



# HEALTH QUARTERLY STATEMENT

AS OF MARCH 31, 2021  
OF THE CONDITION AND AFFAIRS OF THE  
**Dean Health Plan, Inc.**

NAIC Group Code 1294 1294 NAIC Company Code 96156 Employer's ID Number 39-1536024  
(Current) (Prior)

Organized under the Laws of Wisconsin State of Domicile or Part of Entry WI

Country of Domicile United States of America

Licensed as business type: Health Maintenance Organization

Is HMO Federally Qualified? Yes [ X ], No [ ]

Incorporated/Organized 08/22/1983 Commenced Business 01/01/1984

Statutory Home Office 1277 Deming Way Madison, WI, US 53717  
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 1277 Deming Way  
(Street and Number) Madison, WI, US 53717  
(City or Town, State, Country and Zip Code) 608-836-1400  
(Area Code) (Telephone Number)

Mail Address 1277 Deming Way Madison, WI, US 53717  
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 1277 Deming Way  
(Street and Number) Madison, WI, US 53717  
(City or Town, State, Country and Zip Code) 608-836-1400  
(Area Code) (Telephone Number)

Internet Website Address www.deancare.com

Statutory Statement Contact Janet Marie Berger 608-630-5950  
(Name) (Area Code) (Telephone Number)  
janet.berger@deancare.com 608-252-0896  
(E-mail Address) (FAX Number)

### OFFICERS

President Walter Leslie McPheerson Jr. Secretary & General Counsel Dean Allan Sutton  
Treasurer & CFO Randy John Ruplinger

### OTHER

Randy John Ruplinger, Treasurer & CFO Kevin Jon Eishom, Chief Medical Officer Stephanie Jean Cook, VP - Compliance, Audit & Public Policy  
Michael Andrew Weber, VP - Sales, Client & Health Promotion Services David Scott Docherty, SVP - Chief Growth Officer Bradley William Burtis, Chief Actuary & VP of Applied Analytics  
Kathy Ann Killian, VP - Operations Lorita Anne Lorenzen, VP - Network Management & Contracting Daniel James Houchell, VP - Product Management  
Ralph Buelling, VP - Information Technology Jason Andrew Coxins, VP - Business Transformation

### DIRECTORS OR TRUSTEES

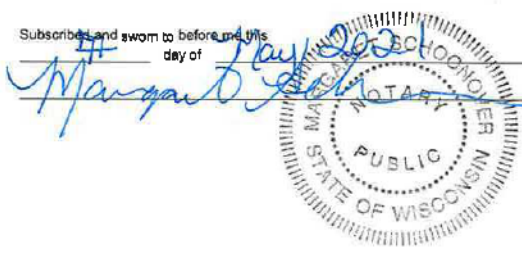
William Milton Ehrhardt M.D. Mark Anthony Covalesski Ph.D. Jennifer Lynn Maskel M.D.  
Jason Steven Isenberg M.D. Ralph Richard Kauten Gregory Michael Matzke M.D.  
Albert John Muss M.D. John Michael Phelan M.D. Wesley Norwood Sparkman  
Stephen John Sramek M.D. Demond Williams Boatwright Jamie Fuller  
Katie Kennedy

State of Wisconsin SS:  
County of Dane

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

Walter Leslie McPheerson, Jr. Randy John Ruplinger Dean Allan Sutton  
President Treasurer & CFO Secretary

Subscribed and sworn to before me this May 2021 day of May



5. Is this an original filing? ..... Yes [ X ] No [ ]  
6. If no,  
1. State the amendment number.....  
2. Date filed.....  
3. Number of pages attached.....

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.



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**Dean Health Plan, Inc.**

NAIC Group Code	1294 <small>(Current)</small>	1294 <small>(Prior)</small>	NAIC Company Code	96156	Employer's ID Number	39-1535024
Organized under the Laws of	Wisconsin			State of Domicile or Port of Entry		WI
Country of Domicile	United States of America					
Licensed as business type:	Health Maintenance Organization					
Is HMO Federally Qualified? Yes [ X ] No [ ]						
Incorporated/Organized	08/22/1983			Commenced Business		01/01/1984
Statutory Home Office	1277 Deming Way <small>(Street and Number)</small>			Madison, WI, US 53717 <small>(City or Town, State, Country and Zip Code)</small>		
Main Administrative Office	1277 Deming Way <small>(Street and Number)</small>			608-836-1400 <small>(Area Code) (Telephone Number)</small>		
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	Madison, WI, US 53717 <small>(City or Town, State, Country and Zip Code)</small>					
Internet Website Address	www.deancare.com					
Statutory Statement Contact	Janet Marie Berger <small>(Name)</small>			608-830-5950 <small>(Area Code) (Telephone Number)</small>		
	janeLberger@deancare.com <small>(E-mail Address)</small>			608-252-0896 <small>(FAX Number)</small>		

### OFFICERS

President	Walter Leslie McPhearson Jr.	Secretary & General Counsel	Dean Allan Sutton
Treasurer & CFO	Randy John Ruplinger		

### OTHER

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Walter Leslie McPhearson, Jr. President	Randy John Ruplinger Treasurer & CFO	Dean Allan Sutton Secretary
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Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_

- a. Is this an original filing? ..... Yes [ X ] No [ ]  
b. If no,  
1. State the amendment number.....  
2. Date filed .....

3. Number of pages attached.....

## STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.

## ASSETS

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds .....	60,135,012		60,135,012	60,398,388
2. Stocks:				
2.1 Preferred stocks .....	186,379		186,379	565,092
2.2 Common stocks .....	50,535,480		50,535,480	47,172,622
3. Mortgage loans on real estate:				
3.1 First liens .....			0	0
3.2 Other than first liens .....			0	0
4. Real estate:				
4.1 Properties occupied by the company (less \$ encumbrances) .....	16,537,734		16,537,734	16,705,814
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 (\$ .....202,145,529 ), cash equivalents (\$ .....1,807,724 ) and short-term investments (\$ .....1,836,128 ) .....	205,789,381		205,789,381	186,283,689
6. Contract loans (including \$ ..... premium notes) .....			0	0
7. Derivatives .....			0	0
8. Other invested assets .....			0	0
9. Receivables for securities .....			0	561,375
10. Securities lending reinvested collateral assets .....			0	0
11. Aggregate write-ins for invested assets .....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	333,183,986	0	333,183,986	311,686,980
13. Title plants less \$ ..... charged off (for Title insurers only) .....			0	0
14. Investment income due and accrued .....	439,761		439,761	519,256
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	3,549,506		3,549,506	16,637,450
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ ..... earned but unbilled premiums) .....			0	0
15.3 Accrued retrospective premiums (\$ .....20,954 ) and contracts subject to redetermination (\$ ..... ) .....	20,954		20,954	20,954
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	27,948,570		27,948,570	23,262,354
16.2 Funds held by or deposited with reinsured companies .....			0	0
16.3 Other amounts receivable under reinsurance contracts .....			0	0
17. Amounts receivable relating to uninsured plans .....	356,812		356,812	732,315
18.1 Current federal and foreign income tax recoverable and interest thereon .....			0	0
18.2 Net deferred tax asset .....	212,954		212,954	310,704
19. Guaranty funds receivable or on deposit .....			0	0
20. Electronic data processing equipment and software .....	9,191,324	3,424,720	5,766,604	4,700,066
21. Furniture and equipment, including health care delivery assets (\$ ..... ) .....	2,269,181	2,269,181	0	0
22. Net adjustment in assets and liabilities due to foreign exchange rates .....			0	0
23. Receivables from parent, subsidiaries and affiliates .....			0	0
24. Health care (\$ .....28,095 ) and other amounts receivable .....	3,625,879	3,597,784	28,095	44,936
25. Aggregate write-ins for other than invested assets .....	463,453	0	463,453	459,733
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	381,262,380	9,291,685	371,970,695	358,374,748
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			0	0
28. Total (Lines 26 and 27) .....	381,262,380	9,291,685	371,970,695	358,374,748
<b>DETAILS OF WRITE-INS</b>				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above) .....	0	0	0	0
2501. Government Program Receivable .....	91,032		91,032	91,032
2502. Other Receivables .....	372,421		372,421	368,701
2503. ....				
2598. Summary of remaining write-ins for Line 25 from overflow page .....	0	0	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above) .....	463,453	0	463,453	459,733

**LIABILITIES, CAPITAL AND SURPLUS**

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$ _____ reinsurance ceded) .....	18,815,994	961,170	19,777,164	25,009,558
2. Accrued medical incentive pool and bonus amounts .....	(2,311,940)		(2,311,940)	(5,882,562)
3. Unpaid claims adjustment expenses .....	225,736		225,736	351,479
4. Aggregate health policy reserves, including the liability of \$ _____ for medical loss ratio rebate per the Public Health Service Act .....	44,886,507		44,886,507	37,696,669
5. Aggregate life policy reserves .....			0	0
6. Property/casualty unearned premium reserve .....			0	0
7. Aggregate health claim reserves .....			0	0
8. Premiums received in advance .....	35,230,028		35,230,028	27,331,909
9. General expenses due or accrued .....	1,734,332		1,734,332	2,340,880
10.1 Current federal and foreign income tax payable and interest thereon (including \$ _____ on realized gains (losses)) .....	19,598,958		19,598,958	17,320,256
10.2 Net deferred tax liability .....			0	0
11. Ceded reinsurance premiums payable .....			0	0
12. Amounts withheld or retained for the account of others .....			0	0
13. Remittances and items not allocated .....	1,689,248		1,689,248	2,060,792
14. Borrowed money (including \$ _____ current) and interest thereon \$ _____ (including \$ _____ current) .....			0	0
15. Amounts due to parent, subsidiaries and affiliates .....	25,449,388		25,449,388	34,707,782
16. Derivatives .....			0	0
17. Payable for securities .....			0	300,212
18. Payable for securities lending .....			0	0
19. Funds held under reinsurance treaties (with \$ _____ authorized reinsurers, \$ _____ unauthorized reinsurers and \$ _____ certified reinsurers) .....			0	0
20. Reinsurance in unauthorized and certified (\$ _____ ) companies .....			0	0
21. Net adjustments in assets and liabilities due to foreign exchange rates .....			0	0
22. Liability for amounts held under uninsured plans .....			0	0
23. Aggregate write-ins for other liabilities (including \$ _____ current) .....	19,928,923	0	19,928,923	19,906,875
24. Total liabilities (Lines 1 to 23) .....	165,247,174	961,170	166,208,344	161,143,850
25. Aggregate write-ins for special surplus funds .....	XXX	XXX	0	0
26. Common capital stock .....	XXX	XXX	175,000	175,000
27. Preferred capital stock .....	XXX	XXX		
28. Gross paid in and contributed surplus .....	XXX	XXX	15,000,000	15,000,000
29. Surplus notes .....	XXX	XXX	6,662,500	6,662,500
30. Aggregate write-ins for other than special surplus funds .....	XXX	XXX	0	0
31. Unassigned funds (surplus) .....	XXX	XXX	183,924,851	175,393,398
32. Less treasury stock, at cost:				
32.1 _____ shares common (value included in Line 26 \$ _____ ) .....	XXX	XXX		
32.2 _____ shares preferred (value included in Line 27 \$ _____ ) .....	XXX	XXX		
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	XXX	XXX	205,762,351	197,230,898
34. Total liabilities, capital and surplus (Lines 24 and 33) .....	XXX	XXX	371,970,695	358,374,748
<b>DETAILS OF WRITE-INS</b>				
2301. Medicare Cost Contingency .....	19,752,802		19,752,802	19,703,135
2302. Escheat Checks Payable .....	176,121		176,121	187,655
2303. Payable to CHP .....	0		0	16,085
2398. Summary of remaining write-ins for Line 23 from overflow page .....	0	0	0	0
2399. Totals (Lines 2301 through 2303 plus 2398)(Line 23 above) .....	19,928,923	0	19,928,923	19,906,875
2501. ....	XXX	XXX		
2502. ....	XXX	XXX		
2503. ....	XXX	XXX		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	XXX	XXX	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above) .....	XXX	XXX	0	0
3001. ....	XXX	XXX		
3002. ....	XXX	XXX		
3003. ....	XXX	XXX		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	XXX	XXX	0	0
3099. Totals (Lines 3001 through 3003 plus 3098)(Line 30 above) .....	XXX	XXX	0	0

**STATEMENT OF REVENUE AND EXPENSES**

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member Months .....	XXX	786,521	877,634	3,105,313
2. Net premium income ( including \$ ..... non-health premium income).....	XXX	344,468,040	337,850,380	1,382,743,489
3. Change in unearned premium reserves and reserve for rate credits.....	XXX			
4. Fee-for-service (net of \$ ..... medical expenses).....	XXX			
5. Risk revenue .....	XXX			
6. Aggregate write-ins for other health care related revenues .....	XXX	122,253	1,418,186	1,715,533
7. Aggregate write-ins for other non-health revenues .....	XXX	0	0	0
8. Total revenues (Lines 2 to 7) .....	XXX	344,590,293	339,268,566	1,384,459,022
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....	8,746,487	179,968,858	173,030,835	695,284,180
10. Other professional services .....	1,676,879	34,503,682	32,064,327	125,152,495
11. Outside referrals .....	516,053	10,618,374	9,348,629	39,744,444
12. Emergency room and out-of-area .....	2,373,464	48,836,709	46,788,526	182,378,123
13. Prescription drugs .....	1,658,959	34,134,954	34,247,822	151,019,048
14. Aggregate write-ins for other hospital and medical .....	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts .....	51,106	1,051,563	355,349	(10,873,453)
16. Subtotal (Lines 9 to 15) .....	15,022,948	309,114,140	295,835,488	1,182,704,837
<b>Less:</b>				
17. Net reinsurance recoveries .....		4,912,210	5,123,947	23,435,339
18. Total hospital and medical (Lines 16 minus 17) .....	15,022,948	304,201,930	290,711,541	1,159,269,498
19. Non-health claims (net) .....				
20. Claims adjustment expenses, including \$ .....6,761,085 cost containment expenses .....		6,876,087	6,716,417	29,059,714
21. General administrative expenses .....		27,948,211	59,256,444	145,392,236
22. Increase in reserves for life and accident and health contracts (including \$ ..... increase in reserves for life only) .....				0
23. Total underwriting deductions (Lines 18 through 22).....	15,022,948	339,026,228	356,684,402	1,333,721,448
24. Net underwriting gain or (loss) (Lines 8 minus 23) .....	XXX	5,564,065	(17,415,836)	50,737,574
25. Net investment income earned .....		1,047,417	1,420,861	5,054,319
26. Net realized capital gains (losses) less capital gains tax of \$ .....		749,452	258,690	2,331,503
27. Net investment gains (losses) (Lines 25 plus 26) .....	0	1,796,869	1,679,551	7,385,822
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$ .....143,951 ) (amount charged off \$ .....423,798 )] .....		(279,847)	(11,270)	(570,364)
29. Aggregate write-ins for other income or expenses .....	0	46,982	2,648,957	2,584,231
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29) .....	XXX	7,128,069	(13,098,598)	60,137,263
31. Federal and foreign income taxes incurred .....	XXX	1,951,139	3,887,982	18,948,916
32. Net income (loss) (Lines 30 minus 31) .....	XXX	5,176,930	(16,986,580)	41,188,347
<b>DETAILS OF WRITE-INS</b>				
0601. Other Healthcare Related Revenue .....	XXX	122,253	1,418,186	1,715,533
0602. ....	XXX			
0603. ....	XXX			
0698. Summary of remaining write-ins for Line 6 from overflow page .....	XXX	0	0	0
0699. Totals (Lines 0601 through 0603 plus 0698)(Line 6 above) .....	XXX	122,253	1,418,186	1,715,533
0701. ....	XXX			
0702. ....	XXX			
0703. ....	XXX			
0798. Summary of remaining write-ins for Line 7 from overflow page .....	XXX	0	0	0
0799. Totals (Lines 0701 through 0703 plus 0798)(Line 7 above) .....	XXX	0	0	0
1401. ....				
1402. ....				
1403. ....				
1498. Summary of remaining write-ins for Line 14 from overflow page .....	0	0	0	0
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above) .....	0	0	0	0
2901. Gain on Sale of Assets .....		46,507	2,650,801	2,586,229
2902. Other Expenses .....		475	(1,844)	(1,998)
2903. ....				
2998. Summary of remaining write-ins for Line 29 from overflow page .....	0	0	0	0
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above) .....	0	46,982	2,648,957	2,584,231

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

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
33. Capital and surplus prior reporting year.....	197,230,898	151,919,778	151,919,778
34. Net income or (loss) from Line 32.....	5,176,930	(16,986,580)	41,188,347
35. Change in valuation basis of aggregate policy and claim reserves.....			
36. Change in net unrealized capital gains (losses) less capital gains tax of \$ _____ (495,925).....	1,865,624	(8,006,758)	4,408,501
37. Change in net unrealized foreign exchange capital gain or (loss).....			
38. Change in net deferred income tax.....	398,176	(101,013)	(241,331)
39. Change in nonadmitted assets.....	1,090,723	2,285,105	8,455,603
40. Change in unauthorized and certified reinsurance.....	0	0	0
41. Change in treasury stock.....	0	0	0
42. Change in surplus notes.....	0	0	0
43. Cumulative effect of changes in accounting principles.....			
44. Capital Changes:			
44.1 Paid in.....			0
44.2 Transferred from surplus (Stock Dividend).....	0	0	0
44.3 Transferred to surplus.....			
45. Surplus adjustments:			
45.1 Paid in.....	0	0	0
45.2 Transferred to capital (Stock Dividend).....			
45.3 Transferred from capital.....			
46. Dividends to stockholders.....		0	(8,500,000)
47. Aggregate write-ins for gains or (losses) in surplus.....	0	0	0
48. Net change in capital & surplus (Lines 34 to 47).....	8,531,453	(22,809,246)	45,311,120
49. Capital and surplus end of reporting period (Line 33 plus 48).....	205,762,351	129,110,532	197,230,898
<b>DETAILS OF WRITE-INS</b>			
4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page.....	0	0	0
4799. Totals (Lines 4701 through 4703 plus 4798)(Line 47 above).....	0	0	0

**CASH FLOW**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....	372,643,941	341,887,992	1,365,872,902
2. Net investment income .....	1,369,827	1,715,713	5,798,077
3. Miscellaneous income .....	122,253	1,418,186	1,715,533
4. Total (Lines 1 to 3) .....	374,136,021	345,021,891	1,373,386,512
5. Benefit and loss related payments .....	312,073,666	286,080,560	1,148,420,307
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			
7. Commissions, expenses paid and aggregate write-ins for deductions .....	35,391,903	31,246,116	172,378,624
8. Dividends paid to policyholders .....			
9. Federal and foreign income taxes paid (recovered) net of \$ ..... tax on capital gains (losses) .....	(128,343)	0	0
10. Total (Lines 5 through 9) .....	347,337,226	317,326,676	1,320,798,931
11. Net cash from operations (Line 4 minus Line 10) .....	26,798,795	27,695,215	52,587,581
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	5,184,530	4,063,308	16,411,521
12.2 Stocks .....	4,004,619	167,332	13,207,885
12.3 Mortgage loans .....	0	0	0
12.4 Real estate .....	0	0	0
12.5 Other invested assets .....	0	0	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	0	0	0
12.7 Miscellaneous proceeds .....	561,375	83,616	300,212
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	9,750,524	4,314,256	29,919,618
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	4,849,957	4,010,811	24,280,495
13.2 Stocks .....	3,836,145	333,690	9,027,695
13.3 Mortgage loans .....	0	0	0
13.4 Real estate .....	(11,570)	0	0
13.5 Other invested assets .....	0	0	0
13.6 Miscellaneous applications .....	300,212	0	561,375
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	8,974,744	4,344,501	33,869,565
14. Net increase (or decrease) in contract loans and premium notes .....	0	0	0
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	775,780	(30,245)	(3,949,947)
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....	0	0	0
16.2 Capital and paid in surplus, less treasury stock .....	0	0	0
16.3 Borrowed funds .....	0	0	0
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....	0	0	0
16.5 Dividends to stockholders .....	0	0	8,500,000
16.6 Other cash provided (applied) .....	(8,068,883)	9,238,961	32,572,763
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	(8,068,883)	9,238,961	24,072,763
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	19,505,692	36,903,931	72,710,397
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	186,283,689	113,573,292	113,573,292
19.2 End of period (Line 18 plus Line 19.1) .....	205,789,381	150,477,223	186,283,689

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

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**EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION**

	1 Total	Comprehensive (Hospital & Medical)			4 Medicare Supplement	5 Vision Only	6 Dental Only	7 Federal Employees Health Benefit Plan	8 Title XVIII Medicare	9 Title XIX Medicaid	10 Other
		2 Individual	3 Group								
<b>Total Members at end of:</b>											
1. Prior Year .....	280,526	31,233	157,616	1,431	0	0	3,196	23,463	43,897	0	
2. First Quarter .....	261,666	30,295	157,149	1,327			3,196	24,319	45,380	0	
3. Second Quarter .....	0	0									
4. Third Quarter .....	0	0									
5. Current Year .....	0	0									
6. Current Year Member Months	786,521	91,897	473,797	4,014			9,697	73,016	134,820	0	
<b>Total Member Ambulatory Encounters for Period:</b>											
7. Physician .....	865,820	17,675	99,200	2,089			2,881	36,407	27,568	0	
8. Non-Physician .....	213,795	17,570	132,588	1,085			2,935	29,416	30,221	0	
9. Total .....	389,615	35,245	231,788	3,174	0	0	5,816	65,823	57,789	0	
10. Hospital Patient Days Incurred	31,535	2,044	11,021	1,034			707	13,648	3,091	0	
11. Number of Inpatient Admissions	4,813	357	2,003	113			96	1,553	691	0	
12. Health Premiums Written (a) .....	344,714,377	47,449,404	221,830,414	8,105,083			6,503,456	39,445,901	21,380,119	0	
13. Life Premiums Directed .....	0	0									
14. Property/Casualty Premiums Written .....	0	0									
15. Health Premiums Earned .....	344,714,377	47,449,404	221,830,414	8,105,083			6,503,456	39,445,901	21,380,119	0	
16. Property/Casualty Premiums Earned .....	0	0									
17. Amount Paid for Provision of Health Care Services .....	310,775,913	41,338,555	200,633,988	8,320,014			6,219,274	34,864,082	19,400,000	0	
18. Amount Incurred for Provision of Health Care Services	309,114,140	40,082,438	199,939,769	8,329,527			6,219,331	35,446,800	19,077,275	0	

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



STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)**

Adverse Analysis of Unpaid Claims

Claims Unpaid (Reported)	1 Account						7 Total
	2 1 - 30 Days	3 31 - 60 Days	4 61 - 90 Days	5 91 - 120 Days	6 Over 120 Days		
0299999 Aggregate accounts not individually listed-uncovered	565,790					565,790	
0399999 Aggregate accounts not individually listed-covered	11,075,984					11,075,984	
0499999 Subtotal	11,641,774					11,641,774	
0599999 Unreported claims and other claim reserves		0		0		0	
0799999 Total amounts withheld							
0899999 Accrued medical incentive pool and bonus amounts						19,777,164	
						(2,311,940)	

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**UNDERWRITING AND INVESTMENT EXHIBIT**

ANALYSIS OF CLAIMS UNPAID - PRIOR YEAR - NET OF REINSURANCE

Line of Business	Claims Paid		Liability		5	6
	1 On Claims Incurred Prior to January 1 of Current Year	2 On Claims Incurred During the Year	3 End of Current Quarter On Claims Unpaid Dec. 31 of Prior Year	4 On Claims Incurred During the Year		
1. Comprehensive (hospital and medical) .....	20,645,650	2,18,974,423	1,700,145	16,895,051	22,345,795	24,039,133
2. Medicare Supplement .....	188,489	8,151,514	0	778,013	188,489	188,489
3. Dental Only .....					0	0
4. Vision Only .....					0	0
5. Federal Employees Health Benefits Plan .....	132,859	6,086,415	0	182,915	132,859	132,859
6. Title XVIII - Medicare .....	(686,003)	35,609,704		682,728	(686,003)	100,010
7. Title XIX - Medicaid .....	550,037	18,949,983		227,312	550,037	550,037
8. Other health .....					0	0
9. Health subtotal (Lines 1 to 8) .....	20,811,042	287,571,719	1,700,145	18,077,019	22,511,187	25,009,558
10. Healthcare receivables (a) .....					0	0
11. Other non-health .....					0	0
12. Medical incentive pools and bonus amounts .....	(2,519,059)	0	0	(2,311,940)	(2,519,059)	(5,882,582)
13. Totals (Lines 9-10+11+12) .....	18,291,983	287,571,719	1,700,145	15,765,079	19,992,128	19,128,986

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

## NOTES TO FINANCIAL STATEMENTS

## 1. Summary of Significant Accounting Policies

## A. Accounting Practices

The financial statements of Dean Health Plan, Inc. (the Company) are presented on the basis of accounting practices prescribed or permitted by the Office of the Commissioner of Insurance of the State of Wisconsin (OCI).

The OCI recognizes only statutory accounting practices prescribed or permitted by the State of Wisconsin for determining and reporting the financial condition and results of operations of an insurance company, for determining solvency under the Wisconsin Insurance Law. The National Association of Insurance Commissioners' Accounting Practices and Procedures manual (NAIC SAP), has been adopted as a component of prescribed or permitted practices by the State of Wisconsin. The state has adopted certain prescribed accounting practices that differ from those found in NAIC SAP. Specifically, the state has adopted a prescribed practice on affiliate receivables. Per Wisconsin Ins. 9.10, a receivable or other obligation of an affiliate to a health maintenance organization insurer or a limited service health organization insurer shall be valued at zero by the insurer for all purposes including, but not limited to, the purpose of reports or statements filed with the office, unless the commissioner specifically approves a different value. The different value shall not be more than the amount of the receivable, note or other obligation, which is fully secured by a security interest in cash or cash equivalents held in a segregated account or trust.

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

	SSAP #	F/S Page	F/S Line #	March 31, 2021	December 31, 2020
<b>NET INCOME</b>					
(1) The Company state basis (Page 4, Line 32, Columns 2 & 4)	XXX	XXX	XXX	\$ 5,176,930	\$ 41,188,347
(2) State prescribed practices that is an increase/(decrease) from NAIC SAP None				-	-
(3) State permitted practices that is an increase/(decrease) from NAIC SAP None				-	-
(4) NAIC SAP	XXX	XXX	XXX	\$ 5,176,930	\$ 41,188,347
<b>SURPLUS</b>					
(5) The Company state basis (Page 3, Line 33, Columns 3 & 4)	XXX	XXX	XXX	\$ 205,762,351	\$ 197,230,898
(6) State prescribed practices that is an increase/(decrease) from NAIC SAP Related Party receivables	WI Code 9.10	2	23	-	-
Related Party pharmacy rebate receivables	WI Code 9.10	2	24	3,597,784	2,057,193
(7) State permitted practices that is an increase/(decrease) from NAIC SAP None				-	-
(8) NAIC SAP	XXX	XXX	XXX	\$ 209,360,135	\$ 199,288,091

## B. Use of Estimates

The preparation of financial statements in conformity with Statutory Accounting Principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities. It also requires disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the period. Actual results could differ from those estimates.

## C. Accounting Policy

Health premiums are recognized as revenue over the coverage period. A liability for premiums received in advance is established for premiums received for future coverage periods.

Expenses incurred in connection with acquiring new insurance business, including such acquisition costs as sales commissions, are charged to operations as incurred.

Net investment income earned consists primarily of interest, dividends and rent income less investment related expenses. Interest is recognized on an accrual basis and dividends are recognized on an ex-dividend basis. Rental income includes an imputed rent for the Company's occupancy of its own building. Net realized capital gains (losses) are recognized on a specific identification basis when securities are sold, redeemed or otherwise disposed. Realized capital losses include write-downs for impairments considered to be other-than-temporary as applicable.

Real estate investments are classified in the balance sheet as properties occupied by the Company. They are carried at depreciated cost.

In addition, the Company uses the following accounting policies:

- Short-term investments are stated at amortized cost.
- Bonds are valued as prescribed by the NAIC. Bonds not backed by other loans are generally carried at cost, adjusted for the amortization of premiums, accretion of discounts, and any impairment. Premiums and discounts are amortized and accreted over the estimated lives of the related bonds based on the interest-yield method. The Company's bond portfolio is reviewed quarterly and as a result the carrying value of a bond may be reduced to reflect changes in valuation resulting from asset impairment. Bonds which have been assigned the NAIC category 3 thru 6 designations are written down to the appropriate NAIC carrying value.
- Common stocks are reported at fair value.

**NOTES TO FINANCIAL STATEMENTS**

4. Preferred stocks are reported at cost
5. Mortgage loans are not applicable
6. Investment grade loan-backed securities are stated at amortized cost. The retrospective adjustment method is used to determine amortized value for all loan-backed securities. Non-investment grade loan-backed securities with NAIC designations 6 would be stated at the lower of amortized cost or fair value. The Company does not currently have any non-investment grade loan-backed securities.  
  
The carrying value and final NAIC designation for non-agency residential mortgage backed securities are determined using a special two-step NAIC process. Those assigned a NAIC designation in the first step of 1 or 2 are stated at amortized cost and those assigned 6 designation are stated at the lower of amortized cost or fair value. The NAIC designation assigned under the second step of the process is reported for these securities in Schedule D and is used in the risk-based capital calculation. The Company does not currently have any non-agency residential mortgage backed securities.
7. Investments in subsidiaries controlled and affiliated entities are not applicable
8. Investments in joint ventures and partnerships are not applicable.
9. Derivative investments are not applicable.
10. Premium deficiency reserves are not applicable
11. Claims unpaid include an amount determined from individual case estimates and loss reports and an amount, based on past experience, for adverse development on case reserves and for losses incurred but not reported. Such liabilities are necessarily based on assumptions and estimates and while management believes the amount is adequate, the ultimate liability may be in excess of or less than the amount provided. The methods for making such estimates and for establishing the resulting liability is continually reviewed and any adjustments are reflected in the period determined.
12. The Company has a written capitalization policy for prepaid expense and purchases of items such as EDP equipment, software, furniture, other equipment and leasehold improvements. The predefined capitalization thresholds under the Company's policy have not changed from those of the prior year
13. The Company estimates pharmaceutical rebates utilizing past experience and accumulated statistical data. These estimates are continuously reviewed and any adjustment are reflected in current operations.
- D. After evaluating the entity's ability to continue as a going concern, management was not aware of any conditions or events which raised substantial doubts concerning the entity's ability to continue as a going concern as of the date of the filing of this statement.
2. Accounting Changes and Corrections of Errors
  - A. Accounting Changes as a Result of a Change in Accounting Principles and/or Corrections of Errors  
  
No changes in accounting principles or correction of errors were made as of March 31, 2021.
3. Business Combinations and Goodwill  
  
Not Applicable
4. Discontinued Operations  
  
Not Applicable
5. Investments
  - A. Mortgage Loans, including Mezzanine Real Estate Loans  
  
Not Applicable
  - B. Troubled Debt Restructuring for Creditors  
  
Not Applicable
  - C. Reverse Mortgages  
  
Not Applicable
  - D. Loan-Backed Securities  
  
Not Applicable
  - E. Repurchase Agreements and /or Securities Lending Transaction  
  
Not Applicable
  - F. Repurchase agreements transactions accounted for as secured borrowing  
  
Not Applicable

## NOTES TO FINANCIAL STATEMENTS

G. Reverse repurchase agreements transactions accounted for as secured borrowing

Not Applicable

H. Repurchase agreements transaction accounted for as secured borrowing

Not Applicable

I. Reverse repurchase agreements transaction accounted for as a sale

Not Applicable

J. Real Estate

Not Applicable

K. Low income house tax credits

Not Applicable

L. Restricted Assets

Restricted Asset Category	1	2	3	4	5	6
	Total Gross Restricted From Current Year	Total Gross Restricted From Prior Year	Increase / Decrease (1 minus 2)	Total Current Year Admitted Restricted	% Gross Restricted to Total Assets	% Admitted Restricted to Total Admitted Assets
a. Subject to contractual Obligation for which is not shown	\$ -	\$ -	\$ -	\$ -	0%	0%
b. Collateral held under security lending agreements	-	-	-	-	-	-
c. Subject to repurchase agreements	-	-	-	-	-	-
d. Subject to dollar repurchase agreements	-	-	-	-	-	-
e. Subject to dollar repurchase agreements	-	-	-	-	-	-
f. Subject to dollar reverse repurchase agreements	-	-	-	-	-	-
g. Placed under option contracts	-	-	-	-	-	-
h. Letter stock or securities restricted as to sale - excluding FHLB capital Stock	-	-	-	-	-	-
i. FHLB capital stock	-	-	-	-	-	-
j. On Deposit with state(s)	12,154,206	12,177,964	(23,758)	12,154,206	3.2%	3.3%
k. On Deposit with other regulatory bodies	-	-	-	-	-	-
l. Pledged as collateral to FHLB (including assets backing funding agreements)	-	-	-	-	-	-
m. Pledged as collateral not captured in other categories	-	-	-	-	-	-
n. Other restricted assets	-	-	-	-	-	-
o. Total Restricted Assets	12,154,206	12,177,964	(23,758)	12,154,206	3.2%	3.3%

M. Working Capital Finance Investment

Not Applicable

N. Offsetting and Netting Assets and Liabilities

Not Applicable

O. 5GI Securities

Not Applicable

P. Short Sales

Not Applicable

Q. Prepayment Penalty and Acceleration Fees

	General Account
(1) Number of CUSIPs	2
(2) Aggregate Amount of Investment Income	\$ 18,080

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

Asset Type	Percent Share
(1) Cash	98.23%
(2) Cash Equivalents	0.88%
(3) Short-Term Investments	0.89%
(4) Total	100.00%

**NOTES TO FINANCIAL STATEMENTS**

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

## A. Detail for Those Greater than 10% of Admitted Assets

Not Applicable

## B. Write-downs for Impairments of Joint Ventures, Partnerships and LLCs

Not Applicable

## 7. Investment Income

## A. Accrued Investment Income

The Company does not admit investment income due and accrued if amounts are over 90 days past due.

## B. Amounts Nonadmitted

Not Applicable

## 8. Derivative Instruments

Not Applicable

## 9. Income Taxes

No significant changes

## 10. Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties

A. The Company is 100% owned by Dean Health Insurance, Inc. All outstanding shares of Dean Health Insurance, Inc. are owned by Dean Health Systems, Inc., who is 100% owned by FPP, Inc. FPP, Inc. is an owned subsidiary of SSM Health Care Corporation. Significant transactions are presented in Schedule Y.

## B. Change in Terms of Intercompany Arrangements

Not Applicable

## C. Transactions with related party who are not reported on Schedule Y

Not Applicable

## D. Amounts Due to or from Related Parties

<u>DUE FROM</u>	<u>March 31, 2021</u>	<u>December 31, 2020</u>
Navitus Health Solutions Pharmacy Rebates	\$3,597,784	\$2,057,193
<u>DUE TO</u>	<u>March 31, 2021</u>	<u>December 31, 2020</u>
Dean Health Service Company, LLC	\$14,175,297	\$17,442,801
Dean Health Systems, Inc.	\$9,630,198	\$12,275,689
SSM Health Care Corporation	\$1,643,893	\$4,989,292

## E. Management, Service Contracts, Cost Sharing Arrangements

Dean Health Plan, Inc. has agreed to have Navitus Health Solutions, LLC provide certain administrative services regarding insurance policies underwritten by Dean Health Plan, Inc. These services include claims processing, provider contracting, administration of benefits, and performance of appropriate business functions that are reasonable and necessary for the general conduct of the Dean Health Plan, Inc. business.

The Company has a Service Agreement in place with Dean Health Systems, Inc. and SSM Health Care Corporation.

The Company contracts with Dean Health Service Company, LLC for various administrative and management services.

## F. Nature of Relationships that Could Affect Operations

Not Applicable

## G. Amount Deducted for Investment in Upstream Company

Not Applicable

## H. Detail of Investments in Affiliates Greater than 10% of Admitted Assets

Not Applicable

## I. Write-down for Impairments of Investment in Affiliates

Not Applicable

**NOTES TO FINANCIAL STATEMENTS**

- J. CARVM assumptions for adjusting foreign subsidiary annuity reserves from GAAP  
Not Applicable
- K. Downstream Holding Company Valued using Look-Through Method  
Not Applicable
- L. Non-Insurance subsidiary, controller and affiliated (SCA) entity valuations  
Not Applicable
- M. SCA investments  
Not Applicable
- N. Investments in Insurance SCA's  
Not Applicable
- O. SCA or SSAP 48 Entity Loss Tracking  
Not Applicable
- 11. Debt  
Not Applicable
- 12. Retirement Plans, Deferred Compensation, Post-Employment Benefits and Compensated Absences and Other Postretirement Benefit Plans
  - A. Defined Benefit Plans  
Not Applicable
  - B. Description of Investment Policies  
Not Applicable
  - C. Fair Value of Plan Assets  
Not Applicable
  - D. Rate of Return Assumptions  
Not Applicable
  - E. Defined Contribution Plans  
No significant changes
  - F. Multiemployer Plans  
Not Applicable
  - G. Consolidated/Holding Company Plans  
Not Applicable
  - H. Postemployment Benefits and Compensated Absences  
Not Applicable
  - I. Impact of Medicare Modernization Act  
Not Applicable
- 13. Capital and Surplus, Dividend Restrictions and Quasi-Reorganizations
  - A. Outstanding Shares  
The Company has 100 shares authorized, issued and outstanding.
  - B. Dividend Rate of Preferred Stock  
Not Applicable
  - C. Dividend Restrictions  
Without prior approval of its domiciliary commissioner, dividends to shareholders are limited by the laws of the Company's state of incorporation, Wisconsin.

**NOTES TO FINANCIAL STATEMENTS****D. Ordinary or Extraordinary Dividends Paid**

Not Applicable

**E. Profits that may be Paid as Ordinary Dividends**

Within the limitations of (C) above, there are no restrictions placed on the portion of the Company's profits that may be paid as ordinary dividends to stockholders.

**F. Restrictions Placed on Surplus**

Not Applicable

**G. Mutual Surplus Advances**

Not Applicable

**H. Company Stock Held for Special Purposes**

Not Applicable

**I. Changes in Special Surplus Funds**

Not Applicable

**J. Changes in Unassigned Funds**

The portion of unassigned funds (surplus) represented or reduced by cumulative unrealized gains and losses are \$16,760,432.

**K. Surplus Notes**

- The Company issued the following surplus debentures or similar obligations;

Item Number	Date Issued	Interest Rate	Original Issue Amount of Note	Is Surplus Note Holder a Related Party (Y/N)	Carrying Value of Note (Prior Year)	Carrying Value of Note (Current Year)	Unapproved Interest And/Or Principal
1000	11/19/2012	0.10%	4,996,875	Y	4,996,875	4,996,875	416,005
2000	11/19/2012	0.10%	1,665,625	Y	1,665,625	1,665,625	138,668
<b>Total</b>	<b>XXX</b>	<b>XXX</b>	<b>\$ 6,662,500</b>	<b>XXX</b>	<b>\$ 6,662,500</b>	<b>\$ 6,662,500</b>	<b>554,673</b>

The surplus note in the amount of \$4,996,875, listed as item #1000 in the above table, was issued to St Vincent Hospital in exchange for cash.

The surplus note in the amount of \$1,665,625, listed as item #2000 in the above table, was issued to Prevea Clinic, Inc. in exchange for cash.

- Rule 144A under the Securities Act of 1933

Not Applicable

- The surplus note has the following repayment conditions and restrictions:

DHP shall not repay, discharge or retire these Surplus Notes nor pay any principal or accrued interest under these Surplus Notes (together, "Payment Obligations") unless it shall have given the Office of the Wisconsin Commissioner of Insurance ("the Commissioner") at least sixty (60) days prior written notifications of the proposed payment, repayment, discharge or retirement and said Commissioner has indicated his or her prior written approval of said payment. The Commissioner has complete discretion to approve or refuse to approve a payment, repayment, discharge or retirement. The Commissioner may consider any factors in making his or her determination including, but not limited to, the compliance of the Company with compulsory and security surplus requirements.

- The surplus note has the following subordination terms:

The rights of the holder hereof to payment of any Payment Obligations(s) are and shall remain subject and subordinate to all policy claims against, indebtedness of and other claims against the Company, and, in the event of any insolvency proceeding, dissolution or liquidation of the Company, no payment Obligations shall be due or payable upon this Surplus Notes until the just claims of all policy claimants, creditors and other claimants of the Company have been paid in full. The Company may establish an appropriate reserve account, out of its surplus, to provide for the orderly repayment of these Surplus Notes, but any such reserve account shall be subject to this provision for subordinations.

- In the event of any insolvency proceedings, dissolution or liquidation of the Company, no payment obligations shall be due or payable upon these Surplus notes until just claims of all policy claimants, creditors and other claimants of the Company have been paid in full.



**NOTES TO FINANCIAL STATEMENTS**

- The Company has an outstanding liability for borrowed money in the amount of \$4,996,875 due to St. Vincent Hospital and \$1,665,625 due to Prevea Clinic, Inc. due on or before eighteenth calendar month after the date of expiration or termination of that certain Network Organization and Administration Agreement by and among DHP and Lenders. Interest at 0.1% is required to be paid upon approval from the Office of the Commissioner of Insurance – State of Wisconsin. Interest paid during both 2021 and 2020 was \$0.

## L. Quasi-Reorganizations

Not Applicable

## M. Effective Date of Quasi-Reorganizations

Not Applicable

## 14. Contingencies

## A. Contingent Commitments

Not Applicable

## B. Guaranty Fund and Other Assessments

Not Applicable

## C. Gain Contingencies

Not Applicable

## D. Claims Related Extra Contractual Obligation and Bad Faith Losses Stemming from Lawsuits

Not Applicable

## E. Joint and Several Liabilities

Not Applicable

## F. Other Contingencies

Dean Health Plan, Inc. (DHP) is a participant in the Medicare Cost program. As part of the program, the annual Cost reports are routinely audited by Centers for Medicare and Medicaid Services. Each audit may result in the Company being paid additional revenue for the audited periods or returning revenue for the audited period. The Company calculates and holds a contingency reserve for possible unfavorable audit results. The contingency reserve is developed using actuarial estimates and product knowledge. The contingency reserve amount is reviewed annually. The contingency reserve for the Medicare Cost product is \$19,752,802 and \$19,703,135 as of March 31, 2021 and December 31, 2020, respectively.

At March 31, 2021, the Company had admitted assets of \$3,549,506 in uncollected premiums. The Company routinely assesses the collectability of these receivables. Based upon experience, the Company estimated that \$1,300,000 may be uncollectible at March 31, 2021 and December 31, 2020. In addition, the Company non-admits any receivable balances over 90 days.

## 15. Leases

## A. No significant changes

## B. Lessor Leasing Arrangements

Not Applicable

## 16. Information about Financial Instruments with Off-Balance Sheet Risk and Financial Instruments with Concentrations of Credit Risk

Not Applicable

## 17. Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities

## A. Transfers of Receivables Reported as Sales

Not Applicable

## B. Transfer and Servicing of Financial Assets

Not Applicable

## C. Wash Sales

Not Applicable

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

## A. Administrative Services Only (ASO) Plans

No significant changes

## NOTES TO FINANCIAL STATEMENTS

## B. Administrative Services Contract (ASC) Plans

Not Applicable

## C. Medicare or Other Similarly Structured Cost Based Reimbursement Contract

No significant changes

## 19. Direct Premium Written/Produced by Managing General Agents/Third Party Administrators

Not Applicable

## 20. Fair Value Measurement

## A. Inputs Used for Assets and Liabilities Measured and Reported at Fair Value

## (1) Items Measured at Fair Value by Levels 1, 2 and 3

Description	Level 1	Level 2	Level 3	Total	Net Asset Value (NAV) Included in Level 2
<b>a. Asset at fair value</b>					
Common Stock					
Industrial and Misc	\$ 37,534,817	\$ -	\$ -	\$ 37,534,817	\$ -
Mutual Funds	\$ 13,000,663	\$ -	\$ -	\$ 13,000,663	\$ -
Total Common Stock	\$ 50,535,480	\$ -	\$ -	\$ 50,535,480	\$ -
Total Assets at fair value	\$ 50,535,480	\$ -	\$ -	\$ 50,535,480	\$ -

## (2) Roll forward of Level 3 Items

Not Applicable

## (3) Policy on Transfers Into and Out of Level 3

The Company has no assets or liabilities measured at fair value in the Level 2 or 3 category

## (4) Inputs and Techniques used for Level 2 and Level 3 Fair Value.

The Company has no assets or liabilities measured at fair value in the Level 2 or 3 category

## (5) Derivative Assets and Liabilities

Not Applicable

## B. Other Fair value Disclosures

Not Applicable

## C. Aggregate Fair Value for All Financial Instruments by Levels 1, 2 and 3

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Not Practicable (Carrying Value)	Net Asset Value (NAV) Included in Level 2
Long-Term Bonds	\$ 61,400,789	\$ 60,135,012	\$ 27,174,467	\$ 34,226,322	\$ -	\$ -	\$ -
Short-Term Bonds	1,835,908	1,836,128	1,815,879	20,029	-	-	-
Common Stock	50,535,480	50,535,480	50,535,480	-	-	-	-
Redeemable Preferred Stock	197,925	186,379	197,925	-	-	-	-

## D. Reasons Not Practicable to Estimate Fair Value

Not Applicable

## E. NAV Practical Expedient Investments

Not Applicable

## 21. Other Items

## A. Unusual or Infrequent Items

Not Applicable

**NOTES TO FINANCIAL STATEMENTS****B. Troubled Debt Restructuring for Debtors**

Not Applicable

**C. Other Disclosures**

Declines in fair value which are determined to be other-than-temporary are recorded as realized losses. The Company determines a decline to be other-than-temporary by reviewing all investments and evaluating various subjective and objective factors. These factors, among others, include the financial condition of the issuer, the market, the length of time the security has been in a loss position, and the severity of that loss. The amount of these declines deemed other-than-temporary was \$0 and \$890,741 as of March 31, 2021 and December 31, 2020, respectively.

The Company, as mandated by the OCI, eliminated reporting of hospital tax in the financial statement to disclosing the amount of hospital tax in this note, hospital tax legislation enacted into law in 2009 of \$5,382,082 and \$19,077,279 as of March 31, 2021 and December 31, 2020, respectively. In addition, the Company discloses the ambulatory surgical center and critical access tax legislation enacted into law in 2010 of \$113,103 and \$511,955 as of March 31, 2021 and December 31, 2020, respectively.

**D. Business Interruption Insurance Recoveries**

The Company maintains insurance for both property damage and business interruption relating to catastrophic events. Business interruption coverage covers lost profits and other costs incurred. Non-refundable insurance recoveries received in excess of the net book value of damaged assets, clean-up and demolition, and post-event costs are recognized as income in the period received.

In 2018, the Company recorded \$1.5 million in insurance proceeds from its insurance carrier relating to the Madison flood. The amount accrued exceeded the net book value of damaged assets and post-storm costs incurred. The Company recognized \$385,000 in "Other income" in 2018.

In 2019, the Company did not receive any additional insurance proceeds related to the Madison Flood.

In 2020, the Company received \$2,650,801 for insurance proceeds related to the Madison Flood.

In 2021, the Company received \$46,507 for insurance proceeds related to the Madison Flood.

**E. State Transferable and Non-transferable Tax Credits**

Not Applicable

**F. Subprime Mortgage Related Risk Exposure**

Not Applicable

**G. Retained Assets**

Not Applicable

**H. Insurance-linked securities**

Not Applicable

**22. Events Subsequent****A. Type I - Recognized Subsequent Events**

Not Applicable

**B. Type II - Non-recognized Subsequent Event**

Subsequent events have been considered through May 15, 2021 for the statutory financial statement issued on May 15, 2021.

**23. Reinsurance****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) which is owned in excess of 10% or controlled directly or indirectly by an insured, a beneficiary, a creditor or an insured 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 credits? Yes ( ) No (X)

## NOTES TO FINANCIAL STATEMENTS

2. Does the company have any reinsurance agreements in effect such that the amount of losses paid or accrued through the statement date may result in a payment to the reinsurer of amounts which, 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, not 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. \$0
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 which 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  
Not Applicable
- C. Commutation of Ceded Reinsurance  
Not Applicable
- 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 through a model using the Company's underwriting rules.
- B. The Company records accrued retrospective premium as an adjustment to earned premiums.
- 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 line of business. The formula is calculated pursuant to the ACA guidance. The total amount of direct premiums written for the commercial line of business subject to the retrospectively rated features was \$275,783,273 and \$1,125,855,856, representing 80.0% and 81.4% of total direct premiums written as of March 31, 2021 and December 31 2020, respectively.
- The Company has risk-adjustment amounts from CMS which are subject to a redetermination feature related to Medicare premiums. The Company has estimated premium adjustments for changes to each member's health scores based on guidelines determined by CMS. The total amount of Medicare direct premiums written for which a portion is subject to the redetermination feature was \$1,573,146 and \$7,854,523, representing .5% and .6% of total direct premiums written as of March 31, 2021 and December 31, 2020, respectively.
- D. As of March 31, 2021 the company was not required to pay Medical Loss ratio rebates.
- E. Risk-Sharing Provision of the Affordable Care Act
1. Did the reporting entity write accident and health insurance premium which is subject to the Affordable Care Act risk sharing provision? Yes

## NOTES TO FINANCIAL STATEMENTS

2. Impact of Risk Sharing Provision of the Affordable Care Act on admitted assets, liabilities, and revenue for the current year:	3/31/2021
a. Permanent ACA Risk Adjustment Program	
Assets	
1. Premium adjustments receivable due to ACA Risk Adjustment	\$ -
Liabilities	
2. Risk adjustment user fees payable for ACA Risk Adjustment	86,848
3. Premium adjustments payable due to ACA Risk Adjustment	44,886,507
Operations (Revenue & Expenses)	
4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment	(8,400,791)
5. Reported in expenses as ACA risk adjustment user fees (incurred/paid)	16,694
b. Transitional ACA Reinsurance Program	
Asset	
1. Amounts recoverable for claims paid due to ACA Reinsurance	\$ -
2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability)	-
3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	-
Liabilities	
4. Liabilities for contributions payable due to ACA Reinsurance - not reported as ceded premium	-
5. Ceded reinsurance premiums payable due to ACA Reinsurance	-
6. Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance	-
Operations (Revenue & Expenses)	
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	-
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 & Expenses)	
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	-

## NOTES TO FINANCIAL STATEMENTS

The Company participated in the Federal Insurance Exchange in the State of Wisconsin for individual products during 2021. At March 31, 2021 the Company recorded the financial impact that the Affordable Care Act (ACA) market stabilization programs (Risk Adjustment, Reinsurance, Risk Corridor and Cost Share Reduction) have due to our participation. The Company holds all ACA liabilities and receivables with ultimate responsibility for these programs. Some of these stabilization programs are netted in the financial statements by transferring the financial impact to our capitated, risk assuming providers per existing Service Agreement. Accordingly, some of these stabilization programs render no net impact on operating results of the Company at March 31, 2021.

3. Roll forward of prior year Affordable Care Act risk sharing provision for the following asset (gross of any non-admission) and liability balances along with the reasons for adjustment to prior year balance

	Accrued During the Prior Year on Business		Received or Paid as of the Current Year		Difference		Adjustments		Unsettled Balances as of the Reporting Date	
	Written Before December 31 of the Prior Year		on Business Written Before December 31 of the Prior Year		Prior Year Accrued	Prior Year Accrued	To Prior Year	To Prior Year	Cumulative Balance	Cumulative Balance
	1	2	3	4	Less Payment (Col 1-3)	Less Payment (Col 2-4)	Balances	Balances	from Prior Years (Col 1-3+7)	from Prior Years (Col 2-4+8)
Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	
<b>a. Permanent ACA</b>										
<b>Risk Adjustment Program</b>										
1. Premium adjustment receivable	-	-	-	-	-	-	-	-	-	-
2. Premium adjustment (payable)	-	(37,931,365)	-	(1,210,953)	-	(36,720,412)	-	223,684	-	(36,496,728)
<b>3. Subtotal ACA Permanent Risk Adjustment Program</b>	-	<b>(37,931,365)</b>	-	<b>(1,210,953)</b>	-	<b>(36,720,412)</b>	-	<b>223,684</b>	-	<b>(36,496,728)</b>
<b>b. Transitional ACA Reinsurance Program</b>										
1. Amounts recoverable for claims paid	-	-	-	-	-	-	-	-	-	-
2. Amounts recoverable for claims unpaid (Contra Liability)	-	-	-	-	-	-	-	-	-	-
3. Amounts receivable relating to uninsured plans	-	-	-	-	-	-	-	-	-	-
<b>7. Subtotal ACA Transitional Reinsurance Program</b>	-	-	-	-	-	-	-	-	-	-
<b>c. Temporary ACA Risk Corridors Program</b>										
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	-	-
2. Reserve for rate-credits or policy experience rating refunds	-	-	-	-	-	-	-	-	-	-
<b>3. Subtotal ACA Risk Corridors Program</b>	-	-	-	-	-	-	-	-	-	-
<b>d. Total for ACA Risk-Sharing Provisions</b>	-	<b>(37,931,365)</b>	-	<b>(1,210,953)</b>	-	<b>(36,720,412)</b>	-	<b>223,684</b>	-	<b>(36,496,728)</b>

## NOTES TO FINANCIAL STATEMENTS

## 4. Roll Forward of ACA Risk Corridor Asset and Liability Balances

Not Applicable

## 5. Risk Corridor Receivable

Risk Corridor Program Year	(1)	(2)	(3)	(4)	(5)	(6)
	Estimated Amount to be Filed or Final Amount Filed with CMS	Non-Accrued Amounts for Impairment or Other Reasons	Amounts received from CMS	Asset Balance (gross of Nonadmission) (1-2-3)	Non-admitted Amount	Net Admitted Asset (4-5)
2014	\$ 14,089,113	11,852,974	13,452,814	-	-	-
2015	\$ 19,914,347	\$ 19,914,347	18,845,292	-	-	-
2016	\$ 5,406,793	5,406,793	5,136,454	-	-	-
Total	<u>39,410,253</u>	<u>37,174,114</u>	<u>37,434,560</u>	<u>-</u>	<u>-</u>	<u>-</u>

## 25. Changes in Incurred Claims and Claim Adjustment Expenses

Reserves as of December 31, 2020 were \$25,009,558. As of March 31, 2021 \$20,811,042 has been paid for incurred claims and claim adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$1,700,145 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been favorable prior-year development since December 31, 2020 to March 31, 2021. Original estimates are increased or decreased, as additional information becomes known regarding individual claims.

## 26. Intercompany Pooling Arrangements

Not Applicable

## 27. Structured Settlements

Not Applicable

## 28. Health Care Receivables

## A. Pharmaceutical Rebate Receivables

Quarter	Estimated Pharmacy Rebates as Reported on Financial Statements	Pharmacy Rebates as Billed or Otherwise Confirmed	Actual Rebates Received Within 90 Days of Billing	Actual Rebates Received Within 91 to 180 Days of Billing	Actual Rebates Received More Than 180 Days of Billing
3/31/2021	1,953,041	1,954,602			
12/31/2020	1,824,325	1,921,033	290,668		
9/30/2020	1,736,164	1,842,606	844,692	985,096	
6/30/2020	1,575,731	1,721,371	590,370	1,131,518	(516)
3/31/2020	1,191,478	1,702,911	309,941	1,386,452	6,518
12/31/2019	1,192,001	1,231,495	162,092	1,069,169	234
9/30/2019	1,191,407	1,176,990	286,418	889,448	1,124
6/30/2019	1,031,001	1,024,610	613,344	417,657	(6,391)
3/31/2019	893,478	885,315	264,087	651,958	(30,730)
12/31/2018	574,067	960,927	325,444	634,743	740
9/30/2018	893,244	873,688	110,730	764,086	(1,128)
6/30/2018	760,907	762,460	106,178	654,740	1,542

## B. Risk Sharing Receivables

Not Applicable

## 29. Participating Policies

Not Applicable

**NOTES TO FINANCIAL STATEMENTS**

30. Premium Deficiency Reserves

Not Applicable

31. Anticipated Salvage and Subrogation

Not Applicable



**GENERAL INTERROGATORIES****PART 1 - COMMON INTERROGATORIES****GENERAL**

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? ..... Yes [ ] No [ X ]
- 1.2 If yes, has the report been filed with the domiciliary state? ..... Yes [ ] No [ ]
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? ..... Yes [ ] No [ X ]
- 2.2 If yes, date of change: \_\_\_\_\_
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? ..... Yes [ X ] No [ ]  
If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? ..... Yes [ ] No [ X ]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes. \_\_\_\_\_
- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? ..... Yes [ ] No [ X ]
- 3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group. \_\_\_\_\_
- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? ..... Yes [ ] No [ X ]  
If yes, complete and file the merger history data file with the NAIC.
- 4.2 If yes, provide the name of the entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? ..... Yes [ ] No [ X ] N/A [ ]  
If yes, attach an explanation.
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. \_\_\_\_\_ 12/31/2018
- 6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. \_\_\_\_\_ 12/31/2018
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). \_\_\_\_\_ 03/06/2020
- 6.4 By what department or departments?  
Wisconsin Office of the Commissioner of Insurance (OCI)
- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? ..... Yes [ ] No [ ] N/A [ X ]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? ..... Yes [ X ] No [ ] N/A [ ]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? ..... Yes [ ] No [ X ]
- 7.2 If yes, give full information: \_\_\_\_\_
- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? ..... Yes [ ] No [ X ]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company. \_\_\_\_\_
- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? ..... Yes [ ] No [ X ]
- 8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

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

**GENERAL INTERROGATORIES**

- 9.1 Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards? Yes  No   
 (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;  
 (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;  
 (c) Compliance with applicable governmental laws, rules and regulations;  
 (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and  
 (e) Accountability for adherence to the code.
- 9.11 If the response to 9.1 is No, please explain: \_\_\_\_\_
- 9.2 Has the code of ethics for senior managers been amended? Yes  No   
 9.21 If the response to 9.2 is Yes, provide information related to amendment(s). \_\_\_\_\_
- 9.3 Have any provisions of the code of ethics been waived for any of the specified officers? Yes  No   
 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s). \_\_\_\_\_

**FINANCIAL**

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes  No   
 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ \_\_\_\_\_

**INVESTMENT**

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes  No   
 11.2 If yes, give full and complete information relating thereto: \_\_\_\_\_
12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ \_\_\_\_\_
13. Amount of real estate and mortgages held in short-term investments: \$ \_\_\_\_\_
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes  No   
 14.2 If yes, please complete the following:

	1 Prior Year-End Book/Adjusted Carrying Value	2 Current Quarter Book/Adjusted Carrying Value
14.21 Bonds	\$ 0	\$ _____
14.22 Preferred Stock	\$ 0	\$ _____
14.23 Common Stock	\$ 0	\$ _____
14.24 Short-Term Investments	\$ 0	\$ _____
14.25 Mortgage Loans on Real Estate	\$ 0	\$ _____
14.26 All Other	\$ 0	\$ _____
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26)	\$ 0	\$ _____
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above	\$ _____	\$ _____

- 15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes  No   
 15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes  No  N/A   
 If no, attach a description with this statement.
16. For the reporting entity's security lending program, state the amount of the following as of the current statement date:
- 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 \$ \_\_\_\_\_
- 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 \$ \_\_\_\_\_
- 16.3 Total payable for securities lending reported on the liability page. \$ \_\_\_\_\_

**GENERAL INTERROGATORIES**

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

1 Name of Custodian(s)	2 Custodian Address
The Northern Trust Company	50 South LaSalle Street Chicago, IL 60603

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

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

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

- 17.4 If yes, give full information relating thereto:

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

- 17.5 Investment management – Identify all investment advisors, investment managers, broker/dealers, including individuals that have the authority to make investment decisions on behalf of the reporting entity. For assets that are managed internally by employees of the reporting entity, note as such. ["...that have access to the investment accounts"; "...handle securities"]

1 Name of Firm or Individual	2 Affiliation
The Northern Trust Company	U
Northern Trust Securities	U

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

- 17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's invested assets? ..... Yes [  ] No [  ]

- 17.6 For those firms or individuals listed in the table for 17.5 with an affiliation code of "A" (affiliated) or "U" (unaffiliated), provide the information for the table below.

1 Central Registration Depository Number	2 Name of Firm or Individual	3 Legal Entity Identifier (LEI)	4 Registered With	5 Investment Management Agreement (IMA) Filed
7927	The Northern Trust Company	6PTKHJ8HDF78PFH30	N	NO
	Northern Trust Securities	3CHS099JSPHD9HGNVJ46	Y	NO

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

- 18.2 If no, list exceptions:

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:
- Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.
  - Issuer or obligor is current on all contracted interest and principal payments.
  - The insurer has an actual expectation of ultimate payment of all contracted interest and principal.
- Has the reporting entity self-designated 5GI securities? ..... Yes [  ] No [  ]

20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:
- The security was purchased prior to January 1, 2018.
  - The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
  - The reporting entity is not permitted to share this credit rating of the PL security with the SVO.
- Has the reporting entity self-designated PLGI securities? ..... Yes [  ] No [  ]

21. By assigning FE to a Schedule BA non-registered private fund, the reporting entity is certifying the following elements of each self-designated FE fund:
- The shares were purchased prior to January 1, 2019.
  - The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - The security had a public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO prior to January 1, 2019.
  - The fund only or predominantly holds bonds in its portfolio.
  - The current reported NAIC Designation was derived from the public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO.
  - The public credit rating(s) with annual surveillance assigned by an NAIC CRP has not lapsed.
- Has the reporting entity assigned FE to Schedule BA non-registered private funds that complied with the above criteria? ..... Yes [  ] No [  ]

## GENERAL INTERROGATORIES

### PART 2 - HEALTH

1. Operating Percentages:
- 1.1 A&H loss percent .....90.3 %
- 1.2 A&H cost containment percent .....2.0 %
- 1.3 A&H expense percent excluding cost containment expenses .....8.1 %
- 2.1 Do you act as a custodian for health savings accounts? ..... Yes [ ] No [ X ]
- 2.2 If yes, please provide the amount of custodial funds held as of the reporting date ..... \$
- 2.3 Do you act as an administrator for health savings accounts? ..... Yes [ ] No [ X ]
- 2.4 If yes, please provide the balance of the funds administered as of the reporting date ..... \$
3. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states? ..... Yes [ ] No [ X ]
- 3.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity? ..... Yes [ ] No [ X ]



**SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS**

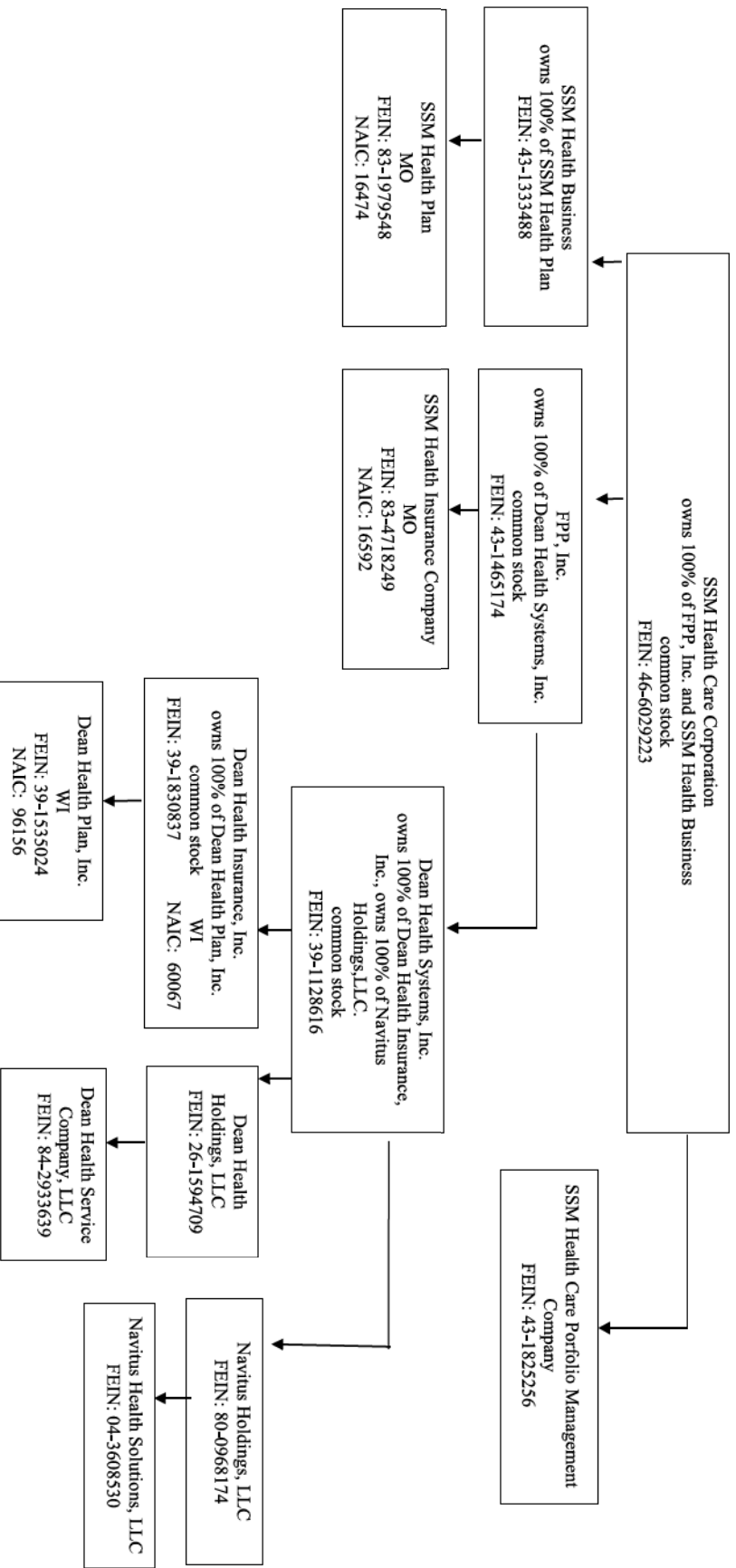
Current Year to Date - Allocated by States and Territories

States, etc.	1 Active Status (a)	Direct Business Only								10 Deposit-Type Contracts	
		2 Accident and Health Premiums	3 Medicare Title XVIII	4 Medicaid Title XIX	5 CHIP Title XXI	6 Federal Employees Health Benefits Program Premiums	7 Life and Annuity Premiums & Other Considerations	8 Property/Casualty Premiums	9 Total Columns 2 Through 8		
1. Alabama..... AL	N									0	
2. Alaska..... AK	N									0	
3. Arizona..... AZ	N									0	
4. Arkansas..... AR	N									0	
5. California..... CA	N									0	
6. Colorado..... CO	N									0	
7. Connecticut..... CT	N									0	
8. Delaware..... DE	N									0	
9. District of Columbia..... DC	N									0	
10. Florida..... FL	N									0	
11. Georgia..... GA	N									0	
12. Hawaii..... HI	N									0	
13. Idaho..... ID	N									0	
14. Illinois..... IL	N									0	
15. Indiana..... IN	N									0	
16. Iowa..... IA	N									0	
17. Kansas..... KS	N									0	
18. Kentucky..... KY	N									0	
19. Louisiana..... LA	N									0	
20. Maine..... ME	N									0	
21. Maryland..... MD	N									0	
22. Massachusetts..... MA	N									0	
23. Michigan..... MI	N									0	
24. Minnesota..... MN	N									0	
25. Mississippi..... MS	N									0	
26. Missouri..... MO	N									0	
27. Montana..... MT	N									0	
28. Nebraska..... NE	N									0	
29. Nevada..... NV	N									0	
30. New Hampshire..... NH	N									0	
31. New Jersey..... NJ	N									0	
32. New Mexico..... NM	N									0	
33. New York..... NY	N									0	
34. North Carolina..... NC	N									0	
35. North Dakota..... ND	N									0	
36. Ohio..... OH	N									0	
37. Oklahoma..... OK	N									0	
38. Oregon..... OR	N									0	
39. Pennsylvania..... PA	N									0	
40. Rhode Island..... RI	N									0	
41. South Carolina..... SC	N									0	
42. South Dakota..... SD	N									0	
43. Tennessee..... TN	N									0	
44. Texas..... TX	N									0	
45. Utah..... UT	N									0	
46. Vermont..... VT	N									0	
47. Virginia..... VA	N									0	
48. Washington..... WA	N									0	
49. West Virginia..... WV	N									0	
50. Wisconsin..... WI	L	275,783,274	47,550,984	21,380,119						344,714,377	
51. Wyoming..... WY	N									0	
52. American Samoa..... AS	N									0	
53. Guam..... GU	N									0	
54. Puerto Rico..... PR	N									0	
55. U.S. Virgin Islands..... VI	N									0	
56. Northern Mariana Islands..... MP	N									0	
57. Canada..... CAN	N									0	
58. Aggregate Other Aliens..... OT	XXX	0	0	0	0	0	0	0	0	0	0
59. Subtotal.....	XXX	275,783,274	47,550,984	21,380,119	0	0	0	0	344,714,377	0	
60. Reporting Entity Contributions for Employee Benefit Plans.....	XXX									0	
61. Totals (Direct Business).....	XXX	275,783,274	47,550,984	21,380,119	0	0	0	0	344,714,377	0	
DETAILS OF WRITE-INS											
58001.....	XXX										
58002.....	XXX										
58003.....	XXX										
58998. Summary of remaining write-ins for Line 58 from overflow page.....	XXX	0	0	0	0	0	0	0	0	0	0
58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above).....	XXX	0	0	0	0	0	0	0	0	0	0

(a) Active Status Counts:

L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG.....1  
 E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....0  
 N - None of the above - Not allowed to write business in the state.....56  
 R - Registered - Non-domiciled RRGs.....0  
 Q - Qualified - Qualified or accredited reinsurer.....0

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



STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange If Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domestic Reporting Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	Control if Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Required? (Y/N)	*
234		9556	33-535924				Dean Health Plan Inc	NI	RE	Dean Health Insurance Inc	Ownership	100.00	SSI Health Care Corporation	N	
234		6007	33-830837				Dean Health Insurance Inc	NI	JOP	Navitus Health Systems Inc	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	04-308850				Navitus Health Solutions	NI	N/A	Navitus Holdings, LLC	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	01-098874				Navitus Holdings	NI	N/A	Dean Health Systems Inc	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	33-128716				Dean Health Systems Inc	NI	JOP	SSI Health Care Corporation, Not-for-profit	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	43-465174				FPP, Inc	NI	JOP	SSI Health Care Corporation, Not-for-profit	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	49-062623				SSI Health Care Corporation	NI	JOP	SSI Health Care Corporation, Not-for-profit	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	43-333488				SSI Health Business	NI	N/A	SSI Health Insurance	Ownership	100.00	SSI Health Care Corporation	N	
234		5674	83-379546				SSI Health Insurance Company	NI	IA	SSI Health Insurance	Ownership	100.00	SSI Health Care Corporation	N	
234		5692	83-471830				SSI Health Insurance Company	NI	IA	Dean Health Services, Inc	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	23-594709				Dean Health Holdings, LLC	NI	N/A	Dean Health Holdings, LLC	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	84-293839				Dean Health Service Company, LLC	NI	N/A	Dean Health Holdings, LLC	Ownership	100.00	SSI Health Care Corporation	N	
234		0000	43-825256				SSI Health Care Per Teth in Management Company	NI	N/A	SSI Health Care Corporation, Not-for-profit	Ownership	100.00	SSI Health Care Corporation	N	

Asterisk Explanation



## SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

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

Response

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

NO

Explanation:

1.

Bar Code:

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



**NONE**

**SCHEDULE A - VERIFICATION**

Real Estate

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	16,705,814	17,506,950
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....	(11,570)	
2.2 Additional investment made after acquisition .....		
3. Current year change in encumbrances .....		.0
4. Total gain (loss) on disposals .....		(160,910)
5. Deduct amounts received on disposals .....		
6. Total foreign exchange change in book/adjusted carrying value .....		.0
7. Deduct current year's other than temporary impairment recognized .....		.0
8. Deduct current year's depreciation .....	156,510	640,226
9. Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8) .....	16,537,734	16,705,814
10. Deduct total nonadmitted amounts .....		.0
11. Statement value at end of current period (Line 9 minus Line 10) .....	16,537,734	16,705,814

**SCHEDULE B - VERIFICATION**

Mortgage Loans

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

**SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

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

**SCHEDULE D - VERIFICATION**

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	108,136,111	95,810,757
2. Cost of bonds and stocks acquired .....	8,686,102	33,308,190
3. Accrual of discount .....	12,849	68,551
4. Unrealized valuation increase (decrease) .....	2,361,549	5,580,381
5. Total gain (loss) on disposals .....	948,673	4,045,201
6. Deduct consideration for bonds and stocks disposed of .....	9,207,229	29,489,884
7. Deduct amortization of premium .....	99,254	327,731
8. Total foreign exchange change in book/adjusted carrying value .....		.0
9. Deduct current year's other than temporary impairment recognized .....		890,742
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....	18,080	31,388
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10) .....	110,856,881	108,136,111
12. Deduct total nonadmitted amounts .....		.0
13. Statement value at end of current period (Line 11 minus Line 12) .....	110,856,881	108,136,111

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 1B**

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

	1	2	3	4	5	6	7	8
NAIC Designation	Book/adjusted Carrying Value Beginning of Current Quarter	Acquisitions During Current Quarter	Dispositions During Current Quarter	Non-Trading Activity During Current Quarter	Book/adjusted Carrying Value End of First Quarter	Book/adjusted Carrying Value End of Second Quarter	Book/adjusted Carrying Value End of Third Quarter	Book/adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1(a)	48,719,442	5,328,275	3,880,782	(219,927)	49,967,608	0	0	48,719,442
2. NAIC 2(a)	11,994,786	1,341,882	1,616,762	129,818	11,789,834	0	0	11,994,786
3. NAIC 3(a)	214,159	0	0	(461)	213,698	0	0	214,159
4. NAIC 4(a)	0	0	0	0	0	0	0	0
5. NAIC 5(a)	0	0	0	0	0	0	0	0
6. NAIC 6(a)	0	0	0	0	0	0	0	0
7. Total Bonds	60,888,388	6,670,257	5,478,944	(90,570)	61,971,141	0	0	60,888,388
<b>PREFERRED STOCK</b>								
8. NAIC 1	0	0	0	0	0	0	0	0
9. NAIC 2	565,082	0	378,895	(18)	186,379	0	0	565,082
10. NAIC 3	0	0	0	0	0	0	0	0
11. NAIC 4	0	0	0	0	0	0	0	0
12. NAIC 5	0	0	0	0	0	0	0	0
13. NAIC 6	0	0	0	0	0	0	0	0
14. Total Preferred Stock	565,082	0	378,895	(18)	186,379	0	0	565,082
15. Total Bonds and Preferred Stock	61,453,480	6,670,257	5,855,839	(90,588)	62,157,520	0	0	61,453,480

(a) Book/adjusted Carrying Value column for the end of the current reporting period includes the following amount of short-term and cash equivalent bonds by NAIC designation:  
 NAIC 1 \$ 1,826,131 ; NAIC 2 \$ 9,997 ; NAIC 3 \$ 0 ; NAIC 4 \$ 0 ; NAIC 5 \$ 0 ; NAIC 6 \$ 0

**SCHEDULE DA - PART 1**

## Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Par Value	Actual Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals	1,836,128	XXX	1,840,320	578	4,219

**SCHEDULE DA - VERIFICATION**

## Short-Term Investments

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	20,019	2,889,979
2. Cost of short-term investments acquired .....	1,820,300	279,584
3. Accrual of discount .....	4	4,888
4. Unrealized valuation increase (decrease) .....		.0
5. Total gain (loss) on disposals .....		.501
6. Deduct consideration received on disposals .....		3,154,931
7. Deduct amortization of premium .....	4,195	.2
8. Total foreign exchange change in book/adjusted carrying value .....		.0
9. 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) .....	1,836,128	20,019
11. Deduct total nonadmitted amounts .....		.0
12. Statement value at end of current period (Line 10 minus Line 11)	1,836,128	20,019

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 - PART 2 - VERIFICATION**

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	2,227,647	1,022,007
2. Cost of cash equivalents acquired .....	5,347,686	35,979,438
3. Accrual of discount .....	9	31
4. Unrealized valuation increase (decrease) .....		.0
5. Total gain (loss) on disposals .....		(6)
6. Deduct consideration received on disposals .....	5,767,618	34,773,465
7. Deduct amortization of premium .....		358
8. Total foreign exchange change in book/adjusted carrying value .....		.0
9. 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) .....	1,807,724	2,227,647
11. Deduct total nonadmitted amounts .....		.0
12. Statement value at end of current period (Line 10 minus Line 11)	1,807,724	2,227,647

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE A - PART 2**  
 Showing All Real Estate ACQUIRED AND ADDITIONS MADE During the Current Quarter

1 Description of Property	2 Location			4 Date Acquired	5 Name of Vendor	6 Actual Cost at Time of Acquisition	7 Amount of Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances	9 Additional Investment Made After Acquisition
	2 City	3 State	3 State						
0199999 - Totals						(11,570)	0	(11,570)	0
0399999 - Totals						(11,570)	0	(11,570)	0

**SCHEDULE A - PART 3**

Showing All Real Estate DISPOSED During the Quarter, Including Payments During the Final Year on "Sales Under Contract"

1 Description of Property	2 Location			4 Disposal Date	5 Name of Purchaser	6 Actual Cost	7 Expended for Additions, Permanent Improvements and Changes in Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances Prior Year	9 Change in Book/Adjusted Carrying Value Less Encumbrances	10 Current Year's Other-Than-Temporary Impairment Recognized	11 Current Year's Change in Encumbrances	12 Total Change in Book/Adjusted Carrying Value (11-9-10)	13 Total Foreign Exchange Change in Book/Adjusted Carrying Value	14 Book/Adjusted Carrying Value Less Encumbrances on Disposal	15 Amounts Received During Year	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal	19 Gross Income Earned Less Interest Incurred on Encumbrances	20 Taxes, Repairs and Expenses Incurred	
	2 City	3 State	3 State																		
<b>NONE</b>																					
0399999 - Totals																					



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 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**

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 3**

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

1	2	3	4	5	6	7	8	9	10
CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and SVO Admin-Strative Symbol
912819-9-4	UNITED STATES TREAS BUD 09/17/15		07/21/2021	CAPITAL INSTITUTIONAL SERV NEW YORK		38,180	41,000	288	1.1
912824-9-4	UNITED STATES TREAS BUD 05/01/14		02/17/2021	VARIOUS		258,132	258,500	2,124	1.1
912828-9-4	UNITED STATES TREAS BUD 05/01/14		01/12/2021	UNITED STATES COMMERCIAL BANK, INC		1,624,415	1,624,415	893	1.1
912830-9-4	UNITED STATES TREAS BUD 05/01/14		01/22/2021	VARIOUS		942,100	942,100	893	1.1
05099999	Subtotal - Bonds - U.S. Government					2,744,707	2,736,500	3,698	XXX
880844-9-3	EMERSON ELECTRIC CO 01/01/12		02/18/2021	VARIOUS		191,477	190,000	0	1.1 FE
880846-9-3	EMERSON ELECTRIC CO 01/01/12		02/02/2021	MORSON STANLEY AND CO, LTD		100,000	100,000	0	1.1 FE
880848-9-3	EMERSON ELECTRIC CO 01/01/12		03/04/2021	BRIDGUS		100,000	100,000	0	1.1 FE
31099999	Subtotal - Bonds - U.S. Special Revenues					488,612	486,000	2,008	XXX
151801-4-3	TERMINAL SERVICES INC 5.375% DUE 07-1-1		03/10/2021	VARIOUS		126,378	112,500	470	2.0 FE
49387-4-4	ING GROUP N.V. 1.75% DUE 04-01-2027		03/04/2021	SEAFARIS SECURITIES CORPORATION		210,271	210,000	0	1.0 FE
026561-4-1	HELIUM HESS CORP 7.875% DUE 10-01		03/06/2021	CORNING FITZGERALD & CO		14,477	11,000	386	2.0 FE
026871-4-7	HELIUM HESS CORP 7.875% DUE 10-01		02/18/2021	HELIUM FIBRO		128,119	114,000	1,741	2.4 FE
056966-4-3	BANK OF AMERICA CORP 4.5% DUE 10-01-2026		03/04/2021	VARIOUS		124,021	125,000	0	2.0 FE
16729-4-4	CHEVRON USA INC		01/01/2021	EXCHANGE		98,508	70,000	0	1.0 FE
17308-4-3	CITIGROUP INC NEW		02/04/2021	CITIGROUP GLOBAL MARKETS INC		181,243	181,000	1,307	1.0 FE
31620-4-4	TELUS INTL COMMUNICATIONS CORP		02/23/2021	J.P. MORSON SECURITIES LLC		351,804	351,000	1,307	2.0 FE
31620-4-4	TELUS INTL COMMUNICATIONS CORP		02/23/2021	J.P. MORSON SECURITIES LLC		152,000	152,000	0	2.4 FE
32904-4-2	VERIZON COMMUNICATIONS INC		02/02/2021	VARIOUS		40,889	40,000	1,008	2.4 FE
32904-4-2	VERIZON COMMUNICATIONS INC		02/02/2021	VARIOUS		76,014	76,000	0	2.4 FE
32904-4-2	VERIZON COMMUNICATIONS INC		02/02/2021	VARIOUS		129,962	129,000	0	2.4 FE
024011-4-2	PATL. AMERICAN ASSETS TR I P 3.375		01/14/2021	HELIUM FIBRO		20,776	21,000	0	1.4 FE
78292-4-4	SUNBELT PASS 5.625% DUE 03-01-2025		02/08/2021	SEAFARIS SEC IN		61,850	61,000	1,325	2.0 FE
92944-4-6	VERIT OPER		02/19/2021	CITIGROUP GLOBAL MARKETS INC		125,217	115,000	413	2.8 FE
92944-4-6	VERIT OPER		09/11/2021	VARIOUS		129,962	129,000	0	2.4 FE
39099999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					1,648,646	1,532,000	7,963	XXX
83099999	Total - Bonds - Part 3					4,848,958	4,663,400	13,690	XXX
83099999	Total - Bonds					4,848,958	4,663,400	13,690	XXX
89099999	Total - Preferred Stocks -Part 3					0	4,863,400	0	XXX
89099999	Total - Preferred Stocks -Part 5					0	4,863,400	0	XXX
89099999	Total - Preferred Stocks					0	9,726,800	0	XXX
31673-4-0	SHS 3% BUCKUP COM		03/19/2021	TERMINAL SERVICES AND CO	120,000	4,592	4,592	0	XXX
00971-4-4	HELIUM HESS CORP 10-01		03/19/2021	TERMINAL SERVICES AND CO	191,000	7,025	7,025	0	XXX
00984-4-0	HELIUM HESS CORP 10-01		03/19/2021	TERMINAL SERVICES AND CO	201,000	20,782	20,782	0	XXX
00984-4-0	HELIUM HESS CORP 10-01		03/19/2021	TERMINAL SERVICES AND CO	201,000	1,526	1,526	0	XXX
00404-4-9	ACQUIA HEALTHCARE CO INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	6,000	1,726	1,726	0	XXX
00422-4-9	ACQUIA PHARMACEUTICALS INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	34,000	1,960	1,960	0	XXX
00434-4-9	ACQUIA PHARMACEUTICALS INC COM		02/05/2021	VARIOUS	62,000	7,619	7,619	0	XXX
00571-4-9	ACTIVISION BLIZZARD INC COM STR		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	2,000	222	222	0	XXX
00691-4-9	AQUITY GROUPS INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	3,000	186	186	0	XXX
00724-4-1	ADRIATIC GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	4,000	369	369	0	XXX
00724-4-1	ADRIATIC GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	4,000	289	289	0	XXX
00730-4-7	ADUNKED 11.000 DEVOPS INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	3,000	226	226	0	XXX
00826-4-8	AFFILIATED MANAGERS GROUP INC COM		03/19/2021	VARIOUS	13,000	708	708	0	XXX
01055-4-2	ALAC INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	44,000	5,844	5,844	0	XXX
00471-4-4	AGIUS PHARMACEUTICALS INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	46,000	2,168	2,168	0	XXX
01123-4-4	AGY INTL CORP COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	131,000	2,031	2,031	0	XXX
00918-4-6	AIR PROD 1 CHEM INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	55,000	15,675	15,675	0	XXX
00971-4-1	KAWAII TECHNOLOGIES INC COM STR		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	9,000	3,025	3,025	0	XXX
01251-4-4	ETI-USA INC COM		02/05/2021	TERMINAL SERVICES AND CO	108,000	16,288	16,288	0	XXX
01251-4-4	ETI-USA INC COM		02/05/2021	TERMINAL SERVICES AND CO	108,000	18,000	18,000	0	XXX
01251-4-4	ETI-USA INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC	40,000	4,821	4,821	0	XXX

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1	2	3	4	5	6	7	8	9	10
CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and Administrative Modifier Symbol
018802-10-8	ALLIANT BERRY CORP COM		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	47,000	2,283			NAIC
020308-10-3	ALLIANT FINL INC COM		03/19/2021	GOLDMAN, SACHS AND CO. GROUP INC.	78,000	3,526			NAIC
020706-10-7	ALLIANT FINL INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	26,000	1,235			NAIC
020706-10-7	ALLIANT FINL INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	26,000	28,485			NAIC
020706-10-3	ALTRICE USA INC CL A CL A		03/19/2021	GOLDMAN, SACHS AND CO.	9,000	18,243			NAIC
021596-10-3	ALTRICE USA INC CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	29,000	1,043			NAIC
022135-10-6	AMCON CORP INC COM		03/19/2021	VARIOUS	797,000	24,969			NAIC
022501-10-7	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	8,000	2,199			NAIC
022902-10-3	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	8,000	2,448			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	29,000	9,000			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	4,000	9,000			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	4,000	7,504			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	51,000	11,075			NAIC
022915-10-4	AMCOR PLC GPO US00 01		02/05/2021	VARIOUS	190,000	29,325			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	GOLDMAN, SACHS AND CO.	49,000	1,720			NAIC
022915-10-4	AMCOR PLC GPO US00 01		02/05/2021	GOLDMAN, SACHS AND CO.	70,000	15,980			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	12,000	1,288			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	29,000	4,857			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	24,000	5,401			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	699,000	5,407			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	6,000	2,233			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	15,000	19,435			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	5,438	5,438			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	2,000	1,258			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	22,000	4,654			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	99,000	3,907			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	167,000	8,719			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	51,000	4,755			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	5,000	1,517			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	59,000	6,135			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	408,000	12,141			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	124,000	5,526			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	17,000	3,725			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	3,000	5,953			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	33,000	5,975			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	8,000	1,354			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	2,000	2,862			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	19,000	5,843			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	36,000	2,076			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	VARIOUS	16,000	5,916			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	42,000	9,056			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	200,000	7,386			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	225,000	2,000			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	VARIOUS	180,000	12,860			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	4,100	4,529			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	5,000	6,889			NAIC
022915-10-4	AMCOR PLC GPO US00 01		03/19/2021	GOLDMAN, SACHS AND CO.	25,000	3,625			NAIC
022915-10-4	AMCOR PLC GPO US00 01		02/05/2021	VARIOUS	60,000	16,007			NAIC
022915-10-4	AMCOR PLC GPO US00 01		02/05/2021	VARIOUS	172,000	14,440			NAIC
022915-10-4	AMCOR PLC GPO US00 01		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	7,000	6,09			NAIC

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CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and SVO Admin-Strative Symbol
06871-01-1	BLACKBOX INC COM STK		07/11/2021	INVESTMENT TERMINAL GROUP INC.	1,000	786			
06871-01-3	BLACKBOX INC COM STK		07/11/2021	INVESTMENT TERMINAL GROUP INC.	3,000	6,142			
10094-01-0	BROADVIEW FIN COM USD0101		07/11/2021	INVESTMENT TERMINAL GROUP INC.	254,000	4,809			
11331-01-3	GROUPFIDE FINL SOLUTIONS INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	28,000	4,341			
11326-01-3	GROUPFIDE PART REIT INC COM USD0		07/11/2021	HERILL LYNH INTERNATIONAL LIMITED	49,000	8,825			
11326-01-1	GROUP F BROWIN INC COM		03/19/2021	GOLDMAN SACS AND CO.	397,000	8,817			
113631-01-9	BROWN-FERMAN INC CL B NON-VTS COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	115,000	9,946			
116794-01-8	BROWN CORP		03/19/2021	GOLDMAN SACS AND CO.	79,000	4,743			
117045-01-9	BROWNBOX CORP COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	48,000	4,771			
122011-01-6	BROWNBOX STORES INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	13,000	5,414			
12411-01-9	C F FINTECHIN VENTURE INC COM NEW		03/19/2021	VARIOUS	17,000	7,445			
12511-01-9	CHRYSLER FINL CORP COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	56,000	7,597			
125871-01-8	CHRYSLER PART TR SH REIT INT		02/05/2021	VARIOUS	203,000	20,440			
13313-01-2	CAMPBELL SUPPLY CO COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	52,000	2,417			
14401-01-9	CAPITAL ONE FINL CORP COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	27,000	2,932			
14491-01-8	CARDINAL HEALTH INC		07/11/2021	INVESTMENT TERMINAL GROUP INC.	89,000	5,012			
14316-01-8	CARVUE GROUP INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	7,000	228			
14316-01-2	CARVUE INC COM		02/05/2021	VARIOUS	208,000	25,922			
14336-01-9	Carvana Corp Private Cl A		02/05/2021	VARIOUS	915,000	22,101			
14336-01-2	CARVUE FINL CORPORATION COM USD0		07/11/2021	INVESTMENT TERMINAL GROUP INC.	18,000	2,069			
14621-01-1	CATERPILLAR INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	22,000	4,284			
12304-01-8	CEC ALUMINUM CORP INC		07/11/2021	INVESTMENT TERMINAL GROUP INC.	13,000	1,288			
12304-01-1	CEC ALUMINUM CORP COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	59,000	3,110			
12314-01-8	CEM CORP COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	72,000	9,638			
15207-01-3	CELANESE CORP DEL COM SER A STK		07/11/2021	INVESTMENT TERMINAL GROUP INC.	8,000	1,036			
151891-01-1	GENERATOR ENERGY INC COM		03/19/2021	GOLDMAN SACS AND CO.	382,000	24,120			
151891-01-2	GENERATOR ENERGY INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	42,000	288			
15271-01-9	GENSLER INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	5,000	6,853			
15271-01-4	GENSLER INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	20,000	12,770			
15300-01-9	GENSLER COMMUNICATIONS INC NEW CL		02/22/2021	INVESTMENT TERMINAL GROUP INC.	15,000	1,597			
15118-01-9	GENSLER ENERGY INC COM NEW		03/19/2021	GOLDMAN SACS AND CO.	73,000	5,202			
15679-01-0	Genzyme Corp New Com		03/19/2021	VARIOUS	182,000	17,827			
15679-01-5	CHIMTEC MEDICAL GRILL INC COM STK		02/05/2021	GOLDMAN SACS AND CO.	22,000	35,191			
15667-01-4	CHIRUB LTD OTC PRA 15		03/19/2021	VARIOUS	27,000	4,271			
17134-01-2	CHUBB LIMITED INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	47,000	4,010			
17179-01-9	CHUBB CORP COM NEW		07/11/2021	INVESTMENT TERMINAL GROUP INC.	26,000	1,337			
17179-01-4	CHUBB CORP COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	25,000	1,225			
17206-01-1	CHUBB INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	5,000	2,068			
17206-01-5	Chiefs Corp COM		07/11/2021	GOLDMAN SACS AND CO.	259,000	12,665			
17279-01-2	Cintas Systems Inc		03/19/2021	GOLDMAN SACS AND CO.	4,000	763			
18965-01-9	CLOROX CO COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	204,000	11,782			
12396-01-0	CNE ENERGY CORP COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	395,000	20,069			
19121-01-0	COO OLA CO COM		03/19/2021	INVESTMENT TERMINAL GROUP INC.	28,000	2,285			
19246-01-2	COGNIZANT TECH SOLUTIONS CORP CL A		07/11/2021	GOLDMAN SACS AND CO.	281,000	30,044			
20304-01-1	Comcast Corp Class A		03/19/2021	INVESTMENT TERMINAL GROUP INC.	72,000	5,084			
20304-01-2	Comcast Corp Class B		07/11/2021	INVESTMENT TERMINAL GROUP INC.	25,000	1,725			
20315-01-4	CONK ENGLISH INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	17,000	3,887			
21664-01-2	CONSTITUTION BANK INC CL A CL A		07/11/2021	INVESTMENT TERMINAL GROUP INC.	23,000	8,310			
21721-01-6	COPIART INC COM		03/19/2021	VARIOUS	142,000	1,550			
22164-01-9	COSPAR GROUP INC COM		07/11/2021	INVESTMENT TERMINAL GROUP INC.	5,000	4,968			
22164-01-5	COSPAR GROUP INC COM		03/19/2021	GOLDMAN SACS AND CO.	28,000	9,209			

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CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and Administrative Symbol
28282-10-1	From Castle Int Corp New Con		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	33,000	5,046			
28282-10-4	FROM HDS INC COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	18,000	4,269			
28282-10-3	COBALT		07/12/20	GOLDMAN SACS AND CO.	140,000	5,112			
28282-10-2	Domine Inc Com		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	48,000	11,889			
12950-10-0	One Health Corporation		09/19/20	GOLDMAN SACS AND CO.	81,000	5,927			
22683-10-0	CHRYSLER INC COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	25,000	1,795			
23794-10-5	DAVITA INC COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	18,000	2,262			
23818-10-8	DAVITA INC COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	22,000	2,728			
24198-10-5	EBERE CO COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	19,000	5,994			
24203-20-2	BELT TECHNOLOGIES INC COM US0010		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	23,000	1,763			
24258-10-2	Delta Airlines Inc COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	25,000	5,311			
25218-10-7	PERCON INC COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	25,000	1,848			
25278-10-9	DIAMONDBOX ENERGY INC COM		03/16/20	HERPILL LYNH INTERNATIONAL LIMITED	73,000	5,893			
25286-10-3	DIGITAL RLY TR INC COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	20,000	2,613			
25272-10-2	DISCOVER INC COM US0010 SERIES C		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	342,000	10,591			
25270-10-9	QSI NETWORK CORP CL A COM STK		02/19/20	GOLDMAN SACS AND CO.	776,000	6,561			
25163-10-6	OODSIUM INC COM		02/19/20	GOLDMAN SACS AND CO.	20,000	4,113			
25163-10-5	OODSIUM INC COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	15,000	3,247			
25160-10-9	ODUMHUB CORP NEW COM		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	153,000	14,066			
25160-10-8	ODUMHUB CORP NEW COM STK NY		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	333,000	14,066			
25160-10-7	ODUMHUB CORP NEW COM STK NY		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	35,000	2,043			
25055-10-3	ONE INC		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	35,000	4,122			
25031-10-7	ONE ENERGY CO COM		07/12/20	VARIOUS	106,000	4,342			
25041-10-5	ONE RLY CORP COM NEW REIT		02/19/20	GOLDMAN SACS AND CO.	63,000	3,207			
25019-10-9	ONWATIME INC COM		02/19/20	GOLDMAN SACS AND CO.	80,000	4,360			
27742-10-0	OSUNDA ORE CO COM		02/19/20	GOLDMAN SACS AND CO.	90,000	11,983			
27882-10-3	OSUNDA ORE CO COM US0010		07/12/20	GOLDMAN SACS AND CO.	27,000	1,460			
27882-10-2	OSUNDA ORE CO COM STK US0010		02/19/20	VARIOUS	27,000	7,065			
28182-10-3	OSUNDA ORE CO COM STK US0010		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	47,000	1,320			
28182-10-2	OSUNDA ORE CO COM STK US0010		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	188,000	16,638			
28051-10-0	OSUNDA ORE CO COM US0010		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	6,000	505			
28051-10-1	OSUNDA ORE CO COM US0010		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	4,000	822			
28051-10-2	OSUNDA ORE CO COM US0010		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	67,000	6,882			
28051-10-3	OSUNDA ORE CO COM US0010		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	74,000	2,989			
28051-10-4	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	13,000	4,491			
28051-10-5	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	19,000	1,149			
28051-10-6	OSUNDA ORE CO COM STK		02/05/20	VARIOUS	382,000	22,946			
28051-10-7	OSUNDA ORE CO COM STK		07/12/20	VARIOUS	2,000	56			
28051-10-8	OSUNDA ORE CO COM STK		07/12/20	VARIOUS	141,000	4,592			
28051-10-9	OSUNDA ORE CO COM STK		07/12/20	VARIOUS	12,000	2,782			
28051-10-0	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	26,000	6,705			
28051-10-1	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	5,000	876			
28051-10-2	OSUNDA ORE CO COM STK		02/05/20	GOLDMAN SACS AND CO.	17,000	4,179			
28051-10-3	OSUNDA ORE CO COM STK		02/05/20	VARIOUS	241,000	21,409			
28051-10-4	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	44,000	6,040			
28051-10-5	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	181,000	4,418			
28051-10-6	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	27,000	5,084			
28051-10-7	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	11,000	1,035			
28051-10-8	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	5,000	964			
28051-10-9	OSUNDA ORE CO COM STK		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	69,000	18,177			
30030-10-2	FACBOOK INC		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	31,000	2,595			
31261-20-6	FEDERAL RLY INTL TR SH BEN INT IE		02/19/20	GOLDMAN SACS AND CO.	21,000	5,871			
31261-20-6	Federal Corp		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	53,000	2,072			
31261-20-3	FEDERAL RLY INTL TR SH BEN INT IE		07/12/20	INVESTMENT TECHNOLOGY GROUP INC.	3,000	2,072			

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31803-10-6	FIDELITY NATL INVESTMENT SVCS INC		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	17,000	2,383			NAIC
33186-10-3	FIRST REP R SR FRANCISCO OILF R		03/19/2021	VARIOUS	26,000	12,462			
33735-10-4	FISERV INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	26,000	4,502			
33830-10-1	FISERV INC COM		03/19/2021	EQULM, SIPS AND OI	37,000	6,028			
33804-10-5	FLEXTRON TECHNOLOGIES INC COM		03/19/2021	VARIOUS	27,597	2,292			
34657-10-0	Fed-Hit Co Bnl Com		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	250,000	2,292			
34662-10-9	FERNET INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	6,000	900			
34664-10-6	FERRITE BRNDS INE & SEC INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	2,000	175			
35003-10-9	FRONTROW INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	32,000	3,885			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	EQULM, SIPS AND OI	41,000	2,154			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	EQULM, SIPS AND OI	36,000	3,558			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	EQULM, SIPS AND OI	36,000	4,432			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	EQULM, SIPS AND OI	36,000	10,820			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	EQULM, SIPS AND OI	36,000	9,241			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	EQULM, SIPS AND OI	36,000	5,762			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	EQULM, SIPS AND OI	349,000	22,498			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	40,000	1,949			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	28,000	1,263			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	15,000	7,818			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	15,000	1,041			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	15,000	6,008			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	50,000	4,546			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	18,000	1,476			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	48,000	7,764			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	6,000	792			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	32,000	1,000			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	155,000	7,818			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	17,000	4,582			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	50,000	3,430			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	22,000	2,197			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	148,000	16,679			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	13,000	3,758			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	26,000	2,041			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	247,000	11,072			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	166,000	5,605			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	38,000	6,435			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	6,435	6,435			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	54,000	21,762			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	150,000	21,592			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	12,000	8,965			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	2,000	1,182			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	5,000	1,653			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	83,000	18,191			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	83,000	5,320			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	294,000	14,654			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	82,000	2,171			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	38,000	4,270			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	18,964	1,954			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	44,000	5,672			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	377,000	46,395			
35201-10-9	QUILIMETRY J & CO COM		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	138,000	7,232			

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1	2	3	4	5	6	7	8	9	10
CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and SVO Admin-Strative Symbol
46122-10-3	INNOV. STRATEG. INC. COM. NEW SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	11,000	4,103			
46122-10-2	INNOV. STRATEG. INC. COM. NEW SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	10,000	3,089			
46223-10-3	IONIS PHARMACEUTICALS INC. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	106,000	4,554			
46223-10-4	IONIS PHARMACEUTICALS INC. COM.		02/05/2021	INVESTMENT TECHNOLOGY GROUP INC.	147,000	7,289			
46801-10-9	IQV PHARMACEUTICALS INC. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	5,000	1,218			
46281-10-1	IQV PHARMACEUTICALS INC. COM.		07/11/2021	VARIOUS	17,000	2,889			
05087-10-5	LAZARUS PHARMACEUTICALS INC. COM. US00		02/09/2021	VARIOUS	36,000	6,086			
47233-10-9	LEFFERES FILM GROUP INC. COM.		02/09/2021	VARIOUS	189,000	6,376			
05192-10-5	LEFFERES FILM GROUP INC. COM.		02/09/2021	VARIOUS	317,000	5,970			
46201-10-7	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	1,000	148			
46201-10-4	LEXIPUS LABORATORIES INC. COM. SR.		02/09/2021	INVESTMENT TECHNOLOGY GROUP INC.	521,000	16,772			
46201-10-3	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	51,000	1,511			
46201-10-2	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	211,000	12,653			
46201-10-1	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	47,000	6,334			
46201-10-0	LEXIPUS LABORATORIES INC. COM. SR.		02/05/2021	INVESTMENT TECHNOLOGY GROUP INC.	57,000	7,570			
46201-09-9	LEXIPUS LABORATORIES INC. COM. SR.		02/05/2021	INVESTMENT TECHNOLOGY GROUP INC.	2,240,000	31,651			
46201-09-8	LEXIPUS LABORATORIES INC. COM. SR.		02/05/2021	INVESTMENT TECHNOLOGY GROUP INC.	248,000	7,980			
46201-09-7	LEXIPUS LABORATORIES INC. COM. SR.		02/05/2021	VARIOUS	22,000	4,910			
46201-09-6	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	25,000	2,051			
46201-09-5	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	25,000	2,051			
46201-09-4	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	25,000	1,137			
46201-09-3	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	35,000	1,559			
46201-09-2	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	8,000	1,141			
46201-09-1	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	4,000	1,106			
46201-09-0	LEXIPUS LABORATORIES INC. COM. SR.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	23,000	3,537			
53071-10-7	LIBERTY BROADCASTING CORP. COM. SER. C		02/09/2021	INVESTMENT TECHNOLOGY GROUP INC.	33,000	1,413			
53071-10-6	LIBERTY BROADCASTING CORP. COM. SER. A		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	47,000	1,986			
53071-10-5	LIBERTY BROADCASTING CORP. COM. SER. C		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	75,000	3,021			
53071-10-4	LIBERTY BROADCASTING CORP. COM. SER. C		02/09/2021	INVESTMENT TECHNOLOGY GROUP INC.	25,000	6,725			
53071-10-3	LIBERTY BROADCASTING CORP. COM. SER. C		02/09/2021	INVESTMENT TECHNOLOGY GROUP INC.	31,000	6,336			
53071-10-2	LIBERTY BROADCASTING CORP. COM. SER. C		07/11/2021	VARIOUS	142,000	11,624			
53071-10-1	LIBERTY BROADCASTING CORP. COM. SER. C		07/11/2021	VARIOUS	24,000	913			
53071-10-0	LIBERTY BROADCASTING CORP. COM. SER. C		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	47,000	2,187			
54861-10-7	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	34,000	5,659			
50271-10-0	LIENS CORP. COM.		02/09/2021	VARIOUS	35,000	5,120			
50271-09-9	LIENS CORP. COM.		07/11/2021	VARIOUS	18,000	1,180			
50271-09-8	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	41,000	1,513			
50271-09-7	LIENS CORP. COM.		02/09/2021	VARIOUS	12,000	5,981			
50271-09-6	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	4,000	4,151			
50271-09-5	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	73,000	9,276			
50271-09-4	LIENS CORP. COM.		02/09/2021	VARIOUS	5,000	8,226			
50271-09-3	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	5,000	1,546			
50271-09-2	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	60,000	2,981			
50271-09-1	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	34,000	2,965			
50271-09-0	LIENS CORP. COM.		02/09/2021	VARIOUS	18,000	3,986			
50271-08-9	LIENS CORP. COM.		02/09/2021	VARIOUS	25,000	3,817			
50271-08-8	LIENS CORP. COM.		02/09/2021	VARIOUS	2,000	2,817			
50271-08-7	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	32,000	3,022			
50271-08-6	LIENS CORP. COM.		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	34,000	7,305			
50271-08-5	LIENS CORP. COM.		02/05/2021	VARIOUS	169,000	30,944			
50271-08-4	LIENS CORP. COM.		07/11/2021	VARIOUS	21,000	1,706			
50271-08-3	LIENS CORP. COM.		02/09/2021	INVESTMENT TECHNOLOGY GROUP INC.	7,000	6,348			
50271-08-2	LIENS CORP. COM.		02/09/2021	VARIOUS	88,000	20,271			

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

1	2	3	4	5	6	7	8	9	10
CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and Administrative Symbol
99222-10-3	INDIAI PERI CHARIS INC COM		02/05/2021	VARIABLE	398,000	24,721			NAIC SVO Administrative Symbol
88195-10-4	AMER NAS INC COM		07/15/2021	INVESTMENT TERNALOST GROUP INC	3,000	6,440			
81704-10-9	MOORE BUSINESS CORP NEW COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	25,000	5,854			
61528-10-5	MOOS CORP COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	20,000	5,586			
61744-44-8	MONSIEUR STELIER COM		03/19/2021	GOLDMAN, SACS AND CO	301,660	7,705			
62075-30-7	MOROLA SOLUTIONS INC		01/11/2021	INVESTMENT TERNALOST GROUP INC	19,000	3,314			
55833-10-6	MSC INC DIRECT INC CL A COM		03/19/2021	GOLDMAN, SACS AND CO	53,000	4,650			
55845-10-0	MSCI INC COMMON		03/19/2021	GOLDMAN, SACS AND CO	10,000	4,104			
63103-10-8	MUSDU INC		02/05/2021	VARIABLE	398,000	28,283			
64102-10-8	MENTAL HEALTH SERVICES COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	307,000	2,072			
84102-10-4	METTEL INC COM SRV INC COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	8,000	5,034			
84832-20-1	MET RESIDENTIAL INC OPT COM NEW		01/11/2021	INVESTMENT TERNALOST GROUP INC	282,000	2,222			
65153-10-6	MEYER WINING CORP NEW COM		03/19/2021	GOLDMAN, SACS AND CO	179,000	4,670			
65106-10-3	MINE INC CL B		03/19/2021	GOLDMAN, SACS AND CO	303,000	16,216			
65596-10-2	MIRAMON CORP COM		02/05/2021	VARIABLE	259,000	10,738			
65594-10-4	MIRAFLEX SOUTH CORP COM		02/05/2021	VARIABLE	301,000	3,409			
98839-10-4	MOORE TRUCK INC		01/11/2021	INVESTMENT TERNALOST GROUP INC	35,000	1,495			
65077-10-9	MOORE TRUCK INC		01/11/2021	INVESTMENT TERNALOST GROUP INC	27,000	1,865			
67000-10-4	MOORE COMMUNICATIONS INC COM		03/19/2021	GOLDMAN, SACS AND CO	89,000	3,106			
67034-10-5	MOORE CORP COM		03/19/2021	GOLDMAN, SACS AND CO	173,000	12,338			
67094-10-8	MORNING INC CL A CL A		01/11/2021	INVESTMENT TERNALOST GROUP INC	7,000	217			
67066-10-4	MOVIDA CORP COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	18,000	9,887			
67104-10-7	MOVELLY AUTOMOTIVE INC		01/11/2021	INVESTMENT TERNALOST GROUP INC	19,000	9,211			
67181-10-7	MOYER HEALTH INC COM		03/19/2021	GOLDMAN, SACS AND CO	125,000	6,897			
67026-10-5	MOYER INC CL A CL A		03/19/2021	GOLDMAN, SACS AND CO	20,000	4,271			
67090-10-4	MOYER DOMINANT PREMIER LINE INC COM		03/19/2021	VARIABLE	46,000	10,220			
89222-10-4	MOYER CORP COM		03/19/2021	GOLDMAN, SACS AND CO	186,000	3,285			
88984-10-5	MOTUS WAXVILLE CORP COM 180,01 SH		01/11/2021	INVESTMENT TERNALOST GROUP INC	24,000	4,630			
89871-10-8	MOTOR INC COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	54,000	3,520			
89619-10-9	MOTUSVILLE CORP AMT COM 151SH		01/11/2021	INVESTMENT TERNALOST GROUP INC	159,000	13,989			
70104-10-4	MPPHAR-HAMPTON CORP COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	4,000	994			
70430-10-7	MPPHAR-HAMPTON CORP COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	2,000	594			
70430-10-4	MPPHAR-HAMPTON CORP COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	30,000	2,730			
67037-10-4	MPREAL CLASS INC COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	1,000	240			
07041-10-4	MPREAL INC COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	12,000	5,107			
71346-10-8	MPIRAN INC COM		03/19/2021	GOLDMAN, SACS AND CO	173,000	25,283			
89222-10-3	MPTRO COMPANY LIMITED		01/11/2021	INVESTMENT TERNALOST GROUP INC	10,000	3,450			
89222-10-3	MPTRO COMPANY LIMITED		03/19/2021	GOLDMAN, SACS AND CO	42,000	3,450			
71664-10-4	MULLINS 66 COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	14,000	5,082			
72841-10-1	MUNICIPAL OFP CORP COM		03/19/2021	GOLDMAN, SACS AND CO	31,000	1,068			
72727-10-7	MUNICIPAL NAT GAS 0 COM		03/19/2021	GOLDMAN, SACS AND CO	35,000	6,153			
69817-10-5	NYC FINANCIAL SERVICES GROUP COM S		01/11/2021	INVESTMENT TERNALOST GROUP INC	3,000	318			
73106-10-2	NYC FINANCIAL SERVICES GROUP COM S		01/11/2021	INVESTMENT TERNALOST GROUP INC	14,000	320			
88933-10-2	NYC FIN INC COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	18,000	4,987			
88933-10-2	NYC FIN INC COM		01/11/2021	INVESTMENT TERNALOST GROUP INC	20,000	4,589			
70651-10-2	NYC FIN INC CL A		01/11/2021	INVESTMENT TERNALOST GROUP INC	16,000	2,721			
74164-10-8	NYC FIN INC CL A		01/11/2021	INVESTMENT TERNALOST GROUP INC	20,000	2,721			
74251-10-9	NYC FIN INC CL A		03/19/2021	GOLDMAN, SACS AND CO	174,000	9,016			
74271-10-9	NYC FIN INC CL A		03/19/2021	GOLDMAN, SACS AND CO	190,000	29,041			
74315-10-3	NYC FIN INC CL A		03/19/2021	GOLDMAN, SACS AND CO	35,000	3,183			
74315-10-3	NYC FIN INC CL A		01/11/2021	INVESTMENT TERNALOST GROUP INC	55,000	6,068			



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CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and Administrative Modifier Symbol
74304-10-3	PROPERITY INC COM		07/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	2,000	208			NAIC
74304-10-2	PROPERITY FARM INC COM		07/19/2021	GOLDMAN, SACHS AND CO.	394,000	17,844			
74600-10-4	PR SERVIC		02/05/2021	INVESTMENT TECHNOLOGY GROUP INC.	80,000	2,200			
74798-10-1	OPENO INC COM		02/05/2021	VARIOUS	18,000	3,241			
74798-10-3	QUADCOM INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	598,000	29,077			
74798-10-2	QUANTA SYS INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	57,000	5,726			
74884-10-0	QUEST DIAGNOSTICS INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	55,000	6,823			
74884-10-1	QUEST CORP COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	1,000	197			
75020-10-9	RAVINDO JAMES PHAR, INC COM STR		02/05/2021	GOLDMAN, SACHS AND CO.	218,000	23,746			
75020-10-4	RELYAD INC COM STR		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	21,000	1,818			
75020-10-3	RELYAD INC COM STR		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	37,000	3,250			
75020-10-2	RELYAD CORP COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	19,000	2,839			
75020-10-1	RELYAD CORP COM		01/11/2021	VARIOUS	46,000	22,890			
75093-10-7	REGENERON PHARMACEUTICALS INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	12,000	1,365			
75093-10-2	REGENERON PHARMACEUTICALS INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	42,000	5,589			
76079-10-0	RELIANCE STR & ALUM CO COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	398,000	16,168			
76182-10-7	REMEDY INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	18,000	3,969			
76171-10-4	REMEDY INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	36,000	1,082			
76171-10-3	REMEDY INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	15,000	1,305			
76171-10-2	REMEDY INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	4,000	1,309			
76171-10-1	REMEDY INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	3,000	1,309			
76699-10-4	ROSS STORES INC COM		03/03/2021	VARIOUS	16,000	1,940			
76699-10-3	ROSS STORES INC COM		03/03/2021	VARIOUS	256,000	22,872			
76699-10-2	ROSS STORES INC COM		03/03/2021	VARIOUS	534,000	29,664			
76699-10-1	ROSS STORES INC COM		03/03/2021	VARIOUS	14,000	1,235			
76699-10-0	ROSS STORES INC COM		03/03/2021	VARIOUS	26,000	6,379			
76699-10-3	ROSS STORES INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	26,000	2,364			
76699-10-2	ROSS STORES INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	34,000	7,477			
76699-10-1	ROSS STORES INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	54,000	6,493			
76699-10-0	ROSS STORES INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	14,000	3,288			
81181-10-4	SCOTTS MIRACLES-GRP CLASS Y		02/05/2021	GOLDMAN, SACHS AND CO.	34,000	16,494			
81181-10-3	SCOTTS MIRACLES-GRP CLASS Y		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	28,000	1,301			
81181-10-2	SCOTTS MIRACLES-GRP CLASS Y		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	13,000	1,525			
81181-10-1	SCOTTS MIRACLES-GRP CLASS Y		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	72,000	4,035			
81181-10-0	SCOTTS MIRACLES-GRP CLASS Y		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	97,000	4,865			
82029-10-2	SEAVIWE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	16,000	7,533			
82029-10-1	SEAVIWE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	146,000	27,476			
82029-10-0	SEAVIWE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	11,000	521			
82098-10-4	SILVER MOUNTAIN GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	725,000	4,341			
82098-10-3	SILVER MOUNTAIN GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	24,000	3,907			
82098-10-2	SILVER MOUNTAIN GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	110,000	4,486			
82098-10-1	SILVER MOUNTAIN GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	1,061,000	16,338			
82098-10-0	SILVER MOUNTAIN GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	16,000	2,281			
83474-10-5	SOUTHWEST AIRLINES CO		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	18,000	1,708			
83474-10-4	SOUTHWEST AIRLINES CO		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	38,000	2,788			
83474-10-3	SOUTHWEST AIRLINES CO		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	17,000	5,334			
83474-10-2	SOUTHWEST AIRLINES CO		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	11,000	2,303			
83474-10-1	SOUTHWEST AIRLINES CO		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	163,000	11,305			
83474-10-0	SOUTHWEST AIRLINES CO		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	35,000	6,157			
85040-10-1	SPARK BLK & EBEN INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	149,000	2,730			
85040-10-0	SPARK BLK & EBEN INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	36,000	2,798			
85040-10-3	SPARK BLK & EBEN INC COM		02/05/2021	VARIOUS	70,000	13,149			

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 3**  
 Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and Administrative Modifier Symbol
88674-10-4	3M COMMUNITIES INC COM		03/19/2021	GOLDMAN SACHS AND CO.	28,000	4,176			
78668-10-1	3M FINANCIAL GROUP COMMON STOCK		03/19/2021	GOLDMAN SACHS AND CO.	21,000	1,437			
87998-10-3	SHENK HEALTH INC COM		03/19/2021	VARIOUS	26,000	5,280			
87907-10-7	SINOPEC INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	22,000	5,729			
87183-10-7	Spice Corp Com		03/19/2021	GOLDMAN SACHS AND CO.	39,000	3,074			
74441-10-8	F FINE FINE GROUP INC		03/19/2021	GOLDMAN SACHS AND CO.	26,000	4,468			
87293-10-4	F-HABLE US INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	27,000	3,556			
87527-20-3	PARCEL DIABETES CARE INC COM NEW C		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	7,000	2,818			
87999-10-6	TELEFLEX INC COM		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	35,000	1,874			
88097-10-1	TEVA INC COM (0001001) Com		03/19/2021	GOLDMAN SACHS AND CO.	11,000	6,254			
88100-10-1	TEVA INC COM (0001001) Com		03/19/2021	GOLDMAN SACHS AND CO.	30,000	4,273			
87250-10-9	TLC COS INC COM NEW		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	12,000	8,828			
89946-10-3	TRANE TECHNOLOGIES		01/11/2021	INVESTMENT TECHNOLOGY GROUP INC.	40,000	6,103			
88401-10-7	TRAVELERS COS INC COM STK		03/19/2021	VARIOUS	9,000	5,663			
88820-10-9	TRAVELERS COS INC COM STK		03/19/2021	INVESTMENT TECHNOLOGY GROUP INC.	28,000	8,956			
90198-10-2	TRUIST FIN CORP COM		02/24/2021	VARIOUS	176,000	9,494			
90198-10-2	TRUIST FIN CORP COM		02/24/2021	HERSHELL LIVER INTERNATIONAL LIMITED	4,000	1,538			
90198-10-2	TRUIST FIN CORP COM		02/24/2021	INVESTMENT TECHNOLOGY GROUP INC.	12,000	334			
90198-10-2	TRUIST FIN CORP COM		02/24/2021	VARIOUS	1,200	1,538			
88417-10-9	TRUIST FIN CORP COM		03/19/2021	VARIOUS	39,000	12,342			
90031-10-4	United Continental Holdings Inc Com Stk		03/19/2021	VARIOUS	301,000	16,291			
91004-10-9	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	53,000	8,434			
91131-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	28,000	8,846			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	27,000	4,593			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	249,000	5,871			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	375,000	8,615			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	33,000	1,162			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	2,000	5,329			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	14,000	2,439			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	81,000	23,846			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	275,000	14,800			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	83,000	16,105			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	389,000	21,877			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	62,000	13,374			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	22,000	949			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	27,000	1,382			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	4,000	1,382			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	8,000	1,382			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	5,000	1,382			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	127,000	4,465			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	14,000	2,272			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	60,000	4,115			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	382,000	23,976			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	18,000	5,982			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	55,000	6,698			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	8,000	2,141			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	28,000	6,465			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	105,000	9,127			
91331-10-6	UNITED CONTL HDGS INC COM STK		03/19/2021	VARIOUS	74,000	4,580			
91331-10-6	UNITED CONTL HDGS INC COM STK		02/05/2021	VARIOUS	13,000	2,655			
91331-10-6	UNITED CONTL HDGS INC COM STK		01/11/2021	VARIOUS	73,000	21,589			
91331-10-6	UNITED CONTL HDGS INC COM STK		01/11/2021	VARIOUS	7,000	326			
91331-10-6	UNITED CONTL HDGS INC COM STK		01/11/2021	VARIOUS	8,000	1,665			

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 3**  
 Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1	2	3	4	5	6	7	8	9	10
CUSIP	Description	Foreign	Date	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and Administrative Symbol
98333-99-6	HRIPOL CORP COM		03/19/2021	VARIOUS	31,000	6,398			
98333-99-6	HRIPOL CORP COM		03/19/2021	VARIOUS	423,000	9,707			
98134-10-7	WINDY INC CL A COM 0001001		01/11/2021	INVESTMENT GROUP INC	26,000	6,584			
98134-10-7	WINDY INC CL A COM 0001001		02/11/2021	HERILL LYNCH INTERNATIONAL LIMITED	8,000	6,817			
98333-99-6	VEEL ENERGY INC COM		01/11/2021	INVESTMENT GROUP INC.	256,000	16,592			
98421-10-6	VERO HOLDING CORP COM		02/09/2021	INVESTMENT GROUP INC.	300,000	2,385			
98373-10-0	PRO LOGISTICS INC COM		02/09/2021	VARIOUS	34,000	4,241			
98419-10-0	NIJEN INC COM		02/09/2021	VARIOUS	239,000	24,865			
98946-10-1	Van Brands Inc		02/09/2021	VARIOUS	49,000	5,290			
98333-99-6	ZEPHYRUS HOLDINGS CORP CL A		02/09/2021	VARIOUS	8,000	3,880			
98333-99-6	ZEPHYRUS HOLDINGS CORP CL A		02/09/2021	VARIOUS	28,000	8,233			
98999-10-3	ZIMMER BIOMET HOLDINGS INC COM		02/09/2021	VARIOUS	301,000	15,079			
98999-10-3	ZIMMER BIOMET HOLDINGS INC COM		02/09/2021	VARIOUS	347,000	22,598			
98900-10-1	ZION VIBRO COMMUNICATIONS INC CL A		01/15/2021	VARIOUS	11,000	4,190			
00108-10-2	ZION VIBRO COMMUNICATIONS INC CL A		01/15/2021	INVESTMENT GROUP INC.	29,000	3,302			
01775-10-0	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	5,000	3,186			
01745-10-0	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	HERILL LYNCH INTERNATIONAL LIMITED	46,000	1,401			
02306-10-2	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	442,000	34,829			
04271-10-0	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	3,551	3,551			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	12,000	4,432			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	10,000	1,980			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	21,000	4,432			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	10,000	1,074			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	42,000	2,430			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	77,000	6,203			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	72,000	14,014			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	3,000	1,010			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	228,000	4,079			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	278,000	7,981			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	278,000	7,981			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	7,000	153			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	10,218,000	116,432			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	298,000	7,373			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	447,000	13,510			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	10,000	814			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	62,000	12,770			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	7,000	1,180			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	8,000	1,818			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	25,000	1,832			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	148,000	20,217			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	201,000	7,107			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	960,000	18,833			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	43,000	3,827			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	16,000	1,597			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	1,982,000	46,301			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	46,000	6,911			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	7,000	430			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	15,000	532			
98974-10-5	ZION VIBRO COMMUNICATIONS INC CL A		02/09/2021	VARIOUS	9,000	337			

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**SCHEDULE D - PART 3**

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

1	2	3	4	5	6	7	8	9	10
CUSIP	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	Designation, NAIC and Administrative Symbol
88071-10-2	STERIS HEALTH CO COM		03/19/2021	OXIDIAN STOCK AND O...	361,000	3,149	XXX	0	NAIC
88071-10-3	STERIS HEALTH CO COM		03/19/2021	OXIDIAN STOCK AND O...	78,000	3,326	XXX	0	NAIC
90911-10-2	INVEST TECH LOG GROUP INC		01/11/2021	INVESTMENT TECHNOLOG...	48,000	4,521	XXX	0	NAIC
90911-10-4	INVEST TECH LOG GROUP INC		01/11/2021	INVESTMENT TECHNOLOG...	589,000	5,521	XXX	0	NAIC
92881-10-1	INVEST TECH LOG GROUP INC		01/11/2021	INVESTMENT TECHNOLOG...	28,000	5,891	XXX	0	NAIC
92881-10-4	INVEST TECH LOG GROUP INC		01/11/2021	INVESTMENT TECHNOLOG...	52,000	5,177	XXX	0	NAIC
98811-10-5	HERPILL LYNH INTERNATIONAL LIMITED		01/11/2021	INVESTMENT TECHNOLOG...	79,000	4,741	XXX	0	NAIC
90999999	Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated) Publicly Traded					3,822,698	XXX	0	XXX
92802-66-6	IFD VANGUARD SOUTHWEST FDS WIND		03/26/2021	CHICAGO MUTUAL FUNDS	40,460	13,537	XXX	0	XXX
94999999	Subtotal - Common Stocks - Mutual Funds					13,537	XXX	0	XXX
97999997	Total - Common Stocks - Part 3					3,836,145	XXX	0	XXX
97999998	Total - Common Stocks - Part 5					XXX	XXX	XXX	XXX
98999999	Total - Preferred and Common Stocks					3,836,145	XXX	0	XXX
99999999	Totals					8,668,103	XXX	13,690	XXX

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
CUSIP Identification	Description	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation (Increase/Decrease)	Current Years' (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol	
05999999-1	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX
13620-4W-3	DEFERRED COMPENSATION PLAN - U.S. STATES, TERRITORIES AND POSSESSIONS	02/12/2021	U.S. BANK		340,113	310,000	315,276	314,209	0	(83)	0	(83)	0	314,323	0	25,900	25,900	3,103	06/01/2028	1.0	FE
17999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/16/2021	U.S. GOVERNMENT		496,956	471,200	489,465	151,514	0	(81)	0	(81)	0	489,197	0	(4,620)	(4,620)	2,225	02/15/2028	1.1	FE
2120K-4H-5	2120K-4H-5	02/17/2021	UNITED STATES TREASURY 2.625% DUE 02-28-2021		483,654	462,500	469,303	469,303	0	20	0	20	0	469,403	0	(4,249)	(4,249)	3,636	02/15/2028	1.1	FE
7120K-4H-4	7120K-4H-4	02/17/2021	UNITED STATES TREASURY 2.625% DUE 02-28-2021		483,654	462,500	469,303	469,303	0	20	0	20	0	469,403	0	(4,249)	(4,249)	3,636	02/15/2028	1.1	FE
05999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX
05999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX
05999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX
05999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX
05999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX
05999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX
05999999-9	UNITED STATES TREASURY 2.625% DUE 02-28-2021	02/02/2021	U.S. GOVERNMENT		1,093,982	1,071,700	1,100,151	600,997	0	(329)	0	(329)	0	1,099,053	0	(9,000)	(9,000)	2,008	07/15/2029	1.1	XXX



STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 4**

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consolidation	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's (Amortization) Accrual	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol
087878-10-2	AMEREN MIDSTREAM CORPORATION		01/11/2021	INVESTMENT TECHNOLOGY	113,000			396	571	54	0	0	54	0	396	0	(21)	(21)	0		
087878-10-3	AMEREN INC COM		01/11/2021	INVESTMENT TECHNOLOGY	59,000			19,889	18,944	(6,169)	0	0	(6,169)	0	12,755	0	7,238	7,238	0		
094634-10-4	AMGEN P.C.		01/11/2021	INVESTMENT TECHNOLOGY	20,000			2,818	4,325	(1,403)	0	0	(1,403)	0	2,418	0	1,272	1,272	0		
097433-10-8	AMGEN CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	35,000			896	497	399	0	0	399	0	496	0	(319)	(319)	0		
097484-10-7	AMPHEN CORP USD 01 CL AMPHER RE		01/11/2021	INVESTMENT TECHNOLOGY	242,000			1,094	1,278	(194)	0	0	(194)	0	1,664	0	78	78	0		
097501-10-9	AMPHEN INCOME TRUST CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	55,000			2,049	2,113	(64)	0	0	(64)	0	2,469	0	(11)	(11)	0		
097861-10-5	APOLLO GLOBAL MGMT INC COM USD 00		01/11/2021	INVESTMENT TECHNOLOGY	25,000			1,199	1,225	(69)	0	0	(69)	0	1,199	0	33	33	0		
097861-10-6	APOLLO GLOBAL MGMT INC COM USD 00		03/19/2021	INVESTMENT TECHNOLOGY	288,000			9,366	30,542	(20,195)	0	0	(20,195)	0	3,246	0	27,930	27,930	36		
098223-10-5	Applied Materials Inc		01/11/2021	INVESTMENT TECHNOLOGY	66,000			6,099	5,998	(3,971)	0	0	(3,971)	0	2,199	0	4,240	4,240	9		
098223-10-6	Applied Materials Inc		03/19/2021	INVESTMENT TECHNOLOGY	26,000			2,232	3,559	(1,320)	0	0	(1,320)	0	2,232	0	1,381	1,381	9		
098483-10-2	ARCHER-DANIELS-MIDLAND CO COM		03/19/2021	INVESTMENT TECHNOLOGY	107,000			4,191	5,394	(1,203)	0	0	(1,203)	0	4,191	0	1,890	1,890	40		
099006-10-1	ARCHER INVESTMENT LP		01/11/2021	INVESTMENT TECHNOLOGY	119,000			5,879	5,999	290	0	0	290	0	5,879	0	(299)	(299)	0		
099771-10-2	ARISTONIA WORLD HDG INC NEW COM 3		01/11/2021	INVESTMENT TECHNOLOGY	15,000			1,133	1,118	37	0	0	37	0	1,133	0	24	24	0		
099771-10-3	ARISTONIA WORLD HDG INC NEW COM 3		01/11/2021	INVESTMENT TECHNOLOGY	11,000			1,429	1,433	(4)	0	0	(4)	0	1,429	0	15	15	0		
099771-10-8	ARISTONIA WORLD HDG INC NEW COM 3		03/19/2021	INVESTMENT TECHNOLOGY	49,000			4,841	6,675	(1,834)	0	0	(1,834)	0	4,841	0	2,201	2,201	32		
099771-10-9	ARISTONIA WORLD HDG INC NEW COM 3		01/11/2021	INVESTMENT TECHNOLOGY	293,000			12,250	8,427	3,823	0	0	3,823	0	12,250	0	(3,920)	(3,920)	0		
099840-10-7	AT&T HOLDING LTD		03/19/2021	INVESTMENT TECHNOLOGY	145,000			8,361	2,114	(54)	0	0	(54)	0	8,361	0	887	887	0		
099840-10-4	AT&T HOLDING LTD		01/11/2021	INVESTMENT TECHNOLOGY	28,000			1,351	6,091	(4,729)	0	0	(4,729)	0	1,351	0	4,732	4,732	0		
099840-10-5	AT&T HOLDING LTD		01/11/2021	INVESTMENT TECHNOLOGY	94,000			7,620	9,018	(1,398)	0	0	(1,398)	0	7,620	0	(174)	(174)	0		
099840-10-6	AT&T HOLDING LTD		03/19/2021	INVESTMENT TECHNOLOGY	34,000			2,878	2,918	(40)	0	0	(40)	0	2,878	0	2,405	2,405	32		
099840-10-2	AT&T HOLDING LTD		03/19/2021	INVESTMENT TECHNOLOGY	7,000			4,269	8,298	(4,029)	0	0	(4,029)	0	4,269	0	5,004	5,004	0		
099899-10-6	AVALON INC COM		01/11/2021	INVESTMENT TECHNOLOGY	10,000			1,627	1,848	49	0	0	49	0	1,788	0	(171)	(171)	0		
099899-10-9	Avery Dennison Corp Com		03/19/2021	INVESTMENT TECHNOLOGY	35,000			2,391	5,119	(2,728)	0	0	(2,728)	0	2,391	0	3,533	3,533	20		
099899-10-4	AIS CAPITAL HOLDINGS LTD COM USD		02/05/2021	INVESTMENT TECHNOLOGY	105,000			5,198	5,729	(531)	0	0	(531)	0	5,198	0	1,607	1,607	44		
099899-10-1	AION ENERGY INC COM		03/19/2021	INVESTMENT TECHNOLOGY	3,170			3,170	4,045	(874)	0	0	(874)	0	3,170	0	1,607	1,607	0		
099943-10-6	BILL COMMERCE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	21,000			3,149	3,149	298	0	0	298	0	3,149	0	(298)	(298)	0		
099943-10-3	BILL COMMERCE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	51,000			6,920	9,919	(1,919)	0	0	(1,919)	0	6,920	0	(1,919)	(1,919)	0		
099943-10-1	BIRMINGHAM PHARMACEUTICAL INC COM 15		03/19/2021	INVESTMENT TECHNOLOGY	52,000			4,300	4,300	(229)	0	0	(229)	0	4,300	0	(260)	(260)	0		
099943-10-2	BIRMINGHAM PHARMACEUTICAL INC COM 15		03/19/2021	INVESTMENT TECHNOLOGY	52,000			4,300	4,300	(229)	0	0	(229)	0	4,300	0	(260)	(260)	0		
099943-10-1	BIRMINGHAM PHARMACEUTICAL INC COM 15		01/11/2021	INVESTMENT TECHNOLOGY	25,000			2,298	2,393	95	0	0	95	0	2,298	0	(972)	(972)	25		
099943-10-7	BOSTON SCIENTIFIC CORP COM		02/05/2021	INVESTMENT TECHNOLOGY	77,000			3,140	2,788	(629)	0	0	(629)	0	3,140	0	870	870	0		
112001-10-5	BROADVIEW PART GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY	79,000			1,278	1,307	(30)	0	0	(30)	0	1,278	0	5	5	17		
112001-10-1	BROWN & BROWN INC COM		01/11/2021	INVESTMENT TECHNOLOGY	149,000			3,798	7,094	(3,296)	0	0	(3,296)	0	3,798	0	3,394	3,394	0		
115927-10-0	BROWN & BROWN CORP CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	69,000			5,035	4,998	39	0	0	39	0	5,035	0	(87)	(87)	0		
150241-10-8	BRIDGE CORP		02/05/2021	INVESTMENT TECHNOLOGY	55,000			2,955	2,999	(1,104)	0	0	(1,104)	0	2,955	0	1,190	1,190	0		

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

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
CUSIP Identification	Description	Forfeiture Date	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's (Amortization) Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Adminstrative Symbol
171945-0-9	BRINSON CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	38,000	3,283		3,174	2,879	201	0	0	201	0	3,174	0	119	119	0		
018882-0-5	BAKEL LTD		01/11/2021	INVESTMENT TECHNOLOGY	16,000	1,117		1,030	1,036	(19)	0	0	(19)	0	1,030	0	87	87	0		
018882-0-5	BAKEL LTD		01/11/2021	INVESTMENT TECHNOLOGY	50,000	4,482		5,149	4,482	(667)	0	0	(667)	0	5,149	0	87	87	0		
018882-0-5	BAKEL LTD		01/11/2021	INVESTMENT TECHNOLOGY	28,000	2,384		3,622	3,820	(196)	0	0	(196)	0	3,622	0	312	312	0		
018882-0-5	BAKEL LTD		01/11/2021	INVESTMENT TECHNOLOGY	48,000	2,285		2,090	2,098	(18)	0	0	(18)	0	2,090	0	175	175	0		
442838-0-0	CARLISLE COMPANIES INC COM		02/19/2021	GOLDMAN, SACHS AND CO.	42,000	6,889		4,636	6,990	(1,354)	0	0	(1,354)	0	4,636	0	1,994	1,994	18		
44330-0-2	CARNIVAL CORP PREFERRED STK		02/05/2021	GOLDMAN, SACHS AND CO.	188,000	25,183		19,451	13,877	5,506	0	0	5,506	0	19,451	0	5,722	5,722	0		
44330-0-0	CARNIVAL CORP PREFERRED STK		02/05/2021	GOLDMAN, SACHS AND CO.	699,000	17,878		14,898	14,865	(33)	0	0	(33)	0	14,898	0	3,000	3,000	0		
446229-0-9	CHRYSLER FINANCIAL GROUP CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	22,000	2,274		2,026	2,070	(44)	0	0	(44)	0	2,026	0	247	247	0		
446229-0-2	CHRYSLER FINANCIAL GROUP CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	7,000	1,912		438	1,872	(40)	0	0	(40)	0	438	0	1,473	1,473	0		
446229-0-1	CHRYSLER FINANCIAL GROUP CLASS 1		02/19/2021	GOLDMAN, SACHS AND CO.	41,000	9,257		5,697	7,466	(1,861)	0	0	(1,861)	0	5,697	0	3,990	3,990	42		
12504-0-9	CHRYSLER GROUP INC CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	31,000	2,055		1,346	2,070	(724)	0	0	(724)	0	1,346	0	706	706	0		
12504-0-6	CHRYSLER GROUP INC CLASS 1		02/19/2021	GOLDMAN, SACHS AND CO.	27,000	4,267		2,636	4,822	(586)	0	0	(586)	0	2,636	0	1,631	1,631	11		
050070-0-3	CHRYSLER GROUP INC CLASS 1		02/19/2021	INVESTMENT TECHNOLOGY	32,000	4,725		3,396	4,198	(797)	0	0	(797)	0	3,396	0	1,326	1,326	22		
51588-0-1	CHRYSLER GROUP INC CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	338,000	22,817		17,448	20,170	(2,722)	0	0	(2,722)	0	17,448	0	5,307	5,307	32		
51588-0-7	CHRYSLER GROUP INC CLASS 1		02/19/2021	GOLDMAN, SACHS AND CO.	203,000	4,319		5,162	4,330	(81)	0	0	(81)	0	5,162	0	(640)	(640)	0		
56782-0-4	CHRYSLER GROUP INC CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	153,000	12,657		10,046	12,007	(1,942)	0	0	(1,942)	0	10,046	0	2,012	2,012	34		
125888-0-0	CHRYSLER GROUP INC CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	146,000	6,287		5,495	5,662	(167)	0	0	(167)	0	5,495	0	792	792	0		
6119-0-6	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		02/19/2021	GOLDMAN, SACHS AND CO.	22,000	3,854		7,881	14,554	(6,673)	0	0	(6,673)	0	7,881	0	6,173	6,173	0		
63022-0-9	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	2,000	198		131	181	(50)	0	0	(50)	0	131	0	65	65	0		
163851-0-6	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	24,000	657		648	595	53	0	0	53	0	648	0	9	9	0		
16418-0-3	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	11,000	735		640	660	(20)	0	0	(20)	0	640	0	95	95	0		
16385-0-5	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		02/19/2021	GOLDMAN, SACHS AND CO.	18,000	25,556		21,454	8,320	(4,200)	0	0	(4,200)	0	21,454	0	4,102	4,102	0		
17300-0-2	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		02/19/2021	GOLDMAN, SACHS AND CO.	50,000	4,466		2,604	5,234	(2,630)	0	0	(2,630)	0	2,604	0	2,382	2,382	15		
12523-0-0	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	90,000	9,733		15,572	18,738	(3,166)	0	0	(3,166)	0	15,572	0	4,181	4,181	0		
1729-0-2	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		02/05/2021	VARIOUS	228,000	6,491		6,151	10,114	(3,963)	0	0	(3,963)	0	6,151	0	4,340	4,340	81		
1729-0-2	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	115,000	7,557		4,551	7,091	(2,540)	0	0	(2,540)	0	4,551	0	3,005	3,005	0		
17779-0-0	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	13,000	1,708		883	1,891	(89)	0	0	(89)	0	883	0	638	638	0		
18919-0-7	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	18,000	1,468		640	1,386	(72)	0	0	(72)	0	640	0	789	789	0		
12523-0-5	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	12,000	2,388		1,655	2,185	(190)	0	0	(190)	0	1,655	0	731	731	30		
12617-0-0	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	4,000	157		134	156	(22)	0	0	(22)	0	134	0	4	4	0		
91616-0-0	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	280,000	13,073		11,848	14,238	(2,400)	0	0	(2,400)	0	11,848	0	1,294	1,294	0		
19346-0-3	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		01/11/2021	INVESTMENT TECHNOLOGY	25,000	1,970		1,818	1,947	(129)	0	0	(129)	0	1,818	0	151	151	0		
19346-0-2	CHRYSLER COMMUNICATIONS INC NEW CLASS 1		02/19/2021	GOLDMAN, SACHS AND CO.	61,000	4,670		4,592	4,999	(307)	0	0	(307)	0	4,592	0	107	107	15		



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200204-10-1	Corporate Class A		01/11/2021	INVESTMENT TECHNOLOGY	310,000	15,787	15,787	8,005	16,244	(8,228)	0	0	(8,228)	0	8,005	0	7,782	7,782	71		
200204-10-2	Corporate Class B		03/19/2021	GOLDMAN, SACHS AND CO.	27,000	3,872	3,872	3,240	3,517	(277)	0	0	(277)	0	3,240	0	422	422	27		
200204-10-3	Corporate Class C		03/19/2021	INVESTMENT TECHNOLOGY	26,000	2,870	2,870	2,730	2,566	164	0	0	164	0	2,730	0	140	140	0		
200204-10-4	Corporate Class D		01/19/2021	INVESTMENT TECHNOLOGY	193,000	12,857	12,857	8,270	11,282	(2,820)	0	0	(2,820)	0	8,270	0	4,427	4,427	0		
200204-10-5	Corporate Class E		03/19/2021	GOLDMAN, SACHS AND CO.	49,340	22,627	22,627	23,210	17,248	5,861	0	0	5,861	0	23,210	0	(230)	(230)	185		
210991-10-6	Corporate Class F		03/19/2021	GOLDMAN, SACHS AND CO.	37,000	8,664	8,664	7,986	8,105	(138)	0	0	(138)	0	7,986	0	688	688	28		
210991-10-7	Corporate Class G		03/19/2021	GOLDMAN, SACHS AND CO.	17,000	6,528	6,528	5,415	6,176	(781)	0	0	(781)	0	5,415	0	1,113	1,113	1		
210991-10-8	Corporate Class H		01/11/2021	INVESTMENT TECHNOLOGY	14,000	1,069	1,069	1,065	1,031	4	0	0	4	0	1,065	0	(18)	(18)	0		
210991-10-9	Corporate Class I		02/05/2021	GOLDMAN, SACHS AND CO.	146,000	17,969	17,969	16,101	17,342	(689)	0	0	(689)	0	16,101	0	(418)	(418)	0		
210991-10-10	Corporate Class J		01/11/2021	INVESTMENT TECHNOLOGY	4,000	302	302	310	309	1	0	0	1	0	310	0	(9)	(9)	0		
210991-10-11	Corporate Class K		01/11/2021	INVESTMENT TECHNOLOGY	1,000	118	118	115	125	(10)	0	0	(10)	0	115	0	3	3	1		
220204-10-4	Corporate Class L		01/11/2021	INVESTMENT TECHNOLOGY	51,000	2,196	2,196	1,265	1,975	(709)	0	0	(709)	0	1,265	0	300	300	0		
220204-10-5	Corporate Class M		01/11/2021	INVESTMENT TECHNOLOGY	201,000	7,328	7,328	3,312	7,336	(428)	0	0	(428)	0	3,312	0	4,017	4,017	0		
220204-10-6	Corporate Class N		01/11/2021	INVESTMENT TECHNOLOGY	4,000	1,378	1,378	1,466	1,566	(112)	0	0	(112)	0	1,466	0	(90)	(90)	0		
220204-10-7	Corporate Class O		01/11/2021	INVESTMENT TECHNOLOGY	96,000	2,868	2,868	3,212	3,183	29	0	0	29	0	3,212	0	(254)	(254)	29		
220204-10-8	Corporate Class P		01/11/2021	INVESTMENT TECHNOLOGY	99,000	4,802	4,802	4,563	4,562	19	0	0	(19)	0	4,563	0	238	238	0		
220204-10-9	Corporate Class Q		01/11/2021	INVESTMENT TECHNOLOGY	32,000	3,783	3,783	3,127	3,389	(282)	0	0	(282)	0	3,127	0	656	656	0		
220204-10-10	Corporate Class R		01/11/2021	INVESTMENT TECHNOLOGY	9,000	2,980	2,980	2,654	2,889	(107)	0	0	(107)	0	2,654	0	191	191	27		
220204-10-11	Corporate Class S		03/19/2021	GOLDMAN, SACHS AND CO.	80,000	2,665	2,665	2,654	2,669	(34)	0	0	(34)	0	2,654	0	11	11	0		
220204-10-12	Corporate Class T		03/19/2021	INVESTMENT TECHNOLOGY	31,000	8,243	8,243	5,109	7,940	(1,811)	0	0	(1,811)	0	5,109	0	3,134	3,134	42		
220204-10-13	Corporate Class U		01/11/2021	INVESTMENT TECHNOLOGY	70,000	5,248	5,248	5,702	4,781	81	0	0	81	0	5,702	0	(584)	(584)	0		
220204-10-14	Corporate Class V		03/19/2021	GOLDMAN, SACHS AND CO.	43,000	2,664	2,664	2,664	2,664	0	0	0	(2,340)	0	2,664	0	2,659	2,659	0		
220204-10-15	Corporate Class W		03/19/2021	GOLDMAN, SACHS AND CO.	53,000	9,741	9,741	7,168	4,200	(7,020)	0	0	(7,020)	0	7,168	0	12,573	12,573	38		
220204-10-16	Corporate Class X		03/19/2021	GOLDMAN, SACHS AND CO.	57,000	4,965	4,965	2,800	4,178	(1,377)	0	0	(1,377)	0	2,800	0	2,165	2,165	0		
220204-10-17	Corporate Class Y		03/19/2021	GOLDMAN, SACHS AND CO.	28,000	4,205	4,205	3,759	3,699	100	0	0	100	0	3,759	0	1,706	1,706	0		
220204-10-18	Corporate Class Z		03/19/2021	INVESTMENT TECHNOLOGY	69,000	4,869	4,869	1,976	3,390	(1,154)	0	0	(1,340)	0	1,976	0	2,888	2,888	1		
250109-10-8	Discovered Field		01/11/2021	INVESTMENT TECHNOLOGY	1,000	95	95	71	91	(20)	0	0	(20)	0	71	0	24	24	0		
250109-10-9	Discovered Field		03/19/2021	VARIOUS	276,000	42,939	42,939	6,037	8,365	(2,280)	0	0	(2,280)	0	6,037	0	6,472	6,472	0		
250109-10-10	Discovered Field		03/19/2021	GOLDMAN, SACHS AND CO.	216,000	4,390	4,390	5,364	5,212	(320)	0	0	(320)	0	5,364	0	8,627	8,627	0		
250109-10-11	Discovered Field		02/05/2021	VARIOUS	346,000	10,919	10,919	16,441	11,157	5,284	0	0	5,284	0	16,441	0	(5,322)	(5,322)	0		
250109-10-12	Discovered Field		01/11/2021	INVESTMENT TECHNOLOGY	5,000	1,210	1,210	263	1,112	(849)	0	0	(849)	0	263	0	347	347	0		
250109-10-13	Discovered Field		01/11/2021	INVESTMENT TECHNOLOGY	24,000	2,710	2,710	2,243	2,393	(130)	0	0	(130)	0	2,243	0	487	487	0		

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.

**SCHEDULE D - PART 4**

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

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CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's (Amortization) Accrual	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol
25754-20-1	DOMINUS PIZZA INC COM		01/11/2021	INVESTMENT TECHNOLOGY	3,000	3,950		1,954	3,451	(1,897)	0	0	(1,897)	0	1,954	0	1,957	1,957	0		
25754-20-9	DOMINUS PIZZA INC COM		02/09/2021	VARIOUS	57,000	4,830		4,807	5,420	(813)	0	0	(813)	0	4,807	0	1,148	1,148	0		
29003-10-9	RODOLFO BARRI INC COM REIT		01/11/2021	INVESTMENT TECHNOLOGY	170,000	41,065		30,862	38,799	(11,880)	0	0	(11,880)	0	30,862	0	10,203	10,203	0		
28200-04-4	PERKIX INC CL A CL A		01/11/2021	GROUP INC	38,000	883		900	843	57	0	0	57	0	843	0	(7)	(7)	0		
23831-01-7	OTIE ENERGY CO COM		02/05/2021	GOLDMAN, SACHS AND CO	334,000	40,854		35,941	36,302	(4,463)	0	0	(4,463)	0	35,941	0	4,913	4,913	0		
26184H-01-2	QUANTUM ENERGY SERVICES INC		02/09/2021	VARIOUS	335,000	26,516		21,507	23,822	(2,315)	0	0	(2,315)	0	21,507	0	5,009	5,009	0		
23882-01-6	QUC TECHNOLOGY CO COM		01/11/2021	GROUP INC	16,000	456		801	412	189	0	0	189	0	801	0	(145)	(145)	0		
28819-10-9	QUANTUM INC COM		01/11/2021	INVESTMENT TECHNOLOGY	11,000	464		251	478	(229)	0	0	(229)	0	251	0	214	214	0		
27742-01-0	QUANTUM GEN CO COM		01/11/2021	GROUP INC	165,000	11,175		10,886	10,520	357	0	0	357	0	10,886	0	289	289	0		
29283-01-3	QUANTUM CORP A/C COM USD 90		01/11/2021	GROUP INC	163,000	20,744		12,790	19,883	(6,792)	0	0	(6,792)	0	12,790	0	7,954	7,954	0		
27286-01-3	QUANTUM VARE CORP COM NY 70		02/01/2021	VARIOUS	63,000	7,118		6,725	6,897	(272)	0	0	(272)	0	6,725	0	393	393	0		
28102-01-7	QUANTUM INTL COM		01/11/2021	GROUP INC	7,000	483		436	440	(14)	0	0	(14)	0	436	0	7	7	0		
31420-01-4	QUANTUM V COM USD 01		01/11/2021	INVESTMENT TECHNOLOGY	37,000	5,944		5,881	5,407	275	0	0	275	0	5,881	0	(87)	(87)	0		
29512-01-9	QUANTUM ARTS COM		01/11/2021	INVESTMENT TECHNOLOGY	7,000	884		779	1,005	(1,227)	0	0	(1,227)	0	779	0	206	206	0		
29101-01-4	QUANTUM ELECTRIC CO COM		02/05/2021	VARIOUS	97,000	16,417		12,729	15,833	(3,114)	0	0	(3,114)	0	12,729	0	3,688	3,688	0		
29820-01-4	QUANTUM INC COM		01/11/2021	GROUP INC	10,000	1,004		958	961	(3)	0	0	(3)	0	958	0	46	46	0		
29846-01-3	QUANTUM Corp		01/11/2021	INVESTMENT TECHNOLOGY	46,000	4,276		3,676	4,330	(916)	0	0	(916)	0	3,676	0	700	700	0		
28979-01-1	QUANTUM RESOURCES INC COM		03/09/2021	VARIOUS	55,000	6,475		3,342	4,638	(1,296)	0	0	(1,296)	0	3,342	0	3,133	3,133	0		
29478-01-7	QUANTUM RESULTS		03/09/2021	GOLDMAN, SACHS AND CO	348,000	24,658		22,487	20,659	1,899	0	0	1,899	0	22,487	0	2,571	2,571	0		
29442-01-5	QUANTUM INC COM		01/11/2021	GROUP INC	25,000	4,450		2,703	4,821	(2,118)	0	0	(2,118)	0	2,703	0	1,947	1,947	0		
29426-01-1	QUANTUM HOS INC COM		01/11/2021	GROUP INC	54,000	1,722		1,611	1,638	(27)	0	0	(27)	0	1,611	0	111	111	0		
29597-01-2	QUANTUM INTL CL A		01/11/2021	GROUP INC	7,000	1,801		1,061	1,719	(659)	0	0	(659)	0	1,061	0	740	740	0		
29670-01-2	QUANTUM UTILS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	97,000	8,013		7,865	7,897	(322)	0	0	(322)	0	7,865	0	348	348	0		
29683-01-4	QUANTUM LABOR DOMAINS INC CL A		03/09/2021	GOLDMAN, SACHS AND CO	27,000	7,101		5,540	7,187	(1,647)	0	0	(1,647)	0	5,540	0	2,161	2,161	0		
29784-01-6	QUANTUM INC COM		01/11/2021	INVESTMENT TECHNOLOGY	16,000	2,489		3,032	2,947	206	0	0	206	0	3,032	0	(80)	(80)	0		
30229-01-8	QUANTUM RE GROUP COM		01/11/2021	GROUP INC	16,000	3,814		3,666	3,745	(79)	0	0	(79)	0	3,666	0	148	148	0		
30004-01-6	QUANTUM INC COM NY		01/11/2021	GROUP INC	23,000	1,310		1,337	1,277	80	0	0	80	0	1,337	0	(126)	(126)	0		
30004-01-8	QUANTUM ENERGY COM		03/09/2021	GOLDMAN, SACHS AND CO	75,000	4,728		10,990	14,890	(3,890)	0	0	(3,890)	0	10,990	0	3,138	3,138	0		
30225-01-2	QUANTUM STORAGE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	13,000	1,438		1,121	1,306	(185)	0	0	(185)	0	1,121	0	315	315	0		
30216-01-2	QUANTUM MTL CORP COM		02/05/2021	VARIOUS	57,000	6,587		4,703	5,947	(1,244)	0	0	(1,244)	0	4,703	0	1,684	1,684	0		
30334-01-2	QUANTUM INC COM		03/09/2021	GOLDMAN, SACHS AND CO	26,000	2,946		13,883	20,790	(7,079)	0	0	(7,079)	0	13,883	0	6,396	6,396	0		
30375-01-5	QUANTUM REB SYS INC COM STR		01/11/2021	GROUP INC	17,000	5,634		3,244	5,653	(2,409)	0	0	(2,409)	0	3,244	0	2,393	2,393	0		

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 4**

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CUSIP Identification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consi- deration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization) Accrual	Current Year's Other Than Temporary Impairment Reco- gnized	Total Book/ Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/ Adjusted Carrying Value	Book/ Adjusted Carrying Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and NAIC Administrative Symbol	
30020-0-4	FAIR ISAC CORPORATION COM		01/11/2021	INVESTMENT TECHNOLOGY	30,000	4,582		5,220	5,110	109	0	0	109	0	5,220	0	(288)	(288)	0			
31800-0-4	FACILITY CO COM		01/11/2021	INVESTMENT TECHNOLOGY	34,000	1,723		817	1,680	(43)	0	0	(43)	0	817	0	996	996	0			
31891-0-0	FACILITY INC CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	21,000	1,94		1,990	2,010	(20)	0	0	(20)	0	1,990	0	5	5	0			
31428-0-6	Faded Corp		01/11/2021	INVESTMENT TECHNOLOGY	9,000	2,182		1,436	2,337	(801)	0	0	(801)	0	1,436	0	756	756	0			
31604-0-6	FACILITY INTL INVESTMENT SVCS INC		03/19/2021	GOLDMAN, SACHS AND CO.	73,000	10,347		6,805	10,327	(3,522)	0	0	(3,522)	0	6,805	0	3,543	3,543	28			
31847-0-2	FIRST AGEN FIM CORP COM SRK		01/11/2021	INVESTMENT TECHNOLOGY	45,000	2,404		2,449	2,323	126	0	0	126	0	2,449	0	(45)	(45)	0			
31723-0-8	FIBER INC COM		03/19/2021	GOLDMAN, SACHS AND CO.	105,000	2,796		5,683	1,555	(5,282)	0	0	(5,282)	0	5,683	0	6,133	6,133	14			
33824-0-1	FINE BELOW INC COM USD 01		01/11/2021	INVESTMENT TECHNOLOGY	6,000	1,128		947	1,030	(103)	0	0	(103)	0	947	0	180	180	0			
33807-0-1	FIBER INC COM		01/11/2021	INVESTMENT TECHNOLOGY	24,000	4,127		2,885	4,186	(1,800)	0	0	(1,800)	0	2,885	0	1,542	1,542	28			
33004-0-5	FLECTION TECHNOLOGIES INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	80,000	23,650		19,119	16,915	(15,944)	0	0	(15,944)	0	19,119	0	3,922	3,922	0			
33970-0-1	FLOOR & DECOR HLDGS INC CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	16,000	1,538		1,616	1,488	130	0	0	130	0	1,616	0	21	21	0			
34359-0-5	FLUORINE CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	26,000	962		710	959	(249)	0	0	(249)	0	710	0	253	253	5			
30261-0-3	FMC CORP COM (NEW)		01/11/2021	INVESTMENT TECHNOLOGY	50,000	7,008		6,923	6,731	42	0	0	42	0	6,923	0	198	198	0			
33107-0-5	FSC CORP CL A CL A		03/19/2021	INVESTMENT TECHNOLOGY	310,000	10,801		8,730	3,527	(1,850)	0	0	(1,850)	0	8,730	0	2,171	2,171	0			
35671-0-6-7	FREEMER-KAMRAN INC		01/11/2021	INVESTMENT TECHNOLOGY	29,000	809		714	755	(40)	0	0	(40)	0	714	0	165	165	0			
35413-0-1	FREMA RES INC COM		01/11/2021	INVESTMENT TECHNOLOGY	94,000	2,424		1,569	2,349	(780)	0	0	(780)	0	1,569	0	666	666	26			
30284-0-9	FTI CONSULTING INC COM		01/11/2021	INVESTMENT TECHNOLOGY	5,000	557		592	559	4	0	0	4	0	592	0	(5)	(5)	0			
36376-0-9	GALLERIE HERMIA J J CO COM		01/11/2021	INVESTMENT TECHNOLOGY	103,000	12,247		6,809	12,742	(6,133)	0	0	(6,133)	0	6,809	0	5,638	5,638	0			
36471-0-8	GAMMA 3 LESSEE PRHS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	51,040	358		357	357	(10)	0	0	(10)	0	357	0	1,034	1,034	0			
36965-0-7	GARDNER INC COM		03/19/2021	INVESTMENT TECHNOLOGY	20,000	488		2,623	479	(1,811)	0	0	(1,811)	0	2,623	0	251	251	0			
36910-0-6	GATES INTL CORP FL COM USD 01		01/11/2021	INVESTMENT TECHNOLOGY	38,000	540		434	488	(64)	0	0	(64)	0	434	0	106	106	51			
37034-0-4	GENERAL MILLS INC COM		03/19/2021	GOLDMAN, SACHS AND CO.	118,000	7,088		5,936	6,938	(1,003)	0	0	(1,003)	0	5,936	0	1,153	1,153	0			
31828-0-7	GENPAC LIMITED COM SRK USD 01		01/11/2021	INVESTMENT TECHNOLOGY	17,000	703		725	703	22	0	0	22	0	725	0	(23)	(23)	0			
37569-0-3	GILDEN SERRAS COM		02/05/2021	GOLDMAN, SACHS AND CO.	282,000	22,467		27,019	20,536	(6,511)	0	0	(6,511)	0	27,019	0	4,522	4,522	0			
37956-0-2	GILDE LIFE INC COM		03/19/2021	INVESTMENT TECHNOLOGY	104,000	10,282		8,483	9,976	(1,530)	0	0	(1,530)	0	8,483	0	1,798	1,798	11			
38007-0-7	GOODROY INC CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	41,000	3,385		3,486	3,401	85	0	0	85	0	3,486	0	(120)	(120)	0			
38115-0-4	GOLDMAN SACS GROUP INC COM		03/19/2021	VARIOUS	8,000	48,088		14,627	15,823	(1,195)	0	0	(1,195)	0	14,627	0	3,460	3,460	14			
38109-0-4	GRAND INC COM		03/19/2021	INVESTMENT TECHNOLOGY	81,000	5,679		3,574	5,890	(2,287)	0	0	(2,287)	0	3,574	0	2,106	2,106	0			
38413-0-8	GRUPTIER INTL LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	96,000	772		527	704	(177)	0	0	(177)	0	527	0	245	245	0			
38402-0-4	GRUBER B B INC COM		01/11/2021	INVESTMENT TECHNOLOGY	5,000	1,972		1,020	2,242	(1,122)	0	0	(1,122)	0	1,020	0	992	992	0			
38388-0-9	GRUBER B B INC COM SRK		03/19/2021	GOLDMAN, SACHS AND CO.	46,000	5,650		4,168	1,450	(1,120)	0	0	(1,120)	0	4,168	0	501	501	0			

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CUSIP Identification	Description	Forfeign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consolidation	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's (Amortization) Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol	
38989-0-1	GRAPHIC PACKAGING HLDG CO COM STK		01/11/2021	INVESTMENT TECHNOLOGY	203,000	3,653		3,148	3,439	(,811)	0	0	(,291)	0	3,148	0	355	355	0			
4017H-0-0	QUINCY SERVICE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	18,000	2,689		1,310	2,090	(,750)	0	0	(,750)	0	1,310	0	780	780	0			
40610-0-1	HALLIBURTON CO COM		03/19/2021	INVESTMENT TECHNOLOGY	259,000	3,944		8,335	4,655	1,445	0	0	1,445	0	8,335	0	(,691)	(,691)	12			
41095-0-2	HINESPARTS INC COM STK		01/11/2021	INVESTMENT TECHNOLOGY	13,000	199		189	190	(,2)	0	0	(,2)	0	189	0	12	12	0			
41232-0-8	HARTLEY DAVIDSON CO USD 01		01/11/2021	INVESTMENT TECHNOLOGY	41,000	1,582		1,465	1,395	(,40)	0	0	(,40)	0	1,465	0	118	118	0			
41615-0-4	HARTFORD FILM SACS GROUP INC COM		03/19/2021	GOLDMAN, SACHS AND CO.	143,000	9,878		7,982	7,004	(,988)	0	0	(,988)	0	7,982	0	1,886	1,886	0			
42207-0-3	HEALTHCARE PROPERTIES INC		01/11/2021	GOLDMAN, SACHS AND CO.	41,000	1,170		1,106	1,239	(,133)	0	0	(,133)	0	1,106	0	63	63	0			
44129-0-1	HERBULEE NUTRITION LTD COM STK		01/11/2021	INVESTMENT TECHNOLOGY	25,000	1,282		1,210	1,201	8	0	0	8	0	1,210	0	72	72	0			
42789-0-8	HERSCHEY COMPANY		03/19/2021	GOLDMAN, SACHS AND CO.	42,000	6,497		4,385	6,386	(,2,012)	0	0	(,2,012)	0	4,385	0	2,112	2,112	27			
42824-0-7	HESSE CORP COM STK		01/11/2021	INVESTMENT TECHNOLOGY	15,000	97		839	792	47	0	0	47	0	839	0	68	68	0			
42824-0-9	HESSE HOLDING ENTERPRISE CO COM		03/19/2021	VARIOUS	1,082,000	14,886		10,279	12,822	(,2,543)	0	0	(,2,543)	0	10,279	0	4,709	4,709	112			
43194-0-8	HIGHWOODS PARTS INC COM		01/11/2021	GOLDMAN, SACHS AND CO.	105,000	8,002		4,106	4,161	(,54)	0	0	(,54)	0	4,106	0	1,211	1,211	0			
43707-0-2	Hill Top Inc.		02/05/2021	VARIOUS	96,000	8,022		6,356	6,356	0	0	0	0	0	6,356	0	11,647	11,647	0			
44022-0-0	HOBEL FOODS CORP COM		03/19/2021	GOLDMAN, SACHS AND CO.	190,000	9,115		6,946	8,559	(,1,509)	0	0	(,1,509)	0	6,946	0	2,168	2,168	0			
44107-0-4	Host Vehicle & Research Inc		01/11/2021	INVESTMENT TECHNOLOGY	20,000	743		351	316	(,200)	0	0	(,200)	0	351	0	182	182	0			
44201-0-8	HUNT RECREATION INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	18,000	2,860		8,429	3,132	(,2,011)	0	0	(,2,011)	0	8,429	0	8,714	8,714	148			
44201-0-7	HUNTER RECREATION INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	18,000	3,045		2,331	2,979	(,646)	0	0	(,646)	0	2,331	0	714	714	0			
44273-0-0	HERRST INC COM		01/11/2021	INVESTMENT TECHNOLOGY	5,000	2,024		2,023	1,982	41	0	0	41	0	2,023	0	2	2	0			
44497-0-9	HORIZON PACIFIC PROPERTIES INC COM		01/11/2021	INVESTMENT TECHNOLOGY	47,000	1,086		1,136	1,129	8	0	0	8	0	1,136	0	(,51)	(,51)	0			
44499-0-2	HAWAII INC COM		01/11/2021	INVESTMENT TECHNOLOGY	50,000	21,884		12,742	20,514	(,7,771)	0	0	(,7,771)	0	12,742	0	8,822	8,822	31			
44509-0-7	HAWAII B TRAVEL SACS INC COM		03/19/2021	VARIOUS	159,000	23,990		21,142	7,625	41	0	0	41	0	21,142	0	2,818	2,818	14			
44579-0-2	HUNT TOPICS CORP COM CL A COM CL		02/05/2021	INVESTMENT TECHNOLOGY	103,000	7,750		670	3,715	(,60)	0	0	(,60)	0	670	0	59	59	0			
45107-0-6	INDOOR INC COM		01/11/2021	INVESTMENT TECHNOLOGY	11,000	985		1,011	1,056	(,46)	0	0	(,46)	0	1,011	0	(,25)	(,25)	0			
45107-0-4	INDEX CORP COM		03/19/2021	GOLDMAN, SACHS AND CO.	27,000	5,577		3,455	5,375	(,1,820)	0	0	(,1,820)	0	3,455	0	1,922	1,922	14			
45183-0-4	INDEX LABS INC COM		03/19/2021	VARIOUS	18,000	8,564		2,704	8,988	(,6,294)	0	0	(,6,294)	0	2,704	0	6,251	6,251	0			
45797-0-5	IHS MARKIT LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	10,000	889		457	889	(,482)	0	0	(,482)	0	457	0	452	452	0			
46208-0-4	ILL TOIL WKS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	57,000	11,912		9,006	11,621	(,2,619)	0	0	(,2,619)	0	9,006	0	2,935	2,935	65			
46208-0-2	INTEC CORP COM		02/05/2021	GOLDMAN, SACHS AND CO.	23,000	2,976		3,519	2,970	(,446)	0	0	(,446)	0	3,519	0	1,511	1,511	0			
46208-0-6	INTEC HOLDING INC COM		02/05/2021	INVESTMENT TECHNOLOGY	373,000	8,922		1,159	15,900	(,6,259)	0	0	(,6,259)	0	1,159	0	4,819	4,819	0			
46797-0-5	INTECHION INC COM		01/11/2021	INVESTMENT TECHNOLOGY	14,000	1,122		1,116	1,101	14	0	0	14	0	1,116	0	2,362	2,362	31			
46797-0-2	INTECHION INC COM		03/19/2021	GOLDMAN, SACHS AND CO.	86,000	5,811		3,029	4,384	(,1,350)	0	0	(,1,350)	0	3,029	0	2,562	2,562	0			
46914-0-7	INTERACTIVE BROKERS GROUP INC CL C		01/11/2021	INVESTMENT TECHNOLOGY	18,000	1,244		1,065	1,097	(,23)	0	0	(,23)	0	1,065	0	170	170	0			
46966-0-4	INTERCOMMERICAL EXCHANGE INC COM		03/19/2021	VARIOUS	141,000	15,882		9,349	16,256	(,6,907)	0	0	(,6,907)	0	9,349	0	6,543	6,543	36			
46969-0-1	INTERNATIONAL BUSINESS MACHS CORP		01/11/2021	INVESTMENT TECHNOLOGY	55,000	7,077		8,303	6,323	(,1,980)	0	0	(,1,980)	0	8,303	0	(,1,289)	(,1,289)	0			
46990-0-0	INTERNATIONAL GROUP COMPANIES INC 00		01/11/2021	INVESTMENT TECHNOLOGY	149,000	3,628		2,702	3,514	(,803)	0	0	(,803)	0	2,702	0	927	927	0			
46990-0-1	INTL FLUOROS & REFRIGERANTS INC COM		03/19/2021	VARIOUS	226,000	32,187		29,965	32,943	(,3,922)	0	0	(,3,922)	0	29,965	0	2,223	2,223	91			

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's (Amortization) Accrual	Current Year's Other Than Temporary Impairment Recognized	Total Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and NAIC Identifier Symbol
460746-10-3	INTL PAPER CO COM		02/19/2021	GOLDMAN, SACHS AND CO.	172,000	3,216	1,833	1,569	8,552	(1,341)	0	0	(1,341)	0	7,237	0	1,679	1,679	88		
461022-10-3	INUIT COM		02/19/2021	GOLDMAN, SACHS AND CO.	17,000	6,482	3,862	2,996	5,457	(3,882)	0	0	(3,882)	0	2,595	0	3,888	3,888	10		
949818-10-8	INNESCO LTD COM STK USD 20		01/11/2021	GROUP INC.	193,000	3,862	3,368	3,368	3,364	4	0	0	4	0	3,368	0	294	294	0		
461504-10-7	INVITATION HARES INC COM		01/11/2021	GROUP INC.	40,000	1,980	927	927	1,188	(181)	0	0	(181)	0	47	0	233	233	0		
462222-10-0	IONIS PHARMACEUTICALS INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	50,000	2,990	2,790	2,790	2,827	(97)	0	0	(97)	0	2,730	0	260	260	0		
462930-10-0	IOVANCE BIOPHARMACEUTICALS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	16,000	808	440	440	742	(338)	0	0	(300)	0	40	0	368	368	72		
462944-10-1	IRON MIN INC NEW COM		01/11/2021	J.P. MORGAN SECURITIES	116,000	3,344	4,693	4,693	3,420	1,273	0	0	1,273	0	4,693	0	(1,450)	(1,450)	0		
460734-10-8	ITT INC COM		01/11/2021	INVESTMENT TECHNOLOGY	20,000	1,633	1,569	1,569	1,560	9	0	0	9	0	1,569	0	88	88	0		
462831-10-1	JOHN HENRY ASSOCIATES INC COM		02/19/2021	GOLDMAN, SACHS AND CO.	24,000	3,086	3,800	3,800	3,926	(1,126)	0	0	(1,126)	0	3,170	0	1,228	1,228	16		
462871-10-3	JULZ TECHNOLOGICALS PCL COM USD 0.25		02/05/2021	INVESTMENT TECHNOLOGY	3,180	3,180	3,180	3,180	3,511	(331)	0	0	(331)	0	3,180	0	(440)	(440)	0		
465904-10-0	KB5 SMITH PROPERTIES COM USD 0.10		01/11/2021	GROUP INC.	57,000	1,707	1,745	1,745	1,782	(38)	0	0	(38)	0	1,745	0	(80)	(80)	13		
472384-10-9	KEFERSHILL FINL GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY	4,000	407	58	58	28	(41)	0	0	(41)	0	58	0	48	48	0		
515122-10-5	JOHNSON & JOHNSON INC COM		02/19/2021	GOLDMAN, SACHS AND CO.	188,000	25,623	18,955	18,955	5,721	(668)	0	0	(668)	0	5,065	0	2,315	2,315	21		
461628-10-8	JOHNSON & JOHNSON INC COM		02/05/2021	VARIOUS	188,000	25,623	18,955	18,955	23,889	(4,986)	0	0	(4,986)	0	18,833	0	6,670	6,670	20		
461628-10-8	JOHNSON & JOHNSON INC COM		02/19/2021	GOLDMAN, SACHS AND CO.	91,000	9,714	9,714	9,714	30,018	(1,918)	0	0	(1,918)	0	5,714	0	2,77	2,77	42		
461628-10-8	JOHNSON & JOHNSON INC COM		02/19/2021	VARIOUS	28,000	4,661	3,624	3,624	3,942	(318)	0	0	(318)	0	3,624	0	22	22	14		
462111-10-0	JOHNSON & JOHNSON INC COM		02/19/2021	VARIOUS	106,000	3,619	3,069	3,069	3,382	(313)	0	0	(313)	0	3,069	0	350	350	18		
462811-10-0	JOHNSON & JOHNSON INC COM		01/11/2021	INVESTMENT TECHNOLOGY	23,000	3,451	1,035	1,035	3,038	(2,003)	0	0	(2,003)	0	1,035	0	2,416	2,416	0		
464271-10-6	KILLOR RITY Corp Com		01/11/2021	J.P. MORGAN SECURITIES	74,000	4,048	5,667	5,667	4,248	1,419	0	0	1,419	0	5,667	0	(1,619)	(1,619)	57		
464683-10-3	KIMBERLY-CLARK CORP COM		02/19/2021	GOLDMAN, SACHS AND CO.	52,000	6,777	5,724	5,724	7,011	(1,287)	0	0	(1,287)	0	5,724	0	1,053	1,053	52		
464683-10-3	KIMCO REALTY CORP COM		01/11/2021	GOLDMAN, SACHS AND CO.	47,000	719	697	697	705	(8)	0	0	(8)	0	697	0	32	32	0		
464683-10-1	Kinder Morgan Inc Del Com		02/19/2021	VARIOUS	432,000	22,383	25,133	25,133	19,575	5,557	0	0	5,557	0	25,133	0	(2,500)	(2,500)	141		
462811-10-0	KEYSPAN INC COM		01/11/2021	INVESTMENT TECHNOLOGY	10,000	2,878	906	906	2,399	(1,684)	0	0	(1,684)	0	906	0	1,972	1,972	0		
462811-10-0	KEYSPAN INC COM		01/11/2021	INVESTMENT TECHNOLOGY	57,000	2,844	2,640	2,640	2,726	(86)	0	0	(86)	0	2,640	0	204	204	0		
502555-10-4	KIKAS CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	30,000	1,288	1,253	1,253	1,382	(99)	0	0	(99)	0	1,253	0	45	45	0		
500754-10-6	KIRBY HEINZ CO COM		01/11/2021	INVESTMENT TECHNOLOGY	19,000	897	344	344	707	(362)	0	0	(362)	0	344	0	553	553	0		
501737-10-4	L BRUNS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	19,000	897	344	344	707	(362)	0	0	(362)	0	344	0	553	553	0		
505040-10-9	LAB CORP AMER LEADS COM NEW		02/19/2021	GOLDMAN, SACHS AND CO.	41,000	9,946	6,576	6,576	11,770	(1,770)	0	0	(1,770)	0	5,776	0	3,273	3,273	0		
464683-10-1	LANE BUSH CORP COM		01/11/2021	GROUP INC.	7,000	3,603	895	895	3,306	(2,411)	0	0	(2,411)	0	895	0	2,708	2,708	11		
512807-10-8	LANE BUSH CORP COM		01/11/2021	GROUP INC.	7,000	3,603	895	895	3,306	(2,411)	0	0	(2,411)	0	895	0	2,708	2,708	0		
517534-10-7	LANE BUSH CORP COM STK		01/11/2021	GROUP INC.	343	387	343	343	417	(74)	0	0	(74)	0	343	0	54	54	0		
519420-10-2	LANE BUSH CORP COM STK		01/11/2021	INVESTMENT TECHNOLOGY	36,000	1,821	1,462	1,462	1,523	(60)	0	0	(60)	0	1,462	0	158	158	0		
526270-10-7	LANE BUSH CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	28,000	4,864	2,982	2,982	3,430	(448)	0	0	(448)	0	2,982	0	2,001	2,001	0		
526270-10-2	LANE BUSH CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	10,000	607	474	474	512	(138)	0	0	(138)	0	474	0	132	132	0		
530037-10-5	LIBERTY BROADCASTING CORP COM SER C C		01/11/2021	INVESTMENT TECHNOLOGY	45,000	6,821	7,105	7,105	7,127	(22)	0	0	(22)	0	7,105	0	(183)	(183)	0		
531029-10-0	LIBERTY MEDIA CORP DEL COM SER A F		01/11/2021	GROUP INC.	26,000	1,020	799	799	1,094	(294)	0	0	(294)	0	799	0	220	220	0		

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CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's Amortization	Current Year's Other Than Temporary Impairment Recognized	Total Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and NAIC Descriptor Symbol
53729-00-7	LIBERT MEDIA CORP DEB CORP SER C		02/19/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	123,000	5,827		5,568	5,613	(45)	0	0	(45)	0	5,568	0	260	260	0		
53228-10-7	LINE STRONG INC COM		01/11/2021	INVESTMENT TECHNOLOGY	28,000	3,264		3,263	3,345	(80)	0	0	(80)	0	3,283	0	0	0	0		
53300-10-6	LINCOLN BFG HLDG INC COM		01/11/2021	INVESTMENT TECHNOLOGY	80,000	8,592		8,192	8,021	170	0	0	170	0	8,192	0	164	164	35		
53107-10-9	LINCOLN INTL CORP COM		02/05/2021	VARIOUS	298,000	13,864		8,426	13,533	(15,106)	0	0	(15,106)	0	8,426	0	5,267	5,267	113		
56444-10-3	LINE PFC COM		02/19/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	34,000	9,150		5,593	8,959	(13,960)	0	0	(13,960)	0	5,593	0	3,557	3,557	36		
53519-50-0	LINE GATE ENHFC CORP CL B NM YTS		01/11/2021	INVESTMENT TECHNOLOGY	72,000	779		715	747	(20)	0	0	(20)	0	715	0	64	64	44		
53519-50-1	LINE GATE ENHFC CORP VOTING SHARE		01/11/2021	INVESTMENT TECHNOLOGY	43,000	509		458	489	(31)	0	0	(31)	0	458	0	51	51	51		
53708-10-4	LITETRE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	33,000	8,888		8,288	8,044	(118)	0	0	(118)	0	8,288	0	610	610	0		
53304-10-9	LINE NATION ENTERTAINMENT INC		02/05/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	141,000	10,311		5,303	10,351	(13,822)	0	0	(13,822)	0	5,303	0	4,022	4,022	25		
54681-10-7	Lineas Aereas Int'l		02/19/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	3,540	8,156		3,343	3,439	(4,801)	0	0	(4,801)	0	3,343	0	3,273	3,273	28		
52121-10-0	LIN FINL HLDG INC COM		01/11/2021	INVESTMENT TECHNOLOGY	33,000	3,827		3,417	3,439	(22)	0	0	(22)	0	3,417	0	410	410	0		
52021-10-9	LULULEMON ATHLETICA INC COM		01/11/2021	INVESTMENT TECHNOLOGY	5,000	2,218		200	2,088	(1,718)	0	0	(1,718)	0	200	0	1,948	1,948	0		
53078-10-4	LEFT INC CL A		01/11/2021	INVESTMENT TECHNOLOGY	20,000	370		1,000	885	37	0	0	37	0	1,000	0	(30)	(30)	0		
53345-10-3	Lyondell Basell Industries		02/19/2021	VARIOUS	82,000	6,551		5,280	5,665	(830)	0	0	(830)	0	5,280	0	1,260	1,260	38		
54191-10-0	WARRIOR GROUP INC		01/11/2021	INVESTMENT TECHNOLOGY	17,000	1,630		1,537	1,533	4	0	0	4	0	1,537	0	94	94	0		
54549-10-6	WARRANTY OIL CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	279,000	2,113		1,876	1,861	37	0	0	37	0	1,876	0	235	235	0		
57000-10-6	WARRIORS HLDG INC COM SRK		01/11/2021	INVESTMENT TECHNOLOGY	5,000	2,726		899	2,663	(1,850)	0	0	(1,850)	0	899	0	1,626	1,626	0		
57003-20-2	WARRIOTT INTL INC NEW SRK CL A		02/19/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	74,000	11,289		9,030	9,782	(7,730)	0	0	(7,730)	0	9,030	0	2,239	2,239	0		
57148-10-2	WASH & MCDERMID CO'S INC COM		01/11/2021	INVESTMENT TECHNOLOGY	44,000	4,582		3,648	5,148	(1,500)	0	0	(1,500)	0	3,648	0	1,314	1,314	0		
57425-10-0	WASH INC CORP SRK		01/11/2021	INVESTMENT TECHNOLOGY	15,000	4,198		2,890	4,028	(1,940)	0	0	(1,940)	0	2,890	0	1,028	1,028	0		
57588-10-3	WATERBURY INC CL A		02/19/2021	VARIOUS	50,000	4,750		7,508	7,547	(10,341)	0	0	(10,341)	0	7,508	0	10,279	10,279	19		
57601-10-7	WATCO GROUP INC NEW COM		01/11/2021	INVESTMENT TECHNOLOGY	5,000	764		775	756	19	0	0	19	0	775	0	(11)	(11)	0		
57701-10-2	WATTEL INC COM		01/11/2021	INVESTMENT TECHNOLOGY	101,000	1,851		1,324	1,782	(488)	0	0	(488)	0	1,324	0	258	258	25		
57970-20-6	WCCOMM & CO INC COM NM-173		02/19/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	80,000	6,823		3,774	7,848	(3,874)	0	0	(3,874)	0	3,774	0	3,150	3,150	25		
58150-10-3	WEDBURY CORP		02/19/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	128,000	23,911		17,051	21,914	(4,820)	0	0	(4,820)	0	17,051	0	6,890	6,890	46		
58198-10-8	WELLS INC COM SRK		02/05/2021	VARIOUS	173,000	8,727		5,407	8,122	(1,244)	0	0	(1,244)	0	5,407	0	(800)	(800)	0		
55055-10-1	WEN HOSIERS INTERNATIONAL COM		02/19/2021	VARIOUS	225,000	7,126		7,126	7,126	36	0	0	36	0	7,126	0	654	654	0		
55917-10-4	WESTPORT TECHNOLOGY INC COM		01/11/2021	INVESTMENT TECHNOLOGY	7,000	1,031		666	967	(301)	0	0	(301)	0	666	0	365	365	0		
56012-10-3	WESTERN TECH INC COM		01/11/2021	INVESTMENT TECHNOLOGY	26,000	2,210		1,210	2,105	(895)	0	0	(895)	0	1,210	0	1,000	1,000	0		
56418-10-4	WESTERN CORP		02/05/2021	VARIOUS	6,000	6,811		3,915	18,936	(15,011)	0	0	(15,011)	0	3,915	0	14,626	14,626	0		
56621-10-3	WESTERN AIR CARRIERS INC COM		02/19/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	48,000	6,733		5,026	6,081	(1,050)	0	0	(1,050)	0	5,026	0	1,707	1,707	48		
56308-10-4	WEST INVESTS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	7,000	1,154		1,045	1,053	(8)	0	0	(8)	0	1,045	0	103	103	0		
60770-10-7	WESTERN INC COM		01/11/2021	INVESTMENT TECHNOLOGY	10,000	1,391		181	1,045	(184)	0	0	(184)	0	1,045	0	993	993	0		
60699-10-0	WESTERN HEALTHCARE INC COM		02/05/2021	GOLDMAN SACHS AND CO. INVESTMENT TECHNOLOGY	15,000	3,051		1,322	3,190	(1,869)	0	0	(1,869)	0	1,322	0	1,699	1,699	0		
60078-20-9	WESTERN COORS BREWING COM CL B		02/19/2021	VARIOUS	228,000	11,736		8,021	10,000	(12,300)	0	0	(12,300)	0	8,021	0	3,765	3,765	0		

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

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CUSIP Identification	Description	Forfeiture Date	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consolidation	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's (Amortization) Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol
80907-0-5	MORRIS INTL INC COM		01/11/2021	INVESTMENT TECHNOLOGY	70,000	4,027		2,228	4,030	(1,251)	0	0	(1,251)	0	2,228	0	1,999	1,999	22		
80907-0-6	MORRIS INC CL A		01/11/2021	INVESTMENT TECHNOLOGY	8,000	2,297		2,281	2,154	107	0	0	107	0	2,281	0	(64)	(64)	0		
81746-0-3	MORRIS REVERSE CORP NEW COM		03/19/2021	INVESTMENT TECHNOLOGY	98,000	17,253		11,274	31,129	(6,520)	0	0	(6,520)	0	11,274	0	5,959	5,959	0		
81746-44-8	MORRIS STRALEY COM		01/11/2021	INVESTMENT TECHNOLOGY	94,000	7,103		4,719	6,442	(1,720)	0	0	(1,720)	0	4,719	0	2,994	2,994	0		
81945-0-3	MOSAIC CORP/RE		01/11/2021	INVESTMENT TECHNOLOGY	145,000	3,909		3,382	3,338	55	0	0	55	0	3,382	0	518	518	0		
83988-0-6	MSA SAFETY INC COM		01/11/2021	INVESTMENT TECHNOLOGY	15,000	2,341		2,227	2,241	(14)	0	0	(14)	0	2,227	0	114	114	0		
85830-0-6	MSC IND DIRECT INC CL A COM		01/11/2021	INVESTMENT TECHNOLOGY	49,000	4,088		4,186	4,155	30	0	0	30	0	4,186	0	(117)	(117)	37		
85845-0-0	MTEL INC COMMON		01/11/2021	INVESTMENT TECHNOLOGY	6,000	2,729		755	2,679	(1,915)	0	0	(1,915)	0	755	0	1,944	1,944	0		
81103-0-8	MTEL INC COMMON		03/19/2021	INVESTMENT TECHNOLOGY	83,000	12,097		5,982	11,017	(5,030)	0	0	(5,030)	0	5,982	0	6,115	6,115	41		
85618-0-2	NATIONAL NESTS CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	29,000	1,062		994	1,111	(17)	0	0	(17)	0	994	0	68	68	0		
85071-0-1	NATIONAL OILFIELD SERVICES INC		01/04/2021	INVESTMENT TECHNOLOGY	48,000	12,224		12,224	6,700	5,524	0	0	5,524	0	12,224	0	0	0	0		
83818-0-1	NGL DEL GAS CO COM		01/11/2021	INVESTMENT TECHNOLOGY	54,000	2,456		2,400	2,303	97	0	0	97	0	2,400	0	36	36	26		
83885-0-8	NEO CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	52,000	2,688		908	2,104	(1,190)	0	0	(1,190)	0	908	0	1,420	1,420	0		
84110-0-2	NEO CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	174,000	1,422		74,810	11,526	(3,712)	0	0	(3,712)	0	74,810	0	4,412	4,412	84		
84801-20-1	NEO RESIDENTIAL INTL CORP COM NEW		03/19/2021	INVESTMENT TECHNOLOGY	998,000	6,827		5,908	5,328	5	0	0	5	0	5,908	0	673	673	83		
85011-0-7	NEO VERK TIMES CO CL A ISIN		01/11/2021	INVESTMENT TECHNOLOGY	115,000	5,487		5,632	5,954	(322)	0	0	(322)	0	5,632	0	(151)	(151)	7		
85102-0-6	NEP BRANDS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	86,000	1,889		1,772	1,628	(54)	0	0	(54)	0	1,772	0	227	227	0		
83028-0-9	NEPS CORP CL A		03/19/2021	VARIOUS	407,000	8,909		7,061	7,314	(252)	0	0	(252)	0	7,061	0	1,848	1,848	0		
83388-0-1	NEPTUN ENERGY INC COM		02/05/2021	VARIOUS	153,000	0,976		5,134	10,415	(5,281)	0	0	(5,281)	0	5,134	0	5,741	5,741	0		
85018-0-8	NEP VERK TIMES CO CL A ISIN		01/11/2021	INVESTMENT TECHNOLOGY	92,000	1,940		1,888	1,941	(53)	0	0	(53)	0	1,888	0	52	52	0		
85410-0-3	NINE INC CL B		01/11/2021	INVESTMENT TECHNOLOGY	52,000	7,813		2,907	7,356	(4,449)	0	0	(4,449)	0	2,907	0	4,706	4,706	0		
8473-0-5	NIXTRAE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	198,000	3,066		3,084	3,196	(81)	0	0	(81)	0	3,084	0	(70)	(70)	0		
83583-0-2	NIXTRAE CORP COM		02/05/2021	INVESTMENT TECHNOLOGY	57,000	0,724		11,389	9,244	(1,022)	0	0	(1,022)	0	11,389	0	(650)	(650)	0		
83584-0-0	NIXTRAE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	57,000	1,965		1,717	1,778	(62)	0	0	(62)	0	1,717	0	248	248	0		
83584-0-8	NIXTRAE SOUTH CORP COM		03/19/2021	GOLDMAN SACHS AND CO	33,000	1,804		6,900	12,355	(5,549)	0	0	(5,549)	0	6,900	0	6,900	6,900	42		
86021-0-4	NIXTRAE SOUTH CORP COM		02/05/2021	GOLDMAN SACHS AND CO	986,000	9,088		5,191	8,621	(429)	0	0	(429)	0	5,191	0	(105)	(105)	0		
86021-0-8	NIXTRAE LTD CO USD 01		01/11/2021	INVESTMENT TECHNOLOGY	13,000	2,182		786	2,250	(1,483)	0	0	(1,483)	0	786	0	1,425	1,425	0		
87001-0-0	NIXTRAE COMMUNICATIONS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	123,000	5,889		5,327	5,423	(96)	0	0	(96)	0	5,327	0	362	362	282		
87006-0-5	NIXTRAE CORP COM		02/05/2021	VARIOUS	596,000	31,242		26,967	31,189	(4,222)	0	0	(4,222)	0	26,967	0	4,274	4,274	0		
87003-0-7	NIXTRAE ELECTRIC RLC CO USD 01 VI		01/11/2021	INVESTMENT TECHNOLOGY	53,000	1,278		1,210	1,234	(24)	0	0	(24)	0	1,210	0	66	66	0		
87003-0-7	O BELLA ALUMINOTE INC		03/19/2021	GOLDMAN SACHS AND CO	22,000	1,078		4,619	9,957	(5,338)	0	0	(5,338)	0	4,619	0	6,120	6,120	0		
87489-0-5	OOD BENTAL PETROLEUM CORP		01/11/2021	INVESTMENT TECHNOLOGY	71,000	1,457		1,333	1,346	97	0	0	97	0	1,333	0	104	104	0		
87827-0-3	OGE ENERGY CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	49,000	1,527		1,439	1,561	(122)	0	0	(122)	0	1,439	0	98	98	20		

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CUSIP Identification	Description	Forfeiture Date	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Value Increase/Decrease	Current Year's (Amortization) Accrual	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol
679295-0-5	OKTA INC CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	30,000	2,811		519	2,343	(2,024)	0	0	(2,024)	0	519	0	1,882	1,882	0		
802023-0-4	GLD REP INTL CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	152,000	2,872		2,874	2,398	(122)	0	0	(122)	0	2,374	0	(3)	(3)	452		
801065-0-5	GLN CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	70,000	1,867		1,805	1,719	85	0	0	85	0	1,405	0	82	82	0		
801038-0-0	ORION HEALTHCARE HNG INC REIT		01/11/2021	INVESTMENT TECHNOLOGY	58,000	1,857		1,976	1,925	51	0	0	51	0	1,576	0	(119)	(119)	0		
801919-0-6	ORION HEALTHCARE HNG INC REIT		02/09/2021	VARIOUS	148,000	10,739		9,453	9,231	222	0	0	222	0	5,433	0	1,305	1,305	12		
802000-0-3	ORACLE CORP COM		01/11/2021	GOLDMAN, SACHS AND CO.	21,000	855		546	506	(290)	0	0	(290)	0	546	0	303	303	0		
802090-0-5	ORACLE CORP COM		02/09/2021	GOLDMAN, SACHS AND CO.	230,000	15,240		11,006	14,679	(3,272)	0	0	(3,272)	0	11,806	0	3,634	3,634	53		
800742-0-1	ORIS CORNING NEW COM STK		01/11/2021	INVESTMENT TECHNOLOGY	47,000	3,821		3,615	3,391	54	0	0	54	0	3,445	0	206	206	12		
800716-0-8	ORIS CORNING NEW COM STK		02/09/2021	GOLDMAN, SACHS AND CO.	128,000	12,186		9,059	11,044	(1,850)	0	0	(1,850)	0	9,699	0	3,109	3,109	106		
807435-0-5	ORIX ALTO NETWORKS INC COM USD 00		01/11/2021	INVESTMENT TECHNOLOGY	11,000	4,022		3,911	3,909	2	0	0	2	0	3,511	0	111	111	0		
200517-0-5	PARK HILLS & BERRYS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	103,000	1,146		1,795	1,786	(11)	0	0	(11)	0	1,355	0	(79)	(79)	0		
201004-0-4	PARK HILLS & BERRYS INC COM		02/09/2021	GOLDMAN, SACHS AND CO.	14,000	4,555		2,596	3,814	(1,280)	0	0	(1,280)	0	2,956	0	1,789	1,789	12		
200503-0-7	PRICER INC COM		02/09/2021	GOLDMAN, SACHS AND CO.	55,000	5,271		3,512	5,125	(1,613)	0	0	(1,613)	0	3,512	0	1,700	1,700	34		
204028-0-2	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	3,000	1,280		322	1,357	(1,030)	0	0	(1,030)	0	322	0	972	972	0		
203144-0-0	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	2,000	311		117	303	(187)	0	0	(187)	0	117	0	195	195	0		
213449-0-8	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	10,000	15,682		11,626	16,315	(4,463)	0	0	(4,463)	0	11,828	0	3,654	3,654	117		
097022-0-3	PRIMA SOFTWARE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	89,000	2,875		3,965	3,098	479	0	0	479	0	3,965	0	(911)	(911)	0		
803010-0-6	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	101,000	1,219		1,098	1,289	(181)	0	0	(181)	0	1,098	0	121	121	0		
228202-0-6	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	18,000	1,277		389	1,188	(797)	0	0	(797)	0	389	0	888	888	0		
223287-0-7	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	1,000	131		86	114	(28)	0	0	(28)	0	86	0	45	45	1		
803475-0-5	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	70,000	11,141		9,710	10,430	(720)	0	0	(720)	0	9,710	0	1,430	1,430	0		
222781-0-5	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	10,000	3,644		3,644	3,725	(81)	0	0	(81)	0	3,644	0	220	220	0		
803206-0-7	PRIMA SOFTWARE INC COM		02/09/2021	GOLDMAN, SACHS AND CO.	27,000	3,880		3,146	3,884	(748)	0	0	(748)	0	3,146	0	834	834	15		
803206-0-6	PRIMA SOFTWARE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	25,000	3,340		2,380	2,980	(700)	0	0	(700)	0	2,380	0	660	660	0		
202781-0-2	PRIMA SOFTWARE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	34,000	2,827		2,815	2,946	(130)	0	0	(130)	0	2,815	0	112	112	12		
202781-0-1	PRIMA SOFTWARE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	53,000	7,947		7,197	7,098	99	0	0	99	0	7,197	0	701	701	25		
202781-0-2	PRIMA SOFTWARE INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	129,000	1,791		8,321	6,400	(2,121)	0	0	(2,121)	0	8,321	0	(730)	(730)	72		
202781-0-3	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	120,000	16,390		14,201	16,697	(2,496)	0	0	(2,496)	0	14,201	0	2,399	2,399	0		
202781-0-4	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	9,000	849		405	890	(465)	0	0	(465)	0	405	0	445	445	41		
202781-0-5	PRIMA SOFTWARE INC COM		02/05/2021	VARIOUS	137,000	11,039		14,028	10,668	3,332	0	0	3,332	0	14,028	0	(2,970)	(2,970)	0		
803700-0-0	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	53,000	6,625		6,275	6,339	(65)	0	0	(65)	0	5,275	0	550	550	0		
204028-0-9	PRIMA SOFTWARE INC COM		02/09/2021	GOLDMAN, SACHS AND CO.	82,000	14,475		13,043	14,318	(1,275)	0	0	(1,275)	0	13,043	0	1,432	1,432	124		
204028-0-2	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	73,000	1,738		1,640	1,651	(10)	0	0	(10)	0	1,640	0	98	98	0		
803656-0-0	PRIMA SOFTWARE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	24,000	2,518		2,286	2,253	33	0	0	33	0	2,286	0	222	222	0		



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CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization) Accrual	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/ Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/ Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol	
747525-10-3	QUANTA SERVICES INC COM		02/19/2021	INVESTMENT TECHNOLOGY	153,000	25,417		12,141	20,402	(17,260)	0	0	(17,260)	0	12,141	0	13,275	322	122	4		
747825-10-2	QUEST DIAGONALIS INC COM		02/19/2021	GOLDMAN, SACHS AND CO	27,000	5,697		4,575	4,825	(1,220)	0	0	(220)	0	4,575	0	522	322	4			
748391-10-0	QUANTUM SERVICES INC COM		02/19/2021	GOLDMAN, SACHS AND CO	28,000	4,761		3,586	4,536	(890)	0	0	(890)	0	3,586	0	1,219	1,219	21			
749194-10-0	QUANTUM RETAIL INC		01/11/2021	INVESTMENT TECHNOLOGY	131,000	1,465		1,385	1,437	(52)	0	0	(52)	0	1,385	0	51	51	0			
75012-10-1	QUALI LABVIEW CORP CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	31,000	3,845		2,944	3,423	(480)	0	0	(480)	0	3,444	0	701	701	62			
75020-10-9	QUALITY JAMES REAL INC COM STR		02/19/2021	VARIOUS	205,000	24,288		18,651	15,212	(1,571)	0	0	(1,571)	0	18,651	0	5,717	5,717	82			
75027-10-3	QUALITY INC RET		01/11/2021	INVESTMENT TECHNOLOGY	106,000	3,242		3,261	3,114	167	0	0	167	0	3,261	0	(40)	(40)	36			
75029-10-2	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	GOLDMAN, SACHS AND CO	52,000	7,737		5,384	4,311	(1,050)	0	0	(1,050)	0	5,384	0	2,353	2,353	0			
75060-10-3	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	GOLDMAN, SACHS AND CO	5,000	829		915	290	86	0	0	86	0	475	0	(88)	(88)	24			
75061-10-0	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	GOLDMAN, SACHS AND CO	80,000	7,861		5,113	7,704	(2,589)	0	0	(2,589)	0	5,113	0	2,389	2,389	0			
75068-10-6	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	12,000	4,848		868	4,548	(3,679)	0	0	(3,679)	0	868	0	3,780	3,780	0			
75073-10-3	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	44,000	2,734		2,774	2,749	25	0	0	25	0	2,774	0	20	20	0			
75114-10-1	QUALITY REAL ESTATE HOLDINGS LTD COM		02/05/2021	GOLDMAN, SACHS AND CO	138,000	2,955		3,006	2,811	97	0	0	97	0	3,006	0	(13)	(13)	0			
75158-10-2	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	7,000	2,679		1,534	2,324	(1,800)	0	0	(1,800)	0	1,534	0	2,245	2,245	0			
75171-10-4	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	31,000	1,270		1,259	1,211	47	0	0	47	0	1,259	0	12	12	0			
75199-10-6	QUALITY REAL ESTATE HOLDINGS LTD COM		02/05/2021	GOLDMAN, SACHS AND CO	12,000	4,740		3,029	5,173	(2,074)	0	0	(2,074)	0	3,029	0	1,641	1,641	7			
75201-10-3	QUALITY REAL ESTATE HOLDINGS LTD COM		02/05/2021	GOLDMAN, SACHS AND CO	248,000	17,735		17,984	14,191	(4,67)	0	0	(4,67)	0	17,984	0	(288)	(288)	0			
75234-10-4	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	9,000	115		104	108	(5)	0	0	(5)	0	104	0	12	12	0			
75257-10-6	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	VARIOUS	1,182,000	30,194		47,516	25,803	21,713	0	0	21,713	0	47,516	0	(17,323)	(17,323)	119			
75258-10-5	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	VARIOUS	92,000	5,886		4,100	4,880	(780)	0	0	(780)	0	4,100	0	1,786	1,786	12			
75259-10-6	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	20,000	7,113		3,175	5,372	(3,197)	0	0	(3,197)	0	3,175	0	3,937	3,937	0			
75260-10-4	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	GOLDMAN, SACHS AND CO	48,000	6,362		5,941	5,292	(870)	0	0	(870)	0	5,941	0	4,245	4,245	51			
75261-10-3	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	INVESTMENT TECHNOLOGY	48,000	6,362		5,941	5,292	(870)	0	0	(870)	0	5,941	0	4,245	4,245	51			
75262-10-2	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	2,000	1,047		250	1,101	(851)	0	0	(851)	0	250	0	797	797	0			
75263-10-6	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	5,000	3,686		1,971	3,675	(1,703)	0	0	(1,703)	0	1,971	0	1,714	1,714	4			
75264-10-4	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	VARIOUS	1,221,000	31,533		24,526	137,000	(82)	0	0	(82)	0	24,526	0	7,007	7,007	4			
75265-10-3	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	GOLDMAN, SACHS AND CO	1,221,000	17,705		7,705	7,718	(73)	0	0	(73)	0	7,705	0	(219)	(219)	18			
75266-10-2	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	48,000	2,651		1,561	2,708	(466)	0	0	(466)	0	1,561	0	470	470	25			
75267-10-6	QUALITY REAL ESTATE HOLDINGS LTD COM		02/19/2021	INVESTMENT TECHNOLOGY	248,000	6,580		4,109	2,620	2	0	0	2	0	4,109	0	1,771	1,771	0			
75268-10-3	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	48,000	3,311		2,323	3,326	(1,003)	0	0	(1,003)	0	2,323	0	888	888	0			
75269-10-9	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	41,000	2,245		2,449	2,248	201	0	0	201	0	2,449	0	(104)	(104)	0			
75270-10-5	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	4,000	463		402	462	(60)	0	0	(60)	0	402	0	51	51	0			
75271-10-1	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	30,000	5,744		5,266	5,846	(82)	0	0	(82)	0	5,266	0	478	478	0			
75272-10-4	QUALITY REAL ESTATE HOLDINGS LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	2,000	714		293	538	(379)	0	0	(379)	0	293	0	445	445	0			

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1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/Decrease	Current Year's Amortization	Current Year's Other Than Temporary Impairment Recognized	Total Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and SVO Administrative Symbol
534170-10-5	SQUARINGS CORP CO		01/11/2021	INVESTMENT TECHNOLOGY	32,000	483		420	478	(50)	0	0	(50)	0	420	0	83	83	0		
534174-10-8	Southern Air Lines Co		02/19/2021	GOLDMAN, SACHS AND CO.	15,000	3,986		2,814	3,000	(215)	0	0	(215)	0	2,814	0	1,154	1,154	0		
L88011-10-2	SPOT FTR TECHNOLOGY S A COB BMO 02		01/11/2021	INVESTMENT TECHNOLOGY	6,000	2,075		877	1,898	(1,011)	0	0	(1,011)	0	877	0	1,98	1,98	0		
85224-10-3	SQUARE INC CL A		01/11/2021	VARIOUS	2,000	460		74	435	(81)	0	0	(81)	0	74	0	365	365	0		
79661-10-1	SSAC TECHNOLOGIES HLDS INC CO		02/05/2021	GOLDMAN, SACHS AND CO.	275,000	19,126		13,825	20,008	(6,181)	0	0	(6,181)	0	13,825	0	5,301	5,301	0		
85402-10-1	STANLEY BLK & DECKER INC CO		02/19/2021	GOLDMAN, SACHS AND CO.	34,000	6,667		5,962	6,071	(899)	0	0	(900)	0	5,962	0	1,125	1,125	0		
85534-10-9	STARBUCKS CORP CO		01/11/2021	INVESTMENT TECHNOLOGY	51,000	5,351		2,881	5,458	(2,575)	0	0	(2,575)	0	2,881	0	2,471	2,471	0		
85578-10-5	STARBUCKS PREPARED TRST INC CO RE		02/19/2021	GOLDMAN, SACHS AND CO.	158,000	3,930		3,065	3,005	35	0	0	36	0	3,065	0	865	865	0		
88319-10-0	STEEL DYNAMIS INC CO		01/11/2021	INVESTMENT TECHNOLOGY	153,000	6,142		5,525	5,641	(119)	0	0	(119)	0	5,525	0	2,382	2,382	0		
88319-10-0	STERS PLC 090		02/19/2021	GOLDMAN, SACHS AND CO.	5,000	3,960		6,897	3,661	(2,100)	0	0	(2,100)	0	6,897	0	2,382	2,382	0		
89539-10-6	STENCO LTD CO CLASS A		01/11/2021	INVESTMENT TECHNOLOGY	9,000	717		341	755	(414)	0	0	(414)	0	341	0	376	376	0		
89212-10-0	STRECK CAPITAL CORPORATION CO LD0		01/11/2021	GOLDMAN, SACHS AND CO.	45,000	1,282		1,447	1,529	(82)	0	0	(82)	0	1,447	0	(60)	(60)	0		
89674-10-4	SUN OILMILLER INC CO		01/11/2021	GOLDMAN, SACHS AND CO.	28,000	4,201		2,672	4,407	(1,735)	0	0	(1,735)	0	2,672	0	1,529	1,529	0		
79860-10-1	SUN FINANCIAL GROUP COMMON STOCK		01/11/2021	INVESTMENT TECHNOLOGY	2,000	361		716	778	(60)	0	0	(60)	0	716	0	145	145	0		
87624-10-2	SUNBELT HEALTH INC CO		02/05/2021	GOLDMAN, SACHS AND CO.	38,000	2,971		2,184	2,657	(473)	0	0	(473)	0	2,184	0	787	787	0		
87624-10-0	SUNBELT CORP CO STK		01/11/2021	INVESTMENT TECHNOLOGY	27,000	2,338		123	2,189	(2,079)	0	0	(2,079)	0	123	0	2,212	2,212	0		
74141-10-8	T BONE PRICE GROUP INC		01/11/2021	INVESTMENT TECHNOLOGY	35,000	5,626		3,324	5,298	(1,924)	0	0	(1,924)	0	3,324	0	2,102	2,102	0		
87290-10-4	TABULE IS INC CO		02/19/2021	GOLDMAN, SACHS AND CO.	106,000	13,040		5,925	14,199	(6,259)	0	0	(6,259)	0	5,925	0	7,115	7,115	0		
87464-10-9	TACENTRO INTERACTIVE SOFTWARE INC		01/11/2021	INVESTMENT TECHNOLOGY	15,000	3,114		3,051	3,117	(66)	0	0	(66)	0	3,051	0	64	64	0		
87603-10-7	TANESTRI INC CO LD0 01		01/11/2021	INVESTMENT TECHNOLOGY	38,000	1,309		492	1,181	(889)	0	0	(889)	0	492	0	817	817	0		
87624-10-1	TANESBES CORP CO		01/11/2021	INVESTMENT TECHNOLOGY	52,000	1,514		863	1,572	(709)	0	0	(709)	0	863	0	851	851	0		
87624-10-6	TARGET CORP CO STK		01/11/2021	INVESTMENT TECHNOLOGY	11,000	2,165		649	1,342	(1,290)	0	0	(1,290)	0	649	0	1,516	1,516	0		
87918-10-5	TELECOM HEALTH INC		01/11/2021	INVESTMENT TECHNOLOGY	2,000	447		387	400	(13)	0	0	(13)	0	387	0	50	50	0		
87989-10-6	TELECOM CORP CO		02/19/2021	GOLDMAN, SACHS AND CO.	10,000	4,011		2,574	4,116	(1,542)	0	0	(1,542)	0	2,574	0	1,437	1,437	0		
88070-10-2	TELECOM INC CO		01/11/2021	INVESTMENT TECHNOLOGY	30,000	4,038		3,618	3,597	21	0	0	21	0	3,618	0	420	420	0		
87269-10-7	THE FINL CORP CO STK		01/11/2021	INVESTMENT TECHNOLOGY	30,000	611		510	592	(72)	0	0	(72)	0	510	0	101	101	0		
88383-10-5	THE TRICE EXH INC CL A COB CL		01/11/2021	INVESTMENT TECHNOLOGY	2,000	1,579		1,903	1,822	301	0	0	301	0	1,903	0	(234)	(234)	0		
89519-10-1	THOR INC INC CO STK		01/11/2021	INVESTMENT TECHNOLOGY	19,000	1,861		1,817	1,797	50	0	0	50	0	1,817	0	64	64	0		
89647-10-6	THURMAN CO CO		01/07/2021	VARIOUS	15,000	8,223		11,634	15,117	(3,822)	0	0	(3,822)	0	11,634	0	3,488	3,488	0		
89192-10-6	TORO CO CO		02/19/2021	VARIOUS	82,000	6,297		5,042	7,777	(2,735)	0	0	(2,735)	0	5,042	0	3,255	3,255	0		
89259-10-6	TRACTOR SUPPLY CO CO		01/11/2021	INVESTMENT TECHNOLOGY	9,000	1,382		1,243	1,285	(22)	0	0	(22)	0	1,243	0	109	109	0		
89827-10-6	TRIMBER MFG INC CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	20,000	1,864		1,789	1,811	(22)	0	0	(22)	0	1,789	0	95	95	0		
89803-10-7	TRIMBER MFG INC CL A CL A		02/19/2021	GOLDMAN, SACHS AND CO.	55,000	4,674		5,483	5,457	26	0	0	26	0	5,483	0	(60)	(60)	0		

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.

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1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
CUSIP Identification	Description	Forfeiture Date	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consolidation	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Value/Increase/Decrease	Current Year's (Amortization) Accrual	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Value as of Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and NAIC Administrative Symbol
88281F-0-5	TRICO INC COM		01/11/2021	INVESTMENT TECHNOLOGY	29,000	2,897		1,842	2,428	(586)	0	0	(999)	0	1,842	0	794	794	0		
88283F-0-0	TRIMBLE INC COM TRIMBLE INC		01/11/2021	INVESTMENT TECHNOLOGY	10,000	727		405	688	(820)	0	0	(282)	0	405	0	222	222	0		
91191F-0-2	TULLO INC CL A CL A		01/11/2021	INVESTMENT TECHNOLOGY	2,000	723		111	677	(567)	0	0	(967)	0	111	0	613	613	0		
90202F-0-5	TULSA TECHNOLOGIES INC COM STK		01/11/2021	INVESTMENT TECHNOLOGY	5,000	2,161		873	2,183	(1,310)	0	0	(1,310)	0	873	0	1,288	1,288	0		
90204F-0-3	TRIM FIELDS INC CL A COM (ELAWM)		03/19/2021	VARIOUS	81,000	6,309		5,976	5,348	628	0	0	628	0	5,976	0	333	333	0		
90205F-0-4	UFI Inc Com		01/11/2021	INVESTMENT TECHNOLOGY	51,000	2,250		2,579	2,344	234	0	0	234	0	2,579	0	(329)	(329)	0		
90208F-0-5	UFI CORP NEW COM		01/11/2021	INVESTMENT TECHNOLOGY	81,000	3,313		2,812	3,251	(439)	0	0	(439)	0	2,812	0	301	301	0		
90209F-0-3	ULTA BEAUTY INC		01/11/2021	INVESTMENT TECHNOLOGY	2,000	582		537	574	(37)	0	0	(37)	0	537	0	45	45	0		
90431F-0-7	UNION FARM INC CL A		01/11/2021	INVESTMENT TECHNOLOGY	201,000	3,954		3,491	3,451	40	0	0	40	0	3,491	0	53	53	0		
91004F-0-9	UNITED COML HOSR INC COM STK		02/05/2021	VARIOUS	410,000	17,483		14,478	17,735	(3,256)	0	0	(3,256)	0	14,478	0	2,885	2,885	0		
91193F-0-9	UNITED RENTALS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	28,000	7,242		6,371	6,483	(1,122)	0	0	(1,122)	0	6,371	0	871	871	0		
91197F-0-2	UNITED TECHNOLOGIES CORP DEL COM S		02/05/2021	GOLDMAN, SACHS AND CO.	18,000	3,030		2,200	2,732	(533)	0	0	(533)	0	2,200	0	831	831	0		
91830F-0-1	UNIT, SERVICE INC COM		01/11/2021	INVESTMENT TECHNOLOGY	80,000	9,653		10,886	10,898	(22)	0	0	(22)	0	10,886	0	(1,233)	(1,233)	0		
91831F-0-6	UNIT GROUP		01/19/2021	GOLDMAN, SACHS AND CO.	468,000	2,156		2,572	2,572	417	0	0	417	0	2,572	0	2,658	2,658	0		
90207F-0-4	US BANCORP		03/19/2021	GOLDMAN, SACHS AND CO.	95,000	5,135		5,103	4,333	770	0	0	770	0	5,103	0	32	32	0		
91800F-0-8	V F CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	13,000	1,138		831	1,110	(279)	0	0	(279)	0	831	0	305	305	0		
91913F-0-0	Valent Energy Corp New Com		01/11/2021	GROUP INC.	5,000	24		287	283	104	0	0	104	0	287	0	(94)	(94)	0		
92075F-0-8	VERVA SYS INC CL A COM CL A COM		03/19/2021	GOLDMAN, SACHS AND CO.	38,000	10,152		2,331	10,518	(6,227)	0	0	(6,227)	0	2,331	0	772	772	0		
92076F-0-2	VERVA INC DELT		02/05/2021	GOLDMAN, SACHS AND CO.	278,000	13,484		11,655	13,853	(1,998)	0	0	(1,998)	0	11,655	0	1,819	1,819	0		
92078F-0-2	VERISGRIP Inc Com		02/05/2021	GOLDMAN, SACHS AND CO.	107,000	21,402		18,282	19,280	(1,000)	0	0	(1,000)	0	18,282	0	3,128	3,128	0		
92081F-0-6	VERISK ANALYTICS INC		03/19/2021	GOLDMAN, SACHS AND CO.	86,000	11,823		8,192	9,418	(1,226)	0	0	(1,226)	0	8,192	0	5,738	5,738	17		
92084F-0-4	Verizon Communications		01/11/2021	INVESTMENT TECHNOLOGY	235,000	13,444		11,999	13,936	(1,937)	0	0	(1,937)	0	11,999	0	1,465	1,465	0		
92085F-0-0	VERVE PHARMACEUTICALS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	7,000	1,827		1,042	1,654	(612)	0	0	(612)	0	1,042	0	565	565	0		
92087H-0-8	VENTIV HOLDINGS LLC		01/11/2021	INVESTMENT TECHNOLOGY	71,000	1,288		871	1,328	(454)	0	0	(454)	0	871	0	417	417	0		
92089H-0-8	VIZIONERS INC NY		01/11/2021	INVESTMENT TECHNOLOGY	20,000	2,629		1,173	1,935	(800)	0	0	(800)	0	1,173	0	398	398	15		
92091F-0-6	VIVANTIS INC		02/05/2021	VARIOUS	3,320,000	38,945		35,930	32,217	(3,687)	0	0	(3,687)	0	35,930	0	(83)	(83)	0		
92092F-0-9	VICI PRPS INC COM		01/11/2021	GROUP INC	10,000	254		258	255	3	0	0	3	0	258	0	(4)	(4)	0		
92093F-0-9	VISA INC COM CL A STK		01/11/2021	INVESTMENT TECHNOLOGY	81,000	17,265		9,081	17,717	(6,637)	0	0	(6,637)	0	9,081	0	8,294	8,294	0		
92094H-0-2	VIRBA ENERGY CORP COM		01/11/2021	INVESTMENT TECHNOLOGY	85,000	1,788		1,541	1,671	(130)	0	0	(130)	0	1,541	0	245	245	0		
92095F-0-2	VIVANT INC CL A COM CL A COM		03/19/2021	GOLDMAN, SACHS AND CO.	26,000	3,796		2,827	3,647	(820)	0	0	(820)	0	2,827	0	999	999	0		
92097F-0-9	VIVENDI PLT TH COM		03/19/2021	GOLDMAN, SACHS AND CO.	96,000	4,615		3,517	3,585	(67)	0	0	(67)	0	3,517	0	1,097	1,097	51		
92098F-0-9	VIZ CARP INC COM		01/11/2021	INVESTMENT TECHNOLOGY	20,000	2,129		2,241	2,299	(19)	0	0	(19)	0	2,241	0	(12)	(12)	0		
92097H-0-9	VIBRIS CORP COM		03/19/2021	VARIOUS	50,000	6,831		6,803	5,550	1,281	0	0	1,281	0	6,803	0	122	122	0		

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	
CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation (Increase/Decrease)	Current Year's (Amortization) Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and NAIC Symbol	
81142-0-3	WALMART STORES INC COM		01/11/2021	INVESTMENT TECHNOLOGY	111,000	16,578		7,505	16,001	(6,460)	0	0	(6,460)	0	7,505	0	8,673	8,673	55			
80127-0-8	WALGREEN BOOT ALLIANCE INC COM		03/19/2021	GOLDMAN, SACHS AND CO.	113,000	3,877		4,039	4,336	467	0	0	467	0	4,039	0	1,618	1,618	53			
28697-0-6	WALTON WAREHOUSE TRUST		03/19/2021	VANGUARD TECHNOLOGY	156,000	28,830		53,697	28,284	(72,397)	0	0	(72,397)	0	53,697	0	13,183	13,183	0			
94105-0-9	Wells Management Inc Com		01/11/2021	GROUP INC	60,000	7,049		3,242	7,075	(3,834)	0	0	(3,834)	0	3,242	0	3,927	3,927	0			
82034-0-6	WELLS FARGO & CO		02/19/2021	GOLDMAN, SACHS AND CO.	50,000	4,441		3,403	4,302	(1,199)	0	0	(1,199)	0	3,403	0	1,038	1,038	34			
98216-0-1	WEST BERNSTEIN GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY	118,000	3,804		2,996	3,951	(659)	0	0	(659)	0	2,996	0	977	977	0			
85936-0-5	WEST PHARMACEUTICALS INC COM		02/19/2021	GOLDMAN, SACHS AND CO.	13,000	3,803		1,579	3,883	(2,104)	0	0	(2,104)	0	1,579	0	2,024	2,024	2			
88102-0-5	WESTER DIGITAL CORP COM		01/11/2021	GROUP INC	2,000	104		73	111	(38)	0	0	(38)	0	73	0	31	31	0			
86216-0-4	WESTER GROUP INC COM		01/11/2021	INVESTMENT TECHNOLOGY	63,000	2,890		2,247	2,121	(1,180)	0	0	(1,180)	0	2,247	0	(150)	(150)	0			
88267-0-2	WILLIAMS SONOMA INC COM		01/11/2021	GOLDMAN, SACHS AND CO.	80,000	2,354		1,545	1,850	(40)	0	0	(40)	0	1,545	0	189	189	0			
88304-0-1	WILLIAMS SONS INC COM		01/11/2021	INVESTMENT TECHNOLOGY	12,000	1,351		1,316	1,222	84	0	0	84	0	1,316	0	35	35	0			
89628-0-3	WILLIAMS TOWERS WATSON PLC		01/11/2021	GROUP INC	21,000	4,263		3,395	4,424	(1,029)	0	0	(1,029)	0	3,395	0	885	885	15			
88105-0-3	WINDSTAR GROUP INC COM		02/19/2021	VANGUARD	46,000	5,688		5,471	5,990	(119)	0	0	(119)	0	5,471	0	57	57	5			
88104-0-7	WINN-DIXIE STORES LTD COM		01/11/2021	INVESTMENT TECHNOLOGY	21,000	2,282		2,425	2,399	26	0	0	26	0	2,425	0	(172)	(172)	346			
88266-0-0	WIND ENERGY INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	1,000,000	87,801		81,533	53,053	(6,222)	0	0	(6,222)	0	81,533	0	3,785	3,785	0			
88319-0-1	WILL INC INC COM		01/11/2021	INVESTMENT TECHNOLOGY	5,000	770		371	709	(338)	0	0	(338)	0	371	0	399	399	0			
88319-0-0	WORLD LOGISTICS INC COM		01/11/2021	GROUP INC	32,000	4,077		3,812	3,814	2	0	0	2	0	3,812	0	196	196	0			
88419-0-0	WYLLER INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	270,000	26,407		17,756	27,483	(9,748)	0	0	(9,748)	0	17,756	0	8,672	8,672	0			
88808-0-1	Van Brands Inc		01/11/2021	INVESTMENT TECHNOLOGY	111,000	11,961		7,593	12,050	(4,467)	0	0	(4,467)	0	7,593	0	4,378	4,378	0			
88808-0-9	VAN OHAN HOLDING INC COM		01/11/2021	INVESTMENT TECHNOLOGY	34,000	2,034		1,404	1,941	(537)	0	0	(537)	0	1,404	0	629	629	0			
88807-0-5	VANUSA TECHNOLOGIES CORP CL A		01/11/2021	GROUP INC	1,000	414		115	394	(280)	0	0	(280)	0	115	0	298	298	0			
88864-0-1	VEREX INC COM		01/11/2021	INVESTMENT TECHNOLOGY	6,000	907		329	659	(330)	0	0	(330)	0	329	0	576	576	0			
88844-0-1	ZILLEN GROUP INC COM USD 0001		01/11/2021	INVESTMENT TECHNOLOGY	71,000	10,790		9,951	9,682	299	0	0	299	0	9,951	0	809	809	0			
88878-0-3	ZIMMER INC COM		01/11/2021	INVESTMENT TECHNOLOGY	107,000	18,198		7,516	17,709	(40,192)	0	0	(40,192)	0	7,516	0	10,650	10,650	0			
88880-0-2	ZSCALER INC COM		01/11/2021	INVESTMENT TECHNOLOGY	11,000	2,229		843	2,197	(1,354)	0	0	(1,354)	0	843	0	1,386	1,386	0			
88865-0-8	ZURA INC		01/11/2021	GROUP INC	58,000	590		577	572	4	0	0	4	0	577	0	(16)	(16)	0			
88820-0-3	ZENITH ENERGY INC COM		03/19/2021	GOLDMAN, SACHS AND CO.	13,336	13,296		10,316	0	3,480	0	0	3,480	0	10,316	0	3,480	3,480	0			
88806-0-6	ZEPHIRUS ENERGY CORP COM		03/19/2021	GOLDMAN, SACHS AND CO.	152,000	5,516		4,594	0	922	0	0	922	0	4,594	0	1,488	1,488	53			
88807-0-7	LIBERTY BRANDING CORP COM SER A C		02/05/2021	GOLDMAN, SACHS AND CO.	74,000	9,811		4,584	0	(5,227)	0	0	(5,227)	0	4,584	0	(5,811)	(5,811)	0			
88854-0-3	HYUNDAI MOBILITY AMERICA INC COM		02/05/2021	GOLDMAN, SACHS AND CO.	845,000	8,751		14,603	0	0	0	0	0	0	14,603	0	465	465	0			
88817-0-6	PRP CORP COM USD 000111001		03/19/2021	GOLDMAN, SACHS AND CO.	140,000	3,497		4,788	0	0	0	0	0	0	4,788	0	(271)	(271)	0			
88881-0-1	STANTEC INC COM		03/19/2021	GOLDMAN, SACHS AND CO.	140,000	3,651		2,834	3,293	(659)	0	0	(659)	0	2,834	0	616	616	0			
88899-999	Total - Common Stocks - Industrial and Miscellaneous (Unaffiliated) Publicly Traded					3,651,484	XXX	2,834,833	3,293,872	(659,261)	0	0	(659,261)	0	2,834,833	0	616,659	616,659	7,393		XXX	XXX

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Book/Adjusted Carrying Value (1 + 12 - 13)	Total Foreign Exchange in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation
97999998	Total - Common Stocks - Part 5					3,651,444	XXX	2,834,833	3,282,872	(689,281)	0	0	(689,281)	0	2,834,833	0	816,659	816,659	7,383	XXX	XXX
98999999	Total - Preferred and Common Stocks					4,004,619	XXX	3,213,570	3,968,299	(692,281)	(27)	0	(692,281)	0	3,213,543	0	791,098	791,098	11,396	XXX	XXX
99999999	Totals					9,207,293	XXX	8,578,178	8,177,299	(692,281)	(970)	0	(692,281)	0	8,246,492	0	946,679	946,679	94,289	XXX	XXX

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE DB - PART A - SECTION 1**

Showing all Options, Caps, Floors, Collars, Swaps and Forwards Open as of Current Statement Date

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s)	Exchange, Counterparty or Central Clearinghouse	Trade Date	Date of Maturity or Expiration	Number of Contracts	Notional Amount	Strike Price, Rate or Index (Received)	Cumulative Prior Year(s) Initial Cost of Un-Discounted Premium (Received)	Current Year Initial Cost of Un-Discounted Premium (Received)	Current Year Income	Book/ Adjusted Carrying Value	Code	Fair Value	Unrealized Valuation Increase/ (Decrease)	Total Foreign Exchange Change in B./A.C.V.	Current Year's (Amortization)/ Accretion	Adjustment to Carrying Value of Hedged Item	Potential Exposure	Credit Quality of Reference Entity	Hedge Effectiveness at Inception and at Quarter-end
0749999999	Subtotal - Purchased Options - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0219999999	Subtotal - Purchased Options - Hedging Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0289999999	Subtotal - Purchased Options - Replications									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0359999999	Subtotal - Purchased Options - Income Generation									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0439999999	Total Purchased Options - Call Options and Warrants									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0449999999	Total Purchased Options - Put Options									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0459999999	Total Purchased Options - Caps									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0469999999	Total Purchased Options - Floors									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0479999999	Total Purchased Options - Collars									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0489999999	Total Purchased Options - Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0499999999	Total Purchased Options									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0699999999	Subtotal - Written Options - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0709999999	Subtotal - Written Options - Hedging Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0719999999	Subtotal - Written Options - Replications									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0729999999	Subtotal - Written Options - Income Generation									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0819999999	Total Written Options - Call Options and Warrants									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0829999999	Total Written Options - Put Options									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0839999999	Total Written Options - Caps									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0849999999	Total Written Options - Floors									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0859999999	Total Written Options - Collars									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0869999999	Total Written Options - Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0879999999	Total Written Options									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1049999999	Subtotal - Swaps - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1109999999	Subtotal - Swaps - Hedging Effective Variable Annuity Guarantees Under SSAP No.108									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1169999999	Subtotal - Swaps - Hedging Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1229999999	Subtotal - Swaps - Income Generation									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1289999999	Subtotal - Swaps - Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1349999999	Total Swaps - Interest Rate									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1359999999	Total Swaps - Credit Default									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1379999999	Total Swaps - Foreign Exchange									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1389999999	Total Swaps - Total Return									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1399999999	Total Swaps - Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1409999999	Total Swaps									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1479999999	Subtotal - Forwards									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1599999999	Subtotal - SSAP No. 108 Adjustments									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1689999999	Subtotal - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1699999999	Subtotal - Hedging Effective Variable Annuity Guarantees Under SSAP No.108									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1709999999	Subtotal - Hedging Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1719999999	Subtotal - Income Generation									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1729999999	Subtotal - Other									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1739999999	Subtotal - Adjustments for SSAP No. 108 Derivatives									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1749999999	Subtotal - Totals									0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.

(a) Code	Description of Hedged Risk(s)
(b) Code	Financial or Economic Impact of the Hedge at the End of the Reporting Period

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 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

**NONE**

Schedule DB - Part E - Derivatives Hedging Variable Annuity Guarantees

**NONE**

Schedule DL - Part 1 - Reinvested Collateral Assets Owned

**NONE**

Schedule DL - Part 2 - Reinvested Collateral Assets Owned

**NONE**



STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.

**SCHEDULE E - PART 1 - CASH**

Month End Depository Balances

1 Depository	2 Code	3 Rate of Interest	4 Amount of Interest Received During Current Quarter	5 Amount of Interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9 *
					6 First Month	7 Second Month	8 Third Month	
JP Morgan Chase Bank, N.A. - Dean TPA Trust ..... Madison, WI .....		..0.000	.....0		526,659	686,273	836,874	XXX
JP Morgan Chase Bank, N.A. - Money Market Demand ..... Madison, WI .....		..0.010	.....8,318		93,877,270	93,879,664	93,880,450	XXX
JP Morgan Chase Bank, N.A. - Operating ..... Madison, WI .....		..0.050	.....6,432		87,245,159	84,866,430	98,425,198	XXX
JP Morgan Chase Bank, N.A. - Operating Export ..... Madison, WI .....		..0.000	.....0		3,332,228	4,183,597	9,002,807	XXX
0199998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX						XXX
0199999. Totals - Open Depositories	XXX	XXX	14,750	0	184,981,316	183,615,964	202,145,329	XXX
0299998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Suspended Depositories	XXX	XXX						XXX
0299999. Totals - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0399999. Total Cash on Deposit	XXX	XXX	14,750	0	184,981,316	183,615,964	202,145,329	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX	200	200	200	XXX
0599999. Total - Cash	XXX	XXX	14,750	0	184,981,516	183,616,164	202,145,529	XXX

STATEMENT AS OF MARCH 31, 2021 OF THE Dean Health Plan, Inc.  
**SCHEDULE E - PART 2 - CASH EQUIVALENTS**  
 Show Investments Owned End of Current Quarter

1	2	3	4	5	6	7	8	9
CUSIP	Description	Code	Date Acquired	Rate of Interest	Maturity Date	Book/Adjusted Carrying Value	Amount of Interest Due and Accrued	Amount Received During Year
05699999	Total - U.S. Government Bonds					0	0	0
10999999	Total - All Other Government Bonds					0	0	0
17999999	Total - U.S. States, Territories and Possessions Bonds					0	0	0
24999999	Total - U.S. Political Subdivisions Bonds					0	0	0
31999999	Total - U.S. Special Revenues Bonds					0	0	0
38999999	Total - Industrial and Miscellaneous Unaffiliated Bonds					0	0	0
48999999	Total - Hybrid Securities					0	0	0
55999999	Total - Parent Subsidiaries and Affiliates Bonds					0	0	0
60999999	Subtotal - SVO Identified Funds					0	0	0
65999999	Subtotal - Unaffiliated Bank Loans					0	0	0
76999999	Total - Issuer Obligations					0	0	0
77999999	Total - Residential Mortgage-Backed Securities					0	0	0
78999999	Total - Commercial Mortgage-Backed Securities					0	0	0
79999999	Total - Other Loan-Backed and Structured Securities					0	0	0
80999999	Total - SVO Identified Funds					0	0	0
81999999	Total - Affiliated Bank Loans					0	0	0
82999999	Total - Unaffiliated Bank Loans					0	0	0
83999999	Total Bonds					0	0	0
86231413	HYPERION MGT TRUST-REPLER SHARES		03/31/2021	0.000		1,807.72	0	1,807.72
85999999	Subtotal - Except Money Market Mutual Funds - as Identified by the SVO					1,807.72	0	1,807.72
99999999	Total Cash Equivalents					1,807.72	0	1,807.72