



# QUARTERLY STATEMENT

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

## First Catholic Slovak Ladies Association Of The U.S.A.

NAIC Group Code..... 0, 0 (Current Period) (Prior Period)	NAIC Company Code..... 56332	Employer's ID Number..... 34-0220540
Organized under the Laws of OH	State of Domicile or Port of Entry OH	Country of Domicile US
Licensed as Business Type: Fraternal Benefit Society		
Incorporated/Organized..... October 20, 1899	Commenced Business..... January 1, 1892	
Statutory Home Office	24950 Chagrin Boulevard .. Beachwood .. OH .. US .. 44122-5634 <i>(Street and Number) (City or Town, State, Country and Zip Code)</i>	
Main Administrative Office	24950 Chagrin Boulevard .. Beachwood .. OH .. US .. 44122-5634 <i>(Street and Number) (City or Town, State, Country and Zip Code)</i>	800-464-4642 <i>(Area Code) (Telephone Number)</i>
Mail Address	24950 Chagrin Boulevard .. Beachwood .. OH .. US .. 44122-5634 <i>(Street and Number or P. O. Box) (City or Town, State, Country and Zip Code)</i>	
Primary Location of Books and Records	24950 Chagrin Boulevard .. Beachwood .. OH .. US .. 44122-5634 <i>(Street and Number) (City or Town, State, Country and Zip Code)</i>	800-464-4642 <i>(Area Code) (Telephone Number)</i>
Internet Web Site Address	WWW.FCSLA.ORG	
Statutory Statement Contact	Frank Rando <i>(Name)</i> frando@fcscla.org <i>(E-Mail Address)</i>	216-468-1017 <i>(Area Code) (Telephone Number) (Extension)</i> 216-468-8003 <i>(Fax Number)</i>

### OFFICERS

Name	Title	Name	Title
1. Cynthia Maria Maleski	National President	2. Kimberly A Graham	National Secretary
3. Stephen C Hudak	National Treasurer	4.	

### OTHER

### DIRECTORS OR TRUSTEES

Msgr. Peter M Polando	Cynthia Maria Maleski	Jeanette E Palanca	Sue Ann M Seich
Lawrence M Golofski	Joann Skvarek Banvich	Patrick Braun #	Suzanne V Strohl #
Barbara A Sekerak	Dennis L Povondra	Dorothy L Urbanowicz	

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

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

_____ (Signature) Cynthia Maria Maleski _____ 1. (Printed Name) National President _____ (Title)	_____ (Signature) Kimberly A Graham _____ 2. (Printed Name) National Secretary _____ (Title)	_____ (Signature) Stephen C Hudak _____ 3. (Printed Name) National Treasurer _____ (Title)
---	---	---

Subscribed and sworn to before me  
This \_\_\_\_\_ day of \_\_\_\_\_

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

**ASSETS**

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds.....	971,512,889		971,512,889	957,087,304
2. Stocks:				
2.1 Preferred stocks.....	2,622,736		2,622,736	1,883,203
2.2 Common stocks.....	5,928,799		5,928,799	7,708,775
3. Mortgage loans on real estate:				
3.1 First liens.....	552,617		552,617	579,737
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....	4,759,857		4,759,857	4,853,532
4.2 Properties held for the production of income (less \$.....0 encumbrances).....			0	
4.3 Properties held for sale (less \$.....0 encumbrances).....			0	
5. Cash (\$.....31,558,013), cash equivalents (\$.....6,000,000) and short-term investments (\$.....0).....	37,558,013		37,558,013	26,918,118
6. Contract loans (including \$.....0 premium notes).....	2,127,809		2,127,809	2,392,099
7. Derivatives.....			0	
8. Other invested assets.....	13,822,917		13,822,917	13,929,225
9. Receivables for securities.....			0	
10. Securities lending reinvested collateral assets.....			0	
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	1,038,885,637	0	1,038,885,637	1,015,351,992
13. Title plants less \$.....0 charged off (for Title insurers only).....			0	
14. Investment income due and accrued.....	13,990,799		13,990,799	14,059,838
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....	10,354		10,354	11,694
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....			0	
15.3 Accrued retrospective premiums (\$.....0) and contracts subject to redetermination (\$.....0).....			0	
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers.....			0	
16.2 Funds held by or deposited with reinsured companies.....			0	
16.3 Other amounts receivable under reinsurance contracts.....			0	42,923
17. Amounts receivable relating to uninsured plans.....			0	
18.1 Current federal and foreign income tax recoverable and interest thereon.....			0	
18.2 Net deferred tax asset.....			0	
19. Guaranty funds receivable or on deposit.....			0	
20. Electronic data processing equipment and software.....	118,269		118,269	130,353
21. Furniture and equipment, including health care delivery assets (\$.....0).....	4,070	4,070	(0)	
22. Net adjustment in assets and liabilities due to foreign exchange rates.....			0	
23. Receivables from parent, subsidiaries and affiliates.....			0	
24. Health care (\$.....0) and other amounts receivable.....			0	
25. Aggregate write-ins for other than invested assets.....	416,085	416,085	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	1,053,425,213	420,155	1,053,005,058	1,029,596,800
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			0	
28. Total (Lines 26 and 27).....	1,053,425,213	420,155	1,053,005,058	1,029,596,800

**DETAILS OF WRITE-INS**

1101.....			0	
1102.....			0	
1103.....			0	
1198. Summary of remaining write-ins for Line 11 from overflow page.....	0	0	0	0
1199. Totals (Lines 1101 thru 1103 plus 1198) (Line 11 above).....	0	0	0	0
2501. Prepaid Expenses.....	264,583	264,583	0	
2502. Cookbook Inventory.....	14,149	14,149	0	
2503. PWAA Employee Pension Plan.....	137,353	137,353	0	
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	416,085	416,085	0	0

**LIABILITIES, SURPLUS AND OTHER FUNDS**

	1 Current Statement Date	2 December 31 Prior Year
1. Aggregate reserve for life contracts \$.....0 less \$.....0 included in Line 6.3 (including \$.....0 Modco Reserve).....	898,970,799	876,086,000
2. Aggregate reserve for accident and health contracts (including \$.....0 Modco Reserve).....		
3. Liability for deposit-type contracts (including \$.....0 Modco Reserve).....	29,335,401	29,416,255
4. Contract claims:		
4.1 Life.....	3,109,396	2,771,020
4.2 Accident and health.....		
5. Policyholders' dividends/refunds to members \$.....0 and coupons \$.....0 due and unpaid.....		
6. Provision for policyholders' dividends/refunds to members and coupons payable in following calendar year - estimated amounts:		
6.1 Policyholder's dividends/refunds to members apportioned for payment (including \$.....0 Modco).....		
6.2 Policyholder's dividends/refunds to members not yet apportioned (including \$.....0 Modco).....	1,400,000	1,400,000
6.3 Coupons and similar benefits (including \$.....0 Modco).....		
7. Amount provisionally held for deferred dividend policies not included in Line 6.....		
8. Premiums and annuity considerations for life and accident and health contracts received in advance less \$.....0 discount; including \$.....0 accident and health premiums.....	432,347	421,630
9. Contract liabilities not included elsewhere:		
9.1 Surrender values on canceled contracts.....		
9.2 Provision for experience rating refunds, including the liability of \$.....0 accident and health experience rating refunds of which \$.....0 is for medical loss ratio rebate per the Public Health Service Act.....		
9.3 Other amounts payable on reinsurance, including \$.....0 assumed and \$.....0 ceded.....		
9.4 Interest Maintenance Reserve.....	362,188	425,259
10. Commissions to agents due or accrued - life and annuity contracts \$.....0, accident and health \$.....0 and deposit-type contract funds \$.....0.....	122,668	104,041
11. Commissions and expense allowances payable on reinsurance assumed.....		
12. General expenses due or accrued.....	1,212,860	1,347,953
13. Transfers to Separate Accounts due or accrued (net) (including \$.....0 accrued for expense allowances recognized in reserves, net of reinsured allowances).....		
14. Taxes, licenses and fees due or accrued, excluding federal income taxes.....	96,733	20,629
15.1 Current federal and foreign income taxes, including \$.....0 on realized capital gains (losses).....		
15.2 Net deferred tax liability.....		
16. Unearned investment income.....		
17. Amounts withheld or retained by reporting entity as agent or trustee.....		
18. Amounts held for agents' account, including \$.....0 agents' credit balances.....		
19. Remittances and items not allocated.....		
20. Net adjustment in assets and liabilities due to foreign exchange rates.....		
21. Liability for benefits for employees and agents if not included above.....	504,547	511,130
22. Borrowed money \$.....0 and interest thereon \$.....0.....		
23. Dividends to stockholders declared and unpaid.....		
24. Miscellaneous liabilities:		
24.01 Asset valuation reserve.....	10,775,470	9,874,354
24.02 Reinsurance in unauthorized and certified (\$.....0) companies.....		
24.03 Funds held under reinsurance treaties with unauthorized and certified (\$.....0) reinsurers.....		
24.04 Payable to parent, subsidiaries and affiliates.....		
24.05 Drafts outstanding.....		
24.06 Liability for amounts held under uninsured plans.....		
24.07 Funds held under coinsurance.....		
24.08 Derivatives.....		
24.09 Payable for securities.....		
24.10 Payable for securities lending.....		
24.11 Capital notes \$.....0 and interest thereon \$.....0.....		
25. Aggregate write-ins for liabilities.....	505,333	443,761
26. Total liabilities excluding Separate Accounts business (Lines 1 to 25).....	946,827,740	922,822,032
27. From Separate Accounts statement.....		
28. Total liabilities (Lines 26 and 27).....	946,827,740	922,822,032
29. Common capital stock.....		
30. Preferred capital stock.....		
31. Aggregate write-ins for other-than-special surplus funds.....	0	0
32. Surplus notes.....		
33. Gross paid in and contributed surplus.....		
34. Aggregate write-ins for special surplus funds.....	0	0
35. Unassigned funds (surplus).....	106,177,318	106,774,768
36. Less treasury stock, at cost:		
36.1 .....0.000 shares common (value included in Line 29 \$.....0).....		
36.2 .....0.000 shares preferred (value included in Line 30 \$.....0).....		
37. Surplus (Total Lines 31 + 32 + 33 + 34 + 35 - 36) (including \$.....0 in Separate Accounts Statement).....	106,177,318	106,774,768
38. Totals of Lines 29, 30 and 37.....	106,177,318	106,774,768
39. Totals of Lines 28 and 38 (Page 2, Line 28, Col. 3).....	1,053,005,058	1,029,596,800

**DETAILS OF WRITE-INS**

2501. ANNA HURBAN & OTHER SCHOLARSHIP FUNDS.....	231,455	229,396
2502. DEVELOPMENT FUND.....	273,878	175,657
2503. OTHER.....		34,257
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	4,451
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	505,333	443,761
3101. ....		
3102. ....		
3103. ....		
3198. Summary of remaining write-ins for Line 31 from overflow page.....	0	0
3199. Totals (Lines 3101 thru 3103 plus 3198) (Line 31 above).....	0	0
3401. ....		
3402. ....		
3403. ....		
3498. Summary of remaining write-ins for Line 34 from overflow page.....	0	0
3499. Totals (Lines 3401 thru 3403 plus 3498) (Line 34 above).....	0	0

## SUMMARY OF OPERATIONS

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
1. Premiums and annuity considerations for life and accident and health contracts.....	32,608,055	40,793,364	51,789,288
2. Considerations for supplementary contracts with life contingencies.....			712,958
3. Net investment income.....	36,021,371	36,953,706	49,044,053
4. Amortization of Interest Maintenance Reserve (IMR).....	56,584	95,818	114,034
5. Separate Accounts net gain from operations excluding unrealized gains or losses.....			
6. Commissions and expense allowances on reinsurance ceded.....			
7. Reserve adjustments on reinsurance ceded.....			
8. Miscellaneous Income:			
8.1 Income from fees associated with investment management, administration and contract guarantees from Separate Accounts.....			
8.2 Charges and fees for deposit-type contracts.....			
8.3 Aggregate write-ins for miscellaneous income.....	25,660	133,333	142,603
9. Totals (Lines 1 to 8.3).....	68,711,670	77,976,220	101,802,936
10. Death benefits.....	6,276,707	6,627,252	8,474,017
11. Matured endowments (excluding guaranteed annual pure endowments).....	18,275	105,916	123,774
12. Annuity benefits.....	22,162,202	20,848,063	29,670,069
13. Disability benefits and benefits under accident and health contracts.....			
14. Coupons, guaranteed annual pure endowments and similar benefits.....			
15. Surrender benefits and withdrawals for life contracts.....	6,188,887	6,861,336	9,418,671
16. Group conversions.....			
17. Interest and adjustments on contract or deposit-type contract funds.....	286,716	261,000	1,556,249
18. Payments on supplementary contracts with life contingencies.....			608,784
19. Increase in aggregate reserves for life and accident and health contracts.....	22,778,667	30,861,360	35,895,999
20. Totals (Lines 10 to 19).....	57,711,454	65,564,927	85,747,563
21. Commissions on premiums, annuity considerations and deposit-type contract funds (direct business only).....	890,850	1,144,926	1,481,765
22. Commissions and expense allowances on reinsurance assumed.....			
23. General insurance expenses and fraternal expenses.....	7,339,821	7,728,320	10,108,376
24. Insurance taxes, licenses and fees, excluding federal income taxes.....	228,527	225,330	287,574
25. Increase in loading on deferred and uncollected premiums.....			
26. Net transfers to or (from) Separate Accounts net of reinsurance.....			
27. Aggregate write-ins for deductions.....	0	0	0
28. Totals (Lines 20 to 27).....	66,170,652	74,663,502	97,625,278
29. Net gain from operations before dividends to policyholders and federal income taxes (Line 9 minus Line 28).....	2,541,018	3,312,718	4,177,658
30. Dividends to policyholders and refunds to members.....	1,037,335	1,034,569	1,371,882
31. Net gain from operations after dividends to policyholders, refunds to members and before federal income taxes (Line 29 minus Line 30).....	1,503,683	2,278,149	2,805,776
32. Federal and foreign income taxes incurred (excluding tax on capital gains).....			
33. Net gain from operations after dividends to policyholders, refunds to members and federal income taxes and before realized capital gains or (losses) (Line 31 minus Line 32).....	1,503,683	2,278,149	2,805,776
34. Net realized capital gains (losses) (excluding gains (losses) transferred to the IMR) less capital gains tax of \$.....0 (excluding taxes of \$.....0 transferred to the IMR).....	1,010,409	(183,066)	(181,300)
35. Net income (Line 33 plus Line 34).....	2,514,092	2,095,083	2,624,476
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
36. Capital and surplus, December 31, prior year.....	106,774,768	104,382,697	104,382,697
37. Net income (Line 35).....	2,514,092	2,095,083	2,624,476
38. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0.....	(2,168,984)	1,233,087	1,827,023
39. Change in net unrealized foreign exchange capital gain (loss).....			
40. Change in net deferred income tax.....			
41. Change in nonadmitted assets.....	(41,442)	21,411	(59,305)
42. Change in liability for reinsurance in unauthorized and certified companies.....			
43. Change in reserve on account of change in valuation basis, (increase) or decrease.....			
44. Change in asset valuation reserve.....	(901,115)	(1,973,700)	(2,000,124)
45. Change in treasury stock.....			
46. Surplus (contributed to) withdrawn from Separate Accounts during period.....			
47. Other changes in surplus in Separate Accounts Statement.....			
48. Change in surplus notes.....			
49. Cumulative effect of changes in accounting principles.....			
50. Capital changes:			
50.1 Paid in.....			
50.2 Transferred from surplus (Stock Dividend).....			
50.3 Transferred to surplus.....			
51. Surplus adjustment:			
51.1 Paid in.....			
51.2 Transferred to capital (Stock Dividend).....			
51.3 Transferred from capital.....			
51.4 Change in surplus as a result of reinsurance.....			
52. Dividends to stockholders.....			
53. Aggregate write-ins for gains and losses in surplus.....	0	0	0
54. Net change in capital and surplus (Lines 37 through 53).....	(597,450)	1,375,880	2,392,070
55. Capital and surplus as of statement date (Lines 36 + 54).....	106,177,318	105,758,578	106,774,768
<b>DETAILS OF WRITE-INS</b>			
08.301. Cookbook income.....	4,324	6,006	8,757
08.302. Miscellaneous.....	21,336	127,327	133,846
08.303. ....			
08.398. Summary of remaining write-ins for Line 8.3 from overflow page.....	0	0	0
08.399. Totals (Lines 08.301 thru 08.303 plus 08.398) (Line 8.3 above).....	25,660	133,333	142,603
2701. ....			
2702. ....			
2703. ....			
2798. Summary of remaining write-ins for Line 27 from overflow page.....	0	0	0
2799. Totals (Lines 2701 thru 2703 plus 2798) (Line 27 above).....	0	0	0
5301. Prior period 401K adjustment.....			
5302. ....			
5303. ....			
5398. Summary of remaining write-ins for Line 53 from overflow page.....	0	0	0
5399. Totals (Lines 5301 thru 5303 plus 5398) (Line 53 above).....	0	0	0

**CASH FLOW**

	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>CASH FROM OPERATIONS</b>			
1. Premiums collected net of reinsurance.....	32,620,113	40,772,399	52,483,542
2. Net investment income.....	40,725,021	41,636,250	54,822,089
3. Miscellaneous income.....	25,660	133,333	142,603
4. Total (Lines 1 through 3).....	73,370,794	82,541,982	107,448,234
5. Benefit and loss related payments.....	34,551,488	35,538,314	50,642,895
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	8,437,989	9,174,727	12,825,411
8. Dividends paid to policyholders.....	1,037,335	1,034,569	1,371,882
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....			
10. Total (Lines 5 through 9).....	44,026,813	45,747,610	64,840,188
11. Net cash from operations (Line 4 minus Line 10).....	29,343,981	36,794,372	42,608,046
<b>CASH FROM INVESTMENTS</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	40,673,040	44,011,950	64,674,683
12.2 Stocks.....	331,577	235,155	414,434
12.3 Mortgage loans.....	26,950	81,199	110,111
12.4 Real estate.....			
12.5 Other invested assets.....			
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments.....			
12.7 Miscellaneous proceeds.....			
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	41,031,567	44,328,304	65,199,227
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	58,824,846	58,843,861	98,246,689
13.2 Stocks.....	1,122,810	21,261	21,261
13.3 Mortgage loans.....			
13.4 Real estate.....	41,625	12,129	12,129
13.5 Other invested assets.....			
13.6 Miscellaneous applications.....			
13.7 Total investments acquired (Lines 13.1 to 13.6).....	59,989,281	58,877,251	98,280,079
14. Net increase or (decrease) in contract loans and premium notes.....	(264,290)	(258,359)	(279,233)
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14).....	(18,693,424)	(14,290,588)	(32,801,619)
<b>CASH FROM FINANCING AND MISCELLANEOUS SOURCES</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes.....			
16.2 Capital and paid in surplus, less treasury stock.....			
16.3 Borrowed funds.....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities.....	25,278	155,026	1,374,448
16.5 Dividends to stockholders.....			
16.6 Other cash provided (applied).....	(35,941)	(250,285)	(279,885)
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	(10,663)	(95,259)	1,094,563
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11 plus Line 15 plus Line 17).....	10,639,895	22,408,526	10,900,991
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	26,918,119	16,017,128	16,017,128
19.2 End of period (Line 18 plus Line 19.1).....	37,558,014	38,425,654	26,918,119

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

20.0001 .....			
---------------	--	--	--

**EXHIBIT 1**

**DIRECT PREMIUMS AND DEPOSIT-TYPE CONTRACTS**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Industrial life.....			
2. Ordinary life insurance.....	3,423,812	4,603,762	5,507,526
3. Ordinary individual annuities.....	29,470,976	36,471,957	46,633,500
4. Credit life (group and individual).....			
5. Group life insurance.....			
6. Group annuities.....			
7. A&H - group.....			
8. A&H - credit (group and individual).....			
9. A&H - other.....			
10. Aggregate of all other lines of business.....	0	0	0
11. Subtotal (Lines 1 through 10).....	32,894,789	41,075,719	52,141,026
12. Fraternal ( Fraternal Benefit Societies Only).....			
13. Subtotal (Lines 11 through 12).....	32,894,789	41,075,719	52,141,026
14. Deposit-type contracts.....	101,435	104,669	145,817
15. Total (Lines 13 and 14).....	32,996,224	41,180,388	52,286,843

**DETAILS OF WRITE-INS**

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

## NOTES TO FINANCIAL STATEMENTS

### Note 1 – Summary of Significant Accounting Policies and Going Concern

#### A. Accounting Practices

	SSAP #	F/S Page	F/S Line #	Current Year to Date	2019
<b>NET INCOME</b>					
(1) First Catholic Slovak Ladies Association Of The U.S.A. Company state basis (Page 4, Line 35, Columns 1 & 3)	XXX	XXX	XXX	\$ 2,514,092	\$ 2,624,476
(2) State Prescribed Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(3) State Permitted Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(4) NAIC SAP (1 – 2 – 3 = 4)	XXX	XXX	XXX	\$ 2,514,092	\$ 2,624,476
<b>SURPLUS</b>					
(5) First Catholic Slovak Ladies Association Of The U.S.A. Company state basis (Page 3, line 38, Columns 1 & 2)	XXX	XXX	XXX	\$ 106,177,318	\$ 106,774,768
(6) State Prescribed Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(7) State Permitted Practices that are an increase/(decrease) from NAIC SAP				\$	\$
(8) NAIC SAP (5 – 6 – 7 = 8)	XXX	XXX	XXX	\$ 106,177,318	\$ 106,774,768

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

The preparations of financial statements in conformity with Statutory Accounting Principles require management to make estimates and assumptions that affect the reported amounts of assets and liabilities. It also requires disclosure of contingent assets and liabilities at the date of financial statements and reported amounts of revenue and expenses during the period. Actual results could differ from those estimates.

#### C. Accounting Policy

The life and annuity premiums are recognized as income when earned. Expenses incurred in connection with acquiring new insurance are charged to operations as incurred. The amount of dividends to be paid to policyholders is determined annually by the Association's Board of Directors. The aggregate amount of policyholders' dividends is related to actual interest, mortality, morbidity, and expense experience for the year and judgement as to the appropriate level of statutory surplus to be retained by the Association. In addition, the Association uses the following accounting policies:

(1) Basis for Short-Term Investments

Short-term investments are stated at amortized cost.

(2) Basis for Bonds, Mandatory Convertible Securities, SVO-Identified Investments and Amortization Method

Bonds not backed by other loans are stated at amortized cost using the interest method, except that bonds with a NAIC rating of "6" are valued at fair market

(3) Basis for Common Stocks

Common Stocks are stated at market.

(4) Basis for Preferred Stocks

Preferred stocks are stated at cost, except for stocks designated as "4, 5, or 6", which are stated at market.

(5) Basis for Mortgage Loans

Mortgage loans - recorded at aggregate carrying value less accrued interest: Other investments: Equity basis

(6) Basis for Loan-Backed Securities and Adjustment Methodology

Loan-backed securities are stated at amortized cost or the lower of amortized cost or fair value, using the retrospective method.

(7) Accounting Policies for Investments in Subsidiaries, Controlled and Affiliated Entities

None

(8) Accounting Policies for Investments in Joint Ventures, Partnerships and Limited Liability Entities

None

(9) Accounting Policies for Derivatives

None

(10) Anticipated Investment Income Used in Premium Deficiency Calculation

None

**NOTES TO FINANCIAL STATEMENTS**

## (11) Management's Policies and Methodologies for Estimating Liabilities for Losses and Loss/Claim Adjustment Expenses

Unpaid losses and loss adjustment expenses include an amount determined from individual case estimates and loss reports and an 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 liability is continually reviewed and any adjustments are reflected in the period determined.

## (12) Changes in the Capitalization Policy and Predefined Thresholds from Prior Period

The Association has not modified its capitalization policy from the prior period. Real estate, furniture and fixtures are recorded at cost less depreciation over its estimated useful life. Electronic data processing equipment and software are recorded at cost and amortized over a three-year period.

## (13) Method Used to Estimate Pharmaceutical Rebate Receivables

Not applicable

## D. Going Concern

Not Applicable

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

None

**Note 3 – Business Combinations and Goodwill**

None

**Note 4 – Discontinued Operations**

None

**Note 5 – Investments**

## A. Mortgage Loans, including Mezzanine Real Estate Loans

No significant changes

## B. Debt Restructuring

None

## C. Reverse Mortgages

None

## D. Loan-Backed Securities

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

a. The aggregate amount of unrealized losses:	1. Less than 12 Months	\$	51,639
	2. 12 Months or Longer	\$	1,385
b. The aggregate related fair value of securities with unrealized losses:	1. Less than 12 Months	\$	2,286,039
	2. 12 Months or Longer	\$	24,752

## E. Dollar Repurchase Agreements and/or Securities Lending Transactions

None

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing  
Repurchase Transaction – Cash Taker – Overview of Secured Borrowing Transactions

None

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

None

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

None

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

**NOTES TO FINANCIAL STATEMENTS**

None

J. Real Estate

None

K. Low-Income Housing Tax Credits (LIHTC)

None

L. Restricted Assets

None

M. Working Capital Finance Investments

None

N. Offsetting and Netting of Assets and Liabilities

None

O. 5GI Securities

None

P. Short Sales

None

Q. Prepayment Penalty and Acceleration Fees

	General Account	Separate Accounts
(1) Number of CUSIPs	10	
(2) Aggregate Amount of Investment Income	22,193	

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

None

**Note 7 – Investment Income**

A. The bases, by category of investment income, for excluding (nonadmitting) any investment income due and accrued:

Due and accrued income was excluded from surplus on the following basis: All investment income due and accrued with the amounts that are over 90 days past due.

B. The total amount excluded was \$0.00

**Note 8 – Derivative Instruments**

None

**Note 9 – Income Taxes**

Not Applicable

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

Not Applicable

**Note 11 – Debt**

The Association has a line of credit for cash management purposes and may borrow up to \$20,000,000. The balance on September 30, 2020 is \$0.00

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

A. Defined Benefit Plan

(1) Change in Benefit Obligation

No significant changes

(2) Change in Plan Assets

No significant changes

(3) Funded Status

No significant changes

**NOTES TO FINANCIAL STATEMENTS**

## (4) Components of Net Periodic Benefit Cost

	Pension Benefits		Postretirement Benefits		Special or Contractual Benefits per SSAP No. 11	
	Current Year to Date	2019	Current Year to Date	2019	Current Year to Date	2019
a. Service cost	\$	\$ 19,152	\$	\$ 20,665	\$	\$
b. Interest cost		30,557		22,353		
c. Expected return on plan assets		(39,796)		(22,353)		
d. Transition asset or obligation						
e. Gains and losses		16,733		25,203		
f. Prior service cost or credit						
g. Gain or loss recognized due to a settlement curtailment						
h. Total net periodic benefit cost	\$	\$ 26,646	\$	\$ 45,868	\$	\$

## (5) Amounts in Unassigned Funds (Surplus) Recognized as Components of Net Period Benefit Cost

No significant changes

## (6) Amounts in Unassigned Funds (Surplus) That Have Not Yet Been Recognized as Components of Net Period Benefit Cost

No significant changes

## (7) Weighted Average Assumptions Used to Determine Net Periodic Benefit Cost as of Current Period

No significant changes

## (8) Accumulated Benefit Obligation for Defined Benefit Pension Plans

No significant changes

## (9) For Postretirement Benefits Other Than Pensions, the Assumed Health Care Cost Trend Rate(s)

No significant changes

## (10) Estimated Future Payments, Which Reflect Unexpected Future Service

No significant changes

## (11) Estimate of Contributions Expected to be Paid to the Plan

No significant changes

## (12) Amounts and Types of Securities Included in Plan Assets

No significant changes

## (13) Alternative Method Used to Amortize Prior Service Amounts or Net Gains and Losses

Not Applicable

## (14) Substantive Comment Used to Account for Benefit Obligations

Not Applicable

## (15) Cost of Providing Special or Contractual Termination Benefits Recognized

Not Applicable

## (16) Reasons for Significant Gains/Losses Related to Changes in Defined Benefit Obligation and any Other Significant Change in the Benefit Obligations Assets Not Otherwise Apparent

None

## (17) Accumulated Postretirement and Pension Benefit Obligation and Fair Value of Plan Assets for Defined Postretirement and Pension Benefit Plans

No significant changes

## (18) Full Transition Surplus Impact of SSAP 102

No significant changes

**NOTES TO FINANCIAL STATEMENTS**

- B. Investment Policies and Strategies  
No significant changes
- C. Fair Value of Plan Assets  
No significant changes
- D. Basis Used to Determine Expected Long-Term Rate-of-Return  
No significant changes
- E. Defined Contribution Plans  
No significant changes
- F. Multiemployer Plans  
No significant changes
- G. Consolidated/Holding Company Plans  
No significant changes
- H. Postemployment Benefits and Compensated Absences  
No significant changes
- I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17)  
No significant changes

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

None

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

None

**Note 15 – Leases**

No significant changes

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

None

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

None

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

None

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

None

**Note 20 – Fair Value Measurements**

- A. Fair Value Measurements  
(1) Fair Value Measurements at Reporting Date

Description for Each Type of Asset or Liability	Level 1	Level 2	Level 3	Net Asset Value (NAV)	Total
Assets at Fair Value					
Common Stock	\$ 5,928,799	\$	\$	\$	\$ 5,928,799
Total	\$ 5,928,799	\$	\$	\$	\$ 5,928,799
Liabilities at Fair Value					
	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$

- (2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy  
Not Applicable

**NOTES TO FINANCIAL STATEMENTS**

(3) Policies when Transfers Between Levels are Recognized

None

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

Fair market values are provided by NAIC

(5) Fair Value Disclosures for Derivative Assets and Liabilities

None

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

Not Applicable

C. Fair Value Level

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Not Practicable (Carrying Value)
Bonds	\$1,096,085,842	\$ 971,512,889	\$	\$ 971,512,889	\$	\$	\$
Preferred Stock	\$ 2,674,723	\$ 2,622,736	\$	\$ 2,622,736	\$	\$	\$
Common Stock	\$ 5,928,799	\$ 5,928,799	\$ 5,928,799	\$	\$	\$	\$
Cash & Cash Equivalents	\$ 37,558,013	\$ 37,558,013	\$ 37,558,013	\$	\$	\$	\$
Other Invested Assets	\$ 16,321,050	\$ 13,822,919	\$	\$ 13,822,919	\$	\$	\$
Mortgage Loans	\$ 552,617	\$ 552,617	\$	\$	\$	\$	\$ 552,617
Totals	\$1,159,121,044	\$1,031,997,973	\$ 43,486,812	\$ 987,958,544	\$	\$	\$

D. Not Practicable to Estimate Fair Value

None

Type of Class or Financial Instrument	Carrying Value	Effective Interest Rate	Maturity Date	Explanation
	\$			

E. NAV Practical Expedient Investments

None

**Note 21 – Other Items**

None

**Note 22 – Events Subsequent**

None

**Note 23 – Reinsurance**

No significant changes

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

None

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

Not Applicable

**Note 26 – Intercompany Pooling Arrangements**

No significant changes

**Note 27 – Structured Settlements**

No significant changes

**Note 28 – Health Care Receivables**

No significant changes

**Note 29 – Participating Policies**

No significant changes

---

## NOTES TO FINANCIAL STATEMENTS

---

**Note 30 – Premium Deficiency Reserves**

No significant changes

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

No significant changes

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

No significant changes

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

No significant changes

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

No significant changes

**Note 35 – Separate Accounts**

No significant changes

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

No significant changes

**GENERAL INTERROGATORIES**

**PART 1 - COMMON INTERROGATORIES**

**GENERAL**

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

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

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

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

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

- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2018
- 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). 04/13/2020

6.4 By what department or departments?  
Ohio Department of Insurance

- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes [ ] No [ ] N/A [ X ]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [ X ] No [ ] N/A [ ]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [ ] No [ X ]
- 7.2 If yes, give full information:

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

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

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

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

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

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

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

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

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

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

**GENERAL INTERROGATORIES**

**PART 1 - COMMON INTERROGATORIES**

**FINANCIAL**

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

**INVESTMENT**

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes [ ] No [X]
- 11.2 If yes, give full and complete information relating thereto:

12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ 0
13. Amount of real estate and mortgages held in short-term investments: \$ 0
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes [ ] No [X]

14.2 If yes, please complete the following:

	1 Prior Year End Book/Adjusted Carrying Value	2 Current Quarter Book/Adjusted Carrying Value
14.21 Bonds	\$ 0	\$ 0
14.22 Preferred Stock	0	0
14.23 Common Stock	0	0
14.24 Short-Term Investments	0	0
14.25 Mortgage Loans on Real Estate	0	0
14.26 All Other	0	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	\$ 0	\$ 0

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

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

- 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0
- 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0
- 16.3 Total payable for securities lending reported on the liability page: \$ 0

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

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

1 Name of Custodian(s)	2 Custodian Address
PNC BANK	620 LIBERTY AVE PITTSBURGH PA 15222

17.2 For all agreements that do not comply with the requirements of the NAIC *Financial Condition Examiners Handbook*, provide the name, location and a complete explanation:

1 Name(s)	2 Location(s)	3 Complete Explanation(s)

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter? Yes [ ] No [X]

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

1 Old Custodian	2 New Custodian	3 Date of Change	4 Reason

17.5 Investment management – Identify all investment advisors, investment managers, broker/dealers, including individuals that have the authority to make investment decisions on behalf of the reporting entity. For assets that are managed internally by employees of the reporting entity, note as such "[...]that have access to the investment accounts", "handle securities".

1 Name of Firm or Individual	2 Affiliation
Internally by Investment Committee (Stephen Hudak, National Treasurer)	A

17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e., designated with a "U") manage more than 10% of the reporting entity's invested assets? Yes [ ] No [X]

17.5098 For firms/individuals unaffiliated with the reporting entity (i.e., designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's invested assets? Yes [ ] No [X]

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

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

- 18.1 Have all the filing requirements of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* been followed? Yes [X] No [ ]

18.2 If no, list exceptions:

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

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:
- a. Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.
  - b. Issuer or obligor is current on all contracted interest and principal payments.
  - c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.
- Has the reporting entity self-designated 5GI securities? Yes [ ] No [X]
20. By self-designating PLGI securities, the reporting entity is certifying the following elements for each self-designated PLGI security:
- a. The security was purchased prior to January 1, 2018.
  - b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - c. The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
  - d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.
- Has the reporting entity self-designated PLGI securities? Yes [ ] No [X]
21. By assigning FE to a Schedule BA non-registered private fund, the reporting entity is certifying the following elements of each self-designated FE fund:
- a. The security was purchased prior to January 1, 2019.
  - b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - c. The security had a public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO prior to January 1, 2019.
  - d. The fund only or predominantly holds bonds in its portfolio.
  - e. The current reporting NAIC designation was derived from the public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO.
  - f. The public credit rating(s) with annual surveillance assigned by an NAIC CRP has not lapsed.
- Has the reporting entity assigned FE to Schedule BA non-registered private funds that complied with the above criteria? Yes [ ] No [X]

**GENERAL INTERROGATORIES (continued)**

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

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

1. Report the statement value of mortgage loans at the end of this reporting period for the following categories:

	Amount
1.1 Long-term mortgages in good standing	
1.11 Farm mortgages.....	\$ .....
1.12 Residential mortgages.....	\$ .....
1.13 Commercial mortgages.....	\$ .....552,617
1.14 Total mortgages in good standing.....	\$ .....552,617
1.2 Long-term mortgages in good standing with restructured terms	
1.21 Total mortgages in good standing with restructured terms.....	\$ .....
1.3 Long-term mortgage loans upon which interest is overdue more than three months	
1.31 Farm mortgages.....	\$ .....
1.32 Residential mortgages.....	\$ .....
1.33 Commercial mortgages.....	\$ .....
1.34 Total mortgages with interest overdue more than three months.....	\$ .....0
1.4 Long-term mortgage loans in process of foreclosure	
1.41 Farm mortgages.....	\$ .....
1.42 Residential mortgages.....	\$ .....
1.43 Commercial mortgages.....	\$ .....
1.44 Total mortgages in process of foreclosure.....	\$ .....0
1.5 Total mortgage loans (Lines 1.14 + 1.21 + 1.34 + 1.44) (Page 2, Column 3, Lines 3.1 + 3.2) .....	\$ .....552,617
1.6 Long-term mortgages foreclosed, properties transferred to real estate in current quarter	
1.61 Farm mortgages.....	\$ .....
1.62 Residential mortgages.....	\$ .....
1.63 Commercial mortgages.....	\$ .....
1.64 Total mortgages foreclosed and transferred to real estate.....	\$ .....0
2. Operating Percentages:	
2.1 A&H loss percent.....	.....
2.2 A&H cost containment percent.....	.....
2.3 A&H expense percent excluding cost containment expenses.....	.....
3.1 Do you act as a custodian for health savings accounts?.....	Yes [ ] No [ X ]
3.2 If yes, please provide the amount of custodial funds held as of the reporting date.....	\$ .....
3.3 Do you act as an administrator for health savings accounts?.....	Yes [ ] No [ X ]
3.4 If yes, please provide the balance of the funds administered as of the reporting date.....	\$ .....
4. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states?.....	Yes [ X ] No [ ]
4.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity?.....	Yes [ ] No [ X ]

**Fraternal Benefit Societies Only:**

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

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

Date	Outstanding Lien Amount

### **SCHEDULE S - CEDED REINSURANCE**

Showing All New Reinsurance Treaties - Current Year to Date

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

**NONE**

# First Catholic Slovak Ladies Association Of The U.S.A. SCHEDULE T - PREMIUMS AND ANNUITY CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

1	States, Etc.	Active Status (a)	Direct Business Only					
			Life Contracts		4	5	6	7
			2	3				
			Life Insurance Premiums	Annuity Considerations	A&H Insurance Premiums, Including Policy Membership and Other Fees	Other Considerations	Total Columns 2 through 5	Deposit-Type Contracts
1.	Alabama.....	AL L	535	15,900			16,435	3
2.	Alaska.....	AK L	2,587	17,650			20,237	2
3.	Arizona.....	AZ L	6,932	44,147			51,078	33
4.	Arkansas.....	AR L					0	
5.	California.....	CA L	33,501	590,659			624,161	
6.	Colorado.....	CO L	3,844	579,091			582,935	
7.	Connecticut.....	CT L	5,940	150,001			155,940	818
8.	Delaware.....	DE L	723	900			1,623	
9.	District of Columbia.....	DC L	982				982	
10.	Florida.....	FL L	23,373	211,750			235,123	129
11.	Georgia.....	GA L	3,985	61,561			65,546	17
12.	Hawaii.....	HI L		18,700			18,700	
13.	Idaho.....	ID L	150,001	141,226			291,227	
14.	Illinois.....	IL L	150,142	1,116,965			1,267,107	8,087
15.	Indiana.....	IN L	26,574	260,829			287,404	6,379
16.	Iowa.....	IA L	248,500	1,872,488			2,120,988	4,544
17.	Kansas.....	KS L	32,830	216,225			249,054	2,324
18.	Kentucky.....	KY L	2,164	700			2,864	3
19.	Louisiana.....	LA L					0	
20.	Maine.....	ME L	5,004				5,004	2
21.	Maryland.....	MD L	6,379	30,308			36,686	50
22.	Massachusetts.....	MA L	3,246	1,621,424			1,624,670	18
23.	Michigan.....	MI L	67,811	222,047			289,858	2,577
24.	Minnesota.....	MN L	371,538	2,125,511			2,497,049	2,734
25.	Mississippi.....	MS N					0	
26.	Missouri.....	MO L	4,361	6,300			10,661	16
27.	Montana.....	MT L	3,656				3,656	8
28.	Nebraska.....	NE L	247,951	5,309,240			5,557,191	7,522
29.	Nevada.....	NV L	1,796	425,240			427,036	
30.	New Hampshire.....	NH N					0	
31.	New Jersey.....	NJ L	55,216	299,851			355,067	3,043
32.	New Mexico.....	NM L	1,465	100,000			101,465	
33.	New York.....	NY L	59,030	1,608,685			1,667,715	924
34.	North Carolina.....	NC L	3,806	3,600			7,406	6
35.	North Dakota.....	ND L	31,936	442,979			474,915	2,785
36.	Ohio.....	OH L	368,260	4,076,686			4,444,947	28,021
37.	Oklahoma.....	OK L	1,735				1,735	1
38.	Oregon.....	OR L	523	75,100			75,623	
39.	Pennsylvania.....	PA L	410,267	4,262,524			4,672,791	28,407
40.	Rhode Island.....	RI L	3,570	1,117,360			1,120,929	
41.	South Carolina.....	SC L	1,214	111,512			112,725	25
42.	South Dakota.....	SD L	12,314	62,484			74,798	90
43.	Tennessee.....	TN L	4,339	400			4,739	3
44.	Texas.....	TX L	14,097	422,364			436,461	438
45.	Utah.....	UT L		12,000			12,000	
46.	Vermont.....	VT L	1,084				1,084	
47.	Virginia.....	VA L	11,994	49,856			61,849	21
48.	Washington.....	WA L	5,771	189,713			195,484	68
49.	West Virginia.....	WV L	8,838	36,000			44,838	58
50.	Wisconsin.....	WI L	142,748	1,511,000			1,653,748	2,281
51.	Wyoming.....	WY L		50,000			50,000	
52.	American Samoa.....	AS N					0	
53.	Guam.....	GU N					0	
54.	Puerto Rico.....	PR N					0	
55.	US Virgin Islands.....	VI N					0	
56.	Northern Mariana Islands.....	MP N					0	
57.	Canada.....	CAN N					0	
58.	Aggregate Other Alien.....	OT XXX	0	0	0	0	0	0
59.	Subtotal.....	XXX	2,542,558	29,470,976	0	0	32,013,534	101,435
90.	Reporting entity contributions for employee benefit plans.....	XXX					0	
91.	Dividends or refunds applied to purchase paid-up additions and annuities.....	XXX	881,254				881,254	
92.	Dividends or refunds applied to shorten endowment or premium paying period.....	XXX					0	
93.	Premium or annuity considerations waived under disability or other contract provisions.....	XXX					0	
94.	Aggregate other amounts not allocable by State.....	XXX	0	0	0	0	0	0
95.	Totals (Direct Business).....	XXX	3,423,812	29,470,976	0	0	32,894,789	101,435
96.	Plus Reinsurance Assumed.....	XXX					0	
97.	Totals (All Business).....	XXX	3,423,812	29,470,976	0	0	32,894,789	101,435
98.	Less Reinsurance Ceded.....	XXX	286,733				286,733	
99.	Totals (All Business) less Reinsurance Ceded.....	XXX	3,137,079	29,470,976	0	0	32,608,055	101,435

**DETAILS OF WRITE-INS**

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

(a) Active Status Count

L - Licensed or Chartered - Licensed insurance carrier or domiciled RRG.....	49	R - Registered - Non-domiciled RRGs.....	0
E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....	0	Q - Qualified - Qualified or accredited reinsurer.....	0
		N - None of the above - Not allowed to write business in the state.....	8

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

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

**SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES**

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

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

**Explanations:**

1. The data for this supplement is not required to be filed.
2. The data for this supplement is not required to be filed.
3. The data for this supplement is not required to be filed.
4. The data for this supplement is not required to be filed.
5. The data for this supplement is not required to be filed.
6. The data for this supplement is not required to be filed.
7. The data for this supplement is not required to be filed.
8. Not Applicable for 1st and 3rd Quarters

**Bar Code:**



**Additional Write-ins for Liabilities:**

	1 Current Statement Date	2 December 31 Prior Year
2504. MONIES HELD FOR CHARITY.....	.....	.....4,451
2597. Summary of remaining write-ins for Line 25.....	.....0	.....4,451

# First Catholic Slovak Ladies Association Of The U.S.A.

## 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.....	4,853,532	5,020,344
2. Cost of acquired:		
2.1 Actual cost at time of acquisition.....	41,625	12,129
2.2 Additional investment made after acquisition.....		
3. Current year change in encumbrances.....		
4. Total gain (loss) on disposals.....		
5. Deduct amounts received on disposals.....		
6. Total foreign exchange change in book/adjusted carrying value.....		
7. Deduct current year's other-than-temporary impairment recognized.....		
8. Deduct current year's depreciation.....	135,300	178,941
9. Book/adjusted carrying value at end of current period (Lines 1+2+3+4-5+6-7-8).....	4,759,857	4,853,532
10. Deduct total nonadmitted amounts.....		
11. Statement value at end of current period (Line 9 minus Line 10).....	4,759,857	4,853,532

## 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.....	579,737	690,151
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.....	26,950	110,111
8. Deduct amortization of premium and mortgage interest points and commitment fees.....	169	304
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).....	552,618	579,737
12. Total valuation allowance.....		
13. Subtotal (Line 11 plus Line 12).....	552,618	579,737
14. Deduct total nonadmitted amounts.....		
15. Statement value at end of current period (Line 13 minus Line 14).....	552,618	579,737

## 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.....	13,929,225	14,063,849
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.....	106,308	134,624
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).....	13,822,917	13,929,225
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	13,822,917	13,929,225

## 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.....	966,679,282	938,199,420
2. Cost of bonds and stocks acquired.....	59,947,657	98,267,950
3. Accrual of discount.....	325,488	421,945
4. Unrealized valuation increase (decrease).....	(2,168,984)	1,827,023
5. Total gain (loss) on disposals.....	1,003,921	(780,060)
6. Deduct consideration for bonds and stocks disposed of.....	41,026,810	66,692,383
7. Deduct amortization of premium.....	4,718,321	6,167,880
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.....	22,193	1,603,266
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10).....	980,064,424	966,679,282
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	980,064,424	966,679,282

**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).....	329,301,254	831,311	9,658,633	1,961,972	349,862,233	329,301,254	322,435,903	399,152,437
2. NAIC 2 (a).....	567,163,886	22,222,863	1,760,743	(8,750,026)	559,529,362	567,163,886	578,875,980	516,944,636
3. NAIC 3 (a).....	54,262,817			5,614,752	39,797,293	54,262,817	59,877,568	32,902,396
4. NAIC 4 (a).....	10,316,783			(1,803,041)	8,567,939	10,316,783	8,513,741	7,032,073
5. NAIC 5 (a).....				1,499,936	500,917		1,499,936	501,072
6. NAIC 6 (a).....	201,261			108,500	11	201,261	309,761	554,689
7. Total Bonds.....	961,246,000	23,054,174	11,419,376	(1,367,908)	958,257,756	961,246,000	971,512,890	957,087,304
<b>PREFERRED STOCK</b>								
8. NAIC 1.....	588,820	600,000			656,320	588,820	1,188,820	568,684
9. NAIC 2.....	1,074,978		179,400		1,007,478	1,074,978	895,578	1,123,399
10. NAIC 3.....	577,138		52,782		577,138	577,138	524,356	177,138
11. NAIC 4.....							0	
12. NAIC 5.....							0	
13. NAIC 6.....	13,982				13,991	13,982	13,982	13,982
14. Total Preferred Stock.....	2,254,918	600,000	232,182	0	2,254,927	2,254,918	2,622,736	1,883,203
15. Total Bonds and Preferred Stock.....	963,500,917	23,654,174	11,651,558	(1,367,908)	960,512,682	963,500,917	974,135,625	958,970,507

QS102

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of short-term and cash equivalent bonds by NAIC designation:

NAIC 1 \$.....0; NAIC 2 \$.....0; NAIC 3 \$.....0; NAIC 4 \$.....0; NAIC 5 \$.....0; NAIC 6 \$.....0.

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

**Sch. DA - Verification  
NONE**

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

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

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

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

**Sch. DB - Verification  
NONE**

**SCHEDULE E - PART 2 - VERIFICATION**

Cash Equivalents

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	16,405,515	6,000,000
2. Cost of cash equivalents acquired.....		10,405,515
3. Accrual of discount.....		
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....		
6. Deduct consideration received on disposals.....	10,405,515	
7. Deduct amortization of premium.....		
8. Total foreign exchange change in book/ adjusted carrying value.....		
9. Deduct current year's other-than-temporary impairment recognized.....		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9).....	6,000,000	16,405,515
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	6,000,000	16,405,515

**Sch. A Pt. 2  
NONE**

**Sch. A Pt. 3  
NONE**

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

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

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

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

**SCHEDULE D - PART 3**

Showing all Long-Term Bonds and Stocks ACQUIRED During Current Quarter

1	2		3	4	5	6	7	8	9	10
CUSIP Identification	Description		Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation and Administrative Symbol
<b>Bonds - Industrial and Miscellaneous</b>										
05465C	AA	8		09/17/2020	Various		1,923,750	1,900,000	406	2FE
093662	AH	7		08/27/2020	RAYMOND JAMES/FI		2,029,140	2,000,000	5,167	2FE
140501	AA	5		08/26/2020	RAYMOND JAMES/FI		831,311	810,000	17,778	1PL
14149Y	BD	9		08/27/2020	BAIRD, ROBERT W., & COMPANY IN		2,383,360	2,000,000	45,189	2FE
257559	AJ	3		07/21/2020	BAIRD, ROBERT W., & COMPANY IN		1,108,440	1,000,000	24,653	2FE
30161M	AG	8		07/21/2020	RAYMOND JAMES/FI		1,563,603	1,227,000	23,858	2FE
404119	BV	0		08/27/2020	BAIRD, ROBERT W., & COMPANY IN		1,281,990	1,000,000	11,611	2FE
485170	BB	9		08/11/2020	KEYBANC CAPITAL MARKETS INC		3,386,520	3,000,000	39,950	2FE
60871R	AD	2		07/20/2020	KEYBANC CAPITAL MARKETS INC		2,246,040	2,000,000	22,500	2FE
69121K	AD	6		07/30/2020	RAYMOND JAMES/FI		2,022,020	2,010,000	2,373	2FE
693656	AB	6		07/20/2020	KEYBANC CAPITAL MARKETS INC		2,047,040	2,000,000	3,083	2FE
931427	AR	9		08/20/2020	BAIRD, ROBERT W., & COMPANY IN		2,230,960	2,000,000	21,442	2FE
3899999	Total - Bonds - Industrial and Miscellaneous						23,054,174	20,947,000	218,010	XXX
8399997	Total - Bonds - Part 3						23,054,174	20,947,000	218,010	XXX
8399999	Total - Bonds						23,054,174	20,947,000	218,010	XXX
<b>Preferred Stocks - Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred</b>										
40417L	20	5		08/06/2020	RAYMOND JAMES & ASSOCIATES	24,000,000	600,000			1PL
8599999	Total - Preferred Stocks - Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred						600,000	XXX	0	XXX
8999997	Total - Preferred Stocks - Part 3						600,000	XXX	0	XXX
8999999	Total - Preferred Stocks						600,000	XXX	0	XXX
9899999	Total - Preferred and Common Stocks						600,000	XXX	0	XXX
9999999	Total - Bonds, Preferred and Common Stocks						23,654,174	XXX	218,010	XXX

QE04

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For ei g n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) / Accretion	Current Year's Other-Than- Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Admini- strative Symbol
<b>Bonds - U.S. Government</b>																					
36202A	P7 6		09/01/2020	Paydown		106	106	105	105		1		1		106			0	5	11/20/2022	1
36202A	S9 9		09/01/2020	Paydown		69	69	69	69		0		0		69			0	3	12/20/2022	1
36202A	TA 5		09/01/2020	Paydown		94	94	93	93		0		0		94			0	5	12/20/2022	1
36202A	YU 5		09/01/2020	Paydown		66	66	65	65		0		0		66			0	3	01/20/2023	1
36202B	3Z 6		09/01/2020	Paydown		7	7	7	7		0		0		7		0	0	4	05/20/2024	1
36202B	ED 3		09/01/2020	Paydown		85	85	85	84		0		0		85			0	0	04/20/2023	1
36202B	HT 5		09/01/2020	Paydown		55	55	55	55		0		0		55			0	3	05/20/2023	1
36202B	KZ 7		09/01/2020	Paydown		59	59	59	59		0		0		59			0	3	06/20/2023	1
36202C	6J 7		09/01/2020	Paydown		90	90	98	97		(7)		(7)		90			0	4	11/20/2028	1
36202C	BM 4		09/01/2020	Paydown		27	27	27	27		0		0		27			0	1	06/20/2022	1
36202C	CE 1		09/01/2020	Paydown		36	36	36	36		0		0		36			0	2	09/20/2024	1
36202C	EM 1		09/01/2020	Paydown		15	15	15	15		0		0		15		(0)	(0)	1	01/20/2025	1
36202C	HH 9		09/01/2020	Paydown		4	4	4	4		0		0		4			0	0	07/20/2025	1
36202D	5F 4		09/01/2020	Paydown		86	86	98	97		(11)		(11)		86			0	4	04/20/2034	1
36204F	NB 6		09/01/2020	Paydown		19	19	19	19		0		0		19			0	1	03/15/2024	1
36204Q	G3 8		09/01/2020	Paydown		29	29	29	29		0		0		29		(0)	(0)	2	05/15/2024	1
36204U	C7 4		08/17/2020	Paydown		190	190	196	192		(2)		(2)		190		(0)	(0)	9	04/15/2024	1
36204W	CP 0		09/01/2020	Paydown		191	191	190	191		0		0		191			0	10	04/15/2024	1
36205K	JU 7		09/01/2020	Paydown		44	44	44	44		0		0		44			0	2	12/15/2024	1
36207R	3A 1		09/01/2020	Paydown		4	4	3	3		0		0		4			0	0	02/15/2027	1
362165	LL 4		09/01/2020	Paydown		44	44	44	44		0		0		44			0	2	04/15/2023	1
362166	QW 3		09/01/2020	Paydown		188	188	187	187		1		1		188			0	10	01/15/2022	1
36223F	B4 2		09/01/2020	Paydown		182	182	182	181		0		0		182			0	11	05/15/2021	1
36223F	Q7 9		09/01/2020	Paydown		35	35	35	35		0		0		35			0	2	03/15/2022	1
36223N	XC 3		09/01/2020	Paydown		136	136	136	136		0		0		136			0	7	08/15/2022	1
36224G	S5 8		07/15/2020	Paydown		21	21	21	21		(0)		(0)		21		(0)	(0)	1	08/15/2022	1
36224H	MD 5		09/01/2020	Paydown		121	121	120	121		0		0		121			0	6	12/15/2022	1
36224L	MC 8		09/01/2020	Paydown		482	482	480	480		2		2		482		(0)	(0)	23	10/15/2022	1
36224M	UL 7		09/16/2020	Paydown		1,591	1,591	1,587	1,587		4		4		1,591			0	81	10/15/2022	1
36224P	MD 7		09/01/2020	Paydown		225	225	220	223		2		2		225		(0)	(0)	11	11/15/2022	1
38373Q	2D 2		09/01/2020	Paydown		413	413	457	438		(25)		(25)		413			0	17	06/20/2033	1
38373V	7U 8		08/20/2020	Paydown		20,000	20,000	21,575	20,739		(739)		(739)		20,000			0	800	03/20/2032	1
38373V	AJ 9		09/01/2020	Paydown		353	353	388	375		(22)		(22)		353		(0)	(0)	14	08/20/2032	1
38373V	NQ 9		09/01/2020	Paydown		436	436	487	467		(31)		(31)		436		(0)	(0)	17	09/20/2032	1
38373W	W6 1		09/01/2020	Paydown		373	373	401	411		(38)		(38)		373			0	15	05/20/2032	1
38373X	Y3 4		09/01/2020	Paydown		303	303	328	330		(27)		(27)		303			0	12	07/20/2032	1
383742	DY 6		09/01/2020	Paydown		1,084	1,084	1,192	1,190		(106)		(106)		1,084			0	43	08/20/2037	1
383742	M3 4		09/01/2020	Paydown		1,691	1,691	1,776	1,752		(61)		(61)		1,691			0	58	04/20/2038	1
38374B	DD 2		09/01/2020	Paydown		369	369	375	379		(10)		(10)		369			0	12	07/20/2033	1
38374D	PQ 6		09/01/2020	Paydown		1,430	1,430	1,641	1,571		(141)		(141)		1,430			0	51	01/16/2038	1
38374D	TK 5		09/01/2020	Paydown		1,912	1,912	2,084	1,964		(52)		(52)		1,912			0	72	08/20/2037	1

QE05

**SCHEDULE D - PART 4**

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

QE05 1

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	F o r e i g n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) / Accretion	Current Year's Other-Than-Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
38374F 3T 9	GNR 2004-026 ED - CMO/RMBS		09/01/2020	Paydown		1,621	1,621	1,816	1,741		(120)		(120)		1,621		0	0	58	04/16/2034	1
38374F 6X 7	GNR 2004-030 UD - CMO/RMBS		09/01/2020	Paydown		2,565	2,565	2,836	2,715		(149)		(149)		2,565		0	0	94	04/20/2034	1
38374F HH 0	GNR 2004-016 GC - CMO/RMBS		09/01/2020	Paydown		1,280	1,280	1,395	1,351		(72)		(72)		1,280		0	0	45	02/20/2034	1
38374G ZZ 4	GNR 2004-042 AD - CMO/RMBS		09/01/2020	Paydown		102	102	110	107		(5)		(5)		102		0	0	4	03/20/2032	1
38374G SA 1	GNR 2004-037 B - CMO/RMBS		09/01/2020	Paydown		5,638	5,638	5,772	6,410		(772)		(772)		5,638		0	0	211	04/17/2034	1
38374H 6M 7	GNR 2004-069 GC - CMO/RMBS		09/01/2020	Paydown		2,240	2,240	2,316	2,310		(70)		(70)		2,240		0	0	79	04/20/2034	1
38374K 2D 4	GNR 2005-033 AY - CMO/RMBS		09/01/2020	Paydown		378	378	410	421		(43)		(43)		378		0	0	14	04/16/2035	1
38374K TX 1	GNR 2005-013 AE - CMO/RMBS		09/01/2020	Paydown		8,366	8,366	8,504	8,388		(22)		(22)		8,366		0	0	268	09/20/2034	1
38374K UY 7	GNR 2005-013 PE - CMO/RMBS		09/01/2020	Paydown		6,943	6,943	8,037	7,404		(461)		(461)		6,943		0	0	231	02/20/2035	1
38374L XL 0	GNR 2005-051 DC - CMO/RMBS		09/01/2020	Paydown		535	535	549	548		(13)		(13)		535		0	0	17	07/20/2035	1
38374M U9 8	GNR 2006-017 TW - CMO/RMBS		09/01/2020	Paydown		937	937	956	945		(8)		(8)		937		0	0	36	04/20/2036	1
38374M W4 7	GNR 2006-017 QB - CMO/RMBS		09/01/2020	Paydown		3,238	3,238	3,547	3,473		(235)		(235)		3,238		0	0	126	04/20/2036	1
38374M WR 6	GNR 2006-001 LE - CMO/RMBS		09/01/2020	Paydown		3,135	3,135	3,417	3,317		(182)		(182)		3,135		(0)	(0)	112	06/20/2035	1
38374N XV 4	GNR 2006-057 NW - CMO/RMBS		09/01/2020	Paydown		2,666	2,666	2,883	2,826		(161)		(161)		2,666		0	0	104	10/20/2036	1
38375D KN 7	GNR 2008-058 PE - CMO/RMBS		09/01/2020	Paydown		1,509	1,509	1,661	1,607		(98)		(98)		1,509		0	0	55	07/16/2038	1
38375J 5E 1	GNR 2007-024 LB - CMO/RMBS		09/01/2020	Paydown		2,259	2,259	2,609	2,465		(206)		(206)		2,259		(0)	(0)	77	05/16/2037	1
38375L P7 9	GNR 2007-070 PE - CMO/RMBS		09/01/2020	Paydown		1,298	1,298	1,389	1,476		(178)		(178)		1,298		0	0	47	11/20/2037	1
38375P CH 2	GNR 2008-001 LB - CMO/RMBS		09/01/2020	Paydown		587	587	595	607		(20)		(20)		587		0	0	21	01/20/2038	1
38375P K4 2	GNR 2008-007 PL - CMO/RMBS		09/01/2020	Paydown		4,642	4,642	4,622	4,632		10		10		4,642		0	0	151	11/20/2037	1
38375X QU 1	GNR 2008-069 EP - CMO/RMBS		09/01/2020	Paydown		1,172	1,172	1,263	1,235		(63)		(63)		1,172		0	0	43	08/20/2038	1
38376J LF 9	GNR 2009-104 NC - CMO/RMBS		09/01/2020	Paydown		953	953	1,084	1,029		(76)		(76)		953		0	0	31	11/20/2039	1
38376P 4G 2	GNR 2009-127 PB - CMO/RMBS		09/01/2020	Paydown		607	607	690	659		(52)		(52)		607		0	0	22	12/20/2039	1
911760 LQ 7	VENDE 1998-2 G - CMO/RMBS		09/01/2020	Paydown		190	190	213	209		(19)		(19)		190		0	0	9	06/15/2028	1
911760 LY 0	VENDE 1998-3 E - CMO/RMBS		09/01/2020	Paydown		435	435	471	480		(45)		(45)		435		0	0	18	03/15/2029	1
0599999	Total - Bonds - U.S. Government					85,959	85,959	92,159	90,277	0	(4,319)	0	(4,319)	0	85,959	0	0	0	3,200	XXX	XXX
<b>Bonds - U.S. Political Subdivisions of States</b>																					
015302 J6 0	ALEXANDRIA VA		07/01/2020	Call @ 100.00		45,000	45,000	46,058	45,091		(91)		(91)		45,000		0	0	2,250	07/01/2030	1FE
741701 G8 3	PRINCE GEORGES CNTY MD		09/15/2020	Call @ 100.00		25,000	25,000	24,163	24,652		48		48		24,700		300	300	1,000	09/15/2024	1FE
2499999	Total - Bonds - U.S. Political Subdivisions of States					70,000	70,000	70,221	69,743	0	(43)	0	(43)	0	69,700	0	300	300	3,250	XXX	XXX
<b>Bonds - U.S. Special Revenue and Special Assessment</b>																					
19679R NJ 5	COLORADO WTR RES & PWR DEV AUTH WTR RES		09/01/2020	Call @ 100.00		335,000	335,000	333,770	334,072		24		24		334,096		904	904	19,765	09/01/2035	1FE
312904 VU 6	FHR 1017 D - CMO/RMBS		09/01/2020	Paydown		42	42	41	41		0		0		42		0	0	2	11/15/2020	1
312905 Z7 0	FHR 1087 I - CMO/RMBS		09/01/2020	Paydown		129	129	128	129		0		0		129		0	0	7	06/15/2021	1
312906 RX 0	FHR 1119 H - CMO/RMBS		09/01/2020	Paydown		41	41	41	41		0		0		41		(0)	(0)	2	08/15/2021	1
312906 VS 6	FHR 1122 G - CMO/RMBS		09/01/2020	Paydown		103	103	103	103		0		0		103		0	0	5	08/15/2021	1
312909 3W 2	FHR 1250 J - CMO/RMBS		09/01/2020	Paydown		186	186	185	185		1		1		186		0	0	9	05/15/2022	1
312910 3Q 3	FHR 1311 K - CMO/RMBS		09/01/2020	Paydown		581	581	575	580		1		1		581		(0)	(0)	26	07/15/2022	1
312910 B6 8	FHR 1312 I - CMO/RMBS		09/01/2020	Paydown		157	157	156	157		0		0		157		0	0	8	07/15/2022	1
312912 AP 3	FHR 1367 KA - CMO/RMBS		09/01/2020	Paydown		1,045	1,045	1,039	1,043		2		2		1,045		0	0	45	09/15/2022	1
312913 QR 0	FHR 1439 I - CMO/RMBS		09/01/2020	Paydown		409	409	409	409		0		0		409		0	0	20	11/15/2022	1
312913 WW 2	FHG G4 D - CMO/RMBS		09/01/2020	Paydown		264	264	262	263		1		1		264		0	0	14	12/25/2022	1

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	F o r e i g n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) / Accretion	Current Year's Other-Than-Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
312914	DS 0	FHR 1459 M - CMO/RMBS.....	09/01/2020	Paydown.....		644	644	644	643		1		1		644			0	32	01/15/2023	1.....
312914	VY 7	FHR 1474 E - CMO/RMBS.....	09/01/2020	Paydown.....		141	141	141	141				0		141			0	7	02/15/2023	1.....
31293A	5H 7	FH C15348 - RMBS.....	08/20/2020	Paydown.....		292	292	400	352		(61)		(61)		292			0	14	09/01/2028	1.....
3133T0	J7 0	FHR 1578 K - CMO/RMBS.....	09/01/2020	Paydown.....		6,266	6,266	6,259	6,260		6		6		6,266			0	292	09/15/2023	1.....
3133T1	FB 3	FHR 1577 PV - CMO/RMBS.....	09/01/2020	Paydown.....		2,561	2,561	2,555	2,558		3		3		2,561			0	109	09/15/2023	1.....
3133T3	PK 8	FHR 1652 PL - CMO/RMBS.....	09/01/2020	Paydown.....		5,705	5,705	5,705	5,700		5		5		5,705			0	264	01/15/2024	1.....
31358E	2N 1	FNR 90103 K - CMO/RMBS.....	09/01/2020	Paydown.....		10	10	10	10		0		0		10			0	0	09/25/2020	1.....
31358K	F3 7	FNR 91162 GA - CMO/RMBS.....	09/01/2020	Paydown.....		93	93	93	92		0		0		93			0	5	12/25/2021	1.....
31358M	WZ 3	FNR 9249 L - CMO/RMBS.....	09/01/2020	Paydown.....		820	820	819	816		4		4		820			0	39	04/25/2022	1.....
31358P	D2 0	FNR 1992-135 L - CMO/RMBS.....	09/01/2020	Paydown.....		129	129	129	129		0		0		129			0	7	08/25/2022	1.....
31358P	HT 7	FNR G9235 E - CMO/RMBS.....	09/01/2020	Paydown.....		698	698	693	695		3		3		698			0	35	07/25/2022	1.....
31358P	HV 2	FNR G9235 EB - CMO/RMBS.....	09/01/2020	Paydown.....		244	244	242	243		1		1		244			0	12	07/25/2022	1.....
31358P	MX 2	FNR 92149 H - CMO/RMBS.....	09/01/2020	Paydown.....		1,340	1,340	1,340	1,337		3		3		1,340			0	62	08/25/2022	1.....
31358Q	AN 5	FNR 1992-161 H - CMO/RMBS.....	09/01/2020	Paydown.....		462	462	462	461		1		1		462		(0)	(0)	23	09/25/2022	1.....
31358Q	BR 5	FNR 1992-G53 J - CMO/RMBS.....	09/01/2020	Paydown.....		355	355	351	353		1		1		355			0	17	09/25/2022	1.....
31358Q	HC 2	FNR 92159 PL - CMO/RMBS.....	09/01/2020	Paydown.....		422	422	419	418		3		3		422			0	20	09/25/2022	1.....
31358R	BM 4	FNR 92195 C - CMO/RMBS.....	09/01/2020	Paydown.....		484	484	484	483		1		1		484			0	24	10/25/2022	1.....
31358T	4H 9	FNR 1993-21 KA - CMO/RMBS.....	09/01/2020	Paydown.....		228	228	237	228				0		228			0	12	03/25/2023	1.....
31359B	PE 1	FNR 1993-122 M - CMO/RMBS.....	09/01/2020	Paydown.....		2,195	2,195	2,174	2,189		7		7		2,195			0	96	07/25/2023	1.....
31359D	6L 2	FNR 93178 PK - CMO/RMBS.....	09/01/2020	Paydown.....		2,554	2,554	2,552	2,550		4		4		2,554			0	111	09/25/2023	1.....
31359E	YT 2	FNR 1993-199 PX - CMO/RMBS.....	09/01/2020	Paydown.....		4,109	4,109	4,099	4,101		8		8		4,109			0	179	10/25/2023	1.....
31359H	JE 5	FNR 9455 H - CMO/RMBS.....	09/01/2020	Paydown.....		3,394	3,393	3,292	3,374		20		20		3,393			0	155	03/25/2024	1.....
31359H	Q8 0	FNR G946 PY - CMO/RMBS.....	09/01/2020	Paydown.....		79	79	81	82		(4)		(4)		79			0	4	05/17/2024	1.....
31367W	HL 8	FN 181235 - RMBS.....	09/01/2020	Paydown.....		53	53	59	55		(2)		(2)		53		(0)	(0)	3	10/01/2022	1.....
31368K	LD 6	FN 192124 - RMBS.....	09/01/2020	Paydown.....		128	128	128	128		0		0		128			0	6	12/01/2022	1.....
31389N	EZ 4	FN 630252 - RMBS.....	09/01/2020	Paydown.....		15	15	15	16		(1)		(1)		15			0	1	03/01/2032	1.....
31392C	CN 2	FNR 0222A GQ - CMO/RMBS.....	09/01/2020	Paydown.....		90	90	95	107		(18)		(18)		90			0	4	04/25/2032	1.....
31392C	CS 1	FNR 0222A GC - CMO/RMBS.....	09/01/2020	Paydown.....		772	772	835	810		(37)		(37)		772			0	33	04/25/2032	1.....
31392E	JK 7	FNR 0253E EL - CMO/RMBS.....	09/01/2020	Paydown.....		2,918	2,918	3,206	3,084		(166)		(166)		2,918			0	116	09/25/2032	1.....
31392J	6V 6	FNR 0323D CH - CMO/RMBS.....	09/01/2020	Paydown.....		91	91	93	95		(3)		(3)		91			0	3	04/25/2033	1.....
31392U	BG 8	FHR 2505B D - CMO/RMBS.....	09/01/2020	Paydown.....		730	730	794	782		(51)		(51)		730			0	27	09/15/2032	1.....
31392W	LQ 1	FHR 2515E HC - CMO/RMBS.....	09/01/2020	Paydown.....		9,593	9,593	10,593	10,039		(445)		(445)		9,593			0	385	10/15/2032	1.....
31392X	XT 0	FHR 2524B HC - CMO/RMBS.....	09/01/2020	Paydown.....		2,200	2,200	2,497	2,352		(152)		(152)		2,200			0	80	11/15/2032	1.....
31393A	6C 6	FNR 0339B MT - CMO/RMBS.....	09/01/2020	Paydown.....		6,260	6,259	6,259	6,252		8		8		6,259			0	225	05/25/2023	1.....
31393B	D6 9	FNR 0341E PN - CMO/RMBS.....	09/01/2020	Paydown.....		290	290	299	318		(27)		(27)		290		(0)	(0)	10	05/25/2033	1.....
31393D	2D 2	FNR 2003-75 LL - CMO/RMBS.....	07/27/2020	Call @ 100.00		1,000	1,000	1,000	1,000				0		1,000			0	29	08/25/2033	1.....
31393F	MH 6	FHR 2523B AP - CMO/RMBS.....	09/01/2020	Paydown.....		55	55	60	59		(4)		(4)		55		(0)	(0)	2	11/15/2032	1.....
31393F	PW 0	FHR 2544D KE - CMO/RMBS.....	09/01/2020	Paydown.....		139	139	146	153		(14)		(14)		139		(0)	(0)	5	12/15/2032	1.....
31393F	ZW 9	FHR 2531B PM - CMO/RMBS.....	09/01/2020	Paydown.....		85	85	88	98		(13)		(13)		85			0	3	12/15/2032	1.....
31393J	3Z 9	FHR 2554C MN - CMO/RMBS.....	09/01/2020	Paydown.....		250	250	262	270		(20)		(20)		250		(0)	(0)	9	01/15/2033	1.....
31393L	FT 5	FHR 2564D AC - CMO/RMBS.....	09/01/2020	Paydown.....		171	171	181	184		(14)		(14)		171			0	6	02/15/2033	1.....
31393Q	XY 3	FHR 2610 VB - CMO/RMBS.....	09/01/2020	Paydown.....		2,750	2,750	2,700	2,734		15		15		2,750			0	99	07/15/2024	1.....

QE05 2

**SCHEDULE D - PART 4**

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

QE053

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	F o r e i g n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) / Accretion	Current Year's Other-Than-Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
31393U	JE 4 FNR 2003-127 EG - CMO/RMBS		09/01/2020	Paydown		285	285	327	307		(22)		(22)		285		0	0	11	12/25/2033	1
31393X	5K 9 FNR 2004-36 CB - CMO/RMBS		09/01/2020	Paydown		985	985	1,111	1,052		(68)		(68)		985		0	0	34	05/25/2034	1
31393X	SN 8 FNR 2004-25 UC - CMO/RMBS		09/01/2020	Paydown		826	826	866	852		(26)		(26)		826		(0)	(0)	29	04/25/2034	1
31394A	WJ 1 FNR 0460C AB - CMO/RMBS		09/01/2020	Paydown		636	636	677	649		(12)		(12)		636		0	0	24	04/25/2034	1
31394B	RM 8 FNR 2004-92 TB - CMO/RMBS		09/01/2020	Paydown		4,169	4,169	4,519	4,366		(196)		(196)		4,169		0	0	166	12/25/2034	1
31394B	TR 5 FNR 2004-90 D - CMO/RMBS		09/25/2020	Paydown		2,722	2,722	2,600	2,697		25		25		2,722		0	0	72	11/25/2034	1
31394D	A7 5 FNR 2005-48 TD - CMO/RMBS		09/01/2020	Paydown		589	589	653	624		(36)		(36)		589		0	0	22	06/25/2035	1
31394D	SU 5 FNR 2005-38 TC - CMO/RMBS		09/01/2020	Paydown		392	392	420	407		(15)		(15)		392		(0)	(0)	17	05/25/2035	1
31394E	W3 8 FNR 2005-70 KC - CMO/RMBS		09/01/2020	Paydown		292	292	321	307		(16)		(16)		292		0	0	12	08/25/2035	1
31394E	X6 0 FNR 2005-70 KP - CMO/RMBS		09/01/2020	Paydown		3,727	3,727	4,088	3,899		(171)		(171)		3,727		0	0	124	06/25/2035	1
31394G	YZ 0 FHR 2665 LL - CMO/RMBS		09/15/2020	Call @ 100.00		1,000	1,000	1,015	1,020		(1)		(1)		1,020		(20)	(20)	41	08/15/2033	1
31394K	R8 9 FHR 2696 DG - CMO/RMBS		09/01/2020	Paydown		292	292	307	306		(14)		(14)		292		0	0	11	10/15/2033	1
31394P	VY 6 FHR 2743 PH - CMO/RMBS		09/01/2020	Paydown		30	30	31	32		(2)		(2)		30		(0)	(0)	1	02/15/2034	1
31394U	S6 0 FNR 2005-110 GL - CMO/RMBS		09/01/2020	Paydown		1,070	1,070	1,211	1,159		(89)		(89)		1,070		0	0	39	12/25/2035	1
31394V	JR 2 FNR 2005-120 PB - CMO/RMBS		09/01/2020	Paydown		229	229	258	246		(17)		(17)		229		0	0	9	01/25/2036	1
31394Y	H9 8 FHR 2793 PE - CMO/RMBS		09/01/2020	Paydown		223	223	238	238		(15)		(15)		223		0	0	7	05/15/2034	1
31395T	M9 2 FHR 2963 DE - CMO/RMBS		09/01/2020	Paydown		403	403	437	426		(23)		(23)		403		0	0	16	04/15/2035	1
31396E	P4 2 FHR 3066 EE - CMO/RMBS		08/17/2020	Call @ 100.00		2,000	2,000	2,029	2,019		(1)		(1)		2,018		(18)	(18)	69	11/15/2035	1
31396F	WU 3 FHR 3081 CQ - CMO/RMBS		09/01/2020	Paydown		388	388	423	427		(38)		(38)		388		0	0	14	12/15/2035	1
31396J	2C 8 FHR 3126 CY - CMO/RMBS		09/01/2020	Paydown		921	921	1,004	1,048		(128)		(128)		921		0	0	40	03/15/2036	1
31396L	3T 5 FNR 2006-114 HE - CMO/RMBS		09/01/2020	Paydown		280	280	294	291		(10)		(10)		280		0	0	10	12/25/2036	1
31396P	FP 1 FNR 2006-124 B - CMO/RMBS		09/01/2020	Paydown		2,197	2,197	2,498	2,527		(330)		(330)		2,197		(0)	(0)	88	01/25/2037	1
31396R	2H 9 FHR 3152 LB - CMO/RMBS		09/01/2020	Paydown		400	400	438	415		(15)		(15)		400		(0)	(0)	16	05/15/2026	1
31396W	QN 9 FNR 2007-72 B - CMO/RMBS		09/01/2020	Paydown		528	528	578	578		(50)		(50)		528		0	0	20	07/25/2037	1
31396W	QT 6 FNR 2007-72 DB - CMO/RMBS		09/01/2020	Paydown		150	150	157	180		(30)		(30)		150		0	0	6	07/25/2037	1
31396W	Y8 3 FNR 2007-76 EB - CMO/RMBS		09/01/2020	Paydown		28	28	29	36		(8)		(8)		28		0	0	1	08/25/2037	1
31397B	2W 0 FHR 3213 PE - CMO/RMBS		09/01/2020	Paydown		2,910	2,910	3,148	3,311		(401)		(401)		2,910		0	0	111	09/15/2036	1
31397E	QH 1 FHR 3270 AT - CMO/RMBS		09/01/2020	Paydown		300	300	318	365		(65)		(65)		300		(0)	(0)	12	01/15/2037	1
31397J	LW 2 FHR 3348 HT - CMO/RMBS		09/01/2020	Paydown		189	189	202	192		(3)		(3)		189		0	0	8	07/15/2037	1
31397J	VU 5 FHR 3349 MY - CMO/RMBS		09/01/2020	Paydown		685	685	725	777		(92)		(92)		685		0	0	24	07/15/2037	1
31397L	3R 8 FNR 2008-61 MC - CMO/RMBS		09/01/2020	Paydown		2,658	2,658	2,824	2,745		(87)		(87)		2,658		0	0	98	07/25/2038	1
31397N	QQ 1 FNR 2009-25 PG - CMO/RMBS		09/01/2020	Paydown		1,688	1,688	1,870	1,781		(92)		(92)		1,688		0	0	69	04/25/2039	1
31404B	QG 0 FN 763755 - RMBS		09/01/2020	Paydown		17	17	19	19		(2)		(2)		17		0	0	1	02/01/2034	1
319999	Total - Bonds - U.S. Special Revenue and Special Assessments					431,978	431,978	434,834	434,072	0	(2,961)	0	(2,961)	0	431,111	0	867	867	23,691	XXX	XXX
<b>Bonds - Industrial and Miscellaneous</b>																					
023650	AG 9 AAL 2000-1 G - ABS		06/18/2020	Redemption @ 100.00		468,526	468,526	523,338	483,990		(3,889)		(3,889)		480,101		(11,575)	(11,575)	37,749	01/02/2022	2FE
03027X	AE 0 AMERICAN TOWER CORP		07/06/2020	Call @ 100.00		103,598	100,000	102,985	100,828		(244)		(244)		100,584		(584)	(584)	6,387	09/15/2021	2FE
125523	CH 1 CIGNA CORP		09/15/2020	Maturity @ 100.00		165,000	165,000	164,975	165,001		(1)		(1)		165,000		0	0	6,806	09/15/2020	2FE
126650	CJ 7 CVS HEALTH CORP		07/20/2020	Maturity @ 100.00		500,000	500,000	517,790	502,325		(2,325)		(2,325)		500,000		0	0	14,000	07/20/2020	2FE
126802	DH 7 CABMT 2015-II A1 - ABS		07/15/2020	Various		1,000,000	1,000,000	1,005,547	1,000,838		(838)		(838)		1,000,000		0	0	13,125	07/17/2023	1FE
25152C	QB 5 DEUTSCHE BANK AG (LONDON BRANCH)	C	07/31/2020	Call @ 100.00		100,000	100,000	100,000	100,000				0		100,000		0	0	3,000	07/31/2030	2FE

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	F o r e i g n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) / Accretion	Current Year's Other-Than-Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
278642 AC 7	EBAY INC.....		07/23/2020	Call @ 100.00.....		125,000	125,000	125,792	125,050		(63)		(63)		124,987		13	13	3,137	10/15/2020	2FE.....
30161M AH 6	EXELON GENERATION COMPANY LLC.....		07/01/2020	Call @ 100.00.....		25,000	25,000	26,635	25,115		(115)		(115)		25,000				750	10/01/2020	2FE.....
40414L AG 4	HEALTHPEAK PROPERTIES INC.....		07/09/2020	Call @ 100.00.....		52,756	50,000	50,100	50,037		(8)		(8)		50,029		(29)	(29)	4,235	08/01/2022	2FE.....
428236 BF 9	HP INC.....		07/22/2020	Call @ 100.00.....		40,501	40,000	41,452	40,175		(105)		(105)		40,069		(69)	(69)	1,463	12/01/2020	2FE.....
46625H HS 2	JPMORGAN CHASE & CO.....		07/22/2020	Maturity @ 100.00.....		40,000	40,000	43,032	40,233		(233)		(233)		40,000				1,760	07/22/2020	1FE.....
55265K 6V 6	MASTR 2004-1 519 - CMO/RMBS.....		09/01/2020	Paydown.....		1,537	1,537	1,537	1,537				0		1,537				52	02/25/2034	1FM.....
55265K X4 6	MASTR 2003-11 2A8 - CMO/RMBS.....		09/01/2020	Paydown.....		49	49	49	51		(2)		(2)		49				2	12/25/2033	1FM.....
620076 BB 4	MOTOROLA SOLUTIONS INC.....		09/14/2020	Call @ 105.48.....		105,480	100,000	99,918	99,962		11		11		99,973		5,508	5,508	3,115	05/15/2022	2FE.....
63946B AH 3	NBCUNIVERSAL MEDIA LLC.....		09/14/2020	Call @ 105.88.....		31,763	30,000	30,473	30,158		(35)		(35)		30,122		1,640	1,640	994	01/15/2023	1FE.....
68389X AK 1	ORACLE CORP.....		07/15/2020	Maturity @ 100.00.....		3,000,000	3,000,000	2,945,250	2,996,293		3,707		3,707		3,000,000				116,250	07/15/2020	1FE.....
74434T P4 3	PHMS 1993-63 A6 - CMO/RMBS.....		09/01/2020	Paydown.....		156	156	154	155		0		0		156				7	01/25/2024	1FM.....
803111 AS 2	HILLSHIRE BRANDS CO.....		09/15/2020	Maturity @ 100.00.....		50,000	50,000	53,088	50,294		(294)		(294)		50,000				2,050	09/15/2020	2FE.....
808513 AD 7	CHARLES SCHWAB CORP.....		07/22/2020	Maturity @ 100.00.....		5,000,000	5,000,000	5,148,450	5,010,630		(10,630)		(10,630)		5,000,000				222,500	07/22/2020	1FE.....
96950F AG 9	WILLIAMS COMPANIES INC.....		08/15/2020	Call @ 100.00.....		25,000	25,000	26,448	25,126		(126)		(126)		25,000				773	11/15/2020	2FE.....
3899999	Total - Bonds - Industrial and Miscellaneous.....					10,834,365	10,820,267	11,007,014	10,847,795	0	(15,189)	0	(15,189)	0	10,832,606	0	(5,096)	(5,096)	438,156	XXX	XXX
8399997	Total - Bonds - Part 4.....					11,422,301	11,408,204	11,604,227	11,441,888	0	(22,512)	0	(22,512)	0	11,419,375	0	(3,929)	(3,929)	468,296	XXX	XXX
8399999	Total - Bonds.....					11,422,301	11,408,204	11,604,227	11,441,888	0	(22,512)	0	(22,512)	0	11,419,375	0	(3,929)	(3,929)	468,296	XXX	XXX
<b>Preferred Stocks - Industrial and Miscellaneous (Unaffiliated) Perpetual Preferred</b>																					
74460W 80 0	PUBLIC STORAGE.....		07/10/2020	Call @ 25.00.....		2,000,000		51,815	51,815				0		51,815		(1,815)	(1,815)	1,418	XXX	2FE.....
74460W 87 5	PUBLIC STORAGE.....		09/30/2020	Call @ 25.00.....		2,000,000		50,000	50,000				0		50,000				1,950	XXX	2FE.....
842400 20 2	SOUTHERN CALIFORNIA EDISON CO.....		09/28/2020	Call @ 25.50.....		1,200,000		30,600	28,100				0		28,100		2,500	2,500	1,010	XXX	3FE.....
842400 30 1	SOUTHERN CALIFORNIA EDISON CO.....		09/28/2020	Call @ 25.80.....		1,000,000		25,800	24,682				0		24,682		1,118	1,118	875	XXX	3FE.....
8499999	Total - Preferred Stocks - Industrial and Miscellaneous (Unaffiliated) Perpetual Preferred.....					156,400	XXX	154,597	154,597	0	0	0	0	0	154,597	0	1,803	1,803	5,253	XXX	XXX
<b>Preferred Stocks - Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred</b>																					
744320 70 6	PRUDENTIAL FINANCIAL INC.....		09/23/2020	PNC CAPITAL MKTS.....		3,000,000		75,000	77,585				0		77,585		(2,585)	(2,585)	3,301	XXX	2FE.....
8599999	Total - Preferred Stocks - Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred.....					75,000	XXX	77,585	77,585	0	0	0	0	0	77,585	0	(2,585)	(2,585)	3,301	XXX	XXX
8999997	Total - Preferred Stocks - Part 4.....					231,400	XXX	232,182	232,182	0	0	0	0	0	232,182	0	(782)	(782)	8,554	XXX	XXX
8999999	Total - Preferred Stocks.....					231,400	XXX	232,182	232,182	0	0	0	0	0	232,182	0	(782)	(782)	8,554	XXX	XXX
9899999	Total - Preferred and Common Stocks.....					231,400	XXX	232,182	232,182	0	0	0	0	0	232,182	0	(782)	(782)	8,554	XXX	XXX
9999999	Total - Bonds, Preferred and Common Stocks.....					11,653,701	XXX	11,836,409	11,674,070	0	(22,512)	0	(22,512)	0	11,651,557	0	(4,711)	(4,711)	476,850	XXX	XXX

QE05.4

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

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

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

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

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

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

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

**SCHEDULE E - PART 1 - CASH**

Month End Depository Balances

1 Depository	2 Code	3 Rate of Interest	4 Amount of Interest Received During Current Quarter	5 Amount or interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9 *
					6 First Month	7 Second Month	8 Third Month	
<b>Open Depositories</b>								
P N C - COMMERCIAL ACCT..... CLEVELAND, OH.....					12,732,682	7,921,284	7,428,704	XXX
P N C - DIVIDEND ACCT..... CLEVELAND, OH.....					(6,141)	(6,423)	(6,559)	XXX
P N C - PAYROLL ACCT..... CLEVELAND, OH.....								XXX
WELLS FARGO - PUNA ACCTS..... WILKES-BARRE, PA.....					27,349	27,759	27,167	XXX
PETTY CASH ..... BEACHWOOD, OH.....					500	500	500	XXX
U.S. BANK.....					5,020	5,020	5,020	XXX
SAVINGS MMF..... CLEVELAND, OH.....					20,099,709	20,101,807	24,103,181	XXX
0199999. Total Open Depositories.....	XXX	XXX	0	0	32,859,119	28,049,947	31,558,013	XXX
0399999. Total Cash on Deposit.....	XXX	XXX	0	0	32,859,119	28,049,947	31,558,013	XXX
0599999. Total Cash.....	XXX	XXX	0	0	32,859,119	28,049,947	31,558,013	XXX

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

Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	3 Code	4 Date Acquired	5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due & Accrued	9 Amount Received During Year
<b>All Other Money Market Mutual Funds</b>								
262006 20 8	DREYFUS GVT CSH MGT INST		09/22/2017	0.020		6,000,000	0	21,761
8699999	Total - All Other Money Market Mutual Funds					6,000,000	0	21,761
8899999	Total - Cash Equivalents					6,000,000	0	21,761