

In the Matter of the Acquisition of Control of Quartz Health Plan Corporation
by Advocate Aurora Health, Inc. and Aurora Health Care, Inc.

List of Exhibits – Case No. 20-C43722

- Ex. 1 List of Exhibits in the Matter of the Acquisition of Control of Quartz Health Plan Corporation by Advocate Aurora Health, Inc. and Aurora Health Care, Inc. (Case No. 20-C43722)
- Ex. 2 Letter to Commissioner Mark V. Afbale from Morgan J. Tilleman, Foley & Lardner LLP, dated May 1, 2020
- Ex. 3 Form A “Statement Regarding the Acquisition of Control of or Merger with a Domestic Insurer” for Quartz Health Plan Corporation by Advocate Aurora Health, Inc. and Aurora Health Care, Inc. dated May 1, 2020
- Ex. 4 Exhibit 1 – A to the Form A – Exchange Agreement by and among Gundersen Lutheran Health System, Inc., University Health Care, Inc., Iowa Health System, Aurora Health Care, Inc., Quartz Holding Company, and Quartz Health Plan Corporation dated as of May 1, 2020
- Ex. 5 Exhibit 1 – B to the Form A – Post-Closing Organizational Chart of Quartz Health Plan Corporation
- Ex. 6 Exhibit 2 (c) to the Form A – Organizational Chart of List of Advocate Aurora Health, Inc. and Aurora Health Care, Inc.
- Ex. 7 Exhibit 12 – A to the Form A – Consolidated Financial Statements and Supplementary Information of Advocate Aurora Health, Inc. as of and for the Year Ended December 31, 2019 and as of and for the Nine Months Ended December 31, 2018
- Ex. 8 Exhibit 12 – B to the Form A – Consolidated Financial Statements and Supplementary Information of Advocate Aurora Health, Inc. as of and for the Year Ended December 31, 2018
- Ex. 9 Exhibit 12 – C – Part 1 to the Form A – Consolidated Financial Statements of Aurora Health Care, Inc. and Affiliates as of and for the Years Ended December 31, 2015 and 2014
- Ex. 10 Exhibit 12 – C – Part 2 to the Form A – Consolidated Financial Statements of Aurora Health Care, Inc. and Affiliates as of and for the Years Ended December 31, 2016 and 2015
- Ex. 11 Exhibit 12 – C – Part 3 to the Form A – Consolidated Financial Statements of Aurora Health Care, Inc. and Affiliates as of and for the Years Ended December 31, 2017 and 2016
- Ex. 12 Exhibit 12 – D to the Form A – Three-Year Financial Projections for Quartz Health Plan Corporation
- Ex. 13 Biographical Affidavits were filed by Advocate Aurora Health, Inc. and Aurora Health Care, Inc., as follows:
 - 13.1 Biographical Affidavit for David Boyd Anderson, Director **[CONFIDENTIAL]**
 - 13.2 Biographical Affidavit for Joanne Beth Bauer, Director **[CONFIDENTIAL]**
 - 13.3 Biographical Affidavit for Thomas Michael Bolger, Director **[CONFIDENTIAL]**
 - 13.4 Biographical Affidavit for Lynn Crump-Caine, Director **[CONFIDENTIAL]**
 - 13.5 Biographical Affidavit for John W. Daniels, Jr., Chairperson **[CONFIDENTIAL]**
 - 13.6 Biographical Affidavit for Joanne Marilyn Disch, Director **[CONFIDENTIAL]**

- 13.7 Biographical Affidavit for James William Doheny, Senior Vice President and Corporate Controller **[CONFIDENTIAL]**
 - 13.8 Biographical Affidavit for Marcia Elaine Facey Drame, Director **[CONFIDENTIAL]**
 - 13.9 Biographical Affidavit for Robert Clarence Figueroa, Director **[CONFIDENTIAL]**
 - 13.10 Biographical Affidavit for Nannette Marie Gardetto, Director **[CONFIDENTIAL]**
 - 13.11 Biographical Affidavit for Michael Mullan Grebe, Director **[CONFIDENTIAL]**
 - 13.12 Biographical Affidavit for Mark Mayo Harris, Director **[CONFIDENTIAL]**
 - 13.13 Biographical Affidavit for Charles Anthony Harvey, Director **[CONFIDENTIAL]**
 - 13.14 Biographical Affidavit for Steven Edward Huser, Assistant Treasurer and Senior Vice President for Treasury Services **[CONFIDENTIAL]**
 - 13.15 Biographical Affidavit for Kenneth Richard Jakle, Director **[CONFIDENTIAL]**
 - 13.16 Biographical Affidavit for Michael Kerns, Assistant Secretary **[CONFIDENTIAL]**
 - 13.17 Biographical Affidavit for Janet Kreicj, Director **[CONFIDENTIAL]**
 - 13.18 Biographical Affidavit for Michael Howard Lappin, Secretary **[CONFIDENTIAL]**
 - 13.19 Biographical Affidavit for Leslie Kate Lenzo, Senior Vice President, Investments and Assistant Treasurer **[CONFIDENTIAL]**
 - 13.20 Biographical Affidavit for Michael Lee Morgan, Director **[CONFIDENTIAL]**
 - 13.21 Biographical Affidavit for Dominic James Nakis, Treasurer and Chief Financial Officer **[CONFIDENTIAL]**
 - 13.22 Biographical Affidavit for John Frederick Timmer, Director **[CONFIDENTIAL]**
- Ex. 14 E-mail from Steve Junior, OCI, to Morgan J. Tilleman, Foley & Lardner LLP, dated June 28, 2020, requesting certain documents in furtherance of the review of the Form A
- Ex. 15 E-Mail to Steve Junior, OCI, from Lisa M. Gingerich, Michael Best & Friedrich LLP, dated July 1, 2020, conveying the following documents:
- 15.1 Quartz's Disclosure Schedules to the Exchange Agreement dated May 1, 2020– Redacted version
 - 15.2 2015 Exchange Agreement by and between Gundersen Lutheran Health System, Inc. and University Health Care, Inc. – Redacted version
 - 15.3 2015 Exchange Agreement by and between Gundersen Lutheran Health System, Inc. and University Health Care, Inc. – Unredacted version **[CONFIDENTIAL]**
 - 15.4 2017 Exchange Agreement by and between Gundersen Lutheran Health System, Inc., University Health Care, Inc., and Iowa Health System – Redacted version
 - 15.5 2017 Exchange Agreement by and between Gundersen Lutheran Health System, Inc., University Health Care, Inc., and Iowa Health System – Unredacted version **[CONFIDENTIAL]**
 - 15.6 2017 QHC Stockholders Agreement (also attached as Exhibit K to the 2017 Exchange Agreement – Redacted version
 - 15.7 2017 QHC Stockholders Agreement (also attached as Exhibit K to the 2017 Exchange Agreement) – Unredacted version **[CONFIDENTIAL]**
- Ex. 16 E-mail from Janie Riebe to OCI Company Licensing electronic mailbox dated July 1, 2020
- Ex. 17 E-mail from Steve Junior, OCI, to Janie Riebe dated July 2, 2020
- Ex. 18 E-mail from Morgan J. Tilleman, Foley & Lardner LLP, to Steve Junior, OCI, dated July 6, 2020, with the following attachments:
- 18.1 Letter from Morgan J. Tilleman, Foley & Lardner LLP, to Steve Junior, OCI, dated July 6, 2020, concerning supplemental responses and filing of confidential information
 - 18.2 Exhibit 1 – Aurora Health Care, Inc. Disclosure Schedules – Unredacted **[CONFIDENTIAL]**

- 18.3 Exhibit 3 – Implementation Agreement effective January 15, 2020 made by and between Advocate Aurora Health, Inc. and Quartz Health Solutions, Inc. – Unredacted **[CONFIDENTIAL]**
- 18.4 Exhibit 3 – Implementation Agreement effective January 15, 2020 made by and between Advocate Aurora Health, Inc. and Quartz Health Solutions, Inc. – Redacted
- 18.5 Exhibit 4 – Risk Based Capital Agreement entered into January 15, 2020 by and between Aurora Health Care, Inc. and Quartz Health Plan Corporation – Unredacted **[CONFIDENTIAL]**
- 18.6 Exhibit 4 – Risk Based Capital Agreement entered into January 15, 2020 by and between Aurora Health Care, Inc. and Quartz Health Plan Corporation – Redacted
- 18.7 Exhibit 5 – Confidentiality, Nondisclosure Agreement made and entered into March 12, 2019 by and between Quartz Health Solutions, Inc. and Advocate Aurora Health, Inc. – Unredacted **[CONFIDENTIAL]**
- 18.8 Exhibit 9 – Participating Provider Agreement first effective on January 1, 2020 by and between Quartz Health Solutions, Inc. and Aurora Health Care, Inc. on behalf of itself and its controlled affiliates
- 18.9 Exhibit 10 – Forecast for Additional Medicare Advantage Enrollees **[CONFIDENTIAL]**
- 18.10 Exhibit 11 – Future Plans for Wisconsin Collaborative Insurance Company **[CONFIDENTIAL]**

- Ex. 19 E-mail from Janie Riebe to Steve Junior, OCI, dated July 10, 2020

- Ex. 20 E-mail from Lisa M. Gingerich, Michael Best & Friedrich LLP, to Steve Junior, OCI, dated July 23, 2020, with the following attachment:
 - 21.1 Quartz Market Data for Eastern Wisconsin

- Ex. 21 E-mail from Lisa M. Gingerich, Michael Best & Friedrich LLP, to Steve Junior, OCI, dated July 27, 2020, with the following attachment:
 - 21.1 Quartz Health Plan Corporation Service Area Expansion/Specified Providers **[CONFIDENTIAL]**

- Ex. 22 Stipulation and Order in the Matter of the Acquisition of Control of Quartz Health Plan Corporation by Advocate Aurora Health, Inc. and Aurora Health Care, Inc. (Case No. 20-C43722)

- Ex. 23 Notice of Hearing for Case No. 20-C43722

- Ex. 24 E-mail from Steve Junior, OCI, to Morgan J. Tilleman, Foley & Lardner LLP, and Lisa M. Gingerich, Michael Best & Friedrich LLP, dated September 21, 2020, with the following attachments:
 - 24.1 Case Recommendation Memorandum for Case No. 20-C43722 **[CONFIDENTIAL, PENDING REVIEW]**
 - 24.2 Draft List of Exhibits for Case No. 20-C43722
 - 24.3 Form of Waiver by Advocate Aurora Health, Inc. and Aurora Health Care, Inc. in the event that they would like expedited entry of a Final Decision in accordance with the Proposed Decision
 - 24.4 Form of Waiver for University Health Care, Inc., Gundersen Health System, Inc., Iowa Health System, and Quartz Health Plan Corporation in the event that they would like expedited entry of a Final Decision in accordance with the Proposed Decision

- Ex. 25 E-Mail from Morgan J. Tilleman, Foley & Lardner LLP, to Steve Junior, OCI, dated September X, 2020, concerning any comments on draft hearing documents sent to him by Steve Junior on September 21, 2020

- Ex. 26 E-Mail from Lisa M. Gingerich, Michael Best & Friedrich LLP, to Steve Junior, OCI, dated September X, 2020, concerning any comments on draft hearing documents sent to her by Steve Junior on September 21, 2020

- Ex. 27 Case Recommendation Memorandum in the Matter of the Acquisition of Control of Quartz Health Plan Corporation by Advocate Aurora Health, Inc. and Aurora Health Care, Inc. (Case No. 20-C43722)