

HEALTH ANNUAL STATEMENT

FOR THE YEAR ENDED DECEMBER 31, 2016 OF THE CONDITION AND AFFAIRS OF THE

Oxford Health Plans (NJ), Inc.

NA	IC Group Code 0707 (Current)	(Prior)	le <u>95506</u> Employer's ID	
Organized under the Laws of	of New	Jersey,	State of Domicile or Port of Ent	try NJ
Country of Domicile		United States	of America	
Licensed as business type:		Health Maintenan	ce Organization	
Is HMO Federally Qualified?	? Yes[] No[X]			
Incorporated/Organized	04/17/1985		Commenced Business	09/12/1985
Statutory Home Office	170 Wood Aven	ue, Floor 3,		Iselin , NJ, US 08830
	(Street and N	lumber)	(City or	Town, State, Country and Zip Code)
Main Administrative Office		4 Research Dri		
	Shelton , CT, US 06484			203-447-4500
(City	or Town, State, Country and Zip	Code)	(Ar	ea Code) (Telephone Number)
Mail Address	4 Research Drive, 5th (Street and Number or F		(City or	Shelton , CT, US 06484 Town, State, Country and Zip Code)
Dimenul coation of Deales	•	•		romi, cate, country and 2p code/
Primary Location of Books a	and Records	(Street and	ive, 5th Floor Number)	
(City	Shelton , CT, US 06484 or Town, State, Country and Zip	Code)	(Ar	203-447-4500 rea Code) (Telephone Number)
Internet Website Address	or roun, class, country and zip	www.oxfordh	•	
		-	Culti.com	000 447 4444
Statutory Statement Contac	tJoseph	(Name)	1	203-447-4444 (Area Code) (Telephone Number)
	joseph_j_dewey@uhc.com (E-mail Address)	,		203-447-4451 (FAX Number)
	(L-Mail Addicss)	05510		(i Activation)
Presiden	t Paul Owen	OFFIC Marden	Treasurer	Robert Worth Oberrender
	Carmel		Chief Financial Officer	
	M.D., Chief Medical Officer Jacobsen #, Assistant Secretary	OTH Nyle Brent Cotting		William John Golden, Chair
	<u>,</u>	DIRECTORS OF	TRUCTEE	
	John Golden	Paul Owe	n Marden	Sandra Denise Bruce Nichols M.D.
Dennis i	Patrick O'Brien	Randall Harris	on Weinstock	
State of	New Jersey Middlesex	SS:		
all of the herein described statement, together with rel condition and affairs of the in accordance with the NAI rules or regulations requir respectively. Furthermore,	assets were the absolute proper ated exhibits, schedules and expl said reporting entity as of the rep C Annual Statement Instructions e differences in reporting not ro the scope of this attestation by t	ty of the said reporting entity, anations therein contained, an orting period stated above, and and Accounting Practices and elated to accounting practices he described officers also incli	free and clear from any liens nexed or referred to, is a full ard of its income and deductions it I Procedures manual except to s and procedures, according udes the related corresponding	orting entity, and that on the reporting period stated above, or claims thereon, except as herein stated, and that this did true statement of all the assets and liabilities and of the therefrom for the period ended, and have been completed to the extent that: (1) state law may differ; or, (2) that state to the best of their information, knowledge and belief, a electronic filing with the NAIC, when required, that is an be requested by various regulators in lieu of or in addition
Paul Owen Presid		Carmel (
Subscribed and swom to be	efore me this	uary 2017	a. Is this an original filing b. If no, 1. State the amendme 2. Date filed	ent number
July 28, 2018				

	ANNUAL STATEMENT FOR THE YEAR AS	SETS	CAIGIG FICALITY	ians (ivo), inc.	
			Current Year		Prior Year
		1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	4 Net Admitted Assets
1.	Bonds (Schedule D)			The second secon	166,425,271
	Stocks (Schedule D):				
	2.1 Preferred stocks	<u></u>		0	0
	2.2 Common stocks			0	0
3.	Mortgage loans on real estate (Schedule B):				
	3.1 First liens			0	0
	3.2 Other than first liens			0	0
4.	Real estate (Schedule A):				
	4.1 Properties occupied by the company (less \$				
	encumbrances)			0	0
	4.2 Properties held for the production of income (less				
	\$ encumbrances)			0	0
	4.3 Properties held for sale (less \$				
	encumbrances)			0	0
5.	Cash (\$(6,348,822), Schedule E - Part 1), cash equivalents				
	(\$, Schedule E - Part 2) and short-term				
	investments (\$26,627,730 , Schedule DA)			20,278,908	22,514,882
	Contract loans, (including \$ premium notes)			ļ0 ļ.	0
	Derivatives (Schedule DB)			0	0
	Other invested assets (Schedule BA)			0	0
9.	Receivables for securities	15,000,000		15,000,000	0
	Securities lending reinvested collateral assets (Schedule DL)			ļ0 ļ.	0
	Aggregate write-ins for invested assets				0
	Subtotals, cash and invested assets (Lines 1 to 11)	204,113,726	0	204,113,726	188,940,153
13.	Title plants less \$ charged off (for Title insurers				
	only)			0	
14.	Investment income due and accrued	1,054,131		1,054,131	883,214
	Premiums and considerations:				
	15.1 Uncollected premiums and agents' balances in the course of collection	1,891,004	724,324	1,166,680	1,543,826
	15.2 Deferred premiums and agents' balances and installments booked but				
	deferred and not yet due (including \$			_	_
	earned but unbilled premiums)			ļ0 <u></u>	0
	15.3 Accrued retrospective premiums (\$) and				
	contracts subject to redetermination (\$47,240,143)	47,240,143		47,240,143	48,872,013
16.	Reinsurance:	F 750 470		5 750 470	0.000.000
	16.1 Amounts recoverable from reinsurers				
	16.2 Funds held by or deposited with reinsured companies			0	0
47	16.3 Other amounts receivable under reinsurance contracts			0	0
	Amounts receivable relating to uninsured plans				2,646,964
	Current federal and foreign income tax recoverable and interest thereon Net deferred tax asset		1 207 562	2,207,873 _ 4,991,644	1,164,291 7,477,232
			1,207,302	4,991,044	, 411,232
	Guaranty funds receivable or on deposit			0	0
	Electronic data processing equipment and software			⁰	0
21.	(\$)			0	0
22.	Net adjustment in assets and liabilities due to foreign exchange rates			0	ں ۱
	Receivables from parent, subsidiaries and affiliates			0	n
	Health care (\$32,950,107) and other amounts receivable		6 213 902	1	28,405,378
	Aggregate write-ins for other than invested assets				0,+00,070
	Total assets excluding Separate Accounts, Segregated Accounts and				
	Protected Cell Accounts (Lines 12 to 25)	311,266,201	8,507,280	302,758,921	289,539,700
27.	From Separate Accounts, Segregated Accounts and Protected Cell Accounts			0	0
28.	Total (Lines 26 and 27)	311,266,201	8,507,280	302,758,921	289,539,700
	DETAILS OF WRITE-INS				
1101.				ļ	
1102.				 	
1103.				 	
1198.	Summary of remaining write-ins for Line 11 from overflow page	0	0	0	0
1199.	Totals (Lines 1101 thru 1103 plus 1198)(Line 11 above)	0	0	0	0
2501.	Prepaid Expense	198, 111	198, 111	0	0
2502.			-		
2503.				 	
2598.	Summary of remaining write-ins for Line 25 from overflow page	0	0	0	0
2599.	Totals (Lines 2501 thru 2503 plus 2598)(Line 25 above)	198,111	198, 111	0	0

LIABILITIES, CAPITAL AND SURPLUS

	LIABILITIES, CAPI		Current Year		Prior Year
		1	2	3	4
		Covered	Uncovered	Total	Total
1.	Claims unpaid (less \$3,267,839 reinsurance ceded)			132,206,585	
2.	Accrued medical incentive pool and bonus amounts			7,851,904	
3.	Unpaid claims adjustment expenses.	1,485,547		1,485,547	1,283,184
4.	Aggregate health policy reserves, including the liability of				
	\$0 for medical loss ratio rebate per the Public	6 040 601		6 040 601	10 006 710
	Health Service Act				18,006,712
5. e	33 3			SOMEONE SERVICE SERVIC	0
6. 7	Property/casualty unearned premium reserves	603,248			369,688
7. 8.	Premiums received in advance			1,910,881	
9.	General expenses due or accrued				8,055,212
	Current federal and foreign income tax payable and interest thereon				
10.1	(including \$0 on realized capital gains (losses))			0	0
10.2	Net deferred tax liability.				0
11.	Ceded reinsurance premiums payable.			1,161,822	
12.	Amounts withheld or retained for the account of others.			· · · · · · · · · · · · · · · · · · ·	17
13.	Remittances and items not allocated.			46,373	
14.	Borrowed money (including \$ current) and				
	interest thereon \$ (including				
	\$ (urrent)			0	0
15.	Amounts due to parent, subsidiaries and affiliates.				
16.	Derivatives				
17.	Payable for securities			0	
18.	Payable for securities lending			0	0
19.	Funds held under reinsurance treaties (with \$				
	authorized reinsurers, \$0 unauthorized				
	reinsurers and \$			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	10,741,183		10,741,183	5,521,155
23.	Aggregate write-ins for other liabilities (including \$110,729				
	current)	110,729	0	110,729	173,326
24.	Total liabilities (Lines 1 to 23).	185,576,223	0	185,576,223	168,555,340
25 .	Aggregate write-ins for special surplus funds.	xxx	xxx	0	17,810,079
26 .	Common capital stock	xxx	xxx	50	50
27.	Preferred capital stock	xxx	XXX		
28.	Gross paid in and contributed surplus.	xxx	XXX	13,889,075	13,889,075
29 .	Surplus notes.	XXX	XXX		
30.	Aggregate write-ins for other than special surplus funds	XXX	XXX	0	0
31.	Unassigned funds (surplus)	XXX	XXX	103,293,573	89,285,156
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			
33.	Total capital and surplus (Lines 25 to 31 minus Line 32)	XXX	XXX	117,182,698	
34.	Total liabilities, capital and surplus (Lines 24 and 33)	XXX	XXX	302,758,921	289,539,700
	DETAILS OF WRITE-INS				
	Escheatments	110,729		110,729	173,326
2302.					
		0	0	0	0
	Totals (Lines 2301 thru 2303 plus 2398)(Line 23 above)	110,729	0	110,729	173,326
	Section 9010 ACA Subsequent Fee Year Assessmet	XXX		0	17,810,079
		XXX	XXX		
2503.		XXX	XXX		
2598.	, , , , , , , , , , , , , , , , , , , ,	XXX	XXX	0	0
2599.	Totals (Lines 2501 thru 2503 plus 2598)(Line 25 above)	XXX	XXX	0	17,810,079
		XXX			
3002.		XXX			
3003.		XXX			
		XXX			0
3099.	Totals (Lines 3001 thru 3003 plus 3098)(Line 30 above)	XXX	XXX	0	0

STATEMENT OF REVENUE AND EXPENSES

Number Norths		STATEMENT OF REVENUE AF		nt Year	Prior Year
Nember Morriss			1	2	3
2. Net premium incorner (including \$	- 65	2011 2010			
3. Charge in unreamed premium reserves and reserve for nate cendes	1.	Member Months	XXX	1,277,979	1,341,946
3. Charge in unreamed premium reserves and reserve for nate cendes				4 054 044 050	075 744 000
4. Fine-Securation (red of \$ model compenses)	100	The state of the s		110000000000000000000000000000000000000	2000 140 400 200 150 150 150 150 150 150 150 150 150 1
5. Rok reversus	3.			A Charles of the Control of the Cont	(5,653,491)
6 Aggregate write-are for other health care related revenues	4.	Fee-for-service (net of \$ medical expenses)	XXX	0	
7. Aggregate write-ins for other non-health revenues 8. Total revenues (Lines 2 to 7) 10. Coltra inventues (Lines 2 to 7) 11. Coltra inventues (Lines 2 to 7) 11. Coltra inventues (Lines 2 to 7) 12. Coltra inventues (Lines 2 to 7) 13. Plescopital modula and an inventues (Lines 2 to 7) 14. Aggregate write-ins for other hospital and medical 15. Coltra inventues (Lines 2 to 1) 16. Plescopital reduction 17. Regular or the second of area 18. Subbatal (Lines 9 to 15) 19. Subbatal (Lines 9 to 15) 10. Subbatal (Lines 9 to 15) 10. Subbatal (Lines 9 to 15) 11. Oldra inventues (Lines 9 to 15) 12. Subbatal (Lines 9 to 15) 13. Total heaptiful and medical (Lines 10 minus 17) 14. Aggregate write-ins for other hospital and medical 15. Subbatal (Lines 9 to 15) 16. Subbatal (Lines 9 to 15) 17. Aggregate write-ins for district (Lines 10 minus 17) 18. Subbatal (Lines 9 to 15) 19. Subbatal (Lines 9 to 15) 19. Subbatal (Lines 9 to 15) 10. Subbatal (Lines 10 to 15) 10. Subbatal (Lines 10 to 15) 10. Subbatal	5.	Risk revenue	XXX	0	
1. Total revenues (lines 2 to 7)	6.	Aggregate write-ins for other health care related revenues	XXX	0	0
Hospital and Madical:	7.	Aggregate write-ins for other non-health revenues	XXX	0	0
9 Hospital/medical benefits 729,065,225 (8),184,44 10 Other protessional services 4,560,30 4,562,55 11 Outside referrals 0,0 0 12 Emergency room and out-of-area 9,365,617 4,73,9 13 Prescription drugs 0,00,814,80 0,00,814,80 0,00,814,80 14 Aggregate write-ins for other hospital and medical 0,0 0,93,85,90 6,262,81 15 Interestive pool, withhold algustrients and bronus amounts 0,93,85,90 6,262,81 16 Subbotal (uses to 15) 0,0 940,01,000 980,90.20 17 Net mensurance recoveries 2,248,352 36,83,8 18 Total hospital and medical (Lines 16 minus 17) 0,0 513,402,777 772,279,60 19 Non-health claims (rot) 0,0 513,402,777 772,279,60 10 Clears adjustment expenses, including \$ 45,59,373 cost confiamment expenses 97,003,700 55,520,40 10 Clears adjustment expenses 97,003,700 56,784,70 10 Clears adjustment expenses 97,003,700 98,903,530 10 Clears adjustment ex	8.	Total revenues (Lines 2 to 7)	xxx	1,057,013,334	970,087,908
10. Other professional services		·			
11 Outside reterrals	9.	Hospital/medical benefits		729,085,225	681,844,462
13. Prescription drugs	10.	Other professional services		4,540,310	4,562,544
13 Prescription drugs	11.	Outside referrals		0	
14. Aggregate write-ins for other hospital and medical.	12.	Emergency room and out-of-area		36,965,817	45,735,949
15. Incentive pool, withhold adjustments and bonus amounts	13.	Prescription drugs		60,961,408	70,558,043
15. Incentive pool, withhold adjustments and bonus amounts	14.	Aggregate write-ins for other hospital and medical	0	0	0
16 Subtotal (Lines 9 to 15)	15.				
Less:	1	• • •			808,963,273
17. Not reinsurance recoveries 22,489,552 56,685,6	10.	, , ,			
18. Total hospital and medical (Lines 16 minus 17)	17.			22,498,352	36,683,616
19. Non-health claims (net)	18				
20. Claims adjustment expenses, including \$	1				
21. General administrative expenses 101,482,101 104,606,56 106,784,000 6,785,800 31,097,33 6,990,52 6,985,810 31,097,33 6,990,52 6,985,810 31,097,33 6,990,52 6,985,810	1	· ·		67 003 706	55 320 407
22. Increase in reserves for life and accident and health contracts (including \$	1				
increase in reserves for life only) 23. Total underwriting gain or (loss) (Lines 8 minus 23)	1	·		101,432,101	104,000,508
23. Total underwriting deductions (Lines 18 through 22)	22.				
24. Net underwriting gain or (loss) (Lines 8 minus 23)					
25. Net investment income earned (Exhibit of Net Investment Income, Line 17)	23.	Total underwriting deductions (Lines 18 through 22)	0	980,054,524	938,990,572
26. Net realized capital gains (losses) less capital gains tax of \$ 171,724	24.	Net underwriting gain or (loss) (Lines 8 minus 23)	XXX	76,958,810	31,097,336
27. Net investment gains (losses) (Lines 25 plus 26)	25.	Net investment income earned (Exhibit of Net Investment Income, Line 17)		3,030,042	3,389,658
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$	26 .	Net realized capital gains (losses) less capital gains tax of \$171,724		279,583	1,047,173
\$	27.	Net investment gains (losses) (Lines 25 plus 26)	0	3,309,625	4,436,831
29. Aggregate write-ins for other income or expenses	28.	Net gain or (loss) from agents' or premium balances charged off [(amount recovered			
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29)		\$		(676,381)	(340,730)
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29)	29.	Aggregate write-ins for other income or expenses	0	0	(368)
27 plus 28 plus 29	30				, ,
Net income (loss) (Lines 30 minus 31)		27 plus 28 plus 29)	XXX	79,592,054	35,193,069
DETAILS OF WRITE-INS	31.	Federal and foreign income taxes incurred	XXX	30,662,404	20,548,945
0601. XXX XXX 0602. XXX XXX 0603. XXX XXX 0698. Summary of remaining write-ins for Line 6 from overflow page. XXX 0 0701. XXX 0 0702. XXX 0 0703. XXX 0 0799. Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401. XXX 0 1402. XXX 0 1403. XXX 0 1499. Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401. XXX 0 1402. XXX 0 1403. XXX 0 1499. Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901. Fines and Penal1ties (3t 2902. XXX 0 0 2903. XXX 0 0 2904. XXX 0 0	32.	Net income (loss) (Lines 30 minus 31)	XXX	48,929,650	14,644,124
Def		DETAILS OF WRITE-INS			
0603 XXX 0 0698. Summary of remaining write-ins for Line 6 from overflow page XXX 0 0699. Totals (Lines 0601 thru 0603 plus 0698)(Line 6 above) XXX 0 0701. XXX 0 0702. XXX XXX 0703. XXX XXX 0799. Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401. XXX 0 1402. XXX 0 1403. XXX 0 1498. Summary of remaining write-ins for Line 14 from overflow page 0 0 2901. Fines and Penal ties 0 0 2902. 3 3 2903. 3 3 2998. Summary of remaining write-ins for Line 29 from overflow page 0 0	0601.		xxx		
0698. Summary of remaining write-ins for Line 6 from overflow page XXX 0 0699. Totals (Lines 0601 thru 0603 plus 0698)(Line 6 above) XXX 0 0701. XXX XXX 0 0702. XXX XXX 0 0703. XXX XXX 0 0799. Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401. XXX 0 1402. XXX 0 1403. XXX 0 1499. Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901. Fines and Penal ties (3 2902. 2903. 0 0 2998. Summary of remaining write-ins for Line 29 from overflow page 0 0 0	0602.		xxx		
0699 Totals (Lines 0601 thru 0603 plus 0698)(Line 6 above) XXX 0 0701 XXX XXX 0 0702 XXX XXX 0 0703 XXX 0 0 0799 Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401 XXX 0 0 1402 XXX 0 0 1403 XXX 0 0 1499 Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901 Fines and Penal ties (3 2902 2903 0 0 2998 Summary of remaining write-ins for Line 29 from overflow page 0 0	0603		xxx		
0699 Totals (Lines 0601 thru 0603 plus 0698)(Line 6 above) XXX 0 0701 XXX XXX 0 0702 XXX XXX 0 0703 XXX 0 0 0799 Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401 XXX 0 0 1402 XXX 0 0 1403 XXX 0 0 1499 Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901 Fines and Penal ties (3 2902 2903 0 0 2998 Summary of remaining write-ins for Line 29 from overflow page 0 0	0698.	Summary of remaining write-ins for Line 6 from overflow page	xxx	0	0
0702 XXX 0703 XXX 0798. Summary of remaining write-ins for Line 7 from overflow page XXX 0799. Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 1401. XXX 1402. XXX 1403. XXX 1498. Summary of remaining write-ins for Line 14 from overflow page 0 1499. Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 2901. Fines and Penal ties (30 2902. (30 2998. Summary of remaining write-ins for Line 29 from overflow page 0	0699.	Totals (Lines 0601 thru 0603 plus 0698)(Line 6 above)	xxx	0	0
D703	0701.		xxx		
0798. Summary of remaining write-ins for Line 7 from overflow page XXX 0 0799. Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401. XXX 0 1402. XXX 0 1403. XXX 0 1498. Summary of remaining write-ins for Line 14 from overflow page 0 0 1499. Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901. Fines and Penalties (30 2902. XXX 0 2903. XXX 0 2909. Summary of remaining write-ins for Line 29 from overflow page 0 0	0702.		xxx		
0799. Totals (Lines 0701 thru 0703 plus 0798)(Line 7 above) XXX 0 1401	0703		xxx		
1401	0798.	Summary of remaining write-ins for Line 7 from overflow page	xxx	0	0
1401.	l	• • •	xxx	0	0
1403.	1401.				
1498. Summary of remaining write-ins for Line 14 from overflow page 0 0 1499. Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901. Fines and Penal ties	1402.				
1499. Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901. Fines and Penalties	1403.				
1499. Totals (Lines 1401 thru 1403 plus 1498)(Line 14 above) 0 0 2901. Fines and Penal ties	1498.	Summary of remaining write-ins for Line 14 from overflow page	0	0	0
2901. Fines and Penalties	l		0	0	0
2902.	2901.				(368)
2998. Summary of remaining write-ins for Line 29 from overflow page					
	2903				
	2998.	Summary of remaining write-ins for Line 29 from overflow page	0	0	0
zooc. Totala (Linca zau) i unu zauo piua zaau)(Linc za auove) V V (Vi	2999.	Totals (Lines 2901 thru 2903 plus 2998)(Line 29 above)	0	0	(368)

STATEMENT OF REVENUE AND EXPENSES (Continued)

	STATEMENT OF REVENUE AND EXPENSES	4	2
		Current Year	Prior Year
	CAPITAL AND SURPLUS ACCOUNT		
	CAPITAL AND SURPLUS ACCOUNT		
		1001	
33.	Capital and surplus prior reporting year.	120,984,360	
34.	Net income or (loss) from Line 32	48,929,650	14,644,124
35.	Change in valuation basis of aggregate policy and claim reserves		
36.	Change in net unrealized capital gains (losses) less capital gains tax of \$		
37.	Change in net unrealized foreign exchange capital gain or (loss)		
38.	Change in net deferred income tax	(3,055,478)	1,931,280
39.	Change in nonadmitted assets		
40	Change in unauthorized and certified reinsurance		
41.	Change in treasury stock		0
42.	Change in surplus notes		0
	Cumulative effect of changes in accounting principles.		
43.			
44.	Capital Changes:		
	44.1 Paid in	_	0
	44.2 Transferred from surplus (Stock Dividend)	0	0
	44.3 Transferred to surplus.		
45.	Surplus adjustments:		
	45.1 Paid in	0	0
	45.2 Transferred to capital (Stock Dividend)	 	
	45.3 Transferred from capital		
46.	Dividends to stockholders	(50,000,000)	(22,500,000)
47.	Aggregate write-ins for gains or (losses) in surplus	0	0
48.	Net change in capital and surplus (Lines 34 to 47)	(3,801,662)	(5,577,236)
49.	Capital and surplus end of reporting period (Line 33 plus 48)	117,182,698	120,984,360
	DETAILS OF WRITE-INS		
4701.			
4702.			
4703.			
4798.	Summary of remaining write-ins for Line 47 from overflow page	n	n
4799.	Totals (Lines 4701 thru 4703 plus 4798)(Line 47 above)	0	0
1100.	ויס אויס וויס אויס אויס אויס אויס אויס א	v ,	U

CASH FLOW

	57.6.1. 2011	· · · · · · · · · · · · · · · · · · ·	
		1	2
		Current Year	Prior Year
	Cash from Operations		111.011.0500
1.	Premiums collected net of reinsurance	1,051,206,097	943,619,746
2.	Net investment income	3,982,547	4,908,933
3.	Miscellaneous income	0	0
4.	Total (Lines 1 through 3)	1,055,188,644	948,528,679
5.	Benefit and loss related payments	801,586,461	774,794,059
6.	Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts		
7.	Commissions, expenses paid and aggregate write-ins for deductions	166,002,098	153,951,390
8.	Dividends paid to policyholders		
9.	Federal and foreign income taxes paid (recovered) net of \$	31,877,711	12,788,810
10.	Total (Lines 5 through 9)	999,466,270	941,534,259
11.	Net cash from operations (Line 4 minus Line 10)	55,722,374	6,994,420
	Out from Investment		
40	Cash from Investments		
12.	Proceeds from investments sold, matured or repaid:	66,450,086	77 047 074
	12.1 Bonds		
	12.2 Stocks		
	12.3 Mortgage loans		0
	12.4 Real estate		
	12.5 Other invested assets		0
	12.6 Net gains or (losses) on cash, cash equivalents and short-term investments	1	0
	12.7 Miscellaneous proceeds		0
	12.8 Total investment proceeds (Lines 12.1 to 12.7)	66,450,086	77,847,274
13.	Cost of investments acquired (long-term only):		
	13.1 Bonds	69,521,596	91,700,592
	13.2 Stocks		0
	13.3 Mortgage loans		0
	13.4 Real estate		0
	13.5 Other invested assets		0
	13.6 Miscellaneous applications	15,000,000	0
	13.7 Total investments acquired (Lines 13.1 to 13.6)	84,521,596	91,700,592
14.	Net increase (decrease) in contract loans and premium notes	0	0
15.	Net cash from investments (Line 12.8 minus Line 13.7 minus Line 14)	(18,071,510)	(13,853,318)
	Cash from Financing and Miscellaneous Sources		
16.	Cash provided (applied):		
10.	16.1 Surplus notes, capital notes	0	0
	16.2 Capital and paid in surplus, less treasury stock		0
	16.3 Borrowed funds		0
	16.4 Net deposits on deposit-type contracts and other insurance liabilities	1	0
	16.5 Dividends to stockholders		22,500,000
	16.6 Other cash provided (applied)		(11,502,976)
17.	Net cash from financing and miscellaneous sources (Lines 16.1 to 16.4 minus Line 16.5 plus Line 16.6)	(39,886,838)	(34,002,976)
	RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS		
18.	Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17)	(2,235,974)	(40,861,873)
19.	Cash, cash equivalents and short-term investments:		
	19.1 Beginning of year	22,514,882	63,376,756
	19.2 End of year (Line 18 plus Line 19.1)	20,278,908	22,514,882

Note: Supplemental disclosures of cash flow information for non-cash transactions:		
		1

ANALYSIS OF OPERATIONS BY LINES OF BUSINESS

			VALISIS	OF LINA	ALICINO D	LINES	DOGINA	LOO			
		1	2	3	4	5	6	7	8	9	10
					X150	***	Federal		8000		
			1				Employees	Title	Title		
			Comprehensive	Medicare	Dental	Vision	Health	XVIII	XIX		Other
		Total	(Hospital & Medical)	Supplement	Only	Only	Benefits Plan	Medicare	Medicaid	Other Health	Non-Health
1	Net premium income	1,051,944,659	93,642,444		155			958,302,215			
2.								300,000,010			
2.	rate credit	5,068,675	1					5,068,675			
2	Fee-for-service (net of \$	0,000,010	l								
J.	medical expenses)	0	1								XXX
1 .	. ,	ν									
4.	Risk revenue	V						l			XXX
5.	Aggregate write-ins for other health care related	•	ا					0		0	VAA/
_	revenues			D	L	D	L			D	XXX
6.			l l								
	revenues	0	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	0
7.	Total revenues (Lines 1 to 6)	1,057,013,334	93,642,444	0	0	0	0	963,370,890	0	0	0
8.	Hospital/medical benefits	729,085,225	64,487,211					664,598,014			XXX
9.	Other professional services	4,540,310	2,323,095					2,217,215			XXX
10.	Outside referrals	0						L			XXX
11.	Emergency room and out of area	36,965,817	6,497,537					30,468,280			XXX
12.	Prescription drugs	60,961,408	15, 458, 492					45,502,916			XXX
13.	Aggregate write-ins for other hospital and medical	0	0,100,102	Λ	n	n	n	0	0	0	XXX
14.		9,348,309	114,257	и	ν	νυ	ν	9,234,052	ν	ν	XXX
	Incentive pool, withhold adjustments and bonus amounts		88,880,592								
15.	Subtotal (Lines 8 to 14)	840,901,069		V	J	V	J	752,020,477			XXX
16.	Net reinsurance recoveries	22,498,352	13,967,064					8,531,288			XXX
17.	Total medical and hospital (Lines 15 minus 16)	818,402,717	74,913,528	0	0	0	0	743,489,189	0	0	XXX
18.	Non-health claims (net)	0	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
19.	Claims adjustment expenses including		1								
	\$46,536,373 cost containment expenses	67,003,705	3,322,927					63,680,778			
20.	General administrative expenses	101, 432, 102	17,019,866					84,412,236			
21.	Increase in reserves for accident and health contracts	(6,784,000)	(6,784,000)								XXX
22.	Increase in reserves for life contracts	0	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
23.	Total underwriting deductions (Lines 17 to 22)	980,054,524	88,472,321			Λ					n
		76.958.810	5.170.123	U	ν	ν	ν	71.788.687	ν		
24.	Total underwriting gain or (loss) (Line 7 minus Line 23)	76,938,810	5, 1/0, 123	U	U	U	U	/1,/88,08/	U	U	U
l	DETAILS OF WRITE-INS		1								
0501.											XXX
0502.											XXX
0503.											XXX
0598.	Summary of remaining write-ins for Line 5 from overflow		1								
	page	0	0	0	0	0	0	0	0	0	XXX
0599.	Totals (Lines 0501 thru 0503 plus 0598) (Line 5 above)	0	0	0	0	0	0	0	0	0	XXX
0601.			XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
0602.			XXX	XXX	xxx	XXX	xxx	XXX	XXX	XXX	
0603.			XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
0698.	Summary of remaining write-ins for Line 6 from overflow				†		†				
0090.	page	n	xxx	XXX	xxx	xxx	xxx	xxx	XXX	XXX	n
0000		ν									ן א
0699.	Totals (Lines 0601 thru 0603 plus 0698) (Line 6 above)	U	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	0
1301.											XXX
1302.											XXX
1303.											XXX
1398.	Summary of remaining write-ins for Line 13 from				1		1				
	overflow page	0	0	0	0	0	0	0	0	0	XXX
1399.	Totals (Lines 1301 thru 1303 plus 1398) (Line 13 above)	0	0	0	0	0	0	0	0	0	XXX
	,				•		•		-		

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UNDERWRITING AND INVESTMENT EXHIBIT

PART 1 - PREMIUMS

	1	2	3	4
Line of Business	Direct Business	Reinsurance Assumed	Reinsurance Ceded	Net Premium Income (Cols. 1 + 2 - 3)
1. Comprehensive (hospital and medical)	99,533,510		5,891,067	93,642,443
2. Medicare Supplement				0
3. Dental only				
4. Vision only				0
5. Federal Employees Health Benefits Plan	0			0
6. Title XVIII - Medicare	966,562,659		8,260,444	958,302,215
7. Title XIX - Medicaid	0			0
8. Other health				0
9. Health subtotal (Lines 1 through 8)	1,066,096,169	0	14, 151,511	1,051,944,658
10. Life	0			0
11. Property/casualty	0			0
12. Totals (Lines 9 to 11)	1,066,096,169	0	14, 151,511	1,051,944,658

UNDERWRITING AND INVESTMENT EXHIBIT

PART 2 - CLAIMS INCURRED DURING THE YEAR

				PART 2 - CLAI	MS INCURRED DU	IRING THE YEAR					
ì		1	2	3	4	5	6 Federal	7	8	9	10
		Total	Comprehensive (Hospital & Medical)	Medicare Supplement	Dental Only	Vision Only	Employees Health Benefits Plan	Title XVIII Medicare	Title XIX Medicaid	Other Health	Other Non-Health
1	Payments during the year:	Total	(Hospital & Medical)	Oupplement	Dental Only	Vision Only	Delicito Fian	Wiculculc	Miculculu	Outer Ficular	Hon-ricaiai
1.	1.1 Direct	823,598,312	97, 179, 734					726,418,578			
	1.2 Reinsurance assumed	0	, 113,104					20,410,570			
	1.3 Reinsurance ceded	28,646,276	21,447,188					7,199,088			
	1.4 Net	794,952,036	75,732,546	0		0	Λ	7,199,000	0		
2.		6,634,426	677,135		V			5,957,291			
3.		0,004,420									
3.	3.1 Direct	135,474,425	12,358,941	0	0	0	0	123, 115, 484	0	0	,
	3.2 Reinsurance assumed		12,000,941		٥ـــــــــــــــــــــــــــــــــــــ		U	123,113,404			
	3.3 Reinsurance ceded	3,267,839	1,672,142				U	1,595,697		⁰	
			1,672,142				u	121.519.787		⁰	
	3.4 Net	132,200,380	10,080,799	U	0		LU	121,519,787	U	U	
4.	Claim reserve December 31, current year from Part 2D:	044 004	00.074					F00, 000			
	4.1 Direct	614,661	93,971					520,690			
	4.2 Reinsurance assumed		0.400					0.000			
	4.3 Reinsurance ceded	11,412	3,403					8,009			
_	4.4 Net	603,249	90,568		0	0	0	512,681			
5.		7,851,904	992.951					6,858,953			
	year										
	Net healthcare receivables (a)	4,860,648	(1,998,532)					6,859,180			
7.		5,759,173	4,114,187					1,644,986			
8.	current year		4, 114, 187					1,044,980			
8.	8.1 Direct	100 000 070	22,725,928	0	0			100, 164, 442	0	0	,
		122,890,370	22,723,928	U	0		0	100, 104,442		<u>0</u> -	
	8.2 Reinsurance assumed	U	U	U			0	1 000 070		⁰	
	8.3 Reinsurance ceded	5,565,788	4,359,715	U	U		0	1,206,073		U	
	8.4 Net	117,324,582	18,366,213		0	0	0	98,958,369			
9.	Claim reserve December 31, prior year from Part 2D:	000 000	100 045					044 705			
	9.1 Direct	383,620	138,915					244,705			
	9.2 Reinsurance assumed	0									
	9.3 Reinsurance ceded	13,932	6,731					7,201			
	9.4 Net	369,688	132 , 184	0	0	0	0	237,504		0	
	Accrued medical incentive pools and bonuses, prior year	5,138,020	1,555,829					3,582,191			
11.	Amounts recoverable from reinsurers December 31,	0.000.000	0.000.400					700.000			
	prior year	9,606,629	8,903,409					703,220			
12.	Incurred Benefits:	004 FFC 700	00 700 005		-			740 700 105			
	12.1 Direct	831,552,760	88,766,335	0	0	0	0	742,786,425	0	0	
	12.2 Reinsurance assumed	0	0	0	0	0	0	0	0	0	(
	12.3 Reinsurance ceded	22,498,351	13,967,065	0	0	0	0	8,531,286	0	0	(
	12.4 Net	809,054,409	74,799,270	0	0	0	0	734,255,139	0	0	(
13.	Incurred medical incentive pools and bonuses	9,348,310	114,257	0	0	0	0	9,234,053	0	0	

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

UNDERWRITING AND INVESTMENT EXHIBIT

PART 2A - CLAIMS LIABILITY END OF CURRENT YEAR

			FART ZA - CLAIN	13 LIABILITY END	OF CURRENT TEAL	N				
	1	2	3	4	5	6 Federal	7	8	9	10
		Comprehensive	Medicare			Employees Health	Title XVIII	Title XIX		Other
	Total	Comprehensive (Hospital & Medical)	Supplement	Dental Only	Vision Only	Benefits Plan	Medicare	Medicaid	Other Health	Non-Health
Reported in Process of Adjustment:										
1.1 Direct	57,526,053	5,909,374					51,616,679			
1.2 Reinsurance assumed	0									
1.3 Reinsurance ceded	155 , 134						155 , 134			
1.4 Net	57,370,919	5,909,374	0	0	0	0	51,461,545	0	0	0
Incurred but Unreported:										
2.1 Direct	77,392,119	6,449,426					70,942,693			
2.2 Reinsurance assumed	0									
2.3 Reinsurance ceded	3,112,705	1,672,142					1,440,563			
2.4 Net	74,279,414	4,777,284	0	0	0	0	69,502,130	0	0	0
Amounts Withheld from Paid Claims and Capitations:										
3.1 Direct	556,253	141					556,112			
3.2 Reinsurance assumed	0									
3.3 Reinsurance ceded	0									
3.4 Net	556,253	141	0	0	0	0	556,112	0	0	0
4. TOTALS:										
4.1 Direct	135,474,425	12,358,941	0	0	0	0	123,115,484	0	0	0
4.2 Reinsurance assumed	0	0	0	0	0	0	0	0	0	0
4.3 Reinsurance ceded	3,267,839	1,672,142	0	0	0	0	1,595,697	0	0	0
4.4 Net	132,206,586	10.686.799	0	0	0	0	121,519,787	0	0	0

.. loans or advances to providers not yet expensed.

ANNUAL STATEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

UNDERWRITING AND INVESTMENT EXHIBIT

PART 2B - ANALYSIS OF CLAIMS UNPAID - PRIOR YEAR - NET OF REINSURANCE

PART 2B - ANALYSIS OF CLAIMS UNPAID - PRIOR YEAR - NET OF REINSURANCE										
			Claim Reserve and Claim Liability		5	6				
	Claims Paid D	Ouring the Year	December 31 of Current Year			AND THE PERSON NAMED IN				
	1	2	3	4		Estimated Claim				
		1000	200 DOM	95.7		Reserve and Claim				
	On Claims Incurred		On Claims Unpaid		Claims Incurred	Liability				
	Prior to January 1	On Claims Incurred	December 31 of	On Claims Incurred	In Prior Years	December 31 of				
Line of Business	of Current Year	During the Year	Prior Year	During the Year	(Columns 1 + 3)	Prior Year				
Comprehensive (hospital and medical)	10,215,601	70.306.167	447.819	10.329.547	10.663.420	18,498,397				
1. Comprehensive (nospital and medical)	10,213,001		,013	10,023,347	10,000,420					
Medicare Supplement	-				0	0				
					_	_				
3. Dental Only	-				0	0				
4. Vision Only			L	L	0	0				
5. Federal Employees Health Benefits Plan					0	0				
3. Federal Employees Health Deficition Hall										
C. Title SAUII Medicare	60 040 E46	PEO 22E 470	2 720 002	110 201 474	62.773.539	00 405 074				
6. Title XVIII - Medicare	60,042,546	658,235,178	2,730,993	119,301,474	02,773,539	99, 195,874				
						_				
7 Title XIX - Medicaid					0	0				
8. Other health	.1		L	L	0	0				
9. Health subtotal (Lines 1 to 8)	70,258,147	728.541.345	3, 178, 812	129.631.021	73,436,959	117,694,271				
5. Health Subotal (Lines 1 to 0)			, 170,012	123,001,021		117,034,271				
40. Healthouse positional to (a)	0 070 400	32.743.281		0.047.005	0 070 400	04 000 000				
10. Healthcare receivables (a)	3,373,433	32,743,281		3,047,295	3,373,433	34,303,362				
					_	_				
11. Other non-health					0	0				
12. Medical incentive pools and bonus amounts	5,291,796	1,342,629	408,834	7,443,069	5,700,630	5,138,020				
13. Totals (Lines 9 - 10 + 11 + 12)	72,176,510	697.140.693	3.587.646	134.026.795	75,764,156	88,528,929				
10. 10tala (Elitea v - 10 · 11 · 12)	72, 170,510	000,000	0,007,040	107,020,733	10,107,100	00,020,323				

UNDERWRITING AND INVESTMENT EXHIBIT

PART 2C - DEVELOPMENT OF PAID AND INCURRED HEALTH CLAIMS (000 Omitted)

Section A - Paid Health Claims - Comprehensive (Hospital & Medical)

	Cumulative Net Amounts Paid					
	1	2	3	4	5	
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016	
1. Prior	(212,451)	(211,980)	(212,216)	(212,238)	(212,250)	
2. 2012	429,754	477,253	477,528	477,552	477,553	
3. 2013	XXX	404,293	449,784	450,041	450,038	
4. 2014	XXX	XXX	234,240	239,172	239,241	
5. 2015	XXX	XXX	XXX	140,925	144,112	
6. 2016	XXX	XXX	XXX	XXX	73, 166	

Section B - Incurred Health Claims - Comprehensive (Hospital & Medical)

	Sum of Cumulative Net Amount Paid and Claim Liability, Claim Reserve and Medical Incentive Pool and Bonus Outstanding at End of Year							
	1	4	5					
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016			
1. Prior	(211,028)	(211,981)	(212,216)	(212,238)	(212,250)			
2. 2012	491,359	480,434	477,528	477,552	477,553			
3. 2013	xxx	456,858	450,525	450,041	450,038			
4. 2014	xxx	XXX	258,245	239,824	239,241			
5. 2015	xxx	XXX	XXX	160,327	144,862			
6. 2016	XXX	XXX	XXX	XXX	84,186			

Section C - Incurred Year Health Claims and Claims Adjustment Expense Ratio - Comprehensive (Hospital & Medical)

	1	2	3	4	5	6	7	8	9	10
					Claim and Claim				Total Claims and	
Years in which					Adjustment Expense			Unpaid Claims	Claims Adjustment	
Premiums were Earned and Claims			Claim Adjustment	(Col. 3/2)	Payments	(Col. 5/1)		Adjustment	Expense Incurred	(Col. 9/1)
were Incurred	Premiums Earned	Claims Payment	Expense Payments	Percent	(Col. 2 + 3)	Percent	Claims Unpaid	Expenses	(Col. 5+7+8)	Percent
1. 2012	614,075	477,553	2,768	0.6	480,321	78.2			480,321	78.2
2. 2013	583,265	450,038	10,549	2.3	460,587	79.0			460,587	<i>7</i> 9.0
3. 2014	303,387	239,241	8,870	3.7	248,111	81.8			248,111	81.8
4. 2015	179,741	144,112	6,543	4.5	150,655	83.8	750	6	151,411	84.2
5. 2016	93,642	73,166	3,013	4.1	76,179	81.4	11,020	86	87,285	93.2

UNDERWRITING AND INVESTMENT EXHIBIT

PART 2C - DEVELOPMENT OF PAID AND INCURRED HEALTH CLAIMS (000 Omitted)

Section A - Paid Health Claims - Title XVIII

	Cumulative Net Amounts Paid						
	1	2	3	4	5		
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016		
1. Prior	33,288	32,532	31,885	31,825	31,756		
2. 2012	340,611	396,342	395,824	399,209	399,140		
3. 2013	XXX	433,425	505,941	505,607	505,218		
4. 2014	XXX	XXX	503,408	561,397	561,432		
5. 2015	XXX	XXX	XXX	567,982	632,683		
6. 2016	XXX	XXX	XXX	XXX	660,968		

Section B - Incurred Health Claims - Title XVIII

	Sum of Cumulative Net Amount Paid and Claim Liability, Claim Reserve and Medical Incentive Pool and Bonuse Outstanding at End of Year							
	1 2 3 4							
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016			
1. Prior	33,714	32,532	31,885	31,825	31,756			
2. 2012	414,154	401,380	395,824	399,209	399, 140			
3. 2013	xxx	524,844	508,594	505,607	505,218			
4. 2014	xxx	xxx	586,767	564,073	561,432			
5. 2015	xxx	xxx	xxx	668,084	635,521			
6. 2016	XXX	XXX	XXX	XXX	787,022			

Section C - Incurred Year Health Claims and Claims Adjustment Expense Ratio - Title XVIII

	1	2	3	4	5	6	7	8	9	10
					Claim and Claim				Total Claims and	
Years in which					Adjustment Expense			Unpaid Claims	Claims Adjustment	
Premiums were Earned and Claims			Claim Adjustment	(Col. 3/2)	Payments	(Col. 5/1)		Adjustment	Expense Incurred	(Col. 9/1)
were Incurred	Premiums Earned	Claims Payment	Expense Payments	Percent	(Col. 2 + 3)	Percent	Claims Unpaid	Expenses	(Col. 5+7+8)	Percent
1. 2012	504,542	399, 140	5,011	1.3	404,151	80.1			404,151	80.1
2. 2013	592,248	505,218	20,554	4.1	525,772	88.8			525,772	88.8
3. 2014	715,265	561,432	37,632	6.7	599,064	83.8			599,064	83.8
4. 2015	790,534	632,683	50,007	7.9	682,690	86.4	2,838	31	685,559	86.7
5. 2016	963,371	660,968	54,843	8.3	715,811	74.3	126,054	1,363	843,228	87.5

UNDERWRITING AND INVESTMENT EXHIBIT

PART 2C - DEVELOPMENT OF PAID AND INCURRED HEALTH CLAIMS (000 Omitted)

Section A - Paid Health Claims - Other

	W V	Cu	mulative Net Amounts F	Paid	
	1	2	3	4	5
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016
1. Prior	0	0	0	0	
2. 2012	y				
3. 2013	xxx				
4. 2014	XXX	XXX	283		
5. 2015	XXX	XXX	xxx		
6. 2016	XXX	XXX	XXX	XXX	

Section B - Incurred Health Claims - Other

	Sum of Cumulative N	et Amount Paid and Cla O	aim Liability, Claim Rese utstanding at End of Ye	erve and Medical Incenti ar	ve Pool and Bonuses
	1	2	3	4	5
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016
1. Prior	0	0	0	0	
2. 2012					
3. 2013	XXX				
4. 2014	XXX	XXX	292		
5. 2015	xxx	XXX	XXX		
6. 2016	XXX	XXX	XXX	XXX	

Section C - Incurred Year Health Claims and Claims Adjustment Expense Ratio - Other

		1	2	3	4	5	6	7	8	9	10
						Claim and Claim				Total Claims and	I
	Years in which					Adjustment Expense			Unpaid Claims	Claims Adjustment	I
	Premiums were Earned and Claims			Claim Adjustment	(Col. 3/2)	Payments	(Col. 5/1)		Adjustment	Expense Incurred	(Col. 9/1)
	were Incurred	Premiums Earned	Claims Payment	Expense Payments	Percent	(Col. 2 + 3)	Percent	Claims Unpaid	Expenses	(Col. 5+7+8)	Percent
1	. 2012				0.0	0	0.0			0	0.0
2	. 2013				0.0	0	0.0			0	0.0
3	. 2014	187			0.0	0	0.0			0	0.0
4	. 2015	(187)			0.0	0	0.0			0	0.0
5	. 2016				0.0	0	0.0			0	0.0

UNDERWRITING AND INVESTMENT EXHIBIT

PART 2C - DEVELOPMENT OF PAID AND INCURRED HEALTH CLAIMS (000 Omitted)

Section A - Paid Health Claims - Grand Total

	Cumulative Net Amounts Paid					
	1	2	3	4	5	
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016	
1. Prior	(179, 163)	(179,448)	(180,331)	(180,413)	(180,494)	
2. 2012	770,365	873,595	873,352	876,761	876,693	
3. 2013	XXX	837,718	955,725	955,648	955,256	
4. 2014	XXX	XXX	737,931	800,569	800,673	
5. 2015	XXX	XXX	XXX	708,907	776,795	
6. 2016	XXX	XXX	XXX	XXX	734, 134	

Section B - Incurred Health Claims - Grand Total

	Sum of Cumulative N		aim Liability, Claim Rese utstanding at End of Ye		ve Pool and Bonuses	
	1 2 3 4					
Year in Which Losses Were Incurred	2012	2013	2014	2015	2016	
1. Prior	(177,314)	(179,449)	(180,331)	(180,413)	(180,494)	
2. 2012	905,513	881,814	873,352	876,761	876,693	
3. 2013	XXX	981,702	959,119	955,648	955,256	
4. 2014	XXX	XXX	845,304	803,897	800,673	
5. 2015	XXX	XXX	XXX	828,411	780,383	
6. 2016	XXX	XXX	XXX	XXX	871,208	

Section C - Incurred Year Health Claims and Claims Adjustment Expense Ratio - Grand Total

	1	2	3	4	5	6	7	8	9	10
					Claim and Claim				Total Claims and	1
Years in which					Adjustment Expense			Unpaid Claims	Claims Adjustment	1
Premiums were Earned and Cla			Claim Adjustment	(Col. 3/2)	Payments	(Col. 5/1)		Adjustment	Expense Incurred	(Col. 9/1)
were Incurred	Premiums Earn	d Claims Payment	Expense Payments	Percent	(Col. 2 + 3)	Percent	Claims Unpaid	Expenses	(Col. 5+7+8)	Percent
1. 2012	1,118	876,693	7,779	0.9	884,472	<i>7</i> 9.1	0	0	884,472	<i>7</i> 9.1
2. 2013	1,175	513955,256	31,103	3.3	986,359	83.9	0	0	986,359	83.9
3. 2014	1,018	800,673	46,502	5.8	847, 175	83.2	0	0	847, 175	83.2
4. 2015	970	088776,795	56,550	7.3	833,345	85.9	3,588	37	836,970	86.3
5. 2016	1,057	734, 134	57,856	7.9	791,990	74.9	137,074	1,449	930,512	88.0

UNDERWRITING AND INVESTMENT EXHIBIT

	1	GGREGATE RESERV	3	4	5	6	7	8	Q
	Total	Comprehensive (Hospital & Medical)	Medicare Supplement	Dental Only	Vision Only	Federal Employees Health Benefits Plan	Title XVIII Medicare	Title XIX Medicaid	Other
Unearned premium reserves	0								
Additional policy reserves (a)	0								
Reserve for future contingent benefits	0								
4. Reserve for rate credits or experience rating refunds (including									
\$) for investment income	5,836,083						5,836,083		
Aggregate write-ins for other policy reserves	407,608	214,471	0	0	0	0	193 , 137	0	
6. Totals (gross)	6,243,691	214,471	0	0	0	0	6,029,220	0	
7. Reinsurance ceded	0								
8. Totals (Net)(Page 3, Line 4)	6,243,691	214,471	0	0	0	0	6,029,220	0	
9. Present value of amounts not yet due on claims	0								
10. Reserve for future contingent benefits	614,661	93,971					520,690		
11. Aggregate write-ins for other claim reserves	0	0	0	0	0	0	0	0	
12. Totals (gross)	614,661	93,971	0	0	0	0	520,690	0	
13. Reinsurance ceded	11,412	3,403					8,009		
14. Totals (Net)(Page 3, Line 7)	603,249	90,568	0	0	0	0	512,681	0	
DETAILS OF WRITE-INS									
01. Risk Adjustments Payable	214,471	214,471							
02. Part D RAF Payable							193 , 137		
03.									
98. Summary of remaining write-ins for Line 5 from overflow page	0	0	0	0	0	0	0	0	
99. Totals (Lines 0501 thru 0503 plus 0598) (Line 5 above)	407,608	214,471	0	0	0	0	193,137	0	
01.		-							
02.									
03.									
198. Summary of remaining write-ins for Line 11 from overflow page	0	0	0	0	0	0	0	0	
199. Totals (Lines 1101 thru 1103 plus 1198) (Line 11 above)	0	0	0	0	0	0	0	0	

(a) Includes \$ _____ premium deficiency reserve.

UNDERWRITING AND INVESTMENT EXHIBIT

PART 3 - ANALYSIS OF EXPENSES

			SIS OF EXPENSE			60
	-	Claim Adjustme	nt Expenses	3	4	5
		Cost Containment Expenses	Other Claim Adjustment Expenses	General Administrative Expenses	Investment Expenses	Total
1.	Rent (\$ for occupancy of	44	1.1	**		
	own building)	1,314,111	582,847	1,598,200		3,495,158
2.	Salary, wages and other benefits	23,878,470	10,590,804	29,040,598		63,509,872
3.	Commissions (less \$	2026 GB	35% 35	25 25		100 A
	ceded plus \$assumed)	0	0	17,472,685		17,472,685
4.	Legal fees and expenses			277,868		607,680
5.	Certifications and accreditation fees					0
6.	Auditing, actuarial and other consulting services		1,233,769	3.383.066		7,398,543
7.	Traveling expenses			966,989		2,114,742
8.	Marketing and advertising			1,906,995		
9.	Postage, express and telephone		686,688			4, 117,860
10.	Printing and office supplies			551.512		1,206,120
	Occupancy, depreciation and amortization			619,064		1,353,852
11.			40,830	,		244,847
12.	Equipment	92,058	40,830	111,959		244,847
13.	Cost or depreciation of EDP equipment and software	2,953,600	1,310,009	3,592,119		7,855,728
14.	Outsourced services including EDP, claims, and		2,771,177	3,762,866		12,899,062
15.	Boards, bureaus and association fees	41,480	18,398	50,448		110,326
16.	Insurance, except on real estate	396,526	175,871	482,248		1,054,645
17.	Collection and bank service charges		68,919	340,519		564,825
18.	Group service and administration fees		293,507	940,486		1,895,745
19.	Reimbursements by uninsured plans					
20.						0
21.	Real estate expenses					0
22	Real estate taxes	55,480	21, 126	118,492		195,098
23.	Taxes, licenses and fees:					,
	23.1 State and local insurance taxes	0	0	8,795,101		8,795,101
	23.2 State premium taxes					0,100,101
		0	0	21,906,285		21,906,285
	23.4 Payroll taxes			21,000,200		21,000,200
	23.5 Other (excluding federal income and real estate taxes)			-		
24.	Investment expenses not included elsewhere				118,642	118,642
25.	Aggregate write-ins for expenses	2,738,454	1,097,043	3,631,664	0	7,467,161
	· · · · · · · · · · · · · · · · · · ·	40 500 070	20,467,333	101,432,101	118,642	
26.	' ,		, ,			(a)168,554,449
27.	,,,,,,	1,031,763	453,784	6,410,100		7,895,647
28. 29.	Add expenses unpaid December 31, prior year	709,310	573,874	8,055,211		9,338,395
30.	Amounts receivable relating to uninsured plans, current year			3,275,444		3,275,444
31.	Total expenses paid (Lines 26 minus 27 plus 28 minus 29 plus 30)	46,213,920	20,587,423	103,705,692	118,642	170,625,677
	DETAILS OF WRITE-INS	,-,0,020		,,	,.	,,
2501		271,053	120,220	329,650		720,923
2502.	57	11,556	5, 125	86,793		103,474
2502. 2503.		283,617	8,251	22,623		314,491
	· ·	203,017		22,023		14,49 د
2598.	1 3	2, 172,228	963,447	3,192,598	0	6,328,273
2099.	Totals (Lines 2501 thru 2503 plus 2598)(Line 25 above)	2,738,454	1,097,043	3,631,664	0	7,467,161

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EXHIBIT OF NET INVESTMENT INCOME

		Collect	1 red During Year	2 Earned During Yea
1.	U.S. government bonds	(a)	1 032 493	1,025,1
	Bonds exempt from U.S. tax			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
1.2	Other bonds (unaffiliated)	(a)		1,705,48
	Bonds of affiliates			
2.1	Preferred stocks (unaffiliated)	(b)		
	Preferred stocks of affiliates			
2.2	Common stocks (unaffiliated)	(5)		
	Common stocks of affiliates			
3.	Mortgage loans	(c)		
	Real estate			
	Contract Loans			
	Cash, cash equivalents and short-term investments	(e)	418,085	418,08
	Derivative instruments			
	Other invested assets			
	Aggregate write-ins for investment income			
	Total gross investment income		3,055,516	
	Investment expenses	•		(g)118,64
	Investment taxes, licenses and fees, excluding federal income taxes			(g)
	Interest expense			(h)
	Depreciation on real estate and other invested assets			(i)
	Aggregate write-ins for deductions from investment income			
16.	Total deductions (Lines 11 through 15)			118,64
	Net investment income (Line 10 minus Line 16)			3,030,04
	DETAILS OF WRITE-INS			, ,
0901.				
0902.				
0903.				
0998.	Summary of remaining write-ins for Line 9 from overflow page		0	
	Totals (Lines 0901 thru 0903 plus 0998) (Line 9, above)		0	
1501.				
1502.				
1503.				
1598.	Summary of remaining write-ins for Line 15 from overflow page			
	Totals (Lines 1501 thru 1503 plus 1598) (Line 15, above)			

(a) Includes \$	61,585	accrual of discount less \$	1, 174,852	amortization of premium and less	\$164,412	paid for accrued interest on purchases.	i.
(b) Includes \$		accrual of discount less \$		amortization of premium and less	\$	paid for accrued dividends on purchase	e
(c) Includes \$		accrual of discount less \$		amortization of premium and less	\$	paid for accrued interest on purchases.	i.
(d) Includes \$		for company's occupancy of	f its own buildings	s; and excludes \$	interest on encu	mbrances.	
(e) Includes \$	2,983	accrual of discount less \$		amortization of premium and less	\$	paid for accrued interest on purchases.	i.
(f) Includes \$		accrual of discount less \$		amortization of premium.			
	and Separate Acco			investment taxes, licenses and	l fees, excluding fede	eral income taxes, attributable to	
(h) Includes \$		interest on surplus notes and	d \$	interest on capital notes.			
(i) Includes \$		depreciation on real estate :	and \$	depreciation on other inve	acted accete		

EXHIBIT OF CAPITAL GAINS (LOSSES)

		1	2	3	4	5
				Total Realized Capital		Change in Unrealized
		Realized Gain (Loss)	Other Realized	Gain (Loss)	Unrealized Capital	Foreign Exchange
		On Sales or Maturity	Adjustments	(Columns 1 + 2)	Gain (Loss)	Capital Gain (Loss)
1.	U.S. Government bonds	187,917	0	187,917	0	0
1.1	Bonds exempt from U.S. tax			0		
1.2	Other bonds (unaffiliated)	263,394	0	263,394	0	0
1.3	Bonds of affiliates	0	.0	.0	0	0
2.1	Preferred stocks (unaffiliated)	0	0	0	0	0
2.11	Preferred stocks of affiliates	0	0	0	0	0
2.2	Common stocks (unaffiliated)	0	0	0	0	0
2.21	Common stocks of affiliates	0	0	0	0	0
3.	Mortgage loans		0	0	0	0
4.	Real estate		0	0		0
5.	Contract loans			0		
6.	Cash, cash equivalents and short-term investments			0		
7.	Derivative instruments			0		
8.	Other invested assets		0	n	0	0
9.	Aggregate write-ins for capital gains (losses)		0	n	0	0
		451.311	0	451.311	o	0
10.	Total capital gains (losses)	401,011	0	431,311	U	U
	DETAILS OF WRITE-INS					
0901.						
0902.						
0903.						
0998.	Summary of remaining write-ins for Line 9 from					
	overflow page	0	0	l0	0	0
0999.	Totals (Lines 0901 thru 0903 plus 0998) (Line 9,		•			
	above)	0	0	0	0	0

EXHIBIT OF NON-ADMITTED ASSETS

	EXHIBIT OF NON-ADMITTE	D ASSETS	2	3
		Current Year Total Nonadmitted Assets	Prior Year Total Nonadmitted Assets	Change in Total Nonadmitted Assets (Col. 2 - Col. 1)
1.	Bonds (Schedule D)	Hondamitted Assets	Trondumited Assets	0
2.	Stocks (Schedule D):	-		
-	2.1 Preferred stocks			L0
	2.2 Common stocks			0
3.	Mortgage loans on real estate (Schedule B):			
J.				0
	3.1 First liens			0
4.	Real estate (Schedule A):			
4.				0
	4.1 Properties occupied by the company			0
	4.2 Properties held for the production of income.			
_	4.3 Properties held for sale	-		
5.	Cash (Schedule E - Part 1), cash equivalents (Schedule E - Part 2) and short-term investments (Schedule DA)			0
6.	Contract loans			0
7.	Derivatives (Schedule DB)			_
8.	Other invested assets (Schedule BA)			_
9.	Receivables for securities			0
10.	Securities lending reinvested collateral assets (Schedule DL)			
11.	Aggregate write-ins for invested assets		0	0
12.	Subtotals, cash and invested assets (Lines 1 to 11)	0	0	0
13.	Title plants (for Title insurers only)			0
14.	Investment income due and accrued			0
15.	Premiums and considerations:			
	15.1 Uncollected premiums and agents' balances in the course of collection	724,324	649,976	(74,348)
	15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due			0
	15.3 Accrued retrospective premiums and contracts subject to redetermination			0
16.	Reinsurance:			
	16.1 Amounts recoverable from reinsurers			0
	16.2 Funds held by or deposited with reinsured companies			0
	16.3 Other amounts receivable under reinsurance contracts			0
17.	Amounts receivable relating to uninsured plans	83,381	54,829	(28,552)
18.1	Current federal and foreign income tax recoverable and interest thereon		0	0
18.2	Net deferred tax asset	1,287,562	1,857,451	569,889
19.	Guaranty funds receivable or on deposit			0
20.	Electronic data processing equipment and software			0
21.	Furniture and equipment, including health care delivery assets			0
22.	Net adjustment in assets and liabilities due to foreign exchange rates			0
23.	Receivable from parent, subsidiaries and affiliates			0
24.	Health care and other amounts receivable	1	5,897,984	(315,918)
25.	Aggregate write-ins for other than invested assets		371,205	
26.	Total assets excluding Separate Accounts. Segregated Accounts and Protected Cell Accounts	8,507,280	8,831,445	324, 165
27.	From Separate Accounts, Segregated Accounts and Protected Cell Accounts			0
28.	Total (Lines 26 and 27)	8,507,280	8,831,445	324,165
	DETAILS OF WRITE-INS	.,,	_,,	
1101.				
1102.				
1103.				
1198.	Summary of remaining write-ins for Line 11 from overflow page	0	0	n
		0	0	0
1199.	Totals (Lines 1101 thru 1103 plus 1198)(Line 11 above)			170 004
2501.	Prepaid Expense	198,111		173,094
2502.				
2503.				
2598.	Summary of remaining write-ins for Line 25 from overflow page		0	
2599.	Totals (Lines 2501 thru 2503 plus 2598)(Line 25 above)	198,111	371,205	173,094

EXHIBIT 1 - ENROLLMENT BY PRODUCT TYPE FOR HEALTH BUSINESS ONLY

		Total Members at End of					
O	1 D-iV	2	3	4 Third Odan	5	Current Year	
Source of Enrollment	Prior Year	First Quarter	Second Quarter	Third Quarter	Current Year	Member Months	
	00,000	45.070	44 547	40 554	40,400	404 444	
1. Health Maintenance Organizations	20,002	15,672	14,547	13,554	12,468	164,441	
Provider Service Organizations							
Preferred Provider Organizations							
A. Deintet Coming	4.768	3.333	3.016	2.761	2,472	35.795	
4. Point of Service	4,700	, ააა	010,د	∠,/01	2,4/2	33,793	
E. Indomeite Only							
5. Indemnity Only							
Aggregate write-ins for other lines of business	84,393	87,621	89,753	91,349	92,545	1,077,743	
Aggregate write-ins to other lines of business	01,000	07,021	00,700	01,010	02,010	1,017,110	
7. Total	109,163	106,626	107,316	107,664	107,485	1,277,979	
· · · · · · · · · · · · · · · · · · ·	123,122	,	,	,	,	1,211,010	
DETAILS OF WRITE-INS							
0601. Medicare		87,621	89,753	91,349	92,545	1,077,743	
0602.							
0603.		<u> </u>					
0698. Summary of remaining write-ins for Line 6 from overflow page	0	0	0	0	0	0	
0699. Totals (Lines 0601 thru 0603 plus 0698) (Line 6 above)	84,393	87,621	89,753	91,349	92,545	1,077,743	

OXFORD HEALTH PLANS (NJ), INC.

NOTES TO STATUTORY BASIS FINANCIAL STATEMENTS AS OF AND FOR THE YEARS ENDED DECEMBER 31, 2016 AND 2015

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES AND GOING CONCERN

Organization and Operation

Oxford Health Plans (NJ), Inc. (the "Company"), licensed as a health maintenance organization ("HMO"), offers its enrollees a variety of managed care programs and products through contractual arrangements with health care providers. The Company is a wholly owned subsidiary of Oxford Health Plans, LLC. ("Oxford"). Oxford is a wholly owned subsidiary of UnitedHealth Group Incorporated ("UnitedHealth Group"). UnitedHealth Group is a publicly held company trading on the New York Stock Exchange.

The Company was incorporated on April 17, 1985, as an HMO and operations commenced in September 1985. The Company is certified as an HMO by the State of New Jersey Department of Banking and Insurance (the "Department"), Oregon Insurance Division, Missouri Department of Insurance, Pennsylvania Insurance Department, Delaware Department of Insurance and Rhode Island Department of Business Regulation. The Company has entered into contracts with physicians, hospitals, and other health care provider organizations to deliver health care services for all enrollees.

The Company offers comprehensive commercial products to individual and employer groups. Each contract outlines the coverage provided and renewal provisions. The Company also participates in the individual exchange business in New Jersey.

The Company serves as a plan sponsor offering Medicare Advantage and Medicare Part D prescription drug insurance coverage ("Medicare program") under a contract with the Centers for Medicare and Medicaid Services ("CMS"). Under the Medicare program, there are seven separate elements of payment received by the Company either during the year or at settlement in the subsequent year. These payment elements are CMS premium, member premium, CMS low-income premium subsidy, CMS catastrophic reinsurance subsidy, CMS low-income member cost-sharing subsidy, CMS risk share, and the CMS coverage gap discount program ("CGDP"). Each component of the Medicare program is further defined throughout Note 1.

A. Accounting Practices

The statutory basis financial statements of the Company are presented on the basis of accounting practices prescribed and permitted by the Department.

The Department recognizes only statutory accounting practices, prescribed or permitted by the State of New Jersey (the "State"), for determining and reporting the financial condition and results of operations of an HMO, for determining its solvency under New Jersey Insurance Law. The State prescribes the use of the National Association of Insurance Commissioners' ("NAIC") Accounting Practices and Procedures manual ("NAIC SAP") in effect for the accounting periods covered in the statutory basis financial statements.

No significant differences exist between the practices prescribed and permitted by the State and those prescribed and permitted by the NAIC SAP which materially affect the statutory basis net income and capital and surplus, as illustrated in the table below:

	SSAP#	F/S Page #	F/S Line #	2016	2015
Net Income		1. 1. 1. 1. 1. 1. 1. 1 . 1. 1. 1.			
(1) Company state basis (Page 4, Line 32, Columns 1 & 2)	XXX	xxx	XXX	\$ 48,929,650	\$ 14,644,124
(2) State prescribed practices that increase/(decrease) NAIC SAP:					
Not Applicable			-		
(3) State permitted practices that increase/(decrease) NAIC SAP:					
Not Applicable	2	25	62	<u>. 2 .</u>	<u>. 2 .</u>
(4) NAIC SAP $(1-2-3=4)$	XXX	XXX	XXX	\$ 48,929,650	\$ 14,644,124
Capital and Surplus					
(5) Company state basis (Page 3, Line 33, Columns 1 & 2)	XXX	xxx	xxx	\$ 117,182,698	\$ 120,984,360
(6) State prescribed practices that increase/(decrease) NAIC SAP:					
Not Applicable			_		
(7) State permitted practices that increase/(decrease) NAIC SAP:					
Not Applicable					
(8) NAIC SAP $(5-6-7=8)$	XXX	XXX	XXX	\$ 117,182,698	\$ 120,984,360

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

The preparation of these statutory basis financial statements in conformity with the NAIC Annual Statement Instructions and the NAIC SAP includes certain amounts that are based on the Company's estimates and judgments. These estimates require the Company to apply complex assumptions and judgments, often because the Company must make estimates about the effects of matters that are inherently uncertain and will change in subsequent periods. The most significant estimates relate to hospital and medical benefits, claims unpaid, and aggregate health policy reserves (including medical loss ratio rebates), aggregate health claim reserves and risk adjustment estimates. The Company adjusts these estimates each period as more current information becomes available. The impact of any changes in estimates is included in the determination of net income in the period in which the estimate is adjusted.

C. Accounting Policy

Basis of Presentation — The Company prepares its statutory basis financial statements on the basis of accounting practices prescribed and permitted by the Department. These statutory practices differ from accounting principles generally accepted in the United States of America ("GAAP").

Accounting policy disclosures that are required by the NAIC Annual Statement instructions are as follows:

- (1–2) Bonds and short-term investments are stated at amortized cost if they meet NAIC designation of one or two and stated at the lower of amortized cost or fair value if they meet an NAIC designation of three or higher. Amortization of bond premium or accretion of discount is calculated using the constant-yield interest method. Bonds and short-term investments are valued and reported using market prices published by the Securities Valuation Office of the NAIC ("SVO") in accordance with the NAIC Valuations of Securities manual prepared by the SVO or an external pricing service;
- (3–4) The Company holds no common or preferred stock;
- (5) The Company holds no mortgage loans on real estate;
- (6) U.S. government and agency securities and corporate debt securities include loan-backed securities (mortgage-backed securities and asset-backed securities), which are valued using the retrospective adjustment methodology. Prepayment assumptions for the determination of the amortized cost of loan-backed securities are based on a three-month constant prepayment rate history obtained from external data source vendors. The Company's investment policy limits investments in nonagency residential mortgage-backed securities, including home equity and sub-prime mortgages, to 10% of total cash and invested assets. Total combined investments in mortgage-backed securities and asset-backed securities cannot exceed more than 30% of total cash and invested assets;
- (7) The Company holds no investments in subsidiaries, controlled, or affiliated entities;
- (8) The Company has no investment interests with respect to joint ventures, partnerships, or limited liability companies;

- (9) The Company holds no derivatives;
- (10)Premium deficiency reserves and the related expenses are recognized when it is probable that expected future health care expenses, claims adjustment expenses ("CAE"), direct administration costs, and an allocation of indirect administration costs under a group of existing contracts will exceed anticipated future premiums and reinsurance recoveries considered over the remaining lives of the contracts, and are recorded as aggregate health policy reserves in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Indirect administration costs arise from activities that are not specifically identifiable to a specific group of existing contracts, and therefore, those costs are fully allocated among the various contract groupings. The allocation of indirect administration costs to each contract grouping is made proportionately to the expected margins remaining in the premiums after future health care expenses, CAE, and direct administration costs are considered. The methods for making such estimates and for establishing the resulting reserves are periodically reviewed and updated, and any adjustments are reflected as a change in reserves for accident and health contracts in the statutory basis statements of operations in the period in which the change in estimate is identified. The Company anticipates investment income as a factor in the premium deficiency calculation (see Note 30);
- (11) CAE are those costs expected to be incurred in connection with the adjustment and recording of accident and health claims. Pursuant to the terms of the management agreement (the "Agreement") - (see Note 10), the Company pays a management fee to its affiliate, United HealthCare Services, Inc. ("UHS"), in exchange for administrative and management services. A detailed review of the administrative expenses of the Company and UHS is performed to determine the allocation between claims adjustment expenses and general administrative expenses to be reported in the statutory basis statement of operations. It is the responsibility of UHS to pay CAE in the event the Company ceases operations. The Company has recorded an estimate of unpaid CAE associated with incurred but unpaid claims, which is included in unpaid claims adjustment expenses in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Management believes the amount of the liability for unpaid CAE as of December 31, 2016 is adequate to cover the Company's cost for the adjustment and recording of unpaid claims; however, actual expenses may differ from those established estimates. Adjustments to the estimates for unpaid CAE are reflected in operating results in the period in which the change in estimate is identified;
- (12) The Company does not carry any fixed assets on the statutory basis financial statements;
- (13) Health care and other amounts receivable consist of pharmacy rebates receivable estimated based on the most currently available data from the Company's claims processing systems and from data provided by the Company's affiliated pharmaceutical benefit manager, OptumRx, Inc. ("OptumRx"). Health care and other amounts receivable also include claim overpayments to providers, hospitals and other health care organizations. Health care and other amounts receivable are considered nonadmitted assets under NAIC SAP if they do not meet admissibility requirements. Accordingly, the Company has excluded receivables that do not meet the admissibility criteria from the statutory basis statements of admitted assets, liabilities, and capital and surplus (see Note 28).

The Company has also deemed the following to be significant accounting policies and/or differences between statutory practices and GAAP:

ASSETS

Cash and Invested Assets

- Bonds include U.S. government and agency securities, state and agency municipal securities, city and county municipal securities, and corporate debt securities, with a maturity of greater than one year at the time of purchase;
- Certain debt investments categorized as available-for-sale or held-to-maturity under GAAP
 are presented at the lower of amortized cost or fair value in accordance with the NAIC
 designations in the statutory basis financial statements, whereas under GAAP, these
 investments are shown at fair value or amortized cost, respectively;
- Cash overdrafts and short-term investments in the statutory basis financial statements
 represent cash balances and investments with original maturities of one year or less from
 the time of acquisition, whereas under GAAP, the corresponding caption of cash, and
 short-term investments includes cash balances and investments that will mature in one
 year or less from the balance sheet date;

- Cash represents cash held by the Company in operating accounts. Claims and other
 payments are made from the operating accounts daily. Cash overdrafts are a result of
 timing differences in funding disbursement accounts for claims payments;
- Outstanding checks are required to be netted against cash balances or presented as cash
 overdrafts if in excess of cash balances in the statutory basis statements of admitted
 assets, liabilities, and capital and surplus as opposed to being presented as other liabilities
 under GAAP;
- Short-term investments represent money-market funds, corporate debt securities, U.S. government and agency securities, state and agency municipal securities, and city and county municipal securities with a maturity of greater than three months but less than one year at the time of purchase. Short-term investments also consist of the Company's share of an investment pool sponsored and administered by UHS. The investment pool consists principally of investments with original maturities of less than one year, with the average life of the individual investments being less than 60 days. The Company's share of the pool represents an undivided ownership interest in the pool and is immediately convertible to cash at no cost or penalty. The participants within the pool have an individual fund number to track those investments owned by the Company. In addition, the Company is listed as a participant in the executed custodial agreement between UHS and the custodian whereby the Company's share in the investment pool is segregated and separately maintained. The pool is primarily invested in government obligations, commercial paper, certificates of deposit, and short-term agency notes and is recorded at cost or amortized cost depending on the composition of the underlying securities. Interest income from the pool accrues daily to participating members based upon ownership percentage;
- Realized capital gains and losses on sales of investments are calculated based upon specific identification of the investments sold. These gains and losses are reported as net realized capital gains less capital gains tax in the statutory basis statements of operations;
- The Company continually monitors the difference between amortized cost and estimated fair value of its investments. If any of the Company's investments experience a decline in value that the Company has determined is other-than-temporary, or if the Company has determined it will sell a security that is in an impaired status, the Company will record a realized loss in net realized capital gains less capital gains tax in the statutory basis statements of operations. The new cost basis is not changed for subsequent recoveries in fair value. The prospective adjustment method is utilized for loan-backed securities for periods subsequent to the loss recognition. The Company has not recorded any other-than-temporary impairments ("OTTI") for the years ended December 31, 2016 and 2015;
- The statutory basis statements of cash flows reconcile cash, cash overdrafts, and short-term investments with original maturities of one year or less from the time of acquisition; whereas under GAAP, the statements of cash flows reconcile the corresponding captions of cash with maturities of three months or less. Short-term investments with a final maturity of one year or less from the balance sheet date are not included in the reconciliation of GAAP cash flows. In addition, there are classification differences within the presentation of the cash flow categories between GAAP and statutory reporting. The statutory basis statements of cash flows are prepared in accordance with the NAIC Annual Statement Instructions.
- Receivables for Securities The Company reports receivables for securities when
 investments are sold at the end of an accounting period and proceeds are received in a
 subsequent month in the statutory basis statements of admitted assets, liabilities, and
 capital and surplus. Any receivables for securities not received within 15 days from the
 settlement date are nonadmitted.

Other Assets

- Investment Income Due and Accrued Investment income earned and due as of the reporting date, in addition to investment income earned but not paid or collected until subsequent periods, is reported as investment income due and accrued in the statutory basis statements of admitted assets, liabilities, and capital and surplus. The Company evaluates the collectability of the amounts due and accrued and amounts determined to be uncollectible are written off in the period in which the determination is made. In addition, the remaining balance is assessed for admissibility and any balance greater than 90 days past due is considered a nonadmitted asset.
- Uncollected Premiums The Company reports uncollected premium balances from its
 insured members as uncollected premiums in the statutory basis statements of admitted
 assets, liabilities, and capital and surplus. Uncollected premium balances that are over
 90 days past due, with the exception of amounts due from government insured plans, are
 considered nonadmitted assets. In addition to those balances, current balances are also
 considered nonadmitted if the corresponding balance greater than 90 days past due is

deemed more than inconsequential. Premiums and considerations also include the following:

a) risk adjustment receivables as defined in Section 1343 of the Affordable Care Act ("ACA"). Premium adjustments are based upon the risk scores (health status) of enrollees participating in risk adjustment covered plans, rather than the actual loss experience of the insured. A risk adjustment receivable is recorded when the Company estimates its average actuarial risk score for policies included in this program is greater than the average actuarial risk scores in that market and state risk pool;

b) CMS risk adjustment receivables. The risk adjustment model apportions premiums paid to all health plans according to the health severity and certain demographic factors of its enrollees. The CMS risk adjustment model pays more for members whose medical history indicates they have certain medical conditions. Under this risk adjustment methodology, CMS calculates the risk-adjusted premium payment using diagnosis data from hospital inpatient, hospital outpatient, and physician treatment settings. The Company and health care providers collect, capture, and submit the necessary and available diagnosis data to CMS within prescribed deadlines. The Company estimates risk adjustment revenues based upon the diagnosis data submitted and expected to be submitted to CMS. The Company recognizes such changes when the amounts become determinable and supportable and collectability is reasonably assured.

Premium adjustments for the ACA Section 1343 risk adjustment and CMS risk adjustment programs are accounted for as premium adjustments subject to redetermination (see Note 24).

- Amounts Receivable Relating to Uninsured Plans —The ACA mandates consumer discounts of 50% on brand name prescription drugs for Part D plan participants in the coverage gap. As part of the CGDP, the Company records a receivable from the pharmaceutical manufacturers for reimbursement of the discounts which is included in amounts receivable relating to uninsured plans in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Related cash flows are presented within operating expenses paid within net cash provided by operations in the statutory basis statements of cash flows. The Company solely administers the application of these funds and has no insurance risk.
- Current Federal Income Tax Recoverable The Company is included in the consolidated federal income tax return with its ultimate parent, UnitedHealth Group under which taxes approximate the amount that would have been computed on a separate company basis, with the exception of net operating losses and capital losses. For these losses, the Company receives a benefit at the federal rate in the current year for current taxable losses incurred in that year to the extent losses can be utilized in the consolidated federal income tax return of UnitedHealth Group. A current federal income tax recoverable is recognized when the Company's allocated intercompany estimated payments are more than its actual calculated obligation based on the Company's stand-alone federal income tax return (see Note 9).
- Net Deferred Tax Asset NAIC SAP provides for an amount to be recorded for deferred taxes on temporary differences between the financial reporting and tax bases of assets, subject to a valuation allowance and admissibility limitations on deferred tax assets (see Note 9). In addition, under NAIC SAP, the change in deferred tax assets is recorded directly to unassigned surplus in the statutory basis financial statements, whereas under GAAP, the change in deferred tax assets is recorded as a component of the income tax provision within the income statement and is based on the ultimate recoverability of the deferred tax assets. Based on the admissibility criteria under NAIC SAP, any deferred tax assets determined to be nonadmitted are charged directly to surplus and excluded from the statutory basis financial statements, whereas under GAAP, such assets are included in the balance sheet.

LIABILITIES

Claims Unpaid and Aggregate Health Claim Reserves — Claims unpaid and aggregate
health claim reserves include claims processed but not yet paid, estimates for claims
received but not yet processed, estimates for the costs of health care services enrollees
have received but for which claims have not yet been submitted, and payments and
liabilities for physician, hospital, and other medical costs disputes.

The estimates for incurred but not yet reported claims are developed using an actuarial process that is consistently applied, centrally controlled, and automated. The actuarial models consider factors such as historical submission and payment data, cost trends, customer and product mix, seasonality, utilization of health care services, contracted service rates, and other relevant factors. The Company estimates such liabilities for physician, hospital, and other medical cost disputes based upon an analysis of potential outcomes, assuming a combination of litigation and settlement strategies. These estimates

may change as actuarial methods change or as underlying facts upon which estimates are based change. The Company did not change actuarial methods during 2016 and 2015. Management believes the amount of claims unpaid and aggregate health claim reserves is a best estimate of the Company's liability for unpaid claims and aggregate health claim reserves as of December 31, 2016; however, actual payments may differ from those established estimates.

The reserves ceded to reinsurers for claims unpaid and aggregate health claim reserves have been reported as reductions of the related reserves rather than as assets, which would be required under GAAP.

The Company contracts with hospitals, physicians, and other providers of health care under capitated or discounted fee for service arrangements, including a hospital per diem to provide medical care services to enrollees. Some of these contracts are with related parties (see Note 10). Capitated providers are at risk for the cost of medical care services provided to the Company's enrollees; however, the Company is ultimately responsible for the provision of services to its enrollees should the capitated provider be unable to provide the contracted services.

- Unearned Premiums Unearned premiums are established for the portion of premiums
 received during the current period that are partially unearned at the end of the period and
 are included in aggregate health policy reserves in the statutory basis statements of
 admitted assets, liabilities, and capital and surplus.
- Accrued Medical Incentive Pool and Bonus Amounts The Company has agreements with certain independent physicians and physician network organizations that provide for the establishment of a fund into which the Company places monthly premiums payable for members assigned to the physician. The Company manages the disbursement of funds from this account as well as reviews the utilization of nonprimary care medical services of members assigned to the physicians. Any surpluses in the fund are shared by the Company and the physician based upon predetermined risk-sharing percentage and the liability is included in accrued medical incentive pool and bonus amounts in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

The Company has incentive and bonus arrangements with providers that are based on quality, utilization, and/or various health outcome measures. The estimated amount due to providers that meet the established metrics is included in accrued medical incentive pool and bonus amounts in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

- Aggregate Health Policy Reserves —The Company establishes a liability for estimated accrued retrospective and redetermination premiums due from the Company based on the actuarial method and assumptions for each respective contract. Aggregate health policy reserves also includes:
 - a) risk adjustment payables as defined in Section 1343 of the ACA. Premium adjustments are based upon the risk scores (health status) of enrollees participating in risk adjustment covered plans, rather than the actual loss experience of the insured. A risk adjustment payable is recorded when the Company estimates its average actuarial risk score for policies included in this program is less than the average actuarial risk scores in that market and state risk pool (see Note 24);
 - b) CMS risk corridor payables for which adjustments are based on whether the ultimate PMPM benefit costs of any Medicare program plan varies more than 5% below the level estimated in the original bid submitted by the Company and approved by CMS (see Note 24);
 - c) CMS risk adjustment payables. The risk adjustment model apportions premiums paid to all health plans according to the health severity and certain demographic factors of its enrollees. The CMS risk adjustment model pays more for members whose medical history indicates they have certain medical conditions. Under this risk adjustment methodology, CMS calculates the risk-adjusted premium payment using diagnosis data from hospital inpatient, hospital outpatient, and physician treatment settings. The Company and health care providers collect, capture, and submit the necessary and available diagnosis data to CMS within prescribed deadlines. The Company estimates risk adjustment revenues based upon the diagnosis data submitted and expected to be submitted to CMS. The Company recognizes such changes when the amounts become determinable and supportable (see Note 24);
 - d) the estimated amount for premium deficiency reserves (see Note 30).
- Premiums Received in Advance Premiums received in full during the current period
 that are not due until future periods are recorded as premiums received in advance in the
 statutory basis statements of admitted assets, liabilities, and capital and surplus.

- General Expenses Due or Accrued General expenses that are due as of the reporting date in addition to general expenses that have been incurred but are not due until a subsequent period are reported as general expenses due or accrued in the statutory basis statements of admitted assets, liabilities, and capital and surplus. General expenses due or accrued also include the amounts for unpaid assessments, premium taxes, state income taxes and the unpaid portion of the contributions required under the ACA risk adjustment and reinsurance programs (see Note 24).
- Remittances and Items Not Allocated Remittances and items not allocated generally
 represent monies received from policyholders for monthly premium billings or providers that
 have not been specifically identified or applied prior to year-end. The majority is from
 monies received in the lockbox account on the last day of the year.
- Amounts Due to Parent, Subsidiaries, and Affiliates, Net In the normal course of business, the Company has various transactions with related parties (see Note 10). The Company reports any unsettled amounts owed as amounts due to parent, subsidiaries, and affiliates, net, in the statutory basis statements of admitted assets, liabilities, and capital and surplus.
- Liability for Amounts Held Under Uninsured Plans Liability for amounts held under uninsured plans represents costs incurred that are less than the cost reimbursement under the Medicare program for the catastrophic reinsurance subsidy and the low-income member cost-sharing subsidy for the individual members. The Company is fully reimbursed by CMS for costs incurred for these contract elements, and accordingly, there is no insurance risk to the Company. Amounts received for these subsidies are received monthly and are not reflected as net premium income, but rather are accounted for as deposits. If the Company incurs costs less than these subsidies, a corresponding liability is recorded in liability for amounts held under uninsured plans in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Related cash flows are presented within operating expenses paid within net cash provided by operations in the statutory basis statements of cash flows. For employer group members, the cost reimbursement under the Medicare program for the catastrophic reinsurance subsidy and the low-income member cost-sharing subsidy are only received at settlement which is in the subsequent year. The ACA mandates consumer discounts of 50% on brand name prescription drugs for Part D plan participants in the coverage gap. These discounts are pre-funded for the members by CMS and a liability for the amount subject to recoupment is recorded in liability for amounts held under uninsured plans in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Related cash flows are presented within operating expenses paid within net cash provided by operations in the statutory basis statements of cash flows. The Company solely administers the application of these funds and has no insurance risk.

Liability for amounts held under uninsured plans also includes the cost reimbursement for the cost-sharing reduction components of the ACA. The Company is fully reimbursed by the federal government for costs incurred related to these provisions. The Company receives advances that are applied to eligible claims. If the Company incurs costs that are less than these subsidies, a corresponding liability is recorded for amounts held under uninsured plans in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

CAPITAL AND SURPLUS AND MINIMUM STATUTORY REQUIREMENTS

- Nonadmitted Assets Certain assets, including certain aged premium receivables, certain health care and other amounts receivable, certain deferred tax assets, and prepaid expenses are considered nonadmitted assets under NAIC SAP and are excluded from the statutory basis statements of admitted assets, liabilities, and capital and surplus and charged directly to unassigned surplus. Under GAAP, such assets are included in the balance sheet.
- Restricted Cash Reserves The Company held regulatory deposits in the amount of \$146,427,633 and \$159,419,033 as of December 31, 2016 and 2015, respectively, in compliance with the State requirements for qualification purposes as a domestic and foreign insurer. The Company was required to hold at a minimum \$126,131,569 and \$141,286,056 as of December 31, 2016 and 2015, respectively. These restricted cash reserves consist principally of government obligations and are stated at amortized cost. These restricted deposits are included in bonds in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Interest earned on these deposits accrues to the Company.

The New Jersey Administrative Code also requires the Company to maintain minimum insolvency deposits with the State of New Jersey of \$2,003,489 and \$1,968,064 for administrative expenses at December 31, 2016 and 2015, respectively. The Company was in compliance with the requirements as of December 31, 2016 and 2015, respectively. This reserve is included in bonds in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Interest earned on this deposit accrues to the Company.

- Minimum Capital and Surplus —Under the laws of the State, the Department requires the Company to maintain a minimum capital and surplus equal to the greatest of:
 - 1. Approximately \$2,003,489;
 - 2. 2% of the first \$150 million of annual premium revenue and 1% of annual premium revenue over \$150 million;
 - 3. An amount equal to the sum of three months of uncovered health care expenditures;
 - 4. An amount equal to the sum of 8% of the annual health care expenditures (not including those expenditures paid on a capitated basis or those on a managed hospital plan basis), plus 4% of the annual hospital expenditures paid on a managed hospital payment basis.

The minimum capital and surplus requirement is \$64,589,748 and \$60,460,817 for December 31, 2016 and 2015, respectively, which was based on health care expenditures as that produced the highest minimum requirement. The Company is in compliance with the required amount.

Risk-based capital ("RBC") is a regulatory tool for measuring the minimum amount of capital appropriate for a managed care organization to support its overall business operations in consideration of its size and risk profile. The Department requires the Company to maintain minimum capital and surplus equal to the greater of the state statute as outlined above or the company action level as calculated by the RBC formula or the level needed to avoid action pursuant to the trend test in the RBC formula. The Company is in compliance with the required amount.

Section 9010 ACA Subsequent Fee Year Assessment — In 2016 and 2015, the Company is subject to the Section 9010 ACA Health Insurer Fee ("HIF"). In accordance with the 2017 HIF moratorium, no HIF will be payable in 2017 and therefore the 2016 statutory basis statements of admitted assets, liabilities, and capital and surplus will have no amounts apportioned out of unassigned funds representing an estimate of the 2017 HIF. In 2015, under NAIC SAP, an amount equal to the estimated subsequent year fee was apportioned out of unassigned surplus and reported as Section 9010 ACA subsequent fee year assessment in the statutory basis statements of admitted assets, liabilities, and capital and surplus, whereas under GAAP, no such special surplus designation is required.

STATEMENTS OF OPERATIONS

Net Premium Income and Change in Unearned Premium Reserves and Reserve for Rate Credits — Revenues consist of net premium income that is recognized in the period in which enrollees are entitled to receive health care services. Net premium income is shown net of reinsurance premiums paid and reinsurance premiums incurred but not paid in the statutory basis statements of operations. The corresponding change in unearned premium from year to year is reflected as a change in unearned premium reserves and reserve for rate credits in the statutory basis statements of operations. Under GAAP, the change in unearned premium from year to year is reported through premium income.

Comprehensive commercial health plans with medical loss ratios on fully insured products, as calculated under the definitions in the ACA (see Note 14) and implementing regulations, that fall below certain targets are required to rebate ratable portions of premiums annually. The Company classifies its estimated rebates as change in unearned premium reserves and reserve for rate credits in the statutory basis statements of operations.

Pursuant to Section 1343 of the ACA, the Company records premium adjustments for changes to the risk adjustment balances which are reflected in net premium income in the statutory basis statements of operations.

Net premium income includes premium under the Medicare program, which includes CMS premium, member premium, and CMS low-income premium subsidy for the Company's insurance risk coverage. Net premium income is recognized ratably over the period in which eligible individuals are entitled to receive health care services and prescription drug benefits

Net premium income also includes amounts pursuant to the CMS risk adjustment program. The Company recognized \$5,250,688 and \$4,288,416 for changes in prior year Medicare risk factor estimates during the years ended December 31, 2016 and 2015, respectively, which is recorded as net premium income in the statutory basis statements of operations.

The Company also records estimates related to the CMS risk corridor program. Changes to these estimates are reflected as change in unearned premium reserves and reserve for rate credits in the statutory basis statements of operations.

Medicare Advantage plans and Part D prescription drug plans are subject to medical loss ratio requirements under the ACA. Plans with medical loss ratios that fall below certain targets are required to rebate ratable portions of premiums annually. The Company classifies its estimated rebates as change in unearned premium reserves and reserve for rate credits in the statutory basis statements of operations.

 Total Hospital and Medical Expenses — Total hospital and medical expenses include claims paid, claims processed but not yet paid, estimates for claims received but not yet processed, estimates for the costs of health care services enrollees have received but for which claims have not yet been submitted, and payments and liabilities for physician, hospital, and other medical costs disputes.

Total hospital and medical expenses also include amounts incurred for incentive pool, withhold adjustments, and bonus amounts that are based on the underlying contractual provisions with the respective providers. In addition, adjustments to claims unpaid estimates and aggregate health claim reserves are reflected in the period once the change in estimate is identified and included in total hospital and medical expenses in the statutory basis statements of operations.

• General Administrative Expenses — Pursuant to the terms of the Agreement (see Note 10), the Company pays a management fee to UHS in exchange for administrative and management services. Costs for items not included within the scope of the Agreement are directly expensed as incurred. State income taxes are also a component of general administrative expenses. A detailed review of the administrative expenses of the Company and UHS is performed to determine the allocation between claims adjustment expenses and general administrative expenses to be reported in the statutory basis statements of operations.

The Company is subject to an annual fee under Section 9010 of the ACA. A health insurance entity's annual fee becomes payable once the entity provides health insurance for any U.S. health risk during the calendar year which is nondeductible for tax purposes. Under NAIC SAP, the entire amount of the estimated annual fee expense is recognized on January 1 of the fee year in general administrative expenses in the statutory basis statements of operations, whereas under GAAP, a deferred asset is created on January 1 of the fee year which is amortized to expense on a straight-line basis throughout the year.

- Net Investment Income Earned Net investment income earned includes investment income collected during the period, as well as the change in investment income due and accrued on the Company's holdings. Amortization of premium or discount on bonds and certain external investment management costs are also included in net investment income earned (see Note 7).
- Federal Income Taxes Incurred The provision for federal income taxes incurred is
 calculated based on applying the statutory federal income tax rate of 35% to net gain from
 operations before federal income taxes and net realized capital gains subject to certain
 adjustments (see Note 9).
- Comprehensive Income Comprehensive income and its components are not separately presented in the statutory basis financial statements, whereas under GAAP, it is a requirement to present comprehensive income and its components in the financial statements.

REINSURANCE

- Reinsurance Ceded In the normal course of business, the Company seeks to limit its
 exposure to loss on any single insured and to recover a portion of benefits paid by ceding
 premium to other insurance enterprises or reinsurers under excess coverage contracts or
 specific transfer of risk agreements. The Company remains primarily liable as the direct
 insurer on the risks reinsured. Reinsurance premiums paid and reinsurance premiums
 incurred but not paid are deducted from net premium income in the statutory basis
 statements of operations. Any amounts due to the Company pursuant to this agreement
 are recorded as amounts recoverable from reinsurers in the statutory basis statements of
 admitted assets, liabilities, and capital and surplus (see Note 10 and Note 23).
- Amounts Recoverable from Reinsurers The Company records amounts recoverable
 from reinsurers for claims paid under the various reinsurance agreements between the
 Company and other affiliated companies in the statutory basis statements of admitted
 assets, liabilities, and capital and surplus and as net reinsurance recoveries in the statutory
 basis statements of operations.
- Section 1341 ACA Transitional Reinsurance The Company has established receivables of \$3,257,433 and \$7,744,351 and liabilities of \$39,353 and \$349,019 as of December 31, 2016 and 2015, respectively, pursuant to Section 1341 of the ACA which is included in amounts recoverable from reinsurers and ceded reinsurance premiums

payable, respectively, in the statutory basis statements of admitted assets, liabilities, and capital and surplus, for the transitional reinsurance program. This program is designed to protect issuers in the individual market from an expected increase in large claims due to the elimination of preexisting condition limitations (see Note 24).

Ceded Reinsurance Premiums Payable — The ceded reinsurance premiums payable
balance represents amounts due to the reinsurer for specified coverage which will be paid
based on the contract terms.

OTHER

Vulnerability Due to Certain Concentrations — The Company is subject to substantial
federal and state government regulation, including licensing and other requirements
relating to the offering of the Company's existing products in new markets and offerings of
new products, both of which may restrict the Company's ability to expand its business.

The Company has no customers that individually exceed 10% of total direct premiums written and premiums and consideration, including receivables for contracts subject to redetermination, for the years ended December 31, 2016 and 2015.

Direct premiums written and uncollected premiums, including receivables for contracts subject to redetermination, from members and CMS related to Medicare Advantage as a percentage of total direct premiums written and total uncollected premiums, including receivables for contracts subject to redetermination, are 91% and 95% as of December 31, 2016 and 81% and 77% as of December 31, 2015, respectively.

Recently Issued Accounting Standards — The Company reviewed all recently issued guidance in 2016 and 2015 that has been adopted for 2016 or subsequent years' implementation and has determined that none of the items would have a significant impact to the statutory basis financial statements.

D. Going Concern

The Company has the ability and will continue to operate for a period of time sufficient to carry out its commitments, obligations and business objectives.

2. ACCOUNTING CHANGES AND CORRECTION OF ERRORS

No changes in accounting principles or correction of errors have been recorded during the year ended December 31, 2016 and 2015.

3. BUSINESS COMBINATIONS AND GOODWILL

A–D. The Company was not party to a business combination during the years ended December 31, 2016 and 2015, and does not carry goodwill in its statutory basis statements of admitted assets, liabilities, and capital and surplus.

4. DISCONTINUED OPERATIONS

- A. Discontinued Operation Disposed of or Classified as Held for Sale
- (1–4) The Company did not have any discontinued operations disposed of or classified as held for sale during 2016 and 2015.
- B. Change in Plan of Sale of Discontinued Operation Not applicable.
- C. Nature of any Significant Continuing Involvement with Discontinued Operations after Disposal Not applicable.
- D. Equity Interest Retained in the Discontinued Operation after Disposal Not applicable.

5. INVESTMENTS

For purposes of calculating gross realized gains and losses on sales of investments, the amortized cost of each investment sold is used. The gross realized gains and losses on sales of long-term investments were \$459,016 and \$7,709, respectively, for 2016 and \$1,672,655 and \$44,741, respectively, for 2015. There were no gross realized gains and losses on sales of short-term investments for 2016 and 2015, respectively. The net realized gain or loss is included in net realized capital gains less capital gains tax in the statutory basis statements of operations. Total proceeds on the sale of long-term investments were \$23,771,984 and \$50,878,238 and for short-term investments were \$1,135,300,810 and \$1,030,210,474 in 2016 and 2015, respectively.

As of December 31, 2016 and 2015, the amortized cost, fair value, and gross unrealized holding gains and losses of the Company's investments, excluding cash overdrafts of \$6,348,822 and \$7,306,370, respectively, are as follows:

2016

	2016
	Gross Gross Gross Unrealized Unrealized Unrealized Holding Holding Amortized Holding Losses Losses Fair Cost Gains <1 Year >1 Year Value
U.S. government and agency securities State and agency municipal securities City and county municipal securities Corporate debt securities Money-market funds	\$ 99,671,355 \$ 202,512 \$ 615,451 \$ 18,474 \$ 99,239,942 22,698,671 59,616 252,714 - 22,505,573 13,684,943 21,867 214,237 - 13,492,573 32,779,848 208,358 90,851 22,151 32,875,204 26,627,730 - - - 26,627,730
Total bonds and short-term investments	<u>\$ 195,462,547</u>
	2016
	Gross Gross Gross Unrealized Unrealized Unrealized Holding Holding Amortized Holding Losses Losses Fair Cost Gains <1 Year >1 Year Value
Less than one year One to five years Five to ten years Over ten years	\$ 43,100,153 \$ 6,277 \$ 13,011 \$ - \$ 43,093,419 119,011,311 304,099 607,081 - 118,708,329 11,241,605 105,252 61,269 - 11,285,588 22,109,478 76,725 491,892 40,625 21,653,686
Total bonds and short-term investments	<u>\$ 195,462,547</u>
	2015
	Gross Gross Gross Unrealized Unrealized Holding Holding Amortized Holding Losses Losses Fair Cost Gains <1 Year >1 Year Value
U.S. government and agency securities State and agency municipal securities City and county municipal securities Corporate debt securities Money-market funds	\$ 118,970,153 \$ 262,530 \$ 493,187 \$ 31,481 \$ 118,708,015 \$ 19,054,424 330,911 3,338 - 19,381,997 \$ 7,086,007 112,476 217 - 7,198,266 \$ 21,314,687 212,041 150,063 6,455 21,370,210 \$ 29,821,252 - - - 29,821,252
Total bonds and short-term investments	<u>\$ 196,246,523</u>

Included in U.S. government and agency securities and corporate debt securities in the tables above are mortgage-related loan-backed securities, which do not have a single maturity date. For the years to maturity table above, these securities have been presented in the maturity group based on the securities' final maturity date and at an amortized cost of \$9,924,754 and fair value of \$9,960,819.

The following table illustrates the fair value and gross unrealized holding losses, aggregated by investment category and length of time that the individual securities have been in a continuous unrealized loss position as of December 31, 2016 and 2015:

			2016		
	<1	Year	> 1 Year	To	tal
	Fair Value	Gross Unrealized Holding Losses	Gross Unrealized Fair Holding Value Losses	Fair Value	Gross Unrealized Holding Losses
U.S. government and agency securities State and agency municipal securities City and county municipal securities Corporate debt securities Total bonds and short-term investments	\$ 66,888,744 16,756,619 9,872,010 8,398,199 \$ 101,915,572	\$ 615,451 252,714 214,237 90,851 \$ 1,173,253	\$ 580,031 \$ 18,474 	\$ 67,468,775 16,756,619 9,872,010 8,935,757 \$ 103,033,161	\$ 633,925 252,714 214,237 113,002 \$ 1,213,878
			2015		
	<1	Year	> 1 Year	To	tal
	Fair Value	Gross Unrealized Holding Losses	Gross Unrealized Fair Holding Value Losses	Fair Value	Gross Unrealized Holding Losses
U.S. government and agency securities State and agency municipal securities City and county municipal securities Corporate debt securities	\$ 83,584,114 7,467,781 1,661,175 11,057,066	\$ 493,187 3,338 217 150,063	\$ 1,795,617 \$ 31,481 	\$ 85,379,731 7,467,781 1,661,175 11,380,509	\$ 524,668 3,338 217 156,518
Total bonds and short-term investments	\$ 103,770,136	\$ 646,805	\$ 2,119,060 \$ 37,936	\$ 105,889,196	\$ 684,741

The unrealized losses on investments in U.S. government and agency securities, state and agency municipal securities, city and county municipal securities, and corporate debt securities at December 31, 2016 and 2015, were mainly caused by interest rate increases and not by unfavorable changes in the credit ratings associated with these securities. The Company evaluates impairment at each reporting period for each of the securities whereby the fair value of the investment is less than its amortized cost. The contractual cash flows of the U.S. government and agency securities are guaranteed either by the U.S. government or an agency of the U.S. government. It is expected that the securities would not be settled at a price less than the cost of the investment, and the Company does not intend to sell the investment until the unrealized loss is fully recovered. The Company evaluated the credit ratings of the municipal, local agency and corporate debt securities, noting whether a significant deterioration since purchase or other factors that may indicate an OTTI, such as the length of time and extent to which fair value has been less than cost, the financial condition, and near-term prospects of the issuer as well as specific events or circumstances that may influence the operations of the issuer and the Company's intent to sell the investment. Additionally, the Company evaluated its intent and ability to retain loanbacked securities for a period of time sufficient to recover the amortized cost. As a result of this review, no OTTI was recorded by the Company as of December 31, 2016 and 2015.

A–C. The Company has no mortgage loans, real estate loans, restructured debt, or reverse mortgages. The Company also has no real estate property occupied by the Company, real estate property held for the production of income, or real estate property held for sale.

D. Loan-Backed Securities

- U.S. government and agency securities and corporate debt securities include loan-backed securities, which are valued using the retrospective adjustment methodology. Prepayment assumptions for the determination of the amortized cost of loan-backed securities are based on a three-month constant prepayment rate history obtained from external data source vendors.
- (2) The Company did not recognize any OTTI on loan-backed securities as of December 31, 2016 and 2015.
- (3) The Company did not have any loan-backed securities with an OTTI to report by CUSIP as of December 31, 2016 or 2015.
- (4) The following table illustrates the fair value, gross unrealized losses, and length of time that the loan-backed securities have been in a continuous unrealized loss position as of December 31, 2016 and 2015:

	2016
The aggregate amount of unrealized losses: 1. Less than 12 months 2. 12 months or longer	\$ 60,528 40,625
The aggregate related fair value of securities with unrealized losses: 1. Less than 12 months 2. 12 months or longer	4,258,012 1,117,590
	2015
The aggregate amount of unrealized losses: 1. Less than 12 months 2. 12 months or longer	\$ 64,611 21,590
The aggregate related fair value of securities with unrealized losses: 1. Less than 12 months 2. 12 months or longer	4,981,889 713,175

- (5) The Company believes that it will collect all principal and interest due on all investments that have an amortized cost in excess of fair value. The unrealized losses as of December 31, 2016 and 2015 were primarily caused by interest rate increases and not by unfavorable changes in the credit ratings associated with these securities.
- E. Repurchase Agreements and/or Securities Lending Transactions Not applicable.
- F. Real Estate Not applicable.
- G. Low-Income Housing Tax Credits Not applicable.
- H. Restricted Assets

(1) Restricted assets, including pledged securities as of December 31, 2016 and 2015, are presented below:

	1 Total Gross	2	3	4	5	6 Gross	7
Restricted Asset Category	(Admitted & Nonadmitted) Restricted Fron Current Year	Total Gross (Admitted & Nonadmitted) n Restricted From Prior Year	Increase/ (Decrease) (1 Minus 2)	Total Current Year Nonadmitted Restricted	Total Current Year Admitted Restricted (1 minus 4)	(Admitted & Nonadmitted) Restricted to Total Assets (a)	Admitted Restricted to Total Admitted Assets (b)
Subject to contractual obligation for which							
liability is not shown Collateral held under security lending	\$ -	\$ -	\$ -	\$ -	\$ -	0 %	0 %
agreements Subject to repurchase	-	-	-	-	-	0 %	0 %
agreements Subject to repurchase Subject to reverse	-	-	-	-	-	0 %	0 %
repurchase agreements Subject to dollar	-	-	-	-	-	0 %	0 %
repurchase agreements Subject to dollar reverse	-	-	-	-	-	0 %	0 %
repurchase agreements Placed under option	-	-	-	-	-	0 %	0 %
contracts Letter stock or securities restricted as to sale— excluding FHLB capital	-	-	-	-	-	0 %	0 %
stock	_	_	_	-	_	0 %	0 %
FHLB capital stock	-	-	-	-	-	0 %	0 %
On deposit with states On deposit with other	146,427,633	158,107,381	(11,679,748)	-	146,427,633	47 %	48 %
regulatory bodies Pledged as collateral to FHLB (including assets backing funding	-	-	-	-	-	0 %	0 %
agreements) Pledged as collateral not captured in other	-	-	-	-	-	0 %	0 %
categories Other restricted assets			<u> </u>			0 % <u>0 %</u>	0 % <u>0 %</u>
Total restricted assets	\$ 146,427,633	\$ 158,107,381	\$ (11,679,748)	\$ -	\$ 146,427,633	0 %	<u>0 %</u>

⁽a) Column 1 divided by Asset Page, Column 1, Line 28 (b) Column 5 divided by Asset Page, Column 3, Line 28

- (2–4) The Company has no assets pledged as collateral not captured in other categories and no other restricted assets as of December 31, 2016 or 2015.
- I. Working Capital Finance Investments Not applicable.

J. Offsetting and Netting of Assets and Liabilities

The Company does not have any offsetting or netting of assets and liabilities as it relates to derivatives, repurchase and reverse repurchase agreements, and securities borrowing and securities lending activities.

K. Structured Notes

The Company does not have any structured notes.

L. 5* Securities

The Company does not have any investments with an NAIC designation of 5^* as of December 31, 2016 and 2015.

6. JOINT VENTURES, PARTNERSHIPS, AND LIMITED LIABILITY COMPANIES

A–B. The Company has no investments in joint ventures, partnerships, or limited liability companies that exceed 10% of admitted assets and did not recognize any impairment write-down for its investments in joint ventures, partnerships, and limited liability companies during the statement periods.

7. INVESTMENT INCOME

- A. The Company excludes all investment income due and accrued amounts that are over 90 days past due from the statutory basis statements of admitted assets, liabilities, and capital and surplus.
- **B.** There were no investment income amounts excluded from the statutory basis financial statements.

8. DERIVATIVE INSTRUMENTS

A-F. The Company has no derivative instruments.

9. INCOME TAXES

A. Deferred Tax Asset/Liability

(1) The components of the net deferred tax asset at December 31, 2016 and 2015 are as follows:

	2016				2015		Change					
	1	2	3 (Col 1 + 2)	4	5	6 (Col 4 + 5)	7 (Col 1 - 4)	8 (Col 2 - 5)	9 (Col 7 + 8)			
	Ordinary	Capital	Total	Ordinary	Capital	Total	Ordinary	Capital	Total			
(a) Gross deferred tax assets (b) Statutory valuation	\$ 6,432,620	\$ -	\$ 6,432,620	\$ 9,508,340	\$ 908	\$ 9,509,248	\$ (3,075,720)	\$ (908)	\$ (3,076,628)			
allowance adjustments					908	908		(908)	(908)			
(c) Adjusted gross deferred tax assets												
(1a - 1b)	6,432,620	-	6,432,620	9,508,340	-	9,508,340	(3,075,720)	-	(3,075,720)			
(d) Deferred tax assets nonadmitted	1,287,562		1,287,562	1,857,451		1,857,451	(569,889)		(569,889)			
(e) Subtotal net admitted deferred												
tax asset (1c - 1d)	5,145,058	-	5,145,058	7,650,889	-	7,650,889	(2,505,831)	-	(2,505,831)			
(f) Deferred tax liabilities	150,331	3,083	153,414	173,657		173,657	(23,326)	3,083	(20,243)			
(g) Net admitted deferred tax asset/(net deferred	S 4 994 727	c (3.083)	\$ 4 991 644	\$ 7.477.232	•	\$ 7,477,232	\$ (2.482.505)	¢ (3.083)	\$ (2,485,588)			
	\$ 4,994,727	\$ (3,083)	\$ 4,991,644	\$ 7,477,232	\$ -	\$ 7,477,232	\$ (2,482,505)	\$ (3,083)	\$ (2,			

(2) The components of the adjusted gross deferred tax assets admissibility calculation under SSAP No. 101, *Income Taxes—A Replacement of SSAP No. 10R and SSAP No. 10*, are as follows:

Change				
9 (Col 7 + 8) Total				
(2,485,589)				
-				
-				
(197,411)				
(20,242)				
(2,505,831)				

(3) The ratio percentage and adjusted capital and surplus used to determine the recovery period and threshold limitations for the admissibility calculation are presented below:

	2016		2015
(a) Ratio percentage used to determine recovery period	225.0/		252.0/
and threshold limitation amount (b) Amount of adjusted capital and surplus used to	335 %	•	353 %
determine recovery period and threshold limitation			
in 2(b)(2) above	\$ 112,191,054	\$	113,507,128

(4) The impact to the gross deferred tax assets balances as a result of tax-planning strategies as of December 31, 2016 and 2015 is presented below:

	2016			2015				Change			
Impact of Tax-Planning		1	2		3		4		5 (Col 1 - 3)		6 ol 2 - 4)
Strategles		Ordinary	Capital		Ordinary	C	apitai		Ordinary		apital
(a) Determination of adjusted gross deferred tax assets and net admitted deferred tax assets by tax character as a percentage. 1. Adjusted gross DTAs amount from Note 9A1(c) 2. Percentage of adjusted gross DTAs by tax character attributable to the impact	\$	6,432,620	-	\$	-,,		-	\$	(3,075,720)	\$	-
of tax-planning strategies 3. Net admitted adjusted gross DTAs		- %	- 9	6	- %		- %		- %		- %
amount from Note 9A1(e) 4. Percentage of net admitted adjusted gross DTAs by tax character admitted	\$	5,145,058	\$ -	\$	7,650,889	\$	-	\$	(2,505,831)	\$	-
because of the impact of tax-planning strategies		- %	- 9	6	- %		- %		- %		- %
(b) Does the Company's tax-planning strategies include the use of reinsurance?					Yes				No	х	

B. Unrecognized Deferred Tax Liabilities

(1–4) There are no unrecognized deferred tax liabilities for the years ended December 31, 2016 and 2015.

C. Significant Components of Income Taxes

(1) The current federal income taxes incurred for the years ended December 31, 2016 and 2015 are as follows:

	1	2	3 (Col 1 - 2)
	2016	2015	Change
Current income tax (a) Federal (b) Foreign	\$ 30,662,404	\$ 20,548,945	\$ 10,113,459 -
(c) Subtotal	30,662,404	20,548,945	10,113,459
(d) Federal income tax on net capital gains(e) Utilization of capital loss carryforwards(f) Other	171,724 - -	580,742 - -	(409,018) - -
(g) Total federal and foreign income taxes incurred	\$ 30,834,128	\$ 21,129,687	\$ 9,704,441

(2–4) The tax effects of temporary differences that give rise to significant portions of the deferred tax assets and liabilities as of December 31, 2016 and 2015 are as follows:

	1	2	3
	2016	2015	(Col 1 - 2) Change
2 Deferred tax assets:			
(a) Ordinary: (1) Discounting of unpaid losses (2) Unearned premium reserve (3) Policyholder reserves (4) Investments	\$ 383,584 133,762	\$ 360,382 287,536 2,374,400	\$ 23,202 (153,774) (2,374,400)
 (5) Deferred acquisition costs (6) Policyholder dividends accrual (7) Fixed assets (8) Compensation and benefits accrual (9) Pension accrual 	9		<u> </u>
(10) Receivables—nonadmitted (11) Net operating loss carryforward (12) Tax credit carry forward (13) Other (including items <5% of total ordinary tax assets)	2,457,563 - 3,457,711	2,310,977 - 4,175,045	146,586 - (717,334)
(99) Subtotal	6,432,620	9,508,340	(3,075,720)
(b) Statutory valuation allowance adjustment (c) Nonadmitted	1,287,562	1,857,451	(569,889)
(d) Admitted ordinary deferred tax assets (2a99 - 2b - 2c)	5,145,058	7,650,889	(2,505,831)
(e) Capital: (1) Investments (2) Net capital loss carryforward (3) Real estate (4) Other (including items <5% of total capital tax assets)	- - - -	908 - - -	(908) - - -
(99) Subtotal	-	908	(908)
(f) Statutory valuation allowance adjustment (g) Nonadmitted		908	(908)
(h) Admitted capital deferred tax assets (2e99 - 2f - 2g)			
(i) Admitted deferred tax assets (2d + 2h)	5,145,058	7,650,889	(2,505,831)
3 Deferred tax liabilities: (a) Ordinary: (1) Investments (2) Fixed assets (3) Deferred and uncollected premium (4) Policyholder reserves (5) Other (including items <5% of total ordinary tax liabilities)	22,492 - - - 127,839	26,464 - - 147,193	(3,972) - - (19,354)
(99) Subtotal	150,331	173,657	(23,326)
(b) Capital: (1) Investments (2) Real estate (3) Other (including items <5% of total capital tax liabilities)	3,083 - -	- - -	3,083
(99) Subtotal	3,083		3,083
(c) Deferred tax liabilities (3a99 + 3b99)	153,414	173,657	(20,243)
4 Net deferred tax assets/liabilities (2i - 3c)	\$ 4,991,644	\$ 7,477,232	\$ (2,485,588)

The other ordinary deferred tax asset of \$3,457,711 for 2016 consists of intangibles of \$3,211,374, bad debt of \$210,199 and general expenses due and accrued of \$36,138. The other ordinary deferred tax asset of \$4,175,045 for 2015 consists of intangibles of \$3,801,506, bad debt of \$246,078 and general expenses due and accrued of \$127,461.

The other ordinary deferred tax liability of \$127,839 for 2016 consists of premium allowance of \$115,621 and premium acquisition expense of \$12,118. The other ordinary deferred tax liability of \$147,193 for 2015 consists of premium allowance of \$115,621 and premium acquisition expense of \$31,572.

The Company assessed the potential realization of the gross deferred tax asset and established a valuation allowance of approximately \$0 and \$908 to reduce the gross deferred tax assets to approximately \$6,432,620 and \$9,508,340 as of December 31, 2016 and 2015, respectively which represents the amount of the asset estimated to be recoverable via carryback of losses and reduction of future taxes. The change in valuation allowance is attributable to the change in timing of deductibility of expenses and/or expectations for future taxable income.

D. The provision for federal income taxes incurred is different from that which would be obtained by applying the statutory federal income tax rate of 35% to net income before federal income taxes incurred, plus capital gains tax. A summarization of the significant items causing this difference as of December 31, 2016 and 2015 are as follows:

	201	16	2015			
	6	Effective	19-19	Effective		
	Amount	Tax Rate	Amount	Tax Rate		
Tax provision at the federal statutory rate	\$ 27,917,322	35%	\$ 12,520,834	35%		
Tax-exempt interest	(201,840)	0%	(356,931)	-1%		
Other current year items		0%	90,184	0%		
Health insurer fee	6,261,033	7 %	7,035,469	20%		
Tax effect of nonadmitted assets	(86,003)	0%	(92,056)	0%		
Prior year true-up	-	0%	-	0%		
Deferred corrections	-	0%	-	0%		
Change in statutory valuation allowance	(908)	0%	908	0%		
Other		<u>0</u> %		<u>0</u> %		
Total statutory income taxes	\$ 33,889,604	<u>42</u> %	\$ 19,198,408	<u>54</u> %		
Federal income taxes incurred	\$ 30,662,404	38%	\$ 20,548,945	57%		
Capital gains tax	171,724	0%	580,742	2%		
Change in net deferred tax asset	3,055,476	<u>4</u> %	(1,931,279)	- <u>5</u> %		
Total statutory income taxes	\$ 33,889,604	<u>42</u> %	\$ 19,198,408	<u>54</u> %		

E. At December 31, 2016, the Company had no net operating loss carryforwards.

Current federal income taxes recoverable of \$2,207,873 and \$1,164,291 as of December 31, 2016 and 2015, respectively, are included in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Federal income taxes paid, net of refunds were \$31,877,711 and \$12,788,810 in 2016 and 2015, respectively.

Federal income taxes incurred of \$30,834,128 and \$21,125,709 for 2016 and 2015, respectively, are available for recoupment in the event of future net losses.

The Company has not admitted any aggregate amounts of deposits that are included within Section 6603 ("Deposits made to suspend running of interest on potential underpayments, etc.") of the Internal Revenue Service ("IRS") Code.

- F. The Company is included in the consolidated federal income tax return with its ultimate parent, UnitedHealth Group. The entities included within the consolidated return are included in NAIC Statutory Statement Schedule Y—Information Concerning Activities of Insurer Members Of A Holding Company Group. Federal income taxes are paid to or refunded by UnitedHealth Group pursuant to the terms of a tax-sharing agreement, approved by the Board of Directors, under which taxes approximate the amount that would have been computed on a separate company basis, with the exception of net operating losses and capital losses. For these losses, the Company receives a benefit at the federal rate in the current year for current taxable losses incurred in that year to the extent losses can be utilized in the consolidated federal income tax return of UnitedHealth Group. UnitedHealth Group currently files income tax returns in the U.S. federal jurisdiction, various states, and foreign jurisdictions. The IRS has completed exams on UnitedHealth Group's consolidated income tax returns for fiscal years 2015 and prior. UnitedHealth Group's 2016 tax return is under advance review by the IRS under its Compliance Assurance Program. With the exception of a few states, UnitedHealth Group is no longer subject to income tax examinations prior to 2010 in major state and foreign jurisdictions. The Company does not believe any adjustments that may result from these examinations will be material to the Company.
- G. Tax Contingencies Not applicable.

10. INFORMATION CONCERNING PARENT, SUBSIDIARIES, AND AFFILIATES

A-N. Material Related Party Transactions

Pursuant to the terms of the Agreement, UHS will provide management services to the Company under a fee structure, which is based on a percentage of premium charges representing UHS' expenses for services or use of assets provided to the Company. In addition, UHS provides or arranges for services on behalf of the Company using a pass-through of charges incurred by UHS on a PMPM basis (where the charges incurred by UHS are on a PMPM basis) or using another allocation methodology consistent with the Agreement. These services may include, but are not limited to, integrated personal health management solutions, such as disease management, treatment decision support, and wellness services, including a 24-hour call-in service, access to a network of transplant providers, and discount program services. The amount and types of services provided pursuant to the pass-through provision of the Agreement can change year over

year as UHS becomes the contracting entity for services provided to the Company's members. Total administrative services, capitation, and access fees under this arrangement totaled \$80,472,638 and \$71,055,344 in 2016 and 2015, respectively, and are included in total general administrative expenses and claims adjustment expenses in the statutory basis statements of operations. Direct expenses not covered under the Agreement, such as broker commissions, Department exam fees, ACA assessments, and premium taxes, are paid by UHS on behalf of the Company. UHS is reimbursed by the Company for these direct expenses.

The Company also directly contracts with related parties to provide services to its members. The Company expensed as hospital and medical expenses, general administrative expenses, and claims adjustment expenses \$39,043,500 and \$31,513,199 in capitation expenses, administrative services and access fees paid to related parties during 2016 and 2015, respectively. Collaborative Care Holdings LLC owns, operates, and provides services to health care and delivery systems. United Behavioral Health provides mental health and substance abuse services. OptumHealth Care Solutions, Inc. provides chiropractic, physical therapy and complex medical conditions services. Spectera, Inc. provides administrative services related to vision benefit management and claims processing. Dental Benefit Providers, Inc. provides dental care assistance. The capitation expenses, administrative services, and access fees paid to related parties that are included as hospital and medical expenses, general administrative expenses, and claims adjustment expenses in the statutory basis statements of operations for the years ended December 31, 2016 and 2015, are shown below:

	2016	2015
United HealthCare Services, Inc.	\$ 32,066,196	\$ 26,502,216
Collaborative Care Holdings, LLC	3,484,770	2,395,922
United Behavioral Health	2,668,061	1,924,382
OptumHealth Care Solutions, Inc.	152,949	197,410
Spectera, Inc.	338,504	306,182
Dental Benefit Providers, Inc.	333,020	 187,087
Total	\$ 39,043,500	\$ 31,513,199

Management believes that its transactions with affiliates are fair and reasonable; however, operations of the Company may not be indicative of those that would have occurred if it had operated as an independent company.

The Company contracts with OptumRx to provide administrative services related to pharmacy management and pharmacy claims processing for its enrollees. Fees related to these agreements, which are calculated on a per-claim basis, of \$6,690,326 and \$6,678,955 in 2016 and 2015, respectively, are included in general administrative expenses and claims adjustment expenses in the statutory basis statements of operations.

The Company contracts with OptumRx to provide personal health catalogues showing the healthcare products and benefit credits needed to redeem the respective products. OptumRx will mail the appropriate personal health products catalogues to the Company's members and manage the personal health products credit balance. OptumRx also distributes personal health products to individual members based upon the terms of the agreement. Fees related to this agreement in 2016 and 2015, which are calculated on a PMPM basis of \$3,587,181 and \$926,123 are included in hospital and medical expenses in the statutory basis statements of operations.

The Company has an agreement with OptumInsight, Inc., an affiliate of the Company, for claim analytics, recovery of medical expense overpayments, retroactive fraud, waste and abuse, subrogation and premium audit services. All recoveries are returned to the Company by OptumInsight, Inc. on a monthly basis and a capitated service fee is charged to the Company as a PMPM. Service fees of \$3,959,969 and \$3,786,559 are included in claims adjustment expenses and general administrative expenses in the statutory basis statements of operations for the years ended December 31, 2016 and 2015, respectively.

Effective on December 1, 2010, the Company has an agreement with OrthoNet Holdings, Inc. and OrthoNet of the Mid-Atlantic, Inc. (collectively referred to as "OrthoNet"), now an affiliate of the Company, for administrative services related to certain specialties. These specialties include neurosurgery, orthopedic surgery, pediatric orthopedic surgery, hand surgery, podiatry, physical medical and rehabilitation. These administration services include but are not limited to prior authorization, medical management, claims processing, certain claims appeals and provider service. OrthoNet also provides a focused notes review for certain specialties. These specialties include neurosurgery, orthopedic surgery, pediatric orthopedic surgery, hand surgery, podiatry, physical medicine and rehabilitation, ear nose and throat, plastic surgery, cardiology, general surgery and dermatology. For the administrative service, there is a set PMPM. Service fees of \$135,674 and \$141,531 are included in general administrative expenses in the statutory basis statements of operations for the years ended December 31, 2016 and 2015, respectively.

The Company has premium payments that are received and claim payments that are processed by an affiliated UnitedHealth Group entity. Both premiums and claims applicable to the Company are settled at regular intervals throughout the month via the intercompany settlement process and any amounts outstanding are reflected in amounts due to parent, subsidiaries, and affiliates, net in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

Effective February 1, 2016, the Company has entered into a facility participation agreement for home infusion therapy services with an affiliated entity, AxelaCare Intermediate Holding, LLC. This agreement has been approved by the Department.

The Company also has a reinsurance agreement with Oxford Health Insurance, Inc. ("OHI") to provide out-of-network point of service coverage. Out-of-network point of service coverage premiums, which are calculated on a PMPM basis, of \$1,344,143 and \$2,734,226 in 2016 and 2015, respectively, are netted against net premium income in the statutory basis statement of operations. Reinsurance recoveries on paid claims of \$3,978,588 and \$5,193,327 in 2016 and 2015, respectively, are included in net reinsurance recoveries in the statutory basis statements of operations. There were \$416,735 and \$424,002 of amounts recoverable from reinsurers related to this agreement as of December 31, 2016 and 2015, respectively. As of December 31, 2016 and 2015, the Company recognized an estimate of amounts incurred but not yet paid from OHI of \$198,425 and \$247,187, respectively, which is reported as a reduction to claims unpaid, in the statutory basis statements of admitted assets, liabilities and capital and surplus. Reinsurance contracts do not relieve the Company from its obligations to policyholders. Failure of reinsurers to honor their obligations could result in losses to the Company.

The Company has a reinsurance agreement with an affiliated entity, Unimerica, to cede obligations relating to: chiropractic and physical therapy coverage, transplant coverage, infertility treatment coverage, and mental health and substance use disorder coverage. The agreement has been approved by the Department. Reinsurance premiums, which are calculated on a PMPM basis, of \$12,651,675 and \$15,984,182 as of December 31, 2016 and 2015, respectively were netted against premium income in the statutory basis statement of operations. Reinsurance recoveries of \$13,550,619 and \$20,557,111 as of December 31, 2016 and 2015 are included in net reinsurance recoveries in the statutory basis statement of operations. There were \$2,085,006 and \$1,438,275 of amounts recoverable from reinsurers related to this agreement as of December 31, 2016 and 2015, respectively. Reinsurance contracts do not relieve the Company from its obligations to policyholders. Failure of reinsurers to honor their obligations could result in losses to the Company.

The effect of reinsurance with related parties on net earned premiums and total hospital and medical expenses for the years ended 2016 and 2015, is as follows:

	2016	2015
Earned premiums: Direct Ceded - affiliated	\$ 1,066,096,169 (13,995,818)	\$ 994,808,825 (18,718,407)
Net premium income	\$ 1,052,100,351	\$ 976,090,418
Hospital and medical expenses: Direct Ceded - affiliated	\$ 840,901,070 (17,529,207)	\$ 808,963,273 (25,750,439)
Net hospital and medical expenses	\$ 823,371,863	\$ 783,212,834

The Company holds a \$65,000,000 subordinated revolving credit agreement with UnitedHealth Group at an interest rate of London InterBank Offered Rate plus a margin of 0.50%. This credit agreement is subordinate to the extent it does not conflict with any credit facility held by either party. The credit agreement is for a one-year term and automatically renews annually, unless terminated by either party. The agreement was renewed effective August 1, 2016. No amounts were outstanding under the line of credit as of December 31, 2016 and 2015.

At December 31, 2016 and 2015, the Company reported \$16,804,160 and \$6,756,779 as amounts due to parent, subsidiaries, and affiliates at December 31, 2016 and 2015, respectively, which are included in the statutory basis statements of admitted assets, liabilities, and capital and surplus. These balances are generally settled within 90 days from the incurred date. Any balances due to the Company that are not settled within 90 days are considered nonadmitted assets.

In addition to the agreements above, UHS maintains a private short-term money market investment pool in which affiliated companies may participate (see Note 1). At December 31, 2016 and 2015, the Company's portion was \$15,418,175 and \$4,239,580, respectively, and is included in cash overdrafts and short-term investments in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

The Company has entered into a Tax Sharing Agreement with UnitedHealth Group (see Note 9).

The Company paid dividends of \$50,000,000 and \$22,500,000 in 2016 and 2015, respectively, to its parent (see Note 13).

The Company does not have any amount deducted from the value of an upstream intermediate entity or ultimate parent owned, either directly or indirectly, via a downstream subsidiary, controlled, or affiliated entity.

The Company does not have any investments in a subsidiary, controlled, or affiliated entity that exceeds 10% of admitted assets.

The Company does not have any investments in impaired subsidiaries, controlled, or affiliated entities.

The Company does not have any investments in foreign insurance subsidiaries.

The Company does not hold any investments in a downstream noninsurance holding company.

The Company does not have any investments in non-insurance subsidiaries, controlled, or affiliated entities.

The Company does not have any investments in insurance subsidiaries, controlled, or affiliated

The Company has not extended any guarantees or undertakings for the benefit of an affiliate or related party.

11. DEBT

A–B. The Company had no outstanding debt with third-parties or outstanding Federal Home Loan Bank agreements during 2016 and 2015.

12. RETIREMENT PLANS, DEFERRED COMPENSATION, POSTEMPLOYMENT BENEFITS AND COMPENSATED ABSENCES, AND OTHER POSTRETIREMENT BENEFIT PLANS

A–I. The Company has no defined benefit plans, defined contribution plans, multiemployer plans, consolidated/holding company plans, postemployment benefits, or compensated absences plans and is not impacted by the Medicare Modernization Act on postretirement benefits, since all personnel are employees of UHS, which provides services to the Company under the terms of the Agreement (see Note 10).

13. CAPITAL AND SURPLUS, SHAREHOLDERS' DIVIDEND RESTRICTIONS, AND QUASI-REORGANIZATIONS

- (1–2) The Company has 1,000 shares authorized and 500 shares issued and outstanding of \$0.10 par value common stock. The Company has no preferred stock outstanding. All issued and outstanding shares of common stock are held by the Company's parent, Oxford.
- (3) Payment of dividends may be restricted by New Jersey insurance regulations. The Insurance Commissioner may disapprove any dividend that, together with other dividends paid by the Company in the prior 12 months, exceeds the greater of the following:
 - a. 10% of the statutory capital and surplus as of the preceding December 31, or
 - The net income from operations for the calendar year preceding the date of the dividend or distribution.
- (4) On November 17, 2016 the Company requested an extraordinary cash dividend of \$25,000,000 to Oxford. The dividend was approved by the Department on December 1, 2016, was paid on December 19, 2016, and was recorded as a reduction to unassigned surplus in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

On August 18, 2016 the Company requested an extraordinary cash dividend of \$25,000,000 to Oxford. The dividend was approved by the Department on September 12, 2016, was paid on September 19, 2016, and was recorded as a reduction to unassigned surplus in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

The Company paid an ordinary cash dividend to Oxford of \$22,500,000 on December 17, 2015 which was approved by the Department and was recorded as a reduction to unassigned surplus in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

- (5) The amount of ordinary dividends that may be paid out during any given period is subject to certain restrictions as specified by state statute.
- (6) There are no restrictions placed on the Company's unassigned surplus.

- (7) The Company is not a mutual reciprocal or a similarly organized entity and does not have advances to surplus not repaid.
- (8) The Company does not hold any stock, including stock of affiliated companies for special purposes, such as conversion of preferred stock, employee stock options, or stock purchase warrants.
- (9) As discussed in Note 1, in 2016 no amount is required to be apportioned out of unassigned surplus for the Section 9010 ACA subsequent fee year assessment. For the year ended December 31, 2015, the amount of the estimated Section 9010 ACA subsequent fee year assessment apportioned out of unassigned surplus was \$17,810,079.
- (10) The portion of unassigned surplus, excluding the apportionment of estimated Section 9010 ACA subsequent fee year assessment, net income, and dividends represented by each item below is as follows:

	2016	2015	Change		
Net deferred income taxes Nonadmitted assets	\$ 6,279,206 (8,507,280)	\$ 9,334,683 (8,831,445)	\$	(3,055,477) 324,165	
Total	\$ (2,228,074)	\$ 503,238	\$	(2,731,312)	

(11–13) The Company does not have any outstanding surplus notes and has never been a party to a quasi-reorganization.

14. LIABILITIES, CONTINGENCIES AND ASSESSMENTS

A. Contingent Commitments

The Company has no contingent commitments.

B. Assessments

The Company is not aware of any guarantee fund assessments or premium tax offsets, potential or accrued, that could have a material financial effect on the operations of the entity.

C. Gain Contingencies

The Company is not aware of any gain contingencies that should be disclosed in the statutory basis financial statements.

- D. Claims Related Extra Contractual Obligation and Bad Faith Losses Stemming from Lawsuits Not applicable.
- E. Joint and Several Liabilities Not applicable.

F. All Other Contingences

The Company's business is regulated at the federal, state, and local levels. The laws and rules governing the Company's business and interpretations of those laws and rules are subject to frequent change. Broad latitude is given to the agencies administering those regulations. Further, the Company must obtain and maintain regulatory approvals to market and sell many of its products.

The ACA and the related federal and state regulations will continue to impact how the Company does business and could restrict revenue and enrollment growth in certain products and market segments, restrict premium growth rates for certain products and market segments, increase the Company's medical and administrative costs, expose the Company to an increased risk of liability (including increasing the Company's liability in federal and state courts for coverage determinations and contract interpretation), or put the Company at risk for loss of business. In addition, the Company's statutory basis results of operations, financial condition, and cash flows could be materially adversely affected by such changes. The ACA may create new or expand existing opportunities for business growth, but due to its complexity, the long term impact of the ACA remains difficult to predict and is not yet fully known.

The Company has been, or is currently involved, in various governmental investigations, audits and reviews. These include routine, regular and special investigations, audits and reviews by CMS, state insurance and health and welfare departments and other governmental authorities. Certain of the Company's businesses have been reviewed or are currently under review, for reasons including compliance with coding and other requirements under the Medicare risk-adjustment model.

In February 2017, the United States Department of Justice decided to pursue, in part, a *qui tam* lawsuit that previously had been under seal challenging compliance with coding and other requirements under the Medicare risk-adjustment model (the Poehling matter). The Department of Justice and the *qui tam* plaintiff may file amended complaints in the coming months. The Company cannot reasonably estimate the range of loss, if any, that may result from the Poehling matter.

Risk Adjustment Data Validation ("RADV") Audit — CMS adjusts capitation payments to Medicare Advantage plans and Medicare Part D plans according to the predicted health status of each beneficiary as supported by data from health care providers. The Company collects claim and encounter data from providers who the Company generally relies on to appropriately code their claim submissions and document their medical records. CMS then determines the risk score and payment amount for each enrolled member based on the health care data submitted and member demographic information.

CMS and the Office of Inspector General for Health and Human Services periodically perform RADV audits of selected Medicare health plans to validate the coding practices and supporting documentation maintained by health care providers. Such audits have in the past resulted in, and in the future could result in, retrospective adjustments to payments made to the Company, fines, corrective action plans or other adverse action by CMS.

In February 2012, CMS announced a final RADV and payment adjustment methodology audit. It will conduct the RADV audits beginning with the 2011 payment year. These audits involve a review of medical records maintained by care providers and may result in retrospective adjustments to payments made to health plans. CMS has not communicated how the final payment adjustment under its methodology will be implemented.

In May 2016, CMS informed the Company that it had been selected to participate in a RADV audit covering 2012 dates of service (2013 payment year). The Company cannot reasonably estimate the range of loss, if any, that may result from any material government investigations, audits and reviews in which it is currently involved given the inherent difficulty in predicting regulatory action, fines and penalties, if any, and the various remedies and levels of judicial review available to the Company in the event of an adverse finding.

Because of the nature of its businesses, the Company is frequently made party to a variety of legal actions and regulatory inquiries, including class actions and suits brought by members, care providers, consumer advocacy organizations, customers and regulators, relating to the Company's businesses, including management and administration of health benefit plans and other services.

The Company records liabilities for its estimates of probable costs resulting from these matters where appropriate. Estimates of costs resulting from legal and regulatory matters involving the Company are inherently difficult to predict, particularly where the matters: involve indeterminate claims for monetary damages or may involve fines, penalties or punitive damages; present novel legal theories or represent a shift in regulatory policy; involve a large number of claimants or regulatory bodies; are in the early stages of the proceedings; or could result in a change in business practices. Accordingly, the Company is often unable to estimate the losses or ranges of losses for those matters where there is a reasonable possibility or it is probable that a loss may be incurred. Although the outcomes of any such legal actions cannot be predicted, in the opinion of management, the resolution of any currently pending or threatened actions will not have a material adverse effect on the statutory basis statements of admitted assets, liabilities, and capital and surplus or statutory basis statements of operations of the Company.

The Company routinely evaluates the collectability of all receivable amounts included in the statutory basis statements of admitted assets, liabilities, and capital and surplus. Impairment reserves are established for those amounts where collectability is uncertain. Based on the Company's past experience, exposure related to uncollectible balances and the potential of loss for those balances not currently reserved for is not material to the Company's statutory basis financial condition.

There are no assets that the Company considers to be impaired at December 31, 2016 and 2015, except as disclosed in Note 5 and Note 20.

15. LEASES

A–B. According to the Agreement between the Company and UHS (see Note 10), operating leases for the rental of office facilities and equipment are the responsibility of UHS. Fees associated with the lease agreements are included as a component of the Company's management fee.

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

(1–4) The Company does not hold any financial instruments with off-balance-sheet risk or have any concentrations of credit risk.

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

A-C. The Company did not participate in any transfer of receivables, financial assets, or wash sales.

18. GAIN OR LOSS TO THE REPORTING ENTITY FROM UNINSURED PLANS AND THE UNINSURED PORTION OF PARTIALLY INSURED PLANS

A–B. The Company has no operations from Administrative Services Only Contracts or Administrative Services Contracts in 2016 and 2015.

C. Medicare or Other Similarly Structured Cost Based Reimbursement Contract

The Medicare Part D program is a partially insured plan. The Company recorded a payable of \$5,077,540 and \$2,419,824 at December 31, 2016 and 2015, respectively, for cost reimbursements under the Medicare Part D program for the catastrophic reinsurance and low-income member cost-sharing subsidies as described in Note 1, *Amounts Receivable Relating to Uninsured Plans and Liability for Amounts Held Under Uninsured Plans*. The Company also recorded a receivable of \$3,275,444 and \$2,646,964 and also a payable of \$4,741,663 and \$2,884,416 at December 31, 2016 and 2015, respectively, for the Medicare Part D CGDP as described in Note 1, *Amounts Receivable Relating to Uninsured Plans and Liability for Amounts Held Under Uninsured Plans*.

The Company receives payments from CMS under the ACA Cost Sharing Reduction ("CSR") program designed to reduce copayments, deductibles, and coinsurance for lower-income members. There is no risk to the Company as a result of the CSR program. Overpayments from CMS are reported in liability for amounts held under uninsured plans and underpayments are reported in amounts receivable relating to uninsured plans in the statutory basis statements of admitted assets, liabilities, and capital and surplus. The Company has recorded a liability of \$575,440 and \$28,837 for the CSR program as of December 31, 2016 and December 31, 2015, respectively.

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

The Company did not have any direct premiums written or produced by managing general agents or third-party administrators in 2016 and 2015.

20. FAIR VALUE MEASUREMENT

The NAIC SAP defines fair value, establishes a framework for measuring fair value, and outlines the disclosure requirements related to fair value measurements. The fair value hierarchy is as follows:

Level 1—Quoted (unadjusted) prices for identical assets in active markets.

Level 2—Other observable inputs, either directly or indirectly, including:

- Quoted prices for similar assets in active markets;
- Quoted prices for identical or similar assets in nonactive markets (few transactions, limited information, noncurrent prices, high variability over time, etc.);
- Inputs other than quoted prices that are observable for the asset (interest rates, yield curves, volatilities, default rates, etc.);
- Inputs that are derived principally from or corroborated by other observable market data.

Level 3—Unobservable inputs that cannot be corroborated by observable market data.

The estimated fair values of bonds and short-term investments are based on quoted market prices, where available. The Company obtains one price for each security primarily from a third-party pricing service ("pricing service"), which generally uses quoted prices or other observable inputs for the determination of fair value. The pricing service normally derives the security prices through recently reported trades for identical or similar securities, making adjustments through the reporting date based upon available observable market information. For securities not actively traded, the pricing service may use quoted market prices of comparable instruments or discounted cash flow analyses, incorporating inputs that are currently observable in the markets for similar securities. Inputs that are often used in the valuation methodologies include, but are not limited to, non-binding broker quotes, benchmark yields,

credit spreads, default rates, and prepayment speeds. As the Company is responsible for the determination of fair value, it performs quarterly analyses on the prices received from the pricing service to determine whether the prices are reasonable estimates of fair value. Specifically, the Company compares the prices received from the pricing service to a secondary pricing source, prices reported by its custodian, its investment consultant, and third-party investment advisors. Additionally, the Company compares changes in the reported market values and returns to relevant market indices to test the reasonableness of the reported prices. The Company's internal price verification procedures and review of fair value methodology documentation provided by independent pricing services have not historically resulted in an adjustment in the prices obtained from the pricing service.

In instances in which the inputs used to measure fair value fall into different levels of the fair value hierarchy, the fair value measurement has been determined based on the lowest-level input that is significant to the fair value measurement in its entirety. The Company's assessment of the significance of a particular item to the fair value measurement in its entirety requires judgment, including the consideration of inputs specific to the asset or liability.

A. Fair Value

- (1–5) The Company does not have any financial assets that are measured and reported at fair value in the statutory basis statements of admitted assets, liabilities, and capital and surplus at December 31, 2016 and 2015.
- B. Fair Value Combination Not applicable.

C. Aggregate Fair Value Hierarchy

The aggregate fair value by hierarchy of all financial instruments as of December 31, 2016 and 2015 is presented in the table below:

			2016		
Types of Financial Investment	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	Not Practicabl (Carrying (Level 3) Value)
U.S. government and agency securities State and agency municipal securities City and county municipal securities Corporate debt securities (includes	\$ 99,239,942 22,505,573 13,492,573	\$ 99,671,355 22,698,671 13,684,943	\$ 76,641,455 - -	\$ 22,598,487 22,505,573 13,492,573	\$ - - -
commercial paper) Money-market funds	32,875,204 26,627,730	32,779,848 26,627,730	26,627,730	32,875,204 -	
Total bonds and short-term investments	\$ 194,741,022	\$ 195,462,547	\$ 103,269,185	\$ 91,471,837	<u>\$ </u>
			2015		
Types of Financial Investment	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	Not Practicabl (Carrying (Level 3) Value)
U.S. government and agency securities State and agency municipal securities City and county municipal securities Corporate debt securities Money-market funds	\$ 118,708,015 19,381,997 7,198,266 21,370,210 29,821,252	\$ 118,970,153 19,054,424 7,086,007 21,314,687 29,821,252	\$ 91,679,977 - - - 29,821,252	\$ 27,028,038 19,381,997 7,198,266 21,370,210	\$ - \$ -
Total bonds and short-term investments	\$ 196,479,740	\$ 196,246,523	\$ 121,501,229	\$ 74,978,511	<u>\$ - </u>

Included as Level 1 in U.S. government and agency securities in the fair value hierarchy tables above are U.S. Treasury securities of \$76,641,455 and \$91,679,977 as of December 31, 2016 and December 31, 2015, respectively.

There are no commercial paper investments included in corporate debt securities in the fair value hierarchy tables above as of December 31, 2016 and 2015.

D. Not Practicable to Estimate Fair Value — Not applicable.

21. OTHER ITEMS

- **A.** The Company did not encounter any unusual or infrequent items for the years ended December 31, 2016 or 2015.
- B. The Company has no troubled debt restructurings as of December 31, 2016 or 2015.
- C. The Company does not have any amounts not recorded in the statutory basis financial statements that represent segregated funds held for others. The Company also does not have any exposures related to forward commitments that are not derivative instruments.
- **D.** The Company has not received any business interruption insurance recoveries during 2016 and 2015
- **E.** The Company has no transferrable or non-transferable state tax credits.
- F. Sub-Prime Mortgage-Related Risk Exposure

- (1) The investment policy for the Company limits investments in loan-backed securities, which includes sub-prime issuers. Further, the policy limits investments in private-issuer mortgage securities to 10% of the portfolio, which also includes sub-prime issuers. The exposure to unrealized losses on sub-prime issuers is due to changes in market prices. There are no realized losses due to not receiving anticipated cash flows. The investments covered are NAIC rating of 1 or 2.
- (2) The Company has no direct exposure through investments in sub-prime mortgage loans.
- (3) Direct exposure through other investments is as follows:

	2	016						
	Book/ Adjusted Carrying Value Actual (Excluding Cost Interest)					Fair Value	Other-than- Temporary Impairment Losses Recognized	
 a. Residential mortgage-backed securities b. Commercial mortgage-backed securities c. Collateralized debt obligations d. Structured securities e. Equity investment in SCAs* f. Other assets 	\$	93,446	\$	103,053 - - - - - -	\$	122,441 - - - - -	\$	- - - -
g. Total	\$	93,446	\$	103,053	\$	122,441	\$	

	2015				
	Actual Cost	Book/ Adjusted Carrying Value (Excluding Interest)	Fair Value	Other-than- Temporary Impairment Losses Recognized	
a. Residential mortgage-backed securities	\$ 115,151	\$ 125,382	\$ 151,867	\$ -	
 b. Commercial mortgage-backed securities 	-	-	-	-	
 c. Collateralized debt obligations 	-	-	-	-	
d. Structured securities	-	-	-	-	
e. Equity investment in SCAs*	-	-	-	-	
f. Other assets					
g. Total	\$ 115,151	\$ 125,382	\$ 151,867	\$ -	

- (4) The Company has no underwriting exposure to sub-prime mortgage risk through mortgage guaranty or financial guaranty insurance coverage.
- G. The Company does not have any retained asset accounts for beneficiaries.
- H. As of December 31, 2016, the Company is not aware of any possible proceeds of insurance-linked securities.

22. EVENTS SUBSEQUENT

Subsequent events have been evaluated through February 27, 2017, which is the date these statutory basis financial statements were available for issuance.

TYPE I — Recognized Subsequent Events

There are no events subsequent to December 31, 2016, that require recognition and disclosure.

TYPE II — Non-Recognized Subsequent Events

The Company is subject to the annual fee under Section 9010 of the ACA. The fee is allocated to individual health insurers based on the ratio of the amount of the entity's net premiums written during the preceding calendar year to the amount of the health insurance for any U.S. health risk that is written during the preceding calendar year. A health insurance entity's portion of the annual fee becomes payable once the entity provides health insurance for any U.S. health risk for each calendar year beginning on or after January 1, of the year the fee is due. Pursuant to the 2017 HIF moratorium (see Note 1), no HIF will be payable in 2017 and therefore there will be no amounts apportioned out of unassigned funds in 2016 representing an estimate of the 2017 HIF. The table below presents information regarding the annual fee under Section 9010 of the ACA as of December 31, 2016 and 2015:

	2016	2015
A. Did the reporting entity write accident and health insurance premium that is subject to Section 9010 of the Federal Affordable Care Act (YES/NO)?	Yes	.
B. ACA fee assessment payable for the upcoming year	\$ -	\$ 17,810,079
C. ACA fee assessment paid	17,888,665	20,101,339
D. Premium written subject to ACA 9010 assessment	70	1,001,542,469
E. Total Adjusted Capital before surplus adjustment (Five-Year Historical Line 14)	117,182,698	
F. Total Adjusted Capital after surplus adjustment (Five-Year Historical Line 14 minus 22B above)	117,182,698	
G. Authorized Control Level (Five-Year Historical Line 15)	33,478,217	
H. Would reporting the ACA assessment as of December 31, 2016, have triggered an RBC action level (YES/NO)?	No	

Effective January 1, 2017, the Company novated its CMS Medicare Advantage contracts to Oxford Health Plans (CT), Inc., an affiliate of the Company. The novation agreements resulted in full control of the contracts being transferred to Oxford Health Plans (CT), Inc. at \$0 net book value for dates of service on or after January 1, 2017. Approval for this novation was received from CMS. Approvals for the asset transfers related to the novation were received from the Connecticut Insurance Department and the Department. The 2016 Medicare revenue subject to the novation represented approximately 91% of total direct premiums written.

There are no other events subsequent to December 31, 2016 that require disclosure.

23. REINSURANCE

The Company is subject to the reinsurance provisions pursuant to the ACA for compliant individual policies (see Note 24).

The effect of both internal (see Note 10) and external reinsurance agreements outlined above on net premium income and hospital and medical expenses is presented below:

		2016		2015
Earned premiums:				
Direct	\$	1,066,096,170	\$	994,808,825
Ceded - affiliated		(13,995,818)		(18,718,407)
Ceded - non-affiliated		(155,693)	_	(349,019)
Net premium income	\$	1,051,944,659	\$	975,741,399
Hospital and medical expenses:				
Direct	\$	840,901,069	\$	808,963,273
Ceded - affiliated		(17,529,207)	•	(25,750,439)
Ceded - non-affiliated	_	(4,969,145)	_	(10,933,177)
Net hospital and medical expenses	\$	818,402,717	\$	772,279,657

The Company recognized reinsurance recoveries related to external reinsurance agreements of \$4,969,145 and \$10,993,177 in 2016 and 2015, respectively, which are recorded as net reinsurance recoveries in the statutory basis statements of operations. In addition, reinsurance recoverables related to external reinsurance agreements of \$5,759,173 and \$9,606,629 for paid losses are recorded as amounts recoverable from reinsurers and \$358,689 and \$1,764,261 for unpaid losses are recorded as a reduction to claims unpaid in 2016 and 2015, respectively, in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

A. Ceded Reinsurance Report

Section 1 — General Interrogatories

(1) Are any of the reinsurers, listed in Schedule S as non-affiliated, owned in excess of 10% or controlled, either directly or indirectly, by the Company or by any representative, officer, trustee, or director of the Company? Yes () No (X)

(2) Have any policies issued by the Company been reinsured with a company chartered in a country other than the United States (excluding U.S. branches of such companies) that is owned in excess of 10% or controlled directly or indirectly by an insured, a beneficiary, a creditor, or any other person not primarily engaged in the insurance business?

Yes () No (X)

Section 2 — Ceded Reinsurance Report — Part A

(1) Does the Company have any reinsurance agreements in effect under which the reinsurer may unilaterally cancel any reinsurance for reasons other than for nonpayment of premium or other similar credit?

Yes () No (X)

(2) Does the reporting entity have any reinsurance agreements in effect that the amount of losses paid or accrued through the statement date may result in a payment to the reinsurer of amounts that, in aggregate and allowing for offset of mutual credits from other reinsurance agreements with the same reinsurer, exceed the total direct premium collected under the reinsured policies?

Yes () No (X)

Section 3 — Ceded Reinsurance Report — Part B

(1) What is the estimated amount of the aggregate reduction in surplus (for agreements other than those under which the reinsurer may unilaterally cancel for reasons other than for nonpayment of premium or other similar credits that are reflected in Section 2 above) of termination of all reinsurance agreements, by either party, as of the date of this statement? Where necessary, the Company may consider the current or anticipated experience of the business reinsured in making this estimate.

The Company estimates there should be no aggregate reduction in surplus for termination of all reinsurance agreements as of December 31, 2016.

(2) Have any new agreements been executed or existing agreements amended, since January 1 of the year of this statement, to include policies or contracts that were in force or which had existing reserves established by the Company as of the effective date of the agreement?

Yes () No (X)

- B. Uncollectible Reinsurance During 2016 and 2015, there were no uncollectible reinsurance recoverables.
- C. Commutation of Ceded Reinsurance There was no commutation of reinsurance in 2016 or 2015.
- D. Certified Reinsurer Rating Downgraded or Status Subject to Revocation Not applicable.

24. RETROSPECTIVELY RATED CONTRACTS AND CONTRACTS SUBJECT TO REDETERMINATION

- A. The Company estimates accrued retrospective premium adjustments for its group health insurance business based on mathematical calculations in accordance with contractual terms.
- **B**. Estimated accrued retrospective premiums due from the Company are recorded in aggregate health policy reserves in the statutory basis statements of admitted assets, liabilities, and capital and surplus and as an adjustment to change in unearned premium reserves and reserve for rate credits in the statutory basis statements of operations.
- C. Pursuant to the ACA, the Company's commercial business is subject to retrospectively rated features based on the actual medical loss ratios experienced on the commercial lines of business. The formula is calculated pursuant to the ACA guidance. The total amount of direct premiums written for the commercial lines of business subject to this retrospectively rated feature was \$99,533,510 and \$190,624,859, representing 9% and 19% of total direct premiums written as of December 31, 2016 and 2015, respectively.

Pursuant to the ACA, the Company's Medicare business is subject to retrospectively rated features based on the actual medical loss ratios experienced on the Medicare line of business. The formula is calculated pursuant to the ACA guidance. The total amount of direct premiums

written for the Medicare line of business subject to this retrospectively rated feature was \$966,562,659 and \$804,371,357, representing 91% and 81% of total direct premiums written as of December 31, 2016 and 2015, respectively.

The Company has Medicare Part D risk-corridor amounts from CMS which are subject to a retrospectively rated feature related to Part D premiums. The Company has estimated accrued retrospective premiums related to certain Part D premiums based on guidelines determined by CMS. The formula is tiered and based on the bid medical loss ratio. The amount of Medicare Part D direct premiums written subject to this retrospectively rated feature was \$66,294,060 and \$70,580,764 representing 6% and 7% of total direct premiums written for 2016 and 2015, respectively.

D. The Company is required to maintain a specific minimum loss ratio on the comprehensive commercial and Medicare lines of business. The following table discloses the minimum medical loss ratio rebate liability which is included in aggregate health policy reserves in the statutory basis statements of admitted assets, liabilities, and capital and surplus for the years ended December 31, 2016 and 2015:

	1 2 Small Group		3 Large Group	4 Other Categories	5
	Individual	Employer	Employer	with Rebates	Total
Prior reporting year					
(1) Medical loss ratio rebates incurred	\$ -	\$ -	\$ 91,353	\$ 469,351	\$ 560,704
(2) Medical loss ratio rebates paid	-	-	363,576	-	363,576
(3) Medical loss rebates unpaid	-	-	-	925,331	925,331
(4) Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
(5) Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
(6) Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	925,331
Current reporting year-to-date					
(7) Medical loss ratio rebates incurred	-	-	-	(620,054)	(620,054)
(8) Medical loss ratio rebates paid	-	-	-	305,278	305,278
(9) Medical loss rebates unpaid	-	-	-	<u>-</u>	-
(10) Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
(11) Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
(12) Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	_

In addition to the ACA minimum loss ratio requirements, all Corporations and HMOs shall submit to the State, reports showing loss ratios for the previous calendar year for small group and individual direct pay standardized business. For small group and individual direct pay contracts, a minimum loss ratio of 80% must be met. The Company exceeded the State loss ratio threshold related to the 2015 and 2016 loss ratio filings.

E. Risk-Sharing Provisions of the Affordable Care Act

(1) The Company has accident and health insurance premiums in 2016 and 2015 subject to the risk-sharing provisions of the ACA.

The ACA imposes fees and premium stabilization provisions on health insurance issuers offering comprehensive commercial health insurance. The three premium stabilization programs are commonly referred to as the 3Rs — risk adjustment, reinsurance, and risk corridors.

Risk Adjustment — The permanent risk adjustment program, designed to mitigate the potential impact of adverse selection and provide stability for health insurance issuers, applies to all non-grandfathered plans not subject to transitional relief in the individual and small group markets both inside and outside of the insurance exchanges. Premium adjustments pursuant to the risk adjustment program are accounted for as premium subject to redetermination and user fees are accounted for as assessments.

Reinsurance — The transitional reinsurance program was designed to protect issuers in the individual market from an expected increase in large claims due to the elimination of preexisting condition limitations. The transitional reinsurance program is effective from 2014 through 2016 and applies to all issuers of major medical commercial products and third-party administrators. Contributions attributable to enrollees in the ACA compliant individual plans, including program administrative costs, are accounted for as ceded premium and payments received are accounted for as ceded benefit recoveries. The portion of the individual contributions earmarked for the U.S. Treasury is accounted for as an assessment. Contributions made for enrollees in fully insured plans other than the ACA compliant individual plans, including program administrative costs and payments to the U.S. Treasury, are treated as assessments.

Risk Corridors — The temporary risk corridors program, designed to provide some aggregate protection against variability for issuers in the individual and small group markets during the period 2014 through 2016, applies to Qualified Health Plans in the individual and small group markets both inside and outside of the insurance exchanges. Premium

adjustments pursuant to the risk corridors program are accounted for as premium adjustments for retrospectively rated contracts.

(2) The following table presents the current year impact of risk-sharing provisions of the ACA on assets, liabilities and operations.

a. Permanent ACA Risk Adjustment Program	Decem	nber 31, 2016
Assets 1. Premium adjustments receivable due to ACA Risk Adjustment	\$	2,926,996
Liabilities 2. Risk adjustment user fees payable for ACA Risk Adjustment 3. Premium adjustments payable due to ACA Risk Adjustment		12,586 214,471
Operations (revenue & expense) 4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment 5. Reported in expenses as ACA risk adjustment user fees		3,648,347
(incurred/paid)		12,665
b. Transitional ACA Reinsurance Program		
Assets 1. Amounts recoverable for claims paid due to ACA Reinsurance 2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Lia 3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	\$ al	3,257,433 358,689
Liabilities 4. Liabilities for contributions payable due to ACA Reinsurance—not reported a ceded premium 5. Ceded reinsurance premiums payable due to ACA Reinsurance 6. Liability for amounts held under uninsured plans contributions for ACA Reinsurance	as	426,118 39,353
Operations (revenue & expense) 7. Ceded reinsurance premiums due to ACA Reinsurance 8. Reinsurance recoveries (income statement) due to ACA reinsurance payments or expected payments 9. ACA Reinsurance contributions—not reported as ceded premium		155,693 4,969,145 309,778
c. Temporary ACA Risk Corridors Program		
Assets 1. Accrued retrospective premium due to ACA Risk Corridors	\$	-
Liabilities 2. Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors		-
Operations (revenue & expense) 3. Effect of ACA Risk Corridors on net premium income (paid/received)		-

4. Effect of ACA Risk Corridors on change in reserves for rate credits

The following table is a rollforward of the prior year ACA risk-sharing provisions for asset and liability balances, along with reasons for adjustments to prior year balances.

				Differences Adjus			Adjustments			the Reporting Date	
	the Pri on Busine before De	d During ior Year ess Written ecember 31 rior Year	the Curr on Busine before De	or Paid as of rent Year ess Written cember 31 rior Year	Prior Year Accrued Less Payments (Col 1 - 3)	Prior Year Accrued Less Payments (Col 2 - 4)	To Prior Year Balances	To Prior Year Balances	-	Cumulative Balance from Prior Years (Col 1 - 3 + 7)	Cumulative Balance from Prior Years (Col 2 - 4 + 8)
	1 Receivable	(Payable)	3 Receivable	(Payable)	5 Receivable	(Payable)	7 Receivable	(Payable)	Ref	9 Receivable	10 (Payable)
a. Permanent ACA Risk Adjustment Program											
Premium Adjustment Receivable Premium Adjustment (Payable)	\$ 13,661,796	(189,105)	\$ 14,613,754	\$ - (185,24 <u>1</u>)	\$ (951,958)	\$ - 16,136	\$ 2,045,233	(16,136)	В	\$ 1,093,275	\$ -
 Subtotal ACA Permanent Risk Adjustment Program 	13,661,796	(169,105)	14,613,754	(185,241)	(951,958)	16,136	2,045,233	(16,136)		1,093,275	
b. Transitional ACA Reinsurance Program											
Amounts recoverable for claims paid Amounts recoverable for claims	7,744,351	-	10,861,636	-	(3,117,285)	-	4,449,786	-	С	1,332,501	-
unpaid (contra liability) 3. Amounts receivable relating to	1,784,261	-	-	-	1,764,261	-	(1,764,261)	-	D	-	-
uninsured plans 4. Liabilities for contributions payable due to ACA Reinsurance—not	-	-	-	-	-	-	-	-	E	-	-
reported as ceded premium	-	(1,033,872)	-	(1,033,872)	-	-	-	-	F	-	-
 Ceded reinsurance premiums payable Liability for amounts held under 	-	(349,019)	-	(349,019)	-	-	-	-	G	-	-
uninsured plans									н		
Subtotal ACA Transitional Reinsurance Program	9,508,612	(1,382,891)	10,861,636	(1,382,891)	(1,353,024)		2,685,525			1,332,501	
Temporary ACA Risk Corridors Program Accrued retrospective premium Reserve for rate credits or policy	-	-	-	-	-	-	-	-	1	-	-
experience rating refunds				<u>-</u>					J		
Subtotal ACA Risk Corridors Program											
d. Total for ACA Risk-Sharing Provisions	\$ 23,170,408	\$ (1,551,998)	\$ 25,475,390	\$ (1,568,13 <u>2</u>)	\$ (2,304,982)	\$ 16,138	\$ 4,730,758	\$ (16,136)		\$ 2,425,776	<u> </u>

(4) The Company does not have any risk corridor receivables or payables to present in the table below.

	Accrued I	Ouring the	Received o	r Paid as of	Differ	ences	Adju	stments		lances as of the ting Date
	Prior Year o Written December Prior	Before r 31 of the	Business W Decembe	nt Year on ritten Before r 31 of the Year	Prior Year Accrued Less Payments (Col 1–3)	Prior Year Accrued Less Payments (Col 2–4)	To Prior Year Balances	To Prior Year Balances	Cumulative Balance from Prior Years (Col 1–3+7)	Cumulative Balance from Prior Years (Col 2–4+8)
	1	2	3	4	5	6	7	8	9	10
Risk Corridors Program Year:	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable) R	ef Receivable	(Payable)
a. 2014										
Accrued retrospective premium Reserve for rate credits or policy experience rating refunds	\$ - -	\$ - -	\$ - -	\$ - -	s -	s - -	s - -		A S -	S -
b. 2015										
Accrued retrospective premium Reserve for rate credits or policy	-	-	-	-	-	-	-	- (-	-
experience rating refunds	-	-	-	-	-	-	-	- [-	-
c. 2016										
1. Accrued retrospective premium	-	-	-	-	-	-	-	- I	E -	-
Reserve for rate credits or policy experience rating refunds	-	-	-	-	-	-	-	- 1	F -	-
d. Total for Risk Corridors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Explanation of Adjustments

- В.
- D.
- E.

A. The 2015 December risk adjustment factor receivable was reported based on estimated state risk transfer factors for each state and risk pool utilizing paid claims data through October 31, 2015. The adjustments as of 12/31/2016 reflect true-ups based on the final CMS Summary Report on Transitional Reinsurance Payments and the Permanent Risk Adjustment Transfers for the 2015 Program Year and reflect the balance in accordance with the CMS cash settlement process at the state and market level. Additionally, the published risk adjustment receivable was reduced by the estimated impact of the funds CMS is not expected to collect due to an insolvent carrier in accordance with the CMS published Frequently Asked Questions ("FAQ") on August 14, 2015. Within the FAQ CMS communicated that benefit year risk adjustment payables within a risk pool will be adjusted in a pro rata basis to the extent that CMS is unable to fully collect risk adjustment funds from all carriers.

B. The 2015 December risk adjustment factor payable was reported based on estimated state risk transfer factors for each state and risk pool utilizing paid claims data through October 31, 2015. The adjustments as of 12/31/2016 reflect true-ups based on the Final CMS Summary Report on Transitional Reinsurance Payments and the Permanent Risk Adjustment Transfers for the 2015 Program Year and reflect the balance in accordance with the CMS cash settlement process at the state and market level.

C. The adjustment to the amounts recoverable for paid claims was driven by the inclusion of 4 months of additional paid claims run out data from December 2015 to April 2016 as well as CMS increasing the reinsurance co-insura

(5) The following table discloses ACA risk corridor receivable balances by risk corridor program year:

	1	2	3	4	5	6
Risk Corridors Program Year:	Estimated Amount to be Filed or Final Amount Filed with CMS	Amounts for	Amounts received from CMS	Asset Balance (Gross of Non- admissions) (1-2-3)	Non-admitted Amount	Net Admitted Asset (4-5)
a. 2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
b. 2015	1,357,527	1,357,527	95	870	-	
c. 2016	8,350,871	8,350,871			·	
d. Total (a+b+c)	\$ 9,708,398	\$ 9,708,398	\$ -	\$ -	\$ -	\$ -

25. CHANGE IN INCURRED CLAIMS AND CLAIMS ADJUSTMENT EXPENSES

Changes in estimates related to the prior year incurred claims are included in total hospital and medical expenses in the current year in the statutory basis statements of operations. The following tables disclose paid claims, incurred claims, and the balance in the claims unpaid, accrued medical incentive pool and bonus amounts, aggregate health claim reserves, health care and other amounts receivable, and reinsurance recoverables for the years ended December 31, 2016 and 2015:

		2016	
	Current Year Incurred Claims	Prior Years Incurred Claims	Total
Beginning of year claim reserve Paid claims—net of health care receivable	\$ -	\$ (122,832,291)	\$ (122,832,291)
and reinsurance recoveries collected	734,133,839	67,452,623	801,586,462
End of year claim reserve	137,074,091	3,587,647	140,661,738
Incurred claims excluding the change in health care receivable and reinsurance recoverables as presented below	871,207,930	(51,792,021)	819,415,909
Beginning of year health care receivable and reinsurance recoverables End of year health care receivable	-	43,909,991	43,909,991
and reinsurance recoverables	(40,040,441)	(4,882,742)	(44,923,183)
Total incurred claims	\$ 831,167,489	\$ (12,764,772)	\$ 818,402,717

			2015		
	Current Incurr	ed	rior Years Incurred		
	Claim	S	Claims		Total
Beginning of year claim reserve Paid claims—net of health care receivable	\$	- \$ ((110,767,628)	\$	(110,767,628)
and reinsurance recoveries collected	708,90	6,450	65,887,609		774,794,059
End of year claim reserve	119,50	4,257	3,328,033	_	122,832,290
Incurred claims excluding the change in health care receivable and reinsurance recoverables as presented below	828,41	0,707	(41,551,986)		786,858,721
Beginning of year health care receivable and reinsurance recoverables		-	29,330,927		29,330,927
End of year health care receivable and reinsurance recoverables	(40,46	8,957)	(3,441,034)	_	(43,909,991)
Total incurred claims	\$ 787,94	1,750 \$	(15,662,093)	\$	772,279,657

The liability for claims unpaid, accrued medical incentive pool and bonus amounts, aggregate health claim reserves, net of health care and other amounts receivable and reinsurance recoverables as of December 31, 2015 was \$78,922,300. As of December 31, 2016 \$67,452,623 has been paid for incurred claims attributable to insured events of prior years. Reserves remaining for prior years, net of health care and other amounts receivable and reinsurance recoverables are now \$1,295,095, as a result

of re-estimation of unpaid claims. Therefore, there has been \$12,764,772 favorable prior year development since December 31, 2015 to December 31, 2016. The primary drivers consist of favorable development as a result of a change in the provision for adverse deviations in experience of \$6,707,207 \$2,641,882 in retroactivity for inpatient, outpatient, physician, and pharmacy claims and \$2,572,753 in reinsurance. At December 31, 2015, the Company recorded \$15,662,093 of favorable development as a result of a change in the provision for adverse deviations in experience of \$5,490,206 and \$9,031,019 in retroactivity for inpatient, outpatient, physician, and pharmacy claims. Original estimates are increased or decreased, as additional information becomes known regarding individual claims, including the medical loss ratio rebate accrual. Included in this development is the impact related to retrospectively rated policies, which also has a corresponding impact on medical loss ratio rebates. As a result of the prior year effects, on a regular basis, the Company adjusts revenue and the corresponding liability and/or receivable related to retrospectively rated policies and the impact of the change is included as a component of change in unearned premium reserves and reserve for rate credits in the statutory basis statements of operations.

The Company incurred CAE of \$67,003,706 and \$55,320,407 in 2016 and 2015, respectively. These costs are included in the management service fees paid by the Company to UHS as a part of its Agreement (see Note 10). The following table discloses paid CAE, incurred CAE, and the balance in the unpaid claim adjustment expenses reserve for 2016 and 2015:

	2016	2015
Total claims adjustment expenses Less current year unpaid claims adjustment expenses Add prior year unpaid claims adjustment expenses	\$ 67,003,706 (1,485,547) 1,283,184	\$ 55,320,407 (1,283,184) 1,057,203
Total claims adjustment expenses paid	\$ 66,801,343	\$ 55,094,426

26. INTERCOMPANY POOLING ARRANGEMENTS

A–G. The Company did not have any intercompany pooling arrangements in 2016 or 2015.

27. STRUCTURED SETTLEMENTS

A–B. The Company did not have structured settlements in 2016 or 2015.

28. HEALTH CARE AND OTHER AMOUNTS RECEIVABLE

A. Pharmacy rebates receivable are recorded when reasonably estimated or billed by the affiliated pharmaceutical benefit manager in accordance with pharmaceutical rebate contract provisions. Information used to support rebates billed to the manufacturer is based on utilization information gathered by the pharmaceutical benefit manager and adjusted for significant changes in pharmaceutical contract provisions.

The Company evaluates admissibility of all pharmacy rebates receivable based on the administration of each underlying pharmaceutical benefit management agreement. The Company has nonadmitted and excluded all pharmacy rebates receivable that do not meet the admissibility criteria of SSAP No. 84, *Certain Health Care Receivables and Receivables under Government Insured Plans* ("SSAP No. 84") from the statutory basis statements of admitted assets, liabilities, and capital and surplus.

For each pharmaceutical management agreement for which a portion of the total pharmacy rebates receivable can be admitted based on the admissibility criteria of SSAP No. 84, the pharmacy rebate transaction history is summarized as follows:

Quarter	Estimated Pharmacy Rebates as Reported on Financial Statements	Reba Bill Oth	rmacy ates as led or erwise firmed	R W	Actual Rebates eceived rithin 90 Days of Billing	Re with 180	ctual bates ceived in 91 to Days of illing	F N	Actual Rebates Received More than 180 Days Iter Billing
12/31/2016	\$ 21,817,237	\$	-1	\$	11-	\$	-	\$	-
9/30/2016	23,251,139	22,8	03,722	12	2,353,548		2		_
6/30/2016	21,913,908	21,7	16,411	17	,299,147	3,5	39,955		U
3/31/2016	20,191,430	19,9	78,980	15	5,994,869	3,5	45,819		305,300
12/31/2015	19,692,774	19,6	92,746	16	5,599,202	2,8	23,349		31,214
9/30/2015	18,811,931	18,9	10,352	15	,260,921	1,9	35,937		1,638,811
6/30/2015	17,755,218	18,1	90,802	14	,654,659	2,4	95,742		987,438
3/31/2015	15,492,025	15,6	94,792	11	,487,311	3,1	62,423		1,053,592
12/31/2014	12,337,555	11,9	31,296	9	,399,400	1,8	44,749		591,135
9/30/2014	12,063,918	11,6	44,228	9	,058,669	2,2	15,805		368,168
6/30/2014	12,047,109	11,6	60,140	8	3,751,190	2,2	08,441		685,291
3/31/2014	12,024,074	11,8	86,176	8	3,233,258	2,6	52,456		965,517

Of the amount reported as health care and other amounts receivable, \$31,017,783 and \$26,579,235 relates to pharmacy rebates receivable as of December 31, 2016 and 2015, respectively. This increase is primarily due to increased Medicare membership along with the change in generic/name brand mix.

Additionally, the Company admitted \$1,932,324 and \$1,826,143 for provider overpayment and miscellaneous receivables as of December 31, 2016 and 2015, respectively.

The Company does not have any risk-sharing receivables.

29. PARTICIPATING POLICIES

The Company did not have any participating contracts in 2016 or 2015.

30. PREMIUM DEFICIENCY RESERVES

The following table summarizes the Company's premium deficiency reserves as of December 31, 2016 and 2015:

2046

	2016
1. Liability carried for premium deficiency reserves	\$ -
2. Date of the most recent evaluation of this liability	12/31/2016
3. Was anticipated investment income utilized in this calculation?	Yes X No
	2015
1. Liability carried for premium deficiency reserves	\$ 6,784,000
2. Date of the most recent evaluation of this liability	12/31/2015
3. Was anticipated investment income utilized in this calculation?	Yes X No

Premium deficiency reserves are included in aggregate health policy reserves (see Note 1—Basis of Presentation) in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

31. ANTICIPATED SALVAGE AND SUBROGATION

Due to the type of business being written, the Company has no salvage. As of December 31, 2016 and 2015, the Company had no specific accruals established for outstanding subrogation, as it is considered a component of the actuarial calculations used to develop the estimates of claims unpaid and aggregate health claim reserves.

* * * * * * *

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES GENERAL

1.1	Is the reporting entity a member of an Insurance Holding Company System is an insurer?			Voc I Y] No []	
	If yes, complete Schedule Y, Parts 1, 1A and 2			ics [v	1 NOT 1	
1.2	If yes, did the reporting entity register and file with its domiciliary State Insur- such regulatory official of the state of domicile of the principal insurer in the providing disclosure substantially similar to the standards adopted by the N its Model Insurance Holding Company System Regulatory Act and model r subject to standards and disclosure requirements substantially similar to the	e Holding Company System, a registration statement National Association of Insurance Commissioners (NAIC) in regulations pertaining thereto, or is the reporting entity	Yes [)	(] No [] N/A [1
1.3	State Regulating?			New Je	rsey	
2.1	Has any change been made during the year of this statement in the charter, reporting entity?	by-laws, articles of incorporation, or deed of settlement of the	e 	Yes [] No [X]	
2.2	If yes, date of change:					
3.1	State as of what date the latest financial examination of the reporting entity	was made or is being made		12/31/	2012	
3.2	State the as of date that the latest financial examination report became avail entity. This date should be the date of the examined balance sheet and not			12/31/	2012	
3.3	State as of what date the latest financial examination report became availab domicile or the reporting entity. This is the release date or completion date examination (balance sheet date).	of the examination report and not the date of the		02/27/	2014	
3.4	By what department or departments? New Jersey Department of Banking and Insurance					
3.5	Have all financial statement adjustments within the latest financial examinat statement filed with Departments?	tion report been accounted for in a subsequent financial	Yes [] No [] N/A [X]
3.6	Have all of the recommendations within the latest financial examination repo	ort been complied with?	Yes [] No [] N/A [X]
4.1	During the period covered by this statement, did any agent, broker, sales re combination thereof under common control (other than salaried employees control a substantial part (more than 20 percent of any major line of busine 4.11 sales of r	s of the reporting entity), receive credit or commissions for or		Yes [1 No [X 1	
4.2		?				
4.2	receive credit or commissions for or control a substantial part (more than 2 premiums) of:	20 percent of any major line of business measured on direct				
		new business??		_] No [X]] No [X]	
5.1	Has the reporting entity been a party to a merger or consolidation during the	e period covered by this statement?		Yes [] No [X]	
5.2	If yes, provide the name of the entity, NAIC Company Code, and state of do ceased to exist as a result of the merger or consolidation.	omicile (use two letter state abbreviation) for any entity that ha	as			
	1 Name of Entity	NAIC Company Code State of Domicile				
6.1	Has the reporting entity had any Certificates of Authority, licenses or registrarevoked by any governmental entity during the reporting period?			Yes [] No [X]	
6.2	If yes, give full information:					
7.1	Does any foreign (non-United States) person or entity directly or indirectly co	ontrol 10% or more of the reporting entity?		Yes [] No [X]	
7.2	If yes,					w
	7.21 State the percentage of foreign control;	ty is a mutual or reciprocal, the nationality of its manager or				. %
	1 Nationality	2 Type of Entity				

	Is the company a subsidiary of a bank holding company regulated by If response to 8.1 is yes, please identify the name of the bank holding					Yes [] No [X]
	Is the company affiliated with one or more banks, thrifts or securities If response to 8.3 is yes, please provide below the names and location regulatory services agency [i.e. the Federal Reserve Board (FRB), Insurance Corporation (FDIC) and the Securities Exchange Commit	on (city and state of the main office) of any affil the Office of the Comptroller of the Currency (iates regulate	d by a fe	deral	Yes [X] No []
	1	2	3	4	5	6	1
	Affiliate Name Optum Bank, Inc.	Location (City, State) Salt Lake City, UT	FRB	NONO	FDIC YES	SEC NO	-
	What is the name and address of the independent certified public ac Deloitte & Touche LLP Minneapolis, MN Has the insurer been granted any exemptions to the prohibited non-c				t		.
	requirements as allowed in Section 7H of the Annual Financial Rep law or regulation?	orting Model Regulation (Model Audit Rule), or	substantially	similar s	tate	Yes [] No [X]
2	If the response to 10.1 is yes, provide information related to this exer	mption:					
	Has the insurer been granted any exemptions related to the other reallowed for in Section 18A of the Model Regulation, or substantially If the response to 10.3 is yes, provide information related to this exer	similar state law or regulation? mption:				Yes [] No [X]
	Has the reporting entity established an Audit Committee in complian If the response to 10.5 is no or n/a, please explain	ce with the domiciliary state insurance laws?			Yes [X] No [] N/A [
	What is the name, address and affiliation (officer/employee of the refirm) of the individual providing the statement of actuarial opinion/or Allen J. Sorbo, Vice President and Corporate Chief Actuary of Uniter is an affiliate, 185 Asylum Street, Hartford, CT 06103	ertification? d Healthcare Insurance Company, of which Oxf	ord Health Pla	ans (NJ),	Inc.		
1	Does the reporting entity own any securities of a real estate holding of		y?			Yes [] No [X]
		al estate holding company					
		parcels involvedadjusted carrying value					
2	If, yes provide explanation:					•	
L	FOR UNITED STATES BRANCHES OF ALIEN REPORTING ENTI	TIES ONLY:					
	What changes have been made during the year in the United States		eporting entity	y?			
2	Does this statement contain all business transacted for the reporting	entity through its United States Branch on risk	s wherever lo	cated?_		Yes [] No []
	Have there been any changes made to any of the trust indentures du						
1	If answer to (13.3) is yes, has the domiciliary or entry state approved Are the senior officers (principal executive officer, principal financial similar functions) of the reporting entity subject to a code of ethics, (a) Honest and ethical conduct, including the ethical handling of actu	officer, principal accounting officer or controller which includes the following standards?	, or persons p	performin	g] N/A [] No []
	relationships; (b) Full, fair, accurate, timely and understandable disclosure in the p (c) Compliance with applicable governmental laws, rules and regulat	eriodic reports required to be filed by the report		703510110	•		
	(d) The prompt internal reporting of violations to an appropriate personal (e) Accountability for adherence to the code.	-					
	If the response to 14.1 is No, please explain:						
	Has the code of ethics for senior managers been amended?					Yes [] No [X]
	If the response to 14.2 is yes, provide information related to amendm						
_	Minor updates were made to the Code	specified officers?				Voc. [] No [X]
3	a. a a, proticiono er uno codo el cullos been maired foi ally el life						I INU I A I

15.1	Is the reporting entity the beneficiary of a Letter of Credit SVO Bank List?		the issuing or confirming bank is not on the	Yes [1	No I	Y 1
15.2	If the response to 15.1 is yes, indicate the American Bar bank of the Letter of Credit and describe the circumstar	nkers Association (ABA) Routing Number	er and the name of the issuing or confirming	. 168 [1	NO [/	, 1
	1 2 American Bankers		3		4		7
	Association (ABA) Routing Number Issuing or Confirming Bank N	lame Circumstance:	s That Can Trigger the Letter of Credit	Aı	moun	nt	
40		BOARD OF DIRECTOR					
16.	Is the purchase or sale of all investments of the reporting thereof?			Yes [х]	No []
17.	Does the reporting entity keep a complete permanent re- thereof?			Yes [х]	No []
18.	Has the reporting entity an established procedure for dis part of any of its officers, directors, trustees or responsi				Х]	No [1
		FINANCIAL					
19.	Has this statement been prepared using a basis of accounting Principles)?	unting other than Statutory Accounting F	Principles (e.g., Generally Accepted	Yes [1	No [)	X 1
20.1		ate Accounts, exclusive of policy loans):	20.11 To directors or other officers	\$			0
			20.12 To stockholders not officers	\$			0
			20.13 Trustees, supreme or grand (Fraternal Only)	\$			0
20.2	Total amount of loans outstanding at the end of year (inc	clusive of Separate Accounts, exclusive	of				
	policy loans):		20.21 To directors or other officers	\$			0
			20.22 To stockholders not officers 20.23 Trustees, supreme or grand	\$			0
			(Fraternal Only)	\$			0
21.1	Were any assets reported in this statement subject to a	contractual obligation to transfer to anot	her party without the liability for such				
	obligation being reported in the statement?			Yes []	No [)	(]
21.2	If yes, state the amount thereof at December 31 of the co	urrent year:	21.21 Rented from others	\$			
			21.22 Borrowed from others				
			21.23 Leased from others				
22.1	Does this statement include payments for assessments guaranty association assessments?	as described in the Annual Statement Ir	21.24 Other estructions other than guaranty fund or				
22.2			22.21 Amount paid as losses or risk adjustmer	nt \$			0
			22.22 Amount paid as expenses	\$.19,590	0,764
			22.23 Other amounts paid	\$			0
23.1	Does the reporting entity report any amounts due from p	parent, subsidiaries or affiliates on Page	2 of this statement?	Yes []	No [)	X]
23.2	If yes, indicate any amounts receivable from parent inclu	ided in the Page 2 amount:		\$			
		INVESTMENT					
24.01	Were all the stocks, bonds and other securities owned E the actual possession of the reporting entity on said data	December 31 of current year, over which te? (other than securities lending progra	the reporting entity has exclusive control, in ms addressed in 24.03)	Yes [X]	No [1
24.02	If no, give full and complete information relating thereto			_			
24.03	For security lending programs, provide a description of the whether collateral is carried on or off-balance sheet. (at N/A	n alternative is to reference Note 17 who	ere this information is also provided)				
24.04	Does the Company's security lending program meet the Instructions?	requirements for a conforming program	as outlined in the Risk-Based Capital Yes [[] No [1	N/A	[X]
24.05	If answer to 24.04 is yes, report amount of collateral for o	conforming programs.		\$			
24.06	If answer to 24.04 is no, report amount of collateral for of	ther programs.		\$			
24.07	Does your securities lending program require 102% (dor outset of the contract?	mestic securities) and 105% (foreign sec	curities) from the counterparty at the Yes [[] No [1	N/A	[X]
24.08	Does the reporting entity non-admit when the collateral r	received from the counterparty falls belo	w 100%? Yes [[] No [1	N/A	[X]
24.09	Does the reporting entity or the reporting entity's securit conduct securities lending?	ties lending agent utilize the Master Sec	urities lending Agreement (MSLA) to Yes [[] No [1	N/A	[X]

24.10	For the reporting entity's security lending pro	ogram state the amount of	the following as Decer	nber 31 of the current	year:	
	24.101 Total fair value of re	einvested collateral assets	reported on Schedule I	DI Parts 1 and 2		\$
	24.102 Total book adjusted	/carrying value of reinvesto	ed collateral assets rep	orted on Schedule DL	Parts 1 and 2	\$
	24.103 Total payable for se					
25.1	Were any of the stocks, bonds or other asso control of the reporting entity, or has the re force? (Exclude securities subject to Intern	ets of the reporting entity or porting entity sold or transf	wned at December 31 ferred any assets subj	of the current year not ect to a put option con	exclusively under the tract that is currently in	
25.2	If yes, state the amount thereof at December	er 31 of the current year	25.21.9	ubject to requirebase a	greements	e
	ii jee, state tile amount tileresi at besembe	or or are current your.	25.21 S	ubject to repurchase a	rchase agreements	\$
					nase agreements	
					r repurchase agreements	
			25.25 P	aced under option agi	reements	
			25 26 L	etter stock or securities	s restricted as to sale -	
			•	excluding FHLB Capita	al Stock	\$
			25.27 F	HLB Capital Stock		\$
			25.28 O	n deposit with states		\$146,427,63
			25.29 O	n deposit with other re	gulatory bodies	\$
			25.30 P	ledged as collateral - 6	excluding collateral pledged	to
			25 31 P	an roco	FHI R - including assets	⊅
			20.011	packing funding agree	FHLB - including assets ments	\$
			25 32 O	ther		\$
			25.52 5			
25.3	For category (25.26) provide the following:					
	1			2		3
		on	<u> </u>	Description		Amount
26.1	Does the reporting entity have any hedging	transactions reported on S	chedule DB?			Yes [] No [X]
26.2	If yes, has a comprehensive description of the lift no, attach a description with this statement		made available to the o	domiciliary state?	Yes [] No [] N/A [X
27.1	Were any preferred stocks or bonds owned issuer, convertible into equity?	as of December 31 of the	current year mandatori	ly convertible into equi	ity, or, at the option of the	. Yes [] No [X]
27.2	If yes, state the amount thereof at December	er 31 of the current year				\$
28.	Excluding items in Schedule E - Part 3 - Sp offices, vaults or safety deposit boxes, wer custodial agreement with a qualified bank Outsourcing of Critical Functions, Custodia For agreements that comply with the require	e all stocks, bonds and oth or trust company in accord al or Safekeeping Agreeme	ner securities, owned the ance with Section 1, III ents of the NAIC Finance	roughout the current y - General Examination cial Condition Examine	rear held pursuant to a n Considerations, F. ers Handbook?	
20.01	To agreements that comply with the require	anents of the NAIC I mand		s наповоок, сотгр і єю	e the following.	
	1			2		
	Name of Custodian(s)			Custodian's A		
	Northern Trust	50 S. Las	alle, Chicago, IL 606	75		
28.02	For all agreements that do not comply with tand a complete explanation:	the requirements of the NA	IC Financial Condition	Examiners Handbook	, provide the name, location	1
	1 Name(s)		2 Location(s)		3 Complete Explana	tion(s)
	\ /					
	Have there been any changes, including na If yes, give full and complete information rela		ian(s) identified in 28.0	1 during the current ye	ear?	Yes [] No [X]
	1 Old Custodian	New Cu		3 Date of Change	4 Reaso	on

GENERAL INTERROGATORIES

28.05	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"]

	Na	1 me of Firm or Individual		2 Affiliation				
	JP Morgan Investment Manage	ement, Inc		U				
		nent Americas, Inc.						
		iduals listed in the table for Question 2: ") manage more than 10% of the repor					Yes	s [X] No [
	28.0598 For firms/individuals total assets under m	unaffiliated with the reporting entity (i.e anagement aggregate to more than 50	e. designate 1% of the rep	d with a "U") listed in the tab porting entity's assets?	le for Question	28.05, does the	Yes	s [X] No [
06	For those firms or individuals the table below.	listed in the table for 28.05 with an affil	liation code	of "A" (affiliated) or "U" (una	ffiliated), provid	le the information f	ог	
	1	2		3	1	4		5
								Investmen Manageme
	Central Registration							Agreemen
	Depository Number	Name of Firm or Individual		Legal Entity Identifier (LEI) N/A	OEC	Registered With		(IMA) Filed
								INU
	107038	JP Morgan Investment Management In		IV A	OLO			
	104518	Deutsche Investment Management Ame	ricas Inc.	CZ83K4EEEX8QVCT3B128				
	Does the reporting entity have Exchange Commission (SEIf yes, complete the following	Deutsche Investment Management Ame e any diversified mutual funds reported C) in the Investment Company Act of 19	ricas Inc.	cz83K4EEEX8QVCT3B128eD, Part 2 (diversified accorn 5(b)(1)])?	SECding to the Sec	curities and		N0
	Does the reporting entity have Exchange Commission (SE	Deutsche Investment Management Ame e any diversified mutual funds reported C) in the Investment Company Act of 19	ricas Inc.	CZ83K4EEEX8QVCT3B128	SECding to the Sec	curities and	Yes	NO
	Does the reporting entity have Exchange Commission (SE) fyes, complete the following	Deutsche Investment Management Ame e any diversified mutual funds reported C) in the Investment Company Act of 19	ricas Inc.	cz83K4EEEX8QVCT3B128eD, Part 2 (diversified accorn 5(b)(1)])?	SECding to the Sec	curities and	Yes	NO
	Does the reporting entity have Exchange Commission (SE) fyes, complete the following	Deutsche Investment Management Ame e any diversified mutual funds reported C) in the Investment Company Act of 19	ricas Inc.	cz83K4EEEX8QVCT3B128e D, Part 2 (diversified accorn 5(b)(1)])?	SECding to the Sec	curities and	Yes	N0
2	Does the reporting entity have Exchange Commission (SEI f yes, complete the following 1 CUSIP # 29.2999 - Total	Deutsche Investment Management Ame e any diversified mutual funds reported C) in the Investment Company Act of 19	ricas Inc.	cz83K4EEEX8QVcT3B128e D, Part 2 (diversified accorn 5(b)(1)])?	SECding to the Sec	curities and	Yes	N0s [] No [
2	Does the reporting entity have Exchange Commission (SEI f yes, complete the following 1 CUSIP # 29.2999 - Total	Deutsche Investment Management Ame	ricas Inc.	cz83K4EEEX8QVcT3B128e D, Part 2 (diversified accorn 5(b)(1)])?	SECding to the Sec	curities and	Yes	NOs; [] No [
2	Does the reporting entity have Exchange Commission (SEI f yes, complete the following 1 CUSIP # 29.2999 - Total	Deutsche Investment Management Ame e any diversified mutual funds reported C) in the Investment Company Act of 1st schedule:	ricas Inc.	cz83K4EEEX8QVcT3B128e D, Part 2 (diversified accorn 5(b)(1)])?	ding to the Sec	curities and	Book Carry	N0

	1	2	3 Excess of Statement
	Statement (Admitted) Value	Fair Value	over Fair Value (-), or Fair Value over Statement (+)
30.1 Bonds	195,462,548	194,741,024	(721,524)
30.2 Preferred stocks	0		0
30.3 Totals	195,462,548	194,741,024	(721,524)

30.4	Describe the sources or methods utilized in determining the fair values: For those securities that had prices in the NAIC SVO ISIS database, those prices were used; for those securities that did not have prices in the NAIC SVO ISIS database, pricing was obtained from HUB which is an external data sources vendor. Hub utilizes various pricing sources.				
31.1	Was the rate used to calculate fair value determined by a broker or custodian for any of the securities in Schedule D?	Yes [1	No [X
31.2	If the answer to 31.1 is yes, does the reporting entity have a copy of the broker's or custodian's pricing policy (hard copy or electronic copy) for all brokers or custodians used as a pricing source?	Yes [1	No [[]
31.3	If the answer to 31.2 is no, describe the reporting entity's process for determining a reliable pricing source for purposes of disclosure of fair value for Schedule D: N/A				
	Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed?	Yes [)	(]	No [

GENERAL INTERROGATORIES

OTHER

33.1	Amount of payments to trade associations, service organizations and statistical or rating bureaus, if any?	\$ <u></u>	0
33.2	List the name of the organization and the amount paid if any such payment represented 25% or more of the total payments to trade asso service organizations and statistical or rating bureaus during the period covered by this statement.	ciations,	
	1 2 Amount Paid		
34.1	Amount of payments for legal expenses, if any?	\$	0
34.2	List the name of the firm and the amount paid if any such payment represented 25% or more of the total payments for legal expenses during the period covered by this statement.		
	1 2 Amount Paid		
35.1	Amount of payments for expenditures in connection with matters before legislative bodies, officers or departments of government, if any a	?\$	0
35.2	List the name of the firm and the amount paid if any such payment represented 25% or more of the total payment expenditures in connection with matters before legislative bodies, officers or departments of government during the period covered by this statement.		
	1 2 Amount Paid		

GENERAL INTERROGATORIES

PART 2 - HEALTH INTERROGATORIES

1.1		the reporting entity have any direct Medicare Supplement Insurance in force] No [X]
1.2	If yes	, indicate premium earned on U.S. business only.	E 1130	\$	
1.3		portion of Item (1.2) is not reported on the Medicare Supplement Insurance	Experience Exhibit?	.5	
	1.31	Reason for excluding			
1.4	Indic	ate amount of earned premium attributable to Canadian and/or Other Alien n	ot included in Item (1.2) above	¢	
1.5		ate total incurred claims on all Medicare Supplement Insurance.			
1.6		dual policies:	Most current three years:	_Ψ	
1.0	IIIdivi	dudi policico.	1.61 Total premium earned	\$	0
			1.62 Total incurred claims	\$	0
			1.63 Number of covered lives		
			All years prior to most current three years:		
			1.64 Total premium earned		0
			1.65 Total incurred claims	¢	0
			1.66 Number of covered lives		
			1.00 Number of covered lives		
1.7	Grou	p policies:	Most current three years:		
1.7	Glou	ρ policies.	1.71 Total premium earned	¢	0
			1.72 Total incurred claims		٥٥
			1.72 Number of covered lives		٥
			All years prior to most current three years:		0
			1.74 Total premium earned		
			1.75 Total incurred claims		
			1.76 Number of covered lives		0
0	114	L TL			
2.	неап	h Test:	1 2		
			Current Year Prior Year		
	2.1	Premium Numerator			
	2.2	Premium Denominator			
	2.3	Premium Ratio (2.1/2.2)	1.000 1.000		
	2.4	Reserve Numerator	146 905 428 140 839 002		
	2.5	Reserve Denominator	146 905 428 140 839 002		
	2.6	Reserve Ratio (2.4/2.5)			
	2.0	1000170 1000 (2. 112.0)			
3.2	If yes	, give particulars:			
4.1		copies of all agreements stating the period and nature of hospitals', physicial endents been filed with the appropriate regulatory agency?		Yes [)	K] No []
4.2	If not	previously filed, furnish herewith a copy(ies) of such agreement(s). Do these	agreements include additional benefits offered?	Yes [] No [X]
- 4				V [1 N
5.1	Does	the reporting entity have stop-loss reinsurance?		res [] NO [X]
5.2		explain: rd Health Plans (NJ), Inc. has insolvency only reinsurance			
5.3	Maxir	num retained risk (see instructions)	5.31 Comprehensive Medical		
			5.32 Medical Only		
			5.33 Medicare Supplement		
			5.34 Dental & Vision	\$	
			5.35 Other Limited Benefit Plan	\$	
			5.36 Other	.\$	
6.	hold agre	ribe arrangement which the reporting entity may have to protect subscribers of harmless provisions, conversion privileges with other carriers, agreements between the continuation of coverage endough the coverage en	with providers to continue rendering services, and any other		
7.1	Does	the reporting entity set up its claim liability for provider services on a service	date basis?	Yes [)	X] No []
7.2	If no,	give details			
8.	Provi	de the following information regarding participating providers:	8.1 Number of providers at start of reporting year 8.2 Number of providers at end of reporting year		
9.1	Does	the reporting entity have business subject to premium rate guarantees?		Yes [] No [X]
9.2	If yes	, direct premium earned:	9.21 Business with rate guarantees between 15-36 months 9.22 Business with rate guarantees over 36 months		

10.1	Does the reporting entity have Incentive Pool, Withh	nold or Bonus An	rangements in its p	provider contracts?			Yes [X]	No []
10.2	If yes:	10.21 Maximum amount payable bonuses					\$	7.851.904
	0. 500 3 proces	10.22 Amount actually paid for year bonuses						
					ount payable withh			
			1	0.24 Amount actua	ally paid for year wit	hholds	\$	150,743
manama.								
11.1	Is the reporting entity organized as:			17 12 1 22 2	1020 121 121000		V .	1 N CV1
					al Group/Staff Mode] No [X]] No [X]
					Model (combination] No [X]
				TI. IT A WILLOW	Woder (combination	rorabove):	100 [1 HO [X]
11.2	Is the reporting entity subject to Statutory Minimum	Capital and Surp	lus Requirements	?			Yes [X	No []
	If yes, show the name of the state requiring such mi							New Jersey
	If yes, show the amount required.							
	Is this amount included as part of a contingency res	erve in stockholo	ler's equity?				Yes [No [X]
11.6	If the amount is calculated, show the calculation							
	125% of the sum of \$37,647,606 (8% fee for service	e and Hospital n	on contracted cost	s) and \$14,024,19	2			
	(4% of contracted hospital costs)							
12.	List service areas in which reporting entity is license	ed to operate:						
	Let connect areas in minarreporting entity to inconce	or to operate.						
			1					
	Delevere	- New Coatle	Name of Service	Area				
		= New Castle	unty; St. Louis C	tv				
		ey = All Countie		ity				
	A CONTRACTOR OF THE CONTRACTOR	The state of the s		Mutnomah County; V	Washington			
	County	oracitames sour	ty, Land Journey,	matriomair obarty, .	gron			
				Crawford; Erie; L	.ancaster;			
	•		tmoreland and Yor					
				ovidence and Wash				

13 1	Do you act as a custodian for health savings accour	nts?					Yes [1 No [X 1
10.1	Do you dot do a castodian for noutre savingo accoun						100 [, no [x]
13.2	If yes, please provide the amount of custodial funds	held as of the re	porting date				\$	
13.3	Do you act as an administrator for health savings ac	counts?					Yes [No [X]
40.4	16						•	
13.4	If yes, please provide the balance of funds administration	ered as of the re	porting date				\$	
14.1	Are any of the captive affiliates reported on Schedul	le S. Part 3. auth	orized reinsurers?			Yes [1 No f X	1 N/A [1
	If the answer to 14.1 is yes, please provide the follow					700 [1 110 [11	1 []
	1	2 NAIC	3	4	Assets 5	Supporting Reserv 6	<u>re Credit</u>	
		Company	Domiciliary	Reserve	Letters of	Trust	· '	
	Company Name	Code	Jurisdiction	Credit	Credit	Agreements	Other	
15.	Provide the following for individual ordinary life insur-	rance* policies (l	J.S. business only) for the current yea	ar (prior to reinsura	nce assumed or		
	ceded):			45 4 5	Direct Premium Wri	tton	¢	0
					Total Incurred Claim			
					Number of Covered			0
				10.01	.aibci oi ooveleu			
			nary Life Insurance					
	Term(whether full un							
	Whole Life (whether	tull underwriting,	Ilmited underwritin	ig, jet issue, "short	form app")	_		

*Ordinary Life Insurance Includes
Term(whether full underwriting, limited underwriting, jet issue, "short form app")
Whole Life (whether full underwriting, limited underwriting, jet issue, "short form app")
Variable Life (with or without secondary gurarantee)
Universal Life (with or without secondary gurarantee)
Variable Universal Life (with or without secondary gurarantee)

FIVE-YEAR HISTORICAL DATA

		1 2016	2 2015	3 2014	4 2013	5 2012
	Balance Sheet (Pages 2 and 3)	23.10	2010	2011	2510	2012
1.	Total admitted assets (Page 2, Line 28)	302.758.921	289,539,700	284,644,751	337,265,964	317,313,493
2.	Total liabilities (Page 3, Line 24)					
3.	Statutory minimum capital and surplus requirement .	000 - 1000 000 000 000		64,838,866	1,500 2750250000	76,303,364
4.	Total capital and surplus (Page 3, Line 33)	0.0000000000000000000000000000000000000	Administration of the second		6, 40 S. W. 127 P. 127	124,103,200
7-	Income Statement (Page 4)	117, 102,000	120,304,000	120,301,337	140,000,020	124, 100,200
5.	Total revenues (Line 8)	1 057 013 334	070 087 008	1 018 838 015	1 1/3 678 88/	1 117 005 166
6.	Total medical and hospital expenses (Line 18)	and the second s		A CONTRACTOR OF THE PARTY OF TH		ACTION CONTRACTOR AND ADDRESS OF A CONTRACTOR
7.	Claims adjustment expenses (Line 20)					
8.	Total administrative expenses (Line 21)				113,625,584	
	Net underwriting gain (loss) (Line 24)					89,248,702
9.						5,870,288
10.	Net investment gain (loss) (Line 27)					
11.	Total other income (Lines 28 plus 29)					
12.	Net income or (loss) (Line 32)	48,929,650	14,644,124	22,534,321	34,049,428	63,051,982
	Cash Flow (Page 6)	55 700 074	0.004.400	(44 507 047)	40.440.444	57.750.004
13.	Net cash from operations (Line 11)	55,722,374	6,994,420	(41,597,917)	13,448,414	57,753,604
	Risk-Based Capital Analysis					
14.	Total adjusted capital					
15.	Authorized control level risk-based capital	33,503,175	32,172,771	33,473,315	37,099,823	35,531,657
	Enrollment (Exhibit 1)					
16.	Total members at end of period (Column 5, Line 7)					
17.	Total members months (Column 6, Line 7)	1,277,979	1,341,946	1,567,789	2,070,740	2,095,188
	Operating Percentage (Page 4) (Item divided by Page 4, sum of Lines 2, 3 and 5) x 100.0					
18.	Premiums earned plus risk revenue (Line 2 plus Lines 3 and 5)	100.0	100.0	100.0	100.0	100.0
19.	Total hospital and medical plus other non-health (Lines 18 plus Line 19)	77.4	79.6	79.7	82.6	78.3
20.	Cost containment expenses	4.4	3.2	2.9	2.0	0.0
21 .	Other claims adjustment expenses	1.9	2.6	1.8	1.5	0.0
22 .	Total underwriting deductions (Line 23)	92.7	96.8	96.3	96.1	92.0
23.	Total underwriting gain (loss) (Line 24)	7.3	3.2	3.7	3.9	8.0
	Unpaid Claims Analysis (U&I Exhibit, Part 2B)					
24.	Total claims incurred for prior years (Line 13, Col. 5)	75,764,156	70,735,174	121,093,737	108,988,778	90,891,738
25.	Estimated liability of unpaid claims-[prior year (Line 13, Col. 6)]	88,528,929	86,397,267	127,557,516	120,669,599	105,010,004
	Investments In Parent, Subsidiaries and Affiliates					
26.	Affiliated bonds (Sch. D Summary, Line 12, Col. 1)					
27 .	Affiliated preferred stocks (Sch. D Summary, Line 18, Col. 1)					
28.	Affiliated common stocks (Sch. D Summary, Line 24, Col. 1)					
2 9.	Affiliated short-term investments (subtotal included in Schedule DA Verification, Col. 5, Line 10)	0	0	0	0	
30.						
31.	All other affiliated					
32.		0	0	0		0
33.	Total investment in parent included in Lines 26 to 31 above.					

NOTE:	If a party to a merger, have the two most recent years of this exhibit been restated due to a merger in compliance with the disclosure			
	requirements of SSAP No. 3, Accounting Changes and Correction of Errors?	Yes [] No []

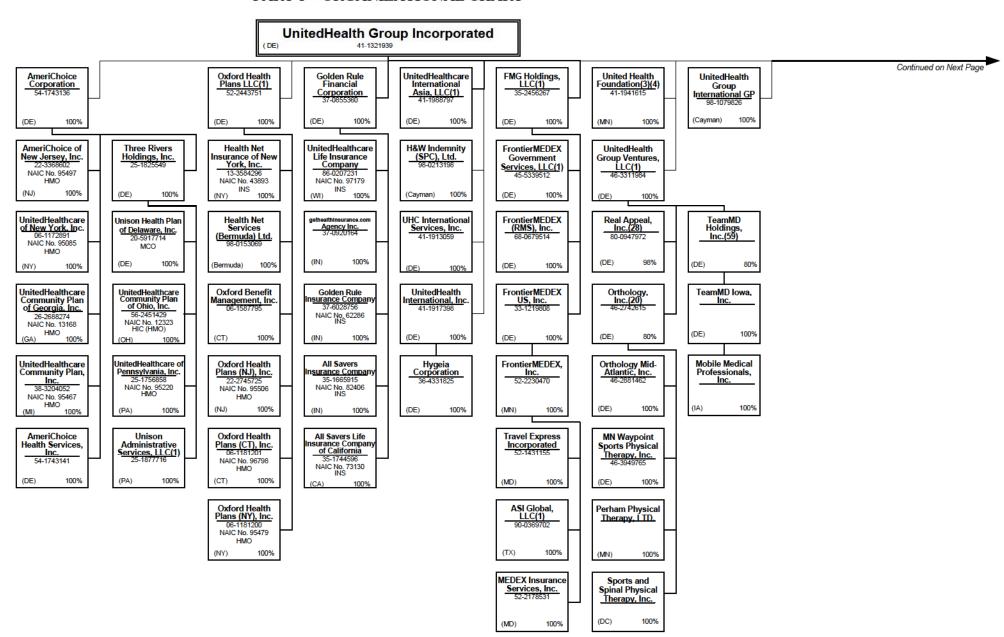
SCHEDULE T PREMIUMS AND OTHER CONSIDERATIONS

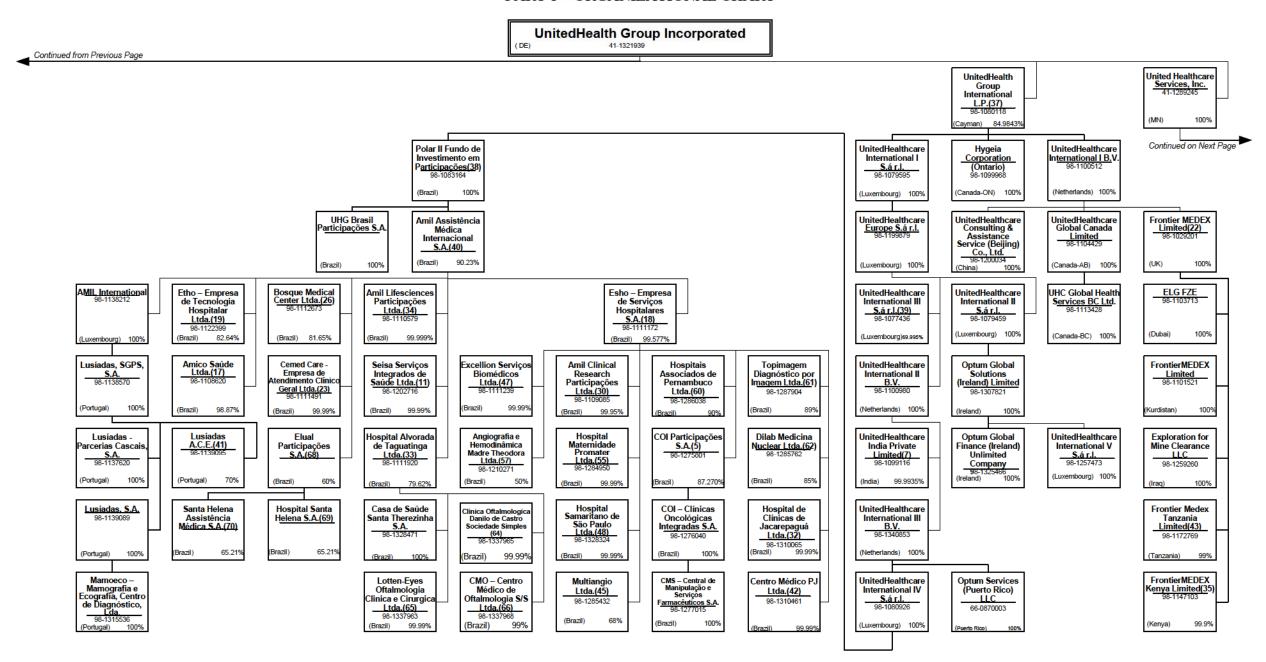
Allocated by States and Territories **Direct Business Only** 8 9 Federal Employees Health _ife & Annuity Accident & Benefits Total Premiums & Property/ Active Health Medicare Medicaid Plan Other Casualty Columns 2 Deposit-Type Statu Title XVIII States, etc Premiums remiums Title XIX Through 7 Consideratio Premiums Contracts Alabama Alaska_ AK N 0 Arizona AZ 0 4 Arkansas AR 5. California CA N 0 6. Colorado CO _0 Connecticut .0 СТ 8. Delaware DE 0 District of Columbia DC 9. N 0 10. 0 FL 11. Georgia N 0 GΑ 12. Hawaii н N 0 ldaho. 13. .0 ID N. Illinois 14. IL 15 Indiana IN N 0 16. lowa IΔ N 0 0 KS 18. Kentucky 0 KY 19. Louisiana LA N 0 20. Maine. ME _N .0 21 Maryland MD 22 Massachusetts MA N n 23. Michigan MI N 0 24 Minnesota 0 MN _N 25 Mississippi MS 26 Missouri MO 285.213 285 213 27 Montana MT _N_ 0 28. Nebraska NE 29 Nevada NV N 0 30. New Hampshire NH _N .0 New Jersey 31. ,017,001,146 .99,533,510 .917,467,636 NJ 32 New Mexico 33. New York NY N 0 34. North Carolina ... NC .0 35 North Dakota .. ND 36 Ohio ОН N n 37. Oklahoma OK N _0 38 Oregon_ 4,121,287 4,121,287 OR 39 Pennsylvania 44,688,523 .44,688,523 40. Rhode Island RI _ 0 South Carolina SC N. 0 South Dakota ... 42 SD 43 Tennessee ΤN N 0 44. Texas TX N. 0 45. Utah. UT 0 46 Vermont 0 47 Virginia . VA N 0 48. Washington. WA 0 49 West Virginia W۷ 0 50. Wisconsin WI N 0 51. Wyoming, WY N 0 52 American Samoa AS 0 53 Guam GU 0 54. Puerto Rico PR N 0 55. U.S. Virgin Islands ... VI _N 0 56 Northern Mariana Islands .. 57 Canada CAN 0 Aggregate other 58. ОТ XXX 0 O 0 0 0 Subtotal .99,533,510 966.562.659 1.066.096.169 XXX 0 0 0 0 0 Reporting entity contributions for Employee 60. Benefit Plans XXX 0 61. Total (Direct Business) 99,533,510 966,562,659 0 0 0 1,066,096,169 0 DETAILS OF WRITE-INS 58001. XXX 58002. XXX 58003 XXX Summary of remaining write-ins for Line 58 from 58998. overflow page Totals (Lines 58001 through .0 0 .0 0 XXX 58999 58003 plus 58998)(Line 58 above) XXX 0 0 0

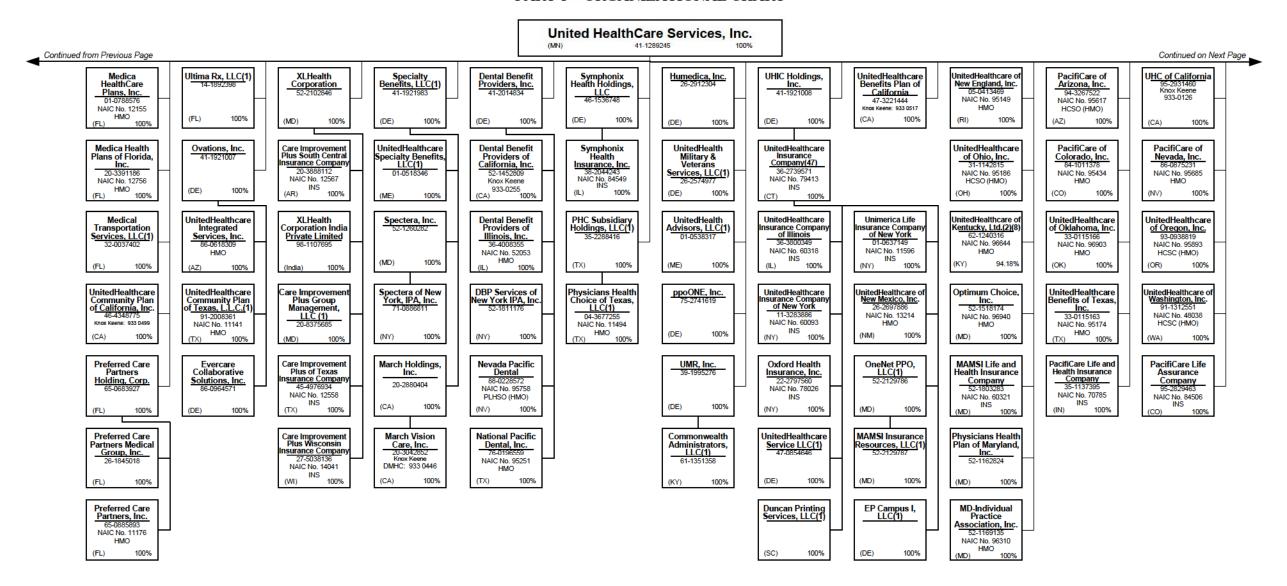
The premiums are allocated based on the sales location of the group or address of the individual and recorded in the financial system by state as the premiums are received. (a) Insert the number of L responses except for Canada and Other Alien.

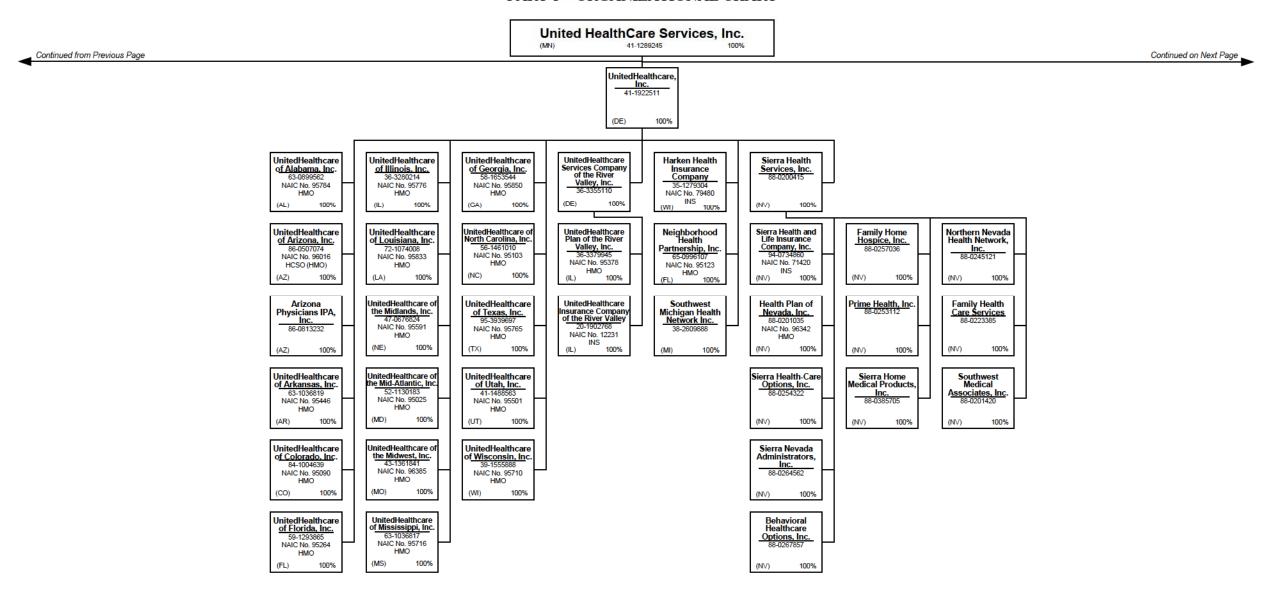
⁽L) Licensed or Chartered - Licensed Insurance Carrier or Domiciled RRG; (R) Registered - Non-domiciled RRGs; (Q) Qualified - Qualified or Accredited Reinsurer; (E) Eligible - Reporting Entities eligible or approved to write Surplus Lines in the state; (N) None of the above - Not allowed to write business in the state.

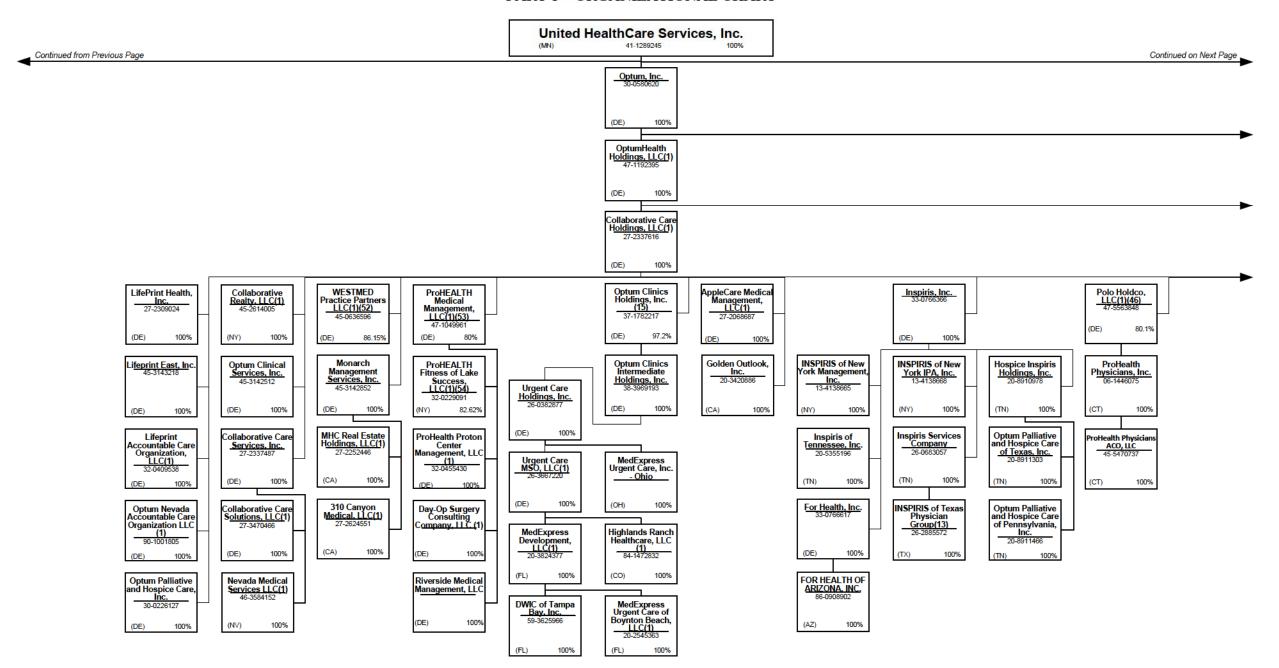
Explanation of basis of allocation by states, premiums by state, etc.



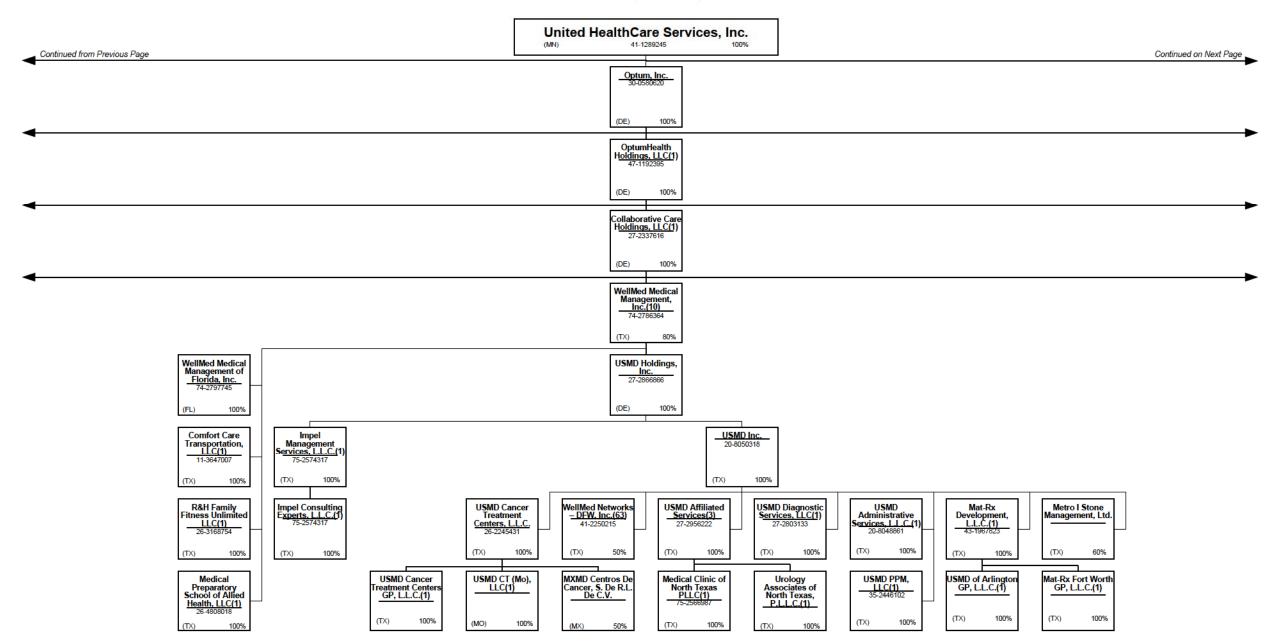


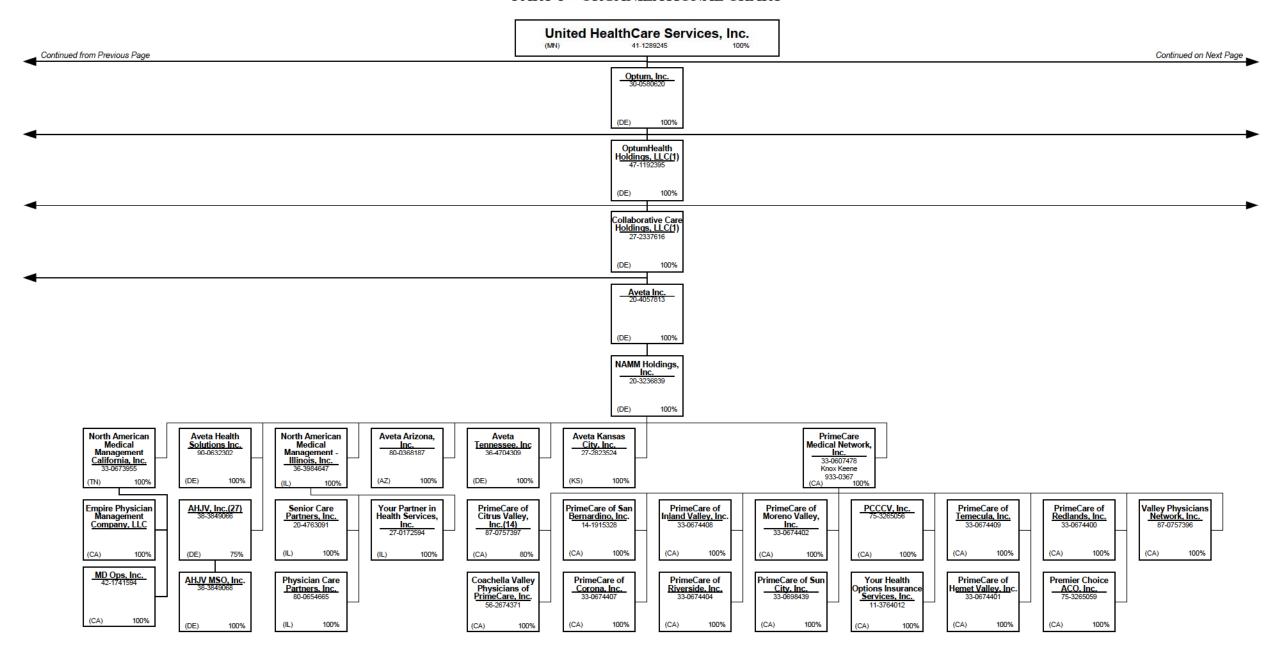


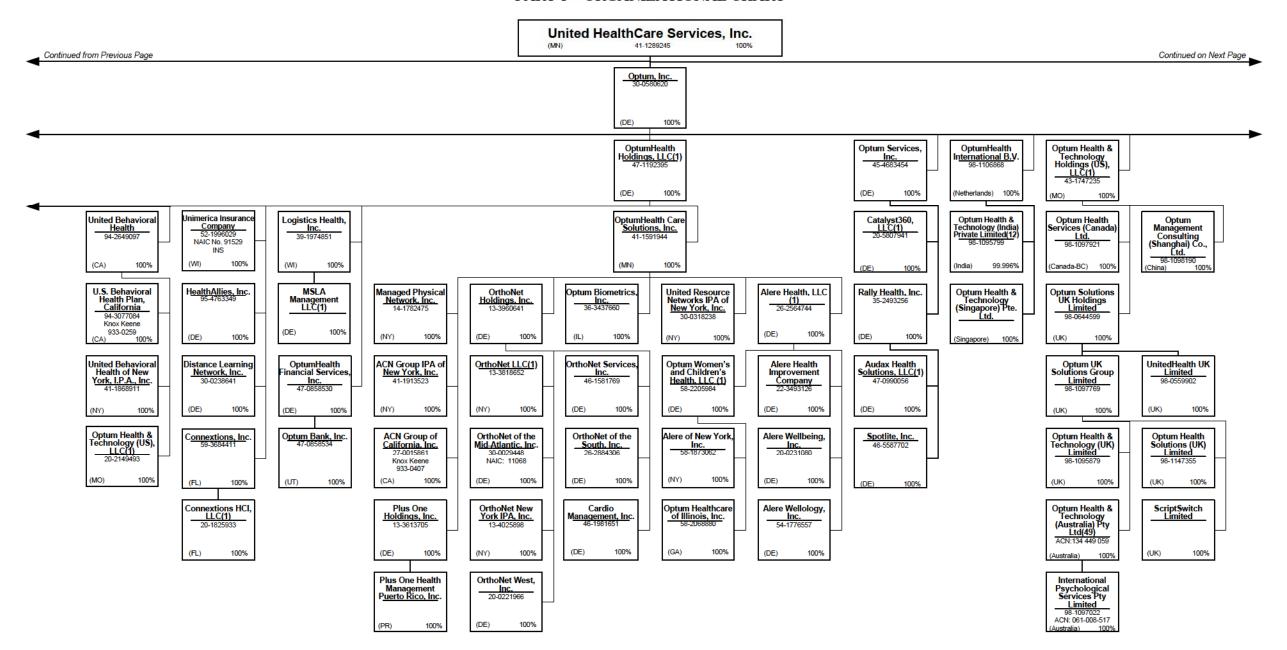


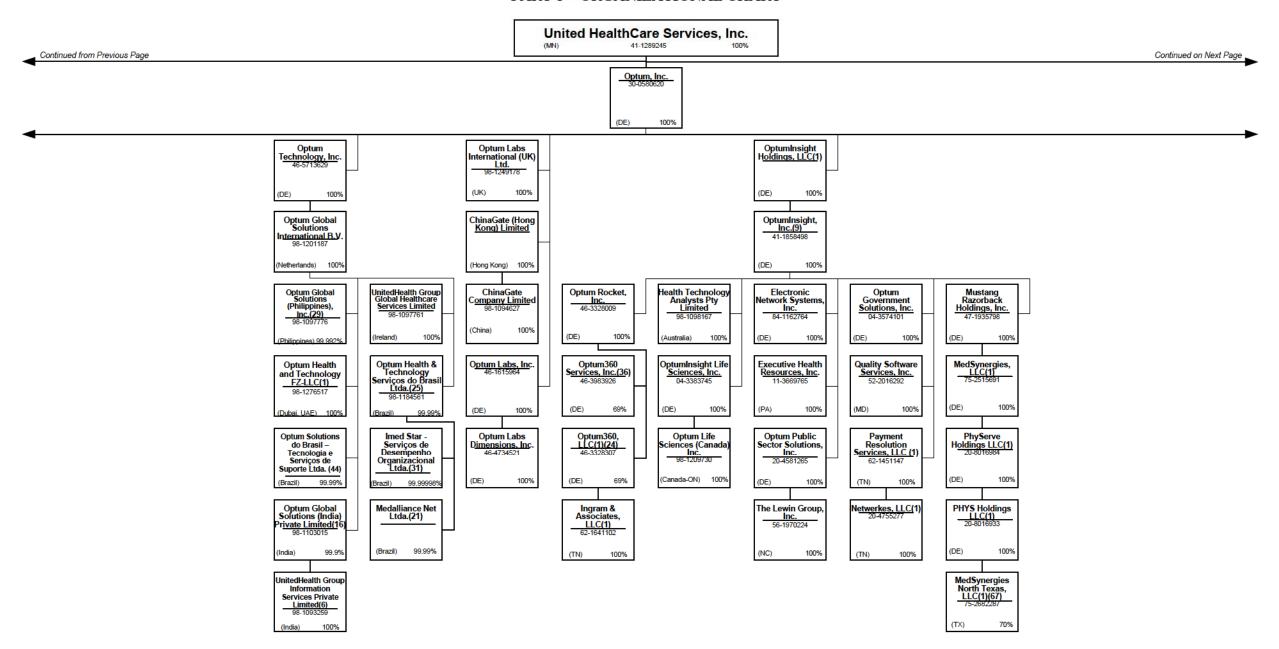


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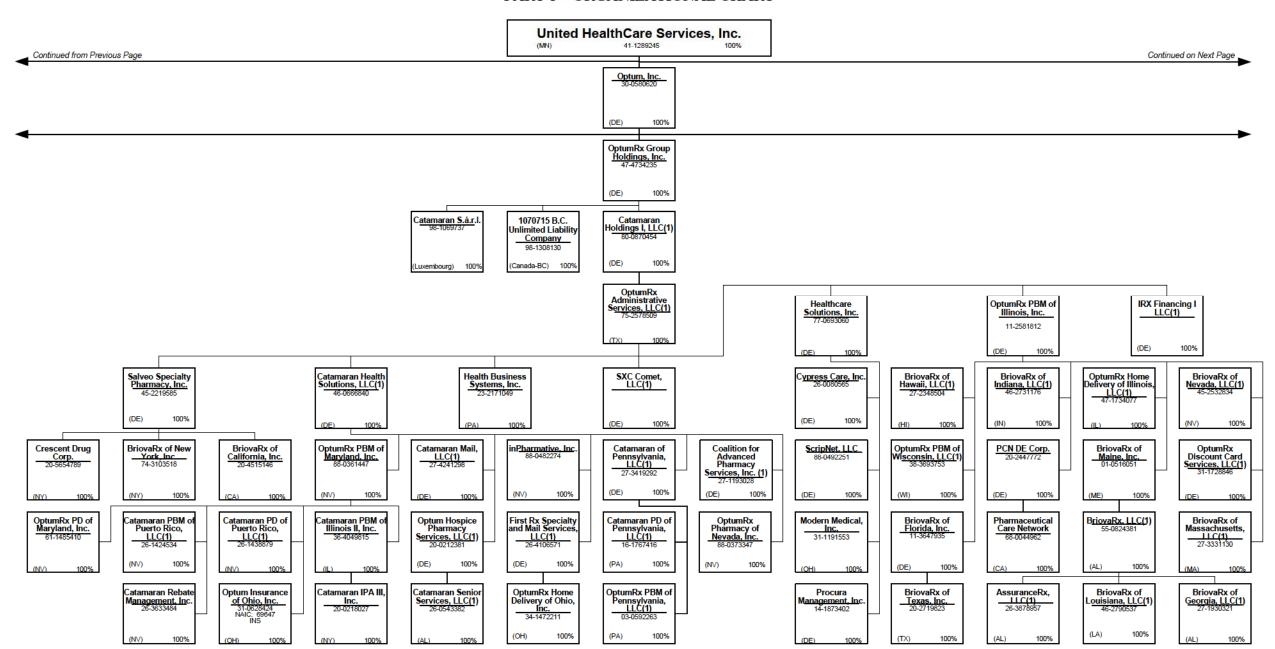






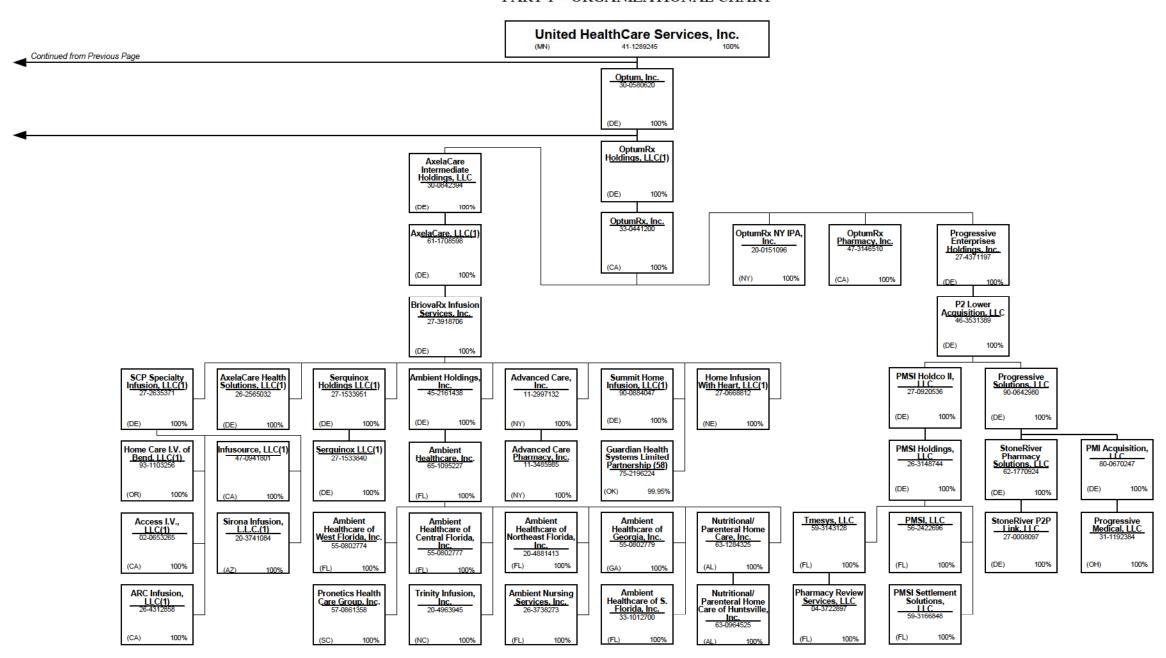
SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

PART 1 – ORGANIZATIONAL CHART



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

PART 1 – ORGANIZATIONAL CHART



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

PART 1 – ORGANIZATIONAL CHART

Notes

All legal entities on the Organization Chart are Corporations unless otherwise indicated.

- (1) Entity is a Limited Liability Company
- (2) Entity is a Partnership
- (3) Entity is a Non-Profit Corporation
- (4) Control of the Foundation is based on sole membership, not the ownership of voting securities
- (5) COI Participações S.A. is 87.270% owned by Esho Empresa de Serviços Hospitalares S.A. and 12.729% owned by COIPAR Participações S.A.
- (6) UnitedHealth Group Information Services Private Limited is 100% owned by Optum Global Solutions (India) Private Limited. UnitedHealth International, Inc. holds 10 shares as a nominee shareholder.
- (7) UnitedHealthcare India Private Limited is 99.9935% owned by UnitedHealthcare International II B.V. and 0.0065% owned by UnitedHealth International, Inc.
- (8) General partnership interests are held by Únited HealthCare Services, Inc. (89.77%) and by UnitedHealthCare, Inc. (10.23%). United HealthCare Services, Inc. also holds 100% of the limited partnership interests. When combining general and limited partner interests, United HealthCare Services, Inc. owns 94.18% and UnitedHealthCare, Inc. owns 5.83%.
- (9) Branch office located in Abu Dhabi, UAE.
- (10) WellMed Medical Management, Inc. is 80% owned by Collaborative Care Holdings, LLC and 20% owned by WMG Healthcare Partners, L.P.
- (11) Seisa Serviços Integrados de Saúde Ltda is 99.99% owned by Amil Assistência Médica Internacional S.A. and 0.000007% owned by Cemed Care – Empresa de Atendimento Clinico Geral Ltda.
- (12) Optum Health & Technology (India) Private Limited is 99.996% owned by OptumHealth International B.V. and 0.004 % owned by United Behavioral Health.
- (13) INSPIRIS of Texas Physician Group is a Texas non-profit (taxable) whose sole member is Inspiris Services Company.
- (14) PrimeCare of Citrus Valley, Inc. is 80% owned by PrimeCare Medical Network, Inc. and 20% owned by Citrus Valley Medical Associates, Inc.
- (15) Optum Clinics Holdings, Inc. is 97.2% owned by Collaborative Care Holdings, LLC and 2.8% is owned by external shareholders.
- (16) Optum Global Solutions (India) Private Limited is 99.9% owned by Optum Global Solutions International B.V. and 0.1% owned by UnitedHealth International, Inc.
- (17) Amico Saúde Ltda. is 98.87947% owned by Amil Assistência Médica Internacional S.A. and 1.12053% owned by Cemed Care – Empresa de Atendimento Clinico Geral Ltda.
- (18) Esho Empresa de Serviços Hospitalares S.A. is 99.577% owned by Amil Assistência Médica Internacional S.A. and 0.0185976% owned by Treasury Shares and .4044814% owned by external shareholders.
- (19) Etho Empresa de Technologia Hospitalar Ltda. 82.64% owned by Amil Assistência Médica Internacional S A and 17.357% owned by an external shareholder.
- (20) Orthology, Inc. is 80% owned by UnitedHealth Group Ventures, LLC and 20% owned by external shareholders.
- (21) Medalliance Net Ltda. is owned 99.999985% by Optum Health & Technology Serviços do Brasil Ltda. and 0.000015% by UHG Brasil Participações S.A.
- (22) Branch offices in Iraq and Uganda.
- (23) Cemed Care Empressa de Átendimento Clínico Geral Ltda. Is 99.9999995% owned by Amil Assistência Médica Internacional S.A. and 0.000005% owned by Amico Sáude I tda
- (24) Optum 360, LLC is 69% owned by Optum Rocket, Inc; the remaining 31% is owned by external holders.
- (25) Optum Health & Technology Serviços do Brasil Ltda. is 99.9964% owned by Optum Global Solutions International B.V. and .0036% owned by OptumInsight, Inc.

- (26) Bosque Medical Center Ltda. is 81.65320% owned by Amil Assistência Médica Internacional S.A.and 18.34680% owned by Esho – Empresa de Servicos Hospitalares S.A.
- (27) AHJV, Inc. is 75% owned by NAMM Holdings, Inc. and 25% owned by Humana, Inc.
- (28) Real Appeal, Inc. is majority-owned by UHG or one of its affiliates and the remaining 2% is owned by Real Appeal Management.
- (29) Optum Global Solutions (Philippines), Inc. is 99.992% owned by Optum Global Solutions International B.V., and the remaining 0.008% is held by the company's directors.
- (30) Amil Clinical Research Participações Ltda. is 99.95% owned by Amil Lifesciences Participações Ltda. and 0.05% owned by Cemed Care – Empresa de Atendimento Clinico Geral Ltda.
- (31) Imed Star Serviços de Desempenho Organizacional Ltda. is 99.99998% owned by Optum Health & Technology Serviços do Brasil Ltda and 0.00002% owned by UHG Brasil Participações S.A.
- (32) Hospital de Clinicas de Jacarepagua Ltda. is 99.999996% owned by Esho Empresa de Serviços Hospitalares S.A. and 0.000004% is owned by Cemed Care – Empresa de Atendimento Clínico Geral Ltda.
- (33) Hospital Alvorada Taguatinga Ltda.is 79.62822% owned by Amil Assistência Médica Internacional S.A, 20.37178% by Bosque Medical Center Ltda.
- (34) Amil Lifesciences Participações Ltda. Is 99.999685% owned by Amil Assistência Médica Internacional S.A and 0.000315% owned by Cemed Care Empressa de Atendimento Clinico Geral Ltda.
- (35) FrontierMEDEX Kenya Limited is 99.9% owned by Frontier MEDEX Limited and 0.1% owned by UnitedHealthcare International I B.V.
- (36) Optum360 Services, Inc. is 69% owned by Optum Rocket, Inc. and 31% owned by two external interest holders.
- (37) The limited partners of UnitedHealth Group International, L.P. include FMG Holdings, LLC (14.8145%), Hygeia Corporation (DE) (0.2012%) and UnitedHealth Group Incorporated (84.9843%). UnitedHealth Group International GP is the general partner of UnitedHealth Group International, L.P.
- (38) Polar II Fundo de Investimento em Participações is a Brazilian private equity investment fund incorporated in the form of a closed-end condominium.
- (39) UnitedHealthcare International III S.á r.I. is 69.995% owned by UnitedHealthcare Europe S.á r.I. and 30.005% owned by UnitedHealthcare International II S.á r.I.
- (40) Amil Assistência Médica Internacional S.A. is 90.23% owned by Polar II Fundo de Investimento em Participações and the remaining 9.77% is owned by the former controlling shareholders of Amil Assistência Médica Internacional S.A.
- (41) Lusíadas A.C.E. is 70% owned by Lusíadas, SGPS, S.A., 10% owned by Lusíadas Parcerias Cascais, S.A., and 20% owned by Lusiadas, S.A.
- (42) Centro Médico PJ Ltda. is 99.99% owned by Esho Empresa de Serviços Hospitalares S.A. and 0.01% is owned by Cemed Care – Empresa de Atendimento Clínico Geral Ltda.
- (43) Frontier Medex Tanzania Limited is 99% owned by Frontier MEDEX Limited. The remaining 1% is owned by a former officer of Frontier MEDEX Limited and is being transferred to UnitedHealthcare International I BV.
- (44) Optum Solutions do Brasil Tecnologia e Serviços de Suporte Ltda., is 99.999998% owned by Optum Global Solutions International B.V. and 0.00002% owned by OptumHealth International B.V.
- (45) Multiangio Ltda. is 68% owned by Esho Empresa de Serviços Hospitalares S.A. and the remaining 32% is owned by external shareholders.
- (46) Polo Holdco, LLC is 80.1% owned by Collaborative Care Holdings, LLC and the remaining 19.9% being owned by an outside third party.
- (47) Excellion Serviços Biomédicos Ltda is 99.999997% owned by Esho Empresa de Serviços Hospitalares S.A. and 0.000003% is owned by Cemed Care - Empresa de Atendimento Clínico Geral Ltda.

- (48) Hospital Samaritano de S\u00e3o Paulo Ltda. is 99.9999998% owned by Esho Empresa de Servi\u00fcos Hospitalares S.A.and the remaining 0.0000002% is owned by Hospital Alvorada Taguatinga Ltda.
- (49) Branch office located in Hong Kong.
- (50) Dental Center Serviços Odontológicos Ltda. is 100% owned by Seisa Servicos Integrados de Sáude Ltda.
- (51) TBD
- (52) WESTMED Practice Partners LLC is 86.15% owned by Collaborative Care Holdings, LLC and 13.85% owned by external shareholders.
- (53) ProHEALTH Medical Management, LLC is 80% owned by Collaborative Care Holdings, LLC and 20% owned by an external shareholder.
- (54) ProHEALTH Fitness of Lake Success, LLC is 82.62% owned by ProHEALTH Medical Management, LLC and 17.38% by an external shareholder.
- (55) Hospital Maternidade Promater Ltda is 99.99% owned by Esho Empresa de Servicos Hospitalares S.A. and 0.00006% owned by Cemed Care Empressa de Atendimento Clinico Geral Ltda.
- (56) Hospital Geral e Maternidade Madre Maria Theodora Ltda. is 99.9999% owned by Esho Empresa de Serviços Hospitalares S.A. and 0.00001% owned by Cemed Care Empressa de Atendimento Clínico Geral Ltda.
- (57) Angiografia e Hemodinâmica Madre Theodora Ltda. is 50% owned by Hospital Geral e Maternidade Madre Maria Theodora Ltda. and 50% owned by 28 individual partners.
- (58) Guardian Health Systems Limited Partnership is 99.95% owned by AxelaCare Holdings, Inc. with the remaining 0.05% interest as a limited partner being held by AxelaCare Health Solutions, LLC.
- (59) TeamMD Holdings, Inc., a Delaware corporation, was formed as an 80% owned subsidiary of UnitedHealth Group Ventures, LLC, a Delaware limited liability company. The remaining 20% is owned by external shareholders.
- (60) Hospitais Associados de Pernambuco Ltda. is 90% owned by Esho Empresa de Serviços Hospitalares S.A. and 10% is owned by an external shareholder
- (61) Topimagem Diagnóstico por Imagem Ltda.is 89% owned by Esho Empresa de Serviços Hospitalares S.A., and the remaining 11% interest is owned by external shareholders.
- (62) Dilab Medicina Nuclear Ltda is 85% owned by Esho Empresa de Serviços Hospitalares S.A. and the remaining 15% is owned by external shareholders.
- (63) WellMed Networks DFW, Inc. is 50% owned by WellMed Networks, Inc. and 50% owned by USMD Inc. WellMed Medical Management, Inc. controls 100% of WellMed Networks -DFW.
- (64) Clinica Oftalmologica Danilo de Castro Sociedade Simples is 99.99% owned by Hospital Alvorada de Taguatinga Ltda. and the remaining 0.333333% is owned by Lotten-Eyes Oftalmologia Clinica e Cirurgica Ltda.
- (65) Lotten-Eyes Oftalmologia Clinica e Cirurgica Ltda. is 99.99% owned by Hospital Alvorada de Taguatinga Ltda.and the remaining 0.000012% is owned by Esho – Empresa de Serviços Hospitalares S.A.
- (66) CMO Centro Médico de Oftalmologia S/S Ltda. is 99% owned by Hospital Alvorada de Taguatinga Ltda.and the remaining is owned by Lotten-Eyes Oftalmologia Clinica e Cirurgica I tda
- (67) MedSynergies North Texas, LLC. is 70% owned by PHYS Holding LLC. and the remaining 30% is owned by PhyServe Holdings, LLC.
- (68) Elual Participações S.A. is 60% owned by Amil Assistência Médica Internacional S.A. and 40% by Esho – Empresa de Servicos Hospitalares S.A.
- (69) Hospital Santa Helena S.A. is 65.21% owned by Elual Participações S.A. and 34.79% owned by Esho – Empresa de Serviços Hospitalares S.A.
- (70) Santa Helena Assistência Médica S.A. is 65.21% owned by Elual Participações S.A. and 34.79 owned by Amil Assistência Médica Internacional S.A

OVERFLOW PAGE FOR WRITE-INS

Additional Write-ins for Underwriting and Investment Exhibit Part 3 Line 25

	Claim Adjustme	nt Expenses	3	4	5
	1 Cost Containment Expenses	2 Other Claim Adjustment Expenses	General Administrative Expenses	Investment Expenses	Total
2504. Miscellaneous Losses	2,369	1,051	(33,888)		(30,468)
2505. Professional Fees\Consulting	300,445	133,256	365,396		799,097
2506. Sundry General Expenses	1,869,414	829,140	2,861,090		5,559,644
overflow page	2,172,228	963,447	3, 192, 598	0	6,328,273

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HEALTH ANNUAL STATEMENT

FOR THE YEAR ENDED DECEMBER 31, 2016 OF THE CONDITION AND AFFAIRS OF THE

Oxford Health Plans (NJ), Inc.

NA	IC Group Code 0707 (Current)	(Prior)	le <u>95506</u> Employer's ID	
Organized under the Laws of	of New	Jersey,	State of Domicile or Port of Ent	try NJ
Country of Domicile		United States	of America	
Licensed as business type:		Health Maintenan	ce Organization	
Is HMO Federally Qualified?	? Yes[] No[X]			
Incorporated/Organized	04/17/1985		Commenced Business	09/12/1985
Statutory Home Office	170 Wood Aven	ue, Floor 3,		Iselin , NJ, US 08830
	(Street and N	lumber)	(City or	Town, State, Country and Zip Code)
Main Administrative Office		4 Research Drig (Street and		
	Shelton , CT, US 06484			203-447-4500
(City	or Town, State, Country and Zip	Code)	(Ar	ea Code) (Telephone Number)
Mail Address	4 Research Drive, 5th (Street and Number or F		(City or	Shelton , CT, US 06484 Town, State, Country and Zip Code)
Dimenul coation of Deales	•	•		romi, cate, country and 2p code/
Primary Location of Books a	and Records	(Street and	ive, 5th Floor Number)	
(City	Shelton , CT, US 06484 or Town, State, Country and Zip	Code)	(Ar	203-447-4500 rea Code) (Telephone Number)
Internet Website Address	or roun, class, country and zip	www.oxfordh	•	
		-	Culti.com	000 447 4444
Statutory Statement Contac	tJoseph	(Name)	1	203-447-4444 (Area Code) (Telephone Number)
	joseph_j_dewey@uhc.com (E-mail Address)	,		203-447-4451 (FAX Number)
	(L-Mail Addicss)	05510		(i Activation)
Presiden	t Paul Owen	OFFIC Marden	Treasurer	Robert Worth Oberrender
	Carmel		Chief Financial Officer	
	M.D., Chief Medical Officer Jacobsen #, Assistant Secretary	OTH Nyle Brent Cotting		William John Golden, Chair
	<u>,</u>	DIRECTORS OF	TRUCTEE	
	John Golden	Paul Owe	n Marden	Sandra Denise Bruce Nichols M.D.
Dennis i	Patrick O'Brien	Randall Harris	on Weinstock	
State of	New Jersey Middlesex	SS:		
all of the herein described statement, together with rel condition and affairs of the in accordance with the NAI rules or regulations requir respectively. Furthermore,	assets were the absolute proper ated exhibits, schedules and expl said reporting entity as of the rep C Annual Statement Instructions e differences in reporting not ro the scope of this attestation by t	ty of the said reporting entity, anations therein contained, an orting period stated above, and and Accounting Practices and elated to accounting practices he described officers also incli	free and clear from any liens nexed or referred to, is a full ard of its income and deductions it I Procedures manual except to s and procedures, according udes the related corresponding	orting entity, and that on the reporting period stated above, or claims thereon, except as herein stated, and that this not true statement of all the assets and liabilities and of the therefrom for the period ended, and have been completed to the extent that: (1) state law may differ; or, (2) that state to the best of their information, knowledge and belief, or electronic filing with the NAIC, when required, that is an be requested by various regulators in lieu of or in addition
Paul Owen Presid		Carmel (
Subscribed and swom to be	efore me this	uary 2017	a. Is this an original filing b. If no, 1. State the amendme 2. Date filed	ent number
July 28, 2018				

SUMMARY INVESTMENT SCHEDULE

		Gross Investm	ent Holdings	Admitted Assets as Reported in the Annual Statement			
		1	2	3	4 Securities	5	6
					Lending Reinvested	Total	
	Investment Categories	A	Descriptions		Collateral	(Col. 3 + 4)	D
1	Investment Categories Bonds:	Amount	Percentage	Amount	Amount	Amount	Percentage
314	1.1 U.S. treasury securities	77,035,254	37.741	77,035,254		77,035,254	37.741
	1.2 U.S. government agency obligations (excluding mortgage-backed			848,000			11672016
	securities):	,	0.000	0		0	0.000
	1.21 Issued by U.S. government agencies	13,939,107	6.829	13,939,107		0	6.829
	1.3 Non-U.S. government (including Canada, excluding mortgaged-backed						
	securities)	359,963	0.176	359,963		359,963	0.176
	1.4 Securities issued by states, territories, and possessions and political subdivisions in the U.S.:						
	1.41 States, territories and possessions general obligations	8,421,460	4. 126	8,421,460		8,421,460	4.126
	1.42 Political subdivisions of states, territories and possessions and	_6,690,756	3,278	6,690,756		6,690,756	3.278
	political subdivisions general obligations	21,271,399	T	21,271,399		21,271,399	
	1.44 Industrial development and similar obligations	0	0.000	0		0	0.000
	1.5 Mortgage-backed securities (includes residential and commercial						
	MBS):						
	1.51 Pass-through securities:	144,289	0.071	144,289		144,289	0.071
1	1.511 Issued or guaranteed by GNMA	8,295,791	4.064	8,295,791		8,295,791	4.064
1	1.513 All other	0,200,701	0.000	0,200,707		0,200,701	0.000
	1.52 CMOs and REMICs:						
	1.521 Issued or guaranteed by GNMA, FNMA, FHLMC or VA	256,915	0.126	256,915		256,915	0.126
	1.522 Issued by non-U.S. Government issuers and collateralized by mortgage-backed securities issued or guaranteed by						
	agencies shown in Line 1.521	1,227,759	0.602	1,227,759		1,227,759	0.602
	1.523 All other	0	0.000	0		Ω	0.000
2.	Other debt and other fixed income securities (excluding short-term):						
	Unaffiliated domestic securities (includes credit tenant loans and hybrid securities)	24,720,314	12.111	24,720,314		24,720,314	12.111
	2.2 Unaffiliated non-U.S. securities (including Canada)	6,471,813	3.171	6,471,813		6,471,813	3.171
	2.3 Affiliated securities	0	0.000	0		0	0.000
3.	Equity interests:					_	
	3.1 Investments in mutual funds	0	0.000	0		٥	0.000
	3.2 Preferred stocks: 3.21 Affiliated	0	0.000	0		0	0.000
	3.22 Unaffiliated	0	0.000	0		0	0.000
	3.3 Publicly traded equity securities (excluding preferred stocks):						
	3.31 Affiliated	0	0.000	0		٥	0.000
	3.32 Unaffiliated	0	0.000	0		0	0.000
	3.4 Other equity securities:						
	3.41 Affiliated	0	0.000	Q		Ω	0.000
	3.5 Other equity interests including tangible personal property under lease:	υ	0.000	ν		ν	0.000
	3.51 Affiliated	0	0.000	0		0	0.000
	3.52 Unaffiliated	Ω	0.000	0		Ω	0.000
4.	Mortgage loans:						
	4.1 Construction and land development	0	0.000	0		0	0.000
	4.2 Agricultural		0.000	0		0 -	0.000
	4.3 Single family residential properties	0	0.000	Q 0		Ω	0.000
1	4.4 Multifamily residential properties	n	0.000	0		n	0.000
1	4.6 Mezzanine real estate loans	0	0.000	0		0	0.000
5.	Real estate investments:						
	5.1 Property occupied by company	0	0.000	0		٥	0.000
	5.2 Property held for production of income (including						
	\$ of property acquired in satisfaction of	0	0.000			_	0.000
1	debt)	T0	0.000	μ		<u></u>	0.000
1	property acquired in satisfaction of debt)	0	0.000	0		0	0.000
6.	Contract loans	0	0.000	0		0	0.000
7.	Derivatives	0	0.000	Ω		٥	0.000
8.	Receivables for securities	15,000,000	l	15,000,000		15,000,000	
9.	Securities Lending (Line 10, Asset Page reinvested collateral)	0 279 009	0.000	0	XXX	20, 279, 009	XXX
10. 11.	Cash, cash equivalents and short-term investments Other invested assets	20,278,908	9.935 0.000	20,278,908		20,278,908	9.935 0.000
12.	Total invested assets	204,113,726	100.000	204,113,726	0	204,113,726	100.000
12.	00004 40000	201,110,120	100.000	201,110,120		201,110,120	100.000

Schedule A - Verification - Real Estate **NONE**

Schedule B - Verification - Mortgage Loans **NONE**

SCHEDULE BA - VERIFICATION BETWEEN YEARS

Other Long-Term Invested Assets

1.	Book/adjusted carrying value, December 31 of prior year
2.	Cost of acquired:
	2.1 Actual cost at time of acquisition (Part 2, Column 8)
	2.2 Additional investment made after acquisition (Part 2, Column 9)
3.	Capitalized deferred interest and other:
	3.1 Totals, Part 1, Column 16
	3.2 Totals, Part 3, Column 12
4.	Accrual of discount
5 .	Unrealized valuation increase (decrease):
	5.1 Totals, Part 1, Column 13
	5.1 Totals, Part 1, Column 13 5.2 Totals, Part 3, Column 9
6.	Total gain (loss) on disposals, Part 3, Column 19
7.	Deduct amounts received on disposals, Part 3, Column 16
8.	Deduct amortization of premium and depreciation
9.	Total foreign exchange change in book/adjusted carrying value:
	9.1 Totals, Part 1, Column 17
	9.2 Totals, Part 3, Column 14
10.	Deduct current year's other than temporary impairment recognized:
	10.1 Totals, Part 1, Column 15
	10.2 Totals, Part 3, Column 11
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)

SCHEDULE D - VERIFICATION BETWEEN YEARS

Bonds and Stocks

1.	Book/adjusted carrying value, December 31 of prior year	166,425,277
2.	Cost of bonds and stocks acquired, Part 3, Column 7	69,521,596
3.	Accrual of discount	61,585
4.	Unrealized valuation increase (decrease):	
	4.1. Part 1, Column 12	0
	4.2. Part 2, Section 1, Column 15	
	4.3. Part 2, Section 2, Column 13	
	4.4. Part 4, Column 11	00
5 .	Total gain (loss) on disposals, Part 4, Column 19	451,311
6.	Deduction consideration for bonds and stocks disposed of, Part 4, Column 7	66,450,086
7.	Deduct amortization of premium	1,174,852
8.	Total foreign exchange change in book/adjusted carrying value:	
	8.1. Part 1, Column 15	0
	8.2. Part 2, Section 1, Column 19	
	8.3. Part 2, Section 2, Column 16	
	8.4. Part 4, Column 15	00
9.	Deduct current year's other than temporary impairment recognized:	
	9.1. Part 1, Column 14	0
	9.2. Part 2, Section 1, Column 17	
	9.3. Part 2, Section 2, Column 14	
	9.4. Part 4, Column 13	00
10.	Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	168,834,831
11.	Deduct total nonadmitted amounts	0
12.	Statement value at end of current period (Line 10 minus Line 11)	168,834,831

SCHEDULE D - SUMMARY BY COUNTRY

Long-Term Bonds and Stocks OWNED December 31 of Current Year

		Long-Term Bonds and Sto	1 Book/Adjusted	2	3	4
D	escription	on	Carrying Value	Fair Value	Actual Cost	Par Value of Bonds
BONDS	United States			76,787,025	77,581,406	76,854,249
Governments	2.	Canada	359,963	360.094	359,276	360,000
(Including all obligations guaranteed	3.	Other Countries				
by governments)	4.	Totals	77,539,505	77, 147, 119	77,940,682	77,214,249
U.S. States, Territories and Possessions						
(Direct and guaranteed)	5.	Totals	8,421,461	8,417,661	9,142,546	8,110,000
U.S. Political Subdivisions of States, Territories and Possessions (Direct and guaranteed)	6.	Totals	6,690,756	6,688,012	7,434,095	6,365,000
U.S. Special Revenue and Special Assessment Obligations and all Non- Guaranteed Obligations of Agencies and Authorities of Governments and						
their Political Subdivisions	7.	Totals	43,763,210	43,411,100	44,433,130	41,167,873
	8.	United States	25,948,072	26,018,096	25,969,097	25,951,702
Industrial and Miscellaneous, SVO Identified Funds and Hybrid	9.	Canada	1,449,925	1,454,193	1,449,728	1,450,000
Securities (unaffiliated)	10.	Other Countries	5,021,888	5,050,375	5,018,419	5,026,000
, ,	11.	Totals	32,419,885	32,522,664	32,437,244	32,427,702
Parent, Subsidiaries and Affiliates	12.	Totals				
	13.	Total Bonds	168,834,817	168,186,556	171,387,697	165,284,824
PREFERRED STOCKS	14.	United States				
Industrial and Miscellaneous	15.	Canada				
(unaffiliated)	16.	Other Countries				
	17.	Totals	0	0	0	
Parent, Subsidiaries and Affiliates	18.	Totals				
	19.	Total Preferred Stocks	0	0	0	
COMMON STOCKS	20.	United States				
Industrial and Miscellaneous	21.	Canada				
(unaffiliated)	22.	Other Countries				
	23.	Totals	0	0	0	
Parent, Subsidiaries and Affiliates	24.	Totals				
	25 .	Total Common Stocks	0	0	0	
	26.	Total Stocks	0	0	0	
	27.	Total Bonds and Stocks	168,834,817	168,186,556	171,387,697	

SCHEDULE D - PART 1A - SECTION 1

Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations

	when December 3	r 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations										
NAIC Designation	1 Year or Less	Over 1 Year Through 5 Years	Over 5 Years Through 10 Years	Over 10 Years Through 20 Years	Over 20 Years	No Maturity Date	Total Current Year	Col. 7 as a % of Line 10.7	Total from Col. 6 Prior Year	10 % From Col. 7 Prior Year	11 Total Publicly Traded	12 Total Privately Placed (a)
1. U.S. Governments						11.399-11-37.		100000000000000000000000000000000000000	,	W. 11.732.71700.322	100,000	
1.1 NAIC 1	11,778,395	74,571,851	2,028,434	9,913	505	XXX	88,389,098	45.2	117, 285, 394	59.8	87,681,749	707,349
1.2 NAIC 2		ů. K.	A. I. A.	ů.		XXX	0	0.0		0.0		0
1.3 NAIC 3	,					XXX	0	0.0		0.0		L0
1.4 NAIC 4						XXX	0	0.0		0.0		L0
1.5 NAIC 5						XXX	0	0.0		0.0		L0
1.6 NAIC 6						XXX	0	0.0		0.0		0
1.7 Totals	11.778.395	74.571.851	2.028.434	9.913	505	XXX	88.389.098	45.2	117.285.394	59.8	87.681.749	707.349
2. All Other Governments				_,					, , , , , , , , , , , , , , , , , , , ,			
2.1 NAIC 1	359.963	0	0	0	0	xxx	359.963	0.2	359.817	0.2	359.963	. 0
2.2 NAIC 2	,					XXX	0	0.0		0.0	,	0
2.3 NAIC 3						XXX	Ī0	0.0		0.0		0
2.4 NAIC 4						XXX	0	0.0		0.0		0
2.5 NAIC 5						XXX	Ī0	0.0		0.0		0
2.6 NAIC 6						XXX	0	0.0		0.0		0
2.7 Totals	359,963	0	0	0	0	XXX	359,963	0.2	359,817	0.2	359,963	0
3. U.S. States, Territories and Possessions etc.,												
Guaranteed												
3.1 NAIC 1	7, 174,341	508,117	739,002	0	0	XXX	8,421,460	4.3	13,454,853	6.9	8,421,460	0
3.2 NAIC 2						XXX	0	0.0		0.0		0
3.3 NAIC 3						XXX	0	0.0		0.0		0
3.4 NAIC 4						XXX	0	0.0		0.0		0
3.5 NAIC 5						XXX	0	0.0		0.0		0
3.6 NAIC 6						XXX	0	0.0		0.0		0
3.7 Totals	7,174,341	508,117	739,002	0	0	XXX	8,421,460	4.3	13,454,853	6.9	8,421,460	0
4. U.S. Political Subdivisions of States, Territories and												
Possessions , Guaranteed												
4.1 NAIC 1	3,011,795	2,649,960	1,029,000	0	0	XXX	6,690,755	3.4	6,536,625	3.3	6,690,755	0
4.2 NAIC 2	,					XXX	0	0.0		0.0		0
4.3 NAIC 3	,					XXX	0	0.0		0.0		0
4.4 NAIC 4	,					XXX	0	0.0		0.0		0
4.5 NAIC 5	,					XXX	0	0.0		0.0		0
4.6 NAIC 6						XXX	0	0.0		0.0		0
4.7 Totals	3,011,795	2,649,960	1,029,000	0	0	XXX	6,690,755	3.4	6,536,625	3.3	6,690,755	0
5. U.S. Special Revenue & Special Assessment												
Obligations, etc., Non-Guaranteed												
5.1 NAIC 1	5,919,455	24,257,292	12,628,179	628,524	329,761	XXX	43,763,211	22.4	32,958,460	16.8	43,763,211	0
5.2 NAIC 2						XXX	. 0	0.0		0.0		0
5.3 NAIC 3						XXX	0	0.0		0.0		0
5.4 NAIC 4						XXX	0	0.0		0.0		0
5.5 NAIC 5						XXX	0	0.0		0.0		0
5.6 NAIC 6						XXX	0	0.0		0.0		0
5.7 Totals	5,919,455	24,257,292	12,628,179	628,524	329,761	XXX	43,763,211	22.4	32,958,460	16.8	43,763,211	0

SCHEDULE D - PART 1A - SECTION 1 (Continued)

Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations

Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations												
	1	2 Over 1 Year	Over 5 Years	4 Over 10 Years	5	6 No Maturity	7	8 Col. 7 as a % of	9 Total from Col. 6	10 % From Col. 7	11 Total Publicly	12 Total Privately
NAIC Designation	1 Year or Less	Through 5 Years	Through 10 Years	Through 20 Years	Over 20 Years	Date	Total Current Year	Line 10.7	Prior Year	Prior Year	Traded	Placed (a)
6. Industrial & Miscellaneous (Unaffiliated)	***************************************				10,000 10,000 10,000 00.	11.704.00				00.00700.000000	10000000	
6.1 NAIC 1	18, 105,311	19,713,635	2,128,994	167,082	0	XXX	40,115,022	20.5	18,817,778	9.6	33,411,953	6,703,069
6.2 NAIC 2	2,559,888	3,269,543	1,893,607	0	0	XXX	7,723,038	4.0	6,833,598	3.5	7,593,174	129,864
6.3 NAIC 3	,					XXX	0	0.0		0.0		0
6.4 NAIC 4	,					XXX	0	0.0		0.0		0
6.5 NAIC 5	,					XXX	0	0.0		0.0		0
6.6 NAIC 6	1					XXX	0	0.0		0.0		0
6.7 Totals	20,665,199	22,983,178	4,022,601	167,082	0	XXX	47,838,060	24.5	25,651,376	13.1	41,005,127	6,832,933
7. Hybrid Securities												
7.1 NAIC 1	,					XXX	0	0.0		0.0		0
7.2 NAIC 2	,					XXX	0	0.0		0.0		0
7.3 NAIC 3	,					XXX	0	0.0		0.0		0
7.4 NAIC 4	,					XXX	0	0.0		0.0		0
7.5 NAIC 5	,					XXX	0	0.0		0.0		0
7.6 NAIC 6						XXX	0	0.0		0.0		0
7.7 Totals	0	0	0	0	0	XXX	0	0.0	0	0.0	0	0
8. Parent, Subsidiaries and Affiliates												
8.1 NAIC 1	,					XXX	0	0.0		0.0		0
8.2 NAIC 2	,					XXX	0	0.0		0.0		0
8.3 NAIC 3	,					XXX	0	0.0		0.0		0
8.4 NAIC 4	,					XXX	0	0.0		0.0		0
8.5 NAIC 5	,					XXX	0	0.0		0.0		0
8.6 NAIC 6	l.					XXX	0	0.0		0.0		0
8.7 Totals	0	0	0	0	0	XXX	0	0.0	0	0.0	0	0
9. SVO Identified Funds												
9.1 NAIC 1	XXX	XXX	XXX	XXX	XXX		0	0.0	XXX	XXX		0
9.2 NAIC 2	XXX	xxx	XXX	XXX	XXX		0	0.0	XXX	XXX		0
9.3 NAIC 3	XXX	xxx	XXX	XXX	XXX		0	0.0	XXX	XXX		0
9.4 NAIC 4	XXX	XXX	XXX	XXX	XXX		0	0.0	XXX	XXX		0
9.5 NAIC 5	XXX	xxx	XXX	XXX	XXX		0	0.0	XXX	XXX		0
9.6 NAIC 6	XXX	XXX	XXX	XXX	XXX		0	0.0	XXX	XXX		0
9.7 Totals	XXX	XXX	XXX	XXX	XXX	0	0	0.0	XXX	XXX	0	0

SCHEDULE D - PART 1A - SECTION 1 (Continued)

Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations

dainy and maturity Distribution of the Detection of					T 5 6 7 8 9 10 11					12		
NAIC Designation	1 Year or Less	Over 1 Year Through 5 Years	Over 5 Years Through 10 Years	Over 10 Years Through 20 Years	Over 20 Years	No Maturity Date	Total Current Year	Col. 7 as a % of Line 10 7	Total from Col. 6 Prior Year	% From Col. 7 Prior Year	Total Publicly Traded	Total Privately Placed (a)
10. Total Bonds Current Year	1 Tour or Loop	rmough o routo	Tinoaqii To Toalo	THIOUGHT ED TOUID	O TOT LO TOUTO	Duto	Total Gallont Total	Line to.	1 Hor rour	THOI TOU	Tradod	r idood (d)
10.1 NAIC 1	(d)46,349,260	121,700,855	18.553.609	805,519	330,266	0	187,739,509	96.0	XXX	XXX	180.329.091	7,410,418
10.2 NAIC 2	(d)2,559,888	3,269,543	1,893,607	0	0	0	7,723,038	4.0	XXX	XXX	7,593,174	129.864
10.3 NAIC 3	(d)0	0	0	0	0	0	0	0.0	XXX	XXX	0	0
10.4 NAIC 4	(d)0	0	0	0	0	0	0	0.0	XXX	XXX	0	0
10.5 NAIC 5	(d)0	0	0	0	0	0	(c) 0	0.0	XXX	XXX	0	0
10.6 NAIC 6	$I_{(d)}$ 0	0	0	0	0	0	(c) 0	0.0	XXX	XXX	0	0
10.7 Totals	48,909,148	124.970.398	20,447,216	805.519	330.266	0	(b)195,462,547	100.0	XXX	XXX	187.922.265	7,540,282
10.8 Line 10.7 as a % of Col. 7	25.0	63.9	10.5	0.4	0.2	0.0		XXX	XXX	XXX	96.1	3.9
11. Total Bonds Prior Year	20.0	00.0	10.0	0.11	0.2	0.0	100.0	XXX	///X	XXX	00.1	0.0
11.1 NAIC 1	70,873,691	105,658,129	11,347,571	1,260,035	273,501	xxx	xxx	XXX	189,412,927	96.5	186,230,652	3,182,275
11.2 NAIC 2	435.987	3.500.291	2.897.320	1,200,000	270,001	XXX	1 xxx	XXX	6,833,598	3.5	6,633,801	199.797
11.3 NAIC 3		0,000,201				XXX		XXX	0,000,550	0.0		100,707
11.4 NAIC 4						XXX	xxx	XXX	0	0.0		0
11.5 NAIC 5						XXX	xxx	XXX	(c)	0.0		n
11.6 NAIC 6						XXX	XXX	XXX	(c) 0	0.0		0
11.7 Totals	71,309,678	109, 158, 420	14,244,891	1,260,035	273,501	XXX	XXX	XXX	(b)196,246,525	100.0	192,864,453	3.382.072
11.8 Line 11.7 as a % of Col. 9	36.3	55.6	7.3	0.6	0.1	XXX	**************************************	XXX	100.0	XXX	98.3	1.7
12. Total Publicly Traded Bonds	00.0	33.0	7.0	0.0	0.1	^^^	^^^	^^^	100.0	^^^	30.0	1.7
12.1 NAIC 1	44,724,025	116,353,743	18,215,605	705.452	330,266	0	180,329,091	92.3	186,230,652	94.9	180,329,091	xxx
12.1 NAIC 1	2,559,888	3,139,680	1,893,607	103,432	000,200		7.593,175	3.9	6,633,801	3.4	7.593.175	XXX
12.3 NAIC 3	2,339,000	المارون المارو	1,050,007		u	0	, , , , , , , , , , , , , , , , , , , ,	0.0	0,000,001	0.0	7,350,173	XXX
12.3 NAIC 3							0	0.0	0	0.0	0	XXX
12.4 NAIC 4							0	0.0		0.0		XXX
12.6 NAIC 6							0	0.0		0.0		XXX
12.7 Totals	47,283,913	119,493,423	20,109,212	705,452	330,266	0	187,922,266	96.1	192,864,453	98.3	187,922,266	XXX
12.8 Line 12.7 as a % of Col. 7	25.2	63.6	20, 109,212	0.4	0.2	0.0		XXX	XXX	XXX90.3	100.0	XXX
12.8 Line 12.7 as a % of Col. 7	23.2	00.0	10.7	J.4	J.2	<u>U.U</u>	100.0				100.0	
12.9 Line 12.7 as a % of Line 10.7, Col. 7, Section 10	24.2	61.1	10.3	0.4	0.2	0.0	96.1	xxx	XXX	xxx	96.1	xxx
13. Total Privately Placed Bonds	27.2	01.1	10.0	0.4	0.2	0.0	30.1	^^^	^^^	^^^	30.1	^^^
40.4 11410.4	1,625,235	5,347,112	338,004	100.067	0	0	7,410,418	3.8	3, 182, 275	1.6	xxx	7,410,418
13.1 NAIC 1		129,863				0	129,863	0.1	199,797	0.1	XXX	129,863
		123,000	٥			٥	123,000	0.0		0.0		129,000
13.3 NAIC 3	- † 0	U	 n	n	 0	 n	0	0.0	0	0.0		U
	0 n	n		0	0 n	 n	0	0.0	0	0.0	XXX	
13.5 NAIC 5				0	۰	٥	0	0.0	0	0.0		0
13.0 NAIC 0	1,625,235	5,476,975	338.004	100.067	0	0	7,540,281	3.9	3,382,072	1.7	XXX	7,540,281
13.7 Totals	21.6	72.6	4.5	1.3	0.0	0.0		XXX3.9	3,302,072 XXX	XXX	XXX	
13.8 Line 13.7 as a % of Col. 7		12.0	4.5	I.3		ט.ע	100.0		XXX	XXX	······	100.0
13.9 Line 13.7 as a % of Line 10.7, Col. 7, Section 10	0.8	2.8	0.2	0.1	0.0	0.0	3.9	xxx	XXX	xxx	XXX	3.9
	ole under SEC Rule 14				0.0	0.0	0.0	^^^	^^^	^^^	^^^	0.0

(a) Includes \$		freely tradable under SEC Rule 144 or qu	alified for resale under SEC Rule 144	A.					
(b) Includes \$		current year, \$	prior year of bonds with Z designatio	ns and \$, current year \$		prior year of bonds with Z* designations.	The letter "Z" means the NAIC de	signation was not
assigned by	the Securities Valuation	Office (SVO) at the date of the statement.	"Z*" means the SVO could not evalua	te the obligation b	because valuation procedures for the	e security class are under	regulatory review.		
(c) Includes \$		current year, \$	prior year of bonds with 5* designation	ns and \$, current year \$		prior year of bonds with 6* designations.	"5*" means the NAIC designation	was assigned by th
(SVO) in rel	iance on the insurer's cert	ification that the issuer is current in all prir	ncipal and interest payments. "6*" mea	ins the NAIC desi	ignation was assigned by the SVO d	lue to inadequate certificat	ion of principal and interest payments.		
(d) Includes the	following amount of short	term and cash equivalent bonds by NAIC	designation: NAIC 1 \$ 26.62	7 730 · NAIC 2 9	 NAIC 3 \$ 	· NAIC 4	S NAIC 5 S	· NAIC 6 \$	

SCHEDULE D - PART 1A - SECTION 2

Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Type and Subtype of Issues

	Matul	rity Distribution of	All Bonds Owned	December 31, a	t Book/Adjusted (carrying values t	by Major Type and	Subtype of Issue			1011	
	1	2	3	4	5	6	7	8	9	10	11	12
(8.00)	27.221111 7911	Over 1 Year	Over 5 Years	Over 10 Years	111111111111111111111111111111111111111	No Maturity		Col. 7 as a % of	Total from Col. 6	% From Col. 7	Total Publicly	Total Privately
Distribution by Type	1 Year or Less	Through 5 Years	Through 10 Years	Through 20 Years	Over 20 Years	Date	Total Current Year	Line 10.6	Prior Year	Prior Year	Traded	Placed
1. U.S. Governments		· · · · · · · · · · · · · · · · · · ·	3,729									
1.1 Issuer Obligations	11.745.901	74,499,772	1,999,135	0	0	XXX	88,244,808	45.1	117, 156, 844	59.7	87.537.460	707 .348
1.2 Residential Mortgage-Backed Securities	32,494	72,078	29,299	9,913	505	XXX	144,289	0.1	117, 150,044	0.0	144,289	
1.3 Commercial Mortgage-Backed Securities	2Z,434	12,070	29,299			XXX	144,209		128,551	D.1	144,209	0
							⁰	0.0	120,001			J0
1.4 Other Loan-Backed and Structured Securities						XXX	0	0.0		0.0		0
1.5 Totals	11,778,395	74,571,850	2,028,434	9,913	505	XXX	88,389,097	45.2	117,285,395	59.8	87,681,749	707,348
2. All Other Governments												
2.1 Issuer Obligations	359,963	0	0	0	0	XXX	359,963	0.2	359,817	0.2	359,963	0
2.2 Residential Mortgage-Backed Securities						XXX	0	0.0	,	0.0	,	0
2.3 Commercial Mortgage-Backed Securities						XXX	0	0.0		0.0		0
2.4 Other Loan-Backed and Structured Securities						XXX	0	0.0		0.0		0
2.5 Totals	359.963	0	0	0	0	XXX	359.963	0.0	359.817			0
	359,963	U	U	U	U	XXX	359,963	0.2	359,817	0.2	359,963	U
U.S. States, Territories and Possessions, Guaranteed												
3.1 Issuer Obligations	7 , 174 , 341	508, 117	739,002	0	0	XXX	8,421,460	4.3	13,454,853	6.9	8,421,460	0
3.2 Residential Mortgage-Backed Securities						XXX	0	0.0		0.0		0
3 3 Commercial Mortgage-Backed Securities						XXX	0	0.0		٥.۵		0
3.4 Other Loan-Backed and Structured Securities						XXX	0	0.0		0.0		0
3.5 Totals	7,174,341	508, 117	739,002	0	0	XXX	8,421,460	4.3	13,454,853	6.9	8,421,460	0
4. U.S. Political Subdivisions of States, Territories and	7,111,011	000,111	700,002			7001	0, 121, 100	110	10,101,000	0.0	0, 121, 100	
Possessions, Guaranteed												
4.1 Issuer Obligations	3,011,795	2,649,960	1,029,000	0	0	xxx	6,690,755	3.4	6,536,625	3.3	6,690,755	
4.1 Issuel Obligations	روم, ۱۱۱٫ و	2,049,900	1,029,000				0,090,733		0,330,023	0.0	0,090,733	J
						XXX	0	0.0				0
4.3 Commercial Mortgage-Backed Securities						XXX	0	0.0		0.0		0
4.4 Other Loan-Backed and Structured Securities						XXX	0	0.0		0.0		0
4.5 Totals	3,011,795	2,649,960	1,029,000	0	0	XXX	6,690,755	3.4	6,536,625	3.3	6,690,755	0
5. U.S. Special Revenue & Special Assessment Obligations												
etc., Non-Guaranteed												
5.1 Issuer Obligations	4,213,991	20,076,301	10,920,213	0	0	XXX	35,210,505	18.0	22,493,462	11.5	35,210,505	0
5.2 Residential Mortgage-Backed Securities	1,705,464	4, 180, 991	1,707,965	628,524	329,761	XXX	8,552,705	4.4	10,464,997	5.3	8,552,705	0
5.3 Commercial Mortgage-Backed Securities				-		XXX	0	0.0		0.0		0
5.4 Other Loan-Backed and Structured Securities						XXX	0	0.0		0.0		0
5.5 Totals	5,919,455	24,257,292	12,628,178	628,524	329,761	XXX	43,763,210	22.4	32,958,459	16.8	43,763,210	0
6. Industrial and Miscellaneous	0,010,700	£1,£01,£0£	12,020,170	OLO, OLT	020,701	////	10,700,210	22.4	02,000,400	10.0	10,100,210	
	40 440 004	00 000 045	0.004.440			VVV	40, 400, 040	A 7	00 550 500	40.5	00 000 457	E 074 450
6.1 Issuer Obligations	19, 112, 861	20,092,345	3,294,110	0	0	XXX	42,499,316	21.7	20,553,592	10.5	36,625,157	5,874,159
6.2 Residential Mortgage-Backed Securities	2,606	12,386	21,047	67,015	0	XXX	103,054	0.1	125,382	0.1	103,054	J0
6.3 Commercial Mortgage-Backed Securities	220,247	577,243	327,215	0	0	XXX	1, 124, 705	0.6	1,410,132	0.7 السند	1, 124, 705	0
6.4 Other Loan-Backed and Structured Securities	1,329,485	2,301,205	380,229	100,067	0	XXX	4,110,986	2.1	3,562,272	1.8	3, 152, 212	958,774
6.5 Totals	20,665,199	22,983,179	4,022,601	167,082	0	XXX	47,838,061	24.5	25,651,378	13.1	41,005,128	6,832,933
7. Hybrid Securities												
7.1 Issuer Obligations						XXX	n	0.0	ĺ	L0.0		0
7.2 Residential Mortgage-Backed Securities						XXX	1	0.0		0.0		n
7.3 Commercial Mortgage-Backed Securities						XXX		0.0		0.0		
7.4 Other Loan-Backed and Structured Securities						XXX	t\			0.0		J
	-	_	_	_	_		0	0.0	_			0
7.5 Totals	0	0	0	0	0	XXX	0	0.0	0	0.0	0	0
Parent, Subsidiaries and Affiliates									ĺ			
8.1 Issuer Obligations						XXX	0	0.0		0.0		0
8.2 Residential Mortgage-Backed Securities						XXX	 0	0.0		0.0		
8.3 Commercial Mortgage-Backed Securities						XXX	0	0.0		0.0		
8.4 Other Loan-Backed and Structured Securities						XXX	0	0.0		0.0		(
8.5 Totals	0	0	0	0	0	XXX	0	0.0	0	0.0	0	0
0.0 10(0)3	U	U	U	U	U	^^^	U	0.0	U	0.0	U	

SCHEDULE D - PART 1A - SECTION 2 (Continued)

Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Type and Subtype of Issues

13.1 Issuer Obligations 1,582,166 4,999,340 (1) 0 0 XXX 6,581,505 3.4 2,355,026 1.2 XXX 6,581,505 13.2 Residential Mortgage-Backed Securities 0 0 (1) 0 0 XXX (1) 0.0 0 0.0 XXX (1) 13.3 Commercial Mortgage-Backed Securities 0 0 0 0 0 0 XXX 0 0.0 2 0.0 XXX 0 13.4 Commercial Mortgage-Backed Securities 43,068 477,635 338,004 100,067 0 XXX 958,774 0.5 1,027,047 0.5 XXX 958,774 13.5 SVO Identified Funds XXX XXX <th></th> <th>iviatu</th> <th>ity Distribution of</th> <th>All Dollus Owner</th> <th>December 51, a</th> <th>it Dook/Aujusteu</th> <th>carrying values t</th> <th>y Major Type and</th> <th>Subtype of issu</th> <th>53</th> <th></th> <th>1917</th> <th></th>		iviatu	ity Distribution of	All Dollus Owner	December 51, a	it Dook/Aujusteu	carrying values t	y Major Type and	Subtype of issu	5 3		1917	
Note Price		1	2	3	4	5	6	7	8	9			
9.5 VVI Mentified Funds 9.1 Exchange Traded Funds Identified by the SVO 9.2 Bond Mutual Funds Identified by the SVO NOX NOX NOX NOX NOX NOX NOX NOX NOX NO	5.73 to 1.5												
9 1 Exchange Traded Funds Identified by the SVO	4 11	1 Year or Less	Through 5 Years	Through 10 Years	Through 20 Years	Over 20 Years	Date	Total Current Year	Line 10.6	Prior Year	Prior Year	Traded	Placed
9.2 Bond Mixual Funds Identified by the SVO													
9.3 Tolate Bonds Current Year 10. Telata Bonds Current Year 110. Telata Bonds Current Year 110. Telata Bonds Current Year 110. Residential Mortgage-Backed Securities 1.749,584 1.759,584 1.759,184 1.759,184 1.759,185								0					0
10. Total Bonds Current Year 10. Total Bonds Current Year 10. Total Bonds Current Year 10. Total Montpage-Backed Securities 1.749.564 4.26.465 1.78.31.47 70. 452 30.266 XXX 8.80.0 48 4.5 XXX								0					0
10 Issuer Obligations	9.3 Totals	XXX	XXX	XXX	XXX	XXX	0	0	0.0	XXX	XXX	0	0
102 Residential Montgage-Backed Securities	10. Total Bonds Current Year												
10.3 Commercial Mortgage-Backed Securities					0	0	XXX				XXX		6,581,507
10.4 Other Loan-Backed and Structured Securities	10.2 Residential Mortgage-Backed Securities		4,265,455	1,758,311	705,452	330,266	XXX	8,800,048	4.5	XXX	XXX	8,800,048	0
10.5 SVO Identified Funds.	10.3 Commercial Mortgage-Backed Securities	220,247	577,243	327,215	0	0	XXX	1, 124, 705	0.6	XXX	XXX	1, 124, 705	0
10.5 SVO Identified Funds.	10.4 Other Loan-Backed and Structured Securities	1,329,485	2,301,205	380,229	100,067	0	XXX	4,110,986	2.1	XXX	XXX	3, 152, 212	958,774
11. Total Bonds Prior Year 11. I Sisser Obligations Backed Securities 1,73, 505 4, 88, 101, 459, 772 10, 972, 653 10, 10, 459, 773, 501 11, 459, 772 11, 12 Residential Mortgage-Backed Securities 1,733, 505 4, 881, 102 2, 565, 814 1, 105, 467 273, 501 1, 200, 200, 200, 200, 200, 200, 200,	10.5 SVO Identified Funds	XXX	XXX	XXX	XXX	XXX	0	0	0.0	XXX		0	0
10.7 Line 10.6 as a % of Col. 7 25. 0 63. 9 10. 5 0. 4 0. 2 0. 0 10. 0 0. 0	10.6 Totals	48,909,148	124,970,398	20,447,215	805,519	330,266	0	195,462,546	100.0	XXX	XXX	187,922,265	7,540,281
11.1 Issuer Obligations	10.7 Line 10.6 as a % of Col. 7	25.0	63.9	10.5	0.4	0.2	0.0	100.0	XXX		XXX	96.1	3.9
11.1 Issuer Obligations	11. Total Bonds Prior Year												
11.2 Residential Mortgage-Backed Securities		68 . 122 . 788	101,459,772	10.972.633	0	0	XXX	XXX	XXX	180 . 555 . 193	92.0	178, 200, 167	2.355.026
11.3 Commercial Mortgage-Backed Securities 49:939 866.615 179.129 0 0 XXX					1.045.467	273.501							0
11.4 Other Loan-Backed and Structured Securities					0	0					0.8		2
11.5 SVO Identified Funds	11.4 Other Loan-Backed and Structured Securities				214,567	0				3,562,272	1.8		1,027,047
11.7 Line 11.6 as a % of Co. 9 36.3 55.6 7.3 0.6 0.1 XXX XXX XXX XXX XXX XXX XXX	11.5 SVO Identified Funds	XXX		XXX		XXX				XXX	XXX		
11.7 Line 11.6 as a % of Co. 9 36.3 55.6 7.3 0.6 0.1 XXX XXX XXX XXX XXX XXX XXX	11.6 Totals	71,309,680	109, 158, 422	14,244,890	1,260,034	273,501	XXX	XXX	XXX	196, 246, 527	100.0	192,864,452	3,382,075
12.1	11.7 Line 11.6 as a % of Col. 9	36.3	55.6	7.3	0.6		XXX	XXX	XXX	100.0	XXX	98.3	
12.2 Residential Mortgage-Backed Securities 1,740,564 4,265,455 1,758,312 705,452 330,266 XXX 8,800,049 4.5 10,590,379 5.4 8,800,049 XXX 12.3 Commercial Mortgage-Backed Securities 220,247 577,243 327,215 0 0 0 XXX 1,124,705 0.6 1,538,681 0.8 1,124,705 XXX 12.4 Commercial Mortgage-Backed Securities 1,286,417 1,823,570 42,225 0 0 0 XXX 3,152,212 1.6 2,535,225 XXX XXX XXX XXX XXX XXX XXX XXX XXX	12. Total Publicly Traded Bonds												
12 3 Commercial Mortgage-Backed Securities 220,247 577,243 327,215 0 0 0 XXX 1,124,705 0.6 1,538,681 0.8 1,124,705 XXX 12.4 Commercial Mortgage-Backed Securities 1,286,417 1,823,570 42,225 0 0 0 XXX 3,152,212 1.6 2,535,225 1.3 3,152,212 XXX 12.5 SVO Identified Funds XXX XXX XXX XXX XXX XXX XXX 0 0 0.0 XXX XXX	12.1 Issuer Obligations	44,036,686	112,827,155	17,981,461	0	0	XXX	174,845,302	89.5	178, 200, 167	90.8	174,845,302	XXX
12 3 Commercial Mortgage-Backed Securities 20,47 577,243 327,215 0 0 0 XXX 1,124,705 0.6 1,538,681 0.8 1,124,705 XXX 12.4 Commercial Mortgage-Backed Securities 1,266,417 1,823,570 42,225 0 0 0 XXX 3,152,212 1.6 2,535,225 1.3 3,152,212 XXX 12.5 SVO Identified Funds XXX XXX XXX XXX XXX XXX XXX XXX XXX X	12.2 Residential Mortgage-Backed Securities	1,740,564	4,265,455	1,758,312	705,452	330,266	XXX	8,800,049	4.5	10,590,379	5.4	8,800,049	XXX
12.5 SVO Identified Funds	12.3 Commercial Mortgage-Backed Securities	220,247	577,243		0	0	XXX	1, 124, 705	D.6		8.Q	1, 124, 705	XXX
12.6 Totals	12.4 Commercial Mortgage-Backed Securities	1,286,417	1,823,570	42,225	0	0	XXX	3, 152, 212	1.6	2,535,225	1.3	3, 152, 212	XXX
12.7 Line 12.6 as a % of Col. 7	12.5 SVO Identified Funds	XXX	XXX	XXX	XXX	XXX		0	0.0	XXX	XXX	0	XXX
12.7 Line 12.6 as a % of Col. 7 12.8 Line 12.6 as a % of Line 10.6, Col. 7, Section 10 12.7 Line 12.6 as a % of Line 10.6, Col. 7, Section 10 12.8 Line 12.6 as a % of Line 10.6 as % of L	12.6 Totals	47,283,914	119,493,423	20, 109, 213	705,452	330,266	0	187,922,268	96.1	192,864,452	98.3	187,922,268	XXX
12.8 Line 12.6 as a % of Line 10.6, Col. 7, Section 10 24.2 61.1 10.3 0.4 0.2 0.0 96.1 XXX XXX XXX XXX XXX XXX XXX	12.7 Line 12.6 as a % of Col. 7		63.6	10.7		0.2	٥.0 م		XXX		XXX	100.0	XXX
13.1 Issuer Obligations 1,582,166 4,999,340 (1) 0 0 XXX 6,581,505 3.4 2,355,026 1.2 XXX 6,581,505 13.2 Residential Mortgage-Backed Securities 0 0 (1) 0 0 XXX (1) 0.0 0 0.0 0<	12.8 Line 12.6 as a % of Line 10.6, Col. 7, Section 10	24.2	61.1	10.3	0.4	0.2	0.0			XXX		96.1	XXX
13.2 Residential Mortgage-Backed Securities 0 0 0 (1) 0 0 XXX (1) 0.0 0 0.0 0.0 XXX (1) 0.0 0.0 0.0 XXX (1) 0.0 0.0 0.0 0.0 0.0 0.0 0.0 XXX (1) 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.	13. Total Privately Placed Bonds												
13.2 Residential Mortgage-Backed Securities 0 0 0 (1) 0 0 XXX (1) 0.0 0 0 XXX (1) 0.0 0 0 XXX (1) 0.0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	13.1 Issuer Obligations	1.582.166	4.999.340	(1)	0	0	XXX	6.581.505	3.4	2.355.026	1.2	XXX	6.581.505
13.3 Commercial Mortgage-Backed Securities 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	13.2 Residential Mortgage-Backed Securities	0	0	(1)	0	0		(1)	0.0	0	0.0		(1
13.4 Commercial Mortgage-Backed Securities 43,068 477,635 338,004 100,067 0 XXX 958,774 0.5 1,027,047 0.5 XXX 958,774 13.5 SVO Identified Funds XXX XXX XXX XXX XXX XXX XXX XXX XXX X		0	0	0	0	0		0		2			0
13.5 SVO Identified Funds XXX		43.068	477 .635	338.004	100.067	0		958.774		1,027.047	0.5		958.774
						XXX	0	0					0
	13.6 Totals	1,625,234	5,476,975	338,002	100,067		0	7,540,278	3.9	3,382,075		XXX	7,540,278
13.7 Line 13.6 as a % of Col. 7 21.6 72.6 4.5 1.3 0.0 0.0 100.0 XXX XXX XXX XXX 100.0	13.7 Line 13.6 as a % of Col. 7					0.0	0.0				XXX		
13.8 Line 13.6 as a % of Line 10.6, Col. 7, Section 10 0.8 2.8 0.2 0.1 0.0 0.0 3.9 XXX XXX XXX XXX 3.9	13.8 Line 13.6 as a % of Line 10.6, Col. 7, Section 10												

SCHEDULE DA - VERIFICATION BETWEEN YEARS

Short-Term Investments

SHOIL-LEITH HIVESUN	1	2	3	4	5
	Total	Bonds	Mortgage Loans	Other Short-term Investment Assets (a)	Investments in Parent, Subsidiaries and Affiliates
Book/adjusted carrying value, December 31 of prior year	29,821,252	29,821,252	0	0	0
Cost of short-term investments acquired	1, 142,401,182	1,142,401,182	0	0	0
3. Accrual of discount	0				
4. Unrealized valuation increase (decrease)	0				
5. Total gain (loss) on disposals	0				
Deduct consideration received on disposals	1,145,594,704	1,145,594,704	0	0	0
7. Deduct amortization of premium	0				
8. Total foreign exchange change in book/adjusted carrying value	0				
Deduct current year's other than temporary impairment recognized	0				
10. Book adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	26,627,730	26,627,730	0	0	0
11. Deduct total nonadmitted amounts	0				
12. Statement value at end of current period (Line 10 minus Line 11)	26,627,730	26,627,730	0	0	0

⁽a) Indicate the category of such assets, for example, joint ventures, transportation equipment:

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards NONE

Schedule DB - Part B - Verification - Futures Contracts

NONE

Schedule DB - Part C - Section 1 - Replication (Synthetic Asset) Transactions (RSATs) Open NONE

Schedule DB-Part C-Section 2-Reconciliation of Replication (Synthetic Asset) Transactions Open NONE

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

NONE

SCHEDULE E - VERIFICATION BETWEEN YEARS

(Cash Equivalents) Total Other (a) Bonds 1. Book/adjusted carrying value, December 31 of prior year. 0 .7,997,017 ..7,997,017 2. Cost of cash equivalents acquired ... 2,983 Accrual of discount 2,983 Unrealized valuation increase (decrease)_ ._0 5. Total gain (loss) on disposals 0 ..8,000,000 .8,000,000 6. Deduct consideration received on disposals ... Deduct amortization of premium_0 8. Total foreign exchange change in book/adjusted carrying value 0 ._0 9. Deduct current year's other than temporary impairment recognized ... 10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)_0 ._0 Deduct total nonadmitted amounts 0 0 Statement value at end of current period (Line 10 minus Line 11)

⁽a) Indicate the category of such assets, for example, joint ventures, transportation equipment:

Schedule A - Part 1 - Real Estate Owned NONE

Schedule A - Part 2 - Real Estate Acquired and Additions Made NONE

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

Schedule B - Part 1 - Mortgage Loans Owned **N O N E**

Schedule B - Part 2 - Mortgage Loans Acquired and Additions Made NONE

Schedule B - Part 3 - Mortgage Loans Disposed, Transferred or Repaid

NONE

Schedule BA - Part 1 - Other Long-Term Invested Assets Owned **NONE**

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made NONE

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid NONE

SCHEDULE D - PART 1

								Showing All Lor	g-Term BOND	S Owned Dece	mber 31 of	Current Ye	аг								
1	2 Codes 3 4				6	7		Fair Value	10	11			usted Carryir	ng Value			II	nterest		Dat	tes
		3	4	5	1		8	9			12	13	14	15	16	17	18	19	20	21	22
		100000	68	100			400	1590			/2525.000	2000	15000	Total	325000	1253	5555	40.75	1002702	056353	104/10425
												1	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Foreign							
			F									1	Current	Exchange							
			0								l .		Year's	Change							
			l r				Rate				l	Current	Other-	l in i							
		С	e				Used to			Book/	Unrealized	Year's	Than-	Book/				Admitted			Stated
		0	Ιĭ				Obtain			Adjusted	Valuation	(Amor-	Temporary	Adjusted		Effective		Amount	Amount		Contractual
CUSIP		d	g	Bond	NAIC	Actual	Fair	Fair	Par	Carrying	Increase/	tization)	Impairment	Carrying	Rate	Rate	When	Due and	Received		Maturity
Identification	Description	e	l n	Char	Des.	Cost	Value	Value	Value	Value	(Decrease)	Accretion	Recognized	Value	of	of	Paid	Accrued	During Year	Acquired	Date
	US Treasury Note	-	-"-	Ollai	1	15,051,027	99.9610	14,994,150	15,000,000	15,017,803	(Decrease)	(17,019)	n n	Value	0.875	0.760	.II	60,632	131,250	01/15/2015	01/15/2018
	US Treasury Note	†			1	9,986,752	100.0510	10.005.100	10,000,000	9,994,975	0	4,429	0	0	1.000	1 045	FA	37.772	100,000	02/19/2015	02/15/2018
	US Treasury Note	SD	l		11	609,525	102.8990	535,075	520,000	536,346	0	(18,693)	0	0	4.250	0.621	MN	2.869	22,100	05/06/2013	11/15/2017
	US Treasury Note	SD			1	578,281	103.9110	519,555	500,000	521,627	0	(15,668)	0	0	3.875	0.697	MN	2,516	19,375	05/06/2013	05/15/2018
	US Treasury Note	. .		-	1	3,997,357	99.4850	3,979,400	4,000,000	3,998,264	0	520	0	0	1.375	1.389	MS	14,052	55,000	03/31/2015	03/31/2020
	US Treasury Note	SD		-	<u>1</u>	13,050,825	99.3600	12,916,800	13,000,000	13,043,244	۵	(7,581)	0	<u>0</u>	1.375	1.273	A0	30,615	89,375	05/25/2016	04/30/2020
	US Treasury Note	SD_	·····	-	<u>-</u>	1,004,031 3,739,531	103 . 1410 104 . 2430	979,840 3,648,505	950,000 3,500,000	973,421 3,618,554	ō	(10,772)		ŏ	2.750 3.125	1.564 1.661	FA	9,868 14,201	26,125 109,375	02/12/2014 06/24/2014	02/15/2019
	US Treasury NoteUS Treasury Note	T90	l	1	1	1,998,914	104.2430	1,961,100	2,000,000	1,999,135	V	(48,684)		,	1.750	1.757	MS		35,000	10/24/2014	05/15/2019 09/30/2022
	US Treasury Note	†	l	1	1	2.954.613	98.8600	2.916.370	2.950.000			(906)		۸	1 375	1 342	MS		40.563	10/07/2015	09/30/2022
912828-LJ-7	US Treasury Note	.SD.			1	2,186,875	105.8360	2,116,720	2,000,000	2,097,376	٥	(36,004)			3.625	1.718	FA	27,385	72,500	06/24/2014	08/15/2019
912828-M9-8	US Treasury Note	.	ļ		1	1,495,313	99.5790	1,493,685	1,500,000	1,496,271	0	919	0	0	1.625	1.691	MN	2,143	24,375	12/15/2015	11/30/2020
	US Treasury Note	· 	ļ	-	1	1,795,014	100.1180	1,802,124	1,800,000	1,796,686	0	1,667	0	0	1.250	1.346	JD	1,051	22,500	12/30/2015	12/15/2018
912828-N4-8	US Treasury Note	· 		-	1	1,795,858	99.9610	1,799,298	1,800,000	1,796,659	۵	799	0	0	1.750		JD	87	31,500	12/30/2015	12/31/2020
	US Treasury Note	· 		-	ļ <u>}</u>	4,031,107	98.3910	3,935,640	4,000,000	4,025,771	0	(5,336) 7.663	0		1.375	1.213	JJ	23,016	27,500	02/16/2016	01/31/2021
	US Treasury Note	· 			1	4, 150, 125 3, 003, 281	97.2970 98.9690	4,086,474 2,969,070	4,200,000 3,000,000	4, 157, 788 3,002, 689	ل <u>ا</u>	(592)	٧	ل <u>ا</u>	1.125 0.875	0.838	ra	16,055 1,226	23,625 13,125	03/21/2016 06/14/2016	02/28/2021 06/15/2019
	US Treasury Note	†			1	1,001,761	100.6330	1,006,330	1,000,000	1.000.607	ر	(360)		٥	1.500	1.463		5.097	15,000	09/20/2013	08/31/2018
	US Treasury Note	†			1	3,003,526	98.9610	2,968,830	3,000,000	3,003,292	0	(234)		0	1.000	0.960	AO		0,000	10/19/2016	10/15/2019
	US Treasury Note	I			11	2,003,288	100.4810	2,009,620	2,000,000	2,001,249	0	(820)		0	1.375	1.333	JD	76	27,500	06/26/2014	06/30/2018
0199999. Sul	ototal - Bonds - U.S. Governments - Issue	er Obl	igatio	ons		77,437,004	XXX	76,643,686	76,720,000	77.035.253	0	(146,503)	0	0	XXX	XXX	XXX	274.396	885,788	XXX	XXX
36181C-CF-3	GNMA Pool AE8170 MBS	I		4	1	144,402	106.7710	143,339	134,249	144,289	0	(113)	0	0	4.000	1.872	MON	448	4,028	03/10/2016	02/15/2044
0299999. Sul	ototal - Bonds - U.S. Governments - Resid	dentia	al Moi	rtgage-Ba	cked																
	curities			3-3-		144,402	XXX	143.339	134.249	144,289	0	(113)	0	0	XXX	XXX	XXX	448	4.028	XXX	XXX
0599999 Tot	al - U.S. Government Bonds					77,581,406	XXX	76.787.025	76.854.249	77.179.542	0	(146,616)		0	XXX	XXX	XXX	274.844	889,816	XXX	XXX
	Manitoba Canada Corp Note Non Call	$\overline{}$	A		1FE	359,276	100.0260	360 . 094	360,000	359.963	0	146		0	1.300	1.341	AO	1.144	4.680	02/29/2012	04/03/2017
	ototal - Bonds - All Other Governments - I	ssue	Obli	gations		359,276	XXX	360,094	360,000	359,963	0	146		0	XXX	XXX	XXX	1, 144	4,680	XXX	XXX
	al - All Other Government Bonds	oodo	00	gationio		359,276	XXX	360,094	360,000	359.963	0	146		0	XXX	XXX	XXX	1,144	4,680	XXX	XXX
	CALIFORNIA ST GO Cont Call	Т		2	1FE	238,560	117.5460	235,092	200,000	232,376	0	(3,496)		0	5.000	2,770	MS	3,333	10,000	03/05/2015	03/01/2028
	DIST OF COLUMBIA GO Cont Call	†	l	2	1FE	75,350	119.5590	71,735	60,000		0	(733)		0	5.000	2.130	.ID	250	1,317	06/08/2016	06/01/2029
	MINNESOTA ST GO Non Call	1			1	100,868	102.3640	92, 128	90,000	92,242	٥	(3,816)	0	0	5.000	0.719	FA	1,875	4,500	09/23/2014	08/01/2017
	MINNESOTA ST GO Non Call	ļ			1FE	7,744,458	102.4090	7,076,462	6,910,000	7,082,099	0	(292,963)	0	0	5.000	0.719		143,958	345,500	09/23/2014	08/01/2017
	VIRGINIA ST GO Cont Call	· 	ļ	_ 2	1FE	546,455	105.4430	527,215	500,000	508,117	0	(5,486)	0	0	5.000	3.810		2,083	25,000	01/15/2009	06/01/2024
	WASHINGTON ST GO Cont Call	· 		- 2	1FE	117,367	117.2010	117,201	100,000	114,897	٥	(1,632)	0	ō	5.000		JJ	2,500	5,000	06/17/2015	07/01/2028
	WASHINGTON ST GO Cont Call			. 2	1FE	319,488	119.1310	297,828	250,000	317,112	0	(2,376)	0	0	5.000	1.920	FA	5,799	0	08/11/2016	08/01/2029
	ototal - Bonds - U.S. States, Territories an	ia Po	ssess	SIONS - ISS	suer		VVV	0 447 000				(040 500)	_	_	VVV	VVV	VVV	450 700	204 207	VVV	VVV
	ligations					9,142,546	XXX	8,417,661	8,110,000	8,421,461	0	(310,502)	0	0	XXX	XXX	XXX	159,798	391,317	XXX	XXX
	al - U.S. States, Territories and Possessi	ons E	onds	<u> </u>	455	9,142,546	XXX	8,417,661	8,110,000	8,421,461	0	(310,502)		0	XXX	XXX	XXX	159,798	391,317	XXX	XXX
	Baltimore MD GO Non Call	· 		- [1FE	1,825,560	106.8010	1,602,015	1,500,000	1,603,958	ō	(57,434)	Jō	ō	5.000	1.071	AU	15,833	75,000	01/16/2013	10/15/2018
	FORT WORTH TX IN GO Cont CallFORT WORTH TX IN GO Cont Call	t	l	- 2	1FE	5,744 11.442	107 . 3500	5,368 10,694	5,000 10,000	5,722 11.400	۵	(21)	۵	<u>0</u>	4.000 4.000	2.240 2.290			0	08/10/2016 08/10/2016	02/15/2030
409558-U8-4	Hampton VA GO Non Call	†	l	· · · · · · · · · · · · · · · · · · ·	1FE	1,639,845	100. 9390	1,502,625	1,500,000	1,500,678		(17,634)		U	5.000	3.789	.ii	34,583	75,000	10/26/2007	02/15/2031
	HARRIS CNTY TX GO Cont Call	İ		2	1FE	726,126	1177670	706,602	600,000	699.987	0	(11,520)		0	5.000	2.610	AO	7,500	30,000	08/14/2014	10/01/2027
	NEW YORK NY GO Non Call	I			1FE	1,163,820	100.7060	1,007,060	1,000,000	1,006,850	٥	(41,974)			5.000	0.780	MS	16,667	50,000	03/01/2013	03/01/2017
	NEW YORK NY GO Non Call			-	1FE	1, 192, 170	104.5430	1,045,430	1,000,000	1,046,003	٥	(39,208)	٥	0	5.000		MS	16,667	50,000	03/01/2013	03/01/2018
	NEW YORK NY GO Cont Call	· 		. 2	1FE	315,078	118.5210	296,303	250,000	311,891	0	(3, 187)	0	0	5.000		FA	5,208	2,222	06/08/2016	08/01/2029
	North East ISD TX GO Cont Call	<u>. </u>			1FE	554,310	102.3830	511,915	500,000	504,267	0	(7, 112)		0	5.000	3.510	FA	10,417	25,000	01/29/2009	08/01/2020
	ototal - Bonds - U.S. Political Subdivisions	s - Iss	uer (Obligation	S	7,434,095	XXX	6,688,012	6,365,000	6,690,756	0	(178, 131)		0	XXX		XXX	107,055	307,222	XXX	XXX
	al - U.S. Political Subdivisions Bonds					7,434,095	XXX	6,688,012	6,365,000	6,690,756	0	(178, 131)		0	XXX	XXX	XXX	107,055	307,222	XXX	XXX
	ARIZONA BRD OF R Rev Bond Cont Call	·	ļ	2	1FE	120,441	118.4130	118,413	100,000	117,358	0	(1,794)		0	5.000	2.701	າາ	2,500	5,000	03/05/2015	07/01/2027
	ARIZONA BRD OF R Rev Bond Cont Call	· 	ļ	- 2	1FE	59,579	117.8280	58,914	50,000	58,142	٥	(836)		<u>0</u>	5.000	2.831	ນ	1,250	2,500	03/05/2015	07/01/2028
	CALIFORNIA ST HL Rev Bond Cont Call	· 		- 2	1FE	130,127	116.2090	127,830	110,000	128,138		(1,773)		<mark>0</mark>	5.000 5.750	2.880 0.820	MN	703 50,600	5,469	11/06/2015	11/15/2029 07/01/2047
	CLEVELAND OH ARP Rev Bond Cont Call	†	l	2	1FE	137.405	113.9830	131.080	1,760,000	135.449		(1.957)		h	5.000		77 20	2.875	2,044	02/10/2016	01/01/2028

SCHEDULE D - PART 1

								Showing All Lor	ng-Term BOND	S Owned Dece	mper 31 of	Current Ye	ar								
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CUSIP		d	g	Bond	NAIC	Actual	Fair	Fair	Par	Carrying	Increase/	tization)	Impairment	Carrying	Rate	Rate	When	Due and	Received		Maturity
Identification	Description	е	n	Char	Des.	Cost	Value	Value	Value	Value	(Decrease)	Accretion	Recognized	Value	of	of	Paid	Accrued	During Year	Acquired	Date
186352-QX-1	CLEVELAND OH ARP Rev Bond Cont Call			2	1FE	195,850	113.1480	186,694	165,000	193, 165	0	(2,685)	0	0	5.000	2.621	ມ	4, 125	2,933	02/10/2016	01/01/2029
3130A8-DB-6	FHLB Note Non Call				1FE	1,299,454	99.3850	1,292,005	1,300,000	1,299,555	0	101	0	0	1.125	1.139	JD	406	8,044	06/02/2016	06/21/2019
3130A8-PK-3	FHLB Disc Note Non Call				1FE	1,796,256	99.1750	1,785,150	1,800,000	1,797,114	۵	858	0	0	0.625	0.726	FA	4,500	906	07/07/2016	08/07/2018
3133EF-38-1	FFC Note Non Call	I			1	2,296,872	99.2430	2,282,589	2,300,000	2,297,988	0	1,116	0	0	0.750	0.818	AO	3,498	8,913	04/07/2016	04/18/2018
3135G0-F7-3	FNMA Note Non Call	ļl			1FE	3,998,840	98.9900	3,959,600	4,000,000	3,999,089	0	224	٥	0	1.500	1.506	MN	5,167	60,000	10/15/2015	11/30/2020
3135G0-YT-4	FNMA Note Non Call	ļl			1FE	996, 170	100.7850	1,007,850	1,000,000	998,544	٥	747	٥	٥	1.625	1.703	MN	1,535	16,250	09/27/2013	11/27/2018
3137EA-CA-5	FHLMC Note Non Call	ļ			1FE	447,795	105.3700	474, 165	450,000	449,387	٥	258	٥	0	3.750	3.814	MS	4,406	16,875	03/03/2010	03/27/2019
3137EA-DX-4	FHLMC Note Non Call	ļl			1FE	899,073	100.0950	900,855	900,000	899,558	0	459	0	٥	1.000	1.052	JD	400	9,100	12/10/2015	12/15/2017
3137EA-EA-3	FHLMC Note Non Call	ļl			1FE	2,096,703	<u>.</u> 99.6550	2,092,755	2,100,000	2,097,908	0	1,205	0	٥	0.750	0.829	AO	3,588	7,963	04/06/2016	04/09/2018
3137EA-ED-7	FHLMC Note Non Call	ļl			1FE	99,957	99.4550	99,455	100,000	99,963	٥	6	٥	٥	0.875	0.896	AO	255	0	09/15/2016	10/12/2018
414005-WK-0	HARRIS CNTY TX Rev Bond Conl Call	I		2	1FE	138,074	117.7070	129,478	110,000	136,900	٥	(1, 174)	٥	٥	5.000	2.170	FA	2,582	0	06/10/2016	08/15/2030
546456-CX-0	LOUISIANA ST CIT Rev Bond Cont Call	ļl		2	1FE	2,186,120	107.8110	2, 156, 220	2,000,000	2,165,283	0	(20,837)	٥	٥	6.750	0.860	JD	11,250	67,500	10/24/2016	06/01/2026
54811B-QN-4	LOWER COLORADO R Rev Bond Cont Call	ļl		2	1FE	12,356	114.4900	11,449	10,000	12,245	0	(112)	٥	0	5.000	2.321	MN	64	196	06/09/2016	05/15/2029
54811B-QP-9	LOWER COLORADO R Rev Bond Cont Call	ļl		2	1FE	12,307	114.0960	11,410	10,000	12, 198	٥	(109)	٥		5.000	2.371	MN	64	196	06/09/2016	05/15/2030
59447P-7Q-8	MICHIGAN ST FIN Rev Bond Cont Call	I		2	1FE	55,962	112.6490	56,325	50,000	54,568	0	(763)	0	0	5.000	3. 151	JD	208	2,500	02/12/2015	12/01/2030
59447T-GT-4	MICHIGAN ST FIN Rev Bond Cont Call	L		2	1FE	733,452	113.0590	689,660	610,000		0	(9,779)	0	0	5.000	2.741	JD	2,542	25,840	01/13/2016	12/01/2030
59447T-GU-1	MICHIGAN ST FIN Rev Bond Cont Call			2	1FE	453,880	112.7150	428,317	380,000	448,049	0	(5,831)	0	0	5.000	2.821	JD	1,583	16,097	01/13/2016	12/01/2031
60636W-KV-6	MISSOURI ST HIGH Rev Bond Cont Call			2	1FE	2,319,900	101.4800	2,029,600	2,000,000	2,014,432	٥	(42,822)	٥ـــــــــــــــــــــــــــــــــــــ	٥	5.250	3.040	MN	17,500	105,000	01/28/2009	05/01/2019
646139-5S-0	NEW JERSEY ST TU Rev Bond Cont Call			2	1FE	228,544	113.2230	226,446	200,000	225,367	٥	(2,743)	٥ـــــــــــــــــــــــــــــــــــــ	٥	5.000	3. 191	JJ	5,000	6,583	10/23/2015	01/01/2031
650010-AD-3	NEW YORK ST THRU Rev Bond Non Call	L		l	1FE	1,494,762	107.9080	1,413,595	1,310,000	1,392,993	0	(34, 272)	0	0	5.000	2.201	JJ	32,750	65,500	12/12/2013	05/01/2019
677659-YL-2	OHIO ST WTR DEV Rev Bond Cont Call			2	1FE	843,200	105.3990	843, 192	800,000	842,952	0	(248)	0	0	5.000	1.160	JD	3,333	0	12/23/2016	12/01/2020
68428L-DQ-4	ORANGE CNTY CA P Rev Bond Non Call				1FE	1,300,000	99.8500	1,298,050	1,300,000	1,300,000	0	0	0	Ω	1.208	1.208	FA	6,543	8,637	01/08/2016	06/30/2017
68607V-N9-2	OREGON ST DEPT O Rev Bond Cont Call	I		2	1FE	1,869,240	118.6380	1,779,570	1,500,000	1,835,427	0	(33,813)	٥ــــــ	٥	5.000	2.040	AO	18,750	75,000	01/29/2016	04/01/2028
709224-LP-2	PENNSYLVANIA ST Rev Bond Cont Call			2	1FE	2,366,300	112.1370	2,242,740	2,000,000	2,337,951	0	(28,349)	0	0	5.000	2.841	JD	8,333	77,222	02/11/2016	06/01/2030
709235-XU-4	PENNSYLVANIA ST Rev Bond Cont Call			2	1FE	44,245	119.4230	41,798	35,000	43,798	0	(447)	0	0	5.000	2.111	MS	583	365	06/08/2016	09/01/2029
71883P-JR-9	PHOENIX AZ CIVIC Rev Bond Cont Call	L		2	1FE	29,297	118.0200	29,505	25,000	28,280	0	(384)	٥	٥	5.000	3.031	JJ	625	1,250	03/19/2014	07/01/2026
71883P-JS-7	PHOENIX AZ CIVIC Rev Bond Cont Call	I		2	1FE	29,082	117.3430	29,336	25,000	28,119	0	(364)	0	٥	5.000	3. 121	JJ	625	1,250	03/19/2014	07/01/2027
791748-EE-2	SAINT LOUIS PARK Rev Bond Cont Call			2	1FE	746,697	106.7560	747,292	700,000	746,442	0	(255)	0	0	5.750	1.271	JJ	20, 125	0	12/22/2016	07/01/2030
80585T-CE-9	SCAGO SC EDUCTNL Rev Bond Cont Call			2	1FE	92,862	114.3400	91,472	80,000	90,922	0	(1,118)	0	0	5.000	3. 141	JD	333	4,000	02/26/2015	12/01/2028
812643-MY-7	SEATTLE WA MUNI Rev Bond Cont Call	I		2	1FE	1,597,838	119.7350	1,520,635	1,270,000	1,570,771	0	(27,066)	0	٥	5.000	2.161	AO	15,875	42,863	01/19/2016	04/01/2028
83786P-CN-8	S FL WTR MGMT DI Rev Bond Cont Call			2	1FE	321,119	115.6350	306,433	265,000	316,717	0	(4,402)	0	0	5.000	2.611	AO	3,313	8,539	01/13/2016	10/01/2029
83786P-CP-3	S FL WTR MGMT DI Rev Bond Cont Call	L		2	1FE	380, 145	116.2260	366, 112	315,000	375,047	0	(5,098)	0	0	5.000	2.661	AO	3,938	10,150	01/13/2016	10/01/2030
83786P-CW-8	S FL WTR MGMT DI Rev Bond Cont Call	<u> </u>		2	1FE	460,837	.114.5710	441,098	385,000	454,929	0	(5,908)	0	0	5.000	2.761	AO	4,813	12,406	01/13/2016	10/01/2031
89602N-5H-3	TRIBOROUGH NY BR Rev Bond Cont Call	L]		2	1FE	1,618,265	119.0260	1,553,289	1,305,000	1,593,002	٥	(25,263)	٥	0	5.000	2.361	MN	8,338	52,019	01/22/2016	11/15/2030
2599999. Su	btotal - Bonds - U.S. Special Revenues - Is	ssuer	r Obli	gations		35,810,651	XXX	34,840,655	32.935.000	35,210,504	0	(267.790)	0	0	XXX	XXX	XXX	254.878	729, 110	XXX	XXX
31283K-4T-2	FHLMC Pool G11734 MBS			4	1	28,376	103.3640	29,275	28,323	28,309	0	(8)	0	0	5.000	4 948	MON	118	1,416	08/22/2005	05/01/2020
3128MC-JR-7	FHLMC Pool G13672 MBS			4	1	580,258	. 104 . 4980	567 . 102	542,693	563,153	n	(2,981)	n	n	5.000		MON	2,261	27,135	03/04/2010	12/01/2021
3128MM-BQ-5	FHLMC Pool G18046 MBS			4	1	78,604	104.4300	80.070	76,593		0	(208)	0	0	5.500		MON	351	4,213	05/04/2005	03/01/2020
312971-Z7-2	FHLMC Pool B18866 MBS			4	1	103,128	104.4030	104,946	100.520	101.337	0	(265)	0	0	5.500		MON	461	5,529	05/04/2005	03/01/2020
312972-CL-4	FHLMC Pool B19075 MBS	l		4	1	31,775	104.2970	33,397	32,021	31,889	n	14	n	n	5.000	5.211		133	1,601	10/18/2005	04/01/2020
312972-NM-0	FHLMC Pool B19396 MBS	·		4	1	18,039	104.2370	18.672	18,006	17,997	0	(5)	0	0	5.000		MON		900	08/22/2005	05/01/2020
3132HM-WL-1	FHLMC Pool Q11551 MBS	l		4	1	599.898	102.9730	580,031	563,284	598.506	n	374	0	n	3.500		MON	1,643	19,715	04/25/2013	09/01/2042
3132JA-VC-6	FHLMC Pool Q19210 MBS	·		4	1	408,555	105.2990	417,894	396,866	408, 162	n	48	0	n	4.000		MON	1,323	15,875	09/17/2013	06/01/2043
31335H-0J-5	FHI MC Pool C90457 MBS			4	1	3.771	. 109.9200	4.138	3,764	3.759	n	(1)	0	0	6 500		MON	20	245	06/26/2001	07/01/2021
3136AC-RC-7	FNMA 2013-15 QD CM0	l		4	1	264,496	103.3200	257,534	251,601	256,915	n	(1,283)	0	0	3.000		MON	629	7,548	03/21/2013	12/25/2038
31371M-CA-3	FNMA Pool 255765 MBS			4	1	35,765	102 . 3560	37,404	36,258	35,981	n	(1,203)	n	n	5.000		MON	151	1,813	09/27/2006	07/01/2020
31376K-A5-5	FNMA Pool 357428 MBS			4	1	41,279	102.7740	39,712	38,640	39,313	0	(349)	0	0	4.500		MON	145	1,739	10/27/2010	09/01/2018
3138A5-ZL-9	FNMA Pool AH4346 MBS	l		4	1	1, 159, 228	104.2290	1.153.117	1,106,332	1,145,963	n	(603)	n	n	3.500		MON	3,227	38,722	09/13/2011	02/01/2026
3138AC-AQ-0	FNMA Pool AH9914 MBS			4	1	1,206,331	104.2670	1,223,579	1, 173,509	1,197,848	n	(268)	n	n	3.500	2.785		3,423	41,073	06/09/2011	04/01/2026
3138ET-BA-3	FNMA Pool AL8132 MBS	l		4	1	88,391	. 104.2070	87,220	82,621	88,296	0	(96)	0	0	4.000		MON	275	2,479	03/04/2016	01/01/2043
3138MK-4P-8	FNMA Pool A04429 MBS	l		4	1	134,827	103.1260	132,244	128,234	134.654	0	(56)	0	0	3.500		MON	374	4,488	03/30/2015	11/01/2042
3138W9-MT-4	FNMA Pool AS0369 MBS			4	1	284,672	107 . 5680	289.011	268.677	284,303	n	(83)	0	0	4 . 500		MON	1.008	12,090	09/18/2013	09/01/2043
3138W9-TV-2	FNMA Pool AS0563 MBS	l		4	1	813,731	107 . 5550	821,069			n	(319)	0	n	4 500		MON	2.863	34,353	09/23/2013	09/01/2043
3138WD-5T-4	FNMA Pool AS4457 MBS			4	1	761,246	102.5620	742,795	724,242	760.398	n	(272)	n	n	3.500		MON	2,112	25,349	03/24/2015	02/01/2045
3138WJ-AK-4	FNMA Pool AS8109 MBS			4	1	102,755	99.4510	98.364	98,907	102,726	0	(29)	0	0	3.000	2.712		247	495	10/05/2016	10/01/2046
3138WJ-AL-2	FNMA Pool AS8110 MBS			4	1	103.047		98.555	99.099	103.017	0	(30)	0	0	3.000		MON	248	495	10/05/2016	10/01/2046

SCHEDULE D - PART 1

								Showing All Lor	ng-Term BOND	S Owned Dece	mber 31 of	Current Ye	аг								
1	2		Coc	les	6	7		Fair Value	10	11			usted Carryin	g Value			Ir	nterest	i i	Da	tes
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		С	е	1			Used to			Book/	Unrealized	Year's	Than-	Book/	l			Admitted			Stated
		o	l i	1			Obtain			Adjusted	Valuation	(Amor-	Temporary	Adjusted	l	Effective		Amount	Amount		Contractual
CUSIP		d	g	Bond	NAIC	Actual	Fair	Fair	Par	Carrying	Increase/	tization)	Impairment	Carrying	Rate		When	Due and	Received		Maturity
Identification	Description	e	l n	Char	Des.	Cost	Value	Value	Value	Value	(Decrease)	Accretion	Recognized	Value	of	of	Paid	Accrued	During Year	Acquired	Date
3138X0-MT-2	FNMA Pool AU1269 MBS	C	-"-	Ullai	1	764,317	102,8680	765,252	743.918	761, 151	(Decrease)	(532)		Value	3.000	2.348	I alu	1.860	22,318	07/12/2013	07/01/2028
31407N-FK-4	FNMA Pool 835470 MBS				1	40.176	102. 6870	43.094	40,775	40.438		46	۷		5.000	5.379	MON	170	2,039	09/27/2006	09/01/2020
3140FW-XG-5	FNMA Pool BC2478 MBS	·	·	4	1	156.875	105. 0070	154.789	146.057	156,707		(168)			4.000		MON	487	4,382	03/04/2016	02/01/2046
3140FB-EE-6	FNMA Pool BD3732 MBS	·		4	1	207,907	. 102.5900	202,144	197,040	207,803	0	(105)		0	3.500		MON	575	1,724	09/09/2016	08/01/2046
	FNMA Pool BD3733 MBS	·	1	4	1	207,662	102.5900	201,845	196,748	207,556	0	(105)		0	3.500		MON	574	1,722	09/09/2016	08/01/2046
	FNMA Pool AB1263 MBS	Ī		4	1	259,969	102.7740	250, 287	243,531	251,406	0	(1,351)	0	0	4.500	2.438	MON	913	10,959	10/29/2010	12/01/2020
	FNMA Pool MA0648 MBS	ļ		4	1	137,401	104.3330	136,905	131,219	135,830	0	(58)	0	0	3.500		MON	383	4,593	08/12/2011	02/01/2026
2699999. Sul	btotal - Bonds - U.S. Special Revenues -	Resid	dentia	Mortgag	ie-	,			,	, , , , , , , , , , , , , , , , , , , ,									/		
	cked Securities				,-	8.622.479	XXX	8.570.445	8.232.873	8.552.706	n	(8,664)	n	n	XXX	XXX	XXX	26.049	295.010	XXX	xxx
	tal - U.S. Special Revenues Bonds					44,433,130	XXX	43,411,100	41.167.873	43,763,210	0	(276,454)	0	0	XXX	XXX	XXX	280,927	1.024.120	XXX	XXX
	ABBVIE INC Corp Note Call MW	_	_	2)CC	44,433,130	., 100 . 1030	43,411,100	175,000	43,763,210	0	(2/6,454)		0	2.500	2.588	IIN	280,927	1,024,120	05/05/2015	05/14/2020
	AIR PROD & CHEM Corp Note Call MW 90BP	t	1	2	2FE 1FE		100 . 1030	175, 180	100.000			29	0	ا ر	3.350	3.389	III	1.405	3,350	07/28/2014	07/31/2024
02665W-AH-4	AMERICAN HONDA F Corp Note MW 58 BP	t	1	2	1FE	29,672	102.3230	302.022	300,000	299,742		111	,		2.250	2.290	FA		6,750	09/04/2014	08/15/2024
02665W-BG-5	AMERICAN HONDA F CORP NOTE MW 38 BF	t	1	2	1FE	199,600	96.4090	192,818	200,000	199,624	n	24	0	0	1.700	1.742	MS.	1,058	n , , 30	09/04/2014	09/09/2021
03523T-BN-7	ANHEUSER-BUSCH Corp Note MW 12.5BP	†	1	2	2FE	483,603	99.8170	484,112	485,000	484,848	0	285	0	0	1.375	1.435	JJ	3,075	6,669	07/11/2012	07/15/2017
035242-AG-1	ANHEUSER-BUSCH Corp Note MW	T		2	1FE	59,837	100.2750	60, 165	60,000	59,887	0	49	0	0	1.900	1.993	FA	475	589	01/13/2016	02/01/2019
035242-AJ-5	ANHEUSER-BUSCH Corp Note Call MW	I	1	2	1FE	49.844	100.5110	.50 256	50.000	49.871	0	28	0	0	2 .650	2.717	FA	552	685	01/13/2016	02/01/2021
037411-AX-3	APACHE CORP Corp Note MW 15BP PPut	L		2	2FE	89,073	103.2540	92,929	90,000	89,588	0	92	0	0	3.625	3.747	FA	1,359	3,263	11/30/2010	02/01/2021
037833-CB-4	APPLE INC Note Non Call	ļ			1FE	99,900	98.5490	98,549	100,000	99,913	0	13	0	0	1.100	1.134	FA	449	0	07/28/2016	08/02/2019
038222 AH-8	APPLIED MATERIAL Corp Note Call MW	↓		2	1FE	159,888	100.6620	161,059	160,000	159,915	۵	22	0	٥	2.625	2.640	A0	1,050	4,282	09/21/2015	10/01/2020
	BB&T CORPORATION Corp Note Non Call				1FE	600,000	100.4510	602,706	000,000	600,000	۵		0	0	1.533	1.533	JD	104	0	12/22/2016	06/15/2020
	BAXALTA INC Corp Note Call MW			. 2	2FE	69,982	99.9860	69,990	70,000	69,985	<u>0</u>	3	0	0	2.875	2.882	JD	45	2,013	06/03/2016	06/23/2020
10112R-AS-3	BOSTON PROP LP Corp Note MW 30BP		·	. 2	2FE	134,001	104.9450	141,676	135,000	134,530	0	96	0	0	4. 125	4.213	MN	712	5,569	11/08/2010	05/15/2021
166764-AN-0	CHEVRON CORP Corp Note Call MW	 	·	. 2	1FE	150,000	101.0240	151,536	150,000	150,000	0	0	0	0	2. 193	2. 193	MN	420	3,290	11/10/2014	11/15/2019
17275R-BG-6	CISCO SYSTEMS Corp Note MW	·	·	. 2	1FE	249,723	98.9410	247,353	250,000	249,748	<u>0</u>	26		<u>0</u>	1.400	1.438	MS	982 1,815	0	09/13/2016	09/20/2019
191216-AY-6 191216-BT-6	COCA-COLA CO/THE Corp Note MW 10BP COCA-COLA CO/THE Corp Note MW	 		2	1FE 1FE	369,138 144,745	100 . 1840 98 . 8310	370,681 143.305	370,000 145.000	369,821 144.803	ل <u>ا</u>	49	٧	ا لاِ	1.650 1.875	1.691	MS	483	6,105 2,719	03/09/2012 10/22/2015	03/14/2018
191216-BV-1	COCA-COLA CO/THE CORP NOTE MW	 	·	2	1FE	99,930	99.4330	99,433	100,000	99,944		14	۷	۷	1.375	1.399	MU	118		05/25/2016	05/30/2019
	Coca Cola Corp Note MW 20BP	†		2	2FE	206,317	101.4070	212,955	210,000	208, 136	ν	365	U		3.250	3.459	MIN	2.503	6,825	08/16/2011	08/19/2021
202795-JC-5	COMMONWEALTH EDI Corp Note Call MW	†		2	1FE	59,867	. 100.2580	60,155	60,000	59,944	0	27	0	0	2. 150	2.197	.Li	595	1,290	01/06/2014	01/15/2019
219023-AF-5	CORN PRODUCTS Corp Note MW 30BP	†		2	2FE	64,740	107.6670	69,984	65,000	64,889	0	26	0	0	4.625	4.674	MN	501	3,006	09/14/2010	11/01/2020
233851-CK-8	DAIMLER FINANCE Corp Note MW Prv Plc	[1	2	1FE	1,499,580	97.6400	1.464.600	1,500,000	1,499,594		14	0		2.200	2.206	AO	5.592	0	10/26/2016	10/30/2021
235851-AP-7	DANAHER CORP Corp Note MW 15BP	1			1FE	79,806	100.2240	80,179	80,000	79,854	٥	37	0	٥	2.400	2.452	MS	565	1,920	09/10/2015	09/15/2020
24422E-RE-1	JOHN DEERE CAP Corp Note Non Call	ļ		.	1FE	64,930	106.2510	69,063	65,000	64,965	0	7	0	0	3.900	3.913	JJ	1,190	2,535	07/07/2011	07/12/2021
24422E-TJ-8	JOHN DEERE CAP Corp Note Non Call	 			1FE	99,412	98.2000	98,200	100,000	99,464	٥	52	0	0	1.250	1.448	AO	389	0	09/20/2016	10/09/2019
250847-EF-3	Detroit Edison Corp Note Call MW 15BP		ļ	2	1FE	69,719	104.6220	73,235	70,000	69,885	٥	28	٥	٥	3.450	3.497	AO	604	2,415	08/12/2010	10/01/2020
26442C-AC-8	DUKE ENERGY CAR Corp Note Cont Call	}	·		1FE	184,371	104.0150	192,428	185,000	184,919	<u>0</u>	74		<u>0</u>	5.250		JJ	4,479	9,713	01/07/2008	01/15/2018
26884A-BC-6	ERP OPERATING LP Corp Note Call MW			. 2	1FE	184,815	100.8920	186,650	185,000	184,906	<u>0</u>	36	<u>0</u>	<u>0</u>	2.375		JJ	2, 197	4,394	06/16/2014	07/01/2019
	EL PASO PIPELINE Corp Note Call MW	 	·	. 2	2FE	107,658	106.5630	106,563	100,000	107,085	<u>0</u>	(574)	J0	<u>0</u>	5.000	3.293	AU	1,250	2,500	08/04/2016	10/01/2021
29273R-BH-1	ENERGY TRAN PTNR Corp Note MW	 	·	2	2FE	19,989	100.8750	20, 175	20,000	19,995	ō	<u>4</u>	lō	ō	2.500	2.519	JU	22	500	06/18/2015	06/15/2018
316773-CT-5 345397-WT-6	FIFTH THIRD BANK Corp Note Call	ł	·		2FE	199,742	101.1960 100.0530	202,392 295,156	200,000	199,812		49 0	ļ	l	2.875	1.684	JJ	2,460	5,750 4,968	07/22/2015 09/03/2014	07/27/2020
345397-W1-6 34540U-AA-7	FORD MOTOR CRED Corp Note Non CallFord Motor Credit Corp Note Non Call	ł	1	-	2FE 2FE	295,000 498,030	100.0530	295, 156 502,780	295,000 500,000	295,000 499,571		402	ļ		1.684 2.375	2.459	M9	1,559 5.443	4,968	09/03/2014	09/08/2017 01/16/2018
369622-SM-8	GEN ELEC Cap Corp Note Non Call	t	1		2FE	498,030	110.9820	108,762	98,000	499,571		(120)	۷		5.300	5. 143	FA	2.020	5. 194	02/15/2013	02/11/2021
373334-JX-0	GEORGIA POWER Corp Note Non Call	t	1		1FE	578,997	100.1220	580,708	580,000	579,427	ν	97	,		2.850	2.870	MN	2,020	16,530	05/08/2012	05/15/2022
38145G-AK-6	GOLDMAN SACHS GP Corp Note Non Call	†	1		1FE	900.000	100.1220	901.053	900.000	900.000	n	0	0	n	1.757		MJSD	834	n	12/08/2016	12/13/2019
40414L-AK-5	HCP INC Corp Note Call MW	1		2	2FE	69,676	101.9550	71,369	70,000	69,756	0	29	0	0	4,200	4.257	MS	980	2,940	02/12/2014	03/01/2024
41283L-AF-2	HARLEY-DAVIDSON Corp Note MW Prv Pic		l	2	1FE	39,908	99.1590	39,664	40,000	39,941	0	18	0	0	2. 150	2. 199	FA	299	860	02/23/2015	02/26/2020
437076-BN-1	HOME DEPOT INC Corp Note Call MW	<u> </u>	1	2	1FE	84,068	92.8760	78,945		84,093		25	0		2. 125	2.248	MS	532	0	09/06/2016	09/15/2026
45687A-AL-6	INGERSOLL-RND GL Corp Note MW 30BP	ļ		2	2FE	139,827		142,537	140,000	139,921	0	37	0	0	2.875	2.904	JJ	1,856	4,025	06/16/2014	01/15/2019
49326E-EE-9	KEYCORP Corp Note Call	1		2	2FE	359,773		362,264	360,000	359,912	0	44	0	0	2.300	2.313	JD	414	8,280	11/05/2013	12/13/2018
494368-BS-1	KIMBERLY-CLARK Corp Note MW	ļ		2	1FE	79,966	100. 2940	80,235		79,975	۵	7	٥	۵	2. 150	2. 159	FA	650	1,763	08/03/2015	08/15/2020
501044-DD-0	KROGER CO Corp Note MW	ļ		2	2FE	199,902	98.5230	197,046	200,000	199,910	۵	B	٥	٥	1.500	1.517	MS	733	0	09/26/2016	09/30/2019
539830-BF-5	LOCKHEED MARTIN Corp Note Call MW	ļ	l	2	2FE	156,436	100.8100	158,272	157,000	156,555	0	107	0	0	2.500	2.577	MN	414	3,925	11/16/2015	11/23/2020
58013M-EJ-9	MCDONALD'S CORP Corp Note MW 10BP	ł	·····		2FE	69,721	104. 1800	72,926	70,000	69,889	٥	29	٥	ا وــــــــــــــــــــــــــــــــــــ	3.500	3.548	JJ	1, 130	2,450	07/28/2010	07/15/2020
585055-BG-0	MEDTRONIC INC Corp Note MW	1	1	2	1FF	189.830	100.8450	191.606	190 . 000	189.879	. 0	36	. 0		2.500	2.521	MS	1.399	4.750	09/02/2015	03/15/2020

SCHEDULE D - PART 1

								Showing All Lor	ng-Term BOND	S Owned Dece	mber 31 of	Current Ye	ear								
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Identification	Description	е	n	Char	Des.	Cost	Value	Value	Value	Value	(Decrease)	Accretion	Recognized	Value	of	of	Paid	Accrued	During Year	Acquired	Date
60871R-AE-0	MOLSON COORS Corp Note MW			2	2FE	24,988	98.4850	24,621	25,000	24,989	0	2	0	0	1.450	1.467	ມ	175	0	06/28/2016	07/15/2019
61746B-DM-5	MORGAN STANLEY Corp Note Non Call				1FE	278,970	100 . 5520	281,546	280,000	279,559	0	206	0	0	2.500	2.579	JJ	3,053	7,000	01/21/2014	01/24/2019
61761J-B3-2	MORGAN STANLEY Corp Note Non Call				1FE	164,802	100.7730	166,275	165,000	164,860		38	0	0	2.800	2.826	JD	193	4,620	06/11/2015	06/16/2020
65339K-AE-0	NEXTERA ENERGY Corp Note Non Call	L			2FE	170,581	100.4650	170,791	170,000	170, 189	0	(282)	0	0	2.056	1.886	MS	1,165	3,495	08/05/2015	09/01/2017
665772-CM-9	NORTHERN ST PR-M Corp Note Call MW	ļ		2	1FE	114,788	100.0160	115,018	115,000	114,845	0	41	0	0	2.200	2.239	FA	956	2,558	08/04/2015	08/15/2020
665859-AM-6	NORTHERN TRST CO Corp Note Non Call	ļ	ļ	.	1FE	159,301	104. 1050	166,568	160,000	159,646	۵	69	۵	0	3.375	3.427	FA	1,920	5,400	08/17/2011	08/23/2021
68268N-AH-6	ONEOK PARTNERS Corp Note Call MW 25BP	ļ	ļ	. 2	2FE	289, 168	100.3010	290,873	290,000	289,872	۵	169	۵		2.000	2.060	A0	1,450	5,800	09/10/2012	10/01/2017
68389X-AQ-8	ORACLE CORP Corp Note MW	ļ		2	1FE	59,791	101 . 4800	60,888	60,000	59,919	٥	38	0	0	2.375	2.443	JJ	657	1,425	07/09/2013	01/15/2019
68389X-BK-0	ORACLE CORP Corp Note Call MW	ļ		2	1FE	74,870	97.6890	73,267	75,000	74,882	٥	12	0	0	1.900	1.935		689	0	06/29/2016	09/15/2021
69353R-FA-1	PNC BANK NA Corp Note Non Call	ļ	ļ	.	1FE	1,100,000	100.0530	1,100,583	1,100,000	1,100,000	۵	۵	۵	0	1.348		MJSD	949	0	12/06/2016	12/07/2018
69371R-N4-4	PACCAR FINL CORP Corp Note Non Call	ļ		-	1FE	14,980	96 . 1260	14,419	15,000	14,981	٥	2	0	٥ـــــــــــــــــــــــــــــــــــــ	1.650		FA	96	0	08/04/2016	08/11/2021
694308-HQ-3	PACIFIC GAS&ELEC Corp Note Non Call	ļ	ļ	.	2FE	1,250,000	100.1760	1,252,200	1,250,000	1,250,000	0	0	0	0	1.153		MJSD	801	0	11/28/2016	11/30/2017
713448-DL-9	PEPSICO INC Corp Note Call MW	ļ	ļ	2	1FE	49,933	97.1060	48,553	50,000	49,936	0	3	0	0	1.700	1.728	A0	201	0	10/03/2016	10/06/2021
74256L-AX-7	PRINCIPAL LFE II Corp Note Non Call Prv Plc	ļ	ļ	.	1FE	1,000,000	99.9610	999,610	1,000,000	1,000,000	۵	۵	0	0	1.211	1.211	FMAN	1,379	0	11/14/2016	05/21/2018
742718-EB-1	PROCTER & GAMBLE Corp Note MW			. 2	1FE	99,353	102.7470	102,747	100,000	99,550	0	60	0	0	3. 100	3.176	FA	1,171	3, 100	08/08/2013	08/15/2023
742718-EN-5	PROCTER & GAMBLE Corp Note MW	.		2	1FE	89,983	98.7810	88,903	90,000	89,986	0	3	0	0	1.850	1.007	FA	689	833	01/28/2016	02/02/2021
74340X-AV-3	PROLOGIS LP Corp Note Call MW	.		2	2FE	119,958	101. 4220	121,706	120,000	119,983	0	8	0	0	2.750	2.757	FA	1,247	3,300	08/08/2013	02/15/2019
74456Q-BE-5	PUBLIC SERVICE Corp Note Call MW	.		. 2	1FE	89,975	101 . 1400	91,026	90,000	89,991	٥	5	٥	٥	2.300	2.306	MS	610	2,070	09/09/2013	09/15/2018
74456Q-BR-6	PUBLIC SERVICE Corp Note Call MW	.		. 2	1FE	34,885	92.7190	32,452	35,000	34,888	٥	3	٥ـــــــــــــــــــــــــــــــــــــ	٥	2.250	2.287	MS	236	0	09/07/2016	09/15/2026
816851-AZ-2	SEMPRA ENERGY Corp Note MW	L	l	2	2FE	48,950	98.5020	48,266	49,000	48,954	0	4	0	0	1.625	1.660	AO	186	0	10/04/2016	10/07/2019
832696-AB-4	JM SMUCKER CO Corp Note MW 20BP	L		2	2FE	114,779	103.9520	119,545	115,000	114,885	0	22	0	0	3.500	3.523	A0	850	4,025	10/13/2011	10/15/2021
8426EP-AA-6	SOUTHERN CO GAS Corp Note Call MW	L		. 2	2FE	59,953	95.5630	57,338	60,000	59,955	٥	2	٥	٥	2.450	2.462	A0	441	0	09/08/2016	10/01/2023
843646-AN-0	SOUTHERN POWER Corp Note MW	L		. 2	2FE	69,959	100.2680	70 188	70,000	69,982	٥	20	٥	٥	1.850	1.879	JD	108	1,345	11/12/2015	12/01/2017
857477-AS-2	STATE STREET COR Corp Note Non Call	<u> </u>		.	1FE	114,738	100.8130	115,935	115,000	114,806	0	50	0	0	2.550	2.599	FA	1,083	2,933	08/13/2015	08/18/2020
87165B-AB-9	SYNCHRONY FINANC Corp Note MW 140 BP	L		2	2FE	46,889	101. 9540	47,918	47,000	46,940	0	22	0	0	3.000	3.051	FA	533	1,410	08/06/2014	08/15/2019
87246Y-AA-4	TIAA ASSET MGMT Corp Note MW Prv Plc			2	2FE	129,766	101.4840	131,929	130,000	129,863	0	46	٥	٥	2.950	2.989	MN	639	3,835	10/27/2014	11/01/2019
88579Y-AU-5	3M CO Corp Note Call MW	L		. 2	1FE	49,974	97.3070	48,654	50,000	49,975	٥	1	٥	٥	1.625	1.636	MS	230	0	09/14/2016	09/19/2021
902494-AX-1	TYSON FOODS INC Corp Note MW 150 BP	L	l	2	2FE	139,574	.101.6980	142,377	140,000	139,662	0	37	0	0	3.950	3.987	FA	2,089	5,530	08/05/2014	08/15/2024
904764-AQ-0	UNILEVER CAPITAL Corp Note MW			2	1FE	163,107	. 100.9910	166,635	165,000	164,221	0	345	0	0	2.200	2.424	MS	1,160	3,630	09/03/2013	03/06/2019
907818-EE-4	UNION PAC CORP Corp Note Call MW	L	l	. 2	1FE	79,936	100.1110	80,089	80,000	79,955	٥	12	٥	٥	2.250	2.267	JD	60	1,800	06/16/2015	06/19/2020
913017-BU-2	UNITED TECH CORP Corp Note MW 15BP	L	ļ	2	1FE	259,776	100 . 2350	260,611	260,000	259,981	٥	46	0	0	1.800	1.818	JD	390	4,680	05/24/2012	06/01/2017
913017-CK-3	UNITED TECH CORP Corp Note Non Call	_		.	1FE	1,500,000	100.3810	1,505,715	1,500,000	1,500,000	0	0	0	0	1.236		FMAN	3,141	0	10/27/2016	11/01/2019
92276M-BB-0	VENTAS REALTY LP Corp Note MW 20BP	<u> </u>	l	2	2FE	109,936	. 100. 4450	110,490	110,000	109,969	0		0	0	2.700	2.709	AO	743	2,970	03/14/2013	04/01/2020
92343V-BY-9	VERIZON COMM INC Corp Note Call MW	<u> </u>	l	2	2FE	837 , 160	104.3280	834,624	800,000	828,519	٥	(3,558)	٥	٥	4. 150	3.567	MS	9,776	33,200	06/26/2014	03/15/2024
92343V-CR-3	VERIZON COMM INC Corp Note Call MW 25BP	<u> </u>	ļ	2	2FE	794,720	99.6910	797 , 528	800,000	795,715	٥	467	0	0	3.500	3.579	MN	4,667	28,000	10/22/2014	11/01/2024
931427-AF-5	WALGREENS BOOTS Corp Note Call MW	<u>[</u>	l	2	2FE	164,550	101.7250	167,846	165,000	164,675	0	60	0	0	3.300	3.344	MN	650	5,445	11/06/2014	11/18/2021
94988J-5H-6	WELLS FARGO BANK Corp Note Non Call	<u> </u>	l		1FE	1,000,000	. 100.0190	1,000,190	1,000,000	1,000,000	0	0	0	0	1.437	1.437	FMAN	967	0	12/01/2016	11/28/2018
06367T-PY-0	BANK OF MONTREAL Corp Note Non Call	ļ	A		1FE	900,000	100.2890	902,601	900,000	900,000	0	٥	0	0	1.557	1.455	MJSD	778	0	12/07/2016	12/12/2019
06367V-HL-2	BANK OF MONTREAL Corp Note Non Call	.	A		1FE	199,944	100.7950	201,590	200,000	199,976	٥	11	0	0	2.375	2.381	JJ	2,058	4,750	09/25/2013	01/25/2019
50248W-AC-0	CAISSE CENT DESJ Corp Note Non Call Prv Plc	<u> </u>	A		1FE	244,787	99.9960	244,990	245,000	244,950	0	72	0	0	1.550	1.580	MS	1,150	3,798	09/09/2014	09/12/2017
89114Q-AZ-1	TORONTO DOM BANK Corp Note Non Call	<u> </u>	Α		1FE	104,997	100.0110	105,012	105,000	104,999	0	1	0	0	1.625	1.626	MS	512	1,706	03/09/2015	03/13/2018
00507U-AP-6	ACTAVIS FUNDING Corp Note Call MW	L	D	2	2FE	14,999	101. 3330	15,200	15,000	15,000	٥	0	0	٥	3.000	3.001	MS	136	450	03/03/2015	03/12/2020
05574L-PT-9	BNP PARIBAS Corp Note Non Call	.	D	.	1FE	139,740	101.2760	141,786	140,000	139,911	٥	53	0	0	2.700	2.740	FA	1,376	3,780	08/13/2013	08/20/2018
2027A0-JA-8	COM BK AUSTRALIA Corp Note Non Call Prv Pic	L	D	.	1FE	2,000,000	100.0450	2,000,900	2,000,000	2,000,000	0	0	0	0	1.521	1.521	FMAN	4,647	0	10/25/2016	11/07/2019
21685W-DD-6	RABOBANK Corp Note Non Call	<u> </u>	D	.	1FE	501,071	105.4940	532,745	505,000	502,803	0	381	0	0	3.875	3.970	FA		19,569	02/01/2012	02/08/2022
36164Q-MS-4	GE CAPITAL INTL Corp Note MW	L	D	_ 2	1FE	281,000	99.9520	280,865	281,000	281,000	0	0	0	0	2.342	2.342	MN	841	3,291	07/08/2016	11/15/2020
44841D-AA-0	HUTCH WHA INT 14 Corp Note Non Call Prv Plc	.	D	.	1FE	199,540	99.6620	199,324	200,000	199,871	٥	154	0	0	1.625	1.704	A0	551	3,250	10/28/2014	10/31/2017
55608P-AE-4	MACQUARIE BK LTD Corp Note Non Call Prv Plc	<u> </u>	D	.	1FE	429,961	100.0060	430,026	430,000	429,997	0	13	0	0	1.650	1.653	MS	1,912	7,095	03/18/2014	03/24/2017
74977E-PZ-0	RABOBANK NED NY Corp Note Non Call	L	D	.	1FE	299,343	99.7890	299,367	300,000	299,835	0	133	0	0	1.700	1.746	MS	1,445	5,100	03/12/2013	03/19/2018
822582-BS-0	SHELL INTL FIN Corp Note MW	L	D	_ 2	1FE	99,455	97.8580	97,858	100,000	99,522	٥	67	0	0	1.875	1.990	MN	266	938	05/05/2016	05/10/2021
822582-BU-5	SHELL INTL FIN Corp Note MW	L	D	_ 2	1FE	199,942	98.8970	197,794	200,000	199,948	٥	6	0	0	1.375	1.385	MS	833	0	09/07/2016	09/12/2019
872882-AC-9	TSMC Global Ltd Corp Note MW 15BP Prv Plc	<u> </u>	D	2	1FE		99.8010	329,343	330,000	329,943	0	45	0	0	1.625	1.639	AO	1,311	5,363	03/27/2013	04/03/2018
961214-00-4	WESTPAC BANKING Corp Note Non Call	L	D	.	1FE			125,359	125,000	124,993	0	4	0	0	1.950	1.953	MN	257	2,438	11/17/2015	11/23/2018
	btotal - Bonds - Industrial and Miscellaneo	us (l	Inaffi	liated) - Is										1							·
	blotal - Bonds - Madstral and Miscellanco ligations	20 (0	uilli	touj - lo		27,073,572	XXX	27.178.679	27.067.000	27.081.143		893			XXX	xxx	xxx	131.141	358.687	XXX	xxx
	First Horizon Alt Mtg FHAMS 2006-FA3 A6 RMBS		_	14	1FM		78.1430	27, 178, 679	150,929	103,053	0	1,306	1 0	, v	6.000			755			07/25/2036
3200 IT-NF-U	IFIISL DUILZUN MIL MLU FRAMO ZUUD-FAO AO HMBO			14	■ IEM	s 33 440	/O 193U														

SCHEDULE D - PART 1

								Snowing All Lor													
1	2	1	Code	es	6	7		air Value	10	11	Change	in Book/Adju	usted Carrying	g Value			Ir	nterest		Da	ites
		3	4	5			8	9			12	13	14	15	16	17	18	19	20	21	22
		120	88			65	1292			7252752	200	7523	Total	113983	25/37	9842	2000	500740			
													Foreign			l I					
			F										Current				l I				
													Current	Exchange							
			0										Year's	Change							
			Г				Rate					Current	Other-	in			I I				
		C	e				Used to			Book/	Unrealized	Year's	Than-	Book/				Admitted			Stated
		0	l i l				Obtain			Adjusted	Valuation	(Amor-	Temporary	Adjusted		Effective		Amount	Amount		Contractual
CUSIP		ď	g	Bond	NAIC	Actual	Fair	Fair	Par	Carrying	Increase/	tization)	Impairment	Carrying	Rate	Rate	When	Due and	Received		Maturity
Identification	Description	u	9	Char		Cost	Value	Value	Value	Value	(Decrease)	,		Value	of		Paid			Assuired	,
	Description	e	n		Des.	Cost	value	value	value	value	(Decrease)	Accretion	Recognized	value	OI	of	Palu	Accrued	During Year	Acquired	Date
	btotal - Bonds - Industrial and Miscellan	eous (U	Jnaffilia	ated) -													l				
Re	esidential Mortgage-Backed Securities					93,446	XXX	117,941	150,929	103,053	0	1,306	0	0	XXX	XXX	XXX	755	8,758	XXX	XXX
	CITIGROUP COMMER CGCMT 2016-GC37 AAB CMBS			4	1FM	102,996	100.5980	100,598	100,000	102,732	0	(264)	0	0	3.098	2.647	MON	258	2,065	04/13/2016	04/10/2049
46590J-AT-4	JPMBB COMMERCIAL JPMBB 2015-C32 A2 CMBS			4	1FM		101.9370	183,487	180,000	184,009	0	(1,111)	0	0	2.816	1.610		422	5,070	10/19/2015	11/15/2048
46631Q-AD-4	JP MORGAN CHASE JPMCC 2007-CB20 A4 CMBS			4	1FM	305,542	101.1370	319,603	316,010	314,252	0	1,258	0	0	5.794	6.315	MON	1,526	18,310	06/10/2008	02/12/2051
46640U-AB-8	JPMBB COMMERCIAL JPMBB 2013-C17 A2 CMBS			4	1FM	216,300	101.5490	213,253	210,000	212,356	0	(1,344)			3.003	2.338	MON	526	6,307	12/18/2013	01/15/2047
90349G-BF-1	UBS-BARCLAYS COM UBSBB 2013-C6 A4 CMBS			4	1FN	208,938	102.3910	204,782	200,000	208,059	٥	(878)	٥	0	3.244	2.539		541	4,325	04/06/2016	04/10/2046
92890P-AF-1	WF-RBS COMMERCIA WFRBS 2013-C14 ASB CMBS		l	4	1FN	103,840	102.5350	102,535	100,000	103,296	0	(544)	0	0	2.977	2.090	MON	248	1,737	04/27/2016	06/15/2046
3499999 Su	btotal - Bonds - Industrial and Miscellan	eous (U	Jnaffili:	ated) -																	
	ommercial Mortgage-Backed Securities	0000 (0	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	atouj		1,123,015	XXX	1,124,258	1,106,010	1,124,704	0	(2.883)	0	0	XXX	XXX	xxx	3.521	37.814	XXX	XXX
	ALLY AUTO RECEIV ALLYA 2015-1 A3 ABS			4	1FE	49,994	100. 2540	50 . 127	50.000	49.997	0	(2,000)	0	0	1.390			31	695	07/15/2015	09/16/2019
03065N-AD-7	AMERICREDIT AUTO AMCAR 2015-3 A3 ABS			4	1FE	109.984	100. 2340	110, 136	110,000	109,993	۵	7	0	0	1.540	1.551		108	1.694	08/04/2015	03/09/2020
03065T-AB-8	AmeriCredit Auto AMCAR 2016-4 A2A ABS			Λ	1FE	49.997	100.0240	50,012	50,000	49,997	٥	0	0	0	1.340	1.346		43	102	10/05/2016	04/08/2020
037680-AA-3	APPALACHIAN CONS AEPWV 2013-1 A1 ABS			γ	1FE	167,990	99.3740	166,939	167,991	167,990	0	1	0	0	2.008	2.007	FA	1.405	3,373	11/06/2013	02/01/2024
12635Y-AB-9	CNH Equipment Tr CNH 2016-C A2 ABS			4	1FE	59,995	99.8510	59,911	60.000	59,995	۵	1	U	0	1.260			, 403	176	09/13/2016	02/18/2020
14041N-FA-4	CAPITAL ONE MULT COMET 2015-A7 A7 ABS			4	1FE	199,996	99.7880	199,576	200,000	199,997	۵	1	U	0	1.450		MON	129	2.900	10/19/2015	08/16/2021
15200W-AB-1	Centerpoint Energy CNP 2012-1 A2 ABS			A	1FE	422,999	101.3740	428,812	423,000	422,990	ر د د د د د د د د د د د د د د د د د د د	3,356	۷	۷	2. 161	2.160	AO	1.929	9,140	01/11/2012	10/15/2021
161571-GP-3	CHASE ISSUANCE T CHAIT 2014-A6 A ABS			4	1FE	249,966	100 . 1140	250 . 285	250,000	249.979	٥		۷	٥	1.260		****	140	3, 150	07/17/2014	07/15/2019
161571-HH-0	CHASE ISSUANCE T CHAIT 2016-A7 A7 ABS			4	1FF	199,983	99.9680	199.936	200,000	199,988	ν		ν	ν	1.260	1.200	MON	94	542	09/06/2016	09/16/2019
17305E-FW-0	CITIBANK CREDIT CCCIT 2016-A1 A1 ABS			4	1FE	499.973	99.5330	497,665	500,000	499,972	U	(2)	ν	ν	1.750	1.751	MON	559		11/29/2016	11/19/2021
254683-BV-6	DISCOVER CARD EX DOENT 2016-A4 A4 ABS			A	1FE	199,983	99.0550	198,110	200,000	199,984	0	1	0	0	1.390	1.396	MON	124	649	09/14/2016	03/15/2022
302583-AD-1	FPL Recovery Funding FPL 2007-A A4 ABS			A	1FE		104. 9660		365.094	375.690	0	(5, 401)	0	0	5.256	3.030	EV	7.995	19.188	06/09/2011	08/01/2021
43814L-AC-3	Honda Auto Recei HAROT 2015-4 A3 ABS			4	1FE	109.985	104. 9000	110,022	110.000	109,991	۵	(0,401)	۵	0	1.230	1.238	MON	, 350	1.353	10/14/2015	09/23/2019
78442G-GG-5	SLM STUDENT LOAN SLMA 2003-4 A5D ABS Prv Pic			4	1FE	556.903	96.1810	540,533	561.996	559.709	۵	158	۵	0	1.713	1.786		455	8.068	05/05/2005	03/15/2033
89231T-AD-2	Toyota Auto Receivables Trust TAOT 2015-C A3 ABS			A	1FE	199,971	100.2500	200,500	200.000	199,986	٥	0	٥ ــــــــــــــــــــــــــــــــــــ	0	1.340	1.350		119	2.680	08/18/2015	06/17/2019
98160V-AB-7	WORLD OMNI AUTOM WOLS 2015-A A2A ABS	'		4	1FE	75,675	100.2000	75,687		75,679	٥	0	٥ ــــــــــــــــــــــــــــــــــــ	0	1.060		MON	36	802	07/22/2015	05/15/2018
98160Y-AD-7	World Omni Auto WOART 2015-B A3 ABS			4	1FE	179,969	100.2810	180,506	180,000	179,983	0	13	0	0	1.490	1.501		119	2,682	10/07/2015	12/15/2020
92914R-AA-0	VOYA CLO LTD VOYA 2014-4A A1 CLO Prv PIc		D.	4	1FE	398.600	99.9520	399.808	400.000	399.066	0	306	0	0	2.381	2.450		2.090	8.383	11/10/2014	10/14/2026
	btotal - Bonds - Industrial and Miscellan	/I	ln offilia	atad) O					400,000				y	y	2.001	£.400	unuu	£,030		117 107 20 14	107 147 2020
		eous (U	mailill	aleu) - O	ulei		vvv						_		VVV	VVV	l vvv			VVV	l vvv
	an-Backed and Structured Securities					4,147,215	XXX	4,101,790	4,103,762	4,110,986	0	(1,532)	0	0	XXX	XXX	XXX	15,448	65,577	XXX	XXX
	tal - Industrial and Miscellaneous (Unaff	5		32,437,248	XXX	32,522,668	32,427,701	32,419,886	0	(2,216)	0	0	XXX	XXX	XXX	150,865	470,836	XXX	XXX		
4899999. To	tal - Hybrid Securities			0	XXX	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0	XXX	XXX		
5599999 Tot	tal - Parent, Subsidiaries and Affiliates E			0	XXX	n	n	0	n	n	0	0	XXX	XXX	XXX	0	0	XXX	XXX		
	btotal - SVO Identified Funds		0	XXX	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0	XXX	XXX			
			457.057		454 400	454.557.55	454 700	٠	(004.077)	Ū	U				•	0 070					
	tal - Issuer Obligations		157,257,144 8,860,327	XXX	154, 128, 787	151,557,000	154,799,080	0	(901,887)	0	0	XXX	XXX	XXX	928,412	2,676,804	XXX	XXX			
	7899999. Total - Residential Mortgage-Backed Securities						XXX	8,831,725	8,518,051	8,800,048	0	(7,471)	0	0	XXX	XXX	XXX	27,252	307,796	XXX	XXX
7999999. Tot	tal - Commercial Mortgage-Backed Sec		1,123,015	XXX	1,124,258	1,106,010	1,124,704	0	(2,883)	0	0	XXX	XXX	XXX	3,521	37,814	XXX	XXX			
8099999. Tot	tal - Other Loan-Backed and Structured		4, 147, 215	XXX	4,101,790	4,103,762	4.110.986	0	(1.532)	0	0	XXX	XXX	XXX	15,448	65.577	XXX	XXX			
	tal - SVO Identified Funds		.,,210	XXX	0	0	.,,	0	(1,302)	0	0	XXX	XXX	XXX	0,440	00,077	XXX	XXX			
8399999 - To						171 007 704	XXX	100 100 500	105 004 000	168.834.818	0	(913,773)	0	0	XXX	XXX	XXX	974.633	0.007.004	XXX	XXX
0399999 - 10	JIdi DUHUS					171.387.701	***	168 . 186 . 560	165,284,823	168.834.818	. 0	(913.7/3)	. 0 1	. 0	_ ^ ^ ^ ^	***	_ ^^^	9/4.633	3.087.991	***	. ***

Schedule D - Part 2 - Section 1 - Preferred Stocks Owned NONE

Schedule D - Part 2 - Section 2 - Common Stocks Owned NONE

		Sho	wing All Lor	ng-Term Bonds and Stocks ACQUIRED During Current Year				
1	2	3	4	5	6	7	8	9
0.0000000000000000000000000000000000000			20220115		250111000000000000000000000000000000000			Paid for Accrued
CUSIP		2002	Date	1 1975/2011 (2 1970/2015/2017 11 1 20 10	Number of Shares	Dictional Support Color	0000 FEBRUARY	Interest and
Identification	Description	Foreign	Acquired	Name of Vendor	of Stock	Actual Cost	Par Value	Dividends
	GNMA Pool AEB170 MBS 4.000% 02/15/44			Goldman Sachs		144,402	134,249	313
	US Treasury Note 1.375% 04/30/20			UBS Financial Services		13,050,825	13,000,000	12,629
	US Treasury Note 1.375% 01/31/21		02/16/2016	Nomura Securities		4,031,107	4,000,000	2,569
	US Treasury Note 1.125% 02/28/21			Jefferys and Company	!	4, 150, 125 3,003,281	4,200,000 3,000,000	2,825
	US Treasury Note 1.000% 10/15/19			Nomura Securities		3,003,526	3,000,000	412
	tal - Bonds - U.S. Governments		107 137 2010	Nomina de de de la constantina della constantina		27.383.266	27.334.249	18,748
	DIST OF COLUMBIA GO Cont Call 5.000% 06/01/29		06/08/2016	JP Morgan Chase		75,350	60,000	10,740
	WASHINGTON ST GO Cont Call 5.000% 08/01/29			CitiGroup	· · · · · · · · · · · · · · · · · · ·	319,488	250,000	1,111
	tal - Bonds - U.S. States, Territories and Possessions					394,838	310,000	1,111
	FORT WORTH TX IN GO Cont Call 4 000% 02/15/30		08/10/2016	Raymond James & Assoc	1	5.744	5.000	0
	FORT WORTH TX IN GO Cont Call 4.000% 02/15/31			Raymond James & Assoc		11.442	10.000	0
64966M-AX-7	NEW YORK NY GO Cont Call 5.000% 08/01/29		06/08/2016	Merrill Lynch		315,078	250,000	556
	tal - Bonds - U.S. Political Subdivisions of States, Territories and Possessions					332,264	265,000	556
130795-RC-3	CALIFORNIA ST ST Rev Bond Cont Call 5.750% 07/01/47		11/03/2016	Jefferys and Company		1,901,645	1,760,000	35,701
	CLEVELAND OH ARP Rev Bond Cont Call 5.000% 01/01/28		02/10/2016	Stifel Nicolaus & Co		137,405	115,000	0
	CLEVELAND OH ARP Rev Bond Cont Call 5.000% 01/01/29			Stifel Nicolaus & Co.		195,850	165,000	آبــــــــــــــــــــــــــــــــــــ
	FHLB Note Non Call 1.125% 06/21/19			Wachovia Bank	<u> </u>	1,299,454 1,796,256	1,300,000 1,800,000	J
	FFC Note Non Call 0.750% 04/18/18		04/07/2016	Wachovia Bank		2,296,872		n
	FHLMC Note Non Call 0.750% 04/09/18		04/06/2016	Wachovia Bank		2.096.703	2,300,000	n
	FHLMC Note Non Call 0.875% 10/12/18		09/15/2016	Barclays Capital Inc			100.000	0
	FNMA Pool AL8132 MBS 4.000% 01/01/43		03/04/2016	Pershing		88,391	82,621	119
	FNMA Pool AS8109 MBS 3.000% 10/01/46		10/05/2016	RBC Capital Markets		102,755	98,907	99
3138WJ-AL-2	FNMA Pool AS8110 MBS 3.000% 10/01/46			Credit Suisse	ļ	103,047	99,099	99
	FNMA Pool BC2478 MBS			Morgan Stanley		156,875	146,057	211
	FNMA Pool BD3732 MBS 3.500% 08/01/46		09/09/2016	Wachovia Bank	·	207,907 207,662	197,040 196,748	249 249
	HARRIS CNTY TX Rev Bond Cont Call 5.000% 08/15/30		06/10/2016	Wachovia Bank Pershing		138.074	110,000	249
	LOUISIANA ST CIT Rev Bond Cont Call 6.750% 06/01/26		10/24/2016	Jefferys and Company		2 186 120	2 000 000	
	LOWER COLORADO R Rev Bond Cont Call 5.000% 05/15/29		06/09/2016	Barclays Group Inc.		12,356	10,000	0
	LOWER COLORADO R Rev Bond Cont Call 5.000% 05/15/30			Barclays Group Inc.		12,307	10,000	0
59447T-GT-4	MICHIGAN ST FIN Rev Bond Cont Call 5.000% 12/01/30			Merrill Lynch		733,452	610,000	0
59447T-GU-1	MICHIGAN ST FIN Rev Bond Cont Call 5.000% 12/01/31			Merrill Lynch		453,880	380,000	0
	OHIO ST WTR DEV Rev Bond Cont Call 5.000% 12/01/20		12/23/2016	Jefferys and CompanyStifel Nicolaus & Co.	·	843,200 1,300,000	800,000 1,300,000	3,111
	OREGON ST DEPT 0 Rev Bond Cont Call 5.00% 04/01/28			Morgan Stanley		1,869,240	1,500,000	25,417
	PENNSYLVANIA ST Rev Bond Cont Call 5.000% 06/01/30		02/11/2016			2,366,300	2,000,000	0
	PENNSYLVANIA ST Rev Bond Cont Call 5.000% 09/01/29			Barclays Group Inc.		44,245	35,000	0
	SAINT LOUIS PARK Rev Bond Cont Call 5.750% 07/01/30			Pershing		746,697	700,000	19,790
	SEATTLE WA MUNI Rev Bond Cont Call 5.000% 04/01/28			CitiGroup		1,597,838	1,270,000	0
	S FL WTR MGMT DI Rev Bond Cont Call 5.000% 10/01/29		01/13/2016	CitiGroup		321, 119	265,000	jō
	S FL WTR MGMT DI Rev Bond Cont Call 5.000% 10/01/30		01/13/2016 01/13/2016	CitiGroup CitiGroup		380 , 145 460 .837	315,000 385,000	ļō
	TRIBOROUGH NY BR Rev Bond Cont Call 5.000% 11/15/30		01/22/2016	CitiGroup		1.618.265	1.305.000	u
	tal - Bonds - U.S. Special Revenues		317 227 2010	VI LI VI VUP		25.774.854	23.455.472	139.795
	AMERICAN HONDA F Corp Note MW 1.700% 09/09/21		09/06/2016	Merrill Lynch	 	25,774,854	23,455,472	109,790
	Americredit Auto AMCAR 2016-4 A2A ABS 1.340% 04/08/20			JP Morgan Chase		49.997	50.000	0
	ANHEUSER-BUSCH Corp Note MW 1.900% 02/01/19			Barclays Group Inc.		59,837	60,000	0
035242-AJ-5	ANHEUSER-BUSCH Corp Note Call MW 2.650% 02/01/21		01/13/2016	Barclays Group Inc.		49,844	50,000	0
	APPLE INC Note Non Call 1.100% 08/02/19			Goldman Sachs		99,900	100,000	0
	BB&T CORPORATION Corp Note Non Call 1.533% 06/15/20			JP Morgan Chase	·	600,000	600,000	0
	BAXALTA INC Corp Note Call MW 2.875% 06/23/20		06/03/2016	Tax Free Exchange		69,982	70,000	894
	ONH Equipment Tr CNH 2016-C A2 ABS			Wachovia Bank		59,995 199,983	60,000	J0
	CISCO SYSTEMS Corp Note MW 1.400% 09/20/19			CitiGroup		249.723	200,000	n
	CITIGROUP COMMER CGCMT 2016-GC37 AAB CMBS 3.098% 04/10/49			CitiGroup		102.996	100.000	215
	CITIBANK CREDIT CCCIT 2016-A1 A1 ABS 1.750% 11/19/21			CitiGroup		499,973	500,000	0
191216-BV-1	COCA-COLA CO/THE Corp Note MW 1.375% 05/30/19		05/25/2016	CitiGroup		99,930	100,000	0
	DAIMLER FINANCE Corp Note MW Prv Plc 2.200% 10/30/21			CitiGroup	ļ	1,499,580	1,500,000	0
	JOHN DEERE CAP Corp Note Non Call 1.250% 10/09/19		09/20/2016	RBC Capital Markets	ļ	99,412	100,000	49
	DISCOVER CARD EX DOENT 2016-A4 A4 ABS 1.390% 03/15/22		09/14/2016	DOMINION Securities Wachovia Bank		199,983	200,000	ļ0
	EL PASO PIPELINE Corp Note Call MW 5.000% 10/01/21			MacNovia Bank Goldman Sachs Asset Managment Goldman Sachs Managment Go		107,658	100,000	1,778
30 143G-AN-0	COLLIMAN SAUTS OF COTP NOTE NOT CALL 1.75/% 12/13/19		12/08/2016	doluman baciis asset managment			900,000	LU

SCHEDULE D - PART 3

Showing All Long-Term Bonds and Stocks ACQUIRED During Current Year

1	2	3	4	5	6	7	8	9				
								Paid for Accrued				
CUSIP			Date		Number of Shares			Interest and				
Identification	Description	Foreign		Name of Vendor	of Stock	Actual Cost	Par Value	Dividends				
437076-BN-1	HOME DEPOT INC Corp Note Call MW 2.125% 09/15/26		09/06/2016	Merrill Lynch		84,068	85,000	0				
	KROGER CO Corp Note MW 1.500% 09/30/19			CitiGroup		199,902	200,000	0				
60871R-AE-0	MOLSON COORS Corp Note MW 1.450% 07/15/19			Merrill Lynch		24,988	25,000	0				
68389X-BK-0	ORACLE CORP Corp Note Call MW 1.900% 09/15/21			JP Morgan Chase		74,870		0				
69353R-FA-1	PNC BANK NA Corp Note Non Call 1.348% 12/07/18		12/06/2016	Morgan Stanley	.	1,100,000	1,100,000	0				
	PACCAR FINL CORP Corp Note Non Call 1.650% 08/11/21			Mitsubishi Bank LTD		14,980	15,000	0				
	PACIFIC GAS&ELEC Corp Note Non Call 1.153% 11/30/17			JP Morgan Chase		1,250,000	1,250,000	0				
713448-DL-9	PEPSICO INC Corp Note Call MW 1.700% 10/06/21			CitiGroup		49,933	50,000	0				
74256L-AX-7	PRINCIPAL LFE II Corp Note Non Call Prv Pic 1.211% 05/21/18		11/14/2016	JP Morgan Chase		1,000,000	1,000,000	0				
742718-EN-5	PROCTER & GAMBLE Corp Note MW 1.850% 02/02/21		01/28/2016	CitiGroup	· -	89,983	90,000	0				
	PUBLIC SERVICE Corp Note Call MW 2.250% 09/15/26		09/07/2016	Wells Fargo	-	34,885	35,000	0				
	SEMPRA ENERGY Corp Note MW 1.625% 10/07/19		10/04/2016	Goldman Sachs		48,950	49,000	0				
88579Y-AU-5	SOUTHERN CO GAS Corp Note Call MW 2.450% 10/01/23		09/08/2016	JP Morgan Chase	-}	59,953 49,974	60,000 50,000					
	3M CO Corp Note Call MW 1.625% 09/19/21		09/14/2016	Morgan Stanley	·	49,974						
	UBS-BARCLAYS COM UBSBB 2013-C6 A4 CNBS 3.244% 04/10/46		04/06/2016	Barclays Group Inc.	·		200,000	180				
913017-CK-3 92890P-AF-1	UNITED TECH CORP Corp Note Non Call 1.236% 11/01/19					1,500,000	100,000					
94988J-5H-6	WF-RBS COMMERCIA WFRBS 2013-C14 ASB CMBS 2.977% 06/15/46		10/01/2016	Wachovia Bank		1.000.000	1.000.000	8				
	BANK OF MONTREAL Corp Note Non Call 1.437% 11/26/18	A	10/07/2016	Harris Nesbitt Corp	·							
	COM BK AUSTRALIA Corp Note Non Call Prv Pic 1.521% 11/07/19	n		JP Morgan Chase		2.000.000	2.000,000	0				
	GE CAPITAL INTL Corp Note MW 2.342% 11/15/20	n		Tax Free Exchange		281.000	281,000	060				
822582-BS-0	SHELL INTL FIN Corp Note MW 2.342.W 11/10/20	D		Morgan Stanley		99,455	100,000					
	SHELL INTL FIN Corp Note MW 1.375% 09/12/19	n		Goldman Sachs	·	199 942	200,000	0				
	otal - Bonds - Industrial and Miscellaneous (Unaffiliated)	<u>u</u>		vorunan vacio		15,524,054	15,505,000	4.093				
8399997. Total						69.409.276	66,869,721	164.303				
8399998. Total	- Bonds - Part 5					112.320	108,209	110				
8399999. Total						69.521.596	66.977.930	164,413				
8999997. Total	- Preferred Stocks - Part 3					0	XXX	0				
8999998. Total	- Preferred Stocks - Part 5						XXX					
8999999. Total	- Preferred Stocks					0	XXX	0				
9799997. Total	- Common Stocks - Part 3					0	XXX	0				
9799998. Total	- Common Stocks - Part 5	ımon Stocks - Part 3										
9799999. Total	- Common Stocks		0	XXX	0							
9899999. Total	- Preferred and Common Stocks					0	XXX	0				
9999999 - Total	is					69,521,596	XXX	164,413				

						_			LL D											
4		2	1 4		Showing All I	Long-Term E	Bonds and Sto	cks SOLD, I							40	47	40	10	20	- 04
1	2	3	4	5	б	1	8	9	10				Carrying Value		16	17	18	19	20	21
										11	12	13	14	15						
												Comment	Total	Total					Bond	
												Current Year's	Total Change in	Foreign	Book/				Interest/	
									Prior Year		Current	Other-	Change in Book/	Exchange in	Adjusted	Foreign			Stock	Stated
									Book/	Unrealized	Year's	Than-	Adjusted	Book/	Carrying	Exchange			Dividends	Con-
CUSIP					Number of				Adjusted	Valuation	(Amor-	Temporary	Carrying	Adjusted	Value at	Gain	Realized	Total Gain	Received	tractual
Identi-		For-	Disposal	Name	Shares of	Con-			Carrying	Increase/	tization)/	Impairment	Value	Carrying	Disposal	(Loss) on	Gain (Loss)	(Loss) on	During	Maturity
fication	Description	eign		of Purchaser	Stock	sideration	Par Value	Actual Cost	Value	Decrease	Accretion	Recognized	1	Value	Date	Disposal	on Disposal	Disposal	Year	Date
noduon	NCUA Guaranteed NGN 2010-C1 APT CMBS	o.g	Buto	or r aronasor	Cloun	ordord::orr	r ur ruide	/ totaar ooot	Yaras	Decrease	Acciction	rtecognized	(11-12-10)	Value	Date	Diopodai	on Biopodai	Diopodai	1001	Butto
62888X-AC-8	2.650% 10/29/20		_08/27/2016 _	Paydown		128,600	128,600	128,345	128,550	0	50	0	50	0	128,600	0	0	0	927	10/29/2020
912828-H2-9	US Treasury Note 0.625% 12/31/16	ļ		Maturity		15,000,000	15,000,000	15,027,003	15,013,768	0	(13,768)	0	(13,768)	0	15,000,000	0	0	0	93,750	
912828-H5-2 912828-VW-7	US Treasury Note 1.250% 01/31/20US Treasury Note 0.875% 09/15/16	ł		Barclays Capital Inc Maturity		13,016,714 5,000,000	13,000,000	12,843,676	12,869,991 5,010,040	<u>0</u>	12,402	0	12,402	0	12,882,394 5,000,000	0	134,321	134,321	133,036 43.750	
	US Treasury Note 0.875% 09/15/16			Maturity		5,000,000	5,000,000 5,000,000	5,040,251 4,989,776	4,996,886	0	(10,040)		(10,040) 3,114		5,000,000				31,250	
912828-XH-8	US Treasury Note 1.625% 06/30/20		03/21/2016	Jefferys and Company		4,252,185	4,200,000	4, 198, 359	4, 198, 518	0	71	0	71	0	4, 198, 589	0	53,596	53,596	15,375	
0599999. S	Subtotal - Bonds - U.S. Governments		_			42,397,499	42,328,600	42,227,410	42,217,753	0	(8, 171)	0	(8,171)	0	42,209,583	0	187,917	187,917	318,088	XXX
	CALIFORNIA ST GO Cont Call 5.000%																			
13063C-UX-6	08/01/30	ł	08/11/2016 _	_Morgan Stanley		1,383,789	1,100,000	1,286,076	1,281,008	0	(10,297)	0	(10,297)	0	1,270,712	0	113,077	113,077	51,486	08/01/2030
5/582H-UX-1	MASSACHUSETTS ST GO Cont Call 5.000% 0//01/30	l	06/09/2016 _	US Hank		144,222	115,000	133,918	133,165	n	(/53)	n	(/53)	n	132,412	n	11,809	11,809	5,239	0//01/2030
Orobert DX 1	MICHIGAN ST GO Cont Call 5.000% 05/01/18	1	1.207 037 2010 1.	- CO Dain							(100)		(100)		102,412		11,000			
594610-M8-7			05/01/2016 _	Call 100.0000		2,000,000	2,000,000	2,121,020	2,005,438	0	(5,438)	0	(5,438)	0	2,000,000	0	0	0	50,000	05/01/2018
	MISSISSIPPI ST GO Non Call 5.000%									_		_		_		_				
605580-7R-4	10/01/17	ļ	12/02/2016 _	CitiGroup		1,657,596	1,605,000	1,910,544	1,698,118	0	(49,353)	0	(49,353)	0	1,648,764	0	8,832	8,832	94,963	10/01/2017
1799999. 5	Subtotal - Bonds - U.S. States, Territo	ories a	and Possess	Sions		5,185,607	4,820,000	5,451,558	5,117,729	0	(65,841)	0	(65,841)	0	5,051,888	0	133,718	133,718	201,688	XXX
220245-WL-4	CORPUS CHRISTI T Rev Bond Cont Call 5.000% 07/15/31		06/08/2016	HILLTOP SECURITIES		121,580	100,000	112.006	111.562	٥ .	(463)	0	(463)	0	111.099	0	10.481	10,481	4.750	07/15/2031
31283K-4T-2	FHLMC Pool G11734 MBS 5.000% 05/01/20		12/01/2016	Paydown		19,346	19,346	19,382	19,342	0	4	0	4	0	19,346	0	0	0,401	501	05/01/2020
3128MC-JR-7	FHLMC Pool G13672 MBS 5.000% 12/01/21	ļ	12/01/2016	Paydown		330,578	330 , 578	353,460	344,857	0	(14,279)	0	(14,279)	0	330,578	0	0	0	7,882	
3128MM-BQ-5	FHLMC Pool G18046 MBS 5.500% 03/01/20	ł	12/01/2016	Paydown		47,620	47,620	48,871	48,140	0	(520)	0	(520)	0	47,620	0	0	0	1,450	
312971-Z7-2 312972-CL-4	FHLMC Pool B18866 MBS 5.500% 03/01/20 FHLMC Pool B19075 MBS 5.000% 04/01/20		12/01/2016 _ 12/01/2016	Paydown Paydown		39,010 16,568	39,010 16,568	40,021 16,441	39,429	ار	(420) 75	l0	(420)		39,010 16,568	u			1,046 374	
312972-NM-0	FHLMC Pool B19396 MBS 5.000% 05/01/20	1	112/01/2016	Paydown		8,351	8,351	8,367	8.349	0	2	0	2	0	8.351	0	0	0	199	05/01/2020
3132HM-WL-1	FHLMC Pool Q11551 MBS 3.500% 09/01/42		12/01/2016	Paydown		128,673	128,673	137 ,037	136,633	0	(7,960)	0	(7,960)	0	128,673	0	0	0	2,855	
3132JA-VC-6	FHLMC Pool Q19210 MBS 4.000% 06/01/43	ļ	12/01/2016 _	Paydown		58,516	58,516	60,239	60,174	0	(1,658)	0	(1,658)	0	58,516	0	0	0	1,431	
31335H-QJ-5 3136AC-RC-7	FHLMC Pool C90457 MBS 6.500% 07/01/21 FNNA 2013-15 QD CMO 3.000% 12/25/38	┨	12/01/2016 _ 12/01/2016 _	PaydownPaydown		1,615 65,122	1,615 65,122	1,618	1,613	⁰	2	⁰	2	0	1,615 65,122	0		0	1.164	12/25/2038
31371M-CA-3	FNMA Pool 255765 MBS 5.000% 07/01/20		12/01/2016	Paydown		26,553	26,553	26, 192	26,329	0	224	0	224	0	26,553	0	0	0		07/01/2020
31376K-A5-5	FNMA Pool 357428 MBS 4.500% 09/01/18		12/01/2016 _	Paydown		43,483	43,483	46,452	44,632	0	(1, 150)	0	(1, 150)	0	43,483	0	0	0	1,016	09/01/2018
3137EA-DS-5	FHLMC Note Non Call 0.875% 10/14/16		10/14/2016 _	Maturity		10,000,000	10,000,000	9,998,500	9,999,619	0	381	0	381	0	10,000,000	0	0	0	87,500	
3138A5-ZL-9 3138AC-AQ-0	FNMA Pool AH4346 MBS 3.500% 02/01/26 FNMA Pool AH9914 MBS 3.500% 04/01/26		12/01/2016	Paydown Paydown Paydown		401,644 382,955	401,644 382,955	420,848	416,250 390,985	<u>0</u>	(14,607)	ļ0	(14,607)	0	401,644 382,955	0	0	0	7,805 7.234	
3138MK-4P-8	FNMA Pool AQ4429 MBS 3.500% 04/01/20		12/01/2016	Paydown		20,018	20,018	21.047	21,029	0	(1,011)	0	(1,011)	0	20,018	0	0			11/01/2042
3138W9-MT-4	FNMA Pool AS0369 MBS 4.500% 09/01/43		12/01/2016	Paydown		120,581	120,581	127,759	127,631	0	(7,050)	0	(7,050)	0	120,581	0	0	0	2,628	
3138W9-TV-2	FNMA Pool AS0563 MBS 4.500% 09/01/43	ļ	12/01/2016	Paydown		326,488	326,488	348,016	347,440	0	(20,953)	0	(20,953)	0	326,488	0	0	0	8,522	
3138WD-5T-4	FNMA Pool AS4457 MBS 3.500% 02/01/45 FNMA Pool AU1269 MBS 3.000% 07/01/28	ļ	12/01/2016	Paydown		199,510	199,510	209,704	209,545	0	(10,035)	ō	(10,035)	0	199,510	0	0	0	4,278	
3138X0-MT-2 31407N-FK-4	FNMA Pool AU1269 MBS 3.000% 07/01/28 FNMA Pool 835470 MBS 5.000% 09/01/20	l	12/01/2016 _ 12/01/2016 _	Paydown Paydown		142,676 24,061	142,676 24,061	146,588	146,083 23,836	l0	(3,407)	J	(3,407)		142,676 24,061	 n	<mark>0</mark>	u	2,092 585	07/01/2028 09/01/2020
31416W-MM-1	FNMA Pool AB1263 MBS 4.500% 12/01/20		12/01/2016	Paydown		230,845	230,845	246,427	239,590	0	(8,745)	0	(8,745)	0	230,845	0	0	0	4,883	
31417Y-WJ-2	FNMA Pool MA0648 MBS 3.500% 02/01/26		12/01/2016	Paydown		33,849	33,849	35,443	35,053	0	(1,204)	0	(1,204)	0	33,849	0	0	0	648	02/01/2026
COACIE DU C	MICHIGAN ST BLDG Rev Bond Cont Call	l	00 (00 (0010	F: 4.T		100 440	105 000	454 004	454 405		/000	_	(000)		150 700		10.077	10.077		04/15/0004
594615-BN-5	5.000% 04/15/34 NEW JERSEY ST EC Rev Bond Cont Call	l	06/09/2016 _	First Tennessee	†	163,443	135,000	151,884	151,405	l ⁰	(639)	l ⁰	(639)	0	150,766	0	12,677	12,677	4,481	04/15/2034
645918-T8-6	5.000% 03/01/25	L	01/13/2016 _	Merrill Lynch		510,458	465,000	512,291	501,831	L0	(221)	0	(221)	0	501,610	0	8,849		8.913	03/01/2025
	NEW YORK CITY NY Rev Bond Cont Call							•							·				•	
64972H-WT-5	5.000% 07/15/29	ļ	08/11/2016 _	Pershing		69, 148	55,000	63,968	63,572	0	(488)	0	(488)	0	63,084	0	6,065	6,065	3,140	07/15/2029
75010T BI 5	REGL TRANSPRTN D Rev Bond Cont Call 5.000% 06/01/30	l	06/00/0010	Harden Stanley		243.440	200, 200	005 000	005 004		/1 005	_	/1 0051		004 005		10 405	10 405	E 004	06 (04 (0000
75913T-JN-5	UNIV OF TEXAS TX Rev Bond Cont Call	l	06/09/2016	Morgan Stanley		243,440	200,000	225,892	225,061	} ⁰	(1,025)	} ⁰	(1,025)		224,035	0	19,405	19,405	5,361	06/01/2030
915137-3E-1	5.000% 08/15/21	<u> </u>	_12/02/2016 _	RBC Capital Markets		879, 120	800,000	940,104	870,336	0	(15,228)	0	(15,228)	0	855, 108	0	24,012	24,012	52,444	08/15/2021
	Subtotal - Bonds - U.S. Special Rever	nues				14,655,251	14,423,062	14,804,390	14,693,648	0	(119,886)	0	(119,886)	0	14,573,764	0	81,489	81,489	224,346	XXX
	ALLY AUTO RECEIV ALLYA 2013-2 A3 ABS				I								,,			_				
02006M-AC-5	0.790% 01/15/18		10/15/2016	Paydown		227 , 818	227,818	227,809	227,815	0	3	0	3	0	227,818	0	0	0	777	01/15/2018
027600 AA 2	APPALACHIAN CONS AEPWV 2013-1 A1 ABS	l	00/01/2016	D d	I	24 401	24 401	24 401	24 401		I .	l .			24 401				070	02/01/2024

					Showing All L	ong-Term B	onds and Sto	ocks SOLD. I	REDEEMED	or Otherwis	se DISPOS	ED OF Dur	ina Current	Year						
1	2	3	4	5	6	7	8	9	10				Carrying Value		16	17	18	19	20	21
										11	12	13	14	15						
											10000			Total					D 1	
												Current Year's	Total Change in	Foreign Exchange	Book/				Bond Interest/	
									Prior Year		Current	Other-	Book/	Change in	Adjusted	Foreign			Stock	Stated
									Book/	Unrealized	Year's	Than-	Adjusted	Book/	Carrying	Exchange			Dividends	Con-
CUSIP		_	D: 1		Number of	0			Adjusted	Valuation	(Amor-	Temporary	Carrying	Adjusted	Value at	Gain	Realized	Total Gain	Received	tractual
Identi- fication	Description	For-		Name of Purchaser	Shares of Stock	Con- sideration	Par Value	Actual Cost	Carrying Value	Increase/ Decrease	tization)/ Accretion	Impairment Recognized	Value (11+12-13)	Carrying Value	Disposal Date		Gain (Loss) on Disposal	(Loss) on Disposal	During Year	Maturity Date
lication	BAXALTA INC Corp Note Call MW Prv Pic	cigii	Date	OF Fulcilasei	Stock	Sideration	i ai vaiue	Actual Cost	value	Decrease	Accietion	Recognized	(11+12-13)	value	Date	Dispusai	UII Dispusai	Dispusai	I Cai	Date
07177M-AC-7	2.875% 06/23/20	-	06/03/2016 _	Tax Free Exchange		69,982	70,000	69,978	69,980	0	2	0	2	0	69,982	0	0	0	894	06/23/2020
07388L-AE-0	Bear Stearns BSCMS 2006-PW13 A4 CMBS 5.540% 09/11/41		06/01/2016 _	Paydown			387,119	438,382	394,576	0	(7,457)	0	(7,457)	0	387,119	0	0	0	8,748	09/11/2041
	COMM MORTGAGE TR COMM 2013-CR10 A4 CMBS					•		-												
12626B-AD-6	4.210% 08/10/46	-	12/01/2016	CitiGroup		188,781	175,000	180,241	179, 129	0	(462)	0	(462)	0	178,667	0	10, 115	10,115	7,470	08/10/2046 .
172967-GG-0	01/15/16	ļ	01/15/2016 _	Maturity		51,000	51,000	50,871	50,998	0	2	0	2	0	51,000	0	0	0	319	01/15/2016 _
25179M-AT-0	DEVON ENERGY Corp Note Call MW 2.250% 12/15/18		08/19/2016 _	Redemption 101.9560		509,780	500,000	498,830	499,290	n	1/10	n	148	0	499,437	n	10,343	10,343	7,625	12/15/2018
	FPL Recovery Funding FPL 2007-A A4 ABS	1																		1
302683 AD 1	6.266% 08/01/21 First Horizon Alt Mtg FHAMS 2006-FA3 A6 RMBS	s	08/01/2016 _	Paydown	†	108,296	108,296	123,173	113,040	0	(4,745)	0	(4,745)	0	108,295	0	0	0	4,206	08/01/2021 _
32051H-AF-0	6.000% 07/25/36]	12/01/2016	Paydown		28,078	35,058	21,705	23,634	0	9,177	0	9,177	0	32,811	0	(4,733)	(4,733)	1,448	07/25/2036 .
34530T-AB-0	FORD CREDIT AUTO FORDL 2015-A A2A ABS 0.790% 12/15/17		12/15/2016	Paydown		151,281	151,281	151,280	151,280	0	1 1	0	1	0	151,281	0	0	0	673	12/15/2017
	GENERAL MILLS IN Corp Note MW 7.5BP	1													-					
370334-BN-3	0.875% 01/29/16	-	01/29/2016	Maturity		130,000	130,000	129,977	129,999	0	1	0	1	0	130,000	0	0	0	569	01/29/2016 .
46631Q-AD-4	5.794% 02/12/51	.	12/01/2016 _	Paydown		125,812	125,812	121,644	124,611	0	1,201	0	1,201	0	125,812	0	0	0	6,114	02/12/2051
48127H-AA-7	JPMORGAN CHASE Corp Note Non Call 2.200% 10/22/19		12/01/2016	Morgan Stanley		200,392	200,000	199,576	199,673	0	77	0	77	0	199,750	0	642	642	4,938	10/22/2019
	Juniper Networks Corp Note MW 15BP PPut									v	'				-			J-12		
48203R-AE-4	3.100% 03/15/16 LABORATORY CORP Corp Note MW 25BP PPut	-	03/15/2016 _	Maturity		40,000	40,000	39,931	39,997	0	3	0	3	0	40,000	0	0	0	620	03/15/2016 _
50540R-AH-5	3.125% 05/15/16	.	05/15/2016 _	Maturity		55,000	55,000	54,915	54,994	0	6	0	6	0	55,000	0	0	0	859	05/15/2016
69371R-L2-0	PACCAR FINL CORP Corp Note Non Call 0.800% 02/08/16		02/08/2016	Maturity		35,000	35,000	34,952	34,998	0	9	١ ،	,	0	35,000	0	0	0	140	02/08/2016
1	PHILLIPS 66 Corp Note MW 35BP 4.300%	-		maturity				04,302											140	0270072010 _
718546-AC-8	.04/01/22 SLM STUDENT LOAN SLMA 2003-4 A5D ABS Prv Pic		12/02/2016	SG Cowen and Company		376,579	350,000	349,239	349,463	0	71	0	71	0	349,534	0	27,045	27,045	17,809	04/01/2022
78442G-GG-5	1.713% 03/15/33	1	12/15/2016	Paydown		69,036	69,036	68,410	68,736	0	300	0	300	0	69,036	0	0	0	587	03/15/2033
790849-AH-6	ST JUDE MEDICAL Corp Note MW 15BP 2.500% 01/15/16		01/15/2016 _	Maturitu		160,000	160,000	159,851	159,999		١,		١,		160,000	0			2,000	01/15/2016
790049-NT-0	WORLD OMNI AUTOM WOLS 2015-A A2A ABS	1	10/2010	- maturity		100,000	100,000		109,999	V					100,000			v	2,000	
98160V-AB-7	1.060% 05/15/18	.	12/15/2016 _	Paydown		74,319	74,319	74,312	74,317	0	2	0	2	0	74,319	0	0	0	515	05/15/2018 _
06425Y-AE-9	Bank of England Corp Note Non Call Prv Plc 0.500% 03/21/16	. D	03/21/2016	Maturity		365,000	365,000	364,869	364,990	0	10	0	10	0	365,000	0	0	0	913	03/21/2016 .
36164N-FF-7	GE CAPITAL INTL Corp Note MW Prv Pic 2.342% 11/15/20	l _D	07/08/2016	Tax Free Exchange		281,000	281,000	281,000	281,000	0	0	0	Δ.	0	281,000	n	0	0	4,607	11/15/2020
	Kommunalbanken Corp Note Non Call Prv Plc			Jiax 1100 Exchange									L							
50048M-BL-3	0.875% 10/03/16 Korea Finance Corp Note Non Call 3.250%	. D	10/03/2016	Maturity		265,000	265,000	264,359	264,837	0	163	0	163	0	265,000	0	0	0	2,319	10/03/2016 .
50065T-AB-9	09/20/16	D	09/20/2016 _	Maturity		175,000	175,000	174,783	174,972	0	28	0	28	0	175,000	0	0	0	5,688	09/20/2016
	Subtotal - Bonds - Industrial and Misc	cellan	eous (Unaffi	liated)		4,098,763	4,055,229	4,104,578	4,056,819	0	(1,466)	0	(1,466)	0	4,055,352	0	43,412	43,412	80,210	XXX
	Fotal - Bonds - Part 4		66,337,120 112,966	65,626,891	66,587,936	66,085,949	0	(195,364)	0	(195,364)	0	65,890,587	0	446,536	446,536	824,332	XXX			
	9998. Total - Bonds - Part 5 9999. Total - Bonds						108,209 65,735,100	112,320 66,700,256	66,085,949	0	(4, 130) (199, 494)	0	(4, 130) (199, 494)	0	108,191 65,998,778	0	4,775 451,311	4,775 451,311	2,804 827,136	XXX
	997. Total - Preferred Stocks - Part 4						XXX	00,700,200	0,000,949	0	(133,434)	0	(133,434)	0	05,550,776	0	401,011	0	027,100	XXX
8999998.	9998. Total - Preferred Stocks - Part 5						XXX													XXX
	99999. Total - Preferred Stocks						XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX
	99997. Total - Common Stocks - Part 4 99998. Total - Common Stocks - Part 5						XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX
	19998. Total - Common Stocks - Part 5 19999. Total - Common Stocks						XXX	0	0	n	0	n	n	n	0	n	0	0	n	XXX
	Total - Preferred and Common Stocks	S				0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX
9999999 -						66.450.086	XXX	66,700,256	66.085.949	0	(199,494)	0	(199,494)	0	65,998,778	0	451.311	451.311	827.136	XXX

9999999 - Totals

ANNUAL STATEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

	Charles All Law Tare Book and Charles Application of State Disposers o																			
Showing All Long-Term Bonds and Stocks ACQUIRED During Year and Fully DISPOSED OF D																				
1	1 2 3 4 5 6 7						8	9	10	11	C	Change in Bo	ok/Adjusted C	Carrying Value	9	17	18	19	20	21
					1						12	13	14	15	16	1				
					1						5657	33374	25526	90000	Total					
					1								Current	Total	Foreign				EE EE STEEL ST	
					1		Par Value						Year's	Change in	Exchange				Interest	
							(Bonds)			Book/		Current	Other-	Book/	Change in	Foreign			and	Paid for
							or			Adjusted	Unrealized	Year's	Than-	Adjusted	Book/	Exchange	Realized		Dividends	Accrued
CUSIP							Number of			Carrying	Valuation	(Amort-	Temporary	Carrying	Adjusted	Gain	Gain	Total Gain	Received	Interest
Identi-		For-	Date		Disposal	Name of	Shares		Consid-	Value at	Increase/	ization)/	Impairment	Valu (12 +	Carrying	(Loss) on	(Loss) on	(Loss) on	During	and
fication	Description	eign	Acquired	Name of Vendor	Date	Purchaser	(Stock)	Actual Cost	eration	Disposal	(Decrease)	Accretion	Recognized	13 - 14)	Value	Disposal	Disposal	Disposal	Year	Dividends
	GNMA Pool AE8170 MBS 4.000% 02/15/44	Ť			1		, <u> </u>				, , , , , , , , , , , , , , , , , , ,		Ĭ	<i></i>						
36181C-CF-3			03/10/2016	Goldman Sachs	12/01/2016	Paydown	31,201		31,201	31,201	0	(2,360)	0	(2,360)	0	0	0	0	557	73
0599999.	Subtotal - Bonds - U.S. Governme	nts					31,201	33,561	31,201	31,201	0	(2,360)	0	(2,360)	0	0	0	0	557	73
3138ET-BA-3	FNMA Pool AL8132 MBS 4.000% 01/01/43		03/04/2016	D. N	12/01/2016		16.099	17.223	16.099	16,099		(1 124)		(1 124)					292	
3138E1-BA-3	FNMA Pool AS8109 MBS 3.000% 10/01/46		03/04/2016	Persning	12/01/2016 .	Paydown	16,099	17,223	16,099	16,099	^y	(1,124)	u	(1, 124)	0	لا			292	23
3138WJ-AK-4	THEM TOUT ASSIGN HIS 3.000% 10/01/40		10/05/2016	RBC Capital Markets	12/01/2016	Paydown	849	882	849	849	0	(33)	0	(33)	0	۱ ،	0	0	3	1
OTOGIO TIK 4 2.2	FNMA Pool AS8110 MBS 3.000% 10/01/46			The supriture markets	1							(00)								
3138WJ-AL-2			10/05/2016	Credit Suisse	12/01/2016	Paydown	756	786	756	756	0	(30)	0	(30)	0	0	0	0	3	1
	FNMA Pool BC2478 MBS 4.000% 02/01/46				l						_		_		_		_	_		_
3140EW-XG-5	HNMA Pool BU3/32 MBS 3.500% 08/01/46		03/04/2016 .	Morgan Stanley	12/01/2016 _	Paydown	3,713	3,988	3,713	3,713	0	(275)	0	(275)	0	۵	0	0	62	5
3140FB-EE-6	Frem F001 BD3/32 MB3 3.300% 00/01/40		09/09/2016	Wachovia Bank	12/01/2016	Paydown	2,624	2,769	2,624	2,624	0	(145)	0	(145)	0	0	0	0	18	3
	FNMA Pool BD3733 MBS 3.500% 08/01/46				1			, , , ,												
3140FB-EF-3					12/01/2016 .	Paydown	2,967		2,967	2,967	0	(165)	0	(165)	0	٥	0	٥	20	4
3199999.	Subtotal - Bonds - U.S. Special Re	evenu	es				27,008	28,779	27,008	27,008	0	(1,772)	0	(1,772)	0	0	0	0	398	37
	CONOCOPHIL CO Corp Note Call MW											_			_					
	4.950% 03/15/26			Mizuho Investor Sec Co	12/02/2016 .	_JP Morgan Chase	50,000		54,757	49,982	0	2	0	2	0	0	4,775	4,775		0
	Subtotal - Bonds - Industrial and M	liscell	aneous (Ur	naffiliated)			50,000		54,757	49,982	0	2	0	2	0	0	4,775			0
8399998. Total - Bonds 108,209								112,320	112,966	108,191	0	(4, 130)	0	(4, 130)	0	0	4,775	4,775	2,804	110
8999998. Total - Preferred Stocks								0	0	0	0	0	0	0	0	0	0	0	0	0
9799998. Total - Common Stocks								0	0	0	0	0	0	0	0	0	0	0	0	0
9899999. Total - Preferred and Common Stocks							0	0	0	0	0	0	0	0	0	0	0	0	0	
								 			 	 			 	 	ł			
		l	 	-	·}			 			 	 		l		 	····			
		l	t		·			†			†	†		l	l	t	†			
	1	l	1	1		1	·	1			†	†		·	t	1	1	l	T	

Schedule D-Part 6-Section 1-Valuation of Shares of Subsidiary, Controlled or Affiliated Companies **NONE**

Schedule D - Part 6 - Section 2
NONE

Showing All SHORT-TERM	INVESTMENTS Owned December 31 of Current Year

					SHOW	IIII AII ƏH	ORI-IERM	INVESTIVIE	M 12 Owne	u Decembe	a or curr	ent real								
1	2	Co	des	5	6	7	8	Change	in Book/Adj	usted Carryin	g Value	13	14			Intere	est			21
		3	4	1				9	10	11	12			15	16	17	18	19	20	i
			200					51362	10000	*****	Total			98/98	1000	2000	100000	1,000	SEEST	i
										Current	Foreign			Amount Due						i
										Year's	Exchange			and Accrued						i
		1							Current	Other-	Change in			Dec. 31 of						i
OLIGID		1					Book/	Unrealized	Year's	Than-	Book/			Current	Non-				Amount	D :16
CUSIP		1	F	D-4-			Adjusted	Valuation	(Amor-	Temporary	Adjusted			Year on	Admitted	Б.	Effective		Received	Paid for
Identi-	Description	Codo	For-	Date	Name of Vander	Maturity	Carrying Value	Increase/	tization)/	Impairment	Carrying	Dor Value	Actual Cost	Bonds not	Due and	Rate	Rate	When	During	Accrued
fication	Description	Code	eign	Acquired	Name of Vendor	Date	value	(Decrease)	Accretion	Recognized	Value	Par value	Actual Cost	in Default	Accrued	01	of	Paid	Year	Interest
	otal - U.S. Government Bonds						0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	otal - All Other Government Bonds		D 1				0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	otal - U.S. States, Territories and Po		is Bonds	5			0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	otal - U.S. Political Subdivisions Bor						0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	otal - U.S. Special Revenues Bonds			10 (00 (0010	W:	10/01/0017	15 410 175	0	0	0	0	0	15 410 175	0	0	0.000	XXX	XXX	150 776	0
	UHC Liquidity Pool Pro Rata Share Portion Subtotal - Bonds - Industrial and Misc	ollopoou		12/30/2016		_12/31/2017	15,418,175 15,418,175	u	<u>U</u>		0	<u>V</u>	15,418,175			XXX	XXX	XXX	150,776	<u></u>
	otal - Industrial and Miscellaneous (er Obligations		10,110,110	0	0	0	0	0	15,418,175	0	0	XXX	XXX	XXX	150,776 150,776	0
	otal - Industrial and Miscellaneous (i otal - Hybrid Securities	Unamiliate	ea) Bond	ıs			15,418,175	0	0	0	0	0	15,418,175	0	0	XXX	XXX	XXX	150,776	0
	otal - Hybrid Securilles otal - Parent, Subsidiaries and Affilia	atoc Bond	te				0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	Subtotal - SVO Identified Funds	ates bond	15				0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	otal - Issuer Obligations						15.418.175	0	0	0	0	0	15,418,175	0	0	XXX	XXX	XXX	150.776	0
	otal - Residential Mortgage-Backed	Socurition	<u> </u>				10,418,1/0	0	0	0	0	0	10,418,170	0	0	XXX	XXX	XXX	150,776	0
	otal - Commercial Mortgage-Backed						0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	otal - Other Loan-Backed and Struc						0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
	otal - SVO Identified Funds	luleu Sec	unues				0	0	0	0	0	0	0	0	0	XXX	XXX	XXX	0	0
8399999. T							15 440 475	0	0	0	0	0	15.418.175	0	0	XXX	XXX	XXX	150.776	0
	otal - Parent, Subsidiaries and Affilia	atec					15,418,175	U	0	0	0	XXX	10,418,1/5	U	0	XXX	XXX	XXX	150,776	0
	TD Bank Deposit Sweep	en en		12/01/2016	TD Dk	XXX	456.925	0	0	0	0	~~~	456.925	0	0	0 000	0.000	^^^	661	0
	TD Bank Deposit Sweep	JU			TD Bank	XXX	250,424		۷			۷	250,424			0.000	0.000		001	,
	Northern Inst Ins-Treasury Port			12/01/2016		XXX	10 .502 .206	١	U	٨	ار	۸	10.502.206	U	ν	0.000	0.000	l	4.714	
	ubtotal - Exempt Money Market Mut	ual Funde	s - as Ida				11.209.555	n		n	n	XXX	11.209.555		n	XXX	XXX	XXX	5,737	<u></u>
0100000		uai i ulius	3 - a3 lut	chanca by a	0.010		26 627 720	0	0	0	0	YYY	26 627 720	0	0	YYY	YYY	YYY	156 519	<u>_</u>

Schedule DB - Part A - Section 1 - Options, Caps, Floors, Collars, Swaps and Forwards Open NONE

Schedule DB - Part A - Section 2 - Options, Caps, Floors, Collars, Swaps and Forwards Terminated **NONE**

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

NONE

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made **NONE**

Schedule DB - Part B - Section 2 - Futures Contracts Terminated NONE

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open NONE

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

NONE

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

Schedule DL - Part 1 - Reinvested Collateral Assets Owned NONE

Schedule DL - Part 2 - Reinvested Collateral Assets Owned **NONE**

SCHEDULE E - PART 1 - CASH

1	2	3	4	5	6	7
		9_000000000000000000000000000000000000	Amount of Interest			
I PARTO DE PROTESTA	Manager and	Rate of		Accrued December 31		
Depository	Code	Interest	Year	of Current Year	Balance	*
JP Morgan Chase New York, NY					(5,604,108)	XXX
PNC Bank Pittsburg, PA					(744,714)	.XXX
0199998 Deposits in depositories which do not exceed the allowable limit in any one depository (See instructions) - open depositories	XXX	XXX				xxx
					(0.040.000)	
0199999. Totals - Open Depositories	XXX	XXX	0	0	(6,348,822)	XXX
0299998 Deposits in depositories which 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	XXX
0399999. Total Cash on Deposit	XXX	XXX	0	0	(6,348,822)	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX		XXX
						.
						.
						.
						
						
						
						ļ
						ļ
						
0599999 Total - Cash	XXX	XXX	0	0	(6,348,822)	XXX

TOTALS OF DEPOSITORY BALANCES ON THE LAST DAY OF EACH MONTH DURING THE CURRENT YEAR

TOTALS OF DEFOSITORY BALANCES ON THE EAST DAT OF LACTIMONTH BORING THE CORRECT TEAR													
1. Jar	nuary	6,110,744	4.	April	9,797,359	7.	July	6,882,081	10.	October	7,481,123		
2. Fe	bruary	7,598,942	5.	May	8,857,472	8.	August	7,227,018	11.	November	6,557,661		
3 Ma	arch 1	5 797 130	6	June	5 401 949	9	September	5 199 980	12	December	6 348 822		

8699999 - Total Cash Equivalents

SCIEDOLL L-FA				LIVIO			
Show Investmen	ts Owne	ed December 31 of C	Current Year				
1 Description	2 Code	3 Date Acquired	4 Rate of Interest	5 Maturity Date	6 Book/Adjusted Carrying Value	7 Amount of Interest Due and Accrued	8 Amount Received During Year
	I						
							
						·	·
				_		_	
	L						
		-					
	·						
						 	
		······	I				
	l				 		
						 	
					l	t	t

SCHEDULE E - PART 3 - SPECIAL DEPOSITS

			1	DULE E - PART 3 - SPE		s For the	All Other Special Deposi		
			Type of	900	3 Book/Adjusted	4	5 Book/Adjusted	6	
	States, Etc.	AL	Deposit	Purpose of Deposit	Carrying Value	Fair Value	Carrying Value	Fair Value	
1. 2.	Alaska								
3.	Arizona								
4.	Arkansas	AR							
5.	California								
6.	Colorado								
7.	Connecticut	СТ							
8.	Delaware	DE							
9.	District of Columbia	DC							
10.	Florida	FL	ļ						
11.	Georgia								
12.	Hawaii	HI							
13.	ldaho								
14.	Illinois	JL							
15.	Indiana	IN							
16. 17.	lowa Kansas	IA KS	·						
17.	Kentucky	KY	·····						
19.	Louisiana		 						
20.	Maine								
21.	Maryland								
22.	Massachusetts								
23.	Michigan		ļ						
24.	Minnesota								
25.	Mississippi	MS							
26.	Missouri	MO							
27 .	Montana	MT							
28.	Nebraska		ļ						
29.	Nevada								
30.	New Hampshire		ļ		407 070 000	407 075 000			
31.	New Jersey		0	Multiple	137,972,960	137,975,666	8,454,673	8,454,673	
32.	New Mexico								
33. 34.	New York North Carolina								
	North Dakota		l						
	Ohio	OH							
37.	Oklahoma								
38.	Oregon								
39.	Pennsylvania								
40.	Rhode Island	RI							
41.	South Carolina	SC	ļ						
42.	South Dakota	SD							
43.	Tennessee	TN							
44.	Texas		 						
45.	Utah				 				
46.	Vermont		 						
47.	Virginia								
48.	Washington		 						
	West Virginia								
	Wisconsin		 						
51. 52.	American Samoa		·····						
52. 53.	Guam		·····						
55. 54.	Puerto Rico		<u> </u>						
55.	U.S. Virgin Islands								
56.	Northern Mariana Islands								
	Canada								
	Aggregate Alien and Other		XXX	xxx	0	0	0	0	
59.	Subtotal		XXX	XXX	137,972,960	137,975,666	8,454,673	8,454,673	
	DETAILS OF WRITE-INS								
5801.			 						
			 						
			ļ						
	Summary of remaining write-	ins for							
5898.									
	Line 58 from overflow page Totals (Lines 5801 thru 5803		XXX	xxx	0	0	0	0	

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Schedule DB - Part D - Section 1	
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HEALTH ANNUAL STATEMENT

FOR THE YEAR ENDED DECEMBER 31, 2016 OF THE CONDITION AND AFFAIRS OF THE

Oxford Health Plans (NJ), Inc.

NA	IC Group Code 0707 (Current)	(Prior)	le <u>95506</u> Employer's ID	
Organized under the Laws of	of New	Jersey,	State of Domicile or Port of Ent	try NJ
Country of Domicile		United States	of America	
Licensed as business type:		Health Maintenan	ce Organization	
Is HMO Federally Qualified?	? Yes[] No[X]			
Incorporated/Organized	04/17/1985		Commenced Business	09/12/1985
Statutory Home Office	170 Wood Aven	ue, Floor 3,		Iselin , NJ, US 08830
	(Street and N	lumber)	(City or	Town, State, Country and Zip Code)
Main Administrative Office		4 Research Dri		
	Shelton , CT, US 06484			203-447-4500
(City	or Town, State, Country and Zip	Code)	(Ar	ea Code) (Telephone Number)
Mail Address	4 Research Drive, 5th (Street and Number or F		(City or	Shelton , CT, US 06484 Town, State, Country and Zip Code)
Dimenul costion of Dealer	•	•		romi, cate, country and 2p code/
Primary Location of Books a	and Records	(Street and	ive, 5th Floor Number)	
(City	Shelton , CT, US 06484 or Town, State, Country and Zip	Code)	(Ar	203-447-4500 rea Code) (Telephone Number)
Internet Website Address	or roun, class, country and zip	www.oxfordh	•	
		-	Culti.com	000 447 4444
Statutory Statement Contac	tJoseph	(Name)	1	203-447-4444 (Area Code) (Telephone Number)
	joseph_j_dewey@uhc.com (E-mail Address)	,		203-447-4451 (FAX Number)
	(L-Mail Addicss)	05510		(i Activation)
Presiden	t Paul Owen	OFFIC Marden	Treasurer	Robert Worth Oberrender
	Carmel		Chief Financial Officer	
	M.D., Chief Medical Officer Jacobsen #, Assistant Secretary	OTH Nyle Brent Cotting		William John Golden, Chair
	<u>,</u>	DIRECTORS OF	TRUCTEE	
	John Golden	Paul Owe	n Marden	Sandra Denise Bruce Nichols M.D.
Dennis i	Patrick O'Brien	Randall Harris	on Weinstock	
State of	New Jersey Middlesex	SS:		
all of the herein described statement, together with rel condition and affairs of the in accordance with the NAI rules or regulations requir respectively. Furthermore,	assets were the absolute proper ated exhibits, schedules and expl said reporting entity as of the rep C Annual Statement Instructions e differences in reporting not ro the scope of this attestation by t	ty of the said reporting entity, anations therein contained, an orting period stated above, and and Accounting Practices and elated to accounting practices he described officers also incli	free and clear from any liens nexed or referred to, is a full ar d of its income and deductions it I Procedures manual except to s and procedures, according udes the related corresponding	orting entity, and that on the reporting period stated above, or claims thereon, except as herein stated, and that this did true statement of all the assets and liabilities and of the therefrom for the period ended, and have been completed to the extent that: (1) state law may differ; or, (2) that state to the best of their information, knowledge and belief, a electronic filing with the NAIC, when required, that is an be requested by various regulators in lieu of or in addition
Paul Owen Presid		Carmel (
Subscribed and swom to be	efore me this	uary 2017	a. Is this an original filing b. If no, 1. State the amendme 2. Date filed	ent number
July 28, 2018				

EXHIBIT 2 - ACCIDENT AND HEALTH PREMIUMS DUE AND UNPAID

4	2	2	4	-	C	7
Name of Debtor	1 - 30 Days	31 - 60 Days	61 - 90 Days	Over 90 Days	Nonadmitted	Admitted
	1 - 30 Days	31 - 00 Days	01 - 30 Days	Over 50 Days	Nonaumiteu	Admitted
0199999 Total individuals.						
Group Subscribers:	7E 011				10.040	EO 000
0299998. Premiums due and unpaid not individually listed	75,611				16,249	59,362
0299999. Total group	75,611	0	0	0	16,249	59,362
0399999. Premiums due and unpaid from Medicare entities	1,514,460	89,603	59,339	151,989	708,075	1,107,316
0499999. Premiums due and unpaid from Medicaid entities						
	4 500 074	00.000	FO 000	454 000	704 004	4 400 070
0599999 Accident and health premiums due and unpaid (Page 2, Line 15)	1,590,071	89,603	59,339	151,989	724,324	1,166,678

EXHIBIT 3 - HEALTH CARE RECEIVABLES

1	2	3	4	5	6	7
Name of Debtor	1 - 30 Days	31 - 60 Days	61 - 90 Days	Over 90 Days	Nonadmitted	Admitted
OptumRx	29,399,430	2,056,920	927,536	1,113,190	2,479,294	31,017,783
0199998. Aggregate Pharmaceutical Rebate Receivables Not Individually Listed						
0199999. Total Pharmaceutical Rebate Receivables	29,399,430	2,056,920	927,536	1, 113, 190	2,479,294	31,017,783
0299998. Aggregate Claim Overpayment Receivables Not Individually Listed	747,967	355,896	241,432	4,309,495	3,722,466	1,932,325
0299999. Total Claim Overpayment Receivables	747,967	355,896	241,432	4,309,495	3,722,466	1,932,325
0399998. Aggregate Loans and Advances to Providers Not Individually Listed						
0399999. Total Loans and Advances to Providers	0	0	0	0	0	0
0499998. Aggregate Capitation Arrangement Receivables Not Individually Listed						
0499999. Total Capitation Arrangement Receivables	0	0	0	0	0	0
0599998. Aggregate Risk Sharing Receivables Not Individually Listed						
0599999. Total Risk Sharing Receivables	0	0	0	0	0	0
0699998. Aggregate Other Receivables Not Individually Listed	12,142				12,142	
0699999. Total Other Receivables	12,142	0	0	0	12,142	0
0799999 Gross health care receivables	30,159,539	2,412,816	1,168,968	5,422,685	6,213,902	32,950,108

EXHIBIT 3A - ANALYSIS OF HEALTH CARE RECEIVABLES COLLECTED AND ACCRUED

		Health Care Receivables Collected Health Care Receivables Accrue During the Year as of December 31 of Current Ye			5	6
	1	2	3	4		Estimated Health Care
	On Amounts Accrued	On Amounts Accrued	On Amounts Accrued December 31 of	On Amounts Accrued	Receivables in Prior Years	Receivables Accrued as of December 31
Type of Health Care Receivable	Current Year	During the Year	Prior Year	During the Year	(Columns 1 + 3)	of Prior Year
Pharmaceutical rebate receivables	25,081,417	50,337,312	396,474	33,100,602	25,477,891	29,224,888
Claim overpayment receivables	2,121,895	8,983,184	2,976,959	2,677,832	5,098,854	5,074,194
Loans and advances to providers					0	0
4. Capitation arrangement receivables					0	0
Risk sharing receivables					0	0
6. Other health care receivables.				12,142	0	4,279
7. Totals (Lines 1 through 6)	27,203,312	59,320,496	3,373,433	35,790,576	30,576,745	34,303,361

Note that the accrued amounts in Columns 3, 4, and 6 are the total health care receivables, not just the admitted portion.

EXHIBIT 4 - CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)

Aging Analysis of Unpaid	Claims					
1	2	3	4	5	6	7
Account	1 - 30 Days	31 - 60 Days	61 - 90 Days	91 - 120 Days	Over 120 Days	Total
Claims Unpaid (Reported)						
0199999. Individually listed claims unpaid	0	0	0	0	0	0
0299999. Aggregate accounts not individually listed- uncovered	1,037,473	2,701	3,834	1,316	57,365	1,102,689
0399999. Aggregate accounts not individually listed-covered	50,297,893	3,180,735	2,122,787	183,314	638,635	56,423,364
0499999. Subtotals	51,335,366	3, 183, 436	2,126,621	184,630	696,000	57,526,053
0599999. Unreported claims and other claim reserves						77,392,119
0699999. Total amounts withheld						556,253
0799999. Total claims unpaid						135,474,425
0899999 Accrued medical incentive pool and bonus amounts	•					7,851,904

EXHIBIT 5 - AMOUNTS DUE FROM PARENT, SUBSIDIARIES AND AFFILIATES

EXTREM 7 AMOUNTO DOLLINO		,					
1	2	3	4	5	6	Admi	itted
						7	8
Name of Affiliate	1 - 30 Days	31 - 60 Days	61 - 90 Days	Over 90 Days	Nonadmitted	Current	Non-Current
United HealthCare Services, Inc.	1,887,112	8	Acide.			1,887,112	
0199999. Individually listed receivables	1,887,112	0	0	0	0	1,887,112	0
0299999. Receivables not individually listed				111			
			<u> </u>				
			<u> </u>				
	4 007 440					4 007 440	
0399999 Total gross amounts receivable	1,887,112	0	0	0	0	1,887,112	0

EXHIBIT 6 - AMOUNTS DUE TO PARENT, SUBSIDIARIES AND AFFILIATES

1	2	3	4	5
Affiliate	Description	Amount	Current	Non-Current
United HealthCare Services, Inc.	Intercompany Payables	18,691,271	18,691,271	
0199999. Individually listed payables		18,691,271	18,691,271	0
0299999. Payables not individually listed		0		
0399999 Total gross payables		18,691,271	18,691,271	0

EXHIBIT 7 PART 1- SUMMARY OF TRANSACTIONS WITH PROVIDERS

	1	2	3	4	5	6
Payment Method	Direct Medical Expense Payment	Column 1 as a % of Total Payments	Total Members Covered	Column 3 as a % of Total Members	Column 1 Expenses Paid to Affiliated Providers	Column 1 Expenses Paid to Non-Affiliated Providers
Capitation Payments:						
1. Medical groups	458,299	0.1	3,241	3.0	458,299	
2. Intermediaries	14,742,355	1.8	104,244	97.0	9,666,047	5,076,308
3. All other providers.	0	0.0		0.0		
4. Total capitation payments	15,200,654	1.8	107,485	100.0	10,124,346	5,076,308
Other Payments:						
5. Fee-for-service	189,790,241	22.9	XXX	XXX		189,790,241
6. Contractual fee payments	618,601,783	74.5	XXX	XXX	19,405,959	599, 195,824
7. Bonus/withhold arrangements - fee-for-service	0	0.0	XXX	XXX		
8. Bonus/withhold arrangements - contractual fee payments	6,640,061	0.8	XXX	XXX		6,640,061
9. Non-contingent salaries	0	0.0	XXX	XXX		
10. Aggregate cost arrangements	0	0.0	XXX	XXX		
11. All other payments	0	0.0	XXX	XXX		
12. Total other payments	815,032,085	98.2	XXX	XXX	19,405,959	795,626,126
13. TOTAL (Line 4 plus Line 12)	830,232,739	100%	XXX	XXX	29,530,305	800,702,434

EXHIBIT 7 - PART 2 - SUMMARY OF TRANSACTIONS WITH INTERMEDIARIES

2	3	4	_	C
		7	บ	Ö
		Average		Intermediary's
			Intermediary's	Authorized
Name of Intermediary	Capitation Paid	Capitation	Total Adjusted Capital	Control Level RBC
ed HealthCare Services, Inc.	5,351,408	445,951		
Corp	4,730,292	394, 191		
mRx. Inc.	3,587,181	298,932		
ed Behavioral Health, Inc.	726,252	60,521		
	179,837	14,986	L	
sticare	117,160	9,763		
Hearing	49,835	4 . 153		
tera	,	32		
	7	1		
		•		
	14 740 055	VVV	VVV	XXX
Corp mRx ed E al E stic Hea	HealthCare Services, Inc. Description of the Inc. Behavioral Health, Inc. Benefit Providers, Inc. Benefit Providers, Inc.	Heal thCare Services, Inc.	Heal thCare Services, Inc. 5,351,408 445,951 4,730,292 394,191 10. 3,587,181 298,932 294,191 298,932 294,191 298,932 298	Heal thCare Services, Inc. 5,351,408 445,951 1,000 1

EXHIBIT 8 - FURNITURE, EQUIPMENT AND SUPPLIES OWNED

	1	2	3	4	5	6
Description	Cost	Improvements	Accumulated Depreciation	Book Value Less Encumbrances	Assets Not Admitted	Net Admitted Assets
1. Administrative furniture and equipment						
Medical furniture, equipment and fixtures						
Pharmaceuticals and surgical supplies	<u> </u>	<u> </u>				
4. Durable medical equipment						
5. Other property and equipment						
6. Total						



EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION (a)

REPORT FOR: 1. CORPORATION					2.					
								(LOCATIO	ON)	
NAIC Group Code BUSI	INESS IN THE STATE	OF Delaware				DURING THE Y	EAR 2016	NAIC Co	mpany Code	
	1	Comprehensive (Hospital & Medical)	4	5	6	7	8	9	10
				11.000						
	Total	Individual	Group	Medicare Supplement	Vision Only	Dental Only	Federal Employees Health Benefit Plan	Title XVIII Medicare	Title XIX Medicaid	Other
44.000.000.000	Total	marriada	Group	Сирренен	Only	Ciny	Treatil Benefit Fair	Medicare	Wedicuid	Outer
Total Members at end of:										
1. Prior Year			-							-
2. First Quarter										
Second Quarter										
4. Third Quarter										
5. Current Year										
6. Current Year Member Months										
						+				
Total Member Ambulatory Encounters for Year:										
7 Physician										
8. Non-Physician			<u> </u>							
9. Total										
Hospital Patient Days Incurred										
11. Number of Inpatient Admissions										
12. Health Premiums Written (b)										
13. Life Premiums Direct										
14. Property/Casualty Premiums Written			-							
15. Health Premiums Earned										
16. Property/Casualty Premiums Earned										
17. Amount Paid for Provision of Health Care Services										
18 Amount Incurred for Provision of Health Care Service	es									



EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION (a)

REPORT FOR: 1. CORPORATION Oxford Hea	alth Plans (NJ), Inc.				2.	Iselin, NJ	997 55709			
								(LOCATIO	N)	
NAIC Group Code 0707 BUS	INESS IN THE STATE OF					DURING THE YE	EAR 2016	NAIC Con	npany Code	95506
	1	Comprehensive (H		4	5	6	7	8	9	10
	Total	2 Individual	3 Group	Medicare Supplement	Vision Only	Dental Only	Federal Employees Health Benefit Plan	Title XVIII Medicare	Title XIX Medicaid	Other
Total Members at end of:				"						
1. Prior Year	59							59		
2. First Quarter	13							13		
3. Second Quarter	9							9		
4. Third Quarter	9							9		
5. Current Year	3							3		
6. Current Year Member Months	125							125		
Total Member Ambulatory Encounters for Year:										
7 Physician										
8. Non-Physician	0									
9. Total	0	0	0	0		0 0	0	0	0	0
10. Hospital Patient Days Incurred	0									
11. Number of Inpatient Admissions	0									
12. Health Premiums Written (b)	285,213							285,213		
13. Life Premiums Direct	0									
14. Property/Casualty Premiums Written	0									
15. Health Premiums Earned	296,925							296,925		
16. Property/Casualty Premiums Earned	0									<u> </u>
17. Amount Paid for Provision of Health Care Services	259,656							259,656		
18 Amount Incurred for Provision of Health Care Service	ces 262,993							262,993		



EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION (a)

Oxford Health Plans (NJ), Inc. REPORT FOR: 1. CORPORATION Iselin, NJ (LOCATION)

								(LOCATIO	N)		
IAIC Group Code 0707 BUSINES	S IN THE STATE OF					DURING THE YE	AR 2016	NAIC Cor	NAIC Company Code		
	1	Comprehensive (Hos	spital & Medical)	4	5	6	7	8	9	10	
	Total	Individual	Group	Medicare Supplement	Vision Only	Dental Only	Federal Employees Health Benefit Plan	Title XVIII Medicare	Title XIX Medicaid	Other	
Total Members at end of:											
1. Prior Year	108,905	11,029	13,741					84,135			
2. First Quarter	104,421	7,959	11,046					85,416			
3. Second Quarter	103,978	7,613	9,950					86,415			
4. Third Quarter	103,323	7,140	9, 175					87,008			
5. Current Year	102,599	6,602	8,338					87,659			
6. Current Year Member Months	1,236,895	81,437	118,799					1,036,659			
Total Member Ambulatory Encounters for Year:											
7 Physician	1,786,237	54,009	45,630					1,686,598			
8. Non-Physician	609,638	23,099	19,516					567,023			
9. Total	2,395,875	77,108	65,146	0	0	0	0	2,253,621	0		
10. Hospital Patient Days Incurred	122,283	3,794	6,649					111,840			
11. Number of Inpatient Admissions	18,657	656	1,271					16,730			
12. Health Premiums Written (b)	1,017,001,146	41,549,362	57,984,148					917,467,636			
13. Life Premiums Direct	0										
14. Property/Casualty Premiums Written	0										
15. Health Premiums Earned	1,022,538,553	41,549,362	57,984,148					923,005,043			
16. Property/Casualty Premiums Earned	0										
17. Amount Paid for Provision of Health Care Services	789,958,177	48,363,281	49,493,972					692,100,924			
18 Amount Incurred for Provision of Health Care Services	800,108,988	41,925,899	46,954,693					711,228,396			

(a) For health business: number of persons insured under PPO managed care products ______ and number of persons insured under indemnity only products ______.

(b) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ ______917,467,636



EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION (a)

REPORT FOR: 1. CORPORATION Oxford Health Plans (NJ), Inc. 2. Iselin, NJ (LOCATION) NAIC Group Code 0707 BUSINESS IN THE STATE OF Oregon **DURING THE YEAR** 2016 **NAIC Company Code** 95506 Comprehensive (Hospital & Medical) Medicare Vision Dental Federal Employees Title XVIII Title XIX Total Individual Health Benefit Plan Medicare Medicaid Other Group Supplement Only Only Total Members at end of: 1. Prior Year ... 153 2. First Quarter ... 150 150 Second Quarter ... 139 Third Quarter 116 116 Current Year 1,709 6. Current Year Member Months 1,709 Total Member Ambulatory Encounters for Year: 8. Non-Physician ... 9. Total 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions .4,121,287 4,121,287 12. Health Premiums Written (b). 13. Life Premiums Direct 14. Property/Casualty Premiums Written. ...4.144.494 Health Premiums Earned .4.144.494 16. Property/Casualty Premiums Earned 17. Amount Paid for Provision of Health Care Services... .3,808,563 .3,808,563 3,857,502 3,857,502 18 Amount Incurred for Provision of Health Care Services



36,671,587

ANNUAL STATEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION (a)

REPORT FOR: 1. CORPORATION Oxford Health Plans (NJ), Inc. 2. Iselin, NJ (LOCATION) NAIC Group Code 0707 BUSINESS IN THE STATE OF Pennsylvania **DURING THE YEAR** 2016 **NAIC Company Code** 95506 Comprehensive (Hospital & Medical) Medicare Vision Dental Title XVIII Title XIX Federal Employees Total Individual Health Benefit Plan Medicare Medicaid Other Group Supplement Only Only Total Members at end of: 1. Prior Year 2. First Quarter ... 3,179 Second Quarter ... _3, 179 .4,193 Third Quarter 4,767 4,767 Current Year 6. Current Year Member Months 39,250 39,250 Total Member Ambulatory Encounters for Year: ..72,812 ..72,812 8. Non-Physician 30,610 30,610 103,422 103,422 9. Total 8,430 8,430 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 1.246 1.246 .44,688,523 44,688,523 12. Health Premiums Written (b). 13. Life Premiums Direct 14. Property/Casualty Premiums Written ..44, 184, 871 Health Premiums Earned ..44, 184, 871 16. Property/Casualty Premiums Earned 17. Amount Paid for Provision of Health Care Services... .36,206,342 .36,206,342

(a) For health business: number of persons insured under PPO managed care products and number of persons insured under indemnity only products and number of persons insured under indemnity only products 44,688,523

36,671,587

18 Amount Incurred for Provision of Health Care Services



EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION (a)

Corporation	REPORT FOR: 1. CORPORATION					2.					
1 Comprehensive (Ficeplat & Medicare Vision Dental Federal Employees Tille XVIII Tille XXIX Medicare Vision Only Federal Employees Tille XVIII Tille XXIX Medicare Vision Only Federal Employees Tille XVIII Tille XXIX Medicare Only Only Federal Employees Tille XVIII Tille XXIX Medicare Only Only Federal Employees Tille XVIII Tille XXIX Medicare Only Only Federal Employees Tille XVIII Tille XXIX Medicare Only Only Federal Employees Medicare Only Medicare Only Federal Employees Federal Employees Only Federal Employees Federal Employees Only Only Federal Employees Only O									(LOCATIO	ON)	
Total Members at end of: 1. Prior Year 2. Supplement 3. Second Quarter 4. Third Quarter 5. Current Year 6. Current Year 7. Physician 8. Non-Physican 9. Total Member Ambulstory Encounters for Year: 7. Physician 10. Hospital Patient Days Incurred 11. Number of legatient Admissions 12. Health Premiums Written (b) 13. Left Premiums Written 14. Property/Casually Premiums Earned 15. Incurrent Year 16. Property/Casually Premiums Earned 17. Physrican 18. Non-Physican 19. Total Member Ambulstory Encounters for Year: 10. Hospital Patient Days Incurred 11. Number of legatient Admissions 12. Health Premiums Written (b) 13. Left Premiums Written 14. Property/Casually Premiums Earned	NAIC Group Code	BUSINESS IN THE STATE (DURING THE Y	EAR 2016	NAIC Co	mpany Code	
Total Members at end of: 1. Pror Year 2. First Quarter 3. Second Quarter 4. Third Quarter 6. Current Year Member Mentiths Total Member Ambulatory Encounters for Year: 7. Physician 8. Non Physician 9. Total 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 12. Health Premiums Direct 13. Life Premiums Written (b) 14. Property/Casually Premiums Written 15. Health Premiums Earned 16. Property/Casually Premiums Earned 17. Property/Casually Premiums Earned 18. Property/Casually Premiums Earned 19. Property/Casually Premiums Earned		1			4	5	6	7	8	9	10
Total Wember And Logical Physician Total Member Months Total Membe				3	100						
Total Wember And Logical Physician Total Member Months Total Membe		Total	Individual	Group		Vision		Federal Employees			Other
1. Prior Year 2. First Quarter 3. Second Quarter 4. Third Quarter 5. Current Year 6. Current Year Member Months Total Member Ambulatory Encounters for Year: 7. Physician 8. Non-Physician 9. Total 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 11. Number of Inpatient Admissions 11. Number of Inpatient Admissions 11. Health Premiums Written (b) 12. Health Premiums Birrect 14. Property/Casually Premiums Written 15. Health Premiums Earned 16. Property/Casually Premiums Earned	A SA CONTRACTOR A SERVICIO DE LA RESCUE DE LA CONTRACTOR A SERVICIO DE LA CONTRACTOR A	Total	ilidividual	Gloup	Supplement	Only	Only	ricaiui bellelit i iali	Medicare	Wedicald	Other
2 First Quarter 3 Second Quarter 4 Third Quarter 5 Current Year Member Months Total Member Ambulatory Encounters for Year: 7 Physician 8 Non-Physician 9 Total 10 Hooptial Patient Days Incurred 11 Number of Inpatient Admissions 11 Health Premiums Written (b) 12 Health Premiums Written (b) 14 Property/Casualty Premiums Written 15 Health Premiums Earned 16 Property/Casualty Premiums Earned	Total Members at end of:										
3. Second Quarter 4. Third Quarter 5. Current Year 6. Current Year Member Monits Total Member Ambulatory Encounters for Year: 7 Physician 8. Non-Physician 9. Total 10. Hospital Patient Days Incurred 11. Number of Ingatient Admissions 12. Health Premiums Written (b) 13. Life Premiums Written (b) 14. Property/Casualty Premiums Written 15. Health Premiums Earned 16. Property/Casualty Premiums Earned	1. Prior Year										
4. Third Quarter 5. Current Year 6. Current Year Member Months Total Member Ambulatory Encounters for Year: 7. Physician 8. Non-Physician 9. Total 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 12. Health Premiums Written (b) 13. Life Premiums Direct 14. Property/Casualty Premiums Written 15. Health Premiums Earned 16. Property/Casualty Premiums Earned	2. First Quarter										
5. Current Year 6. Current Year Member Months Total Member Ambulatory Encounters for Year: 7 Physician	Second Quarter										
5. Current Year 6. Current Year Member Months Total Member Ambulatory Encounters for Year: 7 Physician	4 Third Quarter										
6. Current Year Member Months Total Member Ambulatory Encounters for Year: 7											
Total Member Ambulatory Encounters for Year: 7 Physician 8. Non-Physician 9. Total 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 12. Health Premiums Written (b) 13. Life Premiums Direct 14. Property/Casualty Premiums Written 15. Health Premiums Earned 16. Property/Casualty Premiums Earned 17. Property/Casualty Premiums Earned 18. Property/Casualty Premiums Earned 19. Property/Casualty Premiums Earned							1				
7 Physician 8. Non-Physician 9 Total 9. Total 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 12. Health Premiums Written (b) 12. Life Premiums Written (b) 13. Life Premiums Direct 14. Property/Casualty Premiums Written 15. Health Premiums Earned 16. Property/Casualty Premiums Earned	6. Current Year Member Months			 U 	 		+				
8. Non-Physician	Total Member Ambulatory Encounters for Year:										
9. Total 10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 12. Health Premiums Written (b)	7 Physician										
10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 12. Health Premiums Written (b)	8. Non-Physician										
10. Hospital Patient Days Incurred 11. Number of Inpatient Admissions 12. Health Premiums Written (b)	9. Total										
11. Number of Inpatient Admissions 12. Health Premiums Written (b)	10 Hospital Patient Days Incurred										
12. Health Premiums Written (b)											
13. Life Premiums Direct 14. Property/Casualty Premiums Written 15. Health Premiums Earned 16. Property/Casualty Premiums Earned											
14. Property/Casualty Premiums Written											
15. Health Premiums Earned	13. Life Premiums Direct			+	1		+				
16. Property/Casualty Premiums Earned	14. Property/Casualty Premiums Written										
	15. Health Premiums Earned										
	16. Property/Casualty Premiums Earned										
		vices									
18 Amount Incurred for Provision of Health Care Services											



EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION (a)

REPORT FOR: 1. CORPORATION Oxford Health Plans (NJ), Inc.

2. Iselin, NJ
(LOCATION)

								(LOCATION	V)	
AIC Group Code 0707 BUSINE	SS IN THE STATE OF					DURING THE YE	AR 2016	NAIC Com	npany Code	95506
	1	Comprehensive (Ho	spital & Medical)	4	5	6	7	8	9	10
	Total	Individual	Group	Medicare Supplement	Vision Only	Dental Only	Federal Employees Health Benefit Plan	Title XVIII Medicare	Title XIX Medicaid	Other
Total Members at end of:		**	2.00							
1. Prior Year	109,163	11,029	13,741	0	0	0	0	84,393	0	
2. First Quarter	106,626	7,959	11,046	0	0	0	0	87,621	0	
3. Second Quarter	107,316	7,613	9,950	0	0	0	0	89,753	0	
4. Third Quarter	107,664	7,140	9, 175	0	0	0	0	91,349	0	
5. Current Year	107,485	6,602	8,338	0	0	0	0	92,545	0	
6. Current Year Member Months	1,277,979	81,437	118,799	0	0	0	0	1,077,743	0	
Total Member Ambulatory Encounters for Year:										
7 Physician		54,009	45,630	0	0	0	0	1,759,410	0	
8. Non-Physician	640,248	23,099	19,516	0	0	0	0	597,633	0	
9. Total	2,499,297	77,108	65,146	0	0	0	0	2,357,043	0	
10. Hospital Patient Days Incurred	130,713	3,794	6,649	0	0	0	0	120,270	0	
11. Number of Inpatient Admissions	19,903	656	1,271	0	0	0	0	17,976	0	
12. Health Premiums Written (b)	1,066,096,169	41,549,362	57,984,148	0	0	0	0	966,562,659	0	
13. Life Premiums Direct	0	0	0	0	0	0	0	0	0	
14. Property/Casualty Premiums Written	0	0	0	0	0	0	0	0	0	
15. Health Premiums Earned	1,071,164,843	41,549,362	57,984,148	0	0	0	0	971,631,333	0	
16. Property/Casualty Premiums Earned	0	0	0	0	0	0	0	0	0	
17. Amount Paid for Provision of Health Care Services	830,232,738	48,363,281	49,493,972	0	0	0	0	732,375,485	0	
18 Amount Incurred for Provision of Health Care Services	840,901,070	41,925,899	46,954,693	0	0	0	0	752,020,478	0	

⁽a) For health business: number of persons insured under PPO managed care products ________0 and number of persons insured under indemnity only products ________0 (b) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ ______966,562,659

SCHEDULE S - PART 1 - SECTION 2

			Reinsurance Assumed Accident and Hea	alth Insuranc	e Listed by Rei	nsured Company as	of December 31, Cu	irrent Year			
1	2	3	4	5	6	7	8	9	10	11	12
NAIC Company Code	ID Number	Effective Date	Name of Reinsured	Domiciliary Jurisdiction	Type of Reinsurance Assumed	Premiums	Unearned Premiums	Reserve Liability Other Than for Unearned Premiums	Reinsurance Payable on Paid and Unpaid Losses	Modified Coinsurance Reserve	Funds Withheld Under Coinsurance
					\						
		<u> </u>					.				

9999999 - Totals

SCHEDULE S - PART 2 Reinsurance Recoverable on Paid and Unpaid Losses Listed by Reinsuring Company as of December 31, Current Year

	Reinsu	rance Reco	verable on Paid and Unpaid Losses Listed by Reinsuring Compan	y as of Dece	ember 31, Current Ye	ar
1	2	3	4	5	6	7
NAIC	ID.	- m		D		
Company	ID Normhan	Effective	Name of Community	Domiciliary	Deidlesses	11
Code	Number	Date	Name of Company	Jurisdiction	Paid Losses	Unpaid Losses
		nnuity - U.S. A			0	0
		nnuity - Non-U			0	0
		nnuity - Affiliat			0	0
		nnuity - Non-A	ATTILIATES		0	0
70000	otal Life and A	nnuity	0.4 11 145 1	AB/	0	400,400
91529	ZZ-Z/9/300 53 1006030	02/01/2012	Oxford Health Insurance, Inc. Unimerica Insurance Company	NY WI	416,735 2,085,006	198,425
		ealth - U.S. Af		WI	2,501,741	2,710,725 2,909,150
		and Health - U				2,909,150
					2,501,741	2,909,150
			on-U.S. Affiliates		2,501,741	2,909,150
0000	A 0000000	and Health - A	U.S. Department of Health and Human Services	DC	3,257,433	
				DC		358,689 358,689
		ealth - U.S. No			3,257,433 3,257,433	358,689
	otal Accident a	and Health - N	OT-AIIIIales		5,759,174	3,267,839
			0000000 4400000 44000000)			
			0899999, 1499999 and 1999999)		5,759,174	3,267,839
2499999. 10	otal Non-U.S.	(Sum of 0699	999, 0999999, 1799999 and 2099999)		0	0
l						
l						
				l		
				[
				[
		.,			F 750 /	0.007.000
9999999 To	tais - Life, Ani	nuity and Acci	dent and Health		5,759,174	3,267,839

SCHEDULE S - PART 3 - SECTION 2

Reinsurance Ceded Accident and Health Insurance Listed by Reinsuring Company as of December 31, Current Year

1 2 3 4 5 5 7 7 8 9 10 10 10 10 10 10 10				Reinsurance Ced			th Insurance Li	sted by Reinsuring Co	ompany as of Dece					
NACC Company December December December Company December Decembe	1	2	3	4	37767	6	7	8	9	CRIMINATED CRIMINATED			13	14
2-279780 310479200 31047920	Company			5 - 20 70 70 PM (MATERIA)	ciliary Juris-	Reinsurance	Business	WALKE COLLEGE	Premiums	Taken Other than for Unearned	\$5 c c.assamento	31 42 2	Coinsurance	
35-98.00 30-98.00									(Estimated)	Premiums	Current Year	Prior Year	Reserve	Coinsurance
Sign	78026	22-2797560	.01/01/1999	Oxford Health Insurance, Inc.	***************************************		CML		0	0		0	0	
1,996,818	91529	52-1996029	.03/01/2013	Unimerica Insurance Company			CMM		0		0	0	0	
0.0099999, Total General Account - Authorized U.S. Affiliales 0, 0, 0, 0, 0 0, 0					WI	QA/A/G	CMM		0		0	0	0	
Description Total General Account - Authorized Nor U.S. Affiliates 0 0 0 0 0 0 0 0 0									0		0	0	0	
1999999, Total General Account - Authorized Millalies 1,98,618 0 11,142 0 0 0 0 0 0 0 0 0								13,995,818	0	11,412	0	0	0	
Al-999072 JUN / 2011 July - 2011 Jul								0	0	0	0	0	0	
1989999 Closeral Account - Authorized U.S. Non-Affiliales 15,888 0 0 0 0 0 0 199999 Total General Account - Authorized Month of the Committee of the Commi									0	11,412	0	0	0	
1099999 Total General Account - Authorized Non-Affiliates					DC	SSL/A/1			0	0	0	0	0	
1199999 Total General Account - Lunathrorized VS. Affiliates									0	0	0	0	0	
1495999, Total General Account - Unauthorized V.S. Affiliates 0 0 0 0 0 0 0 0 0	1099999.	Total General	Account - A	uthorized Non-Affiliates				155,693	0	0	0	0	0	
1799999 Total General Account - Unauthorized Non-U.S. Affiliates 0 0 0 0 0 0 0 0 0								14, 151, 511	0	11,412	0	0	0	
1899999 Total General Account - Unauthorized Affiliates 0 0 0 0 0 0 0 0 0								0	0	0	0	0	0	
21999999 Total General Account Unauthorized Nor-Affiliates 0	1799999.	Total General	Account - U	nauthorized Non-U.S. Affiliates				0	0	0	0	0	0	
2299999 Total General Account Certified Us. Affiliates	1899999.	Total General	Account - U	nauthorized Affiliates				0	0	0	0	0	0	
2599999 Total General Account - Certified U.S. Affiliales	2199999.	Total General	Account - U	nauthorized Non-Affiliates				0	0	0	0	0	0	
2898999 Total General Account - Certified Non-U.S. Affiliates 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	2299999.	Total General	Account Una	authorized				0	0	0	0	0	0	
2999999 Total General Account - Certified Affiliates 0 0 0 0 0 0 0 0 0	2599999.	Total General	Account - Co	ertified U.S. Affiliates				0	0	0	0	0	0	
3299999 Total General Account - Certified Non-Affiliates	2899999.	Total General	Account - Co	ertified Non-U.S. Affiliates				0	0	0	0	0	0	
3399999 Total General Account Cuthfied	2999999.	Total General	Account - Co	ertified Affiliates				0	0	0	0	0	0	
3499999 Total Separate Accounts - Authorized U.S. Affiliates 0 0 0 0 0 0 0 0 0	3299999.	Total General	Account - Co	ertified Non-Affiliates				0	0	0	0	0	0	
3799999 Total Separate Accounts - Authorized U.S. Affiliates 0 0 0 0 0 0 0 0 0	3399999.	Total General	Account Cer	tified				0	0	0	0	0	0	
3799999 Total Separate Accounts - Authorized U.S. Affiliates 0 0 0 0 0 0 0 0 0	3499999.	Total General	Account Aut	horized. Unauthorized and Certified				14, 151, 511	0	11.412	0	0	0	
4099999 Total Separate Accounts - Authorized Non-U.S. Affiliates 0 0 0 0 0 0 0 0 0	3799999.	Total Separate	e Accounts -	Authorized U.S. Affiliates				0	0	0	0	0	0	
4499999. Total Separate Accounts - Authorized Non-Affiliates								0	0	0	0	0	0	
4599999. Total Separate Accounts - Unauthorized U.S. Affiliates	4199999.	Total Separate	e Accounts -	Authorized Affiliates				0	0	0	0	0	0	
4599999. Total Separate Accounts - Unauthorized U.S. Affiliates	4499999	Total Separate	e Accounts -	Authorized Non-Affiliates				0	0	0	0	0	0	
4899999. Total Separate Accounts - Unauthorized U.S. Affiliates								0	0	0	0	0	0	
Standard Separate Accounts - Unauthorized Non-U.S. Affiliates								0	0	0	0	0	0	
Segond								0	0	0	0	0	0	
5599999 Total Separate Accounts - Unauthorized Non-Affiliates 0 0 0 0 0 0 0 0 0								0	0	0	0	0	0	
5699999 Total Separate Accounts - Certified U.S. Affiliates 0 0 0 0 0 0 0 0 0								0	0	0	0	0	0	
5999999. Total Separate Accounts - Certified U.S. Affiliates 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0								0	0	0	0	0	0	
6299999. Total Separate Accounts - Certified Non-U.S. Affiliates 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0								0	0	0	0	0	0	
6399999. Total Separate Accounts - Certified Affiliates 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0								V	0	0	0	0	0	1
6699999. Total Separate Accounts - Certified Non-Affiliates 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0								V	0	0	0	0	0	
6799999. Total Separate Accounts Certified 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0								0	0	0	0	<u> </u>	0	
6899999. Total Separate Accounts Authorized, Unauthorized and Certified 6999999. Total U.S. (Sum of 0399999, 0899999, 1499999, 1999999, 2599999, 3099999, 3799999, 4299999, 4899999, 5999999 and 6499999) 7099999. Total Non-U.S. (Sum of 0699999, 0999999, 1799999, 2099999, 2899999, 3199999, 4099999, 5199999, 5499999, and 6599999) and 6599999) 0 0 0 0 0 0 0 0 0 0 0 0 0								0	0	0	0	<u> </u>	0	1
6999999. Total U.S. (Sum of 0399999, 0899999, 1499999, 1999999, 2599999, 3099999, 4299999, 4299999, 4899999, 5399999, 5999999 and 6499999) 7099999. Total Non-U.S. (Sum of 0699999, 0999999, 1799999, 2099999, 2899999, 4099999, 4399999, 5199999, 5499999, 6299999 and 6599999) 0 0 0 0 0 0 0 0								0	0	0	0	<u> </u>	0	.
7099999. Total Non-U.S. (Sum of 0699999, 0999999, 1799999, 2099999, 2899999, 3199999, 4099999, 4399999, 5199999, 5499999, 6299999 and 6599999) 0 0 0 0 0 0 0	6999999.	Total U.S. (Su			99999, 489	99999, 5399999	, 5999999 and	14, 151, 511	0	11.412	0	0	0	
9999999 - Totals 0 11.412 0 0 0	7099999.	Total Non-U.S	6. (Sum of 06	99999, 0999999, 1799999, 2099999, 2899999, 3199999, 409999	9, 4399999	9, 5199999, 549	9999, 6299999	0	0	0	0	0	0	
			•					14, 151, 511	0	11.412	0	0	0	

Schedule S - Part 4

NONE

Schedule S - Part 4 - Bank Footnote
NONE

Schedule S - Part 5

NONE

Schedule S - Part 5 - Bank Footnote **NONE**

SCHEDULE S - PART 6

8. Reinsurance recoverable on paid losses 5,759 9,607 4,961 3,387 9. Experience rating refunds due or unpaid 0. 0 0 0 280 11. Unauthorized reinsurance expense allowances due 0. 0 0 280 12. Offset for reinsurance with Certified Reinsurers 0. 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0		Five Year	Exhibit of Reinsurand				
A. OPERATIONS ITEMS 1. Premiums			1 2016	The state of the s			
1. Premiums		A OPERATIONS ITEMS		2010	2011	20.0	20.2
2 Title XVIII - Medicare	1		5 801	11 156	10 042	36 270	14 203
3. Title XIX - Medicaid	1.		88	82	55V	- 20	
4. Commissions and reinsurance expense allowance (39) (116) 272 2,865 5. Total hospital and medical expenses 22,498 36,684 33,670 36,221 11 B. BALANCE SHEET ITEMS 1,162 1,728 0 3,765 6. Premiums receivable 1,162 1,728 0 3,765 7. Claims payable 3,268 5,566 6,936 9,404 2 8. Reinsurance recoverable on paid losses 5,759 9,607 4,961 3,387 9. Experience rating refunds due or unpaid 0 0 280 10. Commissions and reinsurance expense allowances due 0 0 280 11. Unauthorized reinsurance with Certified Reinsurers 0 0 280 12. Offset for reinsurance with Certified Reinsurers 0 0 0 0 13. Funds deposited by and withheld from (F) 0 0 0 0 0 15. Trust agreements (T) 0 0 0 0 0 0 16. Other (O) 0 0 0 0 0 0 17. Multiple Beneficiary Trust	2.		222	200	\$1	23	
5. Total hospital and medical expenses 22,498 36,684 33,670 36,221 11 B. BALANCE SHEET ITEMS	3.						
B. BALANCE SHEET ITEMS 6. Premiums receivable	4.	870					
6. Premiums receivable	5.	Total hospital and medical expenses	22,498	36,684	33,670	36,221	11,878
7. Claims payable 3,268 5,566 6,936 9,404 2 8. Reinsurance recoverable on paid losses 5,759 9,607 4,961 3,387 9. Experience rating refunds due or unpaid 0 0 4,961 3,387 10. Commissions and reinsurance expense allowances due 0 0 0 280 11. Unauthorized reinsurance offset 0 0 280 280 12. Offset for reinsurance with Certified Reinsurers C. UNAUTHORIZED REINSURANCE (DEPOSITS BY AND FUNDS WITHHELD FROM) 0 0 0 0 0 13. Funds deposited by and withheld from (F) 0		B. BALANCE SHEET ITEMS					
8. Reinsurance recoverable on paid losses 5,759 9,607 4,961 3,387 9. Experience rating refunds due or unpaid 0. Commissions and reinsurance expense allowances due 0. 0 0 0 280 11. Unauthorized reinsurance offset 0. 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	6.	Premiums receivable	1,162	1,728	0	3,765	0
9. Experience rating refunds due or unpaid 10. Commissions and reinsurance expense allowances due	7.	Claims payable	3,268	5,566	6,936	9,404	2,056
10. Commissions and reinsurance expense allowances due	8.	Reinsurance recoverable on paid losses	5,759	9,607	4,961	3,387	835
11. Unauthorized reinsurance offset	9.	Experience rating refunds due or unpaid					
11. Unauthorized reinsurance offset 12. Offset for reinsurance with Certified Reinsurers C. UNAUTHORIZED REINSURANCE (DEPOSITS BY AND FUNDS WITHHELD FROM) 13. Funds deposited by and withheld from (F) 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	10.	Commissions and reinsurance expense allowances		0	0	280	0
C. UNAUTHORIZED REINSURANCE (DEPOSITS BY AND FUNDS WITHHELD FROM) 13. Funds deposited by and withheld from (F)	11.						
BY AND FUNDS WITHHELD FROM) 13. Funds deposited by and withheld from (F)	12.	Offset for reinsurance with Certified Reinsurers					
14. Letters of credit (L) 0 0 0 0 0 15. Trust agreements (T) 0 0 0 0 0 16. Other (O) 0 0 0 0 0 D. REINSURANCE WITH CERTIFIED REINSURERS (DEPOSITS BY AND FUNDS WITHHELD FROM) WITHHELD FROM) 17. Multiple Beneficiary Trust 18. Funds deposited by and withheld from (F) 19. Letters of credit (L) 10. Letter							
15. Trust agreements (T)	13.	Funds deposited by and withheld from (F)	0	0	0	0	
15. Trust agreements (T)	14.	Letters of credit (L)	0	0	0	0	
16. Other (O)	15.			I			
D. REINSURANCE WITH CERTIFIED REINSURERS (DEPOSITS BY AND FUNDS WITHHELD FROM) 17. Multiple Beneficiary Trust	16.				0	0	
18. Funds deposited by and withheld from (F)		D. REINSURANCE WITH CERTIFIED REINSURERS (DEPOSITS BY AND FUNDS					
19. Letters of credit (L)	17.	Multiple Beneficiary Trust					
	18.	Funds deposited by and withheld from (F)					
20. Trust agreements (T)	19.	Letters of credit (L)					
- '	20.	Trust agreements (T)					
21. Other (O)		, ,					

SCHEDULE S - PART 7

		1 As Reported (net of ceded)	2 Restatement Adjustments	3 Restated (gross of ceded)
	ASSETS (Page 2, Col. 3)			
1.	Cash and invested assets (Line 12)	204,113,726		204,113,726
2.	Accident and health premiums due and unpaid (Line 15)	48,406,823		48,406,823
3.	Amounts recoverable from reinsurers (Line 16.1)	5,759,173	(5,759,173)	0
4.	Net credit for ceded reinsurance	xxx	7,721,340	7,721,340
5.	All other admitted assets (Balance)	44,479,199	5.2. 80	44,479,199
6.	Total assets (Line 28)	302,758,921	1,962,167	304,721,088
	LIABILITIES, CAPITAL AND SURPLUS (Page 3)			
7.	Claims unpaid (Line 1)	132,206,585	3,267,839	135,474,424
8.	Accrued medical incentive pool and bonus payments (Line 2)	7,851,904		7,851,904
9.	Premiums received in advance (Line 8)	1,910,881		1,910,881
10.	Funds held under reinsurance treaties with authorized and unauthorized reinsurers (Line 19 first inset amount plus second inset amount)	0		0
11.	Reinsurance in unauthorized companies (Line 20 minus inset amount)	0		(
12.	Reinsurance with Certified Reinsurers (Line 20 inset amount)			(
13.	Funds held under reinsurance treaties with Certified Reinsurers (Line 19 third inset amount)	0		0
14.	All other liabilities (Balance)	43,606,853	(1,305,672)	42,301,181
15.	Total liabilities (Line 24)	185,576,223	1,962,167	187,538,390
16.	Total capital and surplus (Line 33)	117,182,698	xxx	117,182,698
17.	Total liabilities, capital and surplus (Line 34)	302,758,921	1,962,167	304,721,088
	NET CREDIT FOR CEDED REINSURANCE			
18.	Claims unpaid	3,267,839		
19.	Accrued medical incentive pool	0		
20.	Premiums received in advance	0		
21.	Reinsurance recoverable on paid losses	5,759,173		
22.	Other ceded reinsurance recoverables	0		
23.	Total ceded reinsurance recoverables	9,027,012		
24.	Premiums receivable	0		
25.	Funds held under reinsurance treaties with authorized and unauthorized reinsurers	0		
26.	Unauthorized reinsurance	0		
27.	Reinsurance with Certified Reinsurers	0		
21.	Funds held under reinsurance treaties with Certified Reinsurers			

Other ceded reinsurance payables/offsets
 Total ceded reinsurance payables/offsets
 Total net credit for ceded reinsurance

SCHEDULE T - PART 2

INTERSTATE COMPACT - EXHIBIT OF PREMIUMS WRITTEN Allocated by States and Territories

			Allocated by S	States and Terri				
	States, Etc.	5	1 Life (Group and Individual)	Annuities (Group and Individual)	3 Disability Income (Group and Individual)	Long-Term Care (Group and Individual)	5 Deposit-Type Contracts	6 Totals
1.	Alabama	Al	,	,	,	,		
2.	Alaska	Section 1						
3.	Arizona	53055						
4.	Arkansas	2000						
5.	California	21.00252						
6.	Colorado	_						
7.	Connecticut							
8.	Delaware							
9.	District of Columbia							
10.	Florida							
11.	Georgia							
12.	Hawaii							
13.	Idaho							
14.	Illinois							
15. 16	Indiana				T			
16.	lowa Kansas				†	t	†	
17. 18.	Kentucky				İ			
19. 20.	Louisiana Maine				1	<u> </u>		
21.	Maryland							
22.	Massachusetts							
23.	Michigan							
24.	Minnesota				†			
25.	Mississippi							
26.	Missouri	_						
27.	Montana	MT						
28.	Nebraska							
29.	Nevada	N.	<i>7</i> – (
30.	New Hampshire	NH V				ļ		
31.	New Jersey					Ī		
32.	New Mexico							
33.	New York							
34.	North Carolina							
35.	North Dakota							
36.	Ohio							
37.	Oklahoma				 			
38.	Oregon							
39.	Pennsylvania							
40.	Rhode Island				†		†	
41.	South Daketa				†		†	
42.	South Dakota				†		†	
43.	Tennessee				†		†	
44. 45	Texas							
45. 46	Utah							
46.	Vermont				İ	ł	†	
47.	Virginia				†	ł	†	
48.	Washington				†		†	
49. En	West Virginia				†			
50.	Wisconsin				†		†	
51.	Wyoming				†		†	
52.	American Samoa				†		†	
53.	Guam				 			
54.	Puerto Rico				 		 	
55.	U.S. Virgin Islands				 			
56.	Northern Mariana Islands							
57.	Canada				 		 	
58.	Aggregate Other Alien	OT			 	 		
59.	Total				<u> </u>	<u> </u>	I	

						A - DE I AI	L OF INSURANC	<u></u>	IOLD	INC COMI ANT	OTOTEM				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
- 00	####	255	500		922	98504	2233	2,202	1000000	39230	Type	If	2020	8600	6000
											of Control	Control			1 /
											(Ownership,	and the second second		ls an	1 /
						Name of Securities			Relation-		Board.	is Owner-		SCA	1 /
											,	1			1 /
						Exchange		Domi-	ship		Management,	ship		Filing	1 /
		NAIC				if Publicly Traded	Names of	ciliary	to		Attorney-in-Fact,	Provide		Re-	1 /
Group		Company	ID	Federal		(U.S. or	Parent, Subsidiaries	Loca-	Reporting	Directly Controlled by	Influence,	Percen-	Ultimate Controlling	quired?	1 /
Code	Group Name	Code	Number	RSSD	CIK	International)	Or Affiliates	tion	Entity	(Name of Entity/Person)	Other)	tage	Entity(ies)/Person(s)	(Y/N)	* !
		00000	98-1308130		0001363851		1070715 B.C. Unlimited Liability Company	CAN	NIA	OptumRx Group Holdings, Inc	Ownership.	_100.000	UnitedHealth Group Incorporated		
		00000	27-2624551	l		l	310 Canvon Medical LLC	CA	NIA	Monarch Management Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	l	
		00000	02-0653265				Access 1.V., LLC	CA	NIA	SCP Specialty Infusion, LLC	Ownership	_100.000	UnitedHealth Group Incorporated		,
		00000	41-1913523				ACN Group IPA of New York, Inc.	NY	NIA	OptumHealth Care Solutions, Inc.	Ownership	_100.000	UnitedHealth Group Incorporated		[
		00000	27-0015861				ACN Group of California, Inc.	CA	IA	OptumHealth Care Solutions, Inc.	Ownership	_100.000	UnitedHealth Group Incorporated		[
		00000	11-3485985				Advanced Care Pharmacy, Inc.	NY	NIA	Advanced Care, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		[]
		00000	11-2997132				Advanced Care, Inc.	NY	NIA	BriovaRx Infusion Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		[
		00000	38-3849068				AHJV MSO, Inc.	DE	NIA	AHJV. Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	38-3849066					DE	NIA	NAMM Holdings, Inc.	Ownership.	100.000	UnitedHealth Group Incorporated		[]
		00000	22-3493126		0001461390		AHJV, IncAlere Health Improvement Company	DE	NIA	Alere Health LLC	Ownership.	L100.000	UnitedHealth Group Incorporated		
		00000	26-2564744		0001460933		Alere Health, LLC	DE	NIA	OptumHealth Care Solutions, Inc.	Ownership	_100.000	UnitedHealth Group Incorporated		
		00000	58-1873062		0001156286		Alere of New York, Inc.	NY	NIA	Optum Women's and Children's Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-0231080		0001355945		Alere Wellbeing, Inc.	DE	NIA	Alere Health, LLC	Ownership	_100.000	UnitedHealth Group Incorporated		
		00000	54-1776557		0001353945		Alere Wellology, Inc.	DE	NIA	Alere Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated	l	ļļ
0707	UnitedHealth Group Incorporated	82406	35-1665915		0001400651		All Savers Insurance Company	IN	IA	Golden Rule Financial Corporation	Ownership	100.000	UnitedHealth Group Incorporated		
1010	on tedhearth droup incorporated	02400	30-1003913				All Savers Life Insurance Company of	IIV	IA	dorden hare i manciar corporation	Owner Strip	100.000	Officeulearth Group Theorporated		
0707	UnitedHealth Group Incorporated	73130	35-1744596				California	CA	1.4	Golden Rule Financial Corporation	Ownership	L100.000	UnitedHealth Group Incorporated		1 /
וטוע	Unitednealth Group Incorporated	00000	55-0802777				Ambient Healthcare of Central Florida, Inc.	FL	NIA	Ambient Healthcare. Inc.	Ownership	_100.000	UnitedHealth Group Incorporated		ļ
		00000	55-0802777				Ambient Healthcare of Georgia, Inc.	GA	NIA	Ambient Healthcare, Inc.	Ownership	_100.000	UnitedHealth Group Incorporated		
		00000	33-0002779				Ambient Healthcare of Northeast Florida, Inc.	uA	NIA	Ambient nearthcare, inc.	Owner Ship	_ 100.000	Unitednearth Group Incorporated		
		00000	20-4881413				Ambient healthcare of Northeast Florida, Inc.		NIA	Intinat Berliberer Inc	Ownership	_100.000	Ibit-diselab Commitment and		1 /
l							A-bi-a-b U-a-lab-a-a-a-b C Ela-ida I-a	FL	NIA	Ambient Healthcare, Inc.	Ownership		UnitedHealth Group Incorporated		ļ
		00000	33-1012700				Ambient Healthcare of S. Florida, Inc.	FL		Ambient Healthcare, Inc.		100.000	UnitedHealth Group Incorporated		
		00000	55-0802774				Ambient Healthcare of West Florida, Inc.	FL	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		}
		00000	65-1095227				Ambient Healthcare, Inc.	FL	NIA	Ambient Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	45-2161438				Ambient Holdings, Inc.	DE	NIA	BriovaRx Infusion Services, Inc.	Ownership	_100.000	UnitedHealth Group Incorporated		
		00000	. 26-3738273				Ambient Nursing Services, Inc.	FL	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	54-1743136		0001122263		AmeriChoice Corporation	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	54-1743141				AmeriChoice Health Services, Inc.	DE	NIA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	95497	22-3368602				AmeriChoice of New Jersey, Inc	NJ	IA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated		
										Amil Assistência Médica Internacional S.A.					1 /
		00000	98-1108620				Amico Saúde Ltda.	BRA	NIA		Ownership	98.879	UnitedHealth Group Incorporated		
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		00000	98-1108620				Amico Saúde Ltda	BRA	NIA	Geral Ltda	Ownership	1.121	UnitedHealth Group Incorporated		l
										Polar II Fundo de Investimento em					1 /
		00000			0001447698	l	Amil Assistência Médica Internacional S.A	BRA	NIA	Participações	Ownership	90.230	UnitedHealth Group Incorporated		1
		I	I		I			l		Esho — Empresa de Serviços Hospitalares			1		1 /
		00000	98-1109085				Amil Clinical Research Participações Ltda	BRA	NIA	S.A	Ownership	99.950	UnitedHealth Group Incorporated		ļ!
		1			1					Cemed Care - Empresa de Atendimento Clínico		1			1 /
		00000	98-1109085				Amil Clinical Research Participações Ltda	BRA	NIA	Geral Ltda.	Ownership	0.050	UnitedHealth Group Incorporated		ļJ
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		00000	98-1138212				AMIL International	LUX	NIA		Ownership	100.000	UnitedHealth Group Incorporated		ļ!
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]		00000	98-1110579				Amil Lifesciences Participações Ltda	BRA	NIA		Ownership	_100.000	UnitedHealth Group Incorporated	 	ļ
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		00000	98-1110579				Amil Lifesciences Participações Ltda	BRA	NIA	Geral Ltda.	Ownership	0.000	UnitedHealth Group Incorporated		ļ!
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		00000	98-1210271				Ltda.	BRA	NIA	S.A	Ownership	0.000	UnitedHealth Group Incorporated	l	l !
		00000	27-2068687				AppleCare Medical Management, LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership.	100.000	UnitedHealth Group Incorporated		
		00000	26-4312858				ARC Infusion, LLC	CA	NIA	SCP Specialty Infusion, LLC	Ownership	_100.000	UnitedHealth Group Incorporated		
		00000	86-0813232				Arizona Physicians IPA, Inc.	AZ	IA	UnitedHealthcare, Inc.	Owner ship.	100.000	UnitedHealth Group Incorporated		
		00000	90-0369702	1			ASI Global, LLC	TX	NIA	FrontierMEDEX, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	26-3878957				AssuranceRx, LLC	AL	NIA	BriovaRx. LLC	Ownership	100.000	UnitedHealth Group Incorporated		[
		00000	47-0990056		0001529111		Audax Health Solutions, LLC	DE	NIA	Rally Health, Inc.	Ownership		UnitedHealth Group Incorporated		
		00000	80-0368187		5551020111		Aveta Arizona, Inc.	A7	NIA	NAMM Holdings, Inc.	Ownership.	100.000	UnitedHealth Group Incorporated		
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		00000	. 90-0632302 20-4057813		0001355487		Aveta Health Solutions Inc.	DE	NIA	NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	27-2823524		0001300487		Aveta Inc	KS	NIA	Collaborative Care Holdings, LLC NAMM Holdings, Inc.	Ownership	100.000 100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	36-4704309				Aveta Tennessee, Inc	No		NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	26-2565032				AxelaCare Health Solutions. LLC	DE	NIA	BriovaRx Infusion Services. Inc.	Ownership	100.000	UnitedHealth Group Incorporated		·····
		00000	30-0842394				AxelaCare Intermediate Holdings, LLC	DE	NIA	OptumRx. Inc.	Ownership	_100.000	UnitedHealth Group Incorporated		ll
		00000	61-1708598				AxelaCare, LLC	DE	NIA	AxelaCare Intermediate Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		·
		00000	88-0267857				Behavioral Healthcare Options, Inc.	NV	NIA	Sierra Health Services. Inc.	Ownership	100.000			
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		00000	98-1112673	l			Bosque Medical Center Ltda	BRA	NIA	The state of the s	Ownership	81.653	UnitedHealth Group Incorporated		L
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		00000	98-1112673				Bosque Medical Center Ltda.	BRA	NIA	S.A	Ownership	18.347	UnitedHealth Group Incorporated		
		00000	27-3918706		0001507772	l	BriovaRx Infusion Services, Inc.	DE	NIA	AxelaCare, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	20-4515146				BriovaRx of California, Inc	CA	NIA	Salveo Specialty Pharmacy, Inc	Owner ship	100.000			
		00000	11-3647935				BriovaRx of Florida, Inc.	DE	NIA	OptumRx PBM of Illinois, Inc.	Ownership				ļl
		00000	27-1930321				BriovaRx of Georgia, LLC	GA		BriovaRx, LLC	Ownership		UnitedHealth Group Incorporated		
		0000Q	27-2348504				BriovaRx of Hawaii, LLC	HI		OptumRx PBM of Illinois, Inc	Ownership		UnitedHealth Group Incorporated		
		00000	46-2731176				BriovaRx of Indiana, LLC	IN		OptumRx PBM of Illinois, Inc	Ownership		UnitedHealth Group Incorporated		ļl
		00000	46-2790537				BriovaRx of Louisiana, LLC	LA		BriovaRx, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	01-0516051		0001601630		BriovaRx of Maine, Inc.	ME	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		ļl
		00000	27-3331130				BriovaRx of Massachusetts, LLC	MA		OptumRx PBM of Illinois, Inc.	Ownership				·····
		00000	45-2532834				BriovaRx of Nevada, LLC	W		OptumRx PBM of Illinois, Inc.	Ownership				·····
		00000 00000	74-3103518 20-2719823	l			BriovaRx of New York, Inc	NY TX		Salveo Specialty Pharmacy, Inc BriovaRx of Florida. Inc.	Ownership	100.000 100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	55-0824381		0001601629		BriovaRx LLC	AL		BriovaRx of Maine. Inc.	Owner ship.		UnitedHealth Group Incorporated		
		00000	46-1981651		000 100 1029		Cardio Management, Inc.	DE	NIA	OrthoNet Holdings, Inc.	Owner ship	_100.000	UnitedHealth Group Incorporated		·····
		00000	20-8375685				Care Improvement Plus Group Management, LLC	MD MD	NIA	XLHealth Corporation	Ownership	_100.000	UnitedHealth Group Incorporated		
		90000	20 00/0000				Care Improvement Plus of Texas Insurance	mD		ALICAT III COI POI AT I OII	owner strip		officeurearth droup moorporated		
0707	UnitedHealth Group Incorporated	12558	45-4976934				Company	TX	IA	XLHealth Corporation	Ownership	_100.000	UnitedHealth Group Incorporated		1 1
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0707	UnitedHealth Group Incorporated	12567	20-3888112				Company	AR	IA	XLHealth Corporation	Ownership.	100,000	UnitedHealth Group Incorporated		l
			1				Care Improvement Plus Wisconsin Insurance					Γ			T
0707	UnitedHealth Group Incorporated	14041	27-5038136				Company	WI	IA	XLHealth Corporation	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	98-1328471				Casa de Saúde Santa Therezinha S.A	BRA	NIA	Hospital Alvorada de Taguatinga Ltda	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-5807941				Catalyst360, LLC	DE		Optum Services, Inc.	Ownership	100.000			ļ
		00000	46-0666840		0001600768		Catamaran Health Solutions, LLC	DE		OptumRx Administrative Services, LLC	Ownership		UnitedHealth Group Incorporated		ļ
		00000	80-0870454		0001600637		Catamaran Holdings I, LLC	DE		OptumRx Group Holdings, Inc	Ownership				ļl
		00000	20-0218027				Catamaran IPA III, Inc.	NY	NIA	Catamaran PBM of Illinois II, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	27-4241298				Catamaran Mail, LLC	DE		Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	27-3419292		0004000740		Catamaran of Pennsylvania, LLC	DE	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	. 36-4049815 26-1424534		0001600742		Catamaran PBM of Illinois II, Inc Catamaran PBM of Puerto Rico. LLC	IL N/	NIA	OptumRx PBM of Maryland, Inc OptumRx PBM of Maryland, Inc	Ownership	100.000 _100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	16-1767416	l			Catamaran PDM of Puerto HICO, LLC	NV		Catamaran of Pennsylvania, LLC	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
I		00000	26-1438879				Catamaran PD of Puerto Rico, LLC	PA	NIA	OptumRx PBM of Maryland, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
I		00000	26-3633484	l	0001601643		Catamaran Rebate Management, Inc.	NV		OptumEx PBM of Maryland, Inc.	Ownership.	_100.000	UnitedHealth Group Incorporated		
I		00000	98-1069737		040 100 1040		Catamaran S.á r.I.	LUX	NIA	OptumRx Group Holdings, Inc	Ownership	_100.000	UnitedHealth Group Incorporated		
		00000	26-0543382				Catamaran Senior Services, LLC	AL	NIA	Optum Hospice Pharmacy Services, LLC	Ownership		UnitedHealth Group Incorporated		
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		00000	98-1111491	l			Geral Ltda.	BRA	NIA		Ownership	_100,000	UnitedHealth Group Incorporated		<u> </u>
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		00000	98-1111491				Geral Ltda.	BRA	NIA	Amico Saúde Ltda.	Ownership	0.000	UnitedHealth Group Incorporated		<u> </u>
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ļ		00000	98-1310461	l	I	l	Centro Médico PJ Ltda	BRA	NIA	S.A	Ownership	99 990	UnitedHealth Group Incorporated	l	L

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						Name of Securities			Relation-		Board,	Owner-			
						Exchange		Domi-	ship		Management,	ship		Filing	1
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		00000	98-1310461				Centro Médico PJ Ltda	BRA	NIA	Geral Ltda	Ownership	.L.0.010	UnitedHealth Group Incorporated		1
		00000	98-1093539				ChinaGate (Hong Kong) Limited	_HKG	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		1
		00000	98-1094627				ChinaGate Company Limited	CHN	NIA	ChinaGate (Hong Kong) Limited	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	00 1004021				Clinica Oftalmologica Danilo de Castro			offinadate (folig Kong) Efficient	Office Sirip		officeulearth droup flicorporated		
		00000	98-1337965				Sociedade Simples	BRA	NIA	Hospital Alvorada de Taguatinga Ltda	Ownership	99.667	UnitedHealth Group Incorporated		1
		00000	80-1337803				Clinica Oftalmologica Danilo de Castro	Dn/L	NIA	Lotten-Eyes Oftalmologia Clinica e	Owner Sirrp	38.007	officedlearth Group Theorporated		-
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		00000	98-1337965				Sociedade Simples	BRA	NIA	Cirurgica Ltda	Ownership	0.333	UnitedHealth Group Incorporated		
		00000	00 4007000				CMO — Centro Médico de Oftalmologia S/S Ltda.	nn.			la	00.000			
		0000Q	98-1337968					BRA	NIA	Hospital Alvorada de Taguatinga Ltda	Ownership	99.000	UnitedHealth Group Incorporated	·	
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		00000	98-1337968					BRA	NIA	Cirurgica Ltda	Ownership	1.000	UnitedHealth Group Incorporated	[-
							CMS — Central de Manipulação e Serviços			COI — Clínicas Oncológicas Integradas S.A.	L	I			
		0000Q	98-1277015				Farmacêuticos S.A	BRA	NIA		Ownership	100.000	UnitedHealth Group Incorporated		
							Coachella Valley Physicians of PrimeCare,				l	1			1
		00000	56-2674371				Inc	CA	NIA	PrimeCare Medical Network, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
							Coalition for Advanced Pharmacy Services,								1
		00000	27-1193028				Inc	DE	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1276040				COI — Clínicas Oncológicas Integradas S.A	BRA	NIA	COI Participações S.A.	Ownership.	100.000	UnitedHealth Group Incorporated		
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		00000	98-1275801				COI Participações S.A	BRA	NIA	S A	Owner ship	87.270	UnitedHealth Group Incorporated		2
		00000	27-2337616				Collaborative Care Holdings, LLC	DE	NIA	OptumHealth Holdings, LLC	Owner ship	100.000	UnitedHealth Group Incorporated		1
		00000	27-2337487				Collaborative Care Services, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		1
		00000	27-3470466				Collaborative Care Solutions, LLC	DE	NIA	Collaborative Care Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		1
		00000	45-2614005				Collaborative Galty, LLC	NY	NIA	Collaborative Care Holdings, LLC	Ownership	L100.000	UnitedHealth Group Incorporated		
		00000	11-3647007				Comfort Care Transportation, LLC	TX	NIA	WellMed Medical Management, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	61-1351358				Commonwealth Administrators, LLC	KY	NIA	UMR. Inc.	Owner ship.	100.000	UnitedHealth Group Incorporated	l	-
			20-1825933				Connextions HCI. LLC	FL	NIA	Connextions, Inc.	Owner ship	100.000			
		00000											UnitedHealth Group Incorporated		
		00000	59-3684411				Connextions, Inc.	FL	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-5654789				Crescent Drug Corp	NY	NIA	Salveo Specialty Pharmacy, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	26-0080565				Cypress Care, Inc.	DE	NIA	Healthcare Solutions, Inc	Ownership	100.000	UnitedHealth Group Incorporated		- -
		00000					Day-Op Surgery Consulting Company, LLC	DE	NIA	ProHEALTH Medical Management, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	52-1811176				DBP Services of New York IPA, Inc	NY	NIA	Dental Benefit Providers, Inc	Ownership	100.000	UnitedHealth Group Incorporated	[
							Dental Benefit Providers of California, Inc.				ĺ	1			
		00000	52-1452809	l				CA	IA	Dental Benefit Providers, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	52053	36-4008355				Dental Benefit Providers of Illinois, Inc	IL	IA	Dental Benefit Providers, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	l	
		0000Q	41-2014834				Dental Benefit Providers, Inc	DE	NIA	United HealthCare Services, Inc	Owner ship	100.000	UnitedHealth Group Incorporated		
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		00000	98-1285762				Dilab Medicina Nuclear Ltda.	BRA	NIA	S.A	Ownership	85.000	UnitedHealth Group Incorporated	[1
		00000	30-0238641				Distance Learning Network, Inc.	DE	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		T
		00000					Duncan Printing Services, LLC	SC	NIA	UnitedHealthcare Insurance Company	Ownership.	100.000	UnitedHealth Group Incorporated		1
		00000	59-3625966				DWIC of Tampa Bay, Inc.	FL	NIA	MedExpress Development, LLC	Owner ship.	100.000	UnitedHealth Group Incorporated		1
		00000	84-1162764				Electronic Network Systems, Inc.	DE	NIA	OptumInsight, Inc.	Owner ship	100.000	UnitedHealth Group Incorporated		1
		00000	98-1103713				ELG FZE	ARE	NIA	Frontier MEDEX Limited	Ownership	100.000	UnitedHealth Group Incorporated	[·	1
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		00000	98-1339173				Elual Participações S.A	BRA	NIA	F-L-	Ownership	000.00.	UnitedHealth Group Incorporated		
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		00000	98-1339173				Elual Participações S.A	BRA	NIA	S.A	Ownership	40.000	UnitedHealth Group Incorporated		
				1						North American Medical Management	l	1			1
		0000Q					Empire Physician Management Company, LLC	CA	NIA	California, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	1	I	l		EP Campus I, LLC	DE	NIA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated		
							Esho — Empresa de Serviços Hospitalares S.A.	BRA		Amil Assistência Médica Internacional S.A.		99.225			1

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				1		Name of Securities			Relation-		Board,	Owner-		SCA	
				1		Exchange		Domi-	ship		Management,	ship		Filing	
		NAIC		1		if Publicly Traded	Names of	ciliary	to		Attorney-in-Fact,	Provide		Re-	
Group		Company	ID	Federal		(U.S. or	Parent, Subsidiaries	Loca-	Reporting	Directly Controlled by	Influence,	Percen-	Ultimate Controlling	quired?	
Code	Group Name	Code	Number	RSSD	CIK	International)	Or Affiliates	tion	Entity	(Name of Entity/Person)	Other)	tage	Entity(ies)/Person(s)	(Y/N)	*
							Etho — Empresa de Tecnologia Hospitalar Ltda.			Amil Assistência Médica Internacional S.A.				()	
		00000	98-1122399	.				BRA	NIA		Ownership	71.920	UnitedHealth Group Incorporated		1
		00000	86-0964571				Evercare Collaborative Solutions, Inc	DE	NIA	Ovations, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
				1						Esho — Empresa de Serviços Hospitalares					
		00000	98-1111239	.			Excellion Serviços Biomédicos Ltda	BRA	NIA	S.A	Ownership	100.000	UnitedHealth Group Incorporated		
				1						Cemed Care - Empresa de Atendimento Clínico)				
		00000	98-1111239	.			Excellion Serviços Biomédicos Ltda	BRA	NIA	Geral Ltda.	Ownership	0.000	UnitedHealth Group Incorporated		
		00000	11-3669765	.			Executive Health Resources, Inc.	PA	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1259260	·			Exploration for Mine Clearance LLC	IRQ	NIA	Frontier MEDEX Limited	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	88-0223385 88-0257036				Family Health Care Services	N/	NIA	Sierra Health Services, Inc Sierra Health Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	26-4106571				Family Home Hospice, Inc First Rx Specialty and Mail Services, LLC	NV DE	NIA NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	35-2456267				FMG Holdings, LLC	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated		
l		00000	86-0908902				For Health of Arizona, Inc.	AZ	NIA	For Health Inc	Ownership		UnitedHealth Group Incorporated		
		00000	33-0766617				For Health, Inc.	DE	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1029201				Frontier MEDEX Limited	GBR	NIA	UnitedHealthcare International I B.V.	Ownership.	100.000	UnitedHealth Group Incorporated		
		00000	98-1172769				Frontier Medex Tanzania Limited	TZA	NIA	Frontier MEDEX Limited	Owner ship.	99.000	UnitedHealth Group Incorporated		
		00000	98-1172769				Frontier Medex Tanzania Limited	TZA	NIA	FrontierMEDEX Limited	Ownership	1.000	UnitedHealth Group Incorporated		
		00000	68-0679514				FrontierMEDEX (RMS), Inc.	DE	NIA	FMG Holdings. LLC	Ownership.	100.000	UnitedHealth Group Incorporated		
		00000	45-5339512				FrontierMEDEX Government Services, LLC	DE	NIA	FMG Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	98-1147103				FrontierMEDEX Kenya Limited	KEN	NIA	Frontier MEDEX Limited	Ownership	99.900	UnitedHealth Group Incorporated		
		0000Q	. 98-1147103				FrontierMEDEX Kenya Limited	KEN	NIA	UnitedHealthcare International I B.V	Ownership	0.100	UnitedHealth Group Incorporated		
		00000	98-1101521	.			FrontierMEDEX Limited	IRQ	NIA	Frontier MEDEX Limited	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	33-1219808	.			FrontierMEDEX US, Inc.	DE	NIA	FMG Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	. 52-2230470	.			FrontierMEDEX, Inc	MN	NIA	FrontierMEDEX US, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	. 37-0920164	.			gethealthinsurance.com Agency Inc	IN	NIA	Golden Rule Financial Corporation	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-3420886				Golden Outlook, Inc.	CA	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
0707		00000	37-0855360	0057000			Golden Rule Financial Corporation	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	62286 00000	37-6028756 . 75-2196224	3057283			Golden Rule Insurance Company	IN	NIA	Golden Rule Financial Corporation BriovaRx Infusion Services, Inc	Ownership	100.000 99.950	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	75-2196224				Guardian Health Systems Limited Partnership . Guardian Health Systems Limited Partnership .	OK	NIA	AxelaCare Health Solutions, LLC	Ownership	0.050	UnitedHealth Group Incorporated		
		00000	98-0213198				H&W Indemnity (SPC), Ltd	OK CYM	NIA	UnitedHealth Group Incorporated	Owner ship	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	79480	35-1279304				Harken Health Insurance Company	WI	ΙΔ	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	23-2171049				Health Business Systems, Inc.	PA	NIA	OptumRx Administrative Services, LLC	Owner ship.	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	43893	13-3584296	l			Health Net Insurance of New York, Inc.	NY	IA	Oxford Health Plans LLC	Ownership.	100.000	UnitedHealth Group Incorporated		
		00000	98-0153069				Health Net Services (Bermuda) Ltd.	BMU	NIA	Oxford Health Plans LLC	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	96342	88-0201035				Health Plan of Nevada, Inc.	NV	IA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1098167	.			Health Technology Analysts Pty Limited	AUS	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	95-4763349	.			HealthAllies, Inc.	DE	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	77-0693060	.			Healthcare Solutions, Inc.	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	84-1472832	-			Highlands Ranch Healthcare, LLC	CO	NIA	Urgent Care MSO, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	93-1103256	·			Home Care I.V. of Bend, LLC	OR	NIA	SCP Specialty Infusion, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	27-0668812	·			Home Infusion With Heart, LLC	NE TN	NIA NIA	BriovaRx Infusion Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	20-8910978				Hospice Inspiris Holdings, Inc.	INC	NIA	Inspiris, Inc Esho — Empresa de Servicos Hospitalares	Ownership	100.000	Onlitednealth Group Incorporated		
		00000	98-1286038	1			Hospitais Associados de Pernambuco Ltda	BRA	NIA	e A	Ownership	90.000	UnitedHealth Group Incorporated		4
		0000	60-1200030	1			inospitato Associados de Pernambuco Etda	Dn/L	RIA	Amil Assistência Médica Internacional S.A.	Owner Stilp	30.000	on realieatin Group incorporated		
1		00000	98-1111920	1			Hospital Alvorada de Taguatinga Ltda	BRA	NIA	milli naalateikia meulka liitelilakityilä! 3.A.	Ownership	79.628	UnitedHealth Group Incorporated		
I		00000	98-1111920	1			Hospital Alvorada de Taguatinga Etda	BRA	NIA	Bosque Medical Center Ltda	Owner ship	20.372	UnitedHealth Group Incorporated		
				T						Esho — Empresa de Serviços Hospitalares			p involporation		
L		00000	98-1310065	.l	l		Hospital de Clínicas de Jacarepaguá Ltda	BRA	NIA	S.A	Ownership	100.000	UnitedHealth Group Incorporated		L
		I	I							Cemed Care - Empresa de Atendimento Clínico					
		00000	98-1310065	.	l		Hospital de Clínicas de Jacarepaguá Ltda	BRA	NIA	Geral Ltda.	Ownership	0.000	UnitedHealth Group Incorporated		

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						Name of Securities			Relation-		Board,	Owner-		SCA	
						Exchange		Domi-	ship		Management,	ship		Filing	
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Crown			ID	Fodoral			Parent, Subsidiaries			Directly Controlled by			Ultimate Centrelling		
Group Code	Constant	Company	ID Number	Federal RSSD	CIK	(U.S. or International)	Or Affiliates	Loca-	Reporting	Directly Controlled by (Name of Entity/Person)	Influence, Other)	Percen-	Ultimate Controlling Entity(ies)/Person(s)	quired?	
Code	Group Name	Code	Number	KSSD	CIK	international)	Or Allillates	tion	Entity		Other)	tage	Enuty(les)/Person(s)	(Y/N)	
		00000	00 4004050					2004		Esho — Empresa de Serviços Hospitalares		400 000			
		00000	98-1284950				Hospital Maternidade Promater Ltda	BRA	NIA	S.A	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1284950				Hospital Maternidade Promater Ltda	BRA	NIA	Seisa Serviços Integrados de Saúde Ltda Esho — Empresa de Servicos Hospitalares	Ownership	0.000	UnitedHealth Group Incorporated		
		00000	98-1328324				Hospital Samaritano de São Paulo Ltda	BRA	NIA	ESNO — Empresa de Serviços hospitatares	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1328324				Hospital Samaritano de São Paulo Ltda	BRA	NIA	Hospital Alvorada de Taguatinga Ltda	Ownership	0.000	UnitedHealth Group Incorporated		
		0000	98-1332673				Hospital Santa Helena S.A.	BRA	NIA	Elual Participações S.A.	Ownership	65.210	UnitedHealth Group Incorporated		
		00000	60-100Z010	l			Inopital balla lielella S.A.	Nn/L		Esho — Empresa de Serviços Hospitalares	Owner SITP		on realieattii Group Micorporated		
1		00000	98-1332673	l			Hospital Santa Helena S.A	RDA	NIA	C A	Ownership	34.790	UnitedHealth Group Incorporated		
I		00000	26-2912304	l	0001441730		Humedica. Inc.	BRA DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
I		00000	36-4331825	l	3001771700		Hygeia Corporation	DE	NIA	United Health Care Services, Inc.	Owner ship	100.000	UnitedHealth Group Incorporated		
			98-1099968				Hygeia Corporation	CAN	NIA	UnitedHealth Group International L.P.	Ownership	100.000	UnitedHealth Group Incorporated		
				l			Hygeia Corporation Imed Star — Serviços de Desempenho			Optum Health & Technology Serviços do		Τ			
		00000		l			Organizacional Ltda	BRA	NIA	Brasil Ltda.	Ownership	L100.000	UnitedHealth Group Incorporated		
							Imed Star — Serviços de Desempenho						,		
		00000		l			Organizacional Ltda.	BRA	NIA	UHG Brasil Participações S.A.	Ownership	0.000	UnitedHealth Group Incorporated		
		0000Q	75-2574317				Impel Consulting Experts, L.L.C.	TX	NIA	Impel Management Services, L.L.C	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	75-2574317				Impel Management Services, L.L.C	TX	NIA	USMD Holdings, Inc	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	47-0941801				Infusource, LLC	CA	NIA	SCP Specialty Infusion, LLC	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	62-1641102				Ingram & Associates, LLC	TN	NIA	Optum360, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	88-0482274				inPharmative, Inc.	NV	NIA	Catamaran Health Solutions, LLC	Owner ship	100.000	UnitedHealth Group Incorporated		
		0000Q	13-4138668				INSPIRIS of New York IPA, Inc	NY	NIA	Inspiris, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	13-4138665				INSPIRIS of New York Management, Inc	NY	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-5355196				Inspiris of Tennessee, Inc.	TN	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	26-2885572				INSPIRIS of Texas Physician Group	TX	NIA	Inspiris Services Company	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	26-0683057				Inspiris Services Company	TN	NIA	Inspiris, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	33-0766366				Inspiris, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
							International Psychological Services Pty			Optum Health & Technology (Australia) Pty					
		00000	98-1097022		·		Limited	AUS	NIA	Ltd	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q					IRX Financing I LLC	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	22 0400520				Lifeprint Accountable Care Organization, LLC	DE	NIA	Callabaration Casa Haldisan IIIC	0	400,000	Ibitedia Ith Come Income		
I		00000	32-0409538 45-3143218	l			Lifeprint East Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000						DE		Collaborative Care Holdings, LLC		100.000	UnitedHealth Group Incorporated		
I		00000 00000	27-2309024 39-1974851	l			LifePrint Health, Inc Logistics Health, Inc.	VE	NIA NIA	Collaborative Care Holdings, LLC OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
I		00000	38-18/4031	l			Lotten-Eyes Oftalmologia Clinica e Cirurgica	п1		optum earth horumgs, LLC	Owner Still		on realiearth Group incorporated		
1		00000	98-1337963	1	1		Ltda	BRA	NIA	Hospital Alvorada de Taguatinga Ltda	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	60-100/800				Lotten-Eyes Oftalmologia Clinica e Cirurgica	DIN	RIA	Esho — Empresa de Serviços Hospitalares	Owner Sitty	T 100.000	on realisatin Group Micorporated		
1		00000	98-1337963	l			Ltda.	BRA	NIA	S A	Ownership	0.000	UnitedHealth Group Incorporated		
I		00000	98-1137620	l			Lusíadas - Parcerias Cascais, S.A.	PRT	NIA	Lusíadas, SGPS, S.A.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1139095				Lusíadas A.C.E.	PRT	NIA	Lusíadas, SGPS, S.A.	Ownership.	70.000	UnitedHealth Group Incorporated		
I		00000	98-1139095				Lusíadas A.C.E.	PRT		Lusíadas S.A.	Ownership.		UnitedHealth Group Incorporated		
I		00000	98-1139095	l			Lusíadas A.C.E.	PRT	NIA	Lusíadas, S.A Lusíadas - Parcerias Cascais, S.A	Ownership	10.000	UnitedHealth Group Incorporated		[
		00000	98-1139089	l			Lusíadas, S.A.	PRT	NIA	Lusíadas, SGPS, S.A.	Ownership	100.000	UnitedHealth Group Incorporated		[
1		00000	98-1138570				Lusíadas, SGPS, S.A.	PRT	NIA	Amil International	Ownership	100.000	UnitedHealth Group Incorporated		
							Mamoeco — Mamografia e Ecografia, Centro de					1			
I		00000	98-1315536	l			Diagnóstico, Lda.	PRT	NIA	Lusíadas, S.A.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	52-2129787				MAMSI Insurance Resources, LLC	MD	NIA	OneNet PPO, LLC	Owner ship	100.000	UnitedHealth Group Incorporated		
D707	UnitedHealth Group Incorporated	60321	52-1803283				MAMSI Life and Health Insurance Company	MD	IA	United HealthCare Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	14-1782475				Managed Physical Network, Inc	NY	NIA	OptumHealth Care Solutions, Inc	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	20-2880404				March Holdings, Inc.	CA	NIA	Specialty Benefits, LLC	Owner ship	100.000	UnitedHealth Group Incorporated		l
		00000	20-3042852				March Vision Care, Inc.	CA	IA	March Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	43-1967820				Mat-Rx Development, L.L.C	TX	NIA	USMD Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
ļ		0000Q		l			Mat-Rx Fort Worth GP, L.L.C.	TX	NIA	Mat-Rx Development, L.L.C.	Ownership	100.000	UnitedHealth Group Incorporated		L

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Group		Company	ID.	Federal		(U.S. or	Parent, Subsidiaries	Loca-	Reporting	Directly Controlled by	Influence,	Percen-	Ultimate Controlling	quired?	ı l
Code	Group Name	Code	Number	RSSD	CIK	International)	Or Affiliates	tion	Entity	(Name of Entity/Person)	Other)	tage	Entity(ies)/Person(s)	(Y/N)	*
Oouc	Group Hume	Oodc	Humber	NOOD	Oilt	international	Of Fillinates	tion	Litaty	North American Medical Management	ouici)	tuge	Enary(les)in erson(s)	(1/14)	
		00000	42-1741594				MD Ops, Inc	CA	NIA	California. Inc	Ownership	L100.000	UnitedHealth Group Incorporated		i I
0707	UnitedHealth Group Incorporated	96310	52-1169135				MD-Individual Practice Association. Inc.	MD	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
			1							Optum Health & Technology Serviços do		T			
l		00000	l	l		l	Medalliance Net Ltda	BRA	NIA	Brasil Ltda.	Ownership	100.000	UnitedHealth Group Incorporated		l
		00000					Medalliance Net Ltda	BRA	NIA	UHG Brasil Participações S.A	Ownership	0.000	UnitedHealth Group Incorporated		
		00000	52-2178531				MEDEX Insurance Services, Inc.	MD	NIA	FrontierMEDEX, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-3824377				MedExpress Development, LLC	FL	NIA	Urgent Care MSO, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		l	l				MedExpress Urgent Care of Boynton Beach, LLC			L	l	l	I		, I
		00000	20-2545363				W.E. II I O O O O	FL	NIA	MedExpress Development, LLC	Ownership	100.000	UnitedHealth Group Incorporated		·
0707	UnitedHealth Group Incorporated	00000 12756	20-3391186				MedExpress Urgent Care, Inc Ohio Medica Health Plans of Florida, Inc.	0H FL	NIA	Urgent Care Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		·
	UnitedHealth Group Incorporated UnitedHealth Group Incorporated								IA IA	United HealthCare Services, Inc.	Ownership	100.000			
0707	Unitednealth Group Incorporated	00000	01-0788576 75-2566987				Medica HealthCare Plans, Inc Medical Clinic of North Texas PLLC	FL TX	NIA	United HealthCare Services, Inc USMD Affiliated Services	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	/3-230080/				Medical Preparatory School of Allied Health,	1/	NIA	USMD ATTITIATED SELVICES	Owner Strip	100.000	offitedhearth Group Theorporated		
		00000	26-4808018				LLC	XT	NIA	WellMed Medical Management, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		i I
		00000	32-0037402				Medical Transportation Services, LLC	FL	NIA	United HealthCare Services, Inc.	Owner ship		UnitedHealth Group Incorporated		
		00000	75-2682287				MedSynergies North Texas, LLC	TX	NIA	PHYS Holdings LLC	Ownership	70.000	UnitedHealth Group Incorporated		
		00000	75-2682287				MedSynergies North Texas, LLC	TX	NIA	PhyServe Holdings LLC	Ownership	30.000	UnitedHealth Group Incorporated		
		00000	75-2515691				MedSynergies, LLC	DE	NIA	Mustang Razorback Holdings, Inc.	Ownership	100,000	UnitedHealth Group Incorporated		
		00000	59-3392313				Metro I Stone Management, Ltd	TX	NIA	USMD Inc.	Ownership	000.000	UnitedHealth Group Incorporated		4
		0000Q	27-2252446				MHC Real Estate Holdings, LLC	CA	NIA	Monarch Management Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	46-3949765				MN Waypoint Sports Physical Therapy, Inc	DE	NIA	Orthology, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000					Mobile Medical Professionals, Inc.	IA	NIA	TeamMD Iowa, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	31-1191553				Modern Medical, Inc	OH	NIA	Healthcare Solutions, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	45-3142852				Monarch Management Services, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000					MSLA Management LLC	DE	NIA	Logistics Health, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1285432				Multiangio Ltda	DDA	NIA	Esho — Empresa de Serviços Hospitalares	0bi-	68.000	Ille: teal leed the Course Incommended		
		00000	47-1935798				Mustang Razorback Holdings, Inc.	BRA DE	NIA	OptumInsight Inc.	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		<u> </u>
		00000	47-1855780				MXMD Centros De Cancer, S. De R.L. De C.V	UC	NIA	USMD Cancer Treatment Centers, L.L.C.	Ownership	50.000	UnitedHealth Group Incorporated		4
		00000	20-3236839				NAMM Holdings, Inc.	DE	NIA	Aveta Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	95251	76-0196559				National Pacific Dental. Inc.	TX	IA	Dental Benefit Providers, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	95123	65-0996107				Neighborhood Health Partnership, Inc.	FL	IA	UnitedHealthcare. Inc.	Ownership	L100.000	UnitedHealth Group Incorporated		
		00000	20-4755277				Netwerkes, LLC	TN	NIA	Payment Resolution Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	46-3584152				Nevada Medical Services LLC	NV	NIA	Collaborative Care Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	95758	88-0228572				Nevada Pacific Dental	NV	IA	Dental Benefit Providers, Inc	Ownership	100.000	UnitedHealth Group Incorporated		,l
							North American Medical Management - Illinois,			I	l				, I
		00000	36-3984647				Inc.	IL	NIA	NAMM Holdings, Inc	Ownership	100.000	UnitedHealth Group Incorporated		;
		00000	00 0070055				North American Medical Management California,	The		MARK II LE		400 000			, I
		00000	33-0673955				Inc.	TN	NIA	NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		·
		0000Q	88-0245121				Northern Nevada Health Network, Inc.	N/	NIA	Sierra Health Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	63-0964525				Nutritional/Parenteral Home Care of Huntsville, Inc.	AL	NIA	Nutritional/Parenteral Home Care, Inc	Ownership	100.000	UnitedHealth Group Incorporated		, I
l		00000	63-1284325				Nutritional/Parenteral Home Care, Inc.	AL	NIA	Ambient Healthcare, Inc	Owner ship	100.000	UnitedHealth Group Incorporated		
l		00000	52-2129786				OneNet PPO. LLC	MD	NIA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	96940	52-1518174				Optimum Choice, Inc.	MD	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	47-0858534	3202702			Optum Bank, Inc.	UT	NIA	OptumHealth Financial Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
I		00000	36-3437660	1			Optum Biometrics, Inc.	IL	NIA	OptumHealth Care Solutions, Inc.	Ownership		UnitedHealth Group Incorporated		
		0000Q	45-3142512				Optum Clinical Services, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	37-1782217		0001641013		Optum Clinics Holdings, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	97.200	UnitedHealth Group Incorporated		1
		00000	38-3969193				Optum Clinics Intermediate Holdings, Inc	DE	NIA	Optum Clinics Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		I	I				Optum Global Finance (Ireland) Unlimited					1			, I
1		00000	98-1325466	1	1	I	Company	IRL	NIA	Optum Global Solutions (Ireland) Limited	Ownershin	100 000	UnitedHealth Group Incorporated		

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							Optum Global Solutions (India) Private								_
		0000Q	98-1103015				Limited	IND	NIA	Optum Global Solutions International B.V.	Ownership	99.900	.UnitedHealth Group Incorporated		د
		00000	00 4007004					ID.		UnitedHealthcare International II S.á r.l.		400 000			
		00000	98-1307821				Optum Global Solutions (Ireland) Limited	IRL	NIA		Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1097776				Optum Global Solutions (Philippines), Inc	PHL	NIA	Optum Global Solutions International B.V.	Ownership	99.992	UnitedHealth Group Incorporated		6
		00000	98-1201187				Optum Global Solutions International B.V	NLD	NIA	Optum Technology, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	04-3574101				Optum Government Solutions, Inc.	DE	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
1		00000	00 1105040		1		Optum Health & Technology (Australia) Pty Ltd	ALIC	M/ A	Onton IN Calutions Communicated	Orașekia	100 000	United Health Commitment to		
		00000	98-1185943				Onton Health & Technology (India) Deignate	AUS	NIA	Optum UK Solutions Group Limited	Ownership	100.000	UnitedHealth Group Incorporated		
1		00000	98-1095799		1		Optum Health & Technology (India) Private	IND	NIA	OptumHealth International B.V.	Ownership	99,996	UnitedHealth Group Incorporated		
		90000	90-1093/99		l		Optum Health & Technology (India) Private	INU	NIA	optumnearth international b.v.	owner sirtp	99.990	onitednealth Group Incorporated		
1		00000	98-1095799				Limited	IND	NIA	United Behavioral Health	Ownership	L_0.004	UnitedHealth Group Incorporated		
I		00000	86 10801-09				Optum Health & Technology (Singapore) Pte.	IND	NIA	Onited Dendylvial Health	Owner Sirip	+00.u.	Jointeurearth Group Thouspurated		
		00000	98-1097886				Ltd.	SGP	NIA	OptumHealth International B.V.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1095879		l		Optum Health & Technology (UK) Limited	GBR	NIA	Optum UK Solutions Group Limited	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-2149493				Optum Health & Technology (US), LLC	MO	NIA	United Behavioral Health	Ownership	L100.000	UnitedHealth Group Incorporated		
		00000	20-2148480				Optum Health & Technology Holdings (US), LLC	MU	NIA	Officed Deliavioral Tearth	Owner Sirrp		Officeurearth Group Theorporated		
		00000	43-1747235				optum hearth a recimology horarings (65), ELC	MO	NIA	Optum, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	40 1141200				Optum Health & Technology Serviços do Brasil	mv		optuii, mo.	Owner Sirip		officeulearth droup fileorporated		
		00000	98-1184561				I tha	BRA	NIA	Optum Global Solutions International B.V.	Ownership	99.996	UnitedHealth Group Incorporated		
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		00000	98-1184561				Ltda.	BRA	NIA	OptumInsight, Inc.	Ownership	0.004	UnitedHealth Group Incorporated		
		00000	98-1276517				Optum Health and Technology FZ-LLC	ARE	NIA	Optum Global Solutions International B.V.	Ownership	100.000	UnitedHealth Group Incorporated		
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		00000	98-1097921				Optum Health Services (Canada) Ltd	CAN	NIA	LLC	Ownership	L100.000	UnitedHealth Group Incorporated		
		00000	98-1147355				Optum Health Solutions (UK) Limited	GBR	NIA	Optum UK Solutions Group Limited	Ownership	100.000	UnitedHealth Group Incorporated		l
		00000	58-2068880		0001460656		Optum Healthcare of Illinois, Inc.	GA	NIA	Optum Women's and Children's Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-0212381				Optum Hospice Pharmacy Services, LLC	DE	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	69647	31-0628424				Optum Insurance of Ohio, Inc.	OH	IA	OptumRx PBM of Maryland, Inc.	Owner ship	100.000	UnitedHealth Group Incorporated		l
		00000	46-4734521				Optum Labs Dimensions, Inc.	DE	NIA	Optum Labs, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1249178				Optum Labs International (UK) Ltd.	GBR	NIA	Optum. Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
I		00000	46-1615964		l		Optum Labs. Inc.	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1209730				Optum Life Sciences (Canada) Inc.	CAN	NIA	OptumInsight Life Sciences Inc	Ownership	100.000	UnitedHealth Group Incorporated		
							Optum Management Consulting (Shanghai) Co.,			Optum Health & Technology Holdings (US),					
		00000	98-1098190				Ltd.	CHN	NIA	LLC	Ownership	100.000	UnitedHealth Group Incorporated		<u> </u>
		l					Optum Nevada Accountable Care Organization					1			
		00000	90-1001805	l			LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		L
1					1		Optum Palliative and Hospice Care of			- '		1			
		00000	20-8911466				Pennsylvania, Inc.	N	NIA	Hospice Inspiris Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		ļ
1					1		Optum Palliative and Hospice Care of Texas,					1			
		0000Q	20-8911303				Inc	TN	NIA	Hospice Inspiris Holdings, Inc	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		00000	30-0226127				Optum Palliative and Hospice Care, Inc	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		00000	20-4581265				Optum Public Sector Solutions, Inc	DE	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		0000Q	46-3328009				Optum Rocket, Inc	DE	NIA	OptumInsight, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	66-0870003				Optum Services (Puerto Rico) LLC		NIA	UnitedHealthcare International III B.V	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	45-4683454				Optum Services, Inc.	DE	NIA	Optum, Inc	Ownership	100.000	UnitedHealth Group Incorporated		ļ
							Optum Solutions do Brasil — Tecnologia e					l			
		0000Q					Serviços de Suporte Ltda	BRA	NIA	Optum Global Solutions International B.V	Ownership	100.000	UnitedHealth Group Incorporated		
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1		l			1					Optum Health & Technology Holdings (US),	l	I			
ļ		00000	. 98-0644599		· [Optum Solutions UK Holdings Limited	GBR	NIA	LLC	Ownership		UnitedHealth Group Incorporated		
		00000	46-5713629				Optum Technology, Inc	DE	NIA	Optum, Inc	Ownership	100.000	UnitedHealth Group Incorporated	l	I

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Group		Company	ID	Federal		(U.S. or	Parent, Subsidiaries	Loca-	Reporting	Directly Controlled by	Influence.	Percen-	Ultimate Controlling	quired?	ĺ
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Couc	Group Hume	00000	68-0044962	NOOD	Oiit	international	Pharmaceutical Care Network	CA	NIA	PCN DE Corp.	Ownership	100.000	UnitedHealth Group Incorporated	(1714)	$\vdash \vdash$
		00000	04-3722897				Pharmacy Review Services, LLC	FL	NIA	Tmesvs. LLC	Owner ship		UnitedHealth Group Incorporated		
		00000	35-2288416				PHC Subsidiary Holdings, LLC	TX	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
			20-8016933				PHYS Holdings LLC	DE	NIA	PhyServe Holdings LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	20-8016984				PhyServe Holdings LLC	DE	NIA	MedSynergies, LLC	Ownership	100.000	UnitedHealth Group Incorporated		<u> </u>
										North American Medical Management -				J	1
		00000	80-0654665				Physician Care Partners, Inc.	IL	NIA	Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		ļ
0707	UnitedHealth Group Incorporated		04-3677255				Physicians Health Choice of Texas, LLC	TX	IA	PHC Subsidiary Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		ļ
ļ		0000Q	52-1162824				Physicians Health Plan of Maryland, Inc	MD	NIA	United HealthCare Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated	J	ļ
		00000	00 0740044				Plus One Health Management Puerto Rico, Inc.	nc		Disco Assert Library La	0	400.000	Heiterheith Asses /	,	1
l		00000 00000	66-0742844 13-3613705				Plus One Holdings. Inc.	PR DE	NIA NIA	Plus One Holdings, Inc OptumHealth Care Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
I		00000	80-0670247				PMI Acquisition, LLC	DE	NIA	Progressive Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated		l
		00000	27-0920536				PMSI Holdco II. LLC	DE	NIA	P2 Lower Acquisition, LLCP2	Ownership	100.000	UnitedHealth Group Incorporated		l
		00000	26-3148744				PMS1 Holdings, LLC	DE	NIA	PMSI Holdco II. LLC	Ownership	100.000	UnitedHealth Group Incorporated		l
			59-3166848				PMSI Settlement Solutions, LLC	FL	NIA	PMSI Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		·
			56-2422696				PMS1. LLC	FL	NIA	PMS1 Holdings, LLC	Owner ship.	L100.000	UnitedHealth Group Incorporated		
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		00000	98-1083164				Participações	BRA	NIA		Ownership	100.000	UnitedHealth Group Incorporated	J	Ĺ
		00000	47-5563848				Polo Holdco, LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership	80.100	UnitedHealth Group Incorporated		4
		0000Q	75-2741619				ppoONE, Inc.	DE	NIA	United HealthCare Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		0000Q	65-0683927				Preferred Care Partners Holding, Corp	FL	NIA	United HealthCare Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		00000	26-1845018				Preferred Care Partners Medical Group, Inc.	FL	NIA	Preferred Care Partners Holding, Corp	Ownership	100.000	UnitedHealth Group Incorporated		ļ
0707	UnitedHealth Group Incorporated	11176	65-0885893				Preferred Care Partners, Inc.	FL	IA	Preferred Care Partners Holding, Corp	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		00000	75-3265059				Premier Choice ACO, Inc	CA	NIA	PrimeCare Medical Network, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	88-0253112				Prime Health, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000 00000	33-0607478 87-0757397				PrimeCare Medical Network, Inc PrimeCare of Citrus Valley, Inc	CA	IA NIA	NAMM Holdings, IncPrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	33-0674407				PrimeCare of Corona, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Owner ship	00.000	UnitedHealth Group Incorporated		£
		00000	33-0674407				PrimeCare of Hemet Valley, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	33-0674408				PrimeCare of Inland Valley, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	33-0674402				PrimeCare of Moreno Valley, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		i
		00000	33-0674400				PrimeCare of Redlands. Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Owner ship.	100.000	UnitedHealth Group Incorporated		
		00000	33-0674404				PrimeCare of Riverside, Inc	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	14-1915328				PrimeCare of San Bernardino, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	33-0698439				PrimeCare of Sun City, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		00000	33-0674409				PrimeCare of Temecula, Inc	CA	NIA	PrimeCare Medical Network, Inc	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		00000	14-1873402				Procura Management, Inc.	DE	NIA	Healthcare Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	J	ļ
		00000	27-4371197				Progressive Enterprises Holdings, Inc.	DE	NIA	OptumRx, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	31-1192384				Progressive Medical, LLC	0H	NIA	PMI Acquisition, LLC	Ownership	100.000	UnitedHealth Group Incorporated		·····
		0000Q 0000Q	90-0642980 32-0229091				Progressive Solutions, LLC ProHEALTH Fitness of Lake Success, LLC	DE	NIA NIA	P2 Lower Acquisition, LLC ProHEALTH Medical Management, LLC	Ownership	100.000 .82.620	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
l		00000	47-1049961				ProHEALTH Medical Management, LLC	DENY	NIA	Collaborative Care Holdings, LLC	Ownership	80.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		2
		00000	45-5470737				ProHealth Physicians ACO, LLC	CT	NIA	ProHealth Physicians, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		£
		00000	06-1446075				ProHealth Physicians, Inc.	CT	NIA	Polo Holdco. LLC	Owner ship.	100.000	UnitedHealth Group Incorporated		·
		00000	32-0455430				ProHealth Proton Center Management, LLC	DE	NIA	ProHEALTH Medical Management, LLC	Owner ship.		UnitedHealth Group Incorporated		Ĺ
		00000	57-0861358				Pronetics Health Care Group, Inc.	SC	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		L
		00000	52-2016292				Quality Software Services, Inc.	MD	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	26-3168754				R&H Family Fitness Unlimited LLC	TX	NIA	WellMed Medical Management, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	35-2493256				Rally Health, Inc	DE	NIA	Optum Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	80-0947972				Real Appeal, Inc.	DE	NIA	UnitedHealth Group Ventures, LLC	Ownership	98.000	UnitedHealth Group Incorporated		6
		00000					Riverside Medical Management, LLC	DE	NIA	ProHEALTH Medical Management, LLC	Ownership	100.000	UnitedHealth Group Incorporated		ļ
ļ		00000	45-2219585		0001522802		Salveo Specialty Pharmacy, Inc.	DE	NIA	OptumPx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated		ļ
		00000	l	l			Santa Helena Assistência Médica S.A	BRA	NIA	Elual Participações S.A	Ownership	65.210	UnitedHealth Group Incorporated		

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						Name of Securities			Relation-		Board,	Owner-		SCA	1 /
						Exchange		Domi-	ship		Management,	ship		Filing	1 /
		NAIC				if Publicly Traded	Names of	ciliary	to		Attorney-in-Fact,	Provide		Re-	1 /
Group		Company	ID	Federal		(U.S. or	Parent, Subsidiaries	Loca-	Reporting	Directly Controlled by	Influence,	Percen-	Ultimate Controlling	quired?	1 /
Code	Group Name	Code	Number	RSSD	CIK	International)	Or Affiliates	tion	Entity	(Name of Entity/Person)	Other)	tage	Entity(ies)/Person(s)	(Y/N)	*
						,				Amil Assistência Médica Internacional S.A.				(1111)	\vdash
		00000					Santa Helena Assistência Médica S.A	BRA	NIA	Author Assistancia madrad internacional c.n.	Ownership	34.790	UnitedHealth Group Incorporated	. 1	1 /
		00000	27-2635371				SCP Specialty Infusion, LLC	DE	NIA	BriovaRx Infusion Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		[]
		00000	88-0492251				ScripNet, LLC	DE	NIA	Healthcare Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1097822				ScriptSwitch Limited	GBR	NIA	Optum UK Solutions Group Limited	Ownership	100.000	UnitedHealth Group Incorporated		
			00 1007022				our profession Emilieu			Amil Assistência Médica Internacional S.A.	Owner Sirip		direction out the droup Theorperated		
		00000	98-1202716				Seisa Serviços Integrados de Saúde Ltda	BRA	NIA	Amili Assistanta maaraa intarnaarahar C.A.	Ownership	100.000	UnitedHealth Group Incorporated	. 1	1 /
			1202110				ocisa cerviços integrados de oddae Etda.			Cemed Care - Empresa de Atendimento Clínico	ounce strip		on tourcartir droup moorporated		
		0000Q	98-1202716				Seisa Serviços Integrados de Saúde Ltda	BRA	NIA	Geral Ltda.	Ownership	0.000	UnitedHealth Group Incorporated	. 1	1 /
			1202110	1			out out 1 you mitogrados de oddas Etda			North American Medical Management -	отпологир		Sintomost til droup moorporatod		[
		00000	20-4763091		1		Senior Care Partners, Inc	IL	NIA	Illinois. Inc.	Ownership	100.000	UnitedHealth Group Incorporated	. /	1 /
		00000	27-1533951	I	0001487203		Serguinox Holdings LLC	DE	NIA	BriovaRx Infusion Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		[
		0000Q	27-1533840				Serquinox LLC	DE	NIA	Serguinox Holdings LLC	Ownership	100.000	UnitedHealth Group Incorporated		
							Sierra Health and Life Insurance Company.						The state of the s		[
0707	UnitedHealth Group Incorporated	71420	94-0734860				Inc.	NV	IA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	. /	1 /
	on tourbuilti droup moorporatou	00000	88-0200415		0000754009		Sierra Health Services, Inc.	NV	NIA	UnitedHealthcare. Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	88-0254322				Sierra Health-Care Options. Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		0000	88-0385705				Sierra Home Medical Products, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	88-0264562				Sierra Nevada Administrators, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-3741084				Sirona Infusion, L.L.C.	AZ	NIA	SCP Specialty Infusion, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	88-0201420				Southwest Medical Associates, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	38-2609888				Southwest Michigan Health Network Inc.	MI	NIA	UnitedHealthcare, Inc.	Ownership		UnitedHealth Group Incorporated		
		00000	41-1921983				Specialty Benefits, LLC	DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	71-0886811				Spectera of New York, IPA, Inc.	NY	NIA	Spectera. Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	52-1260282				Spectera, Inc.	MD	NIA	Specialty Benefits, LLC	Owner ship.	100.000	UnitedHealth Group Incorporated		
		00000	JE 1200202				Sports and Spinal Physical Therapy, Inc	DC	NIA	Orthology, Inc.	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	46-5587702				Spotlite, Inc.	DE	NIA	Rally Health, Inc.	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	27-0008097				StoneRiver P2P Link, LLC	DE	NIA	StoneRiver Pharmacy Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	62-1770924				StoneRiver Pharmacy Solutions, LLC	DE	NIA	Progressive Solutions. LLC	Owner ship	100.000	UnitedHealth Group Incorporated		
		00000	90-0884047				Summit Home Infusion, LLC	DE	NIA	BriovaRx Infusion Services, Inc.	Ownership		UnitedHealth Group Incorporated		
		00000	1404000				SXC Comet. LLC	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	46-1536748				Symphonix Health Holdings, LLC	DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated	84549	38-2044243				Symphonix Health Insurance, Inc.	IL	IA	Symphonix Health Holdings, LLC	Owner ship	100.000	UnitedHealth Group Incorporated		
101	om tourcartif droup filotipolated	00000	2044240				TeamMD Holdings, Inc	DE	NIA	UnitedHealth Group Ventures, LLC	Owner ship.	80.000	UnitedHealth Group Incorporated		1
		00000	1				TeamMD lowa, Inc.	DE	NIA	TeamMD Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		· · · · · · · · · · · · · · · · · · ·
		00000	56-1970224		0001284028		The Lewin Group, Inc.	NC	NIA	Optum Public Sector Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		l
		00000	25-1825549				Three Rivers Holdings, Inc.	DE	NIA	AmeriChoice Corporation	Owner ship		UnitedHealth Group Incorporated		İ
		00000	59-3143128				Tmesys. LLC	FL	NIA	PMSI Holdings, LLC	Owner ship.	100.000	UnitedHealth Group Incorporated		
			00 0170120	l				l'		Esho — Empresa de Serviços Hospitalares	onio, onip		om tourout in Group Thou por a tou		
		00000	98-1287904				Topimagem Diagnóstico por Imagem Ltda.	BRA	NIA	S.A.	Ownership	89.000	UnitedHealth Group Incorporated	. /	1 1
l		00000	52-1431155	l			Travel Express Incorporated	MD	NIA	FrontierMEDEX, Inc.	Owner ship	00.000	UnitedHealth Group Incorporated		·
		00000	20-4963945				Trinity Infusion, Inc.	NC	NIA	Ambient Healthcare Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	94-3077084	l			U.S. Behavioral Health Plan, California	CA	IA	United Behavioral Health	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	98-1113428	l			UHC Global Health Services BC Ltd	CAN	NIA	United Benavioral Rearth	Ownership	100.000	UnitedHealth Group Incorporated		l
		00000	41-1913059				UHC International Services, Inc.	DE	NIA	UnitedHealth Group Incorporated	Owner ship.	100.000	UnitedHealth Group Incorporated		l
		00000	95-2931460		0001225831		UHC of California	CA	14	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		l
		00000	00 200 1400		0001220001		VIO VI VAITIVIIII	Urt	in	Polar II Fundo de Investimento em	outlot strip	100.000	onitourouttii uroup moorporateu		l
		00000	98-1122490		1		UHG Brasil Participações S.A	BRA	NIA	Participações	Ownership	100.000	UnitedHealth Group Incorporated	. 1	1
		00000	41-1921008				UHIC Holdings, Inc.	DE	NIA	United HealthCare Services, Inc.	Ownership.	100.000	UnitedHealth Group Incorporated		l
		00000	14-1892398				Ultima Rx. LLC	FL		United HealthCare Services, Inc.	Owner ship.	100.000	UnitedHealth Group Incorporated		İ
		00000	39-1995276	l			UMR. Inc.	DE	NIA	United HealthCare Services, Inc	Owner ship	100.000	UnitedHealth Group Incorporated		İ
0707	UnitedHealth Group Incorporated	91529	52-1996029				Unimerica Insurance Company	WI	IA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		· · · · · · · · · · · · · · · · · · ·
1010	om teureattii uruup moorporateu	91020	02-1000020				Unimerica Trisurance Company	"'	IA	optumeatth holdings, LEV	Office and p	100.000	on realizatin droup meorporated		l
0707	UnitedHealth Group Incorporated	11596	01-0637149				Online Iva Life Insurance Company of New York	NY	IA	UnitedHealthcare Insurance Company	Ownership	100,000	UnitedHealth Group Incorporated	. !	1
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SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

	PART TA - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM														
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						Name of Securities		l	Relation-		Board,	Owner-		SCA	1 /
						Exchange		Domi-	ship		Management,	ship		Filing	1 /
		NAIC				if Publicly Traded	Names of							-	1 /
		NAIC	ID.	F-4			Names of	ciliary	to	Discoults October 11 and 15 and	Attorney-in-Fact,	Provide	1116	Re-	1 /
Group		Company	, ID	Federal	0114	(U.S. or	Parent, Subsidiaries	Loca-	Reporting	Directly Controlled by	Influence,	Percen-	Ultimate Controlling	quired?	1 . !
Code	Group Name	Code	Number	RSSD	CIK	International)	Or Affiliates	tion	Entity	(Name of Entity/Person)	Other)	tage	Entity(ies)/Person(s)	(Y/N)	لـنـــا
		00000	25-1877716				Unison Administrative Services, LLC	PA	NIA	Three Rivers Holdings, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	20-5917714				Unison Health Plan of Delaware, Inc.	DE	IA	Three Rivers Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	94-2649097				United Behavioral Health	CA	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	44 4000044					NR/	NIA	Hallad Balandara Libraria	0 1 :-	400.000	Heiter Health Access to the control of		1 /
		00000	. 41-1868911 . 41-1941615				Inc United Health Foundation	NY	NIA	United Behavioral Health UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
		00000	41-1289245	3410132	0001310133		United HealthCare Services, Inc.		NIA	UnitedHealth Group Incorporated	Owner ship	100.000	UnitedHealth Group Incorporated		
	· · · · · · · · · · · · · · · · · · ·	00000	41-1209243	3410132	0001310133		United Resource Networks IPA of New York,	MN	NIA	OTTLEWNEATER GLOUP INCORPORATED	Owner Strip	100.000	oniteurearth droup incorporated		·
1		00000	30-0318238	1			Inc	NY	NIA	OptumHealth Care Solutions, Inc	Ownership		UnitedHealth Group Incorporated		1 /
		00000	01-0538317				UnitedHealth Advisors, LLC	ME	NIA	United HealthCare Services, Inc	Owner ship.		UnitedHealth Group Incorporated		
		00000					UnitedHealth Group Global Healthcare Services	 		on tou martinoare out rives, inc.	Oπior Siriμ	100.000	onitourouttii uroup moorporated		ļ
1		00000	98-1097761				Limited	IRL	NIA	Optum Global Solutions International B.V.	Ownership.	100.000	UnitedHealth Group Incorporated		1 /
		00000	41-1321939	4665014	0000731766	New York Stock Exchange	UnitedHealth Group Incorporated	DE	UIP	U.T.			The state of the s		[
]		1	Store Exeritings	UnitedHealth Group Information Services			Optum Global Solutions (India) Private		T			[]
l		00000	98-1093259				Private Limited	IND	NIA	Limited	Ownership	100.000	UnitedHealth Group Incorporated		l !
		00000	98-1079826				UnitedHealth Group International GP	CYM	NIA	UnitedHealth Group Incorporated	Ownership	100,000	UnitedHealth Group Incorporated		[]
		00000	98-1080118				UnitedHealth Group International L.P.	CYM	NIA	UnitedHealth Group International GP	Ownership	84 984	UnitedHealth Group Incorporated		8
		00000	98-1080118				UnitedHealth Group International L.P.	CYM	NIA	FMG Holdings, LLC	Ownership	14.815	UnitedHealth Group Incorporated		8
		00000	98-1080118				UnitedHealth Group International L.P.	CYM	NIA	Hygeia Corporation	Ownership.	0.201	UnitedHealth Group Incorporated		8
		00000	46-3311984				UnitedHealth Group Ventures, LLC	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated		
		0000Q	41-1917398				UnitedHealth International, Inc.	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated		
							UnitedHealth Military & Veterans Services,	1				ı			1 /
		00000	26-2574977				LLC	DE	NIA	United HealthCare Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		<u> </u>
		00000	98-0559902				UnitedHealth UK Limited	GBR	NIA	Optum Solutions UK Holdings Limited	Ownership	100.000	UnitedHealth Group Incorporated		ļ ¹
D707	UnitedHealth Group Incorporated	95174	33-0115163		0001225840		UnitedHealthcare Benefits of Texas, Inc	TX	IA	United HealthCare Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		ļ <i>.</i>
							UnitedHealthcare Benefits Plan of California	1				ı			1 /
		00000	47-3221444					CA	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		ļ!
							UnitedHealthcare Community Plan of	1				ı			1 /
		00000	46-4348775				California, Inc	CA	IA	United HealthCare Services, Inc	Ownership	100.000	UnitedHealth Group Incorporated		/
							UnitedHealthcare Community Plan of Georgia,								1 /
0707	UnitedHealth Group Incorporated	13168	26-2688274				Inc.	GA	IA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated		/
							UnitedHealthcare Community Plan of Ohio, Inc.								1 /
D707	UnitedHealth Group Incorporated	12323	56-2451429					OH	IA	Three Rivers Holdings, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
0707	W 1 W 1 W 0		04 0000004				UnitedHealthcare Community Plan of Texas,	TV		0.1:		400 000	n : n .n o		1 /
0707	UnitedHealth Group Incorporated	11141	91-2008361				L.L.C.	TX	IA	Ovations, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		}
0707	UnitedHealth Group Incorporated	95467	38-3204052				UnitedHealthcare Community Plan, Inc.	MI	IA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated		t
1		00000	98-1200034				UnitedHealthcare Consulting & Assistance	CHN	NIA	UnitedHealthcare International I B.V	Ownership	L100.000	UnitedHealth Group Incorporated		1 /
	· · · · · · · · · · · · · · · · · · ·	00000	98-1200034 98-1199879				Service (Beijing) Co., Ltd UnitedHealthcare Europe S.á r.l	LUX	NIA	UnitedHealthcare International I B.V UnitedHealthcare International I S.á r.I	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
	· · · · · · · · · · · · · · · · · · ·	00000	98-1199879				UnitedHealthcare Global Canada Limited	CAN	NIA	UnitedHealthcare International I S.a r.i UnitedHealthcare International I B.V	Ownership	100.000	UnitedHealth Group Incorporated UnitedHealth Group Incorporated		
I	1	00000	98-1099116				UnitedHealthcare India Private Limited	IND	NIA	UnitedHealthcare International I B.V	Ownership		UnitedHealth Group Incorporated		
I		00000	98-1099116				UnitedHealthcare India Private Limited UnitedHealthcare India Private Limited	IND	NIA	UnitedHealth International Inc	Ownership	0.007	UnitedHealth Group Incorporated		
0707	UnitedHealth Group Incorporated		36-2739571				UnitedHealthcare Insurance Company	CT	IA	UHIC Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
1010	John Courses the Group Thousput ateu	0410	1108011				UnitedHealthcare Insurance Company of	⁰¹	··········	uno naturnya, inc.	omior strip		on rounearth droup incorporated	[
0707	UnitedHealth Group Incorporated	60318	36-3800349				Illinois	lIL	IΔ	UnitedHealthcare Insurance Company	Ownership	L100.000	UnitedHealth Group Incorporated		1 /
	on course in a out moorporated	01000					UnitedHealthcare Insurance Company of New	l''		on tourear moure mourance company	omor any		on toureatti uroup Illourpurateu		
0707	UnitedHealth Group Incorporated	60093	11-3283886				York	NY	IA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated		1 /
	S Louiser in aroup involperation		02.0000				UnitedHealthcare Insurance Company of the	l	·^	UnitedHealthcare Services Company of the	on the state of th			[ļ
0707	UnitedHealth Group Incorporated	12231	20-1902768				River Valley	Lπ	IA	River Valley. Inc.	Ownership	100.000	UnitedHealth Group Incorporated		1 /
		00000	86-0618309	l			UnitedHealthcare Integrated Services. Inc	AZ	NIA	Ovations. Inc.	Owner ship.	100.000	UnitedHealth Group Incorporated		[
		00000	41-1988797				UnitedHealthcare International Asia, LLC	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated		[
l		00000	98-1100512				UnitedHealthcare International I B.V.	_NLD_	NIA	UnitedHealth Group International L.P.	Ownership.	100.000	UnitedHealth Group Incorporated		[
		00000	98-1079595				UnitedHealthcare International I S.á r.l	LUX	NIA	UnitedHealth Group International L.P	Ownership		UnitedHealth Group Incorporated		[]
			98-1100980				UnitedHealthcare International II B.V	NLD	NIA	UnitedHealthcare Europe S.á r.l.	Ownership		UnitedHealth Group Incorporated		<u> </u>

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

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Name of Scouries Company Compa	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Name of Securities	***	4900	- 20	50	20	SERV	1650	V2008	2,128	128826	With	Type	If	\$7500	4863.0	900
Composition Composition													Control			
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Section 1975	Code	Group Name			KSSD	CIK	international)			_					(1/N)	$\stackrel{\cdot}{}$
Second Second																
No.																
Ministration Mini			00000	80-10//430				Unitediearthcare international iii 3.a i.i.	LUA	NIA		Owner Sirip	08.888	Officedhearth Group Theorporated		·
Description Compared Compar			00000	09_1077436				United Healthears International III C á.r. I	LUV	MIA	oniteunearthcare international ii 5.a i.i.	Ounorship	20 001	UnitedHealth Crown Incorporated		
											UnitedHealtheare International III R V					1
1.000	0707	UnitedHealth Group Incorporated														
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1007	0707		95446	63-1036819				UnitedHealthcare of Arkansas, Inc	AR	IA		Ownership	100.000	UnitedHealth Group Incorporated		<u> </u>
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United#eal the Group Incorporated				91-1312551		0001225843		UnitedHealthcare of Washington, Inc		IA		Ownership	100.000			
District District	0707		95710	39-1555888				UnitedHealthcare of Wisconsin, Inc	WI	IA	UnitedHealthcare, Inc	Ownership	100.000			ļ
Decomposition Decompositio	1	-			I			UnitedHealthcare Plan of the River Valley,								1
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Urgent Care MSO, LLC DE NIA Urgent Care Holdings, Inc. Ownership. 100.000 UnitedHealth Group Incorporated Ownership. 100.000 UnitedHealth Group Inc						0001453100										·
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USMD Cancer Treatment Centers QP, L.L.C. TX	I															1
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00000 27-2866866 0001507881 USMD Holdings, Inc. DE NIA WellMed Medical Management, Inc. Ownership 100.000 UnitedHealth Group Incorporated USMD Holdings, Inc. TX NIA USMD Holdings, Inc. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA Mat-Rx Development, L.C. Ownership 100.000 UnitedHealth Group Incorporated USMD Grant Art Ington GP, L.C. TX NIA USMD GP TX NI				27-2803133				USMD Diagnostic Services IIC								1
00000 20-8050318 0001404693 USI/D Inc. TX NIA USI/D Holdings, Inc. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA Mat-Rx Development, L.L.C. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA Mat-Rx Development, L.L.C. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA Mat-Rx Development, L.L.C. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA USI/D Holdings, Inc. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA USI/D Holdings, Inc. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA USI/D Holdings, Inc. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA USI/D Holdings, Inc. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA USI/D GARLINGTON GP, L.L.C. Ownership 100.000 UnitedHealth Group Incorporated USI/D GARLINGTON GP, L.L.C. TX NIA USI/D GARLINGTON GP, L.L.C. USI/D GARLI						0001507881		USMD Holdings. Inc.								T
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ANNUAL STATEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

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				1							(Ownership,	is		Is an	
						Name of Securities			Relation-		Board,	Owner-		SCA	
						Exchange		Domi-	ship		Management,	ship		Filing	
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Group		Company	ID	Federal		(U.Ś. or	Parent, Subsidiaries	Loca-	Reporting	Directly Controlled by	Influence,	Percen-	Ultimate Controlling	quired?	
Code	Group Name	Code	Number	RSSD	CIK	International)	Or Affiliates	tion	Entity	(Name of Entity/Person)	Other)	tage	Entity(ies)/Person(s)	(Y/N)	
		00000	87-0757396				Valley Physicians Network, Inc	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated		
		00000	74-2797745				WellMed Medical Management of Florida, Inc	FL	NIA	WellMed Medical Management, Inc	Ownership	100.000	UnitedHealth Group Incorporated		
			74-2786364				WellMed Medical Management, Inc.	XT		Collaborative Care Holdings, LLC	Ownership	80.000	UnitedHealth Group Incorporated		2
			41-2250215				WellMed Networks - DFW, Inc	XT		USMD Inc.	Ownership		UnitedHealth Group Incorporated		2
			45-0636596				WESTMED Practice Partners LLC	DE			Ownership	86.150	UnitedHealth Group Incorporated		2
			52-2102846		0001314524		XLHealth Corporation	MD			Ownership		UnitedHealth Group Incorporated		
		00000	98-1107695				XLHealth Corporation India Private Limited		NIA	XLHealth Corporation	Ownership	100.000	UnitedHealth Group Incorporated		
							Your Health Options Insurance Services, Inc.								
		0000Q	. 11-3764012					CA			Ownership	100.000	UnitedHealth Group Incorporated		
		00000	07 0470504	1			V Dalam is that the Osmissa day	l		North American Medical Management -	0bi-	400,000	II-31-All-111- O II-I	1	
		90000	27-0172594				Your Partner in Health Services, Inc	IL	NIA	Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	· · · · · · · · · · · · · · · · · · ·	·
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Asterisk	Explanation
1	The remaining percentage is owned by former controlling or external shareholders.
	The remaining percentage is owned by a non-affiliated entity.
3	The remaining 0.7409758% owned by external shareholders and 0.0340693% owned by Treasury Shares.
4	The remaining percentage is owned by external parties or investors.
	UnitedHealth International, Inc. holds 10 shares as a nominee shareholder.
6	The remaining percentage are held by the entity's or by the controlling entity's officers or directors.
	The remaining 20% is owned by external shareholders. Corporate secretarial services for this entity are the responsibility of the portfolio company.
	UnitedHealth Group International GP is the general partner of UnitedHealth Group International, L.P.
9	The general partnership interest of 89.77% is held by United HealthCare Services, Inc. (UHS) and 10.23% is held by UnitedHealthcare, Inc. (UHC). UHS also holds 100% of the limited partnership interests. When combining general and limited partner interests, UHS owns 94.18% and UHC owns 5.82%

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SCHEDULE Y

PART 2 - SUMMARY OF INSURER'S TRANSACTIONS WITH ANY AFFILIATES

The Company of Compa		PART 2 - SUMMARY OF INSURER'S TRANSACTIONS WITH ANY AFFILIATES											
Code Number Substitution of Affiliates Dividences Other investments Affiliate(s) Service Contracts Agreement Busines Totals Takeo(Lubelly)	1 NAIC	2	3	4	5	or Exchanges of Loans, Securities,	(Disbursements) Incurred in Connection with Guarantees or	8 Management	(Disbursements)	10	Any Other Material Activity Not in the	12	Reinsurance Recoverable/ (Payable) on
1-1915/201 All Fore Park Inc. 1.150,000 5.71,000,00 5.71,000,00 5.70,000 5										*		Totals	
27-001581	0000			Bividends	Contributions	outer investments	/ timate(b)		rigiociniono		Dubiness		runcis (Elability)
Section Sect				(1.500.000)				8 780 531				, ,	
35-714/590				(1,000,000)	571 000 000				5 084 397			, , , , , , , , , , , , , , , , , , , ,	17 801 114
Colifornia 156,88 156,88 156,88 156,88 156,88 156,88 156,88 156,88 156,88 156,000			All Savers Life Insurance Company of					(01,200,000)					
S-174335								156 818				156 818	
2-398902 2-398902 3-40000 3-40000 3-40000 3-40000 3-40000 3		54-1743136		106 000 000							1		
86-681222 APPA (554,000,759) (554,000,	95497		AmeriChoice of New Jersey Inc					(271 365 048)					
Section Sect				(10,000,000)									
1258 45-4978934 Care Improvement Plus of Ieas Insurance (73-900,000) (153,551,008) (227,451,008)		88-0267857	Behavioral Healtheare Options, Inc.										
Company	12558	45-4976934										,,	
1266				(73,900,000)				(153.551.008)				(227, 451, 008)	
Insurance Corpany	12567	20-3888112	Care Improvement Plus South Central	(,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,				(100,001,000)				(==,, 101,000)	
14041 27-03818				(150,000,000)				(589.053.624)	204.324			(738.849.300)	131,499
Corpany	14041	27-5038136	Care Improvement Plus Wisconsin Insurance	(100,000,000)				(000,000,021)	201,021			(700,010,000)	
S2-181176 BP Services of New York IPA, Inc.		2. 0000100						(10.284.945)				(10.284.945)	
S2-1462899		52-1811176	DBP Services of New York IPA. Inc.										
10. 10.								, 100,021				, 100,021	
Section Sect			Inc.	(3.000.000)				(3.926.754)				(6.926.754)	
41-2014834	52053	36-4008355	Dental Benefit Providers of Illinois, Inc.	(0,000,000,000									
88-022335 Family Health Care Services 6,677,657 6,677,657 89-0257036 Family Home Hospice, Inc. 985,248		44 0044004	Destal Destit Destitue	l									
88-025706													
37-085580 Golden Bule Financial Corporation 156,800,000 (611,000,000) (169,889,305) (169,889,305) (306,889,305) (3091,421) (27,512,818 10,489,305) (3091,421) (30,91,421) (3				l									
62286 37-6028756 Solden Bule Insurance Corpany (156,800,000) (156,800,800) (156,80			Caldan Data Financial Comments	150 000 000	(611 000 000)								
Second Second			Golden Hule Financial Corporation	130,800,000	(011,000,000)			(400,000,005)					
79480 35-1279304	02280			(150,800,000)				(109,889,305)	(0.001.401)				07 510 010
43893 13-3584296	70400				0E 000 000			6 400 100	(3,091,421)				21,512,818
95968 06-1084283					95,000,000								
96342 88-0201035 Health Plan of Nevada (90,000,000) (855,107,250) (681,226) (945,788,476) 143,869 13-4136668 INSPIRIS of New York IPA, Inc. (27,000,000) (27,283,33) (27,2309024 Lifeprint East, Inc. (16,309,286) (16,399,286) (16								41,030	0			41,038	
13-413868				(00 000 000)				(QEE 107 DEO)	/e01 20e)			(OAE 700 A76)	1/10 000
45-3143218	90042								(001,220)				140,009
27-2309024 Lifeprint Health, Inc. 1,725,990,312 1,725,990,312 1,725,990,312 1,725,990,312 1,725,990,312									<u> </u>		 		
60321 52-1803283 MAMSI Life and Health Insurance Company (7,000,000) (9,001,428) (397,808) (16,399,236) 181,708 (16,399,236) 181,708 (16,399,236) 181,708 (17,992,866) (17,99		27_2300024											
96310 52-1169135 MD-Individual Practice Association, Inc. (16,000,000) (31,266,195) (726,671) (47,992,866) 578,164 (12756 20-3391186 Medica Health Plans of Florida, Inc. (3,500,000) (3,500,000) (58,886,924) (83,886,9	60321	52-1803024		(7 000 000)					(307 808)				101 700
12756 20-3391186 Medica Health Plans of Florida, Inc. (3,500,000) 9,798 (3,490,202)											†		
12155 01-0788576 Medica HealthCare Plans, Inc. (25,000,000) (58,886,924) (83,886,924) (95251 76-0196559 National Pacific Dental, Inc. (27,00,000) (27,228,333) (4,928,333) (4,928,333) (4,928,333) (4,928,333) (4,928,333) (102,554,084) (20-3301186						0 700	(120,0/1)		†		
95251 76-0196559 National Pacific Dental, Inc. (2,700,000) (2,228,333) (4,928,333) (102,554,084)								(58 886 024)				(83 886 024)	
95123 65-0996107 Neighborhood Health Partnership, Inc. (25,000,000) (77,554,084) (102,											†		
95758 88-0228572 Nevada Pacific Dental (2,000,000) (367,345) (29,349,448) (310,677) (47,660,125) 12,188 (47,660,125) 151,278,761 (47,1858498 OptumHealth Care Solutions, Inc. (2,000,000) (310,677) (29,349,448) (310,677) (310,67													
96940 52-1518174 Optimum Choice, Inc. (18,000,000) (29,349,448) (310,677) (47,660,125) 12,188 (47,1591944 OptumHealth Care Solutions, Inc. (18,000,000) (151,278,761 OptumHealth Care Solutions, Inc. (266,141,254) (266,141,254) (266,141,254)	95758	88-0228572	Nevada Pacific Dental	(2 000 000)				(367 345)			<u> </u>		
41-1591944 OptumHealth Care Solutions, Inc									(310, 677)		1		12 188
41-1858498 OptumInsight, Inc								151 278 761	(010,011)		1		
								266.141.254					

SCHEDULE Y

PART 2 - SUMMARY OF INSURER'S TRANSACTIONS WITH ANY AFFILIATES

	PART 2 - SUMMARY OF INSURER'S TRANSACTIONS WITH ANY AFFILIATES											
1	2	3	4	5	6	7	8	9	10	11	12	13
						Income/ (Disbursements)						
					Purchases, Sales	Incurred in						Reinsurance
					or Exchanges of	Connection with		Income/		Any Other Material		Recoverable/
					Loans, Securities,	Guarantees or		(Disbursements)		Activity Not in the		(Payable) on
NAIC					Real Estate,	Undertakings for	Management	Incurred Under		Ordinary Course of		Losses and/or
Company	ID November	Names of Insurers and Parent,	Shareholder	Capital	Mortgage Loans or	the Benefit of any	Agreements and	Reinsurance		the Insurer's	T-4-1-	Reserve Credit
Code	Number 13-3818652	Subsidiaries or Affiliates OrthoNet LLC	Dividends	Contributions	Other Investments	Affiliate(s)	Service Contracts 5,941,383	Agreements		Business	Totals 5,941,383	Taken/(Liability)
	30-0029448	OrthoNet of the Mid-Atlantic, Inc.					(1,070,155)				(1,070,155)	
78026	22-2797560	Oxford Health Insurance, Inc.	(430,000,000)				(823,530,563)	(4,160,469)			(1,070,133)	22,272,029
	06-1181201	Oxford Health Plans (CT), Inc.	(430,000,000)				(62,638,523)	(726,772)			(63,365,295)	194,243
	22-2745725	Oxford Health Plans (NJ), Inc.	(50,000,000)				(164,723,417)	3.533.389			(211, 190, 028)	5,410,891
95479	06-1181200	Oxford Health Plans (NV), Inc.	(215,000,000)				(171,934,573)	,500,005			(386,934,573)	
	52-2443751	Oxford Health Plans LLC	265,000,000				(171,004,070)				265.000.000	
	35-1137395	PacifiCare Life and Health Insurance	200,000,000								200,000,000	
	00 1107000	Company	(19,700,000)				(1,519,392)	277			(21,219,115)	12,445
84506	95-2829463	PacifiCare Life Assurance Company	(, , ,				123,599				123,599	
95617		PacifiCare of Arizona, Inc.	(25,000,000)				44,626	8,885			(24,946,489)	
95434		PacifiCare of Colorado, Inc.					(731,380,364)	(3,215,446)			(734,595,810)	120
95685	86-0875231	PacifiCare of Nevada, Inc.		(8,000,000)			420,245	1,332			(7,578,423)	
11494	04-3677255	Physicians Health Choice of Texas, LLC					(33,582,825)	240,397			(33,342,428)	641,989
11176		Preferred Care Partners, Inc		5,000,000			(161,923,909)				(156,923,909)	
	33-0607478	PrimeCare Medical Network, Inc					249,708,122				249,708,122	
71420	94-0734860	Sierra Health and Life Insurance Company	(23,000,000)				(1,189,636,368)	25,069			(1,212,611,299)	(132,869)
		Sierra Home Medical Products, Inc					30,596,406				30,596,406	
		Southwest Medical Associates, Inc.					733,385,255				733,385,255	
		Spectera of New York, IPA, Inc					2,289,271				2,289,271	
	52-1260282	Spectera, Inc.					37,770,274				37,770,274	
	46-1536748	Symphonix Health Holdings, LLC		(78,000,000)							(78,000,000)	
84549	38-2044243	Symphonix Health Insurance		78,000,000			(55,285,771)				22,714,229	
	94-3077084	U.S. Behavioral Health Plan, California	(4,000,000)				50,504,266				46,504,266	
	95-2931460	UHC of California	(130,000,000)				(923,903,267)				(1,053,903,267)	
	52-1996029	Unimerica Insurance Company	(30,000,000)				(34,215,798)	(16,782,233)			(80,998,031)	(135,744,974)
11596	01-0637149	Unimerica Life Insurance Company of New									(0.000.000)	
		York					(2,208,682)				(2,208,682)	
	20-5917714	Unison Health Plan of Delaware, Inc Unison Health Plan of the Capital Area,					(95,488,038)	(1,022,419)			(96,510,457)	3,243,827
13032	26-0651931	Unison Health Plan of the Capital Area,									0	
	94-2649097	United Behavioral Health					1,133,280,950				1, 133, 280, 950	
	41-1868911	United Behavioral Health of New York.					1, 100,200,900				1, 133,200,930	
	41-1000911	I.P.A Inc.					14,009,835				14,009,835	
	41-1289245	United HealthCare Services, Inc.	3,284,400,000	(179,000,000)			10,214,692,678				13,320,092,678	
	41-1321939	UnitedHealth Group Incorporated		(173,000,000)			2,747,534,327				2,747,534,327	
	33-0115163	UnitedHealthcare Benefits of Texas, Inc	(50,000,000)				(268,314,968)	(1,088,086)			(319,403,054)	4,845,598
		UnitedHealthcare Benefits Plan of						(1,000,000)			(010,700,004)	, 070,030
		Claifornia					552,512				552.512	
12323	56-2451429	UnitedHealthcare Community Plan of Ohio,	·····									
	55 E 10 17E0	Inc.	(30,000,000)				(276,974,207)	4,774,078			(302,200,129)	11,393,608
11141	91-2008361	UnitedHealthcare Community Plan of Texas,	(50,000,000)					1,771,070			(002,200,120)	
		L.L.C.	(35,000,000)				(253, 172, 784)	(657,998)			(288,830,782)	12, 184, 143
95467	38-3204052	UnitedHealthcare Community Plan, Inc	,,				(126,941,923)	(242,586)			(127, 184, 509)	610, 184

SCHEDULE Y

PART 2 - SUMMARY OF INSURER'S TRANSACTIONS WITH ANY AFFILIATES

		PARI 2	- SUIVIIVIA	KI OF IN	DUKEK 3	IKANSAC	HONS W	IIII ANI /	-AFFILI	AIES		
1	2	3	4	5	6	7 Income/	8	9	10	11	12	13
NAIC					Purchases, Sales or Exchanges of Loans, Securities, Real Estate,	(Disbursements) Incurred in Connection with Guarantees or Undertakings for	Management	Income/ (Disbursements) Incurred Under		Any Other Material Activity Not in the Ordinary Course of		Reinsurance Recoverable/ (Payable) on Losses and/or
Company	. ID	Names of Insurers and Parent,	Shareholder	Capital	Mortgage Loans or	the Benefit of any	Agreements and	Reinsurance		the Insurer's		Reserve Credit
Code	Number	Subsidiaries or Affiliates	Dividends	Contributions	Other Investments	Affiliate(s)	Service Contracts	Agreements	*	Business	Totals	Taken/(Liability)
79413	36-2739571	UnitedHealthcare Insurance Company	(1,520,800,000)				(5,664,071,496)	136,710,186	l		(7,048,161,310)	(481,790,942)
60318	36-3800349	UnitedHealthcare Insurance Company of	(50,000,000)				(440, 450, 040)	(704 700)			(404 045 004)	4 004 400
00000	44 0000000	Illinois	(50,000,000)				(140,453,343)	(791,738)	l		(191,245,081)	4,824,402
60093	11-3283886	UnitedHealthcare Insurance Company of New	(00,000,000)				(050, 400, 000)	(05.070.005)			(545, 440, 007)	077 000 004
40004	00 4000700	York	(90,000,000)				(359,438,662)	(95,673,635)		l	(545,112,297)	377,306,601
12231	20-1902768	UnitedHealthcare Insurance Company of the					(04.004.040)	/ 400 500			(04.404.454)	4 570 040
		River Valley					(91,084,616)	(406,538)		<u> </u>	(91,491,154)	1,578,819
	86-0618309	UnitedHealthcare Integrated Services, Inc.					0.000					
07170	00 0007004			40,000,000			2,206	3,125	l		2,206 13,395,812	1.135
	86-0207231	UnitedHealthcare Life insurance Company	/F 000 000)	40,000,000			(26,607,313)					
	63-0899562 86-0507074	UnitedHealthcare of Alabama, Inc	(5,000,000)				(83,967,000) (9,621,872)	(579,475) (117,934)	l		(89,546,475)	
	63-1036819	UnitedHealthcare of Arizona, Inc	(16,000,000)	12,000,000							(25,739,806)	
		UnitedHealthcare of Arkansas, Inc		5,000,000			(1,821,161)	(46,882)	l		10,131,957	
	84-1004639 59-1293865	UnitedHealthcare of Colorado, Inc	(50,000,000)	5,000,000			(12,054,003)				(7,143,545)	
	58-1653544		(50,000,000)				(342,092,391)	(2,908,774)	l		(395,001,165)	
		UnitedHealthcare of Georgia, Inc	(8,000,000)					(262,330)			(27,065,142)	11,322
	36-3280214 62-1240316	UnitedHealthcare of Illinois, Inc.	(8,000,000)				(19,079,421)	(189,743)	l		(27,269,164) (11,523,927)	11,322
	70 1074000	UnitedHealthcare of Kentucky, Ltd	(1,400,000)				(171,239,032)				(147,955,341)	29,275,487
	72-1074008	UnitedHealthcare of Louisiana, Inc		30,000,000				23,283,691 377,665				
	63-1036817	UnitedHealthcare of Mississippi, Inc	(64,700,000)	30,000,000			(100,709,515)		l		(70,331,850)	11,928,913
95149	05-0413469	UnitedHealthcare of New England, Inc	(64,700,000)				(188,085,707)	951,338			(251,834,369)	3, 108,826
	26-2697886	UnitedHealthcare of New Mexico	(24,200,000)				(100,322,348)	1,631,215	l		(122,891,133)	314,834
95085	06-1172891	UnitedHealthcare of New York, Inc.					(727,339,929)	(1,059,782)			(727,339,929)	
	56-1461010	UnitedHealthcare of North Carolina, Inc	(00, 000, 000)				(103,225,575)	(70,040)			(104,285,357)	
95186	31-1142815	UnitedHealthcare of Ohio, Inc.	(20,000,000)				(7,028,307)	(79,213)	l		(27, 107, 520)	
96903	33-0115166	UnitedHealthcare of Oklahoma, Inc	(4,000,000)	45 000 000			(47,006,955)				(51,006,955)	
	93-0938819	UnitedHealthcare of Oregon, Inc.		15,000,000			(122,544,533)	(4.047.440)	l		(107,544,533)	
	25-1756858	UnitedHealthcare of Pennsylvania, Inc					(147,893,367)	(1,247,113)			(149, 140, 480)	000 450
	95-3939697	UnitedHealthcare of Texas, Inc.					(10,428,202)	(1,009,570)	l		(11,437,772)	229, 152
95025	52-1130183	UnitedHealthcare of the Mid-Atlantic, Inc.	(6,000,000)				(114 770 100)	(DE4_004)			(404 707 040)	40.000
05504	47 0070004		(6,000,000)	60 000 600			(114,776,182)	(951,631) (2.310,813)	l		(121,727,813)	12,825
	47-0676824	UnitedHealthcare of the Midlands, Inc	(00, 000, 000)	60,000,000			(68,768,729)		l		(11,079,542)	01 504 000
	43-1361841 41-1488563	UnitedHealthcare of the Midwest, Inc	(20,000,000)	(10,000,000)			(328,307,203)	(25,311,439)	l		(373,618,642)	81,504,826
		UnitedHealthcare of Utah, Inc.	(75,000,000)	(10,000,000)			(439,005,052)	(515, /91)	l		(449,520,843)	
	91-1312551 39-1555888	UnitedHealthcare of Washington, Inc UnitedHealthcare of Wisconsin, Inc	(75,000,000)	(25,000,000)			(865,797,811)	(6,474,801)	l		(212, 116, 458) (899, 272, 612)	401.706
	39-1555888		(21,000,000)				(811, 191, 200)	(0,4/4,801)	l		(899,272,612)	401,706
95378	30-33/9945	UnitedHealthcare Plan of the River Valley,	(04 000 000)				(400 746 400)	(0 500 004)	1		/E10 000 F00\	
1	47 0054646	Inc UnitedHealthcare Service LLC	(84,000,000)				(430,746,198)	(3,592,334)	l		(518,338,532)	
	47-0854646		(60,000,000)				1,208,507 10,759		l		(58,791,493) 10,759	
	01-0518346	UnitedHealthcare Specialty Benefits, LLC			^		10, /59	^		^		
9999999 Co	nuoi iotais		0	0	. 0	0	ı 0 l	0	XXX	0	0	0

ANNUAL STATEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing unless specifically waived by the domiciliary state. However, in the event that your domiciliary state waives the filing requirement, your response of WAIVED 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.

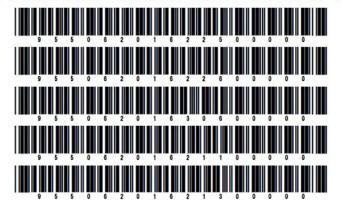
		Responses
	MARCH FILING	
1.	Will the Supplemental Compensation Exhibit be filed with the state of domicile by March 1?	
2.	Will an actuarial opinion be filed by March 1?	YES
3.	Will the confidential Risk-based Capital Report be filed with the NAIC by March 1?	YES
4.	Will the confidential Risk-based Capital Report be filed with the state of domicile, if required, by March 1?	YES
	APRIL FILING	
5.	Will Management's Discussion and Analysis be filed by April 1?	YES
6.	Will the Supplemental Investment Risks Interrogatories be filed by April 1?	YES
7.	Will the Accident and Health Policy Experience Exhibit be filed by April 1?	YES
	JUNE FILING	
8.	Will an audited financial report be filed by June 1?	YES
9.	Will Accountant's Letter of Qualifications be filed with the state of domicile and electronically with the NAIC by June 1?	YES
	AUGUST FILING	
10.	Will the regulator-only (non-public) Communication of Internal Control Related Matters Noted in Audit be filed with the state of domicile ar	nd
	electronically with the NAIC (as a regulator-only non-public document) by August 1?	YES
	The following supplemental reports are required to be filed as part of your annual statement filing. However, in the event that your comp	nany 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 "	
	be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and	
	the interrogatory questions.	a provide air explanation following
	MARCH FILING	
11.	Will the Medicare Supplement Insurance Experience Exhibit be filed with the state of domicile and the NAIC by March 1?	NO
12.	Will the Supplemental Life data due March 1 be filed with the state of domicile and the NAIC?	NO
13.		NO
14.		NO
15.	Will the actuarial opinion on participating and non-participating policies as required in Interrogatories 1 and 2 on Exhibit 5 to Life Supplem	
	be filed with the state of domicile and electronically with the NAIC by March 1?	NO
16.	Will the actuarial opinion on non-guaranteed elements as required in Interrogatory 3 to Exhibit 5 to Life Supplement be filed with the state	e of
	domicile and electronically with the NAIC by March 1?	NO
17.		NO
18.	Will an approval from the reporting entity's state of domicile for relief related to the five-year rotation requirement for lead audit partner be	filed
	electronically with the NAIC by March 1?	N0
19.		ed No.
20	electronically with the NAIC by March 1?	NO
20.	with the NAIC by March 1?	
	APRIL FILING	
21.		NO
22.	Will the Supplemental Life data due April 1 be filed with the state of domicile and the NAIC?	
23.		
24.	Will the Supplemental Health Care Exhibit (Parts 1, 2 and 3) be filed with the state of domicile and the NAIC by April 1?	
	Will the regulator only (non-public) Supplemental Health Care Exhibit's Expense Allocation Report be filed with the state of domicile and the state	
25.	NAIC by April 1?	VEO
	AUGUST FILING	
26.	Will Management's Report of Internal Control Over Financial Reporting be filed with the state of domicile by August 1?	YES
	Explanations:	
11.		
12.		
13.		
14.		
15.		
16.		
17.		
18.		
19.		
20.		
21.		
22.		
23.		
	Bar Codes:	
11.	Medicare Supplement Insurance Experience Exhibit [Document Identifier 360]	
) 0 0 0 0 0
12.	Life Supplement [Document Identifier 205]	
		(MI MAI MAI MAI MAI MAI
40	Describe Consider Considering and Industrian 2071	
13.	Property/Casualty Supplement [Document Identifier 207]	
		JEN BEN BEN BEN BEN BEN
	9 5 5 0 6 2 0 1 6 2 0 7 0	0 0 0 0
14.	SIS Stockholder Information Supplement [Document Identifier 420]	
	9 5 5 0 6 2 0 1 6 4 2 0 0	0 0 0 0
15.	Participating Opinion for Exhibit 5 [Document Identifier 371]	JET 11 EEU 11 EEU 11 EEU 11 EEU 1 18EU
16	Non-Guaranteed Opinion for Exhibit 5 [Document Identifier 270]	
16.	Non-Guaranteed Opinion for Exhibit 5 [Document Identifier 370]	
		(BI II ŞENII ŞENII ŞENII 1881 1888
	9 5 5 0 6 2 0 1 6 3 7 0 0	0 0 0 0
17.	Medicare Part D Coverage Supplement [Document Identifier 365]	(8) 88 88 88 88 189
		(8) 88 88 88 88 189
	9 5 5 0 6 2 0 1 6 3 6 5 0	0 0 0 0
18.	Relief from the five-year rotation requirement for lead audit partner [Document	

Identifier 224]

ANNUAL STATEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

- Relief from the one-year cooling off period for independent CPA [Document Identifier 225]
- 20. Relief from the Requirements for Audit Committees [Document Identifier 226]
- 21. Long-Term Care Experience Reporting Forms [Document Identifier 306]
- 22. Life Supplement [Document Identifier 211]
- Property/Casualty Supplement Insurance Expense Exhibit [Document Identifier 213]



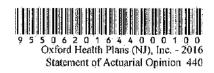
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ANNUAL STATEMENT FOR THE YEAR 2016 OXFORD HEALTH PLANS (NJ), INC. STATEMENT OF ACTUARIAL OPINION

Table of Key Indicators.	
This Opinion is: X Unqualified Qualified Adverse Inconclu	usive
IDENTIFICATION SECTION: Prescribed Wording Only Prescribed Wording with Additional Wording	X Revised Wording
SCOPE SECTION: X Prescribed Wording Only Prescribed Wording with Additional Wording	Revised Wording
RELIANCE SECTION: X Prescribed Wording Only Prescribed Wording with Additional Wording	Revised Wording
OPINION SECTION: X Prescribed Wording Only Prescribed Wording with Additional Wording	Revised Wording
RELEVANT COMMENTS: Revised Wording	
The Actuarial Memorandum includes "Deviation from Standard" wording regarding Actuarial Standard of Practice.	conformity with an
Identification.	
I, Allen J. Sorbo, am Vice President, Corporate Actuarial Services, of United Health Oxford Health Plans (NJ), Inc. is an affiliate. I am a member of the American Ac appointed on December 10, 2009 in accordance with the requirements of the annual state Academy qualification standards for rendering the opinion.	ademy of Actuaries. I was
Scope.	
I have examined the assumptions and methods used in determining loss reserves, actitems listed below, as shown in the annual statement of the organization as prepared fo officials, as of December 31, 2016.	
 A. Claims unpaid (Page 3, Line 1) B. Accrued medical incentive pool and bonus payments (Page 3, Line 2) C. Unpaid claims adjustment expenses (Page 3, Line 3) D. Aggregate health policy reserves (Page 3, Line 4) including unearned premium reserves, premium deficiency reserves, and additional policy reserves from the Underwriting and Investment Exhibit - Part 2D 	\$132,206,585 \$7,851,904 \$1,485,547 \$6,243,691
E. Aggregate life policy reserves (Page 3, Line 5)	\$0

ANNUAL STATEMENT FOR THE YEAR 2016 OXFORD HEALTH PLANS (NJ), INC. STATEMENT OF ACTUARIAL OPINION

F.	Property/casualty unearned premium reserves (Page 3, Line 6)	\$0					
G.	Aggregate health claim reserves (Page 3, Line 7)	\$603,248					
H.	Any other loss reserves, actuarial liabilities, or related items presented as						
	liabilities in the annual statement:						
	1. Reserve for claim interest (Page 3, Line 9, in part)	\$104,960					
I,	Specified actuarial items presented as assets in the annual statement:						
	1. Medicare risk adjustment receivable (Page 2, Line 15.3, Col. 1, in	\$45,006,556					
	part)						
	2. Affordable Care Act permanent risk adjustment program – premium receivable (Page 2, Line 15.3, Col. 1, in part)	\$2,926,996					
	3. Affordable Care Act transitional reinsurance program – amounts	\$3,257,433					
	recoverable on paid claims (Page 2, Line 16.1, Col. 1, in part)						
	4. Health care and other amounts receivable (Page 2, Line 24, Col. 1)	\$39,164,009					

Reliance.

In forming my opinion on the items identified above, I relied upon data prepared by Nyle Brent Cottington, Vice President and Regulatory Controller for United HealthCare Services, Inc.; and on Daniel J. Herr, Director of Accounting for UnitedHealthcare; and on Brian St. Martin, VP, Controller for UnitedHealthcare Medicare & Retirement; and on Eric R. Lewis, Controller for UnitedHealthcare Community & State; and on Julie Steinweg, Controller for OptumHealth Consumer Solutions Group; and on Paul E. Stordahl, Vice President, Actuarial Pricing for UnitedHealthcare, as certified in the attached statements. I evaluated that data for reasonableness and consistency. I also reconciled that data to the Underwriting and Investment Exhibit – Part 2B of the company's current annual statement. In other respects, my examination included review of the actuarial assumptions and actuarial methods used and tests of the calculations I considered necessary.

Opinion.

In my opinion, the amounts carried in the balance sheet on account of the items identified above:

- A. Are in accordance with accepted actuarial standards consistently applied and are fairly stated in accordance with sound actuarial principles;
- B. Are based on actuarial assumptions relevant to contract provisions and appropriate to the purpose for which the statement was prepared;
- C. Meet the requirements of the Insurance Laws and regulations of the state of New Jersey, and are at least as great as the minimum aggregate amounts required by any state;
- D. Make a good and sufficient provision for all unpaid claims and other actuarial liabilities of the organization under the terms of its contracts and agreements;
- E. Are computed on the basis of assumptions and methods consistent with those used in computing the corresponding items in the annual statement of the preceding year-end; and
- F. Include appropriate provision for all actuarial items that ought to be established.

The Underwriting and Investment Exhibit – Part 2B was reviewed for reasonableness and consistency with the applicable Actuarial Standards of Practice.

ANNUAL STATEMENT FOR THE YEAR 2016 OXFORD HEALTH PLANS (NJ), INC. STATEMENT OF ACTUARIAL OPINION

Actuarial methods, considerations, and analyses used in forming my opinion conform to the relevant Standards of Practice as promulgated from time to time by the Actuarial Standards Board, which standards form the basis of this statement of opinion.

Allen J. Sorbo, F.S.A., M.A.A.A.

Mail Route CT039-004A UnitedHealth Group 185 Asylum Street Hartford, CT 06103

Telephone: (561) 799-2458

February 16, 2017



Nyle Brent Cottington Vice President & Regulatory Controller MN017-E900 9700 Health Care Lane Minnetonka, MN 55343 952-979-6133 phone 952-979-7825 fax

February 9, 2017

I, Nyle Brent Cottington, am employed by United HealthCare Services, Inc. as Vice President and Regulatory Controller. Listings and summaries reconciling the annual statement as of December 31, 2016, for Oxford Health Plans (NJ), Inc., to the company's general ledger were prepared under my direction and submitted to Allen J. Sorbo in support of his statement of actuarial opinion for that company as of December 31, 2016. I hereby affirm that those listings and summaries, to the best of my knowledge and belief, are substantially accurate and complete and are the same as, or derived from, the records and other data that form the basis for the company's annual statement for the year ended December 31, 2016.

Nyle Brent Cottington

United HealthCare Services, Inc.



I, Daniel J. Herr, am employed by UnitedHealthcare as Director of Accounting. Listings, summaries, and analyses of claim and exposure data and of balances in the general ledger of Oxford Health Plans (NJ), Inc., all relating specifically to the UnitedHealthcare Employer & Individual business of that organization, were prepared under my direction and submitted to Allen J. Sorbo in support of his actuarial opinion for that organization as of December 31, 2016. I hereby affirm that those listings, summaries, and analyses are, to the best of my knowledge and belief, substantially accurate and complete and the same as, or derived from, the records and other data which form the basis of the annual statement of the organization for the year ended December 31, 2016.

Daniel J. Herr

9700 Health Care Lane

MN017-W900

Minnetonka, MN 55343

952-979-6244



I, Brian St. Martin, am employed by UnitedHealthcare Medicare & Retirement as VP, Controller. Listings, summaries, and analyses of claim and exposure data and of balances in the general ledger of Oxford Health Plans (NJ), Inc., all relating specifically to the UnitedHealthcare Medicare & Retirement business of that organization, were prepared under my direction and submitted to Allen J. Sorbo in support of his actuarial opinion for that organization as of December 31, 2016. I hereby affirm that those listings, summaries, and analyses are, to the best of my knowledge and belief, substantially accurate and complete and the same as, or derived from, the records and other data which form the basis of the annual statement of the organization for the year ended December 31, 2016.

Brian St. Martin

Tel. #952-931-4279



I, Eric R. Lewis, am employed by UnitedHealthcare Community & State as Controller. Listings, summaries, and analyses of claim and exposure data and of balances in the general ledger of Oxford Health Plans (NJ), Inc., all relating specifically to the UnitedHealthcare Community & State business of that organization, were prepared under my direction and submitted to Allen J. Sorbo in support of his actuarial opinion for that organization as of December 31, 2016. I hereby affirm that those listings, summaries, and analyses are, to the best of my knowledge and belief, substantially accurate and complete and the same as, or derived from, the records and other data which form the basis of the annual statement of the organization for the year ended December 31, 2016.

Eric R. Lewis

9800 Health Care Lane Minnetonka, MN 55343

952-931-5953



I, Julie Steinweg, am employed by OptumHealth Consumer Solutions Group as Controller. Listings, summaries, and analyses of claim and exposure data and of balances in the general ledger of Oxford Health Plans (NJ), Inc., all relating specifically to the OptumHealth Consumer Solutions Group business of that organization, were prepared under my direction and submitted to Allen J. Sorbo in support of his actuarial opinion for that organization as of December 31, 2016. I hereby affirm that those listings, summaries, and analyses are, to the best of my knowledge and belief, substantially accurate and complete and the same as, or derived from, the records and other data which form the basis of the annual statement of the organization for the year ended December 31, 2016.

Julie L. Steinweg

11000 Optum Circle, Eden Prairie, MN 55344

952-205-6633



I, Paul E. Stordahl, am employed by Unitedhealthcare as Vice President Actuarial Pricing. Listings, summaries, and analyses relating to the permanent risk adjustment program of the Affordable Care Act with regard to Oxford Health Plans (NJ), Inc., were prepared under my direction and submitted to Allen J. Sorbo in support of his statement of actuarial opinion for that company as of December 31, 2016. I hereby affirm that those listings and summaries, to the best of my knowledge and belief, are substantially accurate and complete.

Paul E. Stordahl

Vice President Actuarial Pricing

952.979.5644



SUPPLEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

SUPPLEMENTAL COMPENSATION EXHIBIT

For the Year Ended December 31, 2016 (To be filed by March 1) PART 1 - INTERROGATORIES

Is the reporting insurer a member of a group of insurers or other holding company system?
 If yes, do the amounts below represent. 1) total gross compensation earned for each individual by or on behalf of all companies which are part of the group: Yes []; or 2) allocation to each insurer: Yes [X].

Yes [X] No []

2. Did any person while an officer, director, or trustee of the reporting entity receive directly or indirectly, during the period covered by this statement any commission on the business transactions of the reporting entity?

Yes [] No [X]

3. Except for retirement plans generally applicable to its staff employees, has the reporting entity any agreement with any person, other than contracts with its agents for the payment of commissions whereby it agrees that for any service rendered or to be rendered, that he/she shall receive directly or indirectly, any salary, compensation or emolument that will extend beyond the period of 12 months from the date of the agreement?

Yes [] No [X]

PART 2 - OFFICERS AND EMPLOYEES COMPENSATION

1	PAR 2	3	RS AND EM	5	6	7 Sign-on	8 Severance	9 All Other	10
Name and Principal Position	Year	Salary	Bonus	Stock Awards	Option Awards	Payments_	Payments	Compensation	Totals
Current:									
1. Paul Owen Marden	2016	108,000	49,307	19,891	23,735	0	0	3,234	204, 16
President and Director	2015	127,692	76,240	28,148	14,593	0	0	5,962	252,63
	2014		1.0000000000000000000000000000000000000		2000			V	
Current:									
2. Timothy Callahan Archer	2016	18, 104	4,275	1,356	1,601	0	0	106	25,44
Chief Financial Officer	2015								
	2014								
3. James Francis Bedard	. 2016	14,367	4,559	6,003	9,068	0	0	389	34,40
Former Chief Financial Officer	2015	13,117	3,947	10,121	5,117	0	0	371	32,67
	2014	12,632	3,947	11,681	4,252	0	0	339	32,85
4. Scott Douglas Waulters	2016	96,667	48,500	35,016	37,870	0	0	1,083	219,13
Senior Vice President - D-SNP New		1223.4							
Jersey	2015	59,846	32,000	35,329	13,831	0	0		141,6
	2014	62,545	20,000	37,522	10,286	0	0		131.0
5. Sanford Paul Cohen, W.D.	2016	43, 125	15, 188	60,650	71,591	0	0		191,1
Chief Medical Officer	2015	44,784	16,875	63,287	112,728	0	0		238,2
	2014	43, 125	15,650	116,722	4,758	0	0		180,9
6. Randall Harrison Weinstock	2016	45,315	13,227	13,756	98,729	0	0		176,8
Chief Operating Officer and Director	2015	46,259	12,791	24,689	25,036	0	0	6,430	115.2
	2014	44,545	11,455	28,577	39,000	0	0	1,705	125,2
7.	2016								
	2015								
	2014						<u> </u>		
8.	2016								
	2015								
	2014			_				-	ļ
9.	2016		and the second s	-10. State of Tables					
	2015							411	
	2014								
10.	2016								
	2015								
1007780	2014							<u> </u>	

PART 3 - DIRECTOR COMPENSATION

1	Pak	d or Deferred for] 6	7		
	2	3	4	5	All Other	
	_				Compensation	
Name and Principal Position or Occupation and	Direct	Stock	Option		Paid or	
Company (if Outside Director)	Compensation	Awards	Awards	Other	Deferred	Totals
Sandra Denise Bruce Nichols, M.O Director	28.077	12.031	21,362		15,758	77,228
Dennis Patrick O'Brien - Director	25,000	28, 168	15.064		15.549	83,781
William John Golden - Director	41.379	62,204			32.872	154, 252
WILLIAM COMM COLUMN DIVERSOR	11,010	00,00				٥



SUPPLEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

PART 3 - DIRECTOR COMPENSATION

1	Paid	or Deferred for	6	7		
Name and Principal Position or Occupation and Company (if Outside Director)	2 Direct Compensation	3 Stock Awards	4 Option Awards	5 Other	All Other Compensation Paid or Deferred	Totals
Company (in Calodo Briodo)	Companication	/ wards	rwares	Oure.		0
						0
						0
						0
						0
						0
			[minimal minimal		0	
					41-1-11-11-11-11-11-11-11-11-11-11-11-11	

SUPPLEMENT FOR THE YEAR 2016 OF THE Oxford Health Plans (NJ), Inc.

PART 4 - NARRATIVE DESCRIPTION OF MATERIAL FACTORS

Provide a narrative description of any material factors necessary to gain an understanding of the information disclosed in the tables.

N/A