,572	.0	428	.0	428	.0	200,000	.0	.0	.0	5,400	08/17/2020	1FE	
655664-AS-9	NORDSTROM INC		08/05/2020	MARKETAXESS		342,220	400,000	408,352	408,095	.0	(614)	.0	(614)	.0	407,481	.0	(65,261)	(65,261)	14,311	03/15/2027	2FE	
744448-CD-1	PUBLIC SERVICE COMPANY OF COLORADO		07/10/2020	Call @ 100.00		535,000	535,000	562,221	537,311	.0	(2,311)	.0	(2,311)	.0	535,000	.0	.0	.0	11,176	11/15/2020	1FE	
88161N-AA-7	TESLA 2018-B A - ABS		09/20/2020	Paydown		38,256	38,256	38,253	38,255	.0	.2	.0	.2	.0	38,256	.0	.0	.0	949	08/20/2021	1FE	
91324P-CM-2	UNITEDHEALTH GROUP INC		07/15/2020	Maturity @ 100.00		610,000	610,000	620,582	611,305	.0	(1,305)	.0	(1,305)	.0	610,000	.0	.0	.0	16,470	07/15/2020	1FE	
94106L-BH-1	WASTE MANAGEMENT INC		07/20/2020	Call @ 100.00		454,500	450,000	449,879	449,895	.0	.8	.0	.8	.0	449,904	.0	96	96	13,100	06/15/2026	2FE	
<b>839999 Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)</b>						<b>4,554,817</b>	<b>4,560,552</b>	<b>4,618,735</b>	<b>4,561,058</b>	<b>0</b>	<b>(6,624)</b>	<b>0</b>	<b>(6,624)</b>	<b>0</b>	<b>4,554,435</b>	<b>0</b>	<b>(51,662)</b>	<b>(51,662)</b>	<b>161,688</b>	<b>XXX</b>	<b>XXX</b>	
<b>8399997. Total - Bonds - Part 4</b>						<b>9,910,976</b>	<b>9,768,702</b>	<b>9,977,415</b>	<b>6,445,270</b>	<b>0</b>	<b>(27,267)</b>	<b>0</b>	<b>(27,267)</b>	<b>0</b>	<b>9,887,799</b>	<b>0</b>	<b>(28,867)</b>	<b>(28,867)</b>	<b>212,101</b>	<b>XXX</b>	<b>XXX</b>	
<b>8399998. Total - Bonds - Part 5</b>						<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	
<b>8399999. Total - Bonds</b>						<b>9,910,976</b>	<b>9,768,702</b>	<b>9,977,415</b>	<b>6,445,270</b>	<b>0</b>	<b>(27,267)</b>	<b>0</b>	<b>(27,267)</b>	<b>0</b>	<b>9,887,799</b>	<b>0</b>	<b>(28,867)</b>	<b>(28,867)</b>	<b>212,101</b>	<b>XXX</b>	<b>XXX</b>	
<b>8999997. Total - Preferred Stocks - Part 4</b>						<b>0</b>	<b>XXX</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>XXX</b>	<b>XXX</b>
<b>8999998. Total - Preferred Stocks - Part 5</b>						<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>	<b>XXX</b>
<b>8999999. Total - Preferred Stocks</b>						<b>0</b>	<b>XXX</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>XXX</b>	<b>XXX</b>
00206R-10-2	AT&T ORD		07/06/2020	JP MORGAN SECURITIES LLC		250,000	7,582	9,817	9,770	.47	.0	.0	.47	.0	9,817	.0	(2,235)	(2,235)	260			
002824-10-0	ABBOTT LABORATORIES ORD		09/01/2020	Adjustment		(10,000)	(703)	3,141	5,443	.0	.0	.0	.0	3,141	.0	(3,844)	(3,844)	.0				
002824-10-0	ABBOTT LABORATORIES ORD		09/01/2020	Adjustment		10,000	703	669	869	(200)	.0	.0	(200)	.0	669	.0	34	34	(13)			
00724F-10-1	ADOBE ORD		07/16/2020	JP MORGAN SECURITIES LLC		6,000	22,076	17,136	17,705	(4,305)	.0	.0	(4,305)	.0	17,136	.0	4,940	4,940	.0			
00724F-10-1	ADOBE ORD		07/16/2020	Adjustment		15,000	(13,213)	2,959	4,947	(1,988)	.0	.0	(1,988)	.0	2,959	.0	(16,173)	(16,173)	.0			
007903-10-7	ADVANCED MICRO DEVICES ORD		09/01/2020	Various		(30,000)	7,250	3,268	3,660	(6,404)	.0	.0	(6,404)	.0	3,268	.0	3,982	3,982	.0			
007903-10-7	ADVANCED MICRO DEVICES ORD		09/01/2020	Adjustment		190,000	5,490	6,082	8,713	(2,631)	.0	.0	(2,631)	.0	6,082	.0	(592)	(592)	.0			
009158-10-6	AIR PRODUCTS AND CHEMICALS ORD		09/03/2020	TD Ameritrade		4,000	1,190	806	.0	.0	.0	.0	.0	806	.0	384	384	.11				
016255-10-1	ALIGN TECHNOLOGY ORD		04/22/2020	Adjustment		0,000	(2,012)	.0	.0	.0	.0	.0	.0	.0	.0	.0	(2,012)	(2,012)	.0			
016255-10-1	ALIGN TECHNOLOGY ORD		04/22/2020	Adjustment		0,000	2,012	.0	.0	.0	.0	.0	.0	.0	.0	.0	2,012	2,012	.0			
02079K-30-5	ALPHABET CL A ORD		09/01/2020	Adjustment		29,000	24,607	25,128	38,842	(13,715)	.0	.0	(13,715)	.0	25,128	.0	(521)	(521)	.0			
02079K-30-5	ALPHABET CL A ORD		09/09/2020	Various		(23,000)	(15,260)	(10,968)	1,041	(150)	.0	.0	(150)	.0	(10,968)	.0	(4,293)	(4,293)	.0			
02079K-30-5	ALPHABET CL A ORD		09/03/2020	TD Ameritrade		3,000	4,952	3,329	.0													

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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
.023135-10-6	AMAZON COM ORD		06/03/2020	Adjustment	13.000	(2,763)		11,957	24,022	(12,065)	0	0	(12,065)	0	11,957	0	(14,720)	(14,720)	0		
.03027X-10-0	AMERICAN TOWER REIT		09/01/2020	Adjustment	(12.000)	1,552		3,528	13,265	(5,075)	0	0	(5,075)	0	3,528	0	(1,976)	(1,976)	(253)		
.03027X-10-0	AMERICAN TOWER REIT		09/01/2020	Adjustment	12.000	(1,552)		1,822	2,758	(936)	0	0	(936)	0	1,822	0	(3,374)	(3,374)	(393)		
.031162-10-0	AMGEN ORD		06/10/2020	Adjustment	0.000	0		136	554	(417)	0	0	(417)	0	136	0	(136)	(136)	0		
.032654-10-5	ANALOG DEVICES ORD		09/03/2020	TD Ameritrade	9.000	1,063		808	0	0	0	0	0	808	0	254	254	0	11		
.032654-10-5	ANALOG DEVICES ORD		09/03/2020	WELLS FARGO ADVISORS LLC	0.000	0		0	0	0	0	0	0	0	0	0	0	0	0	221	
.037833-10-0	APPLE ORD	C	06/11/2020	TD Ameritrade	(96.000)	(13,914)		(14,518)	(92,810)	92,810	0	0	92,810	0	(14,518)	0	603	603	35		
.037833-10-0	APPLE ORD		09/03/2020	Adjustment	181.000	24,376		37,974	98,681	(60,707)	0	0	(60,707)	0	37,974	0	(13,598)	(13,598)	(1,387)		
.060505-10-4	BANK OF AMERICA ORD		09/01/2020	Adjustment	(300.000)	(8,932)		(674)	7,307	(2,034)	0	0	(2,034)	0	(674)	0	(8,257)	(8,257)	(56)		
.060505-10-4	BANK OF AMERICA ORD		09/01/2020	Adjustment	300.000	8,932		5,081	10,566	(5,485)	0	0	(5,485)	0	5,081	0	3,850	3,850	(349)		
.090616-10-1	BIOMARIN PHARMACEUTICAL ORD		08/24/2020	FENNER & SMITH/BAS	143.000	10,452		17,676	0	0	0	0	0	17,676	0	(7,224)	(7,224)	0			
.110122-10-8	BRISTOL MYERS SQUIBB ORD		09/01/2020	Adjustment	(50.000)	(2,960)		(3,005)	0	0	0	0	0	(3,005)	0	45	45	0			
.110122-10-8	BRISTOL MYERS SQUIBB ORD		09/01/2020	Adjustment	50.000	2,960		3,533	3,210	323	0	0	323	0	3,533	0	(573)	(573)	(274)		
.11135F-10-1	BROADCOM ORD		09/01/2020	Adjustment	0.000	0		(4,491)	0	(5,972)	0	0	(5,972)	0	(4,491)	0	4,491	4,491	(331)		
.126408-10-3	CSX ORD		09/01/2020	Adjustment	(30.000)	(2,283)		(1,160)	(1,160)	0	0	0	0	(1,160)	0	(1,123)	(1,123)	0			
.126408-10-3	CSX ORD		09/01/2020	Adjustment	30.000	2,283		2,215	2,171	44	0	0	44	0	2,215	0	68	68	(22)		
.126650-10-0	CVS HEALTH ORD		06/23/2020	Adjustment	0.000	0		562	0	0	0	0	0	562	0	(562)	(562)	0			
.14448C-10-4	CARRIER GLOBAL ORD		09/03/2020	TD Ameritrade	21.000	613		296	0	0	0	0	0	296	0	316	316	2			
.150870-10-3	CELANESE ORD		09/01/2020	Adjustment	(111.000)	(11,148)		(6,217)	577	0	0	0	0	(6,217)	0	(4,931)	(4,931)	0			
.150870-10-3	CELANESE ORD		09/01/2020	Adjustment	111.000	11,148		7,525	13,666	(6,142)	0	0	(6,142)	0	7,525	0	3,623	3,623	(516)		
.166764-10-0	CHEVRON ORD		09/01/2020	Adjustment	(31.000)	(3,402)		(483)	4,572	0	0	0	0	(483)	0	(2,919)	(2,919)	0			
.166764-10-0	CHEVRON ORD		09/01/2020	Adjustment	31.000	3,402		3,177	3,736	(559)	0	0	(559)	0	3,177	0	225	225	(338)		
.194162-10-3	COLGATE PALMOLIVE ORD		09/03/2020	TD Ameritrade	28.000	2,200		1,879	0	0	0	0	0	1,879	0	322	322	25			
.20030N-10-1	COMCAST CL A ORD		04/22/2020	Adjustment	140.000	1,243		5,422	20,338	(468)	0	0	(468)	0	5,422	0	(4,178)	(4,178)	163		
.20030N-10-1	COMCAST CL A ORD		04/22/2020	Adjustment	(140.000)	(1,243)		0	0	0	0	0	0	0	0	0	(1,243)	(1,243)	(1,109)		
.21036P-10-8	CONSTELLATION BRANDS CL A ORD		04/22/2020	Adjustment	50.000	12,483		8,329	9,488	(1,159)	0	0	(1,159)	0	8,329	0	4,154	4,154	(507)		
.21036P-10-8	CONSTELLATION BRANDS CL A ORD		09/02/2020	RBC CAPITAL MARKETS, LLC	43.000	4,944		8,218	8,159	59	0	0	59	0	8,218	0	(3,274)	(3,274)	716		
.22052L-10-4	CORTEVA ORD		09/01/2020	Adjustment	0.000	0		(120)	(3,424)	0	0	0	0	(120)	0	120	120	0			
.22160K-10-5	COSTCO WHOLESALE ORD		09/01/2020	Adjustment	82.000	15,529		13,808	24,101	(10,293)	0	0	(10,293)	0	13,808	0	1,721	1,721	(567)		
.22160K-10-5	COSTCO WHOLESALE ORD		09/17/2020	(NWSUS33)	(70.000)	(11,476)		(8,505)	(2,404)	0	0	0	0	(8,505)	0	(2,971)	(2,971)	17			
.22788C-10-5	CRONDSRIKE HOLDINGS CL A ORD		09/09/2020	Various	72.000	7,729		5,681	0	0	0	0	0	5,681	0	2,048	2,048	0			
.244199-10-5	DEERE ORD		09/01/2020	Adjustment	0.000	0		226	226	0	0	0	0	226	0	(226)	(226)	0			
.254687-10-6	WALT DISNEY ORD		09/03/2020	TD Ameritrade	(13.000)	(365)		(890)	3,819	0	0	0	0	(890)	0	505	505	2			
.254687-10-6	WALT DISNEY ORD		04/22/2020	Adjustment	53.000	5,718		5,884	7,665	(1,782)	0	0	(1,782)	0	5,884	0	(166)	(166)	(127)		
.260543-10-3	THE DOW CHEMICAL COMPANY		09/01/2020	Adjustment	0.000	(239)		0	0	0	0	0	0	0	0	(239)	(239)	0			
.260557-10-3	DOW ORD		04/22/2020	Adjustment	0.000	0		(199)	(5,666)	0	0	0	0	(199)	0	199	199	0			
.26078J-10-0	DUPONT DE NEMOURS ORD		09/01/2020	Adjustment	0.000	(1,015)		(647)	(14,814)	0	0	0	0	(647)	0	(368)	(368)	0			
.26614N-10-2	DUPONT DE NEMOURS ORD		04/22/2020	Adjustment	0.000	0		(288)	(8,201)	0	0	0	0	(288)	0	288	288	0			
.291011-10-4	EMERSON ELECTRIC ORD		09/03/2020	TD Ameritrade	31.000	2,130		1,399	0	0	0	0	0	1,399	0	731	731	31			
.29444U-70-0	EQUINIX REIT ORD		09/01/2020	Adjustment	(19.000)	(8,504)		(8,328)	(8,328)	0	0	0	0	(8,328)	0	(176)	(176)	0			
.29444U-70-0	EQUINIX REIT ORD		09/01/2020	Adjustment	19.000	8,504		8,939	11,090	(2,151)	0	0	(2,151)	0	8,939	0	(435)	(435)	(200)		
.30040W-10-8	EVERSOURCE ENERGY ORD		09/03/2020	TD Ameritrade	35.000	3,024		2,842	0	0	0	0	0	2,842	0	182	182	20			
.30063P-10-5	EXACT SCIENCES ORD		04/22/2020	Adjustment	0.000	384		0	0	0	0	0	0	0	0	384	384	0			
.30063P-10-5	EXACT SCIENCES ORD		04/22/2020	Adjustment	0.000	(384)		0	0	0	0	0	0	0	0	(384)	(384)	0			
.30161N-10-1	EXELON ORD		08/03/2020	NY	150.000	7,707		13,284	26,510	(53)	0	0	(53)	0	13,284	0	(5,577)	(5,577)	12		
.30161N-10-1	EXELON ORD		08/03/2020	Adjustment	0.000	(2,001)		0	0	0	0	0	0	0	0	(2,001)	(2,001)	(1,841)			
.30303M-10-2	FACEBOOK CL A ORD		09/03/2020	TD Ameritrade	(77.000)	(2,896)		(3,645)	728	0	0	0	0	(3,645)	0	749	749	0			
.30303M-10-2	FACEBOOK CL A ORD		09/01/2020	Adjustment	102.000	10,053		13,377	20,936	(7,558)	0	0	(7,558)	0	13,377	0	(3,324)	(3,324)	0		
.366505-10-5	GARRETT MOTION ORD	C	09/01/2020	Adjustment	(21.900)	(303)		(259)	0	0	0	0	0	(259)	0	(44)	(44)	0			
.366505-10-5	GARRETT MOTION ORD	C	09/01/2020	Adjustment	21.900	303		251	0	0	0	0	0	251	0	52	52	0			
.437076-10-2	HOME DEPOT ORD		09/01/2020	Adjustment	(117.000)	(20,235)		(13,289)	0	0	0	0	0	(13,289)	0	(6,945)	(6,945)	0			
.437076-10-2	HOME DEPOT ORD		09/01/2020	Adjustment	117.000	20,235		16,833	25,550	(8,718)	0	0	(8,718)	0	16,833	0	3,402	3,402	(1,258)		
.438516-10-6	HONEYWELL INTERNATIONAL ORD		09/01/2020	Adjustment	(8.000)	(1,293)		42	14,739	(14,697)	0	0	(14,697)	0	42	0	(1,335)	(1,335)	(860)		

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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	For-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
438516-10-6	HONEYWELL INTERNATIONAL ORD		09/01/2020	Adjustment	.8,000	(.187)		.519	.0	.0	.0	.0	.0	.519	.0	(.707)	(.707)	.13			
452308-10-9	ILLINOIS TOOL ORD		09/03/2020	TD Ameritrade	(62,000)	(8,649)		(5,411)	(2,024)	.0	.0	.0	.0	(5,411)	.0	(3,238)	(3,238)	.15			
452308-10-9	ILLINOIS TOOL ORD		09/01/2020	Adjustment	69,000	10,018		8,740	12,394	(3,654)	.0	.0	(3,654)	8,740	.0	1,278	1,278	(.431)			
45687V-10-6	INGERSOLL RAND ORD		04/22/2020	Adjustment	0.000	.0		(356)	.0	.0	.0	.0	.0	(356)	.0	.356	.356	.0			
46625H-10-0	JPMORGAN CHASE ORD		09/01/2020	Adjustment	0.000	.0		.565	.565	.0	.0	.0	.0	.565	.0	(.565)	(.565)	.0			
478160-10-4	JOHNSON & JOHNSON ORD		06/25/2020	Adjustment	0.000	.863		.0	.0	.0	.0	.0	.0	.0	.0	.863	.863	.739			
478160-10-4	JOHNSON & JOHNSON ORD		06/25/2020	Adjustment	0.000	(.863)		.0	.0	.0	.0	.0	.0	.0	.0	(.863)	(.863)	(.739)			
482480-10-0	KLA ORD		09/01/2020	RBC CAPITAL MARKETS, LLC	10.000	2,059		1,745	1,782	(37)	.0	.0	(37)	1,745	.0	.314	.314	.26			
502431-10-9	L3HARRIS TECHNOLOGIES ORD		09/03/2020	TD Ameritrade	7.000	1,275		1,099	.0	.0	.0	.0	1,099	.0	.176	.176	.6				
58933Y-10-5	MERCK & CO ORD		06/23/2020	JP MORGAN SECURITIES LLC	0.000	3,046		.0	.0	.0	.0	.0	.0	.0	.0	3,046	3,046	1,067			
58933Y-10-5	MERCK & CO ORD		06/23/2020	Adjustment	0.000	(3,046)		.0	.0	.0	.0	.0	.0	.0	.0	(3,046)	(3,046)	(.909)			
594918-10-4	MICROSOFT ORD		09/03/2020	TD Ameritrade	(28,000)	16,624		10,795	3,976	.0	.0	.0	.0	10,795	.0	5,829	5,829	.71			
594918-10-4	MICROSOFT ORD		06/04/2020	Adjustment	83.000	(4,475)		4,468	13,089	(8,621)	.0	.0	(8,621)	4,468	.0	(8,943)	(8,943)	(1,032)			
595112-10-3	MICRON TECHNOLOGY ORD		09/01/2020	Adjustment	0.000	.0		1,320	1,320	.0	.0	.0	.0	1,320	.0	(1,320)	(1,320)	.0			
609207-10-5	MONDELEZ INTERNATIONAL CL A ORD		09/01/2020	Adjustment	(300,000)	(13,416)		(12,067)	2,984	(349)	.0	.0	(349)	(12,067)	.0	(1,350)	(1,350)	.0			
609207-10-5	MONDELEZ INTERNATIONAL CL A ORD		09/01/2020	Adjustment	300,000	13,416		13,497	16,524	(3,027)	.0	.0	(3,027)	13,497	.0	(.81)	(.81)	(.522)			
64110L-10-6	NETFLIX ORD		09/03/2020	TD Ameritrade	(19,000)	(4,785)		(6,889)	(9,240)	.0	.0	.0	.0	(6,889)	.0	2,104	2,104	.0			
64110L-10-6	NETFLIX ORD		09/01/2020	Adjustment	26,000	8,513		9,604	8,413	1,191	.0	.0	1,191	9,604	.0	(1,090)	(1,090)	.0			
65339F-10-1	NEXTERA ENERGY ORD		08/03/2020	GOLDMAN SACHS & CO, NY	20,000	5,557		5,717	8,885	(4,860)	.0	.0	(4,860)	5,717	.0	(160)	(160)	(.144)			
654106-10-3	NIKE CL B ORD		04/22/2020	Adjustment	0.000	(.159)		.0	.0	.0	.0	.0	.0	.0	.0	(.159)	(.159)	(.21)			
654106-10-3	NIKE CL B ORD		09/17/2020	DEUTSCHE BK SECS INC, NY	49,000	5,868		6,121	8,434	(1,313)	.0	.0	(1,313)	6,121	.0	(253)	(253)	.36			
655844-10-8	NORFOLK SOUTHERN ORD		09/03/2020	TD Ameritrade	5,000	1,054		653	.0	.0	.0	.0	.0	653	.0	.400	.400	.9			
66987V-10-9	NOVARTIS ADR REPSG 1 ORD	C	09/03/2020	TD Ameritrade	20,000	1,739		1,537	.0	.0	.0	.0	.0	1,537	.0	.202	.202	.0			
67066G-10-4	NVIDIA ORD		09/04/2020	Strategas Securities LLC	22,000	10,739		6,072	.0	.0	.0	.0	.0	6,072	.0	4,667	4,667	.7			
68902V-10-7	OTIS WORLDWIDE ORD		09/03/2020	TD Ameritrade	10,000	.622		.424	.0	.0	.0	.0	.0	.424	.0	.198	.198	.4			
70450Y-10-3	PAYPAL HOLDINGS ORD		09/01/2020	Various	188,000	35,393		20,806	11,319	106	.0	.0	106	20,806	.0	14,586	14,586	.0			
717081-10-3	PFIZER ORD		09/01/2020	Adjustment	(310,000)	(12,945)		(11,011)	(11,011)	.0	.0	.0	.0	(11,011)	.0	(1,934)	(1,934)	.0			
717081-10-3	PFIZER ORD		09/01/2020	Adjustment	310,000	12,945		12,809	12,146	663	.0	.0	663	12,809	.0	136	136	(.320)			
718172-10-9	PHILIP MORRIS INTERNATIONAL ORD		04/22/2020	Adjustment	(158,000)	(16,834)		(11,239)	(5,989)	965	.0	.0	965	(11,239)	.0	(5,594)	(5,594)	(.168)			
718172-10-9	PHILIP MORRIS INTERNATIONAL ORD		04/22/2020	Adjustment	158,000	16,834		15,722	13,444	2,277	.0	.0	2,277	15,722	.0	1,112	1,112	(.2,149)			
718546-10-4	PHILLIPS 66 ORD		09/03/2020	TD Ameritrade	9,000	.537		.566	.0	.0	.0	.0	.0	.566	.0	(.29)	(.29)	.16			
723787-10-7	PIONEER NATURAL RESOURCE ORD		09/01/2020	Adjustment	(42,000)	(7,347)		(4,876)	2,551	.0	.0	.0	.0	(4,876)	.0	(2,472)	(2,472)	.0			
723787-10-7	PIONEER NATURAL RESOURCE ORD		09/01/2020	Adjustment	42,000	7,347		7,420	6,358	1,062	.0	.0	1,062	7,420	.0	(.73)	(.73)	(.47)			
731068-10-2	POLARIS INDUSTRIES ORD		09/03/2020	TD Ameritrade	17,000	1,693		.891	.0	.0	.0	.0	.0	.891	.0	.803	.803	.21			
742718-10-9	PROCTER & GAMBLE ORD		07/27/2020	MORGAN STANLEY & CO INC, NY	71,000	8,979		8,481	2,339	(2,339)	.0	.0	(2,339)	8,481	.0	.498	.498	.112			
76118Y-10-4	RESIDEO TECHNOLOGIES ORD		09/01/2020	Adjustment	0.000	.0		(.23)	.0	.0	.0	.0	.0	(.23)	.0	.23	.23	.0			
78409V-10-4	S&P GLOBAL ORD		08/07/2020	BAYPOINT TRADING LLC	27,000	9,302		6,968	8,456	(1,488)	.0	.0	(1,488)	6,968	.0	2,334	2,334	.36			
79466L-30-2	SALESFORCE.COM ORD		07/16/2020	JP MORGAN SECURITIES LLC	49,000	19,491		16,037	18,704	(1,500)	.0	.0	(1,500)	16,037	.0	3,454	3,454	.0			
79466L-30-2	SALESFORCE.COM ORD		07/16/2020	Adjustment	0.000	(10,510)		.0	.0	.0	.0	.0	.0	.0	.0	(10,510)	(10,510)	.0			
808513-10-5	CHARLES SCHWAB ORD		09/01/2020	Adjustment	(210,000)	(9,294)		(4,074)	(3,828)	(247)	.0	.0	(247)	(4,074)	.0	(5,219)	(5,219)	.0			
808513-10-5	CHARLES SCHWAB ORD		09/01/2020	Adjustment	210,000	9,294		6,545	9,988	(3,443)	.0	.0	(3,443)	6,545	.0	2,749	2,749	(.261)			
848637-10-4	SPLUNK ORD		09/01/2020	Adjustment	0.000	(.391)		.0	.0	.0	.0	.0	.0	.0	.0	(.391)	(.391)	.0			
848637-10-4	SPLUNK ORD		09/01/2020	Adjustment	0.000	.391		.0	.0	.0	.0	.0	.0	.0	.0	.391	.391	.0			
852234-10-3	SQUARE CL A ORD		09/01/2020	Various	80,000	10,535		6,084	4,393	1,690	.0	.0	1,690	6,084	.0	4,451	4,451	.0			
87165B-10-3	SYNCHRONY FINANCIAL ORD		04/22/2020	Adjustment	(120,000)	(4,093)		(1,339)	(1,339)	.0	.0	.0	.0	(1,339)	.0	(2,754)	(2,754)	.0			
87165B-10-3	SYNCHRONY FINANCIAL ORD		04/22/2020	Adjustment	120,000	4,093		3,906	4,321	(415)	.0	.0	(415)	3,906	.0	.187	.187	(.78)			
872590-10-4	T MOBILE US ORD		09/01/2020	Adjustment	(90,000)	(6,346)		(5,722)	(5,722)	.0	.0	.0	.0	(5,722)	.0	(624)	(624)	.0			
872590-10-4	T MOBILE US ORD		09/01/2020	Adjustment	90,000	6,346		6,310	7,058	(748)	.0	.0	(748)	6,310	.0	.37	.37	.0			
882508-10-4	TEXAS INSTRUMENTS ORD		04/22/2020	Adjustment	0.000	.606		2,108	2,763	(654)	.0	.0	(654)	2,108	.0	(1,503)	(1,503)	.0			
882508-10-4	TEXAS INSTRUMENTS ORD		04/22/2020	Adjustment	0.000	(.606)		.0	.0	.0	.0	.0	.0	.0	.0	(.606)	(.606)	(.110)			
88339J-10-5	TRADE DESK CL A ORD		07/15/2020	JP MORGAN SECURITIES LLC	13,000	5,554		2,981	.0	.0	.0	.0	.0	2,981	.0	2,574	2,574	.0			

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**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	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol
883556-10-2	THERMO FISHER SCIENTIFIC ORD		05/06/2020	Adjustment	.000	.0		.490	(.569)	(.229)	.0	.0	(.229)	.0	.490	.0	(.490)	(.490)	(.2)		
902973-30-4	US BANCORP ORD		09/03/2020	TD Ameritrade	41.000	1,545		1,376	.0	.0	.0	.0	.0	.0	1,376	.0	169	169	34		
91324P-10-2	UNITEDHEALTH GRP ORD		07/17/2020	JP MORGAN SECURITIES LLC	(55.000)	(8,997)		(2,948)	(8,993)	(2,645)	.0	.0	(2,645)	.0	(2,948)	.0	(6,049)	(6,049)	.25		
91324P-10-2	UNITEDHEALTH GRP ORD		07/17/2020	Adjustment	73.000	14,536		13,650	21,461	(7,810)	.0	.0	(7,810)	.0	13,650	.0	.886	.886	(.659)		
918204-10-8	VF ORD		09/03/2020	TD Ameritrade	10.000	.688		.544	.0	.0	.0	.0	.0	.0	.544	.0	.144	.144	.5		
91913Y-10-0	VALERO ENERGY ORD		09/01/2020	Adjustment	(1.000)	(.116)		(.56)	(.56)	.0	.0	.0	.0	.0	(.56)	.0	(.60)	(.60)	.0		
91913Y-10-0	VALERO ENERGY ORD		09/01/2020	Adjustment	1.000	.116		.101	.94	.7	.0	.0	.7	.0	.101	.0	.15	.15	(.5)		
92532F-10-0	VERTEX PHARMACEUTICALS ORD		07/17/2020	JP MORGAN SECURITIES LLC	13.000	3,809		2,843	3,773	(.930)	.0	.0	(.930)	.0	2,843	.0	.966	.966	.0		
92552V-10-0	VIASAT ORD		09/03/2020	TD Ameritrade	25.000	.930		.955	.0	.0	.0	.0	.0	.0	.955	.0	(.25)	(.25)	.0		
92826C-83-9	VISA CL A ORD		09/03/2020	TD Ameritrade	(148.000)	(14,492)		(10,161)	(13,393)	.0	.0	.0	.0	.0	(10,161)	.0	(4,331)	(4,331)	.13		
92826C-83-9	VISA CL A ORD		09/01/2020	Adjustment	170.000	19,090		13,876	31,943	(18,067)	.0	.0	(18,067)	.0	13,876	.0	5,215	5,215	(.334)		
929089-10-0	VOYA FINANCIAL ORD		09/01/2020	Adjustment	(60.000)	(2,979)		(1,742)	(1,742)	.0	.0	.0	.0	.0	(1,742)	.0	(1,238)	(1,238)	.0		
929089-10-0	VOYA FINANCIAL ORD		09/01/2020	Adjustment	60.000	2,979		1,902	3,659	(1,757)	.0	.0	(1,757)	.0	1,902	.0	1,077	1,077	(.21)		
931142-10-3	WALMART ORD		09/08/2020	TD Ameritrade	542.000	75,331		79,974	.0	.0	.0	.0	.0	.0	79,974	.0	(4,643)	(4,643)	.0		
988498-10-1	YUM BRANDS ORD		09/01/2020	Adjustment	0.000	.0		3,301	11,628	(3,561)	.0	.0	(3,561)	.0	3,301	.0	(3,301)	(3,301)	(.648)		
988498-10-1	YUM BRANDS ORD		09/29/2020	JP MORGAN SECURITIES LLC	110.000	9,991		12,224	(.483)	(.2,128)	.0	.0	(.2,128)	.0	12,224	.0	(2,233)	(2,233)	(.401)		
G0177J-10-8	ALLERGAN ORD	D	09/01/2020	Adjustment	0.000	.80		.0	.0	.0	.0	.0	.0	.0	.0	.0	.80	.80	.12		
G0177J-10-8	ALLERGAN ORD	D	09/01/2020	Adjustment	0.000	(1,182)		.0	.0	.0	.0	.0	.0	.0	.0	.0	(1,182)	(1,182)	.39		
G0177J-10-8	ALLERGAN ORD	D	09/01/2020	Adjustment	0.000	1,101		.0	.0	.0	.0	.0	.0	.0	.0	.0	1,101	1,101	(.51)		
G06242-10-4	ATLASSIAN CL A ORD	C	06/04/2020	Adjustment	0.000	.0		7,231	2,540	793	.0	.0	793	.0	7,231	.0	(7,231)	(7,231)	.0		
G1151C-10-1	ACCENTURE CL A ORD	C	09/03/2020	TD Ameritrade	5.000	1,198		834	.0	.0	.0	.0	.0	.0	834	.0	.365	.365	.8		
G29183-10-3	EATON ORD	C	09/01/2020	Adjustment	(40.000)	(3,159)		(2,003)	(2,003)	.0	.0	.0	.0	.0	(2,003)	.0	(1,156)	(1,156)	.0		
G29183-10-3	EATON ORD	C	09/01/2020	Adjustment	40.000	3,159		2,609	3,789	(1,180)	.0	.0	(1,180)	.0	2,609	.0	.550	.550	(.193)		
G47791-10-1	TRANE TECHNOLOGIES PLC	C	03/02/2020	Adjustment	0.000	(2,357)		.0	.0	.0	.0	.0	.0	.0	.0	.0	(2,357)	(2,357)	.453		
G47791-10-1	TRANE TECHNOLOGIES PLC	C	03/02/2020	Adjustment	0.000	.769		.0	.0	.0	.0	.0	.0	.0	.0	.0	.769	.769	(.453)		
G5494J-10-3	LINDE ORD	C	09/03/2020	TD Ameritrade	4.000	1,006		.611	.0	.0	.0	.0	.0	.0	.611	.0	.395	.395	.9		
G5960L-10-3	MEDTRONIC ORD	C	09/01/2020	Adjustment	(170.000)	(15,595)		(14,685)	(14,685)	.0	.0	.0	.0	.0	(14,685)	.0	(909)	(909)	.0		
G5960L-10-3	MEDTRONIC ORD	C	09/01/2020	Adjustment	170.000	15,595		15,092	19,287	(4,195)	.0	.0	(4,195)	.0	15,092	.0	.503	.503	(.294)		
H1467J-10-4	CHUBB ORD	C	09/03/2020	TD Ameritrade	21.000	2,643		2,240	.0	.0	.0	.0	.0	.0	2,240	.0	.403	.403	.21		
Y0486S-10-4	AVAGO TECHNOLOGIES LIMITED		09/01/2020	Adjustment	0.000	.0		.182	.0	21,131	.0	.0	21,131	.0	.182	.0	(.182)	(.182)	.0		
Y09827-10-9	BROADCOM INC.		09/01/2020	Adjustment	0.000	.0		4,309	.0	(15,159)	.0	.0	(15,159)	.0	4,309	.0	(4,309)	(4,309)	.331		
9099999	Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated) Publicly Traded				362,071	XXX		500,123	512,722	(142,849)	0	0	(142,849)	0	500,123	0	(138,052)	(138,052)	(15,741)	XXX	XXX
00143W-30-5	INVSC OPPEN TOT RT BD Y		07/17/2020	Unknown	0.000	2,871		.0	.0	.0	.0	.0	.0	.0	.0	.0	2,871	2,871	.0		
9499999	Subtotal - Common Stocks - Mutual Funds				2,871	XXX		0	0	0	0	0	0	0	0	0	2,871	2,871	0	XXX	XXX
9799997	Total - Common Stocks - Part 4				364,942	XXX		500,123	512,722	(142,849)	0	0	(142,849)	0	500,123	0	(135,181)	(135,181)	(15,741)	XXX	XXX
9799998	Total - Common Stocks - Part 5				XXX	XXX		XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999	Total - Common Stocks				364,942	XXX		500,123	512,722	(142,849)	0	0	(142,849)	0	500,123	0	(135,181)	(135,181)	(15,741)	XXX	XXX
9899999	Total - Preferred and Common Stocks				364,942	XXX		500,123	512,722	(142,849)	0	0	(142,849)	0	500,123	0	(135,181)	(135,181)	(15,741)	XXX	XXX
9999999	Totals				10,275,918	XXX		10,477,537	6,957,992	(142,849)	(27,267)	0	(170,116)	0	10,387,922	0	(164,048)	(164,048)	196,360	XXX	XXX

E05.3

Schedule DB - Part A - Section 1 - Options, Caps, Floors, Collars, Swaps and Forwards Open

**N O N E**

Schedule DB - Part B - Section 1 - Futures Contracts Open

**N O N E**

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made

**N O N E**

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open

**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged By

**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged To

**N O N E**

Schedule DB - Part E - Derivatives Hedging Variable Annuity Guarantees

**N O N E**

Schedule DL - Part 1 - Reinvested Collateral Assets Owned

**N O N E**

Schedule DL - Part 2 - Reinvested Collateral Assets Owned

**N O N E**



STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Dealers Assurance Company

**SCHEDULE E - PART 2 - CASH EQUIVALENTS**

Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	3 Code	4 Date Acquired	5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due and Accrued	9 Amount Received During Year
0599999. Total - U.S. Government Bonds						0	0	0
1099999. Total - All Other Government Bonds						0	0	0
1799999. Total - U.S. States, Territories and Possessions Bonds						0	0	0
2499999. Total - U.S. Political Subdivisions Bonds						0	0	0
3199999. Total - U.S. Special Revenues Bonds						0	0	0
3899999. Total - Industrial and Miscellaneous (Unaffiliated) Bonds						0	0	0
4899999. Total - Hybrid Securities						0	0	0
5599999. Total - Parent, Subsidiaries and Affiliates Bonds						0	0	0
6099999. Subtotal - SVO Identified Funds						0	0	0
6599999. Subtotal - Unaffiliated Bank Loans						0	0	0
7699999. Total - Issuer Obligations						0	0	0
7799999. Total - Residential Mortgage-Backed Securities						0	0	0
7899999. Total - Commercial Mortgage-Backed Securities						0	0	0
7999999. Total - Other Loan-Backed and Structured Securities						0	0	0
8099999. Total - SVO Identified Funds						0	0	0
8199999. Total - Affiliated Bank Loans						0	0	0
8299999. Total - Unaffiliated Bank Loans						0	0	0
8399999. Total Bonds						0	0	0
31846V-41-9	FIRST AMER:TRS OBG V	SD	.09/02/2020	0.010		50,000	.0	124
94975H-29-6	WELLSFARGO:TRS+ MM I	SD	.09/02/2020	0.010		25,050	.0	81
8599999. Subtotal - Exempt Money Market Mutual Funds - as Identified by the SVO						75,051	0	204
000000-00-0	MMDA12		.09/30/2020	0.000		2,680,988	.0	33
60934N-80-7	FEDERATED HRMS GV 0 SVC		.09/30/2020	0.010		1,274,208	.13	.0
60934N-80-7	FEDERATED HRMS GV 0 SVC	SD	.07/31/2020	0.010		.0	.0	.0
990220-47-7	RBS CITIZENS NA CASH SWEEP	SD	.02/28/2020	0.000		2	.0	.2
991061-05-2	CRA (BNY MELLON, N.A., MEMBER FDIC)		.09/30/2020	0.000		797,636	.0	.0
8699999. Subtotal - All Other Money Market Mutual Funds						4,752,834	13	35
8899999 - Total Cash Equivalents						4,827,884	13	240

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