

**QUARTERLY STATEMENT  
OF THE  
True Health New Mexico, Inc.**

**of  
Albuquerque  
in the state of  
New Mexico**

**TO THE  
Insurance Department  
OF THE STATE OF  
New Mexico**

**FOR THE QUARTER ENDED  
SEPTEMBER 30, 2019**

**2019**



**QUARTERLY STATEMENT  
AS OF SEPTEMBER 30, 2019  
OF THE CONDITION AND AFFAIRS OF THE  
True Health New Mexico, Inc.**

NAIC Group Code 0000 , 0000 NAIC Company Code 16281 Employer's ID Number 82-2885824  
(Current Period) (Prior Period)

Organized under the Laws of New Mexico , State of Domicile or Port of Entry NM

Country of Domicile United States of America

Licensed as business type: Life, Accident & Health[ ] Property/Casualty[ ] Hospital, Medical & Dental Service or Indemnity[ ]  
Dental Service Corporation[ ] Vision Service Corporation[ ] Health Maintenance Organization[X]  
Other[ ] Is HMO Federally Qualified? Yes[ ] No[ ] N/A[X]

Incorporated/Organized 09/22/2017 Commenced Business 01/01/2018

Statutory Home Office 2440 Louisiana Blvd NE Suite 601 , Albuquerque, NM, US 87110  
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 2440 Louisiana Blvd NE Suite 601  
(Street and Number)  
Albuquerque, NM, US 87110 (505)633-8020  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address 2440 Louisiana Blvd NE Suite 601 , Albuquerque, NM, US 87110  
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 2440 Louisiana Blvd NE Suite 601  
(Street and Number)  
Albuquerque, NM, US 87110 (505)633-8020  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Web Site Address www.truehealthnewmexico.com

Statutory Statement Contact Greg Theobald (505)633-8020  
(Name) (Area Code)(Telephone Number)(Extension)  
GTheobald@TruehealthNewMexico.com (866)231-1344  
(E-Mail Address) (Fax Number)

**OFFICERS**

Name	Title	
Martin Hickey	Senior Vice President, Executive	#
Francis Torres	Chief Medical Officer	#
Anne Brennan Sapon	Chief Operations Officer	
Mark Epstein	President	#
Todd Pilger	Chief Financial Officer	
Myja Peterson	Chief Business Intelligence Officer	#

**OTHERS**

**DIRECTORS OR TRUSTEES**

Michael DeWitte	Douglas Brown
Jonathan Weinberg	Nicky McGrane
Seth Blakely	Aaron Molitor
Ken Wood	

State of New Mexico  
County of Bernalillo ss

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

_____ (Signature) Martin Hickey _____ (Printed Name) 1. Senior Vice President, Executive _____ (Title)	_____ (Signature) Todd Pilger _____ (Printed Name) 2. Chief Financial Officer _____ (Title)	_____ (Signature) Mark Epstein _____ (Printed Name) 3. President _____ (Title)
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Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 2019

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

Yes[X] No[ ]  
0

0

\_\_\_\_\_  
(Notary Public Signature)

**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 .....	16,228,260	0	16,228,260	10,695,499
2. Stocks:				
2.1 Preferred stocks .....	0	0	0	0
2.2 Common stocks .....	0	0	0	0
3. Mortgage loans on real estate:				
3.1 First liens .....	0	0	0	0
3.2 Other than first liens .....	0	0	0	0
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances) .....	0	0	0	0
4.2 Properties held for the production of income (less \$.....0 encumbrances) .....	0	0	0	0
4.3 Properties held for sale (less \$.....0 encumbrances) .....	0	0	0	0
5. Cash (\$.....17,079,718), cash equivalents (\$.....2,886,265) and short-term investments (\$.....1,994,261) .....	21,960,244	0	21,960,244	28,378,078
6. Contract loans (including \$.....0 premium notes) .....	0	0	0	0
7. Derivatives .....	0	0	0	0
8. Other invested assets .....	0	0	0	0
9. Receivables for securities .....	0	0	0	0
10. Securities lending reinvested collateral assets .....	0	0	0	0
11. Aggregate write-ins for invested assets .....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	38,188,504	0	38,188,504	39,073,577
13. Title plants less \$.....0 charged off (for Title insurers only) .....	0	0	0	0
14. Investment income due and accrued .....	89,242	0	89,242	52,848
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	23,442,673	10,545	23,432,128	25,484,829
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums) .....	0	0	0	0
15.3 Accrued retrospective premiums (\$.....0) and contracts subject to redetermination (\$.....0) .....	0	0	0	0
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	222,686	0	222,686	326,358
16.2 Funds held by or deposited with reinsured companies .....	0	0	0	0
16.3 Other amounts receivable under reinsurance contracts .....	0	0	0	0
17. Amounts receivable relating to uninsured plans .....	0	0	0	0
18.1 Current federal and foreign income tax recoverable and interest thereon .....	189,390	0	189,390	0
18.2 Net deferred tax asset .....	15,915	0	15,915	15,915
19. Guaranty funds receivable or on deposit .....	0	0	0	0
20. Electronic data processing equipment and software .....	0	0	0	0
21. Furniture and equipment, including health care delivery assets (\$.....0) .....	0	0	0	0
22. Net adjustments in assets and liabilities due to foreign exchange rates .....	0	0	0	0
23. Receivables from parent, subsidiaries and affiliates .....	0	0	0	105,053
24. Health care (\$.....720,050) and other amounts receivable .....	720,050	0	720,050	775,659
25. Aggregate write-ins for other-than-invested assets .....	9,867,361	8,829,934	1,037,428	0
26. TOTAL assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	72,735,821	8,840,479	63,895,342	65,834,239
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0	0
28. TOTAL (Lines 26 and 27) .....	72,735,821	8,840,479	63,895,342	65,834,239
<b>DETAILS OF WRITE-INS</b>				
1101. ....	0	0	0	0
1102. ....	0	0	0	0
1103. ....	0	0	0	0
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. Goodwill .....	4,706,603	4,706,603	0	0
2502. Intangible Assets .....	3,867,500	3,867,500	0	0
2503. Miscellaneous Receivables .....	16,969	16,969	0	0
2598. Summary of remaining write-ins for Line 25 from overflow page .....	1,276,289	238,861	1,037,428	0
2599. TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....	9,867,361	8,829,934	1,037,428	0

**LIABILITIES, CAPITAL AND SURPLUS**

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$.....0 reinsurance ceded) .....	31,180,529	0	31,180,529	31,056,979
2. Accrued medical incentive pool and bonus amounts .....	0	0	0	0
3. Unpaid claims adjustment expenses .....	298,784	0	298,784	4,637,026
4. Aggregate health policy reserves, including the liability of \$.....0 for medical loss ratio rebate per the Public Health Service Act .....	2,225,259	0	2,225,259	4,080,812
5. Aggregate life policy reserves .....	0	0	0	0
6. Property/casualty unearned premium reserve .....	0	0	0	0
7. Aggregate health claim reserves .....	0	0	0	0
8. Premiums received in advance .....	2,120,356	0	2,120,356	1,032,655
9. General expenses due or accrued .....	829,853	0	829,853	2,325,027
10.1 Current federal and foreign income tax payable and interest thereon (including \$.....0 on realized gains (losses)) .....	0	0	0	389,442
10.2 Net deferred tax liability .....	0	0	0	0
11. Ceded reinsurance premiums payable .....	0	0	0	0
12. Amounts withheld or retained for the account of others .....	0	0	0	0
13. Remittances and items not allocated .....	0	0	0	0
14. Borrowed money (including \$.....0 current) and interest thereon \$.....0 (including \$.....0 current) .....	0	0	0	0
15. Amounts due to parent, subsidiaries and affiliates .....	2,989,419	0	2,989,419	0
16. Derivatives .....	0	0	0	0
17. Payable for securities .....	0	0	0	0
18. Payable for securities lending .....	0	0	0	0
19. Funds held under reinsurance treaties with (\$.....0 authorized reinsurers, \$.....0 unauthorized reinsurers and \$.....0 certified reinsurers) .....	0	0	0	0
20. Reinsurance in unauthorized and certified (\$.....0) companies .....	0	0	0	0
21. Net adjustments in assets and liabilities due to foreign exchange rates .....	0	0	0	0
22. Liability for amounts held under uninsured plans .....	65,568	0	65,568	16,974
23. Aggregate write-ins for other liabilities (including \$.....0 current) .....	0	0	0	0
24. Total liabilities (Lines 1 to 23) .....	39,709,769	0	39,709,769	43,538,915
25. Aggregate write-ins for special surplus funds .....	X X X	X X X	652,219	0
26. Common capital stock .....	X X X	X X X	10	10
27. Preferred capital stock .....	X X X	X X X	0	0
28. Gross paid in and contributed surplus .....	X X X	X X X	30,251,490	30,251,490
29. Surplus notes .....	X X X	X X X	0	0
30. Aggregate write-ins for other-than-special surplus funds .....	X X X	X X X	0	0
31. Unassigned funds (surplus) .....	X X X	X X X	(6,718,146)	(7,956,178)
32. Less treasury stock, at cost:				
32.1 .....0 shares common (value included in Line 26 \$.....0) .....	X X X	X X X	0	0
32.2 .....0 shares preferred (value included in Line 27 \$.....0) .....	X X X	X X X	0	0
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	X X X	X X X	24,185,573	22,295,322
34. Total Liabilities, capital and surplus (Lines 24 and 33) .....	X X X	X X X	63,895,342	65,834,237
<b>DETAILS OF WRITE-INS</b>				
2301. ....	0	0	0	0
2302. ....	0	0	0	0
2303. ....	0	0	0	0
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) .....	0	0	0	0
2501. ACA 9010 Fee .....	X X X	X X X	652,219	0
2502. ....	X X X	X X X	0	0
2503. ....	X X X	X X X	0	0
2598. Summary of remaining write-ins for Line 25 from overflow page .....	X X X	X X X	0	0
2599. TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....	X X X	X X X	652,219	0
3001. ....	X X X	X X X	0	0
3002. ....	X X X	X X X	0	0
3003. ....	X X X	X X X	0	0
3098. Summary of remaining write-ins for Line 30 from overflow page .....	X X X	X X X	0	0
3099. TOTALS (Lines 3001 through 3003 plus 3098) (Line 30 above) .....	X X X	X X X	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 .....	X X X	150,041	178,417	231,637
2. Net premium income (including \$.....0 non-health premium income) .....	X X X	135,839,168	113,076,042	159,739,986
3. Change in unearned premium reserves and reserves for rate credits .....	X X X	0	0	0
4. Fee-for-service (net of \$.....0 medical expenses) .....	X X X	0	0	0
5. Risk revenue .....	X X X	0	0	0
6. Aggregate write-ins for other health care related revenues .....	X X X	0	0	0
7. Aggregate write-ins for other non-health revenues .....	X X X	0	0	0
8. Total revenues (Lines 2 to 7) .....	X X X	135,839,168	113,076,042	159,739,986
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....	0	33,684,846	42,017,688	45,474,540
10. Other professional services .....	0	0	0	0
11. Outside referrals .....	0	0	0	0
12. Emergency room and out-of-area .....	0	4,937,720	0	8,934,440
13. Prescription drugs .....	0	8,864,740	9,922,283	13,010,212
14. Aggregate write-ins for other hospital and medical .....	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts .....	0	0	0	0
16. Subtotal (Lines 9 to 15) .....	0	47,487,306	51,939,971	67,419,192
<b>Less:</b>				
17. Net reinsurance recoveries .....	0	(61,355,382)	(35,957,824)	(57,326,811)
18. Total hospital and medical (Lines 16 minus 17) .....	0	108,842,688	87,897,795	124,746,003
19. Non-health claims (net) .....	0	0	0	0
20. Claims adjustment expenses, including \$.....1,359,850 cost containment expenses .....	0	15,424,862	4,359,465	18,097,643
21. General administrative expenses .....	0	10,390,585	20,086,076	15,233,214
22. Increase in reserves for life and accident and health contracts (including \$.....0 increase in reserves for life only) .....	0	0	0	0
23. Total underwriting deductions (Lines 18 through 22) .....	0	134,658,134	112,343,336	158,076,860
24. Net underwriting gain or (loss) (Lines 8 minus 23) .....	X X X	1,181,033	732,706	1,663,126
25. Net investment income earned .....	0	446,686	108,747	199,516
26. Net realized capital gains (losses) less capital gains tax of \$.....0 .....	0	(647)	0	0
27. Net investment gains or (losses) (Lines 25 plus 26) .....	0	446,039	108,747	199,516
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$.....0) (amount charged off \$.....6,300)] .....	0	(6,300)	(8,235)	(22,947)
29. Aggregate write-ins for other income or expenses .....	0	0	0	0
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29) .....	X X X	1,620,772	833,218	1,839,695
31. Federal and foreign income taxes incurred .....	X X X	411,712	0	389,442
32. Net income (loss) (Lines 30 minus 31) .....	X X X	1,209,060	833,218	1,450,253
<b>DETAILS OF WRITE-INS</b>				
0601. ....	X X X	0	0	0
0602. ....	X X X	0	0	0
0603. ....	X X X	0	0	0
0698. Summary of remaining write-ins for Line 6 from overflow page .....	X X X	0	0	0
0699. TOTALS (Lines 0601 through 0603 plus 0698) (Line 6 above) .....	X X X	0	0	0
0701. ....	X X X	0	0	0
0702. ....	X X X	0	0	0
0703. ....	X X X	0	0	0
0798. Summary of remaining write-ins for Line 7 from overflow page .....	X X X	0	0	0
0799. TOTALS (Lines 0701 through 0703 plus 0798) (Line 7 above) .....	X X X	0	0	0
1401. ....	0	0	0	0
1402. ....	0	0	0	0
1403. ....	0	0	0	0
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. ....	0	0	0	0
2902. ....	0	0	0	0
2903. ....	0	0	0	0
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	0	0	0

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

	1	2	3
	Current Year To Date	Prior Year To Date	Prior Year Ended December 31
<b>CAPITAL &amp; SURPLUS ACCOUNT</b>			
33. Capital and surplus prior reporting year .....	22,295,322	11,824,324	11,824,324
34. Net income or (loss) from Line 32 .....	1,209,060	833,218	1,450,253
35. Change in valuation basis of aggregate policy and claim reserves .....	0	0	0
36. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0	0	0	0
37. Change in net unrealized foreign exchange capital gain or (loss) .....	0	0	0
38. Change in net deferred income tax .....	0	0	15,915
39. Change in nonadmitted assets .....	681,191	(9,972,458)	(9,521,670)
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 .....	0	0	0
44. Capital Changes:			
44.1 Paid in .....	0	0	0
44.2 Transferred from surplus (Stock Dividend) .....	0	0	0
44.3 Transferred to surplus .....	0	0	0
45. Surplus adjustments:			
45.1 Paid in .....	0	18,526,500	18,526,500
45.2 Transferred to capital (Stock Dividend) .....	0	0	0
45.3 Transferred from capital .....	0	0	0
46. Dividends to stockholders .....	0	0	0
47. Aggregate write-ins for gains or (losses) in surplus .....	0	0	0
48. Net change in capital and surplus (Lines 34 to 47) .....	1,890,251	9,387,260	10,470,998
49. Capital and surplus end of reporting period (Line 33 plus 48) .....	24,185,573	21,211,584	22,295,322
<b>DETAILS OF WRITE-INS</b>			
4701. ....	0	0	0
4702. ....	0	0	0
4703. ....	0	0	0
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 .....	137,128,674	109,310,846	139,353,423
2. Net investment income .....	398,787	73,630	143,526
3. Miscellaneous income .....	0	0	0
4. TOTAL (Lines 1 to 3) .....	137,527,461	109,384,476	139,496,949
5. Benefit and loss related payments .....	108,559,857	69,177,743	94,791,040
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0
7. Commissions, expenses paid and aggregate write-ins for deductions .....	31,606,569	21,768,119	26,420,977
8. Dividends paid to policyholders .....	0	0	0
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses) .....	990,544	0	1
10. TOTAL (Lines 5 through 9) .....	141,156,969	90,945,862	121,212,018
11. Net cash from operations (Line 4 minus Line 10) .....	(3,629,508)	18,438,614	18,284,931
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	688,210	0	0
12.2 Stocks .....	0	0	0
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 .....	0	0	0
12.8 TOTAL investment proceeds (Lines 12.1 to 12.7) .....	688,210	0	0
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	6,210,113	106,122	10,087,411
13.2 Stocks .....	0	0	0
13.3 Mortgage loans .....	0	0	0
13.4 Real estate .....	0	0	0
13.5 Other invested assets .....	0	0	0
13.6 Miscellaneous applications .....	0	0	0
13.7 TOTAL investments acquired (Lines 13.1 to 13.6) .....	6,210,113	106,122	10,087,411
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) .....	(5,521,903)	(106,122)	(10,087,411)
<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	18,526,500	18,526,500
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	0
16.6 Other cash provided (applied) .....	2,733,578	(10,721,655)	(9,465,701)
17. Net cash from financing and miscellaneous sources (Line 16.1 through 16.4 minus Line 16.5 plus Line 16.6) .....	2,733,578	7,804,845	9,060,799
<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) .....	(6,417,833)	26,137,337	17,258,319
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	28,378,077	11,119,758	11,119,758
19.2 End of period (Line 18 plus Line 19.1) .....	21,960,244	37,257,095	28,378,077

**Note: Supplemental Disclosures of Cash Flow Information for Non-Cash Transactions:**

20.0001 .....	0	0	0
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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							
Total Members at end of:										
1. Prior Year .....	17,297	0	17,297	0	0	0	0	0	0	0
2. First Quarter .....	16,881	0	16,881	0	0	0	0	0	0	0
3. Second Quarter .....	16,694	0	16,694	0	0	0	0	0	0	0
4. Third Quarter .....	16,456	0	16,456	0	0	0	0	0	0	0
5. Current Year .....	0	0	0	0	0	0	0	0	0	0
6. Current Year Member Months .....	150,041	0	150,041	0	0	0	0	0	0	0
Total Member Ambulatory Encounters for Period:										
7. Physician .....	79,501	0	79,501	0	0	0	0	0	0	0
8. Non-Physician .....	18,698	0	18,698	0	0	0	0	0	0	0
9. Total .....	98,199	0	98,199	0	0	0	0	0	0	0
10. Hospital Patient Days Incurred .....	1,404	0	1,404	0	0	0	0	0	0	0
11. Number of Inpatient Admissions .....	415	0	415	0	0	0	0	0	0	0
12. Health Premiums Written (a) .....	65,106,523	0	65,106,523	0	0	0	0	0	0	0
13. Life Premiums Direct .....	0	0	0	0	0	0	0	0	0	0
14. Property/Casualty Premiums Written .....	0	0	0	0	0	0	0	0	0	0
15. Health Premiums Earned .....	65,106,523	0	65,106,523	0	0	0	0	0	0	0
16. Property/Casualty Premiums Earned .....	0	0	0	0	0	0	0	0	0	0
17. Amount Paid for Provision of Health Care Services .....	49,514,614	0	49,514,614	0	0	0	0	0	0	0
18. Amount Incurred for Provision of Health Care Services .....	47,487,306	0	47,487,306	0	0	0	0	0	0	0

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$.....0.



**CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)****Aging Analysis of Unpaid Claims**

1 Account	2 1 - 30 Days	3 31 - 60 Days	4 61 - 90 Days	5 91 - 120 days	6 Over 120 Days	7 Total
<b>Claims unpaid (Reported)</b>						
New Mexico Health Connections .....	24,080,840	0	0	0	0	24,080,840
0199999 Individually Listed Claims Unpaid .....	24,080,840	0	0	0	0	24,080,840
0299999 Aggregate Accounts Not Individually Listed - Uncovered .....	0	0	0	0	0	0
0399999 Aggregate Accounts Not Individually Listed - Covered .....	462,572	39,478	4,242	22,866	36,141	565,299
0499999 Subtotals .....	24,543,412	39,478	4,242	22,866	36,141	24,646,139
0599999 Unreported claims and other claim reserves .....						6,534,391
0699999 Total Amounts Withheld .....						0
0799999 Total Claims Unpaid .....						31,180,529
0899999 Accrued Medical Incentive Pool And Bonus Amounts .....						0

## UNDERWRITING AND INVESTMENT EXHIBIT

### ANALYSIS OF CLAIMS UNPAID-PRIOR YEAR-NET OF REINSURANCE

	Claims Paid Year to Date		Liability End of Current Quarter		5	6
	1	2	3	4	Claims Incurred in Prior Years (Columns 1+3)	Estimated Claim Reserve and Claim Liability Dec 31 of Prior Year
	On Claims Incurred Prior to January 1 of Current Year	On Claims Incurred During the Year	On Claims Unpaid Dec 31 of Prior Year	On Claims Incurred During the Year		
1. Comprehensive (hospital & medical) .....	30,059,962	78,603,567	174,033	31,006,497	30,233,995	31,056,979
2. Medicare Supplement .....	0	0	0	0	0	0
3. Dental only .....	0	0	0	0	0	0
4. Vision only .....	0	0	0	0	0	0
5. Federal Employees Health Benefits Plan .....	0	0	0	0	0	0
6. Title XVIII - Medicare .....	0	0	0	0	0	0
7. Title XIX - Medicaid .....	0	0	0	0	0	0
8. Other health .....	0	0	0	0	0	0
9. Health subtotal (Lines 1 to 8) .....	30,059,962	78,603,567	174,033	31,006,497	30,233,995	31,056,979
10. Healthcare receivables (a) .....	0	720,050	0	0	0	775,659
11. Other non-health .....	0	0	0	0	0	0
12. Medical incentive pools and bonus amounts .....	0	0	0	0	0	0
13. Totals (Lines 9 - 10 + 11 + 12) .....	30,059,962	77,883,517	174,033	31,006,497	30,233,995	30,281,320

(a) Excludes \$.....0 loans or advances to providers not yet expensed.

## Notes to Financial Statement

### 1. Summary of Significant Accounting Policies

#### A. Accounting Practices

The financial statements of True Health New Mexico, Inc. (the Company) are presented on the basis of accounting practices prescribed or permitted by the New Mexico Office of Superintendent of Insurance.

The New Mexico Office of Superintendent of Insurance recognizes only statutory accounting practices prescribed or permitted by the State of New Mexico for determining and reporting the financial condition and results of operations of an insurance company, for determining its solvency under the New Mexico Insurance Law. The National Association of Insurance Commissioners' (NAIC) Accounting Practices and Procedures Manual (NAIC SAP) has been adopted as a component of prescribed or permitted practices by the state of New Mexico.

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

		SSAP#	F/S Page	F/S Line	2019	2018
<u>NET INCOME</u>						
(1)	State basis (Page 4, Line 32, Columns 2 & 3)				1,209,060	1,450,253
(2)	State Prescribed Practices that increase/(decrease) NAIC SAP:					
(201)						
(299)	Total					
(3)	State Permitted Practices that increase/(decrease) NAIC SAP:					
(301)						
(399)	Total				0	0
(4)	NAIC SAP (1-2-3=4)				1,209,060	1,450,253
<u>SURPLUS</u>						
(5)	State basis (Page 3, Line 33, Columns 3 & 4)				24,185,573	22,295,322
(6)	State Prescribed Practices that increase/(decrease) NAIC SAP:					
(601)	Admission of Goodwill	68	2, 3	25, 31	(2,296,049)	(2,121,158)
(699)	Total				(2,296,049)	(2,121,158)
(7)	State Permitted Practices that increase/(decrease) NAIC SAP:					
(701)						
(799)	Total				0	0
(8)	NAIC SAP (5-6-7=8)				26,481,621	24,416,480

#### B. Use of Estimates in the Preparation of the Financial Statements.

No Material Changes.

#### C. Accounting Policy

- (1) No Material Changes
- (2) The Company had no bonds. The Company does not own any mandatory convertible securities or SVO-Identified bond ETFs.
- (3) No Material Changes.
- (4) No Material Changes.
- (5) No Material Changes.
- (6) The Company had no Loan-backed securities.
- (7) – (13) No Material Changes

#### D. Going Concern

## Notes to Financial Statement

Management has evaluated the Company's ability to continue as a going concern. There is no substantial doubt in its ability to continue as a going concern.

### 2. Accounting Changes and Corrections of Errors

No Material Changes

### 3. Business Combinations and Goodwill

- A. Statutory Purchase Method - No Material Changes
- B. Statutory Merger - No Material Changes
- C. Assumption Reinsurance – No Material Changes
- D. Impairment Loss – No Material Changes

### 4. Discontinued Operations

- A. Discontinued Operation Disposed of or Classified as Held for Sale – No Material Changes
- B. Change in Plan of Sale of Discontinued Operation – No Material Changes
- C. Nature of Any Significant Continuing Involvement with Discontinued Operations After Disposal – No Material Changes
- D. Equity Interest Retained in Discontinued Operation After Disposal - No Material Changes

### 5. Investments

- A. Mortgage Loans, including Mezzanine Real Estate Loans - No Material Changes
- B. Debt Restructuring - No Material Changes
- C. Reverse Mortgages - No Material Changes
- D. Loan-Backed Securities - None
- E. Dollar Repurchase Agreements and/or Securities Lending Transactions – None
- F. Repurchase Agreements Transactions Accounted for as Secured Borrowing – None
- G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing - None
- H. Repurchase Agreements Transactions Accounted for as a Sale – None
- I. Reverse Repurchase Agreements Transactions Accounted for as a Sale - None
- J. Real Estate – No Material Changes
- K. Low-income housing tax credits (LIHTC) – No Material Changes
- L. Restricted Assets – No Material Changes
- M. Working Capital Finance Investments – None
- N. Offsetting and Netting of Assets and Liabilities – None
- O. Structured Notes – No Material Changes
- P. 5GI Securities – No Material Changes
- Q. Short Sales – No Material Changes
- R. Prepayment Penalty and Acceleration Fees - No Material Changes

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

No Material Changes

### 7. Investment Income

No Material Changes

## Notes to Financial Statement

### 8. Derivative Instruments

- A. – G. – No Material Changes
- H. – None

### 9. Income Taxes

No Material Changes

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

No Material Changes

### 11. Debt

- A. Debt – No Material Changes
- B. FHLB (Federal Home Loan Bank) Agreements – None

### 12. Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans.

#### A. Defined Benefit Plan

1) Change in benefit obligation – No Material Change

(2) Change in plan assets- No Material Change

(3) Funded status - No Material Change

(4) Components of net periodic benefit cost - None

(5) The amount included in unassigned funds (surplus) for the period arising from a change in the additional minimum pension liability recognized - No Material Change

(6) Amounts in unassigned funds (surplus expected to be recognized in the next fiscal year as components of net periodic benefit cost - No Material Change

(7) Amounts in unassigned funds (surplus) that have not been recognized as components of net periodic benefit cost - No Material Change

(8) Weighted-average assumptions used to determine net period benefit cost - No Material Change

(9) The amount of accumulated benefit obligation for defined benefit pension plans - No Material Change

(10) – (11) The defined benefit pension plan asset allocation as of the measurement date, and the target asset allocation, presented as a percentage of total plan assets - No Material Change

(12) Estimated future payments, which reflect expected future service, as appropriate, are expected to be paid in the years- No Material Change

(13) Regulatory contribution requirements - No Material Change

(14) – (21) No Material Change.

B. Investment Policies and Strategies – No Material Changes

C. Plan Assets – No Material Changes

D. Long-term Rate-of-return-on-assets Assumption - No Material Changes

E. Defined Contribution Plans – No Material Changes.

F. Multi-Employer Plan – No Material Changes

G. Consolidated/Holding Company Plans – No Material Changes

H. Post-Employment Benefits and Compensated Absences – No Material Changes

I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17) – No Material Changes

### 13. Capital and Surplus, Dividend Restrictions and Quasi-Reorganizations

No Material Changes

### 14. Liabilities, Contingencies and Assessments

No Material Changes

## Notes to Financial Statement

### 15. Leases

No Material Changes

### 16. Information About Financial Instruments With Off-Balance-Sheet Risk And Financial Instruments With Concentrations of Credit Risk

No Material Changes

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

- A. Transfers of Receivables reported as Sales – No Material Changes
- B. Transfer and Servicing of Financial Assets – None
- C. Wash Sales – None

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

No Material Changes

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

No Material Changes

### 20. Fair Value Measurements

- A. The Company's financial assets and liabilities carried at fair value have been classified, for disclosure purposes, based on a hierarchy that prioritizes the inputs to valuation techniques used to measure fair value into three broad levels. The hierarchy gives the highest priority to fair values determined using unadjusted quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to fair values determined using unobservable inputs (Level 3). An asset's or liability's classification is determined based on the lowest level input that is significant to its measurement.

For example, a Level 3 fair value measurement may include inputs that are both observable (Levels 1 and 2) and unobservable (Level3). The levels of the fair value hierarchy are as follows:

Level 1: Inputs are unadjusted, quoted prices for identical assets or liabilities in active markets at the measurement date.

Level 2: Inputs are other than quoted prices included in level 1 that are observable for the asset or liability through corroboration with market data at the measurement date.

Level 3: Inputs are unobservable and reflect management's best estimate of what market participants would use in pricing the asset or liability at the measurement date.

Fair value of actively traded fixed-income and equity securities is based on quoted market prices. Fair value of inactively traded fixed-income securities is based on quoted market prices of identical or similar securities based on observable inputs like interest rates using a market valuation approach is generally classified as Level 2. Investments measured based on the practical expedient being net asset value (NAV), based on the NAV of the fund as provided for in the audited financial statements and other fund reporting, are generally classified as Level 3.

#### (1) Fair Value Measurements at Reporting Date –

	Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Total
a.	Assets at fair value					
01	Cash Equivalents - Exempt Money Market Funds	\$2,886,265				\$2,886,265
99	Subtotal – Assets at fair value	\$2,886,265				\$2,886,265
b.	Liabilities at fair value					
01						
02						
99	Subtotal – Liabilities at fair value					

(2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy - None

(3) The Company's policy for determining when transfers between levels are recognized is determined at the end of the reporting period.

(4) The Company has not valued any securities at a Level 2 or 3.

(5) Derivative assets and liabilities- None

## Notes to Financial Statement

- B. Fair Value Information under SSAP No. 100 combined with Fair Value information Under Other Account Pronouncements – None  
 C. Aggregate Fair Value of All Financial Instruments

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Not Practicable (Carrying Value)
Bonds	\$16,665,544	\$16,228,260	\$9,876,592	\$6,788,951			
Short-term	\$ 1,996,020	\$ 1,994,261	\$1,996,020				
Cash Equivalents	\$ 2,886,265	\$2,886,265	\$2,886,265				

- D. Not Practicable to Estimate Fair Value – None  
 E. Investments Measured using NAV – None

### 21. Other Items

- A. Unusual and Infrequent Items – No Material Changes  
 B. Troubled Debt Restructuring – No Material Changes  
 C. Other Disclosures – No Material Changes  
 D. Business Interruption Insurance Recoveries - No Material Changes  
 E. State Transferable and Non-transferable Tax Credits - No Material Changes  
 F. Subprime-Mortgage-Related Risk Exposure – No Material Changes  
 G. Retained Assets – No Material Changes  
 H. Insurance-Linked Securities (ILS) Contracts - No Material Changes

### 22. Events Subsequent

No Material Changes

### 23. Reinsurance

No Material Changes

### 24. Retrospectively Rated Contracts & Contracts Subject to Redetermination

- A. Accrued retrospective premium adjustments - No Material Changes  
 B. Accrued retrospective premium adjustments - No Material Changes  
 C. Retrospective rating features – No Material Changes  
 D. Medical loss ratio rebates required pursuant to the Public Health Service Act - Accrued retrospective premium adjustments - No Material Changes  
 E. Risk-Sharing Provisions of the Affordable Care Act (ACA)

- (1) Did the reporting entity write accident and health insurance premium that is subject to the Affordable Care Act risk-sharing provisions (YES/NO)? YES  
 (2) Impact of Risk-Sharing Provisions of the Affordable Care Act on Admitted Assets, Liabilities and Revenue for the Current Year

#### AMOUNT

#### 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 12,563  
 3. Premium adjustments payable due to ACA Risk Adjustment 2,225,259

##### Operations (Revenue & Expense)

4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment (2,124,062)  
 5. Reported in expenses as ACA risk adjustment user fees (incurred/paid) (8,043)

#### b. Transitional ACA Reinsurance Program

##### Assets

1. Amounts recoverable for claims paid due to ACA Reinsurance  
 2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra 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

## Notes to Financial Statement

5.Ceded reinsurance premiums payable due to ACA Reinsurance

6.Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance

### Operations (Revenue & Expense)

7.Ceded reinsurance premiums due to ACA Reinsurance

8.Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments

9.ACA Reinsurance contributions – not reported as ceded premium

### c. Temporary ACA Risk Corridors Program

#### Assets

1.Accrued retrospective premium due to ACA Risk Corridors

#### Liabilities

2.Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors

### Operations (Revenue & Expense)

3.Effect of ACA Risk Corridors on net premium income (paid/received)

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



## Notes to Financial Statement

(3) Roll-forward of prior year ACA risk-sharing provisions for the following asset (gross of any nonadmission) and liability balances, along with the reasons for adjustments to prior year balance.

	Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments		Unsettled Balances as of the Reporting Date		
					Prior Year Accrued Less Payments (Col 1 - 3)	Prior Year Accrued Less Payments (Col 2 - 4)	To Prior Year Balances	To Prior Year Balances	Cumulative Balance from Prior Years (Col 1 - 3 +7)	Cumulative Balance from Prior Years (Col 2 - 4 +8)	
	1	2	3	4	5	6	7	8	9	10	
	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
<b>a. Permanent ACA Risk Adjustment Program</b>											
1. Premium adjustments receivable	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	A	\$0	\$0
2. Premium adjustments (payable)	\$0	\$4,080,812	\$0	\$3,779,296	\$0	\$301,516	\$0	(\$301,516)	B	\$0	\$0
3. Subtotal ACA Permanent Risk Adjustment Program	\$0	\$4,080,812	\$0	\$3,779,296	\$0	\$301,516	\$0	(\$301,516)		\$0	\$0
<b>b. Transitional ACA Reinsurance Program</b>											
1. Amounts recoverable for claims paid	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	C	\$0	\$0
2. Amounts recoverable for claims unpaid (contra liability)	\$0	\$0	-	\$0	\$0	\$0	\$0	\$0	D	\$0	\$0
3. Amounts receivable relating to uninsured plans	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	E	\$0	\$0
4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	\$0	\$0	-	-	\$0	\$0	\$0	\$0	F	\$0	\$0
5. Ceded reinsurance premiums payable	\$0	\$0	-	-	\$0	\$0	\$0	\$0	G	\$0	\$0
6. Liability for amounts held under uninsured plans	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	H	\$0	\$0
7. Subtotal ACA Transitional Reinsurance Program	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0		\$0	\$0
<b>c. Temporary ACA Risk Corridors Program</b>											
1. Accrued retrospective premium	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	I	\$0	\$0
2. Reserve for rate credits or policy experience rating refunds	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	J	\$0	\$0
3. Subtotal ACA Risk Corridors Program	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0		\$0	\$0
4. Total for ACA Risk Sharing Provisions	\$0	\$4,080,812	\$0	\$3,779,296	\$0	\$301,516	\$0	(\$301,516)		\$0	\$0

Explanations of Adjustments

A
B. Adjustment to Actual
C
D
E
F
G
H
I
J

(4) Roll Forward of ACA Risk Corridor Asset and Liability Balances - None

(5) ACA Risk Corridor Receivable - None

### 25. Changes in Incurred Losses and Loss Adjustment Expenses

Reserves for Losses and Loss and Adjustment Expense as of December 31, 2018 were \$35,694,005. As of September 30, 2019, \$34,696,988 has been paid for incurred claims and claims adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$174,033 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been an \$822,984 favorable prior-year development since December 31, 2018 to September 30, 2019. The decrease is generally the result of ongoing analysis of recent loss development trends. Original estimates are increased or decreased, as additional information becomes known regarding individual claims

The Company did not have any significant changes in methodologies or assumptions used in the calculation the liability for unpaid losses or loss adjustment expenses.

### 26. Intercompany Pooling Arrangements

No Material Changes

### 27. Structured Settlements

No Material Changes

### 28. Health Care Receivables

No Material Changes

## **Notes to Financial Statement**

**29. Participating Policies**

No Material Changes

**30. Premium Deficiency Reserves**

No Material Changes

**31. Anticipated Salvage and Subrogation**

No Material Changes

# 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[ ] N/A[X]
  
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes[ ] No[X]
- 2.2 If yes, date of change: .....
  
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes[X] No[ ]  
If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes[ ] No[X]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes:
- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? Yes[X] No[ ]
- 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. 0001628908
  
- 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 for the annual filing corresponding to this period.
- 4.2 If yes, provide the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

- 5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? Yes[ ] No[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. ..... 12/31/2017 .....
- 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. ..... 07/30/2019 .....
- 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). ..... 07/30/2019 .....
- 6.4 By what department or departments?  
Office of Superintendent of Insurance - State of New Mexico
- 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[ ] No[X] 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
.....	.....	..... No .....	..... No .....	..... No .....	..... No .....

- 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[X] 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[X]
- 9.21 If the response to 9.2 is Yes, provide information related to amendment(s).
- 9.3 Have any provisions of the code of ethics been waived for any of the specified officers? Yes[ ] No[X]
- 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

### FINANCIAL

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes[ ] No[X]
- 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ ..... 0

### INVESTMENT

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes[ ] No[X]
- 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: \$ ..... 0
- 13. Amount of real estate and mortgages held in short-term investments: \$ ..... 0
  
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes[ ] No[X]

## GENERAL INTERROGATORIES (Continued)

### INVESTMENT

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	0
14.22 Preferred Stock .....	0	0
14.23 Common Stock .....	0	0
14.24 Short-Term Investments .....	0	0
14.25 Mortgages Loans on Real Estate .....	0	0
14.26 All Other .....	0	0
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) .....	0	0
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above .....	0	0

15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes[ ] No[X]  
 15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes[ ] No[ ] N/A[X]  
 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 \$ ..... 0  
 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 \$ ..... 0  
 16.3 Total payable for securities lending reported on the liability page \$ ..... 0

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[X] 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
BOK Financial .....	Albuquerque, NM .....

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[X]

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

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

17.5 Investment management - Identify all investment advisors, investment managers, broker/dealers, including individuals that have the authority to make 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
BOK Financial .....	..... 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 assets? Yes[X] 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 assets? Yes[X] 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
17530 .....	BOK Financial .....	5493008UZFTI4G7UQ733 .....	SEC .....	..... NO .....

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

18.2 If no, list exceptions:

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

20. By self-designating PLGI securities, the reporting entity is certifying the following elements for each self-designated PLGI security:  
 a. The security was purchased prior to January 1, 2018 .  
 b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.

## **GENERAL INTERROGATORIES (Continued)**

- c. The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
  - d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.
- Has the reporting entity self-designated PLGI securities?

Yes[ ] No[X]

# GENERAL INTERROGATORIES

## PART 2 - HEALTH

- |                                                                                                                                                                             |               |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| 1. Operating Percentages:                                                                                                                                                   |               |
| 1.1 A&H loss percent                                                                                                                                                        | ..... 80.239% |
| 1.2 A&H cost containment percent                                                                                                                                            | ..... 0.990%  |
| 1.3 A&H expense percent excluding cost containment expenses                                                                                                                 | ..... 18.901% |
| 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.                                                                                     | \$..... 0     |
| 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.                                                                                  | \$..... 0     |
| 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 S - CEDED REINSURANCE**  
**Showing All New Reinsurance Treaties - Current Year to Date**

1 NAIC Company Code	2 ID Number	3 Effective Date	4 Name of Reinsurer	5 Domiciliary Jurisdiction	6 Type of Reinsurance Ceded	7 Type of Reinsurer	8 Certified Reinsurer Rating (1 through 6)	9 Effective Date of Certified Reinsurer Rating
<b>Accident and Health - Non-affiliates</b>								
23647 .....	41-0121640 .....	01/01/2019 .....	IRONSHORE IND INC .....	MN .....	SSL/A/G .....	Authorized .....		

# SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

## Current Year to Date - Allocated by States and Territories

		Direct Business Only								
		1	2	3	4	5	6	7	8	9
State, Etc.	Active Status (a)	Accident and Health Premiums	Medicare Title XVIII	Medicaid Title XIX	Federal Employees Health Benefits Program Premiums	Life and Annuity Premiums and Other Considerations	Property/Casualty Premiums	Total Columns 2 Through 7	Deposit-Type Contracts	
1. Alabama (AL)	N	0	0	0	0	0	0	0	0	
2. Alaska (AK)	N	0	0	0	0	0	0	0	0	
3. Arizona (AZ)	N	0	0	0	0	0	0	0	0	
4. Arkansas (AR)	N	0	0	0	0	0	0	0	0	
5. California (CA)	N	0	0	0	0	0	0	0	0	
6. Colorado (CO)	N	0	0	0	0	0	0	0	0	
7. Connecticut (CT)	N	0	0	0	0	0	0	0	0	
8. Delaware (DE)	N	0	0	0	0	0	0	0	0	
9. District of Columbia (DC)	N	0	0	0	0	0	0	0	0	
10. Florida (FL)	N	0	0	0	0	0	0	0	0	
11. Georgia (GA)	N	0	0	0	0	0	0	0	0	
12. Hawaii (HI)	N	0	0	0	0	0	0	0	0	
13. Idaho (ID)	N	0	0	0	0	0	0	0	0	
14. Illinois (IL)	N	0	0	0	0	0	0	0	0	
15. Indiana (IN)	N	0	0	0	0	0	0	0	0	
16. Iowa (IA)	N	0	0	0	0	0	0	0	0	
17. Kansas (KS)	N	0	0	0	0	0	0	0	0	
18. Kentucky (KY)	N	0	0	0	0	0	0	0	0	
19. Louisiana (LA)	N	0	0	0	0	0	0	0	0	
20. Maine (ME)	N	0	0	0	0	0	0	0	0	
21. Maryland (MD)	N	0	0	0	0	0	0	0	0	
22. Massachusetts (MA)	N	0	0	0	0	0	0	0	0	
23. Michigan (MI)	N	0	0	0	0	0	0	0	0	
24. Minnesota (MN)	N	0	0	0	0	0	0	0	0	
25. Mississippi (MS)	N	0	0	0	0	0	0	0	0	
26. Missouri (MO)	N	0	0	0	0	0	0	0	0	
27. Montana (MT)	N	0	0	0	0	0	0	0	0	
28. Nebraska (NE)	N	0	0	0	0	0	0	0	0	
29. Nevada (NV)	N	0	0	0	0	0	0	0	0	
30. New Hampshire (NH)	N	0	0	0	0	0	0	0	0	
31. New Jersey (NJ)	N	0	0	0	0	0	0	0	0	
32. New Mexico (NM)	L	65,106,523	0	0	0	0	0	65,106,523	0	
33. New York (NY)	N	0	0	0	0	0	0	0	0	
34. North Carolina (NC)	N	0	0	0	0	0	0	0	0	
35. North Dakota (ND)	N	0	0	0	0	0	0	0	0	
36. Ohio (OH)	N	0	0	0	0	0	0	0	0	
37. Oklahoma (OK)	N	0	0	0	0	0	0	0	0	
38. Oregon (OR)	N	0	0	0	0	0	0	0	0	
39. Pennsylvania (PA)	N	0	0	0	0	0	0	0	0	
40. Rhode Island (RI)	N	0	0	0	0	0	0	0	0	
41. South Carolina (SC)	N	0	0	0	0	0	0	0	0	
42. South Dakota (SD)	N	0	0	0	0	0	0	0	0	
43. Tennessee (TN)	N	0	0	0	0	0	0	0	0	
44. Texas (TX)	N	0	0	0	0	0	0	0	0	
45. Utah (UT)	N	0	0	0	0	0	0	0	0	
46. Vermont (VT)	N	0	0	0	0	0	0	0	0	
47. Virginia (VA)	N	0	0	0	0	0	0	0	0	
48. Washington (WA)	N	0	0	0	0	0	0	0	0	
49. West Virginia (WV)	N	0	0	0	0	0	0	0	0	
50. Wisconsin (WI)	N	0	0	0	0	0	0	0	0	
51. Wyoming (WY)	N	0	0	0	0	0	0	0	0	
52. American Samoa (AS)	N	0	0	0	0	0	0	0	0	
53. Guam (GU)	N	0	0	0	0	0	0	0	0	
54. Puerto Rico (PR)	N	0	0	0	0	0	0	0	0	
55. U.S. Virgin Islands (VI)	N	0	0	0	0	0	0	0	0	
56. Northern Mariana Islands (MP)	N	0	0	0	0	0	0	0	0	
57. Canada (CAN)	N	0	0	0	0	0	0	0	0	
58. Aggregate other alien (OT)	X X X	0	0	0	0	0	0	0	0	
59. Subtotal	X X X	65,106,523	0	0	0	0	0	65,106,523	0	
60. Reporting entity contributions for Employee Benefit Plans	X X X	0	0	0	0	0	0	0	0	
61. Total (Direct Business)	X X X	65,106,523	0	0	0	0	0	65,106,523	0	
<b>DETAILS OF WRITE-INS</b>										
58001.	X X X	0	0	0	0	0	0	0	0	
58002.	X X X	0	0	0	0	0	0	0	0	
58003.	X X X	0	0	0	0	0	0	0	0	
58998. Summary of remaining write-ins for Line 58 from overflow page	X X X	0	0	0	0	0	0	0	0	
58999. TOTALS (Lines 58001 through 58003 plus 58998) (Line 58 above)	X X X	0	0	0	0	0	0	0	0	

(a) Active Status Counts:

L Licensed or Chartered - Licensed insurance carrier or domiciled RRG  
 E Eligible - Reporting entities eligible or approved to write surplus lines in the state  
 N None of the above - Not allowed to write business in the state

1  
0  

---

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R Registered - Non-domiciled RRGs  
 Q Qualified - Qualified or accredited reinsurer

0  
0  

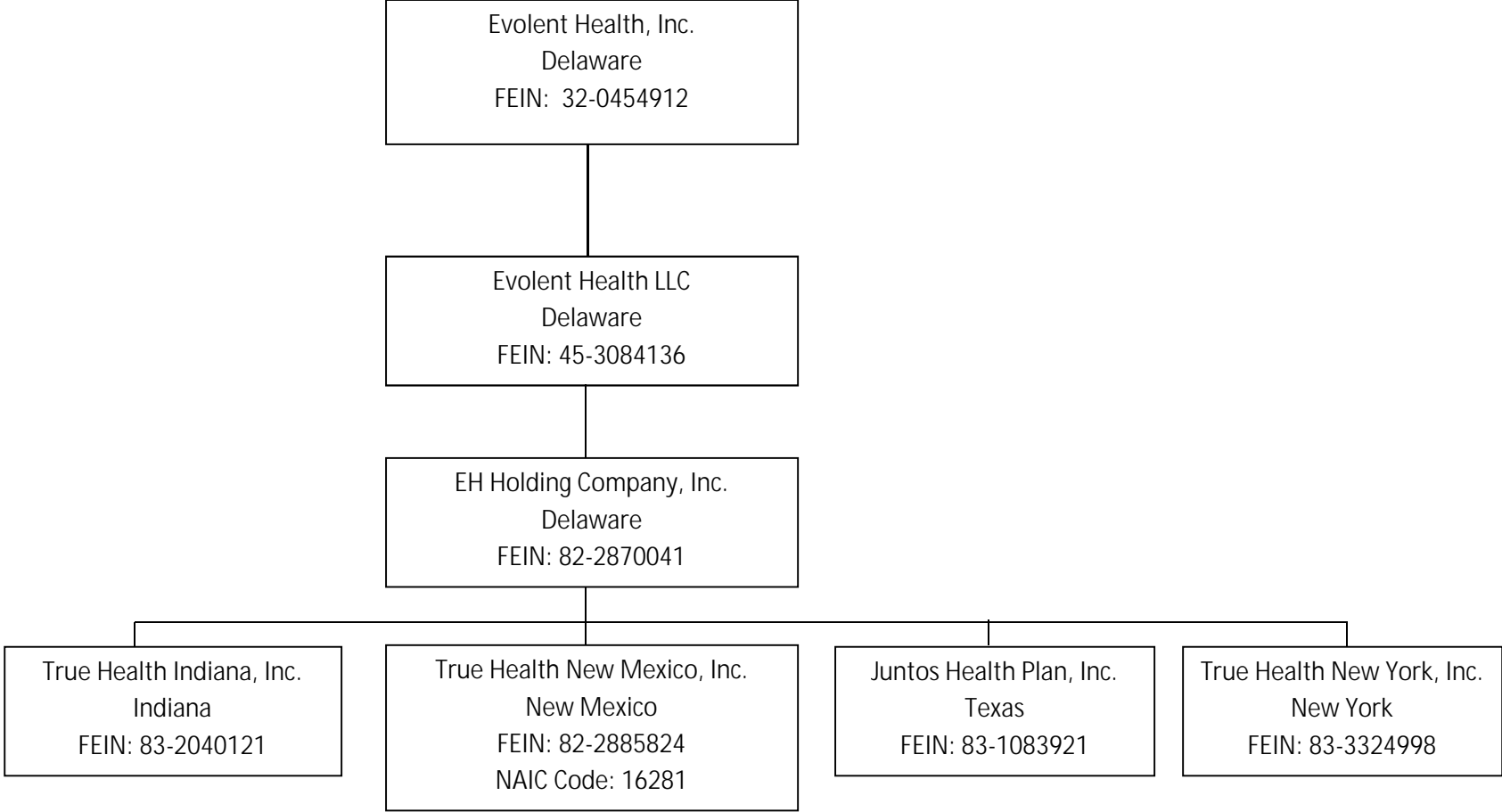
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# SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER

## MEMBERS OF A HOLDING COMPANY GROUP

### PART 1 - ORGANIZATIONAL CHART



## SCHEDULE Y

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	FEDERAL RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity / Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies) / Person(s)	Is an SCA Filing Required? (Y/N)	*
.....	.....	00000	32-0454912	.....	0001628908	NYSE	Evolut Health, Inc.	DE	UIP	.....	.....	0.0	Evolut Health, Inc.	N	.....
.....	.....	00000	45-3084136	.....	.....	.....	Evolut Health LLC	DE	UIP	Evolut Health, Inc.	Ownership	100.0	Evolut Health, Inc.	N	.....
.....	.....	00000	82-2870041	.....	.....	.....	EH Holding Company, Inc.	DE	UDP	Evolut Health LLC	Ownership	100.0	Evolut Health, Inc.	N	.....
.....	.....	16281	82-2885824	.....	.....	.....	True Health New Mexico	NM	RE	EH Holding Company, Inc.	Ownership	100.0	Evolut Health, Inc.	N	.....
.....	.....	00000	83-2040121	.....	.....	.....	True Health Indiana, Inc.	IN	NIA	EH Holding Company, Inc.	Ownership	100.0	Evolut Health, Inc.	N	.....
.....	.....	00000	83-1083921	.....	.....	.....	Juntos Health Plan, Inc.	TX	NIA	EH Holding Company, Inc.	Ownership	100.0	Evolut Health, Inc.	N	.....
.....	.....	00000	83-3324998	.....	.....	.....	True Health New York, Inc.	NY	NIA	EH Holding Company, Inc.	Ownership	100.0	Evolut Health, Inc.	N	.....

Asterisk	Explanation
0000001	.....

# 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

Explanations:

Bar Codes:

Medicare Part D Coverage Supplement



16281201936500003

2019

Document Code: 365

**OVERFLOW PAGE FOR WRITE-INS****ASSETS**

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1197. Summary of remaining write-ins for Line 11 (Lines 1104 through 1196) .....	0	0	0	0
2504. Deposits .....	85,808	85,808	0	0
2505. NMMIP Premium Tax Credit .....	1,037,428	0	1,037,428	0
2506. Prepaid Expenses .....	153,053	153,053	0	0
2597. Summary of remaining write-ins for Line 25 (Lines 2504 through 2596) .....	1,276,289	238,861	1,037,428	0

**SCHEDULE A - VERIFICATION****Real Estate**

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

**SCHEDULE B - VERIFICATION****Mortgage Loans**

	1	2
	Year To Date	Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year .....	0	0
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....	0	0
2.2 Additional investment made after acquisition .....	0	0
3. Capitalized deferred interest and other .....	0	0
4. Accrual of discount .....	0	0
5. Unrealized valuation increase (decrease) .....	0	0
6. Total gain (loss) on disposals .....	0	0
7. Deduct amounts received on disposals .....	0	0
8. Deduct amortization of premium and mortgage interest points .....	0	0
9. Total foreign exchange change in book value/recorded investment .....	0	0
10. Deduct current year's other-than-temporary impairment recognized .....	0	0
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1 + 2 + 3 + 4 + 5 + 6 - 7 - 8 + 9 - 10) .....	0	0
12. Total valuation allowance .....	0	0
13. Subtotal (Line 11 plus Line 12) .....	0	0
14. Deduct total nonadmitted amounts .....	0	0
15. Statement value at end of current period (Line 13 minus Line 14) .....	0	0

**SCHEDULE BA - VERIFICATION****Other Long-Term Invested Assets**

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	0	0
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....	0	0
2.2 Additional investment made after acquisition .....	0	0
3. Capitalized deferred interest and other .....	0	0
4. Accrual of discount .....	0	0
5. Unrealized valuation increase (decrease) .....	0	0
6. Total gain (loss) on disposals .....	0	0
7. Deduct amounts received on disposals .....	0	0
8. Deduct amortization of premium and depreciation .....	0	0
9. Total foreign exchange change in book/adjusted carrying value .....	0	0
10. Deduct current year's other-than-temporary impairment recognized .....	0	0
11. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 + 6 - 7 - 8 + 9 - 10) .....	0	0
12. Deduct total nonadmitted amounts .....	0	0
13. Statement value at end of current period (Line 11 minus Line 12) .....	0	0

**SCHEDULE D - VERIFICATION****Bonds and Stocks**

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	10,695,499	603,852
2. Cost of bonds and stocks acquired .....	6,210,113	10,087,411
3. Accrual of discount .....	16,545	4,363
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	(647)	0
6. Deduct consideration for bonds and stocks disposed of .....	688,210	0
7. Deduct amortization of premium .....	5,040	127
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other-than-temporary impairment recognized .....	0	0
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....	0	0
11. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9 + 10) .....	16,228,260	10,695,499
12. Deduct total nonadmitted amounts .....	0	0
13. Statement value at end of current period (Line 11 minus Line 12) .....	16,228,260	10,695,499

**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**

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a) .....	16,148,563	2,144,140	371,575	6,064	12,779,019	16,148,563	17,927,191	10,400,945
2. NAIC 2 (a) .....	295,068	0	0	261	294,812	295,068	295,329	294,554
3. NAIC 3 (a) .....	0	0	0	0	0	0	0	0
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 .....	16,443,631	2,144,140	371,575	6,325	13,073,832	16,443,631	18,222,521	10,695,499
<b>PREFERRED STOCK</b>								
8. NAIC 1 .....	0	0	0	0	0	0	0	0
9. NAIC 2 .....	0	0	0	0	0	0	0	0
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 .....	0	0	0	0	0	0	0	0
15. Total Bonds & Preferred Stock .....	16,443,631	2,144,140	371,575	6,325	13,073,832	16,443,631	18,222,521	10,695,499

(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 \$.....1,994,261; NAIC 2 \$.....0; NAIC 3 \$.....0; NAIC 4 \$.....0; NAIC 5 \$.....0; NAIC 6 \$.....0

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**SCHEDULE DA - PART 1****Short - Term Investments**

	1 Book/Adjusted Carrying Value	2 Par Value	3 Actual Cost	4 Interest Collected Year To Date	5 Paid for Accrued Interest Year To Date
9199999. Totals .....	1,994,261	X X X	1,986,797	11,250	9,696

**SCHEDULE DA - Verification****Short-Term Investments**

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	0	0
2. Cost of short-term investments acquired .....	1,986,797	0
3. Accrual of discount .....	7,465	0
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	0	0
6. Deduct consideration received on disposals .....	0	0
7. Deduct amortization of premium .....	0	0
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other-than-temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9) .....	1,994,261	0
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11) .....	1,994,261	0

**SI04 Schedule DB - Part A Verification ..... NONE**

**SI04 Schedule DB - Part B Verification ..... NONE**

**SI05 Schedule DB Part C Section 1 ..... NONE**

**SI06 Schedule DB Part C Section 2 ..... NONE**

**SI07 Schedule DB - Verification ..... 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 .....	10,148,592	0
2.	Cost of cash equivalents acquired .....	2,451,200	20,493,717
3.	Accrual of discount .....	0	0
4.	Unrealized valuation increase (decrease) .....	0	0
5.	Total gain (loss) on disposals .....	0	0
6.	Deduct consideration received on disposals .....	9,713,526	10,345,125
7.	Deduct amortization of premium .....	0	0
8.	Total foreign exchange change in book/adjusted carrying value .....	0	0
9.	Deduct current year's other-than-temporary impairment recognized .....	0	0
10.	Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9) .....	2,886,265	10,148,592
11.	Deduct total nonadmitted amounts .....	0	0
12.	Statement value at end of current period (Line 10 minus Line 11) .....	2,886,265	10,148,592

**E01 Schedule A Part 2 . . . . . NONE**

**E01 Schedule A Part 3 . . . . . NONE**

**E02 Schedule B Part 2 . . . . . NONE**

**E02 Schedule B Part 3 . . . . . NONE**

**E03 Schedule BA Part 2 . . . . . NONE**

**E03 Schedule BA Part 3 . . . . . NONE**

## SCHEDULE D - PART 3

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

1 CUSIP Identification	2 Description	3 Foreign	4 Date Acquired	5 Name of Vendor	6 Number of Shares of Stock	7 Actual Cost	8 Par Value	9 Paid for Accrued Interest and Dividends	10 NAIC Designation and Administrative Symbol/ Market Indicator (a)
<b>Bonds - U.S. Special Revenue, Special Assessment</b>									
31393BW76	FNW 03W6B 6A - CMO/RMBS		09/09/2019	UNITED MO BANK OF KANSAS CITY	X X X	501,944	476,627	600	1
31393DUG4	FNW 03W10B 2A - CMO/RMBS		09/10/2019	UNITED MO BANK OF KANSAS CITY	X X X	599,500	572,604	746	1
31393ELU1	FNW 03W12C 3A - CMO/RMBS		07/11/2019	BROWNSTONE INVESTMENT	X X X	645,983	624,138	1,129	1
31393XVJ3	FNW 04W3 A7 - CMO/RMBS		07/18/2019	UNITED MO BANK OF KANSAS CITY	X X X	404,238	365,000	1,171	1
3199999 Subtotal - Bonds - U.S. Special Revenue, Special Assessment					X X X	2,151,665	2,038,369	3,647	X X X
<b>Bonds - Industrial and Miscellaneous (Unaffiliated)</b>									
12649XAQ2	CSMC 153 A9 - CMO/RMBS		07/01/2019	BROWNSTONE INVESTMENT	X X X	(7,525)	(7,525)	(1,171)	1FE
3899999 Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					X X X	(7,525)	(7,525)	(1,171)	X X X
8399997 Subtotal - Bonds - Part 3					X X X	2,144,140	2,030,844	2,476	X X X
8399998 Summary Item from Part 5 for Bonds (N/A to Quarterly)					X X X	X X X	X X X	X X X	X X X
8399999 Subtotal - Bonds					X X X	2,144,140	2,030,844	2,476	X X X
8999998 Summary Item from Part 5 for Preferred Stocks (N/A to Quarterly)					X X X	X X X	X X X	X X X	X X X
8999999 Subtotal - Preferred Stocks					X X X	0	X X X	0	X X X
<b>Common Stocks - Parent, Subsidiaries and Affiliates</b>									
					0.000	0	X X X	0	
9199999 Subtotal - Common Stocks - Parent, Subsidiaries and Affiliates					X X X	0	X X X	0	X X X
9799997 Subtotal - Common Stocks - Part 3					X X X	0	X X X	0	X X X
9799998 Summary Item from Part 5 for Common Stocks (N/A to Quarterly)					X X X	X X X	X X X	X X X	X X X
9799999 Subtotal - Common Stocks					X X X	0	X X X	0	X X X
9899999 Subtotal - Preferred and Common Stocks					X X X	0	X X X	0	X X X
9999999 Total - Bonds, Preferred and Common Stocks					X X X	2,144,140	X X X	2,476	X X X

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues .....0.

QE04

## SCHEDULE D - PART 4

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

1 CUSIP Identification	2 Description	3 F o r e i g n Date	4 Disposal Date	5 Name of Purchaser	6 Number of Shares of Stock	7 Consideration	8 Par Value	9 Actual Cost	10 Prior Year Book/ Adjusted Carrying Value	Change in Book/Adjusted Carrying Value					16 Book/ Adjusted Carrying Value at Disposal Date	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Bond Interest/ Stock Dividends Received During Year	21 Stated Contractual Maturity Date	22 NAIC Designation and Admini- strative Symbol/ Market Indicator (a)	
										11 Unrealized Valuation Increase/ (Decrease)	12 Current Year's (Amortization)/ Accretion	13 Current Year's Other Than Temporary Impairment Recognized	14 Total Change in B./A.C.V.	15 Total Foreign Exchange Change in B./A.C.V.								
<b>Bonds - U.S. Governments</b>																						
911760TM8	VENDE 03Z - CMO/RMBS		09/01/2019	Paydown	X X X	17,296	17,296	18,507	0	0	(3)	0	(3)	0	18,504	0	(1,208)	(1,208)	160	05/15/2033	1	
0599999	Subtotal - Bonds - U.S. Governments				X X X	17,296	17,296	18,507	0	0	(3)	0	(3)	0	18,504	0	(1,208)	(1,208)	160	X X X	X X X	
<b>Bonds - U.S. Special Revenue, Special Assessment</b>																						
31393ELU1	FNW 03W12C 3A - CMO/RMBS		09/01/2019	Paydown	X X X	20,079	20,079	20,781	0	0	(10)	0	(10)	0	20,772	0	(693)	(693)	118	03/25/2043	1	
3199999	Subtotal - Bonds - U.S. Special Revenue, Special Assessment				X X X	20,079	20,079	20,781	0	0	(10)	0	(10)	0	20,772	0	(693)	(693)	118	X X X	X X X	
<b>Bonds - Industrial and Miscellaneous (Unaffiliated)</b>																						
12649XAQ2	CSMC 153 A9 - CMO/RMBS		09/25/2019	Paydown	X X X	14,739	14,877	14,901	0	0	(52)	0	(52)	0	14,849	0	(110)	(110)	166	03/25/2045	1FE	
139738AH1	AFIN 152 D - ABS		08/20/2019	Paydown	X X X	175,659	175,659	175,686	0	0	(21)	0	(21)	0	175,665	0	(6)	(6)	3,585	11/20/2020	1FE	
17323CAB3	CGCMT 15GC27 A2 - CMBS		09/01/2019	Paydown	X X X	34,233	34,233	34,059	0	0	98	0	98	0	34,157	0	76	76	592	02/12/2048	1FE	
36242D5W9	GSR 055F 2A2 - CMO/RMBS		09/01/2019	Paydown	X X X	11,574	11,574	12,254	0	0	(11)	0	(11)	0	12,244	0	(669)	(669)	120	06/25/2035	1FE	
46647JAE0	JPMMT 164 A5 - CMO/RMBS		09/01/2019	Paydown	X X X	14,646	14,646	14,344	14,341	0	34	0	34	0	14,375	0	272	272	353	10/25/2046	1FE	
46647SAJ9	JPMMT 173 1A5 - CMO/RMBS		09/01/2019	Paydown	X X X	34,669	34,669	34,430	0	0	7	0	7	0	34,437	0	232	232	744	08/26/2047	1FE	
46648CAE4	JPMMT 171 A5 - CMO/RMBS		09/01/2019	Paydown	X X X	18,365	18,365	18,055	18,050	0	31	0	31	0	18,081	0	284	284	425	01/25/2047	1FE	
97652PAD3	WIN 141 A4 - CMO/RMBS		09/01/2019	Paydown	X X X	28,529	28,529	28,511	0	0	(20)	0	(20)	0	28,490	0	38	38	522	06/20/2044	1FE	
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)				X X X	332,414	332,552	332,241	32,392	0	66	0	66	0	332,299	0	114	114	6,507	X X X	X X X	
8399997	Subtotal - Bonds - Part 4				X X X	369,789	369,927	371,530	32,392	0	53	0	53	0	371,575	0	(1,787)	(1,787)	6,785	X X X	X X X	
8399998	Summary Item from Part 5 for Bonds (N/A to Quarterly)				X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X
8399999	Subtotal - Bonds				X X X	369,789	369,927	371,530	32,392	0	53	0	53	0	371,575	0	(1,787)	(1,787)	6,785	X X X	X X X	
8999998	Summary Item from Part 5 for Preferred Stocks (N/A to Quarterly)				X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X
8999999	Subtotal - Preferred Stocks				X X X	0	X X X	0	0	0	0	0	0	0	0	0	0	0	0	0	X X X	X X X
9799998	Summary Item from Part 5 for Common Stocks (N/A to Quarterly)				X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X	X X X
9799999	Subtotal - Common Stocks				X X X	0	X X X	0	0	0	0	0	0	0	0	0	0	0	0	0	X X X	X X X
9899999	Subtotal - Preferred and Common Stocks				X X X	0	X X X	0	0	0	0	0	0	0	0	0	0	0	0	0	X X X	X X X
9999999	Total - Bonds, Preferred and Common Stocks				X X X	369,789	X X X	371,530	32,392	0	53	0	53	0	371,575	0	(1,787)	(1,787)	6,785	X X X	X X X	

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues .....0.

Q05

**E06 Schedule DB Part A Section 1 ..... NONE**

**E07 Schedule DB Part B Section 1 ..... NONE**

**E08 Schedule DB Part D Section 1 ..... NONE**

**E09 Schedule DB Part D Section 2 - Collateral Pledged By Reporting Entity ..... NONE**

**E09 Schedule DB Part D Section 2 - Collateral Pledged To Reporting Entity ..... NONE**

**E10 Schedule DL - Part 1 - Securities Lending Collateral Assets ..... NONE**

**E11 Schedule DL - Part 2 - Securities Lending Collateral Assets ..... NONE**

## SCHEDULE E - PART 1 - CASH

### Month End Depository Balances

1		2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
Depository		Code	Rate of Interest	Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date	6	7	8	*
						First Month	Second Month	Third Month	
<b>open depositories</b>									
Wells Fargo Bank, N.A.	San Francisco, CA		0.000	0	0	17,337,513	13,183,181	16,197,520	X X X
Wells Fargo Bank, N.A.	San Francisco, CA		0.000	0	0	1,471,809	804,139	564,829	X X X
Sandia Area	Albuquerque, NM		0.450	379	0	251,025	251,280	251,403	X X X
Wells Fargo Bank, N.A.	Albuquerque, NM		0.000	0	0	65,568	65,305	65,966	X X X
0199998 Deposits in .....0 depositories that do not exceed the allowable limit in any one depository (see Instructions) - open depositories		X X X	X X X	0	0	0	0	0	X X X
0199999 Totals - Open Depositories		X X X	X X X	379	0	19,125,915	14,303,904	17,079,718	X X X
0299998 Deposits in .....0 depositories that do not exceed the allowable limit in any one depository (see Instructions) - suspended depositories		X X X	X X X	0	0	0	0	0	X X X
0299999 Totals - Suspended Depositories		X X X	X X X	0	0	0	0	0	X X X
0399999 Total Cash On Deposit		X X X	X X X	379	0	19,125,915	14,303,904	17,079,718	X X X
0499999 Cash in Company's Office		X X X	X X X	X X X	X X X	0	0	0	X X X
0599999 Total Cash		X X X	X X X	379	0	19,125,915	14,303,904	17,079,718	X X X

## 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 & Accrued	Amount Received During Year
<b>All Other Money Market Mutual Funds</b>								
14956P810	CAVANAL HILL:GS MM SEL		09/30/2019	1.940	X X X	2,886,265	0	21,841
8699999 Subtotal - All Other Money Market Mutual Funds						2,886,265	0	21,841
8899999 Total - Cash Equivalents						2,886,265	0	21,841

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