

**QUARTERLY STATEMENT**

**OF THE**

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**WFG NATIONAL**

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**TITLE INSURANCE COMPANY**

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**of COLUMBIA**

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**in the state of SOUTH CAROLINA**

**TO THE**

**Insurance Department**

**OF THE**

**STATE OF**

**FOR THE QUARTER ENDED**

**June 30, 2021**

**TITLE**

**2021**



51152202120100102

# QUARTERLY STATEMENT

AS OF JUNE 30, 2021  
OF THE CONDITION AND AFFAIRS OF THE

## WFG National Title Insurance Company

NAIC Group Code	4736	4736	NAIC Company Code	51152	Employer's ID Number	57-0575396
	(Current Period)	(Prior Period)				
Organized under the Laws of	South Carolina			State of Domicile or Port of Entry	SC	
Country of Domicile	USA					
Incorporated/Organized	June 18, 1974			Commenced Business	November 14, 1974	
Statutory Home Office	2711 Middleburg Drive Suite 206			Columbia, SC US 29204		
	(Street and Number)			(City or Town, State, Country and Zip Code)		
Main Administrative Office	12909 SW 68th Parkway, Suite 350					
	(Street and Number)					
	Portland, OR	US	97223	704-542-7616		
	(City or Town, State, Country and Zip Code)			(Area Code)	(Telephone Number)	
Mail Address	7401 Carmel Executive Park Dr, Suite 105			Charlotte, NC US 28226-8403		
	(Street and Number or P.O. Box)			(City or Town, State, Country and Zip Code)		
Primary Location of Books and Records	7401 Carmel Executive Park Dr, Suite 105			Charlotte, NC US 28226-8403 704-542-7616		
	(Street and Number)			(City or Town, State, Country and Zip Code)	(Area Code)	(Telephone Number)
Internet Website Address	www.wfgnationaltitle.com					
Statutory Statement Contact	John R. Wooldridge Jr.			704-488-4732		
	(Name)			(Area Code)	(Telephone Number)	(Extension)
	jwooldridge@willistonfinancial.com			704-542-7618		
	(E-Mail Address)			(Fax Number)		

### OFFICERS

	Name	Title
1.	Armen Steven Ozonian	Chief Executive Officer & President
2.	Joseph Vincent McCabe Jr	Exec VP, Secretary & General Counsel
3.	Michael Thomas Gallaher	Exec VP, CFO & Treasurer

### VICE-PRESIDENTS

Name	Title	Name	Title
Steven Huntington Winkler	Executive VP & Chief Underwriting Counsel	John Randolph Wooldridge Jr	Senior VP & Controller
Cynthia Lee Tucker	Executive VP		

### DIRECTORS OR TRUSTEES

Patrick Francis Stone	Armen Steven Ozonian	Michael Thomas Gallaher	Joseph Vincent McCabe Jr
Cynthia Lee Tucker			

State of North Carolina

County of Mecklenburg ss

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

(Signature)	(Signature)	(Signature)
Armen Steven Ozonian	Joseph Vincent McCabe Jr	Michael Thomas Gallaher
(Printed Name)	(Printed Name)	(Printed Name)
1.	2.	3.
Chief Executive Officer & President	Exec VP, Secretary & General Counsel	Exec VP, CFO & Treasurer
(Title)	(Title)	(Title)

Subscribed and sworn to before me this  
9th day of August, 2021

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

## ASSETS

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds	20,904,266		20,904,266	22,097,702
2. Stocks:				
2.1 Preferred stocks	148,987		148,987	149,880
2.2 Common stocks	929,484		929,484	
3. Mortgage loans on real estate:				
3.1 First liens				
3.2 Other than first liens	10,793	10,793		
4. Real estate:				
4.1 Properties occupied by the company (less \$ 0 encumbrances)				
4.2 Properties held for the production of income (less \$ 0 encumbrances)				
4.3 Properties held for sale (less \$ 0 encumbrances)				
5. Cash (\$ 222,502,060), cash equivalents (\$ 12,856,212), and short-term investments (\$ 0)	235,358,272		235,358,272	191,262,314
6. Contract loans (including \$ 0 premium notes)				
7. Derivatives				
8. Other invested assets	11,392,659		11,392,659	11,276,373
9. Receivables for securities				451
10. Securities lending reinvested collateral assets				
11. Aggregate write-ins for invested assets				
12. Subtotals, cash and invested assets (Lines 1 to 11)	268,744,461	10,793	268,733,668	224,786,720
13. Title plants less \$ 0 charged off (for Title insurers only)	4,023,862		4,023,862	4,079,910
14. Investment income due and accrued	123,510		123,510	122,191
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection	3,290,463		3,290,463	4,805,303
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ 0 earned but unbilled premiums)				
15.3 Accrued retrospective premiums (\$ 0) and contracts subject to redetermination (\$ 0)				
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers				
16.2 Funds held by or deposited with reinsured companies				
16.3 Other amounts receivable under reinsurance contracts				
17. Amounts receivable relating to uninsured plans				
18.1 Current federal and foreign income tax recoverable and interest thereon				
18.2 Net deferred tax asset	4,357,287	1,405,748	2,951,539	2,507,953
19. Guaranty funds receivable or on deposit				
20. Electronic data processing equipment and software	3,901,294	593,119	3,308,175	2,407,865
21. Furniture and equipment, including health care delivery assets (\$ 0)	1,147,932	1,147,932		
22. Net adjustment in assets and liabilities due to foreign exchange rates				
23. Receivables from parent, subsidiaries and affiliates	5,462,301		5,462,301	1,570,565
24. Health care (\$ 0) and other amounts receivable				
25. Aggregate write-ins for other-than-invested assets	2,802,510	2,487,614	314,896	304,334
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25)	293,853,620	5,645,206	288,208,414	240,584,841
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts				
28. Total (Lines 26 and 27)	293,853,620	5,645,206	288,208,414	240,584,841

DETAILS OF WRITE-IN LINES				
1101.				
1102.				
1103.				
1198. Summary of remaining write-ins for Line 11 from overflow page				
1199. Totals (Lines 1101 through 1103 plus 1198) (Line 11 above)				
2501. Prepays	2,217,614	2,217,614		
2502. Deposits	282,882		282,882	292,106
2503. Unsecured notes receivable	270,000	270,000		
2598. Summary of remaining write-ins for Line 25 from overflow page	32,014		32,014	12,228
2599. Totals (Lines 2501 through 2503 plus 2598) (Line 25 above)	2,802,510	2,487,614	314,896	304,334

NONE

## LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31 Prior Year
1. Known claims reserve	8,353,913	9,827,303
2. Statutory premium reserve	138,056,337	118,560,434
3. Aggregate of other reserves required by law		
4. Supplemental reserve		
5. Commissions, brokerage and other charges due or accrued to attorneys, agents and real estate brokers		
6. Other expenses (excluding taxes, licenses and fees)	16,691,271	17,509,984
7. Taxes, licenses and fees (excluding federal and foreign income taxes)	5,639,515	5,112,158
8.1 Current federal and foreign income taxes (including \$ 0 on realized capital gains (losses))	1,993,831	3,590,757
8.2 Net deferred tax liability		
9. Borrowed money \$ 0 and interest thereon \$ 0		
10. Dividends declared and unpaid		
11. Premiums and other consideration received in advance	673,035	806,201
12. Unearned interest and real estate income received in advance		
13. Funds held by company under reinsurance treaties		
14. Amounts withheld or retained by company for account of others		
15. Provision for unauthorized and certified reinsurance		
16. Net adjustment in assets and liabilities due to foreign exchange rates		
17. Drafts outstanding		
18. Payable to parent, subsidiaries and affiliates		
19. Derivatives		
20. Payable for securities	268,313	
21. Payable for securities lending		
22. Aggregate write-ins for other liabilities		
23. Total liabilities (Lines 1 through 22)	171,676,215	155,406,837
24. Aggregate write-ins for special surplus funds		
25. Common capital stock	2,025,000	2,025,000
26. Preferred capital stock		
27. Aggregate write-ins for other-than-special surplus funds		
28. Surplus notes		
29. Gross paid in and contributed surplus	33,359,167	33,359,167
30. Unassigned funds (surplus)	81,148,032	49,793,837
31. Less treasury stock, at cost:		
31.1 0 shares common (value included in Line 25 \$ 0)		
31.2 0 shares preferred (value included in Line 26 \$ 0)		
32. Surplus as regards policyholders (Lines 24 to 30 less 31)	116,532,199	85,178,004
33. Totals (Page 2, Line 28, Col. 3)	288,208,414	240,584,841

DETAILS OF WRITE-INS		
0301. ....		
0302. ....		
0303. ....		
0398. Summary of remaining write-ins for Line 03 from overflow page		
0399. Totals (Lines 0301 through 0303 plus 0398) (Line 03 above)		
2201. ....		
2202. ....		
2203. ....		
2298. Summary of remaining write-ins for Line 22 from overflow page		
2299. Totals (Lines 2201 through 2203 plus 2298) (Line 22 above)		
2401. ....		
2402. ....		
2403. ....		
2498. Summary of remaining write-ins for Line 24 from overflow page		
2499. Totals (Lines 2401 through 2403 plus 2498) (Line 24 above)		
2701. ....		
2702. ....		
2703. ....		
2798. Summary of remaining write-ins for Line 27 from overflow page		
2799. Totals (Lines 2701 through 2703 plus 2798) (Line 27 above)		

## OPERATIONS AND INVESTMENT EXHIBIT

STATEMENT OF INCOME	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>OPERATING INCOME</b>			
1. Title insurance and related income:			
1.1 Title insurance premiums earned	357,281,077	227,367,988	552,053,029
1.2 Escrow and settlement services	34,552,657	24,225,061	60,726,489
1.3 Other title fees and service charges	6,943,620	5,800,029	12,826,920
2. Aggregate write-ins for other operating income	354,786	329,646	501,509
3. Total Operating Income (Lines 1 through 2)	399,132,140	257,722,724	626,107,947
<b>EXPENSES:</b>			
4. Losses and loss adjustment expenses incurred	4,034,592	7,049,135	13,056,802
5. Operating expenses incurred	365,715,121	237,243,390	565,713,549
6. Aggregate write-ins for other operating expenses			
7. Total Operating Expenses	369,749,713	244,292,525	578,770,351
8. Net operating gain or (loss) (Lines 3 minus 7)	29,382,427	13,430,199	47,337,596
<b>INVESTMENT INCOME</b>			
9. Net investment income earned	7,647,680	2,883,335	12,141,613
10. Net realized capital gains (losses) less capital gains tax of \$ 6,661	25,060	29,416	71,611
11. Net investment gain (loss) (Lines 9 + 10)	7,672,740	2,912,751	12,213,224
<b>OTHER INCOME</b>			
12. Aggregate write-ins for miscellaneous income or (loss) or other deductions			
13. Net income, after capital gains tax and before all other federal income taxes (Lines 8 + 11 + 12)	37,055,167	16,342,950	59,550,820
14. Federal and foreign income taxes incurred	6,655,412	2,956,290	10,914,124
15. Net income (Lines 13 minus 14)	30,399,755	13,386,660	48,636,696
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
16. Surplus as regards policyholders, December 31 prior year	85,178,004	43,184,194	43,184,194
17. Net income (from Line 15)	30,399,755	13,386,660	48,636,696
18. Change in net unrealized capital gains or (losses) less capital gains tax of \$ 798	119,287	1,017,403	802,909
19. Change in net unrealized foreign exchange capital gain (loss)			
20. Change in net deferred income taxes	284,377	173,484	695,468
21. Change in nonadmitted assets	550,776	(873,284)	(341,263)
22. Change in provision for unauthorized and certified reinsurance			
23. Change in supplemental reserves			
24. Change in surplus notes			
25. Cumulative effect of changes in accounting principles			
26. Capital Changes:			
26.1 Paid in			
26.2 Transferred from surplus (Stock Dividend)			
26.3 Transferred to surplus			
27. Surplus Adjustments:			
27.1 Paid in			
27.2 Transferred to capital (Stock Dividend)			
27.3 Transferred from capital			
28. Dividends to stockholders			(7,800,000)
29. Change in treasury stock			
30. Aggregate write-ins for gains and losses in surplus			
31. Change in surplus as regards policyholders for the year (Lines 17 through 30)	31,354,195	13,704,263	41,993,810
32. Surplus as regards policyholders as of statement date (Lines 16 plus 31)	116,532,199	56,888,457	85,178,004

DETAILS OF WRITE-IN LINES			
0201. NON-WFG Policies	354,786	329,646	501,509
0202.			
0203.			
0298. Summary of remaining write-ins for Line 02 from overflow page			
0299. Totals (Lines 0201 through 0203 plus 0298) (Line 02 above)	354,786	329,646	501,509
0601.			
0602.			
0603.			
0698. Summary of remaining write-ins for Line 06 from overflow page			
0699. Totals (Lines 0601 through 0603 plus 0698) (Line 06 above)			
1201.			
1202.			
1203.			
1298. Summary of remaining write-ins for Line 12 from overflow page			
1299. Totals (Lines 1201 through 1203 plus 1298) (Line 12 above)			
3001.			
3002.			
3003.			
3098. Summary of remaining write-ins for Line 30 from overflow page			
3099. Totals (Lines 3001 through 3003 plus 3098) (Line 30 above)			

NONE

NONE

NONE

## CASH FLOW

	1	2	3
	Current Year To Date	Prior Year To Date	Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance	378,158,654	230,585,862	566,681,728
2. Net investment income	7,943,516	2,943,196	12,233,786
3. Miscellaneous income	41,851,063	30,354,736	74,054,918
4. Total (Lines 1 to 3)	427,953,233	263,883,794	652,970,432
5. Benefit and loss related payments	5,507,981	5,309,554	12,716,498
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts			
7. Commissions, expenses paid and aggregate write-ins for deductions	366,006,477	235,981,142	556,805,632
8. Dividends paid to policyholders			
9. Federal and foreign income taxes paid (recovered) net of \$ 0 tax on capital gains (losses)	8,259,000	(1)	8,600,000
10. Total (Lines 5 through 9)	379,773,458	241,290,695	578,122,130
11. Net cash from operations (Line 4 minus Line 10)	48,179,775	22,593,099	74,848,302
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds	2,955,272	6,035,766	9,319,271
12.2 Stocks			
12.3 Mortgage loans			
12.4 Real estate			
12.5 Other invested assets			
12.6 Net gains (or losses) on cash, cash equivalents and short-term investments			
12.7 Miscellaneous proceeds			
12.8 Total investment proceeds (Lines 12.1 to 12.7)	2,955,272	6,035,766	9,319,271
13. Cost of investments acquired (long-term only):			
13.1 Bonds	2,707,076	3,566,052	6,579,955
13.2 Stocks			
13.3 Mortgage loans			
13.4 Real estate			
13.5 Other invested assets			
13.6 Miscellaneous applications			
13.7 Total investments acquired (Lines 13.1 to 13.6)	2,707,076	3,566,052	6,579,955
14. Net increase (or decrease) in contract loans and premium notes			
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14)	248,196	2,469,714	2,739,316
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes			
16.2 Capital and paid in surplus, less treasury stock			
16.3 Borrowed funds			
16.4 Net deposits on deposit-type contracts and other insurance liabilities			
16.5 Dividends to stockholders			7,800,000
16.6 Other cash provided (applied)	(4,332,013)	(1,769,948)	(1,198,649)
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6)	(4,332,013)	(1,769,948)	(8,998,649)
<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)	44,095,958	23,292,865	68,588,969
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year	191,262,314	122,673,345	122,673,345
19.2 End of period (Line 18 plus Line 19.1)	235,358,272	145,966,210	191,262,314

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

20.0001			
20.0002			
20.0003			

## NOTES TO FINANCIAL STATEMENTS

### 1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

NAIC Accounting Practices and Procedures manual. There were no departures from net income or surplus calculations under South Carolina law. The timely preparation of financial statements in conformity with statutory accounting practices requires management to make estimates and assumptions that affect certain reported amounts. The accompanying financial statements have been prepared in accordance with the and disclosures. Actual results could differ from those estimates.

A reconciliation of the Company's net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the State of SC is shown below:

	<u>2021</u>	<u>2020</u>
	<u>YTD</u>	<u>Y/E12/31</u>
<b>NET INCOME</b>		
(1) WFG National Title Insurance Company state basis	\$30,399,755	\$48,636,696
(2) State Prescribed Practices that increase (decrease) NAIC SAP	\$0	\$0
(3) State Permitted Practices that increase (decrease) NAIC SAP	\$0	\$0
(4) NAIC SAP	\$30,399,755	\$48,636,696
<b>SURPLUS</b>		
(5) WFG National Title Insurance Company state basis	\$116,532,199	\$85,178,004
(6) State Prescribed Practices that increase (decrease) NAIC SAP	\$0	\$0
(7) State Permitted Practices that increase (decrease) NAIC SAP	\$0	\$0
(8) NAIC SAP	\$116,532,199	\$85,178,004

Loan –backed securities are stated at amortized cost using the pro-rata method. There were no securities with a negative yield.

### 2. ACCOUNTING CHANGES AND CORRECTIONS OF ERRORS

None

### 3. BUSINESS COMBINATIONS AND GOODWILL

None

### 4. DISCONTINUED OPERATIONS

None

### 5. INVESTMENTS

#### D. Loan-Backed Securities

- (1) Prepayment assumptions for mortgage-backed/loan backed and structured securities were obtained from broker-dealer survey values.
- (2) There is no OTTI recognized on any mortgage-backed/loan backed and structured securities during any quarter of 2021. (Aggregate)
- (3) There is no OTTI recognized on any mortgage-backed/loan backed and structured securities during any quarter of 2021. (Detail)
- (4) All impaired securities (fair value is less than cost or amortized cost) for which an OTTI has not been recognized in earnings as a realized loss:
  - a. The aggregate amount of unrealized losses

		<sup>(1)</sup>	
Less than 12 months	\$	34	
12 Months or Longer	\$	1,776	

- a. The aggregate related fair value of securities with unrealized losses:

	\$	9,664	
Less than 12 months	\$	214,520	
12 Months or Longer	\$	214,520	

**E** Repurchase Agreements and/or Securities Lending Transactions-None to report.

**I.** Working Capital Finance Investments-None to report

**J.** Offsetting and Netting of Assets and Liabilities-None to report

### 6. JOINT VENTURES, PARTNERSHIPS AND LIMITED LIABILITY COMPANIES

No changes

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## NOTES TO FINANCIAL STATEMENTS

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7. INVESTMENT INCOME

No income due and accrued has been excluded

8. DERIVATIVE INSTRUMENTS

None

9. INCOME TAXES

No changes

10. INFORMATION CONCERNING PARENT, SUBSIDIARIES, AND AFFILIATES

No changes

11. DEBT

None

12. RETIREMENT PLANS, DEFERRED COMPENSATION, AND OTHER POSTRETIREMENT BENEFITS

None

13. CAPITAL AND SURPLUS, DIVIDEND RESTRICTIONS AND QUASI-RE-ORGANIZATIONS

No changes

14. CONTINGENCIES

No changes

15. LEASES

No changes

16. INFORMATION ABOUT FINANCIAL INSTRUMENTS WITH OFF-BALANCE SHEET RISK AND FINANCIAL INSTRUMENTS WITH CONCENTRATION OF CREDIT RISK

None

17. SALE, TRANSFER AND SERVICING OF FINANCIAL ASSETS AND EXTINGUISHMENTS OF LIABILITIES

None

18. GAINS OR LOSSES TO THE REPORTING ENTITY FROM UNINSURED A&H PLANS AND THE UNINSURED PORTION OF PARTIALLY INSURED PLANS

N/A Title companies

19. DIRECT PREMIUM WRITTEN/PRODUCED BY MANAGING GENERAL AGENTS/THIRD PARTY ADMINISTRATORS

N/A Title companies

20. FAIR VALUE MEASUREMENT

All assets are reported at historical costs except bonds which are recorded at amortized cost.

21. OTHER ITEMS

None

22. EVENTS SUBSEQUENT

None

23. REINSURANCE

No changes

24. RETROSPECTIVELY RATED CONTRACTS & CONTRACTS SUBJECT TO RE-DETERMINATION

N/A Title companies

25. CHANGES IN INCURRED LOSSES AND LOSS ADJUSTMENT EXPENSES

None

26. INTER-COMPANY POOLING ARRANGEMENTS

N/A Title companies

27. STRUCTURED SETTLEMENTS

None

28. SUPPLEMENTAL RESERVE

None



# 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 [ X ]

2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes [ ] No [ X ]

2.2 If yes, date of change: \_\_\_\_\_

3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes [ X ] No [ ]

If yes, complete Schedule Y, Parts 1 and 1A.

3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes [ ] No [ X ]

3.3 If the response to 3.2 is yes, provide a brief description of those changes.  
 .....  
 .....  
 .....

3.4 Is the reporting entity publicly traded or a member of a publicly traded group? Yes [ ] No [ X ]

3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group. \_\_\_\_\_

4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? Yes [ ] No [ X ]

If yes, complete and file the merger history data file with the NAIC.

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

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

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

6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. \_\_\_\_\_ 12/31/2020

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. \_\_\_\_\_ 12/31/2015

6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). \_\_\_\_\_ 04/06/2017

6.4 By what department or departments?  
 SC DOI  
 .....  
 .....  
 .....

6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes [ ] No [ ] N/A [ X ]

6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [ X ] No [ ] N/A [ ]

7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [ ] No [ X ]

## GENERAL INTERROGATORIES

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
.....	.....	.....	.....	.....	.....
.....	.....	.....	.....	.....	.....

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?

- (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.

Yes [ X ] No [ ]

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: \$ 5,462,301

### 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 ]

## GENERAL INTERROGATORIES

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

.....  
 .....  
 .....

12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ \_\_\_\_\_

13. Amount of real estate and mortgages held in short-term investments: \$ \_\_\_\_\_

14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes  No

14.2 If yes, please complete the following:

	1	2
	Prior Year-End Book/Adjusted Carrying Value	Current Quarter Book/Adjusted Carrying Value
14.21 Bonds	\$ _____	\$ _____
14.22 Preferred Stock	\$ _____	\$ _____
14.23 Common Stock	\$ _____	\$ _____
14.24 Short-Term Investments	\$ _____	\$ _____
14.25 Mortgage Loans on Real Estate	\$ _____	\$ _____
14.26 All Other	\$ 11,276,373	\$ 11,392,659
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26)	\$ 11,276,373	\$ 11,392,659
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above	\$ _____	\$ _____

15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes  No

15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state?  
 If no, attach a description with this statement. Yes  No  N/A

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

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

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

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

1 Name of Custodian(s)	2 Custodian Address
Wells Fargo Institutional Retirement Trust	1300 SW Fifth Avenue, Portland, OR 97201
Union Bank Global Custody Services	350 California Street, 6th Floor, San Francisco, CA 94104
Bank of the West	13300 Crossroads Parkway North, City of Industry, CA 91746

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

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

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

## GENERAL INTERROGATORIES

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

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

17.5 Investment management - Identify all investment advisors, investment managers, broker/dealers, Including individuals that have the authority to make investments 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
BNY Mellon Wealth Management	U
Michael Thomas Gallaher, CFO	I

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

17.5098 For firms/individuals unaffiliated with the reporting entity (i.e., designated with a "U") listed in the table for Question 17.5, 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
105764	BNY Mellon Wealth Management	4EP6JBYBTPTQ47LZOB67	SEC	OS

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:

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

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

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

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

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

21. By assigning FE to a Schedule BA non-registered private fund, the reporting entity is certifying the following elements of each self-designated FE fund:

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

## GENERAL INTERROGATORIES

Has the reporting entity assigned FE to Schedule BA non-registered private funds that complied with the above criteria?

Yes [ ] No [X]

## GENERAL INTERROGATORIES

### PART 2 - TITLE

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

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

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

3.2 If yes, give full and complete information thereto:

.....  
 .....  
 .....

4.1 Are any of the liabilities for unpaid losses and loss adjustment expenses discounted to present value at a rate of interest greater than zero? Yes [ ] No [X]

4.2 If yes, complete the following schedule:

1 Line of Business	2 Maximum Interest	3 Discount Rate	Total Discount				Discount Taken During Period			
			4 Unpaid Losses	5 Unpaid LAE	6 IBNR	7 TOTAL	8 Unpaid Losses	9 Unpaid LAE	10 IBNR	11 TOTAL
.....	.....	.....	.....	.....	.....	.....	.....	.....	.....	.....
.....	.....	.....	.....	.....	.....	.....	.....	.....	.....	.....
.....	.....	.....	.....	.....	.....	.....	.....	.....	.....	.....
<b>Total</b>										

5.1 Reporting entity assets listed on Page 2 include the following segregated assets of the Statutory Premium Reserve or other similar statutory reserves:

5.11 Bonds .....	\$ 20,904,266
5.12 Short-term investments .....	\$
5.13 Mortgages .....	\$
5.14 Cash .....	\$ 117,152,071
5.15 Other admissible invested assets .....	\$
5.16 Total .....	\$ 138,056,337

5.2 List below segregated funds held for others by the reporting entity, set apart in special accounts and excluded from entity assets and liabilities.

(These funds are also included in Schedule E - Part 1 and the "From Separate Accounts, Segregated Accounts and Protected Cell Accounts" line on Page 2 except for escrow funds held by Title insurers)

5.21 Custodial funds not included in this statement were held pursuant to the governing agreements of custody in the amount of: .....	\$ 229,681,664
These funds consist of:	
5.22 In cash on deposit .....	\$ 229,681,664
5.23 Other forms of security .....	\$

## SCHEDULE F - CEDED REINSURANCE

Showing All New Reinsurers - Current Year to Date

1	2	3	4	5	6	7
NAIC Company Code	ID Number	Name of Reinsurer	Domiciliary Jurisdiction	Type of Reinsurer	Certified Reinsurer Rating (1 through 6)	Effective Date of Certified Reinsurer Rating
		Pools and Associations				
0	00000	BEAZLEY SYNDICATE 623/2623	UK	Authorized		
0	00000	XL CATLIN SYNDICATE 2003	UK	Authorized		
0	00000	RENAISSANCE RE SYNDICATE 1458	UK	Authorized		
0	00000	CHAUCER SYNDICATE 1084	UK	Authorized		
0	00000	BRIT SYNIDICATE 2987	UK	Authorized		
0	00000	SIRIUS INTERNATIONAL INSURANCE CORP	SW	Authorized		
0	00000	IRONSHORE INSURANCE LTD	BM	Authorized		
0	00000	HAMILTON RE LTD	BM	Authorized		
0	00000	FIDELIS INSURANCE BERMUDA LIMITED	BM	Authorized		
0	00000	FIDELIS UNDERWRITING LTD	BM	Authorized		

## SCHEDULE T - EXHIBIT OF PREMIUMS WRITTEN

### Current Year To Date - By States and Territories

States, Etc.	1	Direct Premiums Written		Direct Losses and Allocated Loss Adjustment Expenses Paid (Deducting Salvage)		Direct Known Claim Reserve		
		Active Status (a)	2	3	4	5	6	7
			Current Year to Date	Prior Year to Date	Current Year to Date	Prior Year to Date	Current Year to Date	Prior Year to Date
1. Alabama	AL	L	969,713	725,973	9,524	14,519	30,508	67,351
2. Alaska	AK	L						
3. Arizona	AZ	L	4,998,677	3,102,814	2,327	31,143	43,532	81,897
4. Arkansas	AR	L	410,197	278,508		4,361		6,561
5. California	CA	L	58,105,589	34,836,100	1,447,506	738,789	1,158,416	1,533,878
6. Colorado	CO	L	5,727,017	3,598,482	2,375		185,527	10,000
7. Connecticut	CT	L	451,164	73,329				
8. Delaware	DE	L	440,186	244,177			6,903	2,123
9. District of Columbia	DC	L	2,323,723	1,409,079	15,904	29,986	56,638	25,640
10. Florida	FL	L	51,421,361	27,504,930	299,543	532,159	953,499	1,610,214
11. Georgia	GA	L	3,272,142	3,056,306	127,289	282,688	680,045	279,979
12. Hawaii	HI	L						
13. Idaho	ID	L	357,128	173,037				
14. Illinois	IL	L	4,026,517	2,410,728	216,152	195,271	131,329	174,894
15. Indiana	IN	L	2,082,482	1,774,184	7,390	4,244	26,179	137,779
16. Iowa	IA	N	8,434	8,606				
17. Kansas	KS	L	646,718	355,028				
18. Kentucky	KY	L	2,396,140	1,479,792	(21,589)	30,241		44,759
19. Louisiana	LA	L	11,090,176	8,854,407	247,800	80,876	132,656	271,324
20. Maine	ME	L	1,358	1,910				
21. Maryland	MD	L	13,418,982	7,445,480	35,540	(2,809)	110,961	36,163
22. Massachusetts	MA	L	3,576,124	2,374,395	246,766	97,279	427,328	129,012
23. Michigan	MI	L	16,771,044	9,169,548	20,688	(25,496)	52,485	57,814
24. Minnesota	MN	L	1,654,572	935,877	27,946	289,865	38,734	90,736
25. Mississippi	MS	L	206,837	203,527	27,562	52,052	317,468	57,291
26. Missouri	MO	L	1,155,353	517,267	5,611	15,142	44,962	41,340
27. Montana	MT	L	170,711	76,156				
28. Nebraska	NE	L	438,363	179,471				
29. Nevada	NV	L	7,727,848	4,125,852	291,359	315,659	33,229	94,596
30. New Hampshire	NH	L	1,890,933	1,016,339	(1,539)	62,571	18,106	268,620
31. New Jersey	NJ	L	11,130,984	7,874,004	86,000	97,738	215,791	965,534
32. New Mexico	NM	L	2,532,410	2,222,224	7,729	11,815	8,677	9,662
33. New York	NY	L	13,384,733	7,349,852	145,935	146,440	499,586	483,250
34. North Carolina	NC	L	16,324,517	8,711,603	21,493	351,219	216,363	83,190
35. North Dakota	ND	L	300,332	161,356		14,000		100
36. Ohio	OH	L	6,987,938	5,811,113	18,497	(22,904)	15,066	28,949
37. Oklahoma	OK	L	2,086,702	1,239,604		6,858	80,080	51,480
38. Oregon	OR	L	19,155,537	16,493,696	143,416	118,162	142,623	14,017
39. Pennsylvania	PA	L	10,193,658	7,048,594	272,900	55,147	277,944	331,318
40. Rhode Island	RI	L	457,309	251,636	29,405	4,908	14,226	9,702
41. South Carolina	SC	L	8,370,778	6,129,280	126,134	140,764	373,808	413,157
42. South Dakota	SD	L	3,820					
43. Tennessee	TN	L	1,380,724	994,643	413	5,723	7,727	45,277
44. Texas	TX	L	53,003,063	35,929,379	1,466,651	1,424,736	950,204	3,048,806
45. Utah	UT	L	1,285,986	863,156	27,296		583,715	310,000
46. Vermont	VT	L						
47. Virginia	VA	L	9,356,162	4,158,219	52,151	39,246	54,010	169,398
48. Washington	WA	L	24,290,061	11,193,899	74,753	94,941	434,507	202,318
49. West Virginia	WV	L	276,852	223,268	9,804	16,913	3,244	32,137
50. Wisconsin	WI	L	891,099	686,936	468	41,685	27,837	6,315
51. Wyoming	WY	L						
52. American Samoa	AS	N						
53. Guam	GU	N						
54. Puerto Rico	PR	N						
55. U.S. Virgin Islands	VI	N						
56. Northern Mariana Islands	MP	N						
57. Canada	CAN	N						
58. Aggregate Other Alien	OT	X X X						
59. Totals		X X X	377,152,154	233,273,764	5,491,199	5,295,931	8,353,913	11,226,581

DETAILS OF WRITE-INS							
58001.		X X X					
58002.		X X X					
58003.		X X X					
58998.	Summary of remaining write-ins for Line 58 from overflow page						
58999.	Totals (Lines 58001 through 58003 plus 58998) (Line 58 above)	X X X					

NONE

(a) Active Status Counts:

L – Licensed or Chartered - Licensed insurance carrier or domiciled RRG	50
E – Eligible - Reporting entities eligible or approved to write surplus lines in the state	_____
R - Registered - Non-domiciled RRGs	_____
Q - Qualified - Qualified or accredited reinsurer	_____
N – None of the above - Not allowed to write business in the state	7



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

### PART 1 - ORGANIZATIONAL CHART

Names of Parent, Subsidiaries or Affiliates	Domiciliary Location	NAIC Company Code	ID Number	Directly Controlled By	Ownership Percentage
David Dominik (sole member of GGCOF Management, LLC)					
GGCOF Management, LLC	DE		46-4477754	David Dominik	100
Golden Gate Private Equity, Inc.	DE		94-3361271	GGCOF Management, LLC	100
GGC Fund III	CYM				100
Nassau NAMCO Blocker LLC	CYM			Golden Gate Capital Opportunity Fund-A, L.P	Contract
Nassau NAMCO Splitter, L.P.	CYM			GGC Opportunity Fund Management, L.P.	Contract
Nassau Saybrus Blocker LLC	CYM			Golden Gate Capital Opportunity Fund-A, L.P	Contract
Nassau Saybrus Splitter, L.P.	CYM			GGC Opportunity Fund Management, L.P.	Contract
GGCOF Nassau Investments, L.P.	CYM		98-1472055	Golden Gate Capital Opportunity Fund, L.P.	Contract
GGCOF Executive Co-Invest, L.P.	CYM			Individuals	Contract
GGCOF Executive Co-Invest Holdings, Ltd.	CYM			Individuals	Contract
NRH, L.P.	CYM		98-1250709	GGCOF Executive Co-Invest Holdings, Ltd.	Contract
Nassau UK Ltd.	GBR		98-1269725	NRH, L.P.	100
Nassau Cayman Ltd.	CYM		N/A	Nassau UK Ltd.	100
Nassau Re (Cayman) Ltd.	CYM		N/A	NRH, L.P.	100
Nassau TRF SPV Ltd.	CYM		N/A	Nassau Re (Cayman) Ltd.	100
Nassau Financial Group GP Ltd.	CYM		98-1421610	Individuals	Contract
Nassau Financial Group, L.P.	CYM		98-1421752	Nassau Financial Group GP Ltd.	Contract
Nassau Asset Management LLC	DE		81-0773412	Nassau Financial Group, L.P.	100
Nassau CorAmerica LLC	DE		26-4145792	Nassau Asset Management LLC	100
Nassau CorAmerica Loan Company LLC	DE		26-4145792	Nassau CorAmerica LLC	100
Nassau CorAmerica Advisors LLC	DE		46-3781541	Nassau CorAmerica LLC	100
Nassau Corporate Credit LLC	DE		35-2586068	Nassau Asset Management LLC	100
NCC CLO Manager LLC	DE		N/A	Nassau Corporate Credit LLC	100
NCC Management LLC	DE		82-4813430	Nassau Corporate Credit LLC	100
Nassau Private Credit LLC	DE		83-2636471	Nassau Corporate Credit LLC	100
Nassau Private Credit GP LLC	DE		83-2654128	Nassau Corporate Credit LLC	100
Nassau Private Credit Onshore Fund LP	DE		83-2670988	Nassau Private Credit GP LLC	Contract

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

### PART 1 - ORGANIZATIONAL CHART

Nassau Private Credit Master Fund LP	CYM		N/A	Nassau Private Credit GP LLC	Contract
Nassau Private Credit Offshore Fund LP	CYM		98-1476251	Nassau Private Credit GP LLC	Contract
NPC SGP LLC	DE		84-2253380	Nassau Corporate Credit LLC	100
Nassau NCC Blocker (UK) Ltd.	CYM			Nassau Corporate Credit LLC	100
NCC Management (UK) Ltd.	GBR			Nassau Corporate Credit LLC	100
Nassau Corporate Credit (UK) LLP	GBR			Nassau NCC Blocker (UK) Ltd.	99
Nassau Alternative Investments LLC	DE		83-2559102	Nassau Asset Management LLC	100
NAMCO Services LLC	DE		84-3366256	Nassau Asset Management LLC	100
NSRE Saybrus Holdings, LLC	DE		81-3180396	Nassau Financial Group, L.P.	100
Saybrus Partners, LLC	DE		27-0671327	NSRE Saybrus Holdings, LLC	86.2
Dedicated Distribution Partners, LLC	DE		83-3163443	Saybrus Partners, LLC	100
Saybrus Management Holding Company Inc.	DE		37-1872368	Management; NSRE Saybrus Holdings, LLC	Contract
Saybrus Holdings, LLC	DE		27-1629423	Saybrus Partners, LLC	100
Saybrus Equity Services, LLC	DE		27-1869321	Saybrus Holdings, LLC	100
Nassau Insurance Group Holdings GP, LLC	DE		47-5299012	Nassau Financial Group GP Ltd.	Contract
Nassau Insurance Group Holdings, L.P.	DE		38-3981572	Nassau Insurance Group Holdings GP, LLC	Contract
Nassau Re/Imagine LLC	DE			Nassau Insurance Group Holdings, L.P.	100
The Nassau Companies	DE		47-5128985	Nassau Insurance Group Holdings, L.P.	100
Nassau Life and Annuity Company	CT	93734	43-1240953	The Nassau Companies	100
Lynbrook Re, Inc.	VT	16585	83-4356685	Nassau Life and Annuity Company	100
Nassau Life Insurance Company of Kansas	KS	68284	48-0557726	Nassau Life and Annuity Company	100
Sunrise Re, Inc.	VT		84-3945103	The Nassau Companies	100
The Nassau Companies of New York	DE		06-1599088	The Nassau Companies	100
Nassau CLO SPV-I LLC	DE		82-3502154	The Nassau Companies of New York	56
Nassau CLO SPV-II LLC	DE		83-1785900	The Nassau Companies of New York	54.34
Nassau Employee Co-Invest Fund I LLC	DE		84-3684885	The Nassau Companies of New York	51.26
Nassau Life Insurance Company	NY	67814	06-0493340	The Nassau Companies of New York	100
PM Holdings, Inc.	CT		06-1065485	Nassau Life Insurance Company	100
Phoenix Founders, Inc.	CT		06-0860167	PM Holdings, Inc.	100
Nassau 2019 CFO LLC	DE		84-2346847	Nassau Life Insurance Company	76.73
Nassau 2019 CFO Fund LLC	DE		83-2511417	Nassau 2019 CFO LLC	100
Foresters Financial Holding Company, Inc.	DE		13-2608329	Nassau Life Insurance Company	100

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

### PART 1 - ORGANIZATIONAL CHART

PHL Delaware LLC	DE			Nassau Insurance Group Holdings, L.P.	100
DSM Sands LLC	DE		N/A	PHL Delaware LLC	100
PHL Variable Insurance Company	CT	93548	06-1045829	PHL Delaware LLC	100
Concord Re, Inc	CT		84-3620646	PHL Variable Insurance Company	100
Westgate Delaware LLC.	DE			PHL Delaware LLC	100
Magni Re Ltd.	CYM			Westgate Delaware LLC	100
Nassau Reinsurance LLC	DE		47-3724102	Nassau Insurance Group Holdings, L.P.	100
NSRE BD Holdco LLC	DE		83-2726475	Nassau Reinsurance LLC	100
1851 Securities, Inc.	DE		27-1619945	NSRE BD Holdco LLC	100
Nassau Cayman Brac Holding Company	DE		83-1443085	Nassau Insurance Group Holdings, L.P.	100
GGC Opportunity Fund Management GP, Ltd.	CYM			GGC Opportunity Fund Management GP, Ltd.	Board
GGC Opportunity Fund Management, L.P.	CYM		98-0546997	GGC Opportunity Fund Management GP, Ltd.	Contract
GGC Opportunity Fund Entities	CYM			GGC Opportunity Fund Management, L.P.	Contract
Financial American Holdings Corporation	DE		27-2822251	GGC Opportunity Fund Entities	87.6
Williston Holdings LLC	DE		27-1434376	GGC Opportunity Fund Entities	96.0
Williston Financial Group LLC	DE		27-1434397	Williston Holdings LLC	100
Valustrust Solutions, LLC	KS		27-3972891	Williston Financial Group LLC	100
WFG Lender Services, LLC	MN		20-5836762	Williston Financial Group LLC	100
WFG Lender Services, LLC	AL		80-0936767	WFG Lender Services, LLC	100
WFG Lender Services, LLC	AR		80-0766075	WFG Lender Services, LLC	100
WFG Lender Services, LLC	TX		26-4627021	WFG Lender Services, LLC	100
WFGLS Title Agency of Utah, LLC	UT		20-8801713	WFG Lender Services, LLC	100
WFG Lender Services of Louisiana, LLC	LA		86-3788188	WFG Lender Services, LLC	100
WFG National Title Company of Texas, LLC	TX		27-0890944	Williston Financial Group LLC	100
Universal Title Partners, LLC	TX		27-1273851	WFG National Title Company of Texas, LLC	51.0
Universal Title Partners, LLC	TX		27-1273851	Newmark Homes Houston, LLC	49.0
WFG National Title Insurance Company	SC	51152	57-0575396	Williston Financial Group LLC	100
WFG National Title Company of Washington, LLC	WA		26-0522240	WFG National Title Insurance Company	100
Homer Recording District Joint Title Plant Company LLC	AK		47-2160319	Kachemak Bay Title Agency, Inc.	90.0
Homer Recording District Joint Title Plant Company LLC	AK		47-2160319	WFG National Title Insurance Company	10.0
Williston Enterprise Solutions & Technology, LLC	DE		45-2654474	Williston Financial Group LLC	100
ITC Holdings, Inc.	CA		80-0268853	Williston Financial Group LLC	100

**SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**

**PART 1 - ORGANIZATIONAL CHART**

WFG National Title Company of California	CA		95-3621359	ITC Holdings, Inc.	100
Alliance Title Agency, LLC	AZ		85-1213894	ITC Holdings, Inc.	40%
WFG National Title Company of Clark County WA, LLC	WA		38-4008723	Williston Financial Group LLC	100
19 <sup>th</sup> Street Palm Harbor LLC	DE		32-0642679	Williston Financial Group LLC	100

# SCHEDULE Y

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity / Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Required? (Y/N)	*
4736	GGC Group	0	06-1599088		1129033		The Nassau Companies of New York	DE	UDP	The Nassau Companies	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					DSM Sands LLC	DE	NIA	PHL Delaware LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	82-3502154				Nassau CLO SPV-I LLC	DE	NIA	The Nassau Companies of New York	Ownership	56.000	David Dominik	N	
4736	GGC Group	67814	06-0493340		1159567		Nassau Life Insurance Company	NY	RE	The Nassau Companies of New York	Ownership	100.000	David Dominik & GGCOF Managem	N	
4736	GGC Group	0	06-1065485				PM Holdings, Inc.	CT	DS	Nassau Life Insurance Company	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	27-1619945		1482939		1851 Securities, Inc.	DE	DS	NSRE BD Holdco LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	06-0860167				Phoenix Founders, Inc.	CT	DS	PM Holdings, Inc.	Ownership	100.000	David Dominik	N	
4736	GGC Group	93548	06-1045829		1031223		PHL Variable Insurance Company	CT	IA	PHL Delaware LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	93734	43-1240953		13118221		Nassau Life and Annuity Company	CT	IA	The Nassau Companies	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					GGC Opportunity Fund Management GP, Ltd.	CYM	UIP	GGC Opportunity Fund Management GP, Ltd.	Board of Directors			N	
4736	GGC Group	0	98-0546997				GGC Opportunity Fund Management, L.P.	CYM	UIP	GGC Opportunity Fund Management, GP, Ltd.	Contract		GGC Opportunity Fund Managemen	N	
4736	GGC Group	0					GGC Opportunity Fund Entities	CYM	UIP	GGC Opportunity Fund Management, L.P.	Contract		GGC Opportunity Fund Managemen	N	
12 4736	GGC Group	0	27-2822251				Financial American Holdings Corporation	DE	NIA	GGC Opportunity Fund Entities	Ownership	87.600	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	27-1434376				Williston Holdings LLC	DE	NIA	GGC Opportunity Fund Entities	Ownership	96.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	27-1434397				Williston Financial Group LLC	DE	NIA	Williston Holdings LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	27-3972891				Valustrust Solutions, LLC	KS	NIA	Williston Financial Group LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	20-5836762				WFG Lender Services, LLC	MN	NIA	Williston Financial Group LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	80-0936767				WFG Lender Services, LLC	AL	NIA	WFG Lender Services, LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	80-0766075				WFG Lender Services, LLC	AR	NIA	WFG Lender Services, LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	26-4627021				WFG Lender Services, LLC	TX	NIA	WFG Lender Services, LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	20-8801713				WFG National Title Agency of Utah, LLC	UT	NIA	WFG Lender Services, LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	27-0890944				WFG National Title Company of Texas, LLC	TX	NIA	Williston Financial Group LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	27-1273851				Universal Title Partners, LLC	TX	NIA	WFG National Title Company of Texas, LLC	Ownership	51.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	27-1273851				Universal Title Partners, LLC	TX	NIA	Newmark Homes Houston, LLC	Ownership	49.000	Unknown (not affiliated with the GG	N	
4736	GGC Group	51152	57-0575396				WFG National Title Insurance Company	SC	IA	Williston Financial Group LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	26-0522240				WFG National Title Company of Washington, LLC	WA	NIA	WFG National Title Insurance Company	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	47-2160319				Homer Recording District Joint Title Plant Company LLC	AK	NIA	WFG National Title Insurance Company	Ownership	10.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	47-2160319				Homer Recording District Joint Title Plant Company LLC	AK	NIA	Kachemak Bay Title Agency, Inc.	Ownership	90.000	Unknown (not affiliated with the GG	N	
4736	GGC Group	0	45-2654474				Williston Enterprise Solutions & Technology, LLC	DE	NIA	Williston Financial Group LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	80-0268853				ITC Holdings, Inc.	CA	NIA	Williston Financial Group LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	95-3621359				WFG National Title Company of California	CA	NIA	ITC Holdings, Inc.	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	38-4008723				WFG National Title Company of Clark County WA, LLC	WA	NIA	Williston Financial Group LLC	Ownership	100.000	GGC Opportunity Fund Managemen	N	
4736	GGC Group	0	46-4477754				GGCOF Management, LLC	DE	NIA	David Dominik	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	94-3361271				Golden Gate Private Equity, Inc.	DE	NIA	GGCOF Management, LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	N/A				GGC Fund III	CYM	NIA		Ownership	100.000		N	
4736	GGC Group	0	98-1250709				NRH, L.P.	CYM	NIA	GGCOF Executive Co-Invest Holdings, Ltd.	Contract			N	
4736	GGC Group	0	98-1269725				Nassau UK Ltd.	GBR	NIA	NRH, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	N/A				Nassau Cayman Ltd.	CYM	NIA	Nassau UK Ltd.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	N/A				Nassau Re (Cayman) Ltd.	CYM	NIA	NRH, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	N/A				Magni Re Ltd.	CYM	NIA	NRH, L.P.	Contract		David Dominik	N	
4736	GGC Group	0	47-5299012				Nassau Insurance Group Holdings GP, LLC	DE	NIA	Nassau Financial Group, GP Ltd.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	38-3981572				Nassau Insurance Group Holdings, L.P.	DE	UIP	Nassau Insurance Group Holdings GP, LLC	Contract		David Dominik	N	
4736	GGC Group	0	47-5128985				The Nassau Companies	DE	NIA	Nassau Insurance Group Holdings, L.P.	Ownership	100.000	David Dominik	N	

# SCHEDULE Y

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity / Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Required? (Y/N)	*
4736	GGC Group	68284	48-0557726				Nassau Life Insurance Company of Kansas	KS	IA	Nassau Life and Annuity Company	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	81-3180396				NSRE Saybrus Holdings, LLC	DE	NIA	Nassau Financial Group, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	27-0671327				Saybrus Partners, LLC	DE	NIA	NSRE Saybrus Holdings, LLC	Ownership	86.200	David Dominik	N	
4736	GGC Group	0	37-1872368				Saybrus Management Holding Company Inc.	DE	NIA	Management, NSRE Saybrus Holdings, LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	27-1629423				Saybrus Holdings, LLC	DE	NIA	Saybrus Partners, LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	27-1869321				Saybrus Equity Services, LLC	DE	NIA	Saybrus Holdings, LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	47-3724102				Nassau Reinsurance LLC	DE	NIA	Nassau Insurance Group Holdings, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	83-2726475				NSRE BD Holdco LLC	DE	NIA	Nassau Reinsurance LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	81-0773412				Nassau Asset Management LLC	DE	NIA	Nassau Financial Group, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	26-4145792				Nassau CorAmerica LLC	DE	NIA	Nassau Asset Management LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	26-4145792				Nassau CorAmerica Loan Company LLC	DE	NIA	Nassau CorAmerica LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	46-3781541				Nassau CorAmerica Advisors LLC	DE	NIA	Nassau CorAmerica LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	35-2586068				Nassau Corporate Credit LLC	DE	NIA	Nassau Asset Management LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	N/A				NCC CLO Manager LLC	DE	NIA	Nassau Corporate Credit LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	82-4813430				NCC Management LLC	DE	NIA	Nassau Corporate Credit LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	83-1443085				Nassau Cayman Brac Holding Company	DE	NIA	Nassau Insurance Group Holdings, LP	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					Nassau TRF SPV Ltd.	CYM	NIA	Nassau Re (Cayman) Ltd	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					Nassau NAMCO Blocker LLC	CYM	NIA	Golden Gate Capital Opportunity Fund-A, L.P	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					Nassau NAMCO Splitter, L.P.	CYM	NIA	GGC Opportunity Fund Management, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					Nassau Saybrus Blocker LLC	CYM	NIA	Golden Gate Capital Opportunity Fund-A, L.P	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					Nassau Saybrus Splitter, L.P.	CYM	NIA	GGC Opportunity Fund Management, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	98-1421610				Nassau Financial Group GP Ltd.	CYM	NIA	Individuals	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	98-1421752				Nassau Financial Group, L.P.	CYM	NIA	Nassau Financial Group GP Ltd.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0					PHL Delaware LLC	DE	NIA	Nassau Insurance Group Holdings, L.P.	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	83-2559102				Nassau Alternative Investments LLC	DE	NIA	Nassau Asset Management LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	83-2636471				Nassau Private Credit LLC	DE	NIA	Nassau Corporate Credit LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	83-2654128				Nassau Private Credit GP LLC	DE	NIA	Nassau Corporate Credit LLC	Ownership	100.000	David Dominik	N	
4736	GGC Group	0	83-2670988				Nassau Private Credit Onshore Fund LP	DE	NIA	Nassau Private Credit GP LLC	Contract		David Dominik	N	
4736	GGC Group	0	N/A				Nassau Private Credit Master Fund LP	CYM	NIA	Nassau Private Credit GP LLC	Contract		David Dominik	N	
4736	GGC Group	0	98-1476251				Nassau Private Credit Offshore Fund LP	CYM	NIA	Nassau Private Credit GP LLC	Contract		David Dominik	N	
4736	GGC Group	0	83-1785900				Nassau CLO SPV-II LLC	DE	NIA	The Nassau Companies of New York	Ownership	54.340	David Dominik	N	
4736	GGC Group	0	84-2346847				Nassau 2019 CFO LLC	DE	NIA	Nassau Life Insurance Company	Ownership	76.730	David Dominik	N	
4376	GGC Group	0	84-2253380				NPC SGP LLC	DE	NIA	Nassau Corporate Credit LLC	Contract		David Dominik	N	
4376	GGC Group	16585	83-4356685				Lynbrook Re, Inc.	VT	IA	Nassau Life and Annuity Company	Ownership	100.000	David Dominik	N	
4376	GGC Group	0	84-3366256				NAMCO Services LLC	DE	NIA	Nassau Asset Management LLC	Ownership	100.000	David Dominik	N	
4376	GGC Group	0	83-2511417				Nassau 2019 CFO Fund LLC	DE	NIA	Nassau 2019 CFO LLC	Ownership	100.000	David Dominik	N	
4376	GGC Group	0					Westgate Delaware LLC	DE	NIA	PHL Delaware LLC	Ownership	100.000	David Dominik	N	
4376	GGC Group	0	83-3163443				Dedicated Distribution Partners, LLC	DE	NIA	Saybrus Partners, LLC	Contract		David Dominik	N	
4376	GGC Group	0	84-3945103				Sunrise Re, Inc.	VT	IA	The Nassau Companies	Ownership	100.000	David Dominik	N	
4376	GGC Group	0	84-3620646				Concord Re, Inc.	CT	IA	PHL Variable Insurance Company	Ownership	100.000	David Dominik	N	
4376	GGC Group	0	84-3684885				Nassau Employee Co-Invest Fund I LLC	DE	NIA	The Nassau Companies of New York	Ownership	510.260	David Dominik	N	
4376	GGC Group	0	98-1472055				GGCOF Nassau Investments, L.P.	CYM	NIA	Golden Gate Capital Opportunity Fund, L.P.	Contract		David Dominik	N	
4376	GGC Group	0	85-1213894				Alliance Title Agency, LLC	AZ	NIA	ITC Holdings, Inc.	Ownership	40.000	David Dominik	N	

## SCHEDULE Y

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity / Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Required? (Y/N)	*
4376	GGC Group	0					Nassau NCC Blocker (UK) Ltd.	CYM	NIA	Nassau Corporate Credit LLC	Ownership	100.000	David Dominik	N	
4376	GGC Group	0					NCC Management (UK) Ltd.	GBR	NIA	Nassau Corporate Credit LLC	Ownership	100.000	David Dominik	N	
4376	GGC Group	0					Nassau Corporate Credit (UK) LLP	GBR	NIA	Nassau NCC Blocker (UK) Ltd.	Ownership	99.000	David Dominik	N	
4376	GGC Group	0					Nassau Re/Imagine LLC	DE	NIA	Nassau Insurance Group Holdings, L.P.	Ownership	100.000	David Dominik	N	
4376	GGC Group	0	13-2608329				Foresters Financial Holding Company	DE	NIA	Nassau Life Insurance Company	Ownership	100.000	David Dominik	N	
4376	GGC Group	0					19th Street Palm Harbor LLC	DE	NIA	Williston Financial Group LLC	Ownership	100.000	David Dominik	N	
4376	GGC Group	0	86-3788188				WFG Lender Services of Louisiana, LLC	LA	NIA	WFG Lender Services, LLC	Ownership	100.000	David Dominik	N	

Asterik	Explanation
	<b>NONE</b>

**PART 1 – LOSS EXPERIENCE**

	Current Year to Date				5 Prior Year to Date Direct Loss Percentage
	1 Direct Premiums Written	2 Other Income (Page 4, Lines 1.2 + 1.3 + 2)	3 Direct Losses Incurred	4 Direct Loss Percentage Cols. 3 / (1 + 2)	
1. Direct operations	46,752,470	33,403,279	640,531	0.80	1.00
2. Agency operations:					
2.1 Non-affiliated agency operations	248,871,338	8,077,726	1,945,120	0.80	3.00
2.2 Affiliated agency operations	81,528,346	370,058	1,448,939	1.80	3.40
3. Totals	377,152,154	41,851,063	4,034,590	1.00	2.70

**PART 2 – DIRECT PREMIUMS WRITTEN**

	1 Current Quarter	2 Current Year to Date	3 Prior Year Year to Date
1. Direct operations	22,115,922	46,752,470	33,645,145
2. Agency operations:			
2.1 Non-affiliated agency operations	131,577,767	248,871,338	156,791,607
2.2 Affiliated agency operations	43,768,645	81,528,346	42,837,012
3. Totals	197,462,334	377,152,154	233,273,764



**OVERFLOW PAGE FOR WRITE-INS**

**Page 2 - Continuation**

**ASSETS**

	Current Year			Prior Year
	1	2	3	4
		Nonadmitted	Net Admitted	Net Admitted
	Assets	Assets	Assets	Assets
			(Cols. 1 - 2)	
<b>REMAINING WRITE-INS AGGREGATED AT LINE 25 FOR OTHER THAN INVESTED ASSETS</b>				
2504. Miscellaneous AR	32,014		32,014	12,228
2597. Totals (Lines 2501 through 2596) (Page 2, Line 2598)	32,014		32,014	12,228

**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	10,793	10,793
2. Cost of acquired:		
2.1 Actual cost at time of acquisition		
2.2 Additional investment made after acquisition		
3. Capitalized deferred interest and other		
4. Accrual of discount		
5. Unrealized valuation increase (decrease)		
6. Total gain (loss) on disposals		
7. Deduct amounts received on disposals		
8. Deduct amortization of premium and mortgage interest points and commitment fees		
9. Total foreign exchange change in book value/recorded investment excluding accrued interest		
10. Deduct current year's other-than-temporary impairment recognized		
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1 + 2 + 3 + 4 + 5 + 6 - 7 - 8 + 9 - 10)	10,793	10,793
12. Total valuation allowance		
13. Subtotal (Line 11 plus Line 12)	10,793	10,793
14. Deduct total nonadmitted amounts	10,793	10,793
15. Statement value at end of current period (Line 13 minus Line 14)		

**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	11,276,374	10,473,369
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	45,071	90,149
5. Unrealized valuation increase (decrease)	151,631	873,690
6. Total gain (loss) on disposals		
7. Deduct amounts received on disposals		
8. Deduct amortization of premium and depreciation	80,417	160,834
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)	11,392,659	11,276,374
12. Deduct total nonadmitted amounts		
13. Statement value at end of current period (Line 11 minus Line 12)	11,392,659	11,276,374

**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	22,247,583	24,969,798
2. Cost of bonds and stocks acquired	2,707,076	6,579,954
3. Accrual of discount	8,713	18,749
4. Unrealized valuation increase (decrease)	8,357	(4,914)
5. Total gain (loss) on disposals	31,721	75,777
6. Deduct consideration for bonds and stocks disposed of	2,988,331	9,319,272
7. Deduct amortization of premium	39,108	76,910
8. Total foreign exchange change in book/adjusted carrying value		
9. Deduct current year's other-than-temporary impairment recognized		
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees	6,726	4,401
11. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9 + 10)	21,982,737	22,247,583
12. Deduct total nonadmitted amounts		
13. Statement value at end of current period (Line 11 minus Line 12)	21,982,737	22,247,583

## 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

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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)	18,773,283	565,456	1,928,087	98,051	18,773,283	17,508,703		18,814,625
2. NAIC 2 (a)	3,166,360	375,413	39,763	(263,037)	3,166,360	3,238,973		3,283,077
3. NAIC 3 (a)				155,056		155,056		
4. NAIC 4 (a)								
5. NAIC 5 (a)								
6. NAIC 6 (a)								
7. Total Bonds	21,939,643	940,869	1,967,850	(9,930)	21,939,643	20,902,732		22,097,702
<b>PREFERRED STOCK</b>								
8. NAIC 1	143,640			5,347	143,640	148,987		149,880
9. NAIC 2								
10. NAIC 3								
11. NAIC 4								
12. NAIC 5								
13. NAIC 6								
14. Total Preferred Stock	143,640			5,347	143,640	148,987		149,880
15. Total Bonds & Preferred Stock	22,083,283	940,869	1,967,850	(4,583)	22,083,283	21,051,719		22,247,582

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

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

- NONE    Schedule DA - Part 1 and Verification**
- NONE    Schedule DB - Part A and B Verification**
- NONE    Schedule DB - Part C - Section 1**
- NONE    Schedule DB - Part C - Section 2**
- NONE    Schedule DB - Verification**

**SCHEDULE E PART 2 - VERIFICATION**

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year	12,071,337	10,178,639
2. Cost of cash equivalents acquired	3,082,461	7,807,217
3. Accrual of discount		
4. Unrealized valuation increase (decrease)		
5. Total gain (loss) on disposals		
6. Deduct consideration received on disposals	2,297,586	5,914,519
7. Deduct amortization of premium		
8. Total foreign exchange change in book/adjusted carrying value		
9. Deduct current year's other-than-temporary impairment recognized		
10. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9)	12,856,212	12,071,337
11. Deduct total nonadmitted amounts		
12. Statement value at end of current period (Line 10 minus Line 11)	12,856,212	12,071,337

**NONE Schedule A - Part 2 and 3**

**NONE Schedule B - Part 2 and 3**

**NONE Schedule BA - Part 2 and 3**

### SCHEDULE D - PART 3

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

1 CUSIP Ident- ification	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 Administrative Symbol
912828-2D-1	UNITED STATES TREASURY		05/18/2021	SALOMON BROTHERS INC		35,942	35,000.00	105	1.A
912828-ZC-7	UNITED STATES TREASURY		05/14/2021	RBS SECURITIES INC		56,235	55,000.00	131	1.A
91282C-BN-0	UNITED STATES TREASURY		05/10/2021	JP MORGAN SECURITIES LIMITED		59,986	60,000.00	15	1.A
0599999	Subtotal - Bonds - U. S. Government				X X X	152,163	150,000.00	251	X X X
3130AL-ZS-6	FEDERAL HOME LOAN BANKS		04/13/2021	FIRST TENNESSEE BANK BOND DIVI		80,000	80,000.00		1.A
64990F-D7-6	NEW YORK STATE DORMITORY AUTHORITY		06/16/2021	Jefferies		50,000	50,000.00		1.B FE
3199999	Subtotal - Bonds - U.S. Special Revenue and Special Assessment and all Non-Guaranteed Obligations				X X X	130,000	130,000.00		X X X
00287Y-AX-7	ABBVIE INC		06/30/2021	JP MORGAN SECURITIES LIMITED		10,411	10,000.00	38	2.B FE
023135-BQ-8	AMAZON.COM INC		06/30/2021	GOLDMAN		15,047	15,000.00	10	1.D FE
02666T-AC-1	AMERICAN HOMES 4 RENT LP		06/30/2021	MERRILL LYNCH FIXED INCOME		19,703	20,000.00		2.C FE
031162-CT-5	AMGEN INC		06/30/2021	DEUTSCHE BANK ALEX BROWN		10,398	10,000.00	80	2.A FE
036752-AJ-2	ANTHEM INC		05/05/2021	MERRILL LYNCH PROF CLRING CORP		52,514	50,000.00	369	2.B FE
04636N-AA-1	ASTRAZENECA FINANCE LLC		05/26/2021	JP MORGAN SECURITIES LIMITED		40,040	40,000.00		2.A FE
00206R-KG-6	AT&T INC		06/30/2021	BARCLAYS CAPITAL INC FIXED INC		24,862	25,000.00	173	2.B FE
11135F-BC-4	BROADCOM INC		06/30/2021	JP MORGAN SECURITIES LIMITED		16,899	15,000.00	151	2.C FE
14913R-2K-2	CATERPILLAR FINANCIAL SERVICES CORP		06/30/2021	Morgan Stanley		14,980	15,000.00	45	1.F FE
22160K-AP-0	COSTCO WHOLESALE CORP		06/30/2021	JP MORGAN SECURITIES LIMITED		14,822	15,000.00	48	1.E FE
126650-DM-9	CVS HEALTH CORP		06/30/2021	DEUTSCHE BANK ALEX BROWN		9,831	10,000.00	47	2.B FE
25470D-AL-3	DISCOVERY COMMUNICATIONS LLC		06/30/2021	MERRILL LYNCH FIXED INCOME		11,446	10,000.00	151	2.C FE
26078J-AB-6	DUPONT DE NEMOURS INC		06/30/2021	MERRILL LYNCH FIXED INCOME		16,247	15,000.00	82	2.A FE
278642-AV-5	EBAY INC		06/30/2021	Various		25,872	25,000.00	102	2.A FE
337738-AU-2	FISERV INC		06/30/2021	BARCLAYS CAPITAL INC FIXED INC		22,059	20,000.00	2	2.B FE
369550-BN-7	GENERAL DYNAMICS CORP		05/04/2021	Various		59,938	60,000.00		1.G FE
377372-AL-1	GLAXOSMITHKLINE CAPITAL INC		06/30/2021	JP MORGAN SECURITIES LIMITED		10,567	10,000.00	44	1.F FE
38141G-WM-2	GOLDMAN SACHS GROUP INC		06/30/2021	MERRILL LYNCH FIXED INCOME		10,253	10,000.00	128	1.F FE
24422E-VR-7	JOHN DEERE CAPITAL CORP		06/14/2021	BARCLAYS CAPITAL INC FIXED INC		54,909	55,000.00		1.F FE
46625H-JJ-0	JPMORGAN CHASE & CO		06/30/2021	GOLDMAN		15,801	15,000.00	86	1.G FE
579780-AR-8	MCCORMICK & COMPANY INC		05/04/2021	JP MORGAN SECURITIES LIMITED		49,006	50,000.00	106	2.B FE
594918-BJ-2	MICROSOFT CORP		06/30/2021	DEUTSCHE BANK ALEX BROWN		21,835	20,000.00	102	1.A FE
872540-AV-1	TJX COMPANIES INC		06/30/2021	DEUTSCHE BANK ALEX BROWN		9,703	10,000.00	15	1.F FE
87264A-BZ-7	T-MOBILE USA INC		05/27/2021	CREDIT LYONNAIS SECS		50,167	50,000.00	221	2.C FE
91324P-EC-2	UNITEDHEALTH GROUP INC		05/17/2021	SALOMON BROTHERS INC		44,922	45,000.00		1.F FE
92343V-DD-3	VERIZON COMMUNICATIONS INC		06/30/2021	GOLDMAN		15,960	15,000.00	150	2.A FE
254687-FX-9	WALT DISNEY CO		06/30/2021	JP MORGAN SECURITIES LIMITED		10,514	10,000.00	124	1.G FE
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)				X X X	658,706	645,000.00	2,274	X X X

E04

### SCHEDULE D - PART 3

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

1 CUSIP Ident- ification	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 Administrative Symbol
8399997	Subtotal - Bonds - Part 3				X X X	940,869	925,000	2,525	X X X
8399998	Summary Item from Part 5 for Bonds				X X X	X X X	X X X	X X X	X X X
8399999	Total - Bonds				X X X	940,869	925,000.00	2,525	X X X
31420B-30-0	FEDERATED HRMS IN HYB IS		06/08/2021	Not Available	26,037.060	260,000			
74253Q-41-6	PRINCIPAL:SP PRF SI INST		04/09/2021	Not Available	11,973.180	125,000			
922031-73-7	VANGUARD INFL-PROT ADM		06/08/2021	Not Available	5,244.760	150,000			
92913M-73-2	VOYA:SECURITIZED CR I		05/26/2021	Not Available	7,684.430	75,000			
9499999	Subtotal - Common Stock - Mutual Funds				X X X	610,000	X X X		X X X
9799997	Subtotal - Common Stock - Part 3				X X X	610,000	X X X		X X X
9799998	Summary Item from Part 5 for Common Stocks				X X X	X X X	X X X	X X X	X X X
9799999	Total - Common Stock				X X X	610,000	X X X		X X X
9899999	Total - Preferred and Common Stock				X X X	610,000	X X X		X X X
9999999	Totals				X X X	1,550,869	X X X	2,525	X X X

E04.1



### SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Contractua Maturity Date	NAIC Designation, NAIC Designation Modifier and SVO Administrative Symbol
83164L-MP-3	SBA 509366 - RMBS		06/01/2021	Paydown		11,814	11,813.67	12,079	12,064		(4)		(4)		12,060		(246)	(246)	103	05/25/2038	1.A
83164M-BN-8	SBA 509945 - RMBS		06/01/2021	Paydown		7,345	7,344.52	7,859	7,845		(4)		(4)		7,841		(497)	(497)	118	03/25/2042	1.A
83162C-RV-7	SBAP 2008-20F A - ABS		06/01/2021	Paydown		14,197	14,197.27	15,731	15,217		(50)		(50)		15,167		(970)	(970)	350	06/01/2028	1.A
83162C-XA-6	SBAP 2015-20E E - ABS		05/01/2021	Paydown		22,529	22,528.86	21,825	21,838		8		8		21,846		683	683	342	05/01/2035	1.A
912828-4U-1	UNITED STATES TREASURY		05/04/2021	SALOMON BROTHERS I		57,885	55,000.00	56,869	56,183		(162)		(162)		56,021	1,865	1,865	507	06/30/2023	1.A	
912828-J2-7	UNITED STATES TREASURY		05/04/2021	HSBC SECURITIES INC.		15,838	15,000.00	14,174	14,479		41		41		14,520	1,318	1,318	216	02/15/2025	1.A	
912828-WR-7	UNITED STATES TREASURY		06/30/2021	Maturity @ 100.00		975,000	975,000.00	959,966	972,447		2,553		2,553		975,000			10,359	06/30/2021	1.A	
912828-YB-0	UNITED STATES TREASURY		06/30/2021	Wachovia Capital Markets		20,484	20,000.00	20,237	20,207		(11)		(11)		20,196		288	288	286	08/15/2029	1.A
912828-YG-9	UNITED STATES TREASURY		05/27/2021	SG AMERICAS SECURITI		51,891	50,000.00	49,902	49,919		6		6		49,924	1,966	1,966	544	09/30/2026	1.A	
912828-ZR-4	UNITED STATES TREASURY		06/16/2021	Various		55,032	55,000.00	54,946	54,961		12		12		54,974		58	58	37	05/31/2022	1.A
91282C-AM-3	UNITED STATES TREASURY		05/04/2021	HSBC SECURITIES INC.		49,064	50,000.00	49,961	49,963		3		3		49,966		(901)	(901)	75	09/30/2025	1.A
91282C-AW-1	UNITED STATES TREASURY		05/05/2021	RBC CAPITAL MARKETS		50,027	50,000.00	50,045	50,044		(5)		(5)		50,038		(11)	(11)	60	11/15/2023	1.A
0599999	Subtotal - Bonds - U.S. Governments				X X X	1,331,106	1,325,884.32	1,313,594	1,325,167		2,387		2,387		1,327,553		3,553	3,553	12,997	X X X	X X X
3134GV-6X-1	FEDERAL HOME LOAN MORTGAGE CORP		04/20/2021	Call @ 100.00		75,000	75,000.00	75,000	75,000						75,000				141	04/20/2023	1.A
31395J-SP-2	FHR 2890 PE - CMO/RMBS		06/01/2021	Paydown		11,305	11,304.59	12,389	12,237		(15)		(15)		12,222		(917)	(917)	230	11/15/2034	1.A
31381T-7L-8	FN 470799 - CMBS/RMBS		06/01/2021	Paydown		1,130	1,129.64	1,154	1,147		(2)		(2)		1,145		(15)	(15)	15	10/01/2024	1.A
3138L8-X3-3	FN AM7897 - CMBS/RMBS		06/01/2021	Paydown		1,057	1,057.13	1,095	1,081		(2)		(2)		1,080		(23)	(23)	12	01/01/2025	1.A
3138LG-AW-6	FN AN3620 - CMBS/RMBS		06/01/2021	Paydown		377	376.53	393							393		(17)	(17)	2	11/01/2031	1.A
3138LG-2T-2	FN AN4385 - CMBS/RMBS		06/01/2021	Paydown		365	365.46	375	371						371		(5)	(5)	5	01/01/2027	1.A
3140JA-VB-1	FN BM6009 - CMBS/RMBS		06/01/2021	Paydown		606	605.73	625	620		(2)		(2)		618		(12)	(12)	8	06/01/2024	1.A
31418B-2V-7	FN MA2587 - RMBS		06/01/2021	Paydown		48,166	48,166.37	50,951	50,240		(15)		(15)		50,225		(2,059)	(2,059)	696	04/01/2036	1.A
524802-CB-9	LEHIGH CNTY PA AUTH WTR REV		06/30/2021	Call @ 100.00		60,000	60,000.00	64,748	60,000						60,000				2,298	11/01/2030	1.C FE
3199999	Subtotal - Bonds - U.S. Special Revenue and Special Assessment Non-Guaranteed Obligati				X X X	198,006	198,005.45	206,730	200,696		(36)		(36)		201,054		(3,048)	(3,048)	3,407	X X X	X X X
023771-S2-5	AMERICAN AIRLINES INC PASS THROUG		04/15/2021	Paydown		4,852	4,851.83	4,732	4,760		2		2		4,763		89	89	79	04/15/2030	2.C FE
06747P-SM-2	BARCLAYS BANK PLC	C	06/01/2021	Call @ 100.00		200,000	200,000.00	200,000	200,000						200,000				2,000	05/29/2024	1.F FE
25152R-5F-6	DEUTSCHE BANK AG	C	05/12/2021	Maturity @ 100.00		35,000	35,000.00	34,630	34,971		29		29		35,000				591	05/12/2021	2.B FE
369550-BE-7	GENERAL DYNAMICS CORP		05/11/2021	Maturity @ 100.00		60,000	60,000.00	59,590	59,947		53		53		60,000				900	05/11/2021	1.G FE
24422E-TV-1	JOHN DEERE CAPITAL CORP		06/15/2021	GOLDMAN		56,316	55,000.00	54,224	54,690		83		83		54,773		1,543	1,543	916	09/08/2022	1.F FE
717081-ER-0	PFIZER INC		05/26/2021	Fifth Third Securities		40,835	40,000.00	39,998	39,999						39,999		835	835	800	03/11/2022	1.F FE
91324P-CC-4	UNITEDHEALTH GROUP INC		05/18/2021	Morgan Stanley		47,120	45,000.00	44,357	44,650		58		58		44,708		2,412	2,412	877	03/15/2023	1.F FE
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)				X X X	444,123	439,851.83	437,531	439,017		225		225		439,243		4,879	4,879	6,163	X X X	X X X
8099999	Subtotal - Bonds - SVO Identified Funds				X X X															X X X	X X X

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### 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 F o r e i g n	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 Contractua Maturity Date	22 NAIC Designation, NAIC Designation Modifier and SVO Administrative Symbol	
										11 Unrealized Valuation Increase/ (Decrease)	12 Current Year's (Amort- ization)/ Accretion	13 Current Year's Other Than Temporary Impairment Recognized	14 Total Change in B./A.C.V. (11+12-13)	15 Total Foreign Exchange Change in B./A.C.V.								
8299999	Subtotal - Bonds - Unaffiliated Bank Loans				X X X															X X X	X X X	
8399997	Subtotal - Bonds - Part 4				X X X	1,973,235	1,963,742	1,957,855	1,964,880		2,576		2,576		1,967,850		5,384	5,384	22,567	X X X	X X X	
8399998	Summary Item from Part 5 for Bonds				X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X
8399999	Total - Bonds				X X X	1,973,235	1,963,741.60	1,957,855	1,964,880		2,576		2,576		1,967,850		5,384	5,384	22,567	X X X	X X X	
9999999	Totals					1,973,235	X X X	1,957,855	1,964,880		2,576		2,576		1,967,850		5,384	5,384	22,567	X X X	X X X	

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**NONE Schedule DB - Part A - Section 1**

**NONE Schedule DB - Part B - Section 1**

**NONE Schedule DB - Part D - Section 1**

**NONE Schedule DB - Part D - Section 2**

**NONE Schedule DB - Part E**

**NONE Schedule DL - Part 1**

**NONE Schedule DL - Part 2**

**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	
Open Depositories - Section (A) - Segregated Funds Held for Others								
0199998 Deposits in ( ) depositories which do not exceed the allowable limit in any one depository (see Instructions)	X X X	X X X						XXX
0199999 Total Segregated Funds Held for Others	X X X	X X X						XXX
Open Depositories - Section (B) - General Funds								
ALLIANCE BANK OF ARIZONA PHOENIX, AZ		0.150	379		1,014,398	1,014,527	1,014,652	
AMERICAN RIVIERA BANK SANTA BARBARA, CA		0.200	127		254,083	254,122	254,168	
AMERICAN RIVIERA BANK SANTA BARBARA, CA		0.200	127		254,417	254,456	254,502	
AXOS BANK SAN DIEGO, CA					1,000,000	1,000,000	1,000,000	
BANK OF AMERICA-NATL OP BREA, CA					69,377,073	70,597,951	70,100,353	
BANK OF AMERICA-CA OPER BREA, CA					1,588,506	1,569,012	1,527,007	
BANK OF AMERICA-RECORDI BREA, CA					53,168	53,168	53,168	
BANK OF AMERICA-FLORIDA BREA, CA					158,132	158,132	158,132	
CITY NATIONAL BANK LOS ANGELES, CA		0.250	4,043		5,042,678	5,043,645	5,044,785	
EAST WEST BANK SEATTLE, WA		0.100	83		500,387	500,414	500,432	
HERTAGE BANK OLYMPIA, WA		0.080	11		254,603	254,606	254,609	
HOME STREET BANK PORTLAND, OR					25,148,280	25,162,645	25,176,740	
HORIZON COMMUNITY BANK LAKE HAVASU CITY, AZ		0.100	32		257,641	257,652	257,656	
INFINITY BANK SANTA ANA, CA		0.700	1,786		1,023,349	1,023,958	1,024,547	
JP MORGAN CHASE BANK PORTLAND, OR					5,000,000	5,000,000	5,000,000	
LEWIS AND CLARK BANK OREGON CITY, OR		0.100	63		252,932	252,932	252,995	
ONPOINT CREDIT UNION PORTLAND, OR		0.050	57		502,602	502,620	502,640	
PROSPERITY FKA LEGACY T PLANO, TX		0.100	62		251,992	252,015	252,034	
REPUBLIC BANK PHOENIX, AZ		0.610	348		259,914	260,033	260,132	
STERLING NATIONAL BANK YONKERS, NY		0.050	635		5,090,585	5,090,801	5,091,010	
WELLS FARGO BANK-OPERA COLUMBIA, SC					541,537	169,222	16,114	
WELLS FARGO BANK-OPERA PORTLAND, OR					85,874,768	93,680,029	103,462,398	
WELLS FARGO BANK-PREMI PORTLAND, OR					109,891	115,396	140,968	
WELLS FARGO BANK-LIEN S PORTLAND, OR					29,633	25,530	29,276	
WELLS FARGO BANK-OR RE PORTLAND, OR					118,269	92,840	96,408	
WELLS FARGO BANK-AZ REC PORTLAND, OR					24,439	24,175	20,710	
WELLS FARGO BANK-NATL R PORTLAND, OR					100,891	100,891	100,891	
WELLS FARGO BANK-NV RE PORTLAND, OR					98,823	122,794	49,086	
WESTERN HERITAGE BANK EL PASO, TX		0.050	43		100,928	100,933	100,937	
WILLAMETTE VALLEY BANK PORTLAND, OR		0.350	219		254,635	254,635	254,635	
WILLAMETTE VALLEY BANK PORTLAND, OR		0.350	216		250,216	250,216	250,216	
UNION BANK MINNEAPOLIS, MN					1,237		859	
0299998 Deposits in ( ) depositories which do not exceed the allowable limit in any one depository (see Instructions)	X X X	X X X				2,975		XXX
0299999 Total General Funds	X X X	X X X	8,231		204,790,007	213,442,325	222,502,060	XXX
Open Depositories - Section (C) - Reinsurance Reserve Funds								
0399998 Deposits in ( ) depositories which do not exceed the allowable limit in any one depository (see Instructions)	X X X	X X X						XXX
0399999 Total Reinsurance Reserve Funds	X X X	X X X						XXX
0499999 Total Open Depositories	X X X	X X X	8,231		204,790,007	213,442,325	222,502,060	XXX
Suspended Depositories - Section (A) - Seg. Funds Held for Others								
0599998 Deposits in ( ) depositories which do not exceed the allowable limit in any one depository (see Instructions)	X X X	X X X						XXX
0599999 Total Segregated Funds Held for Others	X X X	X X X						XXX
Suspended Depositories - Section (B) - General Funds								
0699998 Deposits in ( ) depositories which do not exceed the allowable limit in any one depository (see Instructions)	X X X	X X X						XXX
0699999 Total General Funds	X X X	X X X						XXX
Suspended Depositories - Section (C) - Reinsurance Reserve Funds								
0799998 Deposits in ( ) depositories which do not exceed the allowable limit in any one depository (see Instructions)	X X X	X X X						XXX
0799999 Total Reinsurance Reserve Funds	X X X	X X X						XXX
0899999 Total Suspended Depositories	X X X	X X X						XXX
0999999 Total Cash on Deposit	X X X	X X X	8,231		204,790,007	213,442,325	222,502,060	XXX



## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	3 Code	4 Date Acquired	5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due & Accrued	9 Amount Received During Year
	BANK OF THE WEST MONEY SAVINGS ACCOUNT		06/30/2021	0.001	12/31/2021	507,736		179
	BANK OF THE WEST MONEY SAVINGS ACCOUNT		06/30/2021	0.007	12/31/2021	1,039,039		256
	CITIZENS BANK MONEY MARKET ACCOUNT		06/30/2021		12/31/2021	255,694		138
	UMPQUA BANK MONEY MARKET FUND		06/30/2021		12/31/2021	4,056,662		1,956
	DREYFUS CASH MGT INST		03/31/2020	0.050	12/31/2021	100,000	2	14
	FIRST AMER:TRS OBG V		06/30/2021	0.010	12/31/2021	4,910,359	19	117
	WFB INSTITUTIONAL BANK DEPOSIT		06/30/2021	1.050	12/31/2021	1,254,983	10	53
	BANK OF THE WEST ADVANTAGE ACCT		06/30/2021	2.310	12/31/2021	115,953	1	
8499999	Sweep Accounts					12,240,426	32	2,713
09248U-70-0	BLKRK LQ:FEDFUND INSTL		02/01/2021	0.030	X X X	1,563		
711991-00-0	TD BANK DEPOSIT SWEEP		06/01/2021		X X X	43,070	1	6
8AMMF0-41-6	US BANK MONEY MARKET (MMDA) 20 IT&C		02/02/2021	0.300	X X X			
8699999	All Other Money Market Mutual Funds					44,633	1	6
	INSTITUTIONAL TRUST DEPOSIT ACCOUNT IV		06/30/2021		12/31/2021	571,153	33	24
8899999	Other Cash Equivalents					571,153	33	24
9999999	Total Cash Equivalents					12,856,212	66	2,743

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