

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company



**HEALTH QUARTERLY STATEMENT**

AS OF SEPTEMBER 30, 2021

OF THE CONDITION AND AFFAIRS OF THE

**Vision Service Plan Insurance Company**

NAIC Group Code	1189 (Current)	1189 (Prior)	NAIC Company Code	39616	Employer's ID Number	06-1227840
Organized under the Laws of	Ohio		State of Domicile or Port of Entry	OH		
Country of Domicile	United States of America					
Licensed as business type:	Property/Casualty					
Is HMO Federally Qualified? Yes [ ] No [ X ]						
Incorporated/Organized	06/10/1987		Commenced Business	07/01/1987		
Statutory Home Office	3400 Morse Crossing (Street and Number)		Columbus, OH, US 43219 (City or Town, State, Country and Zip Code)			
Main Administrative Office	3333 Quality Drive (Street and Number)		916-851-5000 (Area Code) (Telephone Number)			
Rancho Cordova, CA, US 95670 (City or Town, State, Country and Zip Code)						
Mail Address	3333 Quality Drive (Street and Number or P.O. Box)		Rancho Cordova, CA, US 95670 (City or Town, State, Country and Zip Code)			
Primary Location of Books and Records	3333 Quality Drive (Street and Number)		916-851-5000 (Area Code) (Telephone Number)			
Rancho Cordova, CA, US 95670 (City or Town, State, Country and Zip Code)						
Internet Website Address	www.vsp.com					
Statutory Statement Contact	Sandy Wick (Name)		916-851-5000 (Area Code) (Telephone Number)			
sandy.wick@vsp.com (E-mail Address)			916-463-9040 (FAX Number)			

**OFFICERS**

President	Kate Alison Renwick-Espinosa	Secretary	Theresa Ann Wilson #
Treasurer	Monica Renee Perez		

**OTHER**

**DIRECTORS OR TRUSTEES**

Thomas Allan Fessler Kate Alison Renwick-Espinosa	Bradley Nelson Garber Daniel Joseph Schauer	Michael Joseph Guyette
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State of California SS:  
County of Sacramento

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.

Kate Alison Renwick-Espinosa  
President

Monica Renee Perez  
Treasurer

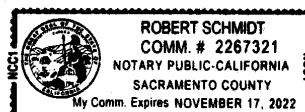
Theresa Ann Wilson  
Secretary

Subscribed and sworn to before me this  
14th day of October 2021

Robert Schmidt  
Notary Public

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

Yes [ X ] No [ ]



## 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 .....	34,675,399		34,675,399	37,032,624
2. Stocks:				0
2.1 Preferred stocks .....			0	0
2.2 Common stocks .....	305,498,472	266,685,930	38,812,542	32,860,931
3. Mortgage loans on real estate:				0
3.1 First liens .....			0	0
3.2 Other than first liens .....			0	0
4. Real estate:				0
4.1 Properties occupied by the company (less \$ encumbrances) .....			0	0
4.2 Properties held for the production of income (less \$ <span style="padding-left: 2em;">encumbrances) .....</span>			0	0
4.3 Properties held for sale (less \$ encumbrances) .....			0	0
5. Cash (\$ 71,430,905 ), cash equivalents (\$ 79,139,297 ) and short-term investments (\$ 64,619,014 ) .....	215,189,216		215,189,216	280,443,536
6. Contract loans (including \$ premium notes) .....			0	0
7. Derivatives .....			0	0
8. Other invested assets .....			0	0
9. Receivables for securities .....			0	110,000
10. Securities lending reinvested collateral assets .....			0	0
11. Aggregate write-ins for invested assets .....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	555,363,087	266,685,930	288,677,157	350,447,091
13. Title plants less \$ charged off (for Title insurers only) .....			0	0
14. Investment income due and accrued .....	8,372,379		8,372,379	740,780
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection	56,422,070	4,115,571	52,306,499	49,759,119
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ earned but unbilled premiums) .....			0	0
15.3 Accrued retrospective premiums (\$ ) and contracts subject to redetermination (\$ ) .....			0	0
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....			0	0
16.2 Funds held by or deposited with reinsured companies .....			0	0
16.3 Other amounts receivable under reinsurance contracts .....			0	0
17. Amounts receivable relating to uninsured plans .....	68,430,501	1,605,507	66,824,994	78,656,605
18.1 Current federal and foreign income tax recoverable and interest thereon .....			0	0
18.2 Net deferred tax asset .....	8,756,004	3,619,289	5,136,715	17,541,592
19. Guaranty funds receivable or on deposit .....	4,291,234		4,291,234	5,129,405
20. Electronic data processing equipment and software .....			0	0
21. Furniture and equipment, including health care delivery assets (\$ ) .....			0	0
22. Net adjustment in assets and liabilities due to foreign exchange rates .....			0	0
23. Receivables from parent, subsidiaries and affiliates .....	5,054,555		5,054,555	4,033,318
24. Health care (\$ ) and other amounts receivable .....			0	0
25. Aggregate write-ins for other than invested assets .....	0	0	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	706,689,830	276,026,297	430,663,533	506,307,910
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			0	0
28. Total (Lines 26 and 27) .....	706,689,830	276,026,297	430,663,533	506,307,910
<b>DETAILS OF WRITE-INS</b>				
1101. .....				
1102. .....				
1103. .....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above) .....	0	0	0	0
2501. .....				
2502. .....				
2503. .....				
2598. Summary of remaining write-ins for Line 25 from overflow page .....	0	0	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above) .....	0	0	0	0

**LIABILITIES, CAPITAL AND SURPLUS**

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$ reinsurance ceded) .....	69,074,260		69,074,260	61,833,776
2. Accrued medical incentive pool and bonus amounts .....			0	0
3. Unpaid claims adjustment expenses .....	1,806,564		1,806,564	1,617,197
4. Aggregate health policy reserves, including the liability of \$ for medical loss ratio rebate per the Public Health Service Act .....			0	0
5. Aggregate life policy reserves .....			0	0
6. Property/casualty unearned premium reserve .....			0	0
7. Aggregate health claim reserves .....			0	0
8. Premiums received in advance .....	26,029,629		26,029,629	81,880,430
9. General expenses due or accrued .....	6,309,837		6,309,837	6,966,625
10.1 Current federal and foreign income tax payable and interest thereon (including \$ on realized gains (losses)) .....	27,910,414		27,910,414	42,797,805
10.2 Net deferred tax liability .....			0	0
11. Ceded reinsurance premiums payable .....			0	0
12. Amounts withheld or retained for the account of others .....			0	0
13. Remittances and items not allocated .....	6,006,068		6,006,068	7,556,877
14. Borrowed money (including \$ current) and interest thereon \$ (including \$ current) .....			0	0
15. Amounts due to parent, subsidiaries and affiliates .....	20,574,349		20,574,349	36,916,270
16. Derivatives .....			0	0
17. Payable for securities .....			0	0
18. Payable for securities lending .....			0	0
19. Funds held under reinsurance treaties (with \$ authorized reinsurers, \$ unauthorized reinsurers and \$ certified reinsurers) .....			0	0
20. Reinsurance in unauthorized and certified (\$ ) companies .....			0	0
21. Net adjustments in assets and liabilities due to foreign exchange rates .....			0	0
22. Liability for amounts held under uninsured plans .....	2,718,274		2,718,274	3,163,083
23. Aggregate write-ins for other liabilities (including \$ current) .....	7,847,278	0	7,847,278	20,943,713
24. Total liabilities (Lines 1 to 23) .....	168,276,673	0	168,276,673	263,675,776
25. Aggregate write-ins for special surplus funds .....	XXX	XXX	0	0
26. Common capital stock .....	XXX	XXX	2,500,000	2,500,000
27. Preferred capital stock .....	XXX	XXX		
28. Gross paid in and contributed surplus .....	XXX	XXX	38,462,582	38,462,582
29. Surplus notes .....	XXX	XXX		0
30. Aggregate write-ins for other than special surplus funds .....	XXX	XXX	0	0
31. Unassigned funds (surplus) .....	XXX	XXX	221,424,278	201,669,552
32. Less treasury stock, at cost:				
32.1 shares common (value included in Line 26 \$ ) .....	XXX	XXX		
32.2 shares preferred (value included in Line 27 \$ ) .....	XXX	XXX		
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	XXX	XXX	262,386,860	242,632,134
34. Total liabilities, capital and surplus (Lines 24 and 33) .....	XXX	XXX	430,663,533	506,307,910
<b>DETAILS OF WRITE-INS</b>				
2301. Taxes, licenses & fees .....	2,807,359		2,807,359	4,481,126
2302. Escheatable checks .....	1,673,785		1,673,785	1,467,549
2303. Other Liabilities .....	3,366,134		3,366,134	14,995,038
2398. Summary of remaining write-ins for Line 23 from overflow page .....	0	0	0	0
2399. Totals (Lines 2301 through 2303 plus 2398)(Line 23 above) .....	7,847,278	0	7,847,278	20,943,713
2501. Health Insurer Assessment .....	XXX	XXX	0	
2502. .....	XXX	XXX		
2503. .....	XXX	XXX		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	XXX	XXX	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above) .....	XXX	XXX	0	0
3001. Statutory Reserve .....	XXX	XXX	0	
3002. .....	XXX	XXX		
3003. .....	XXX	XXX		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	XXX	XXX	0	0
3099. Totals (Lines 3001 through 3003 plus 3098)(Line 30 above) .....	XXX	XXX	0	0

**STATEMENT OF REVENUE AND EXPENSES**

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member Months .....	XXX	152,820,130	153,572,434	203,354,559
2. Net premium income ( including \$ non-health premium income).....	XXX	1,048,734,513	996,182,824	1,249,625,234
3. Change in unearned premium reserves and reserve for rate credits.....	XXX			0
4. Fee-for-service (net of \$ 226,661,937 medical expenses).....	XXX	56,368,052	42,236,017	60,631,112
5. Risk revenue .....	XXX	8,850,499	9,327,186	11,694,815
6. Aggregate write-ins for other health care related revenues .....	XXX	0	0	0
7. Aggregate write-ins for other non-health revenues .....	XXX	0	0	0
8. Total revenues (Lines 2 to 7) .....	XXX	1,113,953,064	1,047,746,027	1,321,951,161
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....				0
10. Other professional services .....		741,811,224	656,107,616	897,269,836
11. Outside referrals .....				0
12. Emergency room and out-of-area .....				0
13. Prescription drugs .....				0
14. Aggregate write-ins for other hospital and medical .....	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts .....	0	741,811,224	656,107,616	897,269,836
16. Subtotal (Lines 9 to 15) .....	0	741,811,224	656,107,616	897,269,836
<b>Less:</b>				
17. Net reinsurance recoveries .....				0
18. Total hospital and medical (Lines 16 minus 17) .....	0	741,811,224	656,107,616	897,269,836
19. Non-health claims (net) .....				0
20. Claims adjustment expenses, including \$ cost containment expenses .....		19,470,608	15,048,258	29,515,762
21. General administrative expenses .....		141,257,143	176,058,053	232,001,666
22. Increase in reserves for life and accident and health contracts (including \$ increase in reserves for life only) .....				0
23. Total underwriting deductions (Lines 18 through 22).....	0	902,538,975	847,213,927	1,158,787,264
24. Net underwriting gain or (loss) (Lines 8 minus 23).....	XXX	211,414,089	200,532,100	163,163,897
25. Net investment income earned .....		370,913	1,846,193	1,974,156
26. Net realized capital gains (losses) less capital gains tax of \$ 398 .....		1,496	410,902	367,170
27. Net investment gains (losses) (Lines 25 plus 26) .....	0	372,409	2,257,095	2,341,326
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$ 318,582 )].....		(318,582)	(576,472)	(838,767)
29. Aggregate write-ins for other income or expenses .....	0	0	0	0
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29) .....	XXX	211,467,916	202,212,723	164,666,456
31. Federal and foreign income taxes incurred .....	XXX	33,154,987	49,327,716	56,452,453
32. Net income (loss) (Lines 30 minus 31) .....	XXX	178,312,929	152,885,007	108,214,003
<b>DETAILS OF WRITE-INS</b>				
0601.....	XXX			
0602.....	XXX			
0603.....	XXX			
0698. Summary of remaining write-ins for Line 6 from overflow page .....	XXX	0	0	0
0699. Totals (Lines 0601 through 0603 plus 0698)(Line 6 above) .....	XXX	0	0	0
0701.....	XXX			
0702.....	XXX			
0703.....	XXX			
0798. Summary of remaining write-ins for Line 7 from overflow page .....	XXX	0	0	0
0799. Totals (Lines 0701 through 0703 plus 0798)(Line 7 above) .....	XXX	0	0	0
1401.....				
1402.....				
1403.....				
1498. Summary of remaining write-ins for Line 14 from overflow page .....	0	0	0	0
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above) .....	0	0	0	0
2901.....				
2902.....				
2903.....				
2998. Summary of remaining write-ins for Line 29 from overflow page .....	0	0	0	0
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above) .....	0	0	0	0

**STATEMENT OF REVENUE AND EXPENSES (Continued)**

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
33. Capital and surplus prior reporting year.....	242,632,134	189,245,364	189,245,364
34. Net income or (loss) from Line 32 .....	178,312,929	152,885,007	108,214,003
35. Change in valuation basis of aggregate policy and claim reserves .....			
36. Change in net unrealized capital gains (losses) less capital gains tax of \$ .....	(352,053)	(13,101,087)	(11,116,615)
37. Change in net unrealized foreign exchange capital gain or (loss).....			
38. Change in net deferred income tax .....	(11,388,620)	2,194,182	16,912,517
39. Change in nonadmitted assets .....	18,531,504	5,072,404	(2,592,998)
40. Change in unauthorized and certified reinsurance .....	0	0	0
41. Change in treasury stock .....	0	0	0
42. Change in surplus notes .....	0	0	0
43. Cumulative effect of changes in accounting principles.....			
44. Capital Changes:			
44.1 Paid in .....			0
44.2 Transferred from surplus (Stock Dividend).....	0	0	0
44.3 Transferred to surplus.....			
45. Surplus adjustments:			
45.1 Paid in .....	0	0	0
45.2 Transferred to capital (Stock Dividend) .....			
45.3 Transferred from capital .....			
46. Dividends to stockholders .....	(152,600,000)	(70,000,000)	(70,000,000)
47. Aggregate write-ins for gains or (losses) in surplus .....	0	0	0
48. Net change in capital & surplus (Lines 34 to 47) .....	19,754,726	79,034,978	53,386,770
49. Capital and surplus end of reporting period (Line 33 plus 48)	262,386,860	268,280,342	242,632,134
<b>DETAILS OF WRITE-INS</b>			
4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page .....	0	0	0
4799. Totals (Lines 4701 through 4703 plus 4798)(Line 47 above)	0	0	0

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company  
**CASH FLOW**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....	991,488,300	996,261,874	1,322,701,672
2. Net investment income .....	(7,128,194)	1,765,263	1,496,614
3. Miscellaneous income .....	65,218,551	51,563,203	72,325,927
4. Total (Lines 1 to 3) .....	1,049,578,657	1,049,590,340	1,396,524,213
5. Benefit and loss related payments .....	734,570,740	652,821,535	896,197,468
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			
7. Commissions, expenses paid and aggregate write-ins for deductions .....	162,677,454	191,873,661	260,380,015
8. Dividends paid to policyholders .....			
9. Federal and foreign income taxes paid (recovered) net of \$ ..... tax on capital gains (losses) .....	48,042,776	23,871,102	26,890,709
10. Total (Lines 5 through 9) .....	945,290,970	868,566,298	1,183,468,192
11. Net cash from operations (Line 4 minus Line 10) .....	104,287,687	181,024,042	213,056,021
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	19,870,052	21,772,000	29,682,000
12.2 Stocks .....	1,471,863	16,275,304	16,902,361
12.3 Mortgage loans .....	0	0	0
12.4 Real estate .....	0	0	0
12.5 Other invested assets .....	0	0	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	0	0	0
12.7 Miscellaneous proceeds .....	110,000	25,824	0
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	21,451,915	38,073,128	46,584,361
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	17,733,997	11,259,045	19,518,058
13.2 Stocks .....	1,745,959	17,182,269	17,872,892
13.3 Mortgage loans .....	0	0	0
13.4 Real estate .....	0	0	0
13.5 Other invested assets .....	0	0	0
13.6 Miscellaneous applications .....	0	25,679	109,855
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	19,479,955	28,466,993	37,500,805
14. Net increase (or decrease) in contract loans and premium notes .....	0	0	0
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	1,971,960	9,606,135	9,083,556
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....	0	0	0
16.2 Capital and paid in surplus, less treasury stock .....	0	0	0
16.3 Borrowed funds .....	0	0	0
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....	0	0	0
16.5 Dividends to stockholders .....	152,600,000	70,000,000	70,000,000
16.6 Other cash provided (applied) .....	(18,913,967)	(20,307,158)	(2,039,834)
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	(171,513,967)	(90,307,158)	(72,039,834)
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	(65,254,320)	100,323,019	150,099,743
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	280,443,536	130,343,793	130,343,793
19.2 End of period (Line 18 plus Line 19.1) .....	215,189,216	230,666,812	280,443,536

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

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## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

**EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION**

	1 Total	Comprehensive (Hospital & Medical)		4 Medicare Supplement	5 Vision Only	6 Dental Only	7 Federal Employees Health Benefit Plan	8 Title XVIII Medicare	9 Title XIX Medicaid	10 Other
		2 Individual	3 Group							
<b>Total Members at end of:</b>										
1. Prior Year	16,588,752	0	0	0	15,259,847	0	1,328,905	0	0	0
2. First Quarter	17,020,276	0	0	0	15,658,264	0	1,362,012	0	0	0
3. Second Quarter	16,929,000	0	0	0	15,565,672	0	1,363,328	0	0	0
4. Third Quarter	16,919,815				15,625,039		1,294,776			
5. Current Year	0									
6. Current Year Member Months	152,820,130				140,765,754		12,054,376			
<b>Total Member Ambulatory Encounters for Period:</b>										
7. Physician	0									
8. Non-Physician	4,058,157				3,653,076		405,081			
9. Total	4,058,157	0	0	0	3,653,076	0	405,081	0	0	0
10. Hospital Patient Days Incurred	0									
11. Number of Inpatient Admissions	0									
12. Health Premiums Written (a)	1,048,734,513				934,122,848		114,611,665			
13. Life Premiums Direct	0									
14. Property/Casualty Premiums Written	0									
15. Health Premiums Earned	1,048,734,513				934,122,848		114,611,665			
16. Property/Casualty Premiums Earned	0									
17. Amount Paid for Provision of Health Care Services	734,570,740				645,430,801		89,139,939			
18. Amount Incurred for Provision of Health Care Services	741,811,224				651,813,051		89,998,173			

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ .....

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

## CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)

### Aging Analysis of Unpaid Claims

1 Account	2 1 - 30 Days	3 31 - 60 Days	4 61 - 90 Days	5 91 - 120 Days	6 Over 120 Days	7 Total
<b>Claims Unpaid (Reported)</b>						
Pricing Claims .....	16,933,507					16,933,507
0199999. Individually listed claims unpaid	16,933,507	0	0	0	0	16,933,507
0299999 Aggregate accounts not individually listed-uncovered						0
0399999 Aggregate accounts not individually listed-covered						0
0499999 Subtotals	16,933,507	0	0	0	0	16,933,507
0599999 Unreported claims and other claim reserves						52,140,753
0699999 Total amounts withheld						
0799999 Total claims unpaid						69,074,260
0899999 Accrued medical incentive pool and bonus amounts						

## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

**UNDERWRITING AND INVESTMENT EXHIBIT****ANALYSIS OF CLAIMS UNPAID - PRIOR YEAR - NET OF REINSURANCE**

Line of Business	Claims Paid Year to Date		Liability End of Current Quarter		5	6
	1 On Claims Incurred Prior to January 1 of Current Year	2 On Claims Incurred During the Year	3 On Claims Unpaid Dec. 31 of Prior Year	4 On Claims Incurred During the Year		
1. Comprehensive (hospital and medical) .....					0	0
2. Medicare Supplement .....					0	0
3. Dental Only .....					0	0
4. Vision Only .....	53,370,507	600,922,169	135,356	61,390,077	53,505,863	54,490,284
5. Federal Employees Health Benefits Plan .....	6,548,264	73,729,800	16,607	7,532,220	6,564,871	7,343,492
6. Title XVIII - Medicare .....					0	0
7. Title XIX - Medicaid .....					0	0
8. Other health .....					0	0
9. Health subtotal (Lines 1 to 8) .....	59,918,771	674,651,969	151,963	68,922,297	60,070,734	61,833,776
10. Healthcare receivables (a) .....					0	0
11. Other non-health .....					0	0
12. Medical incentive pools and bonus amounts .....					0	0
13. Totals (Lines 9-10+11+12)	59,918,771	674,651,969	151,963	68,922,297	60,070,734	61,833,776

(a) Excludes \$ ..... loans or advances to providers not yet expensed.

# NOTES TO FINANCIAL STATEMENTS

**NOTE 1 Summary of Significant Accounting Policies and Going Concern****A. Accounting Practices**

This statement has been completed in accordance with the Accounting Practices and Procedures Manual. The Company does not employ accounting practices that depart from the Manual.

	SSAP #	F/S Page	F/S Line #	2021	2020
<b>NET INCOME</b>					
(1) State basis (Page 4, Line 32, Columns 2 & 4)	XXX	XXX	XXX	\$ 178,312,929	\$ 108,214,003
(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	\$ 178,312,929	\$ 108,214,003
<b>SURPLUS</b>					
(5) State basis (Page 3, Line 33, Columns 3 & 4)	XXX	XXX	XXX	\$ 262,386,860	\$ 242,632,134
(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	\$ 262,386,860	\$ 242,632,134

**C. Accounting Policy****(2) Basis for Bonds and Amortization Schedule**

Bonds are stated at amortized cost using the interest method.

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

The Company has no loan-backed securities.

**D. Going Concern**

Management evaluated whether there are conditions and events that raise substantial doubt about the Company's ability to continue as a going concern within one year after the date that the financial statements are issued. Management's evaluation was based only on relevant conditions and events that were known and reasonably knowable at the date that the financial statements are issued. Based on the evaluation, the Company is more than able to meet all known obligations at the date that the financial statements are issued, therefore, no conditions or events raise substantial doubt about the Company's ability to continue as a going concern.

**NOTE 2 Accounting Changes and Corrections of Errors**

No significant changes

**NOTE 3 Business Combinations and Goodwill**

Not Applicable

**NOTE 4 Discontinued Operations**

Not Applicable

**NOTE 5 Investments****D. Loan-Backed Securities**

Not Applicable

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

Not Applicable

**F. Repurchase Agreements Transactions Accounted for as Secured Borrowing**

Not Applicable

**G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing**

Not Applicable

**H. Repurchase Agreements Transactions Accounted for as a Sale**

Not Applicable

**I. Reverse Repurchase Agreements Transactions Accounted for as a Sale**

Not Applicable

# NOTES TO FINANCIAL STATEMENTS

## L. Restricted Assets

## 1. Restricted Assets (Including Pledged)

Restricted Asset Category	1 Total Gross (Admitted & Non- admitted) Restricted from Current Year	2 Total Gross (Admitted & Non- admitted) Restricted from Prior Year	3 Increase/ (Decrease) (1 minus 2)	4 Total Current Year Non- admitted Restricted	5 Total Current Year Admitted Restricted (1 minus 4)	6 Gross (Admitted & Non- admitted) Restricted to Total Assets (a)	7 Admitted Restricted to Total Admitted Assets (b)
a. Subject to contractual obligation for which liability is not shown			\$ -		\$ -	0.000%	0.000%
b. Collateral held under security lending agreements			\$ -		\$ -	0.000%	0.000%
c. Subject to repurchase agreements			\$ -		\$ -	0.000%	0.000%
d. Subject to reverse repurchase agreements			\$ -		\$ -	0.000%	0.000%
e. Subject to dollar repurchase agreements			\$ -		\$ -	0.000%	0.000%
f. Subject to dollar reverse repurchase agreements			\$ -		\$ -	0.000%	0.000%
g. Placed under option contracts			\$ -		\$ -	0.000%	0.000%
h. Letter stock or securities restricted as to sale - excluding FHLB capital stock			\$ -		\$ -	0.000%	0.000%
i. FHLB capital stock			\$ -		\$ -	0.000%	0.000%
j. On deposit with states	\$ 4,359,175	\$ 4,085,668	\$ 273,507	\$ -	\$ 4,359,175	0.617%	1.012%
k. On deposit with other regulatory bodies			\$ -		\$ -	0.000%	0.000%
l. Pledged collateral to FHLB (including assets backing funding agreements)			\$ -		\$ -	0.000%	0.000%
m. Pledged as collateral not captured in other categories			\$ -		\$ -	0.000%	0.000%
n. Other restricted assets			\$ -		\$ -	0.000%	0.000%
o. Total Restricted Assets	\$ 4,359,175	\$ 4,085,668	\$ 273,507	\$ -	\$ 4,359,175	0.617%	1.012%

(a) Column 1 divided by Asset Page, Column 1, Line 28

(b) Column 5 divided by Asset Page, Column 3, Line 28

M. Working Capital Finance Investments  
Not ApplicableN. Offsetting and Netting of Assets and Liabilities  
Not ApplicableO. 5GI Securities  
Not ApplicableP. Short Sales  
Not ApplicableQ. Prepayment Penalty and Acceleration Fees  
Not Applicable

## R. Reporting Entity's Share of Cash Pool by Asset Type

Asset Type	Percent Share
(1) Cash	33.2%
(2) Cash Equivalents	36.8%
(3) Short-Term Investments	30.0%
(4) Total	100.0%

## NOTE 6 Joint Ventures, Partnerships and Limited Liability Companies

Not Applicable

NOTE 7 Investment Income  
Not ApplicableNOTE 8 Derivative Instruments  
Not ApplicableNOTE 9 Income Taxes  
No significant changes

# NOTES TO FINANCIAL STATEMENTS

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

## O. SCA or SSAP 48 Entity Loss Tracking

1 Entity	2 Reporting Entity's Share of Net Income (Loss)	3 Accumulated Share of Net Income (Losses)	4 Reporting Entity's Share of Equity, Including Negative Equity	5 Guaranteed Obligation / Commitment for Financial Support (Yes/No)	6 Amount of Guarantee Recognized Under SSAP No. 5R
Eyefinity	\$ (9,142,695)	\$ (14,408,582)	\$ (1,877,273)	No	\$ -

The Company treats its investment in Eyefinity as a non-admitted asset since a stand-alone audit of Eyefinity's financial statements is not performed. Since Eyefinity, Inc. has negative equity, the reported value at September 30, 2021 is -0-.

**NOTE 11 Debt**

Not Applicable

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

Not Applicable

**NOTE 13 Capital and Surplus, Dividend Restrictions and Quasi-Reorganizations**

The Company paid an extraordinary dividend to Vision Service Plan, the Parent Company, on August 13, 2021, totaling \$152.6M.

**NOTE 14 Liabilities, Contingencies and Assessments**

Not Applicable

**NOTE 15 Leases**

Not Applicable

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

Not Applicable

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

Not Applicable

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

No significant changes

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

Not Applicable

**NOTE 20 Fair Value Measurements**

A.

## (1) Fair Value Measurements at Reporting Date

Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Total
a. Assets at fair value					
Common Stock	\$ 38,812,542	\$ -	\$ -	\$ -	\$ 38,812,542
Total assets at fair value/NAV	\$ 38,812,542	\$ -	\$ -	\$ -	\$ 38,812,542

## (2) Fair Value Measurements in (Level 3) of the Fair Value hierarchy

Not Applicable

## (3) Policies when Transfers Between Levels are Recognized

Not Applicable

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

Not Applicable

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

Not Applicable

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

Not Applicable

## C. Aggregate fair value for all financial instruments and the level within the fair value hierarchy in which the fair value measurements in their entirety fall.

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Not Practicable (Carrying Value)
Cash Equivalents	\$ 79,137,330	\$ 79,139,297	\$ 12,629,020	\$ 66,508,310	\$ -	\$ -	\$ -
ST Investments	\$ 64,616,159	\$ 64,619,014	\$ -	\$ 64,616,159	\$ -	\$ -	\$ -
Bonds	\$ 34,560,034	\$ 34,675,399	\$ 313,439	\$ 34,246,595	\$ -	\$ -	\$ -
Common Stock	\$ 38,812,542	\$ 38,812,542	\$ 38,812,542	\$ -	\$ -	\$ -	\$ -

## D. Not Practicable to Estimate Fair Value

Not Applicable

## E. NAV Practical Expedient Investments

Not Applicable

# NOTES TO FINANCIAL STATEMENTS

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**NOTE 21 Other Items**

Not Applicable

**NOTE 22 Events Subsequent**

Subsequent events have been considered through November 15, 2021, the date on which the financial statements were available to be issued. There were no events occurring subsequent to the end of the quarter that merited recognition or disclosure in these statements.

**NOTE 23 Reinsurance**

Not Applicable

**NOTE 24 Retrospectively Rated Contracts & Contracts Subject to Redetermination**

## E. Risk Sharing Provisions of the Affordable Care Act

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

Yes [ ] No [X]

(2) Impact of Risk Sharing Provisions of the Affordable Care Act on Admitted Assets, Liabilities and Revenue for the Current Year  
Not Applicable

(3) Roll forward of prior year ACA risk sharing provisions for the following asset (gross of any nonadmission) and liability balances along with the reasons for adjustments to prior year balance.  
Not Applicable

(4) Roll-Forward of Risk Corridors Asset and Liability Balances by Program Benefit Year  
Not Applicable

(5) ACA Risk Corridors Receivable as of Reporting Date  
Not Applicable

**NOTE 25 Change in Incurred Claims and Claim Adjustment Expenses**

## A. Change in Incurred Losses and Loss Adjustment Expenses

Activity in claims unpaid and related expenses is summarized as follows:

	2021	2020
BALANCE - Jan 1	\$ 63,450,973	\$ 61,811,091
Incurred related to:		
Current Year	\$ 752,374,759	\$ 933,729,179
Prior Years	\$ (2,924,537)	\$ (4,165,453)
Total Incurred	\$ 749,450,222	\$ 929,563,726
Paid related to:		
Current Year	\$ (681,493,935)	\$ (870,278,206)
Prior Years	\$ (60,526,436)	\$ (57,645,638)
Total paid	\$ (742,020,371)	\$ (927,923,844)
BALANCE - Sep 30/Dec 31	\$ 70,880,824	\$ 63,450,973

Reserves as of September 30, 2021 were \$70,880,824. As of September 30, 2021, \$60,526,436 has been paid for incurred claims and claim adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$2,924,537 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been a \$2,924,537 favorable prior-year development from December 31, 2020 to September 30, 2021. The decrease is generally the result of ongoing analysis of recent loss development trends. Original estimates are increased or decreased, as additional information becomes known regarding individual claims.

B. Information about Significant Changes in Methodologies and Assumptions  
Not Applicable

**NOTE 26 Intercompany Pooling Arrangements**

Not Applicable

**NOTE 27 Structured Settlements**

Not Applicable

**NOTE 28 Health Care Receivables**

Not Applicable

**NOTE 29 Participating Policies**

Not Applicable

**NOTE 30 Premium Deficiency Reserves**

No significant changes

**NOTE 31 Anticipated Salvage and Subrogation**

Not Applicable

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company  
**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? ..... If yes, complete Schedule Y, Parts 1 and 1A. Yes [ X ] No [ ]

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? ..... If yes, complete and file the merger history data file with the NAIC. Yes [ ] No [ X ]

4.2 If yes, provide the name of the entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

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

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

6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. ..... 12/31/2018

6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). ..... 06/30/2020

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 [ ] No [ X ] 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 by the Federal Reserve Board? ..... Yes [ ] No [ X ]

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

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

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

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

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company  
**GENERAL INTERROGATORIES**

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

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

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

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

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

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

**FINANCIAL**

10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? ..... Yes [ X ] No [ ]  
 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: ..... \$ 5,054,555

**INVESTMENT**

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

12. Amount of real estate and mortgages held in other invested assets in Schedule BA: ..... \$ .....  
 13. Amount of real estate and mortgages held in short-term investments: ..... \$ .....  
 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? ..... Yes [ X ] No [ ]  
 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 .....	\$ ..... 284,978,391	\$ ..... 266,685,930
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) .....	\$ ..... 284,978,391	\$ ..... 266,685,930
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 the current statement date:  
 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2. ..... \$ ..... 0  
 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2. ..... \$ ..... 0  
 16.3 Total payable for securities lending reported on the liability page. ..... \$ ..... 0

**STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company**  
**GENERAL INTERROGATORIES**

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

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

1 Name of Custodian(s)	2 Custodian Address
Morgan Stanley .....	1333 N. California Blvd., Ste. 133, Walnut Creek, CA 94596 .....
US Bank .....	633 W. 5th Street, 24th Floor, Los Angeles, CA 90071 .....
Wells Fargo Institutional Securities, LLC .....	45 Fremont St., 34th Flr, San Francisco, CA 94105 .....

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

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

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

17.4 If yes, give full information relating thereto:

1 Old Custodian	2 New Custodian	3 Date of Change	4 Reason
Union Bank .....	US Bank Institutional Trust & Custody .....	08/02/2021 .....	US Bank Institutional Trust & Custody acquired the trust and custody accounts of Union Bank and the portfolios were transferred on 8/2/2021. .....

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
VSP Treasury Manager .....	A.....
Morgan Stanley .....	U.....

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

17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's invested assets? ..... Yes [ ] 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
N/A .....	VSP TREASURY MANAGER .....	N/A .....	N/A .....	NO.....
149777 .....	MORGAN STANLEY .....	N/A .....	SEC .....	NO.....

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

18.2 If no, list exceptions:

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:

- Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.
- Issuer or obligor is current on all contracted interest and principal payments.
- The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

Has the reporting entity self-designated 5GI securities? ..... Yes [ ] No [ X ]

20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:

- The security was purchased prior to January 1, 2018.
- The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
- The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
- The reporting entity is not permitted to share this credit rating of the PL security with the SVO.

Has the reporting entity self-designated PLGI securities? ..... Yes [ ] No [ 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:

- The shares were purchased prior to January 1, 2019.
- The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
- The security had a public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO prior to January 1, 2019.
- The fund only or predominantly holds bonds in its portfolio.
- The current reported NAIC Designation was derived from the public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO.
- The public credit rating(s) with annual surveillance assigned by an NAIC CRP has not lapsed.

Has the reporting entity assigned FE to Schedule BA non-registered private funds that complied with the above criteria? ..... Yes [ ] No [ X ]

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company  
**GENERAL INTERROGATORIES**

**PART 2 - HEALTH**

1. Operating Percentages:

1.1 A&H loss percent .....	71.0 %
1.2 A&H cost containment percent .....	%
1.3 A&H expense percent excluding cost containment expenses .....	13.0 %
2.1 Do you act as a custodian for health savings accounts? .....	Yes [ ] No [ X ]
2.2 If yes, please provide the amount of custodial funds held as of the reporting date .....	\$ .....
2.3 Do you act as an administrator for health savings accounts? .....	Yes [ ] No [ X ]
2.4 If yes, please provide the balance of the funds administered as of the reporting date .....	\$ .....
3. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states? .....	Yes [ X ] No [ ]
3.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity? .....	Yes [ ] No [ ]

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

## **SCHEDULE S - CEDED REINSURANCE**

Showing All New Reinsurance Treaties - Current Year to Date

1 NAIC Company Code	2 ID Number	3 Effective Date	4 Name of Reinsurer	5 Domiciliary Jurisdiction	6 Type of Reinsurance Ceded	7 Type of Business Ceded	8 Type of Reinsurer	9 Certified Reinsurer Rating (1 through 6)	10 Effective Date of Certified Reinsurer Rating
<b>NONE</b>									

# NON E

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company  
**SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS**

Current Year to Date - Allocated by States and Territories

States, etc.	1 Active Status (a)	Direct Business Only								
		2 Accident and Health Premiums	3 Medicare Title XVIII	4 Medicaid Title XIX	5 CHIP Title XXI	6 Federal Employees Health Benefits Program Premiums	7 Life and Annuity Premiums & Other Considerations	8 Property/ Casualty Premiums	9 Total Columns 2 Through 8	10 Deposit-Type Contracts
1. Alabama	AL	L	34,483,931						34,483,931	
2. Alaska	AK	L							0	
3. Arizona	AZ	L	27,679,097						27,679,097	
4. Arkansas	AR	L							0	
5. California	CA	L							0	
6. Colorado	CO	L	42,532,531						42,532,531	
7. Connecticut	CT	L	24,481,871						24,481,871	
8. Delaware	DE	L	4,840,515						4,840,515	
9. District of Columbia	DC	L	10,514,946			114,611,665			125,126,611	
10. Florida	FL	N							0	
11. Georgia	GA	N							0	
12. Hawaii	HI	L							0	
13. Idaho	ID	L							0	
14. Illinois	IL	L							0	
15. Indiana	IN	L	27,759,286						27,759,286	
16. Iowa	IA	L	9,612,915						9,612,915	
17. Kansas	KS	L	12,519,024						12,519,024	
18. Kentucky	KY	L	5,033,532						5,033,532	
19. Louisiana	LA	L	7,564,203						7,564,203	
20. Maine	ME	L	4,894,743						4,894,743	
21. Maryland	MD	L							0	
22. Massachusetts	MA	L	40,665,959						40,665,959	
23. Michigan	MI	L	51,928,781						51,928,781	
24. Minnesota	MN	L	38,709,785						38,709,785	
25. Mississippi	MS	L	6,207,716						6,207,716	
26. Missouri	MO	N							0	
27. Montana	MT	L	2,906,292						2,906,292	
28. Nebraska	NE	L	5,640,371						5,640,371	
29. Nevada	NV	L							0	
30. New Hampshire	NH	L	4,403,327						4,403,327	
31. New Jersey	NJ	L	62,360,809						62,360,809	
32. New Mexico	NM	N							0	
33. New York	NY	N							0	
34. North Carolina	NC	L	61,047,575						61,047,575	
35. North Dakota	ND	L	2,365,321						2,365,321	
36. Ohio	OH	L	81,267,527						81,267,527	
37. Oklahoma	OK	L	39,626,994						39,626,994	
38. Oregon	OR	L	17,681,942						17,681,942	
39. Pennsylvania	PA	L	59,757,385						59,757,385	
40. Rhode Island	RI	L	9,210,671						9,210,671	
41. South Carolina	SC	L	9,088,345						9,088,345	
42. South Dakota	SD	L	11,416,102						11,416,102	
43. Tennessee	TN	L	28,267,274						28,267,274	
44. Texas	TX	L	148,976,694						148,976,694	
45. Utah	UT	L	9,234,539						9,234,539	
46. Vermont	VT	L	4,704,393						4,704,393	
47. Virginia	VA	L							0	
48. Washington	WA	L							0	
49. West Virginia	WV	L	2,714,834						2,714,834	
50. Wisconsin	WI	L	24,023,618						24,023,618	
51. Wyoming	WY	L							0	
52. American Samoa	AS	N							0	
53. Guam	GU	N							0	
54. Puerto Rico	PR	N							0	
55. U.S. Virgin Islands	VI	N							0	
56. Northern Mariana Islands	MP	N							0	
57. Canada	CAN	N							0	
58. Aggregate Other Aliens	OT	XXX	0	0	0	0	0	0	0	0
59. Subtotal		XXX	934,122,848	0	0	0	114,611,665	0	1,048,734,513	0
60. Reporting Entity Contributions for Employee Benefit Plans		XXX								0
61. Totals (Direct Business)		XXX	934,122,848	0	0	0	114,611,665	0	1,048,734,513	0
DETAILS OF WRITE-INS										
58001.		XXX								
58002.		XXX								
58003.		XXX								
58998. Summary of remaining write-ins for line 58 from overflow page		XXX	0	0	0	0	0	0	0	0
58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)		XXX	0	0	0	0	0	0	0	0

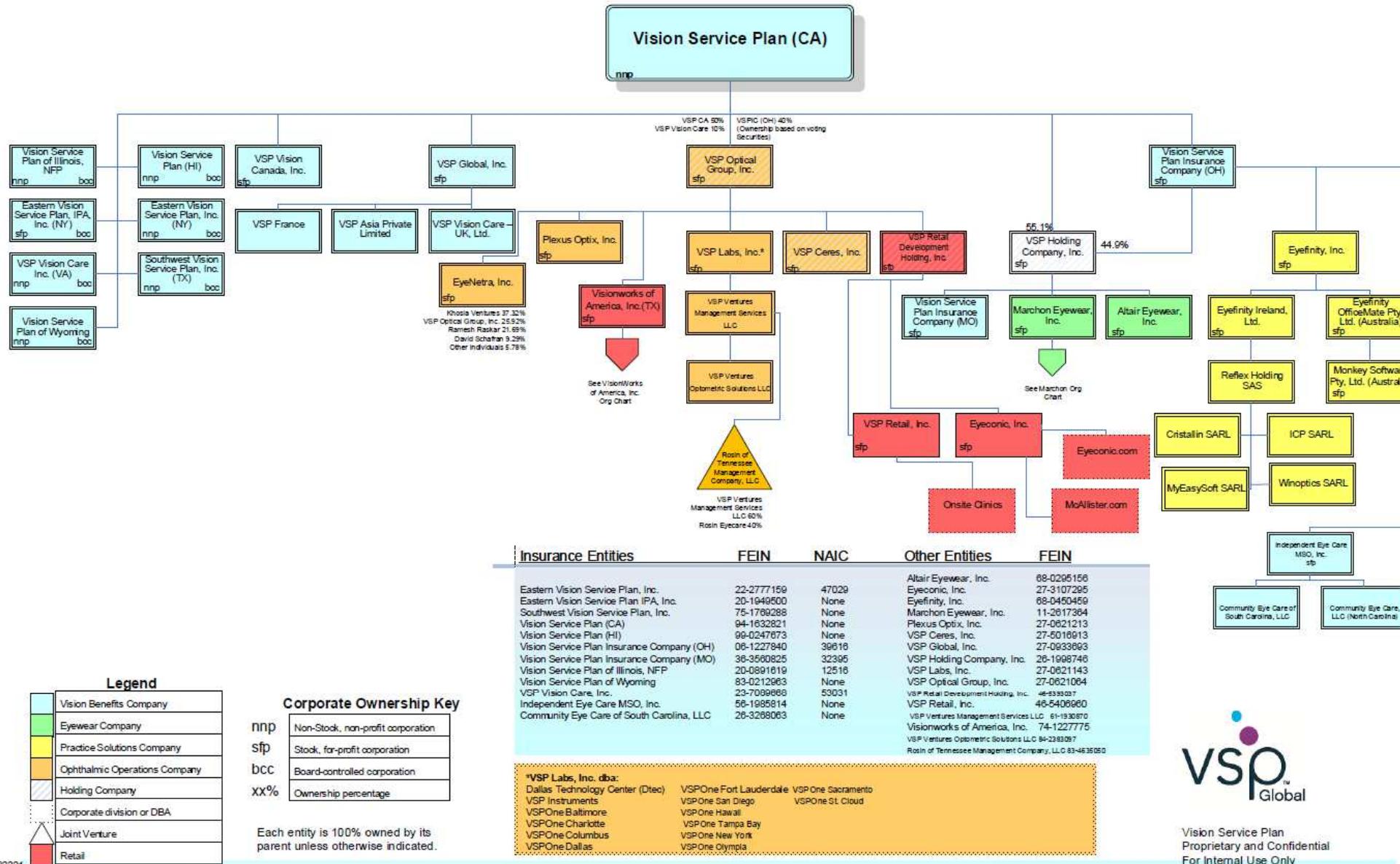
(a) Active Status Counts:

L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG..... 46 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..... 11

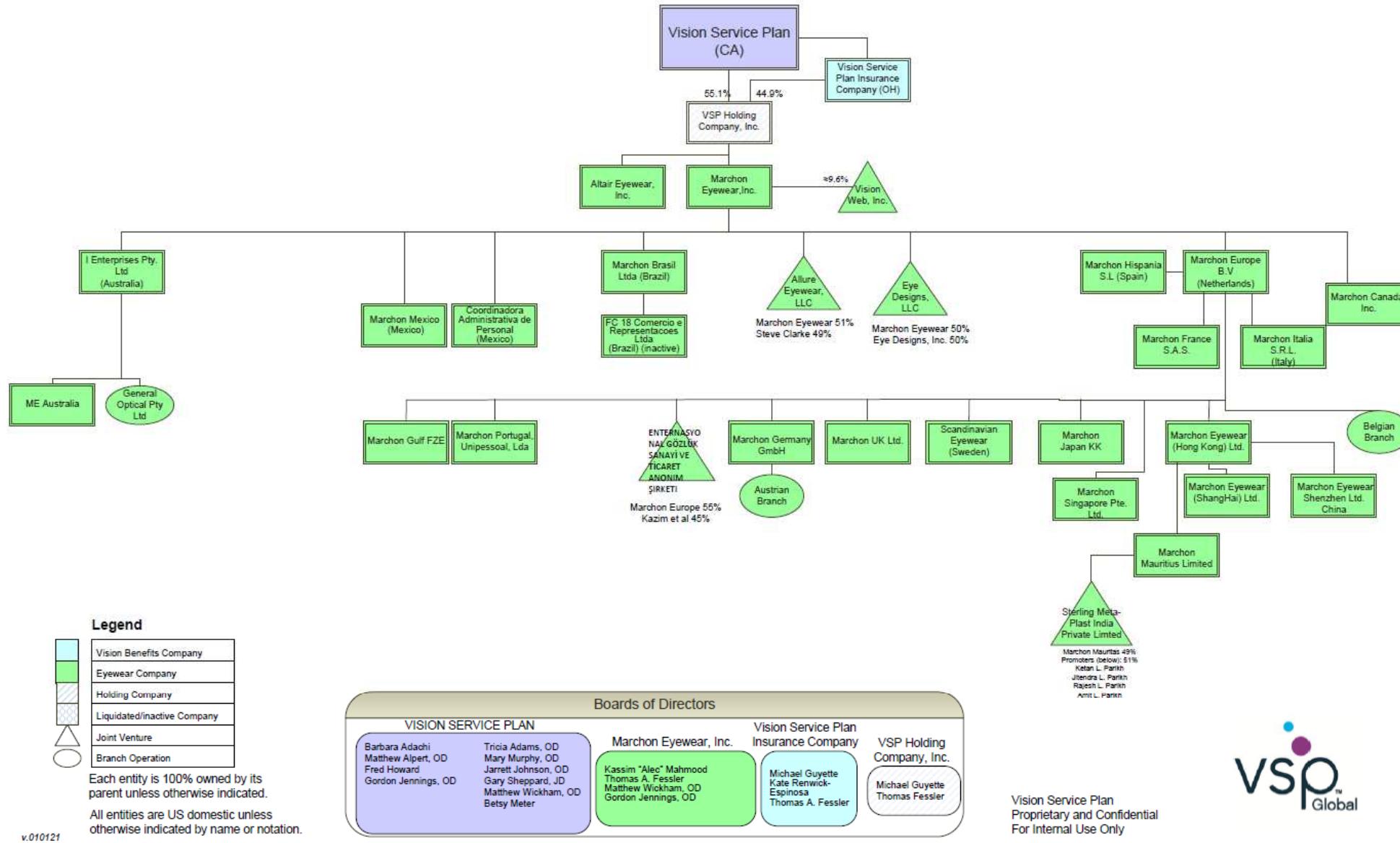
**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**

## Organizational Chart, Vision Service Plan



**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**

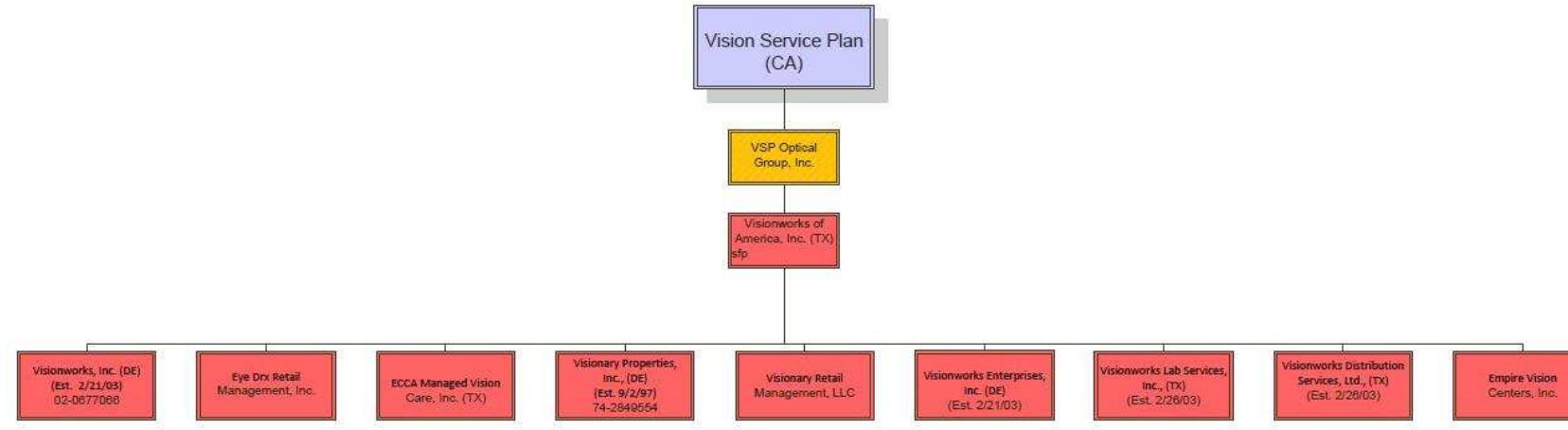
## Organizational Chart, Marchon Eyewear, Inc.



## SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

### PART 1 – ORGANIZATIONAL CHART

#### Organizational Chart, Visionworks of America, Inc.



15.2

#### Legend

 Wholly-owned subsidiaries

Each entity is 100% owned by its parent unless otherwise indicated.

All entities are US domestic unless otherwise indicated by name or notation.

v.013020

Vision Service Plan  
Proprietary and Confidential  
For Internal Use Only



## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Loca-tion	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Owner-ship Provide Percent-age	Ultimate Controlling Entity(es)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
..0000		..00000	56-2355483	0	0	Allure Eyewear, LLC		US	NIA	Marchon Eyewear, Inc.	Ownership	.51.000	Vision Service Plan (California)	N	0
..0000		..00000	68-0295156	0	0	Altair Eyewear, Inc.		US	NIA	VSP Holding Company, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	26-3268063	0	0	Community Eye Care of South Carolina, LLC		US	NIA	Independent Eye Care MSO, Inc.	Ownership	100.000	Vision Service Plan (California)	Y	0
..0000		..00000		0	0	Community Eye Care, LLC (North Carolina)		US	NIA	Independent Eye Care MSO, Inc.	Ownership	100.000	Vision Service Plan (California)	Y	0
..0000		..00000		0	0	Coordinadora Administrativa de Personal		MEX	NIA	Marchon Eyewear, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Cristallin SARL		FRA	NIA	Reflex Holding SAS	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	20-1949500	0	0	Eastern Vision Service Plan IPA, Inc.		US	IA	Vision Service Plan (California)	Board	0.000	Vision Service Plan (California)	N	0
..1189	Vision Serv Plan Group	47029	22-2777159	0	0	Eastern Vision Service Plan, Inc.		US	IA	Vision Service Plan (California)	Board	0.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	ECCA Managed Vision Care, Inc. (TX)		US	NIA	Visionworks of America, Inc. (TX)	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Empire Vision Centers, Inc.		US	NIA	Visionworks of America, Inc. (TX)	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Entemasyon al Gozluk Sanayi VE Ticaret AS		TUR	NIA	Marchon Europe BV	Ownership	55.000	Vision Service Plan (California)	N	0
..0000		..00000	23-2941185	0	0	Eye Designs, LLC		US	NIA	Marchon Eyewear, Inc.	Ownership	50.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Eye Drx Retail Management, Inc.		US	NIA	Visionworks of America, Inc. (TX)	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	27-3107295	0	0	Eyeconic, Inc.		US	NIA	VSP Retail Development Holding, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Eyefinity Ireland, Ltd.		IRL	NIA	Eyefinity, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	68-0450459	0	0	Eyefinity, Inc.		US	NIA	VSPIC (Ohio)	Ownership	100.000	Vision Service Plan (California)	Y	0
..0000		..00000		0	0	Eyefinity Officemate Pty, Ltd. (Australia)		AUS	NIA	Eyefinity Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	45-3675739	0	0	Eyefutura, Inc.		US	NIA	VSP Optical Group, Inc.	Ownership	25.920	Vision Service Plan (California)	N	0
..0000		..00000		0	0	FC 18 Comerico e Representacoes Ltda		BRA	NIA	Marchon Brasil Ltda	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	I Enterprises Pty, Ltd		AUS	NIA	Marchon Eyewear, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	ICP SARL		FRA	NIA	Reflex Holding SAS	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	56-1985814	0	0	Independant Eye Care MSO, Inc.		US	NIA	VSPIC (Ohio)	Ownership	100.000	Vision Service Plan (California)	Y	0
..0000		..00000		0	0	Marchon Brasil Ltda		BRA	NIA	Marchon Eyewear, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	83-4627457	0	0	Marchon Canada, Inc.		CAN	NIA	Marchon Eyewear, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Europe BV		NLD	NIA	Marchon Eyewear, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	98-0201338	0	0	Marchon Eyewear (Hong Kong) Ltd		HKG	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Eyewear Shenzhen Ltd, China		CHN	NIA	Marchon Eyewear (Hong Kong) Ltd	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Eyewear (Shanghai) Ltd		CHN	NIA	Marchon Eyewear (Hong Kong) Ltd	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Eyewear Australia Pty Ltd		AUS	NIA	I Enterprises Pty Ltd	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	11-2617364	0	0	Marchon Eyewear, Inc.		US	NIA	VSP Holding Company, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon France SAS		FRA	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Germany GmbH		DEU	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Gulf FZ Company		ARE	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Hispania SL		ESP	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Italia SRL		ITA	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Japan KK		JPN	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Mauritius Ltd		MUS	NIA	Marchon Eyewear (Hong Kong) Ltd	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Mexico		MEX	NIA	Marchon Eyewear, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Portugal, Unipessoal, Lda		PRT	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon Singapore Pte. Ltd.		SGP	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Marchon UK Ltd		GBR	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Monkey Software Pty. Ltd.		AUS	NIA	Eyefinity Officemate Pty, Ltd. (Australia)	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	MyEasySoft SARL		FRA	NIA	Reflex Holding SAS	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	27-0621213	0	0	Plexus Optix, Inc.		US	NIA	VSP Optical Group, Inc.	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Reflex Holding SAS		IRL	NIA	Eyefinity, Ireland	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	83-4635050	0	0	Rosin of Tennessee Management Company, LLC		US	NIA	VSP Ventures Management Services LLC	Ownership	60.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Scandinavian Eyewear (Sweden)		SWE	NIA	Marchon Europe BV	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	75-1769288	0	0	Southwest Vision Service Plan, Inc. (Texas)		US	IA	Vision Service Plan (California)	Board	0.000	Vision Service Plan (California)	N	0
..0000		..00000		0	0	Sterling Meta-Plast India Private Ltd.		IND	NIA	Marchon Mauritius	Ownership	49.000	Vision Service Plan (California)	N	0
..0000		..00000	94-1632821	0	0	Vision Service Plan (California)		US	UDP	Vision Service Plan (California)	Ownership	100.000	Vision Service Plan (California)	N	0
..0000		..00000	99-0247673	0	0	Vision Service Plan (Hawaii)		US	IA	Vision Service Plan (California)	Board	0.000	Vision Service Plan (California)	N	0
..1189	Vision Serv Plan Group	39616	06-1227840	0	0	Vision Service Plan Insurance Company (Ohio)		US	RE	Vision Service Plan (California)	Board	0.000	Vision Service Plan (California)	N	0

## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Loca-tion	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Owner-ship Provide Percent-age	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
..1189	Vision Serv Plan Group	32395	36-3560825	0	0	Vision Service Plan Insurance Company (Missouri) .....	..US..IA..	VSP Holding Company, Inc. .....	Board	0.000	Vision Service Plan (California) .....	N	0		
..1189	Vision Serv Plan Group	12516	20-0891619	0	0	Vision Service Plan of Illinois, NFP .....	..US..IA..	Vision Service Plan (California) .....	Board	0.000	Vision Service Plan (California) .....	N	0		
..0000		00000	83-0212963	0	0	Vision Service Plan of Wyoming (Wyoming) .....	..US..IA..	Vision Service Plan (California) .....	Board	0.000	Vision Service Plan (California) .....	N	0		
..0000		00000	74-2849554	0	0	Visionary Properties, Inc., (DE) .....	..US..NIA..	Visionworks of America, Inc. (TX) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	Visionary Retail Management, LLC .....	..US..NIA..	Visionworks of America, Inc. (TX) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	02-0677066	0	0	Visionworks, Inc. (DE) .....	..US..NIA..	Visionworks of America, Inc. (TX) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
						Visionworks Distribution Services, Ltd., (TX) .....	..US..NIA..	Visionworks of America, Inc. (TX) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0		..US..NIA..	Visionworks of America, Inc. (TX) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	Visionworks Enterprises, Inc. (DE) .....	..US..NIA..	Visionworks of America, Inc. (TX) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	Visionworks of America, Inc. (TX) .....	..US..NIA..	VSP Optical Group, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	Visionworks Lab Services, Inc., (TX) .....	..US..NIA..	Visionworks of America, Inc. (TX) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
						VSP Asia Private Ltd. .....	..HKG..NIA..	VSP Global, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	VSP Vision Canada, Inc. .....	..CAN..IA..	Vision Service Plan (California) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	27-5016913	0	0	VSP Ceres Inc. .....	..US..NIA..	VSP Optical Group, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	VSP France .....	..FRA..NIA..	VSP Global, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	27-0933693	0	0	VSP Global, Inc. .....	..US..NIA..	Vision Service Plan (California) .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	26-1998746	0	0	VSP Holding Company, Inc. .....	..US..NIA..	Vision Service Plan (California) .....	Ownership..	55.100	Vision Service Plan (California) .....	Y	0		
..0000		00000	26-1998746	0	0	VSP Holding Company, Inc. .....	..US..NIA..	VSPIC (Ohio) .....	Ownership..	44.900	Vision Service Plan (California) .....	Y	0		
..0000		00000	27-0621143	0	0	VSP Labs, Inc. .....	..US..NIA..	VSP Optical Group, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	27-0621064	0	0	VSP Optical Group, Inc. .....	..US..NIA..	Vision Service Plan (California) .....	Ownership..	50.000	Vision Service Plan (California) .....	Y	0		
..0000		00000	27-0621064	0	0	VSP Optical Group, Inc. .....	..US..NIA..	VSPIC (Ohio) .....	Ownership..	40.000	Vision Service Plan (California) .....	Y	0		
..0000		00000	27-0621064	0	0	VSP Optical Group, Inc. .....	..US..NIA..	VSP Vision Care, Inc. (Virginia) .....	Ownership..	10.000	Vision Service Plan (California) .....	Y	0		
..0000		00000	46-5393037	0	0	VSP Retail Development Holding, Inc. .....	..US..NIA..	VSP Optical Group, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	46-5406960	0	0	VSP Retail, Inc. .....	..US..NIA..	VSP Retail Development Holding, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	61-1930870	0	0	VSP Ventures Management Services LLC .....	..US..NIA..	VSP Labs, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000	84-2383097	0	0	VSP Ventures Optometric Solutions LLC .....	..US..NIA..	VSP Labs, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	VSP Vision Care - UK, Ltd. .....	..GBR..NIA..	VSP Global, Inc. .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		
..1189	Vision Serv Plan Group	53031	23-7089668	0	0	VSP Vision Care, Inc. (Virginia) .....	..US..IA..	Vision Service Plan (California) .....	Board	0.000	Vision Service Plan (California) .....	N	0		
..0000		00000		0	0	Winoptics SARL .....	..FRA..NIA..	Reflex Holding SAS .....	Ownership..	100.000	Vision Service Plan (California) .....	N	0		

Asterisk	Explanation

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

## SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

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

Response \_\_\_\_\_

1. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement? .....

NO

Explanation:

1.

Bar Code:

1. Medicare Part D Coverage Supplement [Document Identifier 365]



STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company  
**OVERFLOW PAGE FOR WRITE-INS**

**SCHEDULE A - VERIFICATION**

Real Estate

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

**NONE****SCHEDULE B - VERIFICATION**

Mortgage Loans

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

**NONE****SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

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

**NONE****SCHEDULE D - VERIFICATION**

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	355,619,566	363,245,984
2. Cost of bonds and stocks acquired .....	19,479,955	37,390,950
3. Accrual of discount .....	47,896	73,626
4. Unrealized valuation increase (decrease) .....	(13,453,141)	1,079,482
5. Total gain (loss) on disposals .....	1,894	464,772
6. Deduct consideration for bonds and stocks disposed of .....	21,341,915	46,584,361
7. Deduct amortization of premium .....	180,387	50,886
8. Total foreign exchange change in book/adjusted carrying value .....		0
9. Deduct current year's other than temporary impairment recognized .....		0
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....	340,173,867	355,619,566
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7+8-9+10) .....	266,685,930	285,726,015
12. Deduct total nonadmitted amounts .....	73,487,937	69,893,551
13. Statement value at end of current period (Line 11 minus Line 12) .....		

## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

**SCHEDULE D - PART 1B**

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

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a) .....	64,042,412	6,172,083	18,833,848	(109,893)	88,934,291	64,042,412	51,270,753	53,441,525
2. NAIC 2 (a) .....	170,232,219	120,483,706	176,055,000	(126,989)	173,578,545	170,232,219	114,533,936	165,753,501
3. NAIC 3 (a) .....	0				0	0	0	0
4. NAIC 4 (a) .....	0				0	0	0	0
5. NAIC 5 (a) .....	0				0	0	0	0
6. NAIC 6 (a) .....	0				0	0	0	0
7. Total Bonds .....	234,274,631	126,655,789	194,888,848	(236,882)	262,512,836	234,274,631	165,804,690	219,195,026
<b>PREFERRED STOCK</b>								
8. NAIC 1 .....	0				0	0	0	0
9. NAIC 2 .....	0				0	0	0	0
10. NAIC 3 .....	0				0	0	0	0
11. NAIC 4 .....	0				0	0	0	0
12. NAIC 5 .....	0				0	0	0	0
13. NAIC 6 .....	0				0	0	0	0
14. Total Preferred Stock .....	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock .....	234,274,631	126,655,789	194,888,848	(236,882)	262,512,836	234,274,631	165,804,690	219,195,026

(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 \$ .....19,419,202 ; NAIC 2 \$ .....111,710,089 ; NAIC 3 \$ .....0 NAIC 4 \$ .....0 ; NAIC 5 \$ .....0 ; NAIC 6 \$ .....0

SI02

**SCHEDULE DA - PART 1**

Short-Term Investments

	1 Book/Adjusted Carrying Value	2 Par Value	3 Actual Cost	4 Interest Collected Year-to-Date	5 Paid for Accrued Interest Year-to-Date
9199999 Totals	64,619,014	XXX	64,764,423	154,413	96,647

**SCHEDULE DA - VERIFICATION**

Short-Term Investments

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	67,559,594	6,250,333
2. Cost of short-term investments acquired .....	195,728,784	165,801,233
3. Accrual of discount .....	154,821	478,773
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	0	0
6. Deduct consideration received on disposals .....	198,039,000	104,760,000
7. Deduct amortization of premium .....	785,185	210,745
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	64,619,014	67,559,594
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	64,619,014	67,559,594

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards

**N O N E**

Schedule DB - Part B - Verification - Futures Contracts

**N O N E**

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

**N O N E**

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

**N O N E**

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

**N O N E**

**SCHEDULE E - PART 2 - VERIFICATION**

(Cash Equivalents)

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	158,765,155	81,241,343
2. Cost of cash equivalents acquired .....	962,188,356	1,014,360,110
3. Accrual of discount .....	88,730	404,482
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	0	0
6. Deduct consideration received on disposals .....	1,041,809,830	937,180,354
7. Deduct amortization of premium .....	93,113	60,426
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	79,139,297	158,765,155
11. Deduct total nonadmitted amounts .....	0	0
<b>12. Statement value at end of current period (Line 10 minus Line 11)</b>	<b>79,139,297</b>	<b>158,765,155</b>

Schedule A - Part 2 - Real Estate Acquired and Additions Made  
**N O N E**

Schedule A - Part 3 - Real Estate Disposed  
**N O N E**

Schedule B - Part 2 - Mortgage Loans Acquired and Additions Made  
**N O N E**

Schedule B - Part 3 - Mortgage Loans Disposed, Transferred or Repaid  
**N O N E**

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made  
**N O N E**

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid  
**N O N E**

## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

**SCHEDULE D - PART 3**

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1 CUSIP Identification	2 Description	3 Foreign	4 Date Acquired	5 Name of Vendor	6 Number of Shares of Stock	7 Actual Cost	8 Par Value	9 Paid for Accrued Interest and Dividends	10 NAIC Designation, NAIC Designation Modifier and SVO Adminis- trative Symbol
313048-ZU-9	FEDERAL HOME LOAN BANKS .....		.09/07/2021	WELLS FARGO SECURITIES LLC .....		1,147,563	1,100,000	9,411	1A .....
3199999. Subtotal - Bonds - U.S. Special Revenues						1,147,563	1,100,000	9,411	XXX
8399997. Total - Bonds - Part 3						1,147,563	1,100,000	9,411	XXX
8399998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX
8399999. Total - Bonds						1,147,563	1,100,000	9,411	XXX
8999997. Total - Preferred Stocks - Part 3						0	XXX	0	XXX
8999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks						0	XXX	0	XXX
03763A-20-7	APOLLO MEDICAL HOLDINGS ORD		.07/26/2021	Morgan Stanley .....	172,000	19,070			0
046353-10-8	ASTRAZENECA ADR REP 0.5 ORD	C.	.07/21/2021	Unknown .....	288,905	16,696			0
053798-10-7	AVISTA ORD .....		.09/21/2021	Morgan Stanley .....	576,000	22,596			0
05464C-10-1	AXON ENTERPRISE ORD .....		.07/26/2021	Morgan Stanley .....	106,000	19,296			0
05605H-10-0	BWX TECHNOLOGIES ORD .....		.07/26/2021	Morgan Stanley .....	87,000	5,011			0
070830-10-4	BATH AND BODY WORKS ORD .....		.08/03/2021	Morgan Stanley .....	1,150,000	10,093			0
09260D-10-7	BLACKSTONE GROUP ORD .....		.07/26/2021	Morgan Stanley .....	226,000	25,604			0
100557-10-7	BOSTON BEER CL A ORD .....		.07/26/2021	Morgan Stanley .....	28,000	20,345			0
14057J-10-1	CAPITOL FEDERAL FINANCIAL ORD .....		.07/26/2021	Morgan Stanley .....	1,964,000	22,036			0
14161W-10-5	CARDLYTICS ORD .....		.09/21/2021	Morgan Stanley .....	220,000	19,642			0
15961R-10-5	CHARGEPOINT HOLDINGS, INC.		.07/26/2021	Morgan Stanley .....	861,000	20,001			0
23345M-10-7	DT MIDSTREAM ORD .....		.09/21/2021	Morgan Stanley .....	433,000	19,017			0
320817-10-9	FIRST MERCHANTS ORD .....		.07/26/2021	Morgan Stanley .....	822,000	33,094			0
338307-10-1	FIVE9 ORD .....		.07/26/2021	Morgan Stanley .....	102,000	20,234			0
36162J-10-6	GEO GROUP REIT ORD .....		.07/26/2021	Morgan Stanley .....	2,907,000	19,593			0
36262G-10-1	GXO LOGISTICS ORD .....		.08/02/2021	Morgan Stanley .....	233,000	4,894			0
369604-30-1	GENERAL ELECTRIC ORD .....		.08/02/2021	Morgan Stanley .....	957,500	55,382			0
449253-10-3	IAA ORD .....		.07/26/2021	Morgan Stanley .....	389,000	23,503			0
462260-10-0	IOVANCE BIOTHERAPEUTICS ORD .....		.07/26/2021	Morgan Stanley .....	842,000	18,751			0
50077B-20-7	KRATOS DEFENSE AND SECURITY SOLS ORD .....		.09/21/2021	Morgan Stanley .....	854,000	19,070			0
53814L-10-8	LIVENT ORD .....		.09/21/2021	Morgan Stanley .....	826,000	19,477			0
589378-10-8	MERCURY SYSTEMS ORD .....		.07/26/2021	Morgan Stanley .....	301,000	19,953			0
600544-10-0	HERMAN MILLER ORD .....		.09/21/2021	Morgan Stanley .....	479,000	18,849			0
60468T-10-5	MIRATI THERAPEUTICS ORD .....		.09/21/2021	Morgan Stanley .....	108,000	18,046			0
651587-10-7	NEIMARKET ORD .....		.09/21/2021	Morgan Stanley .....	59,000	19,290			0
682680-10-3	ONEOK ORD .....		.07/26/2021	Morgan Stanley .....	389,000	20,940			0
68373J-10-4	OPEN LENDING CL A ORD .....		.09/21/2021	Morgan Stanley .....	500,000	19,390			0
69327R-10-1	PDC ENERGY ORD .....		.07/26/2021	Morgan Stanley .....	518,000	21,109			0
69331C-10-8	PGE ORD .....		.07/26/2021	Morgan Stanley .....	2,106,000	18,428			0
716382-10-6	PETMED EXPRESS ORD .....		.07/26/2021	Morgan Stanley .....	699,000	19,726			0
75737F-10-8	REDFIN ORD .....		.09/21/2021	Morgan Stanley .....	379,000	19,530			0
79466L-30-2	SALESFORCE.COM ORD .....		.07/21/2021	Unknown .....	37,636	9,344			0
803607-10-0	SAREPTA THERAPEUTICS ORD .....		.07/26/2021	Morgan Stanley .....	291,000	19,375			0
819047-10-1	SHAKE SHACK CL A ORD .....		.09/21/2021	Morgan Stanley .....	234,000	19,155			0
82312B-10-6	SHENANDOAH TELECOMMUNICATIONS ORD .....		.07/26/2021	Morgan Stanley .....	376,000	19,909			0
827048-10-9	SILGAN HOLDINGS ORD .....		.09/21/2021	Morgan Stanley .....	484,000	19,191			0
896945-20-1	TRIADVISOR ORD .....		.09/21/2021	Morgan Stanley .....	581,000	18,830			0
90184L-10-2	TWITTER ORD .....		.07/26/2021	Morgan Stanley .....	80,000	5,495			0
926400-10-2	VICTORIA'S SECRET ORD .....		.08/03/2021	Morgan Stanley .....	383,329	2,396			0
983793-10-0	XPO LOGISTICS ORD .....		.08/02/2021	Morgan Stanley .....	233,000	6,809			0
98585N-10-6	YEXT ORD .....		.09/21/2021	Morgan Stanley .....	1,801,000	21,900			0
G21810-10-9	CLARIVATE ORD .....	C.	.07/26/2021	Morgan Stanley .....	772,000	18,837			0
G4705A-10-0	ICON ORD .....	C.	.07/01/2021	Unknown .....	58,575	12,643			0
9099999. Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated) Publicly Traded						802,550	XXX	0	XXX
922908-74-4	VANGUARD VAL IDX ETF .....		.09/29/2021	Morgan Stanley .....	33,078	4,551			0
9499999. Subtotal - Common Stocks - Mutual Funds						4,551	XXX	0	XXX

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

**SCHEDULE D - PART 3**

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1 CUSIP Identification	2 Description	3 Foreign	4 Date Acquired	5 Name of Vendor	6 Number of Shares of Stock	7 Actual Cost	8 Par Value	9 Paid for Accrued Interest and Dividends	10 NAIC Designation, NAIC Designation Modifier and SVO Admini- stra- tive Symbol
9799997. Total - Common Stocks - Part 3					807,101	XXX		0	XXX
9799998. Total - Common Stocks - Part 5					XXX	XXX	XXX	XXX	XXX
9799999. Total - Common Stocks					807,101	XXX		0	XXX
9899999. Total - Preferred and Common Stocks					807,101	XXX		0	XXX
9999999 - Totals					1,954,663	XXX		9,411	XXX

## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

## SCHEDULE D - PART 4

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

1 CUSIP Ident- ification	2 Description	3 For- eign	4 Disposal Date	5 Name of Purchaser	6 Number of Shares of Stock	7 Consid- eration	8 Par Value	9 Actual Cost	10 Prior Year Book/ Adjusted Carrying Value	Change In Book/Adjusted Carrying Value					16 Book/ Adjusted Carrying Value at Disposal Date	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Bond Interest/ Stock Dividends Received During Year	21 Stated Con- tractual Maturity Date	22 NAIC Design- ation, NAIC Design- ation Modifier and SVO Adminis- trative Symbol		
										11 Unrealized Valuation Increase/ (Decrease)	12 Current Year's Other Than Temporary Impairment Recogn- ized	13 Current Year's Temporar- y Carrying Value	14 Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	15 Total Foreign Change in Book/ Adjusted Carrying Value									
.912628-57-6	UNITED STATES TREASURY		07/31/2021	Maturity @ 100.00			235,000	235,000	234,569	234,948	0	52	0	52	0	235,000	0	0	0	2,644	07/31/2021	1.A	
05999999. Subtotal - Bonds - U.S. Governments							235,000	235,000	234,569	234,948	0	52	0	52	0	235,000	0	0	0	2,644	XXX	XXX	
.3133EK-L4-6	FEDERAL FARM CREDIT BANKS FUNDING CORP		09/09/2021	Call @ 100.00			4,000,000	4,000,000	4,000,000	4,000,000	0	0	0	0	0	4,000,000	0	0	0	66,000	09/09/2024	1.A	
.313664-7S-5	FEDERAL NATIONAL MORTGAGE ASSOCIATION		08/20/2021	Call @ 100.00			1,000,000	1,000,000	999,750	999,787	0	53	0	53	0	999,840	0	160	160	4,000	07/20/2023	1.A	
31999999. Subtotal - Bonds - U.S. Special Revenues							5,000,000	5,000,000	4,999,750	4,999,787	0	53	0	53	0	4,999,840	0	160	160	70,000	XXX	XXX	
.14042R-HR-5	Capital One, National Association		08/30/2021	Maturity @ 100.00			500,000	500,000	501,250	500,225	0	0	0	0	0	500,000	0	0	0	11,000	08/30/2021	1.F FE	
.594918-BP-8	MICROSOFT CORP		07/15/2021	Call @ 100.00			2,100,000	2,050,314	2,091,688	0	7,320	0	7,320	0	2,099,009	0	991	991	29,838	08/08/2021	1.A FE		
38999999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)							2,600,000	2,600,000	2,551,564	2,591,913	0	7,096	0	7,096	0	2,599,009	0	991	991	40,838	XXX	XXX	
83999997. Total - Bonds - Part 4							7,835,000	7,835,000	7,785,883	7,826,648	0	7,200	0	7,200	0	7,833,848	0	1,152	1,152	113,481	XXX	XXX	
83999998. Total - Bonds - Part 5							XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
83999999. Total - Bonds							7,835,000	7,835,000	7,785,883	7,826,648	0	7,200	0	7,200	0	7,833,848	0	1,152	1,152	113,481	XXX	XXX	
89999997. Total - Preferred Stocks - Part 4							0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	
89999998. Total - Preferred Stocks - Part 5							XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
89999999. Total - Preferred Stocks							0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
.00089H-10-6	ACS ACTIVIDADES DE CONSTRUCCION ADR	C.	09/21/2021	Morgan Stanley	1,053	6	6	7	(1)	0	0	0	0	(1)	0	0	6	0	0	0	0	0	
.015351-10-9	ALEXION PHARMACEUTICALS ORD		07/21/2021	Adjustment	136,000	24,856	16,042	21,249	(5,207)	0	0	0	0	(5,207)	0	0	16,042	0	8,814	8,814	0		
.021568-10-3	ALTERIX CL A ORD		09/21/2021	Morgan Stanley	124,000	8,680	11,686	15,102	(3,416)	0	0	0	0	(3,416)	0	0	11,686	0	(3,006)	(3,006)	0		
.030111-20-7	AMERICAN SUPERCONDUCTOR ORD		07/26/2021	Morgan Stanley	1,210,000	17,037	20,485	0	0	0	0	0	0	0	0	0	20,485	0	(3,449)	(3,449)	0		
.037430-10-8	APA ORD		07/26/2021	Morgan Stanley	855,000	16,108	18,725	0	0	0	0	0	0	0	0	0	18,725	0	(2,616)	(2,616)	21		
.03763A-20-7	APOLLO MEDICAL HOLDINGS ORD		09/21/2021	Morgan Stanley	172,000	14,632	19,070	0	0	0	0	0	0	0	0	0	19,070	0	(4,438)	(4,438)	0		
.042744-10-2	ARROW FINANCIAL ORD		09/24/2021	Morgan Stanley	0,290	10	7	8	(1)	0	0	0	0	(1)	0	0	7	0	2	2	0		
.046353-10-8	ASTRAZENECA ADR REP 0.5 ORD	C.	09/21/2021	Morgan Stanley	288,905	17,082	16,696	0	0	0	0	0	0	0	0	0	16,696	0	386	386	127		
.062540-10-9	BANK OF HAWAII I ORD		07/26/2021	Morgan Stanley	52,000	4,328	3,066	3,984	(918)	0	0	0	0	(918)	0	0	3,066	0	1,262	1,262	70		
.090043-10-0	BILL COM HOLDINGS ORD		07/26/2021	Morgan Stanley	10,000	2,048	1,900	0	0	0	0	0	0	0	0	0	1,900	0	148	148	0		
.101121-10-1	BOSTON PROPERTIES REIT ORD		07/26/2021	Morgan Stanley	159,000	18,345	21,032	15,030	6,001	0	0	0	0	6,001	0	0	21,032	0	(2,686)	(2,686)	467		
.12739A-10-0	CADENCE BANCORPORATION CL A ORD		07/26/2021	Morgan Stanley	859,000	16,132	17,781	0	0	0	0	0	0	0	0	0	17,781	0	(1,649)	(1,649)	129		
.155685-10-0	CENTRAL VALLEY COMMUNITY BANCORP ORD		07/26/2021	Morgan Stanley	963,000	21,157	12,519	14,339	(1,820)	0	0	0	0	(1,820)	0	0	12,519	0	8,638	8,638	221		
.159864-10-7	CHILIS RIVER LABS ORD		07/26/2021	Morgan Stanley	5,000	1,966	696	1,249	(553)	0	0	0	0	(553)	0	0	696	0	1,270	1,270	0		
.177376-10-0	CITRIX SYSTEMS ORD		09/21/2021	Morgan Stanley	104,000	11,304	15,303	13,530	1,772	0	0	0	0	1,772	0	0	15,303	0	(3,999)	(3,999)	115		
.209115-10-4	CONSOLIDATED EDISON ORD		07/26/2021	Morgan Stanley	133,000	9,837	10,780	9,612	1,168	0	0	0	0	1,168	0	0	10,780	0	(943)	(943)	206		
.25400V-10-2	DIGITAL TURBINE ORD		07/26/2021	Morgan Stanley	232,000	14,516	19,713	0	0	0	0	0	0	0	0	0	19,713	0	(5,197)	(5,197)	0		
.36467V-10-9	GAMESTOP CL A ORD		07/26/2021	Morgan Stanley	85,000	15,635	18,644	0	0	0	0	0	0	0	0	0	18,644	0	(3,009)	(3,009)	0		
.369604-10-3	GENERAL ELECTRIC ORD		08/02/2021	Unknown	7,660,000	55,382	55,382	82,728	(27,346)	0	0	0	0	(27,346)	0	0	55,382	0	0	0	230		
.369604-30-1	GENERAL ELECTRIC ORD		08/05/2021	Morgan Stanley	0,500	52	29	0	0	0	0	0	0	0	0	0	29	0	23	23	0		
.37247D-10-6	GENWORTH FINANCIAL CL A ORD		07/26/2021	Morgan Stanley	4,509,000	15,060	15,917	17,044	(1,127)	0	0	0	0	(1,127)	0	0	15,917	0	(857)	(857)	0		
.405024-10-0	HAEMONETICS ORD		07/26/2021	Morgan Stanley	105,000	6,183	10,735	12,469	(1,734)	0	0	0	0	(1,734)	0	0	10,735	0	(4,552)	(4,552)	0		
.446413-10-6	HUNTINGTON INGALLS INDUSTRIES ORD		07/26/2021	Morgan Stanley	251,000	51,497	58,647	42,790	15,856	0	0	0	0	15,856	0	0	58,647	0	(7,149)	(7,149)	572		
.462222-10-0	IONIS PHARMACEUTICALS ORD		09/21/2021	Morgan Stanley	213,000	7,728	10,961	12,043	(1,082)	0	0	0	0	(1,082)	0	0	10,961	0	(3,233)	(3,233)	0		
.501797-10-4	BATH AND BODY WORKS ORD		08/03/2021	Unknown	1,150,000	12,489	12,489	42,769	(30,280)	0	0	0	0	(30,280)	0	0	12,489	0	0	0	173		
.589378-10-8	MERCURY SYSTEMS ORD		09/21/2021	Morgan Stanley	301,000	13,638	19,953	0	0	0	0	0	0	0	0	0	19,953	0	(6,315)	(6,315)	0		
.60468T-10-5	MIRATI THERAPEUTICS ORD		07/26/2021	Morgan Stanley	66,000	10,043	15,114	14,496	618	0	0	0	0	618	0	0	15,114	0	(5,071)	(5,071)	0		
.670002-40-1	NOVAVAX ORD		07/26/2021	Morgan Stanley	66,000	12,762	18,340	0	0	0	0	0	0	0	0	0	18,340	0	(5,578)	(5,578)	0		
.69318G-10-6	PBF ENERGY CL A ORD		07/26/2021	Morgan Stanley	1,151,000	11,015	18,658	0	0	0	0	0	0	0	0	0	18,658	0	(7,643)	(7,643)	0		
.69354H-10-8	PRA HEALTH SCIENCES ORD		07																				

## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

**SCHEDULE D - PART 4**

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

1 CUSIP Ident- ification	2 Description	3 For- eign	4 Disposal Date	5 Name of Purchaser	6 Number of Shares of Stock	7 Consid- eration	8 Par Value	9 Actual Cost	10 Prior Year Book/ Adjusted Carrying Value	Change In Book/Adjusted Carrying Value					16 Book/ Adjusted Carrying Value at Disposal Date	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Bond Interest/ Stock Dividends Received During Year	21 Stated Con- tractual Maturity Date	22 NAIC Desig- nation, NAIC Desig- nation Modifier and SVO Admini- stra- tive Symbol	
										11 Unrealized Valuation Increase/ (Decrease)	12 Current Year's Other Than Temporary Impairment Recogn- ized	13 Current Year's Temporar- y Impairment Recogn- ized	14 Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	15 Total Foreign Exchange Change in Book/ Adjusted Carrying Value								
.983793-10-0	XPO LOGISTICS ORD		.08/02/2021	Unknown	233,000		11,704		11,704	27,774	(16,070)	0	0	(16,070)	0	11,704	0	0	0	0		
.98954M-20-0	ZILLOW GROUP CL C ORD		.07/26/2021	Morgan Stanley	137,000		14,901		18,695	0	0	0	0	0	0	18,695	0	(3,794)	(3,794)	0		
.98973P-10-1	ZIOPHARM ONCOLGY ORD		.09/21/2021	Morgan Stanley	7,137,000		13,489		19,199	0	0	0	0	0	0	19,199	0	(5,710)	(5,710)	0		
.64705A-10-0	ICON ORD	C	.07/26/2021	Morgan Stanley	58,575		12,652		12,643	0	0	0	0	0	0	12,643	0	8	8	0		
.65494J-10-3	LINDE ORD	C	.09/21/2021	Morgan Stanley	323,000		97,911		40,684	85,114	(44,430)	0	0	(44,430)	0	40,684	0	57,227	57,227	931		
9099999. Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated) Publicly Traded					699,760	XXX	698,982		534,912	(114,550)	0	0	(114,550)	0	698,982	0	778	778	10,407	XXX	XXX	
9799997. Total - Common Stocks - Part 4					699,760	XXX	698,982		534,912	(114,550)	0	0	(114,550)	0	698,982	0	778	778	10,407	XXX	XXX	
9799998. Total - Common Stocks - Part 5					XXX	XXX	XXX		XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999. Total - Common Stocks					699,760	XXX	698,982		534,912	(114,550)	0	0	(114,550)	0	698,982	0	778	778	10,407	XXX	XXX	
9899999. Total - Preferred and Common Stocks					699,760	XXX	698,982		534,912	(114,550)	0	0	(114,550)	0	698,982	0	778	778	10,407	XXX	XXX	
9999999 - Totals					8,534,760	XXX	8,484,865		8,361,560	(114,550)	7,200	0	(107,349)	0	8,532,831	0	1,929	1,929	123,888	XXX	XXX	

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

Schedule DB - Part B - Section 1 - Futures Contracts Open  
**N O N E**

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made  
**N O N E**

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged By  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged To  
**N O N E**

Schedule DB - Part E - Derivatives Hedging Variable Annuity Guarantees  
**N O N E**

Schedule DL - Part 1 - Reinvested Collateral Assets Owned  
**N O N E**

Schedule DL - Part 2 - Reinvested Collateral Assets Owned  
**N O N E**

## STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

**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 of 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	
Regions MK .....	SD .....	0.000	.0	0	200,000	200,000	200,000	XXX
Bank of America .....	Sacramento, CA .....	0.000	.0	0	33,289,493	(143,021)	11,067,594	XXX
Union Bank .....	Sacramento, CA .....	0.000	0	0	132,053,243	32,053,243	60,053,243	XXX
Bank of Oklahoma 01/28/2022 .....		0.100	.0	.66	0	100,000	100,000	XXX
0199998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX	0	0	102,266	1,267	10,068	XXX
0199999. Totals - Open Depositories	XXX	XXX	0	66	165,645,002	32,211,489	71,430,905	XXX
0299998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Suspended Depositories	XXX	XXX						XXX
0299999. Totals - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0399999. Total Cash on Deposit	XXX	XXX	0	66	165,645,002	32,211,489	71,430,905	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX				XXX
.....								
.....								
.....								
.....								
.....								
0599999. Total - Cash	XXX	XXX	0	66	165,645,002	32,211,489	71,430,905	XXX

STATEMENT AS OF SEPTEMBER 30, 2021 OF THE Vision Service Plan Insurance Company

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

Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	3 Code	4 Date Acquired	5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due and Accrued	9 Amount Received During Year
0599999. Total - U.S. Government Bonds						0	0	0
1099999. Total - All Other Government Bonds						0	0	0
1799999. Total - U.S. States, Territories and Possessions Bonds						0	0	0
2499999. Total - U.S. Political Subdivisions Bonds						0	0	0
3199999. Total - U.S. Special Revenues Bonds						0	0	0
	Black Hills Corporation .....		09/15/2021	.000	11/02/2021	14,998,667	0	.625
	Cigna Corporation .....		09/22/2021	.000	11/16/2021	9,998,211	0	.350
	CenterPoint Energy, Inc. ....		09/09/2021	.000	10/22/2021	9,999,358	0	.672
	MORGAN STANLEY .....		09/02/2021	.2,625	11/17/2021	5,016,232	.48,854	(8,288)
	Nutrien Ltd. ....		09/02/2021	.000	11/03/2021	7,999,230	0	.653
	Public Service Enterprise Group Incorpor .....		09/20/2021	.000	11/09/2021	3,499,621	0	.107
	The Sherwin-Williams Company .....		09/17/2021	.000	10/26/2021	14,998,958	0	.583
3299999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated) - Issuer Obligations						66,510,277	48,854	(5,298)
3899999. Total - Industrial and Miscellaneous (Unaffiliated) Bonds						66,510,277	48,854	(5,298)
4899999. Total - Hybrid Securities						0	0	0
5599999. Total - Parent, Subsidiaries and Affiliates Bonds						0	0	0
6099999. Subtotal - SVO Identified Funds						0	0	0
6599999. Subtotal - Unaffiliated Bank Loans						0	0	0
7699999. Total - Issuer Obligations						66,510,277	48,854	(5,298)
7799999. Total - Residential Mortgage-Backed Securities						0	0	0
7899999. Total - Commercial Mortgage-Backed Securities						0	0	0
7999999. Total - Other Loan-Backed and Structured Securities						0	0	0
8099999. Total - SVO Identified Funds						0	0	0
8199999. Total - Affiliated Bank Loans						0	0	0
8299999. Total - Unaffiliated Bank Loans						0	0	0
8399999. Total Bonds						66,510,277	48,854	(5,298)
31846V-56-7 .....	FIRST AMER:GVT OBLG Z .....		09/23/2021	.020		9,169,674	.88	.1
61747C-82-2 .....	MORG STAN L LQ:GS PAR .....		09/30/2021	.010		108,781	1	.2
999990-80-7 .....	RTCS I - INST .....		09/01/2021	.000		244,262	0	.0
8699999. Subtotal - All Other Money Market Mutual Funds						9,522,717	89	3
	FIRST AMER:TRS OBG V .....	SD .....	09/02/2021	.010		206,901	1	.9
	WELLSFARGO:TRS+ MM I .....	SD .....	09/21/2021	.010		203,117	64	.0
	WELLSFARGO:TRS+ MM I .....	SD .....	09/14/2021	.010		2,696,285	22	.38
8899999. Subtotal - Other Cash Equivalents						3,106,303	87	47
9999999 - Total Cash Equivalents						79,139,297	49,030	(5,247)