

NAIC BLANKS (E) WORKING GROUP

Blanks Agenda Item Submission Form

CONTACT PERSON: _____ TELEPHONE: _____ EMAIL ADDRESS: _____ ON BEHALF OF: _____ NAME: <u>Dale Bruggeman</u> TITLE: <u>Chair SAPWG</u> AFFILIATION: <u>Ohio Department of Insurance</u> ADDRESS: <u>50W. Town St., 3rd Fl., Ste. 300</u> <u>Columbus, OH 43215</u>	DATE: <u>10/16/2018</u>	FOR NAIC USE ONLY
	Agenda Item # <u>2018-31BWG MOD</u> Year <u>2019</u> Changes to Existing Reporting [X] New Reporting Requirement []	REVIEWED FOR ACCOUNTING PRACTICES AND PROCEDURES IMPACT
	No Impact [X] Modifies Required Disclosure []	DISPOSITION
	[] Rejected For Public Comment [] Referred To Another NAIC Group [] Received For Public Comment [X] Adopted Date <u>04/06/2019</u> [] Rejected Date _____ [] Deferred Date _____ [] Other (Specify) _____	

BLANK(S) TO WHICH PROPOSAL APPLIES

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|---|---|---|
| <input checked="" type="checkbox"/> ANNUAL STATEMENT | <input checked="" type="checkbox"/> INSTRUCTIONS | <input checked="" type="checkbox"/> CROSSCHECKS |
| <input checked="" type="checkbox"/> QUARTERLY STATEMENT | <input checked="" type="checkbox"/> BLANK | |
| <input checked="" type="checkbox"/> Life, Accident & Health/Fraternal | <input type="checkbox"/> Separate Accounts | <input checked="" type="checkbox"/> Title |
| <input checked="" type="checkbox"/> Property/Casualty | <input type="checkbox"/> Protected Cell | <input type="checkbox"/> Other _____ |
| <input checked="" type="checkbox"/> Health | <input type="checkbox"/> Health (Life Supplement) | |

Anticipated Effective Date: Annual 2019

IDENTIFICATION OF ITEM(S) TO CHANGE

Add two new categories (Unit Investment Trusts and Closed-end Funds) to the commons stock categories on Schedule D. Add the new categories to the Summary Investment Schedule. Add definition of Unit Investment Trusts and Closed-end Funds to the General Investment Schedule Instructions and modify mutual fund definition. Add Unit Investment Trusts and Closed-end Funds categories to Schedule DL, Parts 1 and 2.

REASON, JUSTIFICATION FOR AND/OR BENEFIT OF CHANGE**

The Statutory Accounting Principles (E) Working Group is considering substantive revisions to expand the scope of *SSAP No. 30—Unaffiliated Common Stock* to specifically include SEC registered Closed-End Funds and Unit Investment Trusts.

NAIC STAFF COMMENTS

Comment on Effective Reporting Date: _____

Other Comments:

** This section must be completed on all forms.

ANNUAL STATEMENT INSTRUCTIONS – LIFE/FRATERNAL, HEALTH, PROPERTY & TITLE

SCHEDULE D – PART 2 – SECTION 2

COMMON STOCKS OWNED DECEMBER 31 OF CURRENT YEAR

Stocks are to be grouped as listed below and arranged alphabetically, showing a subtotal for each category.


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NOTE: See the Investment Schedules General Instructions for the following:

- **Category definitions for stocks.**
- **Foreign column code list.**
- **Code column list of codes and definitions for securities not under the exclusive control of the reporting entity.**
- **List of stock exchange names and abbreviations.**

<u>Category</u>	<u>Line Number</u>
Industrial and Miscellaneous (Unaffiliated) Publicly Traded	9099999
Industrial and Miscellaneous (Unaffiliated) Other	9199999
Parent, Subsidiaries and Affiliates Publicly Traded	9299999
Parent, Subsidiaries and Affiliates Other	9399999
Mutual Funds	9499999
<u>Unit Investment Trusts</u>	<u>9599999</u>
<u>Closed-End Funds.....</u>	<u>9699999</u>
Total Common Stocks	9799999
Total Preferred and Common Stocks	9899999

Shares of all mutual funds, regardless of the underlying security, whether specialized or a mixture of bonds, stock, money market instruments or other type of investments, except money market mutual funds that are reported in Schedule E, Part 2 as cash equivalents, are considered to be shares of common stock and should be listed in the appropriate category of Mutual Funds.

Only transferable shares (i.e., can be bought and sold) of savings and loan or building and loan associations are to be reported in this schedule.


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SCHEDULE D – PART 3

LONG-TERM BONDS AND STOCKS ACQUIRED DURING CURRENT YEAR

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NOTE: See the Investment Schedules General Instructions for the following:

- Category definitions for bonds and stocks.
- Foreign column code list.

Category

Line Number

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Common Stocks:

Industrial and Miscellaneous (Unaffiliated) Publicly Traded.....	9099999
Industrial and Miscellaneous (Unaffiliated) Other	9199999
Parent, Subsidiaries and Affiliates Publicly Traded	9299999
Parent, Subsidiaries and Affiliates Other.....	9399999
Mutual Funds.....	9499999
<u>Unit Investment Trusts</u>	<u>9599999</u>
<u>Closed-End Funds</u>	<u>9699999</u>
Subtotals – Common Stocks – Part 3	9799997
Summary item from Part 5 for Common Stocks	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999

Include all bonds and stocks acquired during the year except for those acquired and fully disposed of during the year. Include repoolings of mortgage-backed/asset-backed securities (e.g., giantization/megatization of FHLMC or FNMA mortgage-backed securities). Only those bonds and certificates of deposit with maturity at time of acquisition in excess of one year are to be included. Exclude cash equivalents and short term investments as described in SSAP No. 2R—Cash, Cash Equivalents, Drafts, and Short-Term Investments with original maturities of three months or less.

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SCHEDULE D – PART 4

**LONG-TERM BONDS AND STOCKS SOLD, REDEEMED OR OTHERWISE DISPOSED OF
DURING CURRENT YEAR**

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NOTE: See the Investment Schedules General Instructions for the following:

- Category definitions for bonds and stocks.
- Foreign column code list.

Category

Line Number

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Common Stocks:

Industrial and Miscellaneous (Unaffiliated) Publicly Traded.....	9099999
Industrial and Miscellaneous (Unaffiliated) Other	9199999
Parent, Subsidiaries and Affiliates Publicly Traded	9299999
Parent, Subsidiaries and Affiliates Other.....	9399999
Mutual Funds.....	9499999
<u>Unit Investment Trusts</u>	<u>9599999</u>
<u>Closed-End Funds</u>	<u>9699999</u>
Subtotals – Common Stocks – Part 4	9799997
Summary item from Part 5 for Common Stocks	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999

A bond disposal is recorded on the trade date, not the settlement date.

Include all bonds and stocks disposed of during the year except for those acquired and fully disposed of during the year. Include repoolings of mortgage-backed/asset-backed securities (e.g., giantization/megatization of FHLMC or FNMA mortgage-backed securities). Only those bonds and certificates of deposit with maturity at time of acquisition in excess of one year are to be included. See *SSAP No. 43R—Loan-Backed and Structured Securities* for additional guidance. Exclude cash equivalents as described in *SSAP No. 2R—Cash, Cash Equivalents, Drafts, and Short-Term Investments* with original maturities of three months or less.

Enter as a separate summary item the totals of Columns 8 to 20 of Part 5, for bonds, preferred stocks and common stocks.

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SCHEDULE D – PART 5

LONG-TERM BONDS AND STOCKS ACQUIRED DURING THE YEAR AND FULLY DISPOSED OF DURING CURRENT YEAR



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NOTE: See the Investment Schedules General Instructions for the following:

- Category definitions for bonds and stocks.
- Foreign column code list.

Category

Line Number



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Bonds:

Common Stocks:

Industrial and Miscellaneous (Unaffiliated) Publicly Traded.....	9099999
Industrial and Miscellaneous (Unaffiliated) Other	9199999
Parent, Subsidiaries and Affiliates Publicly Traded	9299999
Parent, Subsidiaries and Affiliates Other.....	9399999
Mutual Funds.....	9499999
<u>Unit Investment Trusts</u>	<u>9599999</u>
<u>Closed-End Funds</u>	<u>9699999</u>
Subtotals – Common Stocks.....	9799998
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999

Only those bonds and certificates of deposit with maturity at time of acquisition in excess of one year are to be included. Include repoolings of mortgage-backed/asset-backed securities (e.g., giantization/megatization of FHLMC or FNMA mortgage-backed securities). Refer to *SSAP No. 43R—Loan-Backed and Structured Securities* for accounting guidance. Exclude cash equivalents as described in *SSAP No. 2R—Cash, Cash Equivalents, Drafts, and Short-Term Investments* with original maturities of three months or less.

A bond acquisition or disposal is recorded on the trade date, not the settlement date, except for the acquisition of private placement bonds, use the funding date.



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SCHEDULE DL – PART 1

SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned December 31 Current Year
(Securities lending collateral assets reported in aggregate on Line 10 of the asset page
and not included on Schedules A, B, BA, D, DB and E.)



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Stocks:

Preferred Stocks (Schedule D, Part 2, Section 1 type):

Industrial and Miscellaneous (Unaffiliated) Perpetual and Redeemable Preferred.....	7199999
Parent, Subsidiaries and Affiliates Perpetual and Redeemable Preferred	7299999
Total Preferred Stocks.....	7399999

Common Stocks (Schedule D, Part 2, Section 2 type):

Industrial and Miscellaneous (Unaffiliated).....	7499999
Parent, Subsidiaries and Affiliates	7599999
Mutual Funds	7699999
<u>Unit Investment Trusts.....</u>	<u>7799999</u>
<u>Closed-End Funds</u>	<u>7899999</u>
Total Common Stocks.....	7799999 7999999

Total Preferred and Common Stocks..... ~~7899999~~8099999

Real Estate (Schedule A type)	8699999
Mortgage Loans on Real Estate (Schedule B type)	8799999
Other Invested Assets (Schedule BA type).....	8899999
Short-Term Invested Assets (Schedule DA, Part 1 type).....	8999999
Cash (Schedule E, Part 1 type)	9099999
Cash Equivalents (Schedule E, Part 2 type).....	9199999
Other Assets.....	9299999
Totals	9999999

Column 1 – CUSIP Identification

CUSIP numbers for all purchased publicly issued securities are available from the broker’s confirmation or the certificate. For private placement securities, the NAIC has created a special number called a PPN to be assigned by the Standard & Poor’s CUSIP Bureau. For foreign securities, use a CINS that is assigned by the Standard & Poor’s CUSIP Bureau: www.cusip.com/cusip/index.htm.

For Lines 0199999 through ~~7799999~~7999999, if no valid CUSIP, CINS or PPN number exists, then report a valid ISIN (Column 11) security number. The CUSIP field should be zero-filled.

The CUSIP reported for this column should be determined in a manner consistent with the instructions of other schedules for the lines shown below:

Lines 0199999 through 7099999	Schedule D, Part 1, Column 1
Lines 7199999 through 7399999	Schedule D, Part 2, Section 1, Column 1
Lines 7499999 through 7799999 7999999	Schedule D, Part 2, Section 2, Column 1
Line 8899999	Schedule BA, Part 1, Column 1
Line 9199999	Schedule E, Part 2, Column 1

The CUSIP number should be zero-filled for the following lines:

Real Estate (Schedule A type)	8699999
Mortgage Loans on Real Estate (Schedule B type).....	8799999
Short-Term Invested Assets (Schedule DA, Part 1 type).....	8999999
Cash (Schedule E, Part 1 type).....	9099999
Other Assets.....	9299999



Column 4 – NAIC Designation and Administrative Symbol

The NAIC Designation and Administrative Symbol reported for this column should be determined in a manner consistent with the instructions of other schedules for the lines shown below:

Lines 0199999 through 7099999	Schedule D, Part 1, Column 6
Lines 7199999 through 7399999	Schedule D, Part 2, Section 1, Column 20
Lines 7499999 through 7799999 7999999	Schedule D, Part 2, Section 2, Column 17
Line 8899999	Schedule BA, Part 1, Column 7

For Lines 8699999, 8799999, 8999999, 9099999, 9199999 and 9299999, the column should be left blank.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

Column 5 – Fair Value

The value reported for this column should be determined in a manner consistent with the fair value column instructions of other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 9
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 10
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 8
- Line 8699999 Schedule A, Part 1, Column 10
- Line 8799999 FV of the underlying collateral Schedule B, Part 1
- Line 8899999 Schedule BA, Part 1, Column 11

For those lines where the same type of investment is reported on other schedules but do not have a fair value column, report the amount consistent with instructions for the following:

- Line 8999999 Report BACV, Schedule DA, Part 1, Column 7
- Line 9099999 Report Balance, Schedule E Part 1, Column 6
- Line 9199999 Report BACV, Schedule E Part 2, Column 7

Column 6 – Book/Adjusted Carrying Value

The value reported for this column should be determined in a manner consistent with the instructions of other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 11
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 8
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 6
- Line 8699999 Schedule A, Part 1, Column 9
- Line 8799999 Schedule B, Part 1, Column 8
- Line 8899999 Schedule BA, Part 1, Column 12
- Line 8999999 Schedule DA, Part 1, Column 7
- Line 9099999 Report Balance, Schedule E, Part 1, Column 6
- Line 9199999 Schedule E, Part 2, Column 7

Column 7 – Maturity Date

The maturity date reported for this column should be determined in a manner consistent with the instructions of other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 22
- Line 8999999 Schedule DA, Part 1, Column 6
- Line 9199999 Schedule E, Part 2, Column 6

The following lines are considered assets with no maturity date and should be left blank:

- 7199999 through 7399999 Preferred Stock (Schedule D, Part 2, Section 1 type)
- 7499999 through ~~7799999~~7999999 Common Stock (Schedule D, Part 2, Section 2 type)
- 8699999 Real Estate (Schedule A type)
- 8799999 Mortgage Loans on Real Estate (Schedule B type)
- 8899999 Other Invested Assets (Schedule BA type)
- 9299999 Other Assets



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Column 11 – ISIN Identification

The International Securities Identification Numbering (ISIN) system is an international standard set up by the International Organization for Standardization (ISO). It is used for numbering specific securities, such as stocks, bonds, options and futures. ISIN numbers are administered by a National Numbering Agency (NNA) in each of their respective countries, and they work just like serial numbers for those securities. Record the ISIN number only if no valid CUSIP, CINS or PPN exists to report in Column 1.

The ISIN reported for this column should be determined in a manner consistent with the instructions of other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 1
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 1
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 1

The ISIN number should be zero-filled for the following lines:

- Real Estate (Schedule A type) 8699999
- Mortgage Loans on Real Estate (Schedule B type)..... 8799999
- Other Invested Assets (Schedule BA type)..... 8899999
- Short-Term Invested Assets (Schedule DA, Part 1 type)..... 8999999
- Cash (Schedule E, Part 1 type)..... 9099999
- Cash Equivalentents (Schedule E, Part 2 type)..... 9199999
- Other Assets..... 9299999



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SCHEDULE DL – PART 2

SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned December 31 Current Year
(Securities lending collateral assets included on Schedules A, B, BA, D, DB and E
and not reported in aggregate on Line 10 of the asset page.)



Detail Eliminated To Conserve Space

Stocks:

Preferred Stocks:

Industrial and Miscellaneous (Unaffiliated) Perpetual and Redeemable Preferred.....	7199999
Parent, Subsidiaries and Affiliates Perpetual and Redeemable Preferred	7299999
Total Preferred Stocks.....	7399999

Common Stocks:

Industrial and Miscellaneous (Unaffiliated).....	7499999
Parent, Subsidiaries and Affiliates	7599999
<u>Unit Investment Trusts.....</u>	<u>7799999</u>
<u>Closed-End Funds</u>	<u>7899999</u>
Total Common Stocks.....	7799999 7999999

Total Preferred and Common Stocks..... ~~7899999~~8099999

Real Estate (Schedule A)	8699999
Mortgage Loans on Real Estate (Schedule B)	8799999
Other Invested Assets (Schedule BA).....	8899999
Short-Term Invested Assets (Schedule DA, Part 1).....	8999999
Cash (Schedule E, Part 1)	9099999
Cash Equivalents (Schedule E, Part 2)	9199999
Other Assets.....	9299999
Totals	9999999

Column 1 – CUSIP Identification

CUSIP numbers for all purchased publicly issued securities are available from the broker’s confirmation or the certificate. For private placement securities, the NAIC has created a special number called a PPN to be assigned by the Standard & Poor’s CUSIP Bureau. For foreign securities, use a CINS that is assigned by the Standard & Poor’s CUSIP Bureau: www.cusip.com/cusip/index.htm.

For Lines 0199999 through ~~7799999~~7999999, if no valid CUSIP, CINS or PPN number exists, then report a valid ISIN (Column 11) security number. The CUSIP field should be zero-filled.

The CUSIP reported for this column should be same for the security as reported in other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 1
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 1
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 1
- Line 8899999 Schedule BA, Part 1, Column 1
- Line 9199999 Schedule E, Part 2, Column 1

The CUSIP number should be zero-filled for the following lines:

- Real Estate (Schedule A) 8699999
- Mortgage Loans on Real Estate (Schedule B) 8799999
- Short-Term Invested Assets (Schedule DA, Part 1)..... 8999999
- Cash (Schedule E, Part 1) 9099999
- Other Assets..... 9299999



Column 4 – NAIC Designation and Administrative Symbol

The NAIC Designation and Administrative Symbol reported for this column should be same for the security as reported in other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 6
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 20
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 17
- Line 8899999 Schedule BA, Part 1, Column 7

For Lines 8699999, 8799999, 8999999, 9099999, 9199999 and 9299999, the column should be left blank.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

Column 5 – Fair Value

The value reported for this column should be same for the security as reported in other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 9
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 10
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 8
- Line 8699999 Schedule A, Part 1, Column 10
- Line 8799999 FV of the underlying collateral Schedule B, Part 1
- Line 8899999 Schedule BA, Part 1, Column 11

For those lines where the same investment is reported on other schedules but do not have a fair value column, report the amount in these columns in the other schedules for the lines shown below:

- Line 8999999 Report BACV, Schedule DA, Part 1, Column 7
- Line 9099999 Report Balance, Schedule E, Part 1, Column 6
- Line 9199999 Report BACV, Schedule E, Part 2, Column 7

Column 6 – Book/Adjusted Carrying Value

The value reported for this column should be same for the security as reported in other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 11
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 8
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 6
- Line 8699999 Schedule A, Part 1, Column 9
- Line 8799999 Schedule B, Part 1, Column 8
- Line 8899999 Schedule BA, Part 1, Column 12
- Line 8999999 Schedule DA, Part 1, Column 7
- Line 9099999 Report Balance, Schedule E, Part 1, Column 6
- Line 9199999 Schedule E, Part 2, Column 7

Column 7 – Maturity Date

The maturity date reported for this column should be same for the security as reported in other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 22
- Line 8999999 Schedule DA, Part 1, Column 6
- Line 9199999 Schedule E, Part 2, Column 6

The following lines are considered assets with no maturity date and should be left blank:

- 7199999 through 7399999 Preferred Stock (Schedule D, Part 2, Section 1 type)
- 7499999 through ~~7799999~~7999999 Common Stock (Schedule D, Part 2, Section 2 type)
- 8699999 Real Estate (Schedule A type)
- 8799999 Mortgage Loans on Real Estate (Schedule B type)
- 8899999 Other Invested Assets (Schedule BA type)
- 9299999 Other Assets



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Column 11 – ISIN Identification

The International Securities Identification Numbering (ISIN) system is an international standard set up by the International Organization for Standardization (ISO). It is used for numbering specific securities, such as stocks, bonds, options and futures. ISIN numbers are administered by a National Numbering Agency (NNA) in each of their respective countries, and they work just like serial numbers for those securities. Record the ISIN number only if no valid CUSIP, CINS or PPN exists to report in Column 1.

The ISIN reported for this column should be same for the security as reported in other schedules for the lines shown below:

- Lines 0199999 through 7099999 Schedule D, Part 1, Column 1
- Lines 7199999 through 7399999 Schedule D, Part 2, Section 1, Column 1
- Lines 7499999 through ~~7799999~~7999999 Schedule D, Part 2, Section 2, Column 1

The ISIN number should be zero-filled for the following lines:

- Real Estate (Schedule A) 8699999
- Mortgage Loans on Real Estate (Schedule B) 8799999
- Other Invested Assets (Schedule BA)..... 8899999
- Short-Term Invested Assets (Schedule DA, Part 1)..... 8999999
- Cash (Schedule E, Part 1) 9099999
- Cash Equivalents (Schedule E, Part 2)..... 9199999
- Other Assets..... 9299999



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SUMMARY INVESTMENT SCHEDULE



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Line 3.5 – Common Stocks – Mutual Funds

Include: The value of all investments in shares of funds regulated as mutual funds by the Securities and Exchange Commission reported on Schedule D, Part 2, Section 2.

Column 1 should equal the Schedule D, Part 2, Section 2, Line 9499999.

Line 3.6 – Common Stocks – Unit Investment Trusts

Include: The value of all investments in shares of funds regulated as unit investment trusts by the Securities and Exchange Commission reported on Schedule D, Part 2, Section 2.

Column 1 should equal the Schedule D, Part 2, Section 2, Line 9599999.

Line 3.7 – Common Stocks – Closed-End Funds

Include: The value of all investments in shares of funds regulated as closed-end funds by the Securities and Exchange Commission reported on Schedule D, Part 2, Section 2.

Column 1 should equal the Schedule D, Part 2, Section 2, Line 9699999.

Line 3.68 – Total Common Stocks

Sum of Lines 3.1 to 3.57

The amount reported in Column 1 should equal the amount reported in Line 2.2 Column 1, Page 2, Assets.

The amount reported in Column 3 should equal the amount reported in Line 2.2 Column 3, Page 2, Assets.



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QUARTERLY STATEMENT INSTRUCTIONS – LIFE/FRATERNAL, HEALTH, PROPERTY & TITLE

SCHEDULE D – PART 3

LONG-TERM BONDS AND STOCKS ACQUIRED DURING THE CURRENT QUARTER

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NOTE: See the Investment Schedules General Instructions for the following:

- Category definitions for bonds and stocks.
- Foreign column code list.
- Flow chart for determining the NAIC designation for structured securities.

Category

Line Number

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Common Stocks:

Industrial and Miscellaneous (Unaffiliated) Publicly Traded.....	9099999
Industrial and Miscellaneous (Unaffiliated) Other	9199999
Parent, Subsidiaries and Affiliates Publicly Traded	9299999
Parent, Subsidiaries and Affiliates Other.....	9399999
Mutual Funds.....	9499999
<u>Unit Investment Trusts</u>	<u>9599999</u>
<u>Closed-End Funds</u>	<u>9699999</u>
Subtotals – Common Stocks – Part 3	9799997
Summary Item from Part 5 for Common Stocks (N/A to Quarterly)	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999

Include all bonds and stocks acquired during the quarter. Include repoolings of mortgage-backed/asset-backed securities (e.g.; giantization/megatization of FHLMC or FNMA mortgage-backed securities). Only those bonds and certificates of deposit with maturity at time of acquisition in excess of one year are to be included. Exclude cash equivalents and short-term investments, as described in *SSAP No. 2R—Cash, Cash Equivalents, Drafts, and Short-term Investments* with original maturities of three months or less.

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SCHEDULE D – PART 4

**LONG-TERM BONDS AND STOCKS SOLD, REDEEMED OR OTHERWISE
DISPOSED OF DURING THE CURRENT QUARTER**

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NOTE: See the Investment Schedules General Instructions for the following:

- **Category definitions for bonds and stocks.**
- **Foreign column code list.**
- **Flow chart for determining the NAIC designation for structured securities.**

Category

Line Number

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Common Stocks:

Industrial and Miscellaneous (Unaffiliated) Publicly Traded.....	9099999
Industrial and Miscellaneous (Unaffiliated) Other	9199999
Parent, Subsidiaries and Affiliates Publicly Traded	9299999
Parent, Subsidiaries and Affiliates Other.....	9399999
Mutual Funds.....	9499999
<u>Unit Investment Trusts</u>	<u>9599999</u>
<u>Closed-End Funds</u>	<u>9699999</u>
Subtotals – Common Stocks – Part 4	9799997
Summary Item from Part 5 for Common Stocks (N/A to Quarterly)	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999

A bond disposal is recorded on the trade date, not the settlement date.

Include all bonds and stocks disposed of during the current quarter. Include repoolings of mortgage-backed/asset-backed securities (e.g., giantization/megatization of FHLMC or FNMA mortgage-backed securities). Only those bonds and certificates of deposit with maturity at time of acquisition in excess of one year are to be included. See *SSAP No. 43R—Loan-Backed and Structured Securities*, for additional guidance. Exclude cash equivalents as described in *SSAP No. 2R—Cash, Cash Equivalents, Drafts, and Short-term Investments*, with original maturities of three months or less.

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DRAFTING NOTE: The changes made to the annual Schedule DL, Parts 1 and 2 will also be made in the quarterly Schedule DL, Parts 1 and 2. Column 11 (ISIN Identification) in the annual Schedule DL, Parts 1 and 2 is Column 9 in the quarterly.

ANNUAL STATEMENT BLANK – LIFE/FRATERNAL, HEALTH, PROPERTY & TITLE

SUMMARY INVESTMENT SCHEDULE

	Gross Investment Holdings		Admitted Assets as Reported in the Annual Statement			
	1 Amount	2 Percentage of Column 1 Line 13	3 Amount	4 Securities Lending Reinvested Collateral Amount	5 Total (Col. 3+4) Amount	6 Percentage of Column 5 Line 13
Investment Categories						
1. Long-Term Bonds (Schedule D, Part 1):						
1.1 U.S. Governments						
1.2 All Other Governments						
1.3 U.S. States, Territories and Possessions, etc. Guaranteed						
1.4 U.S. Political Subdivisions of States , Territories and Possessions, Guaranteed						
1.5 U.S. Special Revenue & Special Assessment Obligations, etc. Non-Guaranteed						
1.6 Industrial and Miscellaneous.....						
1.7 Hybrid Securities.....						
1.8 Parent, Subsidiaries and Affiliates						
1.9 SVO Identified Funds.....						
1.10 Bank Loans.....						
1.11 Total Long-Term Bonds						
2. Preferred Stocks (Schedule D, Part 2, Sections 1):						
2.1 Industrial and Misc. (Unaffiliated).....						
2.2 Parent, Subsidiaries and Affiliates						
2.3 Total Preferred Stocks.....						
3. Common Stocks (Schedule D, Part 2, Sections 2):						
3.1 Industrial and Misc. (Unaffiliated) Publicly Traded.....						
3.2 Industrial and Misc. (Unaffiliated) Other						
3.3 Parent, Subsidiaries and Affiliates Publicly Traded						
3.4 Parent, Subsidiaries and Affiliates Other						
3.5 Mutual Funds.....						
3.6 Unit Investment Trusts.....						
3.7 Closed-End Funds.....						
3.68 Total Common Stocks.....						
4. Mortgage loans (Schedule B):						
4.1 Farm Mortgages						
4.2 Residential Mortgages						
4.3 Commercial Mortgages						
4.4 Mezzanine Real Estate Loans						
4.5 Total Mortgage loans						
5. Real estate (Schedule A):						
5.1 Properties Occupied by Company.....						
5.2 Properties Held for Production of Income						
5.3 Properties Held for Sale						
5.4 Total Real Estate						
6. Cash, cash equivalents, and short term investments:						
6.1 Cash (Schedule E, Part 1)						
6.2 Cash Equivalents (Schedule E, Part 2)						
6.3 Short-Term Investments (Schedule DA).....						
6.4 Total Cash, Cash Equivalents, and Short Term Investments						
7. Contract Loans.....						
8. Derivatives (Schedule DB).....						
9. Other Invested Assets (Schedule BA)						
10. Receivables for Securities						
11. Securities Lending (Schedule DL Part 1).....				XXX	XXX	XXX
12. Aggregate Write-ins for Invested Assets.....						
13. Total Invested Assets						

INVESTMENT SCHEDULES GENERAL INSTRUCTIONS
(Applies to all investment schedules)



Detail Eliminated To Conserve Space

General Classifications Common Stock Only:

Refer to *SSAP No. 30—Unaffiliated Common Stock* and *SSAP No. 97—Investments in Subsidiary, Controlled and Affiliated Entities*.

Industrial and Miscellaneous (Unaffiliated):

All unaffiliated common stocks that are not mutual funds or money market mutual funds. Include Public Utilities, Banks, Trusts and Insurance Companies.

Mutual Funds:

All investments in shares of funds regulated as mutual funds by the U.S. Securities and Exchange Commission under the Investment Company Act of 1940. This definition does not include unit investments trusts, closed-end funds or hedge funds.

Unit Investment Trusts:

All investments in shares of funds regulated as unit investments trusts by the U.S. Securities and Exchange Commission under the Investment Company Act of 1940.

Closed-End Funds:

All investments in shares of funds regulated as closed-end funds by the U.S. Securities and Exchange Commission under the Investment Company Act of 1940.

Parent, Subsidiaries and Affiliates:

Defined by *SSAP No. 97—Investments in Subsidiary, Controlled and Affiliated Entities*.



Detail Eliminated To Conserve Space