



**QUARTERLY STATEMENT**  
**AS OF SEPTEMBER 30, 2019**  
**OF THE CONDITION AND AFFAIRS OF THE**  
**Neighborhood Health Plan of Rhode Island**

NAIC Group Code 0000 , 0000 NAIC Company Code 95402 Employer's ID Number 05-0477052  
(Current Period) (Prior Period)

Organized under the Laws of Rhode Island , State of Domicile or Port of Entry RI

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[X] N/A[ ]

Incorporated/Organized 12/09/1993 Commenced Business 12/01/1994

Statutory Home Office 910 Douglas Pike , Smithfield, RI, US 02917  
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 910 Douglas Pike  
(Street and Number)

Smithfield, RI, US 02917 (401)459-6000  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address 910 Douglas Pike , Smithfield, RI, US 02917  
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 910 Douglas Pike  
(Street and Number)

Smithfield, RI, US 02917 (401)459-6000  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Web Site Address http://www.nhpri.org/

Statutory Statement Contact Joanne Roux (401)459-6118  
(Name) (Area Code)(Telephone Number)(Extension)

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(E-Mail Address) (Fax Number)

**OFFICERS**

Name	Title
Peter Marino	Chief Executive Officer
Frank Meaney	Chief Financial Officer
Peter Lymm	Chief Operating Officer
Marylou Buyse	Chief Medical Officer

**OTHERS**

Peter Bancroft, Chairman  
 Brenda Dowlatshahi, Secretary  
 Jane Hayward, Vice Chairman  
 Merrill Thomas, Treasurer

**DIRECTORS OR TRUSTEES**

Merrill Thomas  
 Raymond Joseph Lavoie Jr.  
 Pablo Rodriguez MD  
 Peter Bancroft CPA  
 Jeanne LaChance  
 Dennis Roy  
 Richard Besdine MD  
 Gary Furtado  
 Alison Croke  
 Brenda Dowlatshahi  
 Christopher Little Esq.  
 Jane Hayward  
 Doris De Los Santos  
 William Hochstrasser-Walsh  
 Patricia Martinez  
 Peter Marino  
 Keith Oliveira

State of Rhode Island  
 County of Providence 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) <b>Peter Marino</b> _____ (Printed Name) 1. <b>Chief Executive Officer</b> _____ (Title)	_____ (Signature) <b>Frank Meaney</b> _____ (Printed Name) 2. <b>Chief Financial Officer</b> _____ (Title)	_____ (Signature) <b>Marylou Buyse</b> _____ (Printed Name) 3. <b>Chief Medical Officer</b> _____ (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 [ ]

\_\_\_\_\_  
 (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 .....	90,946,635		90,946,635	104,084,675
2. Stocks:				
2.1 Preferred stocks .....				
2.2 Common stocks .....				
3. Mortgage loans on real estate:				
3.1 First liens .....				
3.2 Other than first liens .....				
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances) .....				
4.2 Properties held for the production of income (less \$.....0 encumbrances) .....				
4.3 Properties held for sale (less \$.....0 encumbrances) .....				
5. Cash (\$.....26,818,380), cash equivalents (\$.....1,654,570) and short-term investments (\$.....33,704,061) .....	62,177,012		62,177,012	143,537,483
6. Contract loans (including \$.....0 premium notes) .....				
7. Derivatives .....				
8. Other invested assets .....				
9. Receivables for securities .....				6,433
10. Securities lending reinvested collateral assets .....				
11. Aggregate write-ins for invested assets .....				
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	153,123,647		153,123,647	247,628,591
13. Title plants less \$.....0 charged off (for Title insurers only) .....				
14. Investment income due and accrued .....	580,799		580,799	831,110
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	72,770,892	2,296,309	70,474,583	36,299,311
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums) .....				
15.3 Accrued retrospective premiums (\$.....62,546,405) and contracts subject to redetermination (\$.....0) .....	62,546,405		62,546,405	14,557,001
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	350,573		350,573	2,002,705
16.2 Funds held by or deposited with reinsured companies .....				
16.3 Other amounts receivable under reinsurance contracts .....				
17. Amounts receivable relating to uninsured plans .....	19,973,796		19,973,796	9,130,503
18.1 Current federal and foreign income tax recoverable and interest thereon .....				
18.2 Net deferred tax asset .....				
19. Guaranty funds receivable or on deposit .....				
20. Electronic data processing equipment and software .....	2,505,885	1,685,036	820,849	902,554
21. Furniture and equipment, including health care delivery assets (\$.....0) .....	4,049,377	4,049,377		
22. Net adjustments in assets and liabilities due to foreign exchange rates .....				
23. Receivables from parent, subsidiaries and affiliates .....				
24. Health care (\$.....11,979,113) and other amounts receivable .....	30,158,895	7,854,510	22,304,385	12,898,924
25. Aggregate write-ins for other-than-invested assets .....	8,336,162	7,186,587	1,149,575	9,630,791
26. TOTAL assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	354,396,431	23,071,819	331,324,612	333,881,490
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....				
28. TOTAL (Lines 26 and 27) .....	354,396,431	23,071,819	331,324,612	333,881,490
<b>DETAILS OF WRITE-INS</b>				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....				
1199. TOTALS (Lines 1101 through 1103 plus 1198) (Line 11 above) .....				
2501. Prepaid Premium Tax .....				907,867
2502. Prepaid Expenses .....	2,604,591	2,604,591		
2503. Receivable from State .....	1,149,575		1,149,575	4,740,688
2598. Summary of remaining write-ins for Line 25 from overflow page .....	4,581,996	4,581,996		3,982,236
2599. TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....	8,336,162	7,186,587	1,149,575	9,630,791

**LIABILITIES, CAPITAL AND SURPLUS**

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$.....0 reinsurance ceded) .....	116,135,277		116,135,277	129,685,152
2. Accrued medical incentive pool and bonus amounts .....	3,357,390		3,357,390	1,442,239
3. Unpaid claims adjustment expenses .....	3,195,545		3,195,545	3,364,213
4. Aggregate health policy reserves, including the liability of \$.....0 for medical loss ratio rebate per the Public Health Service Act .....	5,513,162		5,513,162	7,500,000
5. Aggregate life policy reserves .....				
6. Property/casualty unearned premium reserve .....				
7. Aggregate health claim reserves .....				
8. Premiums received in advance .....	72,311,056		72,311,056	72,909,685
9. General expenses due or accrued .....	18,127,218		18,127,218	14,210,243
10.1 Current federal and foreign income tax payable and interest thereon (including \$.....0 on realized gains (losses)) .....				
10.2 Net deferred tax liability .....				
11. Ceded reinsurance premiums payable .....				
12. Amounts withheld or retained for the account of others .....	14,073,156		14,073,156	2,491,279
13. Remittances and items not allocated .....				
14. Borrowed money (including \$.....0 current) and interest thereon \$.....0 (including \$.....0 current) .....				
15. Amounts due to parent, subsidiaries and affiliates .....				
16. Derivatives .....				
17. Payable for securities .....	95,178		95,178	
18. Payable for securities lending .....				
19. Funds held under reinsurance treaties with (\$.....0 authorized reinsurers, \$.....0 unauthorized reinsurers and \$.....0 certified reinsurers) .....				
20. Reinsurance in unauthorized and certified (\$.....0) companies .....				
21. Net adjustments in assets and liabilities due to foreign exchange rates .....				
22. Liability for amounts held under uninsured plans .....				
23. Aggregate write-ins for other liabilities (including \$.....0 current) .....	695,644		695,644	712,389
24. Total liabilities (Lines 1 to 23) .....	233,503,626		233,503,626	232,315,200
25. Aggregate write-ins for special surplus funds .....	X X X	X X X		
26. Common capital stock .....	X X X	X X X		
27. Preferred capital stock .....	X X X	X X X		
28. Gross paid in and contributed surplus .....	X X X	X X X		
29. Surplus notes .....	X X X	X X X		
30. Aggregate write-ins for other-than-special surplus funds .....	X X X	X X X		
31. Unassigned funds (surplus) .....	X X X	X X X	97,820,986	101,566,289
32. Less treasury stock, at cost:				
32.1 .....0 shares common (value included in Line 26 \$.....0) .....	X X X	X X X		
32.2 .....0 shares preferred (value included in Line 27 \$.....0) .....	X X X	X X X		
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	X X X	X X X	97,820,986	101,566,289
34. Total Liabilities, capital and surplus (Lines 24 and 33) .....	X X X	X X X	331,324,612	333,881,489
<b>DETAILS OF WRITE-INS</b>				
2301. Unclaimed Property Payable .....	25,644		25,644	12,389
2302. Penalty and Interest .....	670,000		670,000	700,000
2303. ....				
2398. Summary of remaining write-ins for Line 23 from overflow page .....				
2399. TOTALS (Lines 2301 through 2303 plus 2398) (Line 23 above) .....	695,644		695,644	712,389
2501. ....	X X X	X X X		
2502. ....	X X X	X X X		
2503. ....	X X X	X X X		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	X X X	X X X		
2599. TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....	X X X	X X X		
3001. ....	X X X	X X X		
3002. ....	X X X	X X X		
3003. ....	X X X	X X X		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	X X X	X X X		
3099. TOTALS (Lines 3001 through 3003 plus 3098) (Line 30 above) .....	X X X	X X X		

**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	1,743,817	1,858,126	2,440,979
2. Net premium income (including \$.....0 non-health premium income) .....	X X X	987,517,743	1,062,609,442	1,373,688,533
3. Change in unearned premium reserves and reserves for rate credits .....	X X X			
4. Fee-for-service (net of \$.....0 medical expenses) .....	X X X			
5. Risk revenue .....	X X X			
6. Aggregate write-ins for other health care related revenues .....	X X X	2,791,569	3,559,610	4,058,486
7. Aggregate write-ins for other non-health revenues .....	X X X			
8. Total revenues (Lines 2 to 7) .....	X X X	990,309,312	1,066,169,052	1,377,747,019
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....		353,930,176	455,111,365	565,961,530
10. Other professional services .....		227,428,310	225,097,216	295,916,021
11. Outside referrals .....		128,988,276	133,378,787	174,033,997
12. Emergency room and out-of-area .....		38,544,634	36,375,892	48,292,294
13. Prescription drugs .....		137,939,594	124,662,869	168,373,108
14. Aggregate write-ins for other hospital and medical .....		(4,588,743)	(2,378,301)	(8,118,809)
15. Incentive pool, withhold adjustments and bonus amounts .....		1,915,151	(1,133,391)	(412,272)
16. Subtotal (Lines 9 to 15) .....		884,157,398	971,114,437	1,244,045,869
<b>Less:</b>				
17. Net reinsurance recoveries .....		880,246	3,995,404	4,569,785
18. Total hospital and medical (Lines 16 minus 17) .....		883,277,152	967,119,033	1,239,476,084
19. Non-health claims (net) .....				
20. Claims adjustment expenses, including \$.....15,456,447 cost containment expenses .....		25,651,693	23,589,729	31,441,514
21. General administrative expenses .....		77,784,349	78,295,027	103,426,579
22. Increase in reserves for life and accident and health contracts (including \$.....0 increase in reserves for life only) .....				
23. Total underwriting deductions (Lines 18 through 22) .....		986,713,194	1,069,003,789	1,374,344,177
24. Net underwriting gain or (loss) (Lines 8 minus 23) .....	X X X	3,596,118	(2,834,737)	3,402,842
25. Net investment income earned .....		2,348,795	2,663,963	3,765,562
26. Net realized capital gains (losses) less capital gains tax of \$.....0 .....		702,209	(414,572)	(545,457)
27. Net investment gains or (losses) (Lines 25 plus 26) .....		3,051,004	2,249,391	3,220,105
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$.....0) (amount charged off \$.....0)] .....			147,721	147,721
29. Aggregate write-ins for other income or expenses .....				(700,000)
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	6,647,122	(437,625)	6,070,668
31. Federal and foreign income taxes incurred .....	X X X			
32. Net income (loss) (Lines 30 minus 31) .....	X X X	6,647,122	(437,625)	6,070,668
<b>DETAILS OF WRITE-INS</b>				
0601. EOHHS Incentive Income .....	X X X	2,791,569	3,559,610	4,058,486
0602. Grant Revenue .....	X X X			
0603. ....	X X X			
0698. Summary of remaining write-ins for Line 6 from overflow page .....	X X X			
0699. TOTALS (Lines 0601 through 0603 plus 0698) (Line 6 above) .....	X X X	2,791,569	3,559,610	4,058,486
0701. ....	X X X			
0702. ....	X X X			
0703. ....	X X X			
0798. Summary of remaining write-ins for Line 7 from overflow page .....	X X X			
0799. TOTALS (Lines 0701 through 0703 plus 0798) (Line 7 above) .....	X X X			
1401. Stop Loss Recoveries from EOHHS .....		(4,588,743)	(2,378,301)	(8,118,809)
1402. Gain Shares due to EOHHS .....				
1403. CMS Cost Sharing Reduction Recoveries .....				
1498. Summary of remaining write-ins for Line 14 from overflow page .....				
1499. TOTALS (Lines 1401 through 1403 plus 1498) (Line 14 above) .....		(4,588,743)	(2,378,301)	(8,118,809)
2901. Penalty and Interest .....				(700,000)
2902. ....				
2903. ....				
2998. Summary of remaining write-ins for Line 29 from overflow page .....				
2999. TOTALS (Lines 2901 through 2903 plus 2998) (Line 29 above) .....				(700,000)

**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 .....	101,566,291	100,277,569	100,277,568
34. Net income or (loss) from Line 32 .....	6,647,122	(437,625)	6,070,668
35. Change in valuation basis of aggregate policy and claim reserves .....			
36. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0	(51,066)	401,796	480,882
37. Change in net unrealized foreign exchange capital gain or (loss) .....			
38. Change in net deferred income tax .....			
39. Change in nonadmitted assets .....	(10,341,358)	(2,732,180)	(5,262,827)
40. Change in unauthorized and certified reinsurance .....			
41. Change in treasury stock .....			
42. Change in surplus notes .....			
43. Cumulative effect of changes in accounting principles .....			
44. Capital Changes:			
44.1 Paid in .....			
44.2 Transferred from surplus (Stock Dividend) .....			
44.3 Transferred to surplus .....			
45. Surplus adjustments:			
45.1 Paid in .....			
45.2 Transferred to capital (Stock Dividend) .....			
45.3 Transferred from capital .....			
46. Dividends to stockholders .....			
47. Aggregate write-ins for gains or (losses) in surplus .....			
48. Net change in capital and surplus (Lines 34 to 47) .....	(3,745,302)	(2,768,009)	1,288,723
49. Capital and surplus end of reporting period (Line 33 plus 48) .....	97,820,989	97,509,560	101,566,291
<b>DETAILS OF WRITE-INS</b>			
4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page .....			
4799. TOTALS (Lines 4701 through 4703 plus 4798) (Line 47 above) .....			

**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 .....	901,661,560	1,020,030,718	1,324,990,340
2. Net investment income .....	2,750,986	2,834,260	4,022,496
3. Miscellaneous income .....	2,791,569	3,559,610	4,058,486
4. TOTAL (Lines 1 to 3) .....	907,204,115	1,026,424,588	1,333,071,322
5. Benefit and loss related payments .....	905,920,028	978,115,600	1,275,373,832
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			
7. Commissions, expenses paid and aggregate write-ins for deductions .....	110,531,028	103,544,543	147,388,080
8. Dividends paid to policyholders .....			
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses) .....			
10. TOTAL (Lines 5 through 9) .....	1,016,451,056	1,081,660,143	1,422,761,912
11. Net cash from operations (Line 4 minus Line 10) .....	(109,246,941)	(55,235,555)	(89,690,590)
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	42,169,849	23,868,255	31,897,557
12.2 Stocks .....			
12.3 Mortgage loans .....			
12.4 Real estate .....			
12.5 Other invested assets .....			
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	18,278	(586)	
12.7 Miscellaneous proceeds .....	101,611	342,258	4,402
12.8 TOTAL investment proceeds (Lines 12.1 to 12.7) .....	42,289,738	24,209,927	31,901,959
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	28,550,824	25,589,900	33,938,573
13.2 Stocks .....			
13.3 Mortgage loans .....			
13.4 Real estate .....			
13.5 Other invested assets .....			
13.6 Miscellaneous applications .....			587
13.7 TOTAL investments acquired (Lines 13.1 to 13.6) .....	28,550,824	25,589,900	33,939,160
14. Net increase (or decrease) in contract loans and premium notes .....			
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	13,738,914	(1,379,973)	(2,037,201)
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....			
16.2 Capital and paid in surplus, less treasury stock .....			
16.3 Borrowed funds .....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....			
16.5 Dividends to stockholders .....			
16.6 Other cash provided (applied) .....	14,147,558	(2,686,421)	(8,345,969)
17. Net cash from financing and miscellaneous sources (Line 16.1 through 16.4 minus Line 16.5 plus Line 16.6) .....	14,147,558	(2,686,421)	(8,345,969)
<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) .....	(81,360,469)	(59,301,949)	(100,073,760)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	143,537,482	243,611,242	243,611,242
19.2 End of period (Line 18 plus Line 19.1) .....	62,177,013	184,309,293	143,537,482

**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							
Total Members at end of:										
1. Prior Year .....	193,920	22,641	1,173						170,106	
2. First Quarter .....	195,741	26,473	1,212						168,056	
3. Second Quarter .....	193,859	26,058	1,322						166,479	
4. Third Quarter .....	191,422	25,512	1,386						164,524	
5. Current Year .....										
6. Current Year Member Months .....	1,743,817	232,250	11,538						1,500,029	
Total Member Ambulatory Encounters for Period:										
7. Physician .....	4,757,320	349,529	12,847						4,394,944	
8. Non-Physician .....	809,986	70,995	2,377						736,614	
9. Total .....	5,567,306	420,524	15,224						5,131,558	
10. Hospital Patient Days Incurred .....	595,402	7,737	256						587,409	
11. Number of Inpatient Admissions .....	44,662	1,411	53						43,198	
12. Health Premiums Written (a) .....	990,775,202	85,903,086	3,457,488						901,414,628	
13. Life Premiums Direct .....										
14. Property/Casualty Premiums Written .....										
15. Health Premiums Earned .....	990,775,202	85,903,086	3,457,488						901,414,628	
16. Property/Casualty Premiums Earned .....										
17. Amount Paid for Provision of Health Care Services .....	908,452,407	62,657,628	2,359,188						843,435,591	
18. Amount Incurred for Provision of Health Care Services .....	884,157,398	59,346,772	2,405,940						822,404,686	

(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
0199999 Individually Listed Claims Unpaid .....						
0299999 Aggregate Accounts Not Individually Listed - Uncovered .....						
0399999 Aggregate Accounts Not Individually Listed - Covered .....	19,493,831	1,335,052	10,266		257,627	21,096,776
0499999 Subtotals .....	19,493,831	1,335,052	10,266		257,627	21,096,776
0599999 Unreported claims and other claim reserves .....						95,038,500
0699999 Total Amounts Withheld .....						
0799999 Total Claims Unpaid .....						116,135,276
0899999 Accrued Medical Incentive Pool And Bonus Amounts .....						3,357,390



## 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) .....	5,374,860	59,641,956	2,148,312	6,986,887	7,523,172	8,702,403
2. Medicare Supplement .....						
3. Dental only .....						
4. Vision only .....						
5. Federal Employees Health Benefits Plan .....						
6. Title XVIII - Medicare .....						
7. Title XIX - Medicaid .....	75,646,209	766,909,136	20,038,941	86,961,136	95,685,150	120,982,750
8. Other health .....						
9. Health subtotal (Lines 1 to 8) .....	81,021,069	826,551,092	22,187,253	93,948,023	103,208,322	129,685,153
10. Healthcare receivables (a) .....	1,177,890	3,332,413	49,638	24,958,954	1,227,528	16,858,611
11. Other non-health .....						
12. Medical incentive pools and bonus amounts .....			1,194,033	2,163,357	1,194,033	1,442,239
13. Totals (Lines 9 - 10 + 11 + 12) .....	79,843,179	823,218,679	23,331,648	71,152,426	103,174,827	114,268,781

(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 accompanying financial statements of Neighborhood Health Plan of Rhode Island (the “Company” or “Neighborhood”) have been prepared in conformity with accounting practices prescribed or permitted by the state of Rhode Island for determining and reporting the financial conditions and results of operations of an insurance company for determining its solvency under Rhode Island 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 Rhode Island.

A reconciliation of the Company’s net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the state of Rhode Island is shown below:

		SSAP #	F/S Page	F/S Line #	2019	2018
<b>NET INCOME</b>						
(1)	State basis (Page 4, Line 32, Columns 2 & 3)				6,647,122	6,070,668
(2)	State Prescribed Practices that increase/(decrease) NAIC SAP:					
(201)						
(299)	Total				0	0
(3)	State Permitted Practices that increase/(decrease) NAIC SAP:					
(301)						
(399)	Total				0	0
(4)	NAIC SAP (1-2-3=4)				6,647,122	6,070,668
<b>SURPLUS</b>						
(5)	State basis (Page 3, Line 33, Columns 3 & 4)				97,820,986	101,566,289
(6)	State Prescribed Practices that increase/(decrease) NAIC SAP:					
(601)						
(699)	Total				0	0
(7)	State Permitted Practices that increase/(decrease) NAIC SAP:					
(701)						
(799)	Total				0	0
(8)	NAIC SAP (5-6-7=8)				97,820,986	101,566,289

## Notes to Financial Statement

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

No Material Change

### C. Accounting Policy

(1) No Material Change

(2) SVO-Identified investments – None

(3) – (5) No Material Change

(6) The Company only has loan-backed securities designated with NAIC 1 designations and are reported at amortized cost.

(7) – (13) - No Material Change

### D. Going Concern

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 Change

## 3. Business Combinations and Goodwill

No Material Change

## 4. Discontinued Operations

No Material Change

## 5. Investments

A. Mortgage Loans – No Material Change

B. Debt Restructuring – No Material Change

C. Reverse Mortgages – No Material Change

D. Loan-Backed Securities

(1) Prepayment assumptions for loan-backed securities were obtained from third party sources

(2), (3) There are no other-than-temporary impairments on any loan-backed securities

E. Dollar Repurchase Agreements and/or Securities Lending Transactions - None

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing – None

## Notes to Financial Statement

- 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 Change
- K. Low-income housing tax credits (LIHTC) – No Material Change
- L. Restricted Assets – No Material Change
- M. Working Capital Finance Investments – None
- N. Offsetting and Netting of Assets and Liabilities – None
- O. Structured Notes – No Material Change
- P. 5GI Securities – No Material Change
- Q. Short Sales – No Material Change
- R. Prepayment Penalty and Acceleration Fees – No Material Change

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

No Material Change

### **7. Investment Income**

No Material Change

### **8. Derivative Instruments**

None

### **9. Income Taxes**

No Material Change

### **10. Information Concerning Parent, Subsidiaries and Affiliates**

No Material Change

### **11. Debt**

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

## Notes to Financial Statement

### **12. Retirement Plans, Deferred Compensation, Post-Employment Benefits, Compensated Absences and other Postretirement Benefit Plans.**

- A. Defined Benefit Plan – None
- B. Investment Policies and Strategies – No Material Change
- C. Plan Assets – No Material Change
- D. Long-term Rate-of-return-on-assets Assumption - No Material Change
- E. Defined Contribution Plans – No Material Change
- F. Multi-Employer Plan – No Material Change
- G. Consolidated/Holding Company Plans – No Material Change
- H. Post-Employment Benefits and Compensated Absences – No Material Change
- I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17) – No Material Change

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

- (1) – (11) - No Material Change
- (12) – (13) - No Material Change

### **14. Contingencies**

No Material Change

### **15. Leases**

- A. Lessee Operating Leases - No Material Change
- B. (1) Lessor Leases – No Material Change
- (2) Leveraged Leases - No Material Change

### **16. Information about Financial Instruments with off-balance sheet risk and financial instruments with concentrations of credit risk.**

No Material Change

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

- A. Transfers of Receivables reported as Sales – No Material Change

## Notes to Financial Statement

B. Transfer and Servicing of Financial Assets - None

C. Wash Sales – None

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

No Material Change

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

No Material Change

### 20. Fair Value Measurements

#### A. Fair Market Value at Reporting Date

(1) Fair Value Measurements at reporting date: During 2019, Neighborhood only reports Money Market Mutual Funds in Cash Equivalents at fair value using Level 2. The Company has no other assets or liabilities reported at fair value. Level 1 measurement is the unadjusted quoted price for identical assets or liabilities in active markets accessible at the measurement date, Level 2 measurement requires significant other observable inputs, and Level 3 requires significant unobservable inputs. Neighborhood's investments, comprised principally of bonds, are recorded at amortized cost.

	Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Total
a.	Assets at fair value					
	Cash Equivalents					
	Money Market Fund		1,654,570			1,654,570
	Total Cash Equivalents		1,654,570			1,654,570
	Subtotal – Assets at fair value		1,654,570			1,654,570
b.	Liabilities at fair value					
	Subtotal – Liabilities at fair value					

(2) Fair Value Measurements in (Level 3) of the Fair Value - 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 valuation techniques and inputs used in the fair value measurement Level 2: The fair value of most securities is priced automatically through Neighborhood's primary pricing vendor: Interactive Data Pricing and Reference Data, Inc., and other industry leading pricing sources like Bloomberg and PricingDirect Inc. In the event an automated price is not available from pricing vendors, other pricing sources, like investment managers and brokers, are used to ensure accurate and timely pricing.

The valuation techniques and inputs used in the fair value measurement Level 3 - Not Applicable.

(5) Derivative assets and liabilities- None

#### B. Fair Value Information under SSAP No. 100 combined with Fair Value information Under Other Account Pronouncements – None

## Notes to Financial Statement

### 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	93,012,446	90,946,635		93,012,446			
Short-term Investments	33,730,944	33,704,061		33,730,944			
Cash Equivalents	1,654,570	1,654,570		1,654,570			

D. Not Practicable to Estimate Fair Value – None

E. Investments Measured at Net Asset Value (NAV) - None

### 21. Other Items

- A. Unusual or Infrequent Items – No Material Change
- B. Troubled Debt Restructuring – No Material Change
- C. Other Disclosures – No Material Change
- D. Business Interruption Insurance Recoveries - No Material Change
- E. State Transferable and Nontransferable Tax Credits - No Material Change
- F. Subprime Related Risk Exposure – No Material Change
- G. Retained Assets - No Material Change
- H. Insurance Linked Securities – No Material Change

### 22. Events Subsequent

Type I. – Recognized Subsequent Events

No Material Change

Type II. – Nonrecognized Subsequent Events

No Material Change

### 23. Reinsurance

No Material Change

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

- A. Estimates accrued retrospective premium adjustments – No Material Change
- B. Accrued retrospective premium – No Material Change.
- C. Net premiums written subject to retrospective rating features – No Material Change

## Notes to Financial Statement

- D. Medical loss ratio rebates required pursuant to the Public Health Service Act – No Material Change
- 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	0
Liabilities	
2. Risk adjustment user fees payable for ACA Risk Adjustment	70,736
3.Premium adjustments payable due to ACA Risk Adjustment	5,513,162
Operations (Revenue & Expense)	
4.Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment	(8,482,802)
5.Reported in expenses as ACA risk adjustment user fees (incurred/paid)	36,656
b. Transitional ACA Reinsurance Program	
Assets	
1.Amounts recoverable for claims paid due to ACA Reinsurance	0
2.Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability)	0
3.Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	0
Liabilities	
4.Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	0
5.Ceded reinsurance premiums payable due to ACA Reinsurance	0
6.Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance	0
Operations (Revenue & Expense)	
7.Ceded reinsurance premiums due to ACA Reinsurance	0
8.Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments	0
9.ACA Reinsurance contributions – not reported as ceded premium	0
c. Temporary ACA Risk Corridors Program	
Assets	
1.Accrued retrospective premium due to ACA Risk Corridors	0
Liabilities	
2.Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	0
Operations (Revenue & Expense)	
3.Effect of ACA Risk Corridors on net premium income	0



## Notes to Financial Statement

(paid/received)

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

0

(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	
	1	2	3	4	5	6	7	8	Ref	9	10
<b>a. Permanent ACA Risk Adjustment Program</b>											
1. Premium adjustments receivable									A		
2. Premium adjustments (payable)		7,500,000		10,210,435		7,500,000		2,710,435	B		0
3. Subtotal ACA Permanent Risk Adjustment Program		7,500,000		10,210,435		7,500,000		2,710,435			0
<b>b. Transitional ACA Reinsurance Program</b>											
1. Amounts recoverable for claims paid									C		
2. Amounts recoverable for claims unpaid (contra liability)									D		
3. Amounts receivable relating to uninsured plans									E		
4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium									F		
5. Ceded reinsurance premiums payable									G		
6. Liability for amounts held under uninsured plans									H		
7. Subtotal ACA Transitional Reinsurance Program											
<b>c. Temporary ACA Risk Corridors Program</b>											
1. Accrued retrospective premium									I		
2. Reserve for rate credits or policy experience rating refunds									J		
3. Subtotal ACA Risk Corridors Program											
d. Total for ACA Risk Sharing Provisions		7,500,000		10,210,435		7,500,000		2,710,435			0

Explanations of Adjustments

B. Adjustment made based on notification from CMS

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

(5) ACA Risk Corridor Receivable - None

**25. Change in Incurred Claims and Claims Adjustment Expenses**

Reserves as of December 31, 2018 were \$134,491,604. As of September 30, 2019, \$84,385,282 has been paid for incurred claims and claims adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$23,381,286 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been a \$26,725,036 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.

## Notes to Financial Statement

There were no significant changes in methodologies and assumptions used in calculating the liability for unpaid losses and loss adjustment expenses.

### **26. Intercompany Pooling Arrangements**

No Material Change

### **27. Structured Settlements**

No Material Change

### **28. Health Care Receivables**

No Material Change

### **29. Participating Policies**

No Material Change

### **30. Premium Deficiency Reserves**

No Material Change

### **31. Anticipated Salvage and Subrogation**

No Material Change

# 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[ ] No[X]  
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: Yes[ ] No[X]
- 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. Yes[ ] No[X]
  
- 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[ ] N/A[X]  
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. ..... 12/31/2017 .....
- 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). ..... 02/28/2019 .....
- 6.4 By what department or departments?  
Rhode Island Department of Business Regulation, Insurance Division
- 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[ ] N/A[X]
  
- 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 Yes[ ] No[X]
  
- 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. Yes[ ] No[X]
- 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. Yes[ ] No[X]

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: Yes[ ] No[X]
- 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). Yes[ ] No[X]
- 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 .....		
14.22 Preferred Stock .....		
14.23 Common Stock .....		
14.24 Short-Term Investments .....		
14.25 Mortgages Loans on Real Estate .....		
14.26 All Other .....		
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) .....		
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[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
Comerica Bank .....	411 West Lafayette, Detroit, Mi 48226 .....
RBS Citizens Bank .....	One Citizens Plaza, Providence, RI 02903 .....

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
Income Research & Management .....	U .....
RBS Citizens Bank - Private Wealth .....	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[ ] No[X]
- 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[ ] No[X]
- 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
104863 .....	Income Research & Management .....		SEC .....	DS .....
	RBS Citizens Bank - Private Wealth .....	DRMSV1Q0EKMEXLAU1P80 .....	Inv Mgr, not a registered Investment Advisor .....	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:

- 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.

## **GENERAL INTERROGATORIES (Continued)**

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.
- 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  | ..... 91.010% |
| 1.2 A&H cost containment percent  | ..... 1.565%  |
| 1.3 A&H expense percent excluding cost containment expenses   | ..... 8.909%  |
| 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>								
27855 .....	36-2781080 .....	01/01/2019 .....	ZURICH AMER INS CO OF IL .....	IL .....	SSL/A/I .....	Authorized .....		

# SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

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

1.	State, Etc.	1 Active Status (a)	Direct Business Only							
			2 Accident and Health Premiums	3 Medicare Title XVIII	4 Medicaid Title XIX	5 Federal Employees Health Benefits Program Premiums	6 Life and Annuity Premiums and Other Considerations	7 Property/Casualty Premiums	8 Total Columns 2 Through 7	9 Deposit-Type Contracts
2.	Alabama (AL)	N								
3.	Alaska (AK)	N								
4.	Arizona (AZ)	N								
5.	Arkansas (AR)	N								
6.	California (CA)	N								
7.	Colorado (CO)	N								
8.	Connecticut (CT)	N								
9.	Delaware (DE)	N								
10.	District of Columbia (DC)	N								
11.	Florida (FL)	N								
12.	Georgia (GA)	N								
13.	Hawaii (HI)	N								
14.	Idaho (ID)	N								
15.	Illinois (IL)	N								
16.	Indiana (IN)	N								
17.	Iowa (IA)	N								
18.	Kansas (KS)	N								
19.	Kentucky (KY)	N								
20.	Louisiana (LA)	N								
21.	Maine (ME)	N								
22.	Maryland (MD)	N								
23.	Massachusetts (MA)	N								
24.	Michigan (MI)	N								
25.	Minnesota (MN)	N								
26.	Mississippi (MS)	N								
27.	Missouri (MO)	N								
28.	Montana (MT)	N								
29.	Nebraska (NE)	N								
30.	Nevada (NV)	N								
31.	New Hampshire (NH)	N								
32.	New Jersey (NJ)	N								
33.	New Mexico (NM)	N								
34.	New York (NY)	N								
35.	North Carolina (NC)	N								
36.	North Dakota (ND)	N								
37.	Ohio (OH)	N								
38.	Oklahoma (OK)	N								
39.	Oregon (OR)	N								
40.	Pennsylvania (PA)	N								
41.	Rhode Island (RI)	L	89,360,574		901,414,628				990,775,202	
42.	South Carolina (SC)	N								
43.	South Dakota (SD)	N								
44.	Tennessee (TN)	N								
45.	Texas (TX)	N								
46.	Utah (UT)	N								
47.	Vermont (VT)	N								
48.	Virginia (VA)	N								
49.	Washington (WA)	N								
50.	West Virginia (WV)	N								
51.	Wisconsin (WI)	N								
52.	Wyoming (WY)	N								
53.	American Samoa (AS)	N								
54.	Guam (GU)	N								
55.	Puerto Rico (PR)	N								
56.	U.S. Virgin Islands (VI)	N								
57.	Northern Mariana Islands (MP)	N								
58.	Canada (CAN)	N								
59.	Aggregate other alien (OT)	X X X								
60.	Subtotal	X X X	89,360,574		901,414,628				990,775,202	
61.	Reporting entity contributions for Employee Benefit Plans	X X X								
61.	<b>Total (Direct Business)</b>	<b>X X X</b>	<b>89,360,574</b>		<b>901,414,628</b>				<b>990,775,202</b>	
<b>DETAILS OF WRITE-INS</b>										
58001.		X X X								
58002.		X X X								
58003.		X X X								
58998.	Summary of remaining write-ins for Line 58 from overflow page	X X X								
58999.	<b>TOTALS (Lines 58001 through 58003 plus 58998) (Line 58 above)</b>	<b>X X X</b>								

(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

R Registered - Non-domiciled RRGs

Q Qualified - Qualified or accredited reinsurer

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**15 Schedule Y - Part 1 ..... NONE**

**16 Schedule Y Part 1A - Detail of Insurance Holding Company System ..... NONE**

# 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



95402201936500003

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) .....				
2504. Deposits .....	4,404,504	4,404,504		
2505. Other Receivables .....	177,492	177,492		
2506. Medical Cost Action Savings .....				3,982,236
2597. Summary of remaining write-ins for Line 25 (Lines 2504 through 2596) .....	4,581,996	4,581,996		3,982,236

STATEMENT AS OF **September 30, 2019** OF THE **Neighborhood Health Plan of Rhode Island**  
**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 .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Current year change in encumbrances .....		
4. Total gain (loss) on disposals .....		
5. Deduct amounts received on disposals .....		
6. Total foreign exchange change in book/adjusted carrying value .....		
7. Deduct current year's other-than-temporary impairment recognized .....		
8. Deduct current year's depreciation .....		
9. Book/adjusted carrying value at the end of current period (Lines 1 + 2 + 3 + 4 - 5 + 6 - 7 - 8) .....		
10. Deduct total nonadmitted amounts .....		
11. Statement value at end of current period (Line 9 minus Line 10) .....		

**NONE**

**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 .....		
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 points .....		
9. Total foreign exchange change in book value/recorded investment .....		
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) .....		

**NONE**

**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 .....		
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) .....		

**NONE**

**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 .....	104,084,675	102,349,117
2. Cost of bonds and stocks acquired .....	28,550,824	33,938,573
3. Accrual of discount .....	70,199	99,666
4. Unrealized valuation increase (decrease) .....	(51,066)	480,882
5. Total gain (loss) on disposals .....	683,931	(544,871)
6. Deduct consideration for bonds and stocks disposed of .....	42,181,093	31,903,685
7. Deduct amortization of premium .....	222,079	341,134
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other-than-temporary impairment recognized .....		
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....	11,244	6,128
11. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9 + 10) .....	90,946,635	104,084,675
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12) .....	90,946,635	104,084,675

## 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) .....	118,252,862	22,510,817	18,031,887	193,921	149,204,676	118,252,862	122,925,713	155,620,518
2. NAIC 2 (a) .....	1,869,397			(144,412)	2,053,735	1,869,397	1,724,985	1,234,278
3. NAIC 3 (a) .....								
4. NAIC 4 (a) .....								
5. NAIC 5 (a) .....								
6. NAIC 6 (a) .....								
7. Total Bonds .....	120,122,257	22,510,817	18,031,887	49,509	151,258,410	120,122,257	124,650,696	156,854,796
<b>PREFERRED STOCK</b>								
8. NAIC 1 .....								
9. NAIC 2 .....								
10. NAIC 3 .....								
11. NAIC 4 .....								
12. NAIC 5 .....								
13. NAIC 6 .....								
14. Total Preferred Stock .....								
15. Total Bonds & Preferred Stock .....	120,122,257	22,510,817	18,031,887	49,509	151,258,410	120,122,257	124,650,696	156,854,796

(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 \$.....33,704,061; 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 .....	33,704,061	X X X	33,649,140	213,606	238,872

**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 .....	52,770,121	51,837,639
2. Cost of short-term investments acquired .....	42,833,917	72,232,650
3. Accrual of discount .....	356,503	320,867
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....	18,304	
6. Deduct consideration received on disposals .....	62,251,256	71,548,000
7. Deduct amortization of premium .....	23,528	73,034
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other-than-temporary impairment recognized .....		
10. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9) .....	33,704,061	52,770,121
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11) .....	33,704,061	52,770,121

**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 .....	46,948,371	95,613,431
2.	Cost of cash equivalents acquired .....	127,347,209	105,287,652
3.	Accrual of discount .....	3,960	5,366
4.	Unrealized valuation increase (decrease) .....		
5.	Total gain (loss) on disposals .....	(26)	(587)
6.	Deduct consideration received on disposals .....	172,644,945	153,957,491
7.	Deduct amortization of premium .....		
8.	Total foreign exchange change in book/adjusted carrying value .....		
9.	Deduct current year's other-than-temporary impairment recognized .....		
10.	Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9) .....	1,654,570	46,948,371
11.	Deduct total nonadmitted amounts .....		
12.	Statement value at end of current period (Line 10 minus Line 11) .....	1,654,570	46,948,371



**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. Governments</b>									
9128286B1	UNITED STATES TREASURY		09/27/2019	VARIOUS	X X X	1,523,915	1,433,000	17,478	1
9128286Z8	UNITED STATES TREASURY		09/27/2019	VARIOUS	X X X	1,817,505	1,791,000	5,559	1
9128287D6	UNITED STATES TREASURY		08/01/2019	MLPFS INC FIXED INCOME	X X X	451,981	452,529	52	1
0599999 Subtotal - Bonds - U.S. Governments					X X X	3,793,400	3,676,529	23,090	X X X
<b>Bonds - U.S. Special Revenue, Special Assessment</b>									
31288QCA6	FH 840965 - RMBS		07/11/2019	MLPFS INC FIXED INCOME	X X X	665,504	651,582	1,373	1
3140JAGZ5	FN BM5615 - RMBS		08/20/2019	BNP PARIBAS SECURITIES BOND	X X X	619,851	603,628	1,244	1
3140JAUN6	FN BM5988 - RMBS		07/11/2019	Stifel Nicolaus & Co.	X X X	794,760	778,492	1,601	1
35563PLH0	SCRT 193SC MA - CMO		08/06/2019	CITIGROUP GLOBAL MARKETS INC.	X X X	907,727	866,000	1,095	1
3199999 Subtotal - Bonds - U.S. Special Revenue, Special Assessment					X X X	2,987,842	2,899,702	5,312	X X X
8399997 Subtotal - Bonds - Part 3					X X X	6,781,243	6,576,231	28,402	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	6,781,243	6,576,231	28,402	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	X X X	X X X	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
9799999 Subtotal - Common Stocks					X X X	X X X	X X X	X X X	X X X
9899999 Subtotal - Preferred and Common Stocks					X X X	X X X	X X X	X X X	X X X
9999999 Total - Bonds, Preferred and Common Stocks					X X X	6,781,243	X X X	28,402	X X X

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

## 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	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/ 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>																					
83162CRN5	SBAP 0820A A - ABS		08/01/2019	Paydown	X X X	10,773	10,773	12,132	12,106		(1,333)		(1,333)		10,773				(81)	01/01/2028	1
83162CTB9	SBAP 1020B A - ABS		09/01/2019	Paydown	X X X	1,152	1,152	1,237	1,262		(111)		(111)		1,152		0	0	2,198	02/01/2030	1
83162CUR2	SBAP 1220C A - ABS		09/01/2019	Paydown	X X X	33,552	33,552	32,836	32,875		676		676		33,552				446	03/01/2032	1
83162CVA8	SBAP 1220I A - ABS		09/01/2019	Paydown	X X X	992	992	963	964		28		28		992				400	09/01/2032	1
83162CVPS	SBAP 1320F A - ABS		07/01/2019	Paydown	X X X														426	06/01/2033	1
83162CVR1	SBAP 1320G A - ABS		08/01/2019	Paydown	X X X	26,641	26,641	27,196	27,180		(539)		(539)		26,641				865	07/01/2033	1
83162CWG4	SBAP 1420E A - ABS		07/01/2019	Adjustment	X X X														242	05/01/2034	1
83162CWH2	SBAP 1420F A - ABS		07/01/2019	Paydown	X X X														844	06/01/2034	1
83162CWK5	SBAP 1420G A - ABS		08/01/2019	Paydown	X X X	1,152	1,152	1,152	1,152					1,152				537	07/01/2034	1	
83162CWN9	SBAP 1420I A - ABS		09/01/2019	Paydown	X X X	16,856	16,856	16,867	16,867		(11)		(11)		16,856			396	09/01/2034	1	
83162CXD0	SBAP 1520G G - ABS		08/01/2019	Paydown	X X X	17,720	17,720	17,720	17,720					17,720				522	07/01/2035	1	
83162CYHO	SBAP 1720B B - ABS		09/01/2019	Paydown	X X X	1,950	1,950	1,950	1,950					1,950				112	02/01/2037	1	
83162CYU1	SBAP 1720H H - ABS		08/01/2019	Paydown	X X X	8,945	8,945	8,699	8,699		246		246		8,945			252	08/01/2037	1	
83162CZA4	SBAP 1720L L - ABS		09/01/2019	VARIOUS	X X X	258,621	248,618	248,618	248,618					248,618		10,003	10,003	5,230	12/01/2037	1	
83162CZR7	SBAP 1820H H - ABS		08/01/2019	Paydown	X X X	7,988	7,988	7,988	7,988					7,988				282	08/01/2038	1	
9128283J2	UNITED STATES TREASURY		09/01/2019	VARIOUS	X X X	38,784	38,000	37,512	37,570		59		59		37,629		1,155	1,155	905	01/31/2023	1
9128284S6	UNITED STATES TREASURY		09/01/2019	VARIOUS	X X X	2,143,156	2,062,000	2,058,243	2,058,486		450		450		2,058,935		84,221	84,221	37,967	01/31/2023	1
9128285D8	UNITED STATES TREASURY		08/20/2019	DEUTSCHE BANK ALEX BROWN	X X X	264,229	250,000	250,137	250,136		(13)		(13)		250,123		14,106	14,106	6,422	09/30/2023	1
9128286G0	UNITED STATES TREASURY		08/06/2019	VARIOUS	X X X	681,942	666,000	672,206	672,206		(156)		(156)		672,050		9,892	9,892	5,778	02/29/2024	1
912828K33	UNITED STATES TREASURY		07/31/2019	UBS WARBURG LLC	X X X	16,215	16,404	15,996	16,257		(769)		(796)		15,461		753	753	16	04/15/2020	1
912828NM8	UNITED STATES TREASURY		07/31/2019	NOMURA SECURITIES/FIXED INCOME	X X X	388,993	387,509	384,551	389,937		(2,780)		(2,790)		359,567		29,426	29,426	5,031	07/15/2020	1
0599999	Subtotal - Bonds - U.S. Governments				X X X	3,919,660	3,796,251	3,795,603	3,121,070		(28,348)		(3,522)		3,770,103		149,556	149,556	68,789	X X X	X X X
<b>Bonds - U.S. Special Revenue, Special Assessment</b>																					
29270CYM1	ENERGY NORTHWEST WASH ELEC REV		08/01/2019	Maturity @ 100.00	X X X	185,000	185,000	186,197	185,123		(123)		(123)		185,000				3,350	07/01/2019	1FE
31288QCA6	FH 840965 - RMBS		09/01/2019	Paydown	X X X	7,848	7,848	8,016	8,016		(168)		(168)		7,848		0	0	22	05/01/2024	1
31300M7L1	FH 849899 - RMBS		09/01/2019	VARIOUS	X X X	13,195	13,195	13,715	13,879		(683)		(683)		13,195		0	0	342	06/01/2044	1
31347AJ47	FH 840283 - RMBS		09/01/2019	VARIOUS	X X X	12,328	12,328	12,605	12,738		(410)		(410)		12,328		0	0	300	04/01/2046	1
3137AJYX6	FHR 3977C AD - CMO/RMBS		09/01/2019	Paydown	X X X	3,524	3,524	3,653	3,554		(28)		(28)		3,524				(3)	09/15/2029	1
3137G1BW6	FWLS 17SC02 2A1 - CMO		09/01/2019	VARIOUS	X X X	15,427	15,427	15,758	15,705		(278)		(278)		15,427				435	05/25/2047	1
3138ETM45	FN AL8478 - RMBS		09/01/2019	Paydown	X X X	15,072	15,072	15,664	16,109		(1,037)		(1,037)		15,072				293	09/01/2044	1
3138ETND4	FN AL8487 - RMBS		09/01/2019	Paydown	X X X	9,777	9,777	10,055	10,438		(661)		(661)		9,777		0	0	180	04/01/2046	1
3138ETWN2	FN AL8752 - RMBS		09/01/2019	Paydown	X X X	4,306	4,306	4,280	4,290		16		16		4,306		0	0	82	07/01/2046	1
3138Y7F98	FN AX5591 - RMBS		09/01/2019	Paydown	X X X	13,493	13,493	14,017	14,491		(999)		(999)		13,493		0	0	299	01/01/2045	1
3140J5YE3	FN BM1608 - RMBS		09/01/2019	Paydown	X X X	11,220	11,220	11,252	11,345		(125)		(125)		11,220				184	12/01/2045	1
3140J8M83	FN BM3982 - RMBS		09/01/2019	Paydown	X X X	13,054	13,054	13,608	13,608		(555)		(555)		13,054		0	0	292	07/01/2042	1
3140J8RT2	FN BM4097 - RMBS		09/01/2019	Paydown	X X X	26,523	26,523	28,023	28,023		(1,500)		(1,500)		26,523				316	07/01/2047	1
3140J9B83	FN BM4562 - RMBS		09/01/2019	Paydown	X X X	7,844	7,844	7,780	7,780		64		64		7,844				122	05/01/2047	1
3140J9CG4	FN BM4570 - RMBS		09/01/2019	Paydown	X X X	49,273	49,273	50,243	50,243		(970)		(970)		49,273		0	0	278	12/01/2045	1
3140J9QD6	FN BM4951 - RMBS		09/01/2019	Paydown	X X X	17,759	17,759	18,558	18,558		(799)		(799)		17,759				260	09/01/2048	1
3140JAGZ5	FN BM5615 - RMBS		09/01/2019	Paydown	X X X	29,760	29,760	30,560	30,560		(800)		(800)		29,760				88	12/01/2044	1
3140JAU06	FN BM5988 - RMBS		09/01/2019	Paydown	X X X	29,434	29,434	30,049	30,049		(615)		(615)		29,434				123	08/01/2048	1
3140JLZ20	FN BN4359 - RMBS		09/01/2019	Paydown	X X X	5,990	5,990	6,328	6,328		(339)		(339)		5,990				64	02/01/2049	1
341271AA2	FLORIDA ST BRD ADMIN FIN CORP REV		07/01/2019	Maturity @ 100.00	X X X	215,000	215,000	218,539	215,573		(573)		(573)		215,000				4,650	07/01/2019	1FE
35563PHF9	SCRT 1845C MA - CMO		09/01/2019	Paydown	X X X	25,083	25,083	24,577	24,590		493		493		25,083		0	0	590	03/25/2058	1
35563PJF7	FH 1915C MA - CMO		09/01/2019	Paydown	X X X	13,254	14,152	14,274	14,274		(123)		(123)		14,152		(898)	(898)	481	07/25/2058	1
35563PKG3	SCRT 1925C MA - CMO		09/01/2019	VARIOUS	X X X	11,560	12,133	12,319	12,319		(186)		(186)		12,133		(573)	(573)	375	08/26/2058	1
35563PLH0	SCRT 1935C MA - CMO		09/01/2019	Paydown	X X X	19,047	19,047	19,965	19,965		(918)		(918)		19,047		0	0	83	10/25/2058	1
3199999	Subtotal - Bonds - U.S. Special Revenue, Special Assessment				X X X	754,768	756,239	770,034	527,834		(11,317)		(11,317)		756,239		(1,471)	(1,471)	13,207	X X X	X X X
<b>Bonds - Industrial and Miscellaneous (Unaffiliated)</b>																					
02377BAB2	AMERICAN AIRLINES INC - ABS		09/22/2019	Paydown	X X X	16,084	16,084	16,090	16,089		(5)		(5)		16,084				736	03/22/2029	1FE
072863AA1	BAYLOR SCOTT & WHITE HOLDINGS		08/29/2019	RAYMOND JAMES/F	X X X	4,981	5,000	5,025	5,010		(4)		(4)		5,006		(25)	(25)	84	11/15/2020	1FE
12592RBF5	COMM 14CR21 A3 - CMBS		09/01/2019	Paydown	X X X	16,091	16,091	16,197	16,197		(106)		(106)		16,091				375	12/12/2047	1FE
12625KAD7	COMM 13CRE8 A4 - CMBS		07/01/2019	Adjustment	X X X														233	06/12/2046	1FE
17275RBJ0	CISCO SYSTEMS INC		08/29/2019	GOLDFMAN	X X X	9,988	10,000	9,951	9,972		7		7		9,979		10	10	175	09/20/2021	1FE
210795PZ7	UNITED AIRLINES INC - ABS		07/01/2019	Adjustment	X X X														1	10/11/2025	1FE
210795QB9	UNITED AIRLINES INC - ABS		07/01/2019	Adjustment	X X X														97	04/29/2026	1FE
24736XAA6	DELTA AIR LINES INC - ABS		08/01/2019	Paydown	X X X	5,128	5,128	5,126	5,126		3		3	</							

## 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	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 Temporary Impairment Recognized	14 Total Change in B./A.C.V. (11 + 12 - 13)	15 Total Foreign Exchange Change in B./A.C.V.								
30306NAE7	FRESB 18SB46 A5H - CMBS		09/01/2019	Paydown	X X X	845	880	875	873		6		6		880		(35)	(35)	18	12/25/2037	Z	
30308MAG2	FRESB 19SB58 AF - CMBS		09/01/2019	VARIOUS	X X X	12,300	12,352	12,410			(57)		(57)		12,352		(52)	(52)	552	10/25/2038	Z	
341099CM9	DUKE ENERGY FLORIDA LLC		08/29/2019	Keybank	X X X	430,942	425,000	454,641	430,942		(3,117)		(3,117)		427,825		3,117	3,117	17,672	04/01/2020	1FE	
36962G4D3	GENERAL ELECTRIC CO		08/07/2019	Maturity @ 100.00	X X X	136,000	136,000	166,444	139,072		(3,072)		(3,072)		136,000				8,160	08/07/2019	1FE	
46634SAC3	JPMCC 12C6 A3 - CMBS		09/01/2019	Paydown	X X X	674	674	711	692		(27)		(27)		674				131	05/17/2045	1FE	
47787XAC1	JDOT 2017 A3 - ABS		09/15/2019	Paydown	X X X	80,056	80,056	80,045	80,053		3		3		80,056		0	0	948	04/15/2021	1FE	
48125LRG9	JPMORGAN CHASE BANK NA		08/29/2019	WELLS FARGO SECURITIES	X X X	639,731	640,000	635,558	638,177		1,659		1,659		639,835		(104)	(104)	9,885	09/23/2019	1FE	
65478AAE3	NAROT 15C A4 - ABS	C	09/15/2019	Paydown	X X X	189,394	189,394	189,352	189,385		9		9		189,394				2,107	02/15/2022	1FE	
68389XBK0	ORACLE CORP		08/29/2019	JANE STREET EXECUTION SERVICES LLC	X X X	12,987	13,000	12,949	12,971		7		7		12,978		9	9	237	09/15/2021	1FE	
69371RN93	PACCAR FINANCIAL CORP		09/03/2019	VARIOUS	X X X	11,280	11,000	10,995	21,992		1		1		10,997		283	283	311	03/01/2021	1FE	
742718EU9	PROCTER & GAMBLE CO		08/29/2019	JANE STREET EXECUTION SERVICES LLC	X X X	309,932	306,000	305,553	305,673		58		58		305,731		4,201	4,201	6,926	08/11/2022	1FE	
841215AA4	SOUTHAVEN COMBINED CYCLE GENERATION LLC		09/01/2019	Paydown	X X X	7,464	7,464	7,754	7,712		(249)		(249)		7,464				287	08/15/2033	1FE	
84474YAA4	SOUTHWEST AIRLINES CO - ABS		09/01/2019	Paydown	X X X	22,424	22,424	25,544	23,544		(1,120)		(1,120)		22,424				1,024	02/01/2024	1FE	
90269GAC5	UBSCM 12C1 A3 - CMBS	C	09/01/2019	Paydown	X X X	48,067	48,067	51,096	49,832		(1,765)		(1,765)		48,067		0	0	1,341	05/12/2045	1FE	
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)				X X X	1,959,947	1,950,193	2,012,008	1,942,708		(7,784)		(7,784)		1,952,544		7,403	7,403	51,642	X X X	X X X	
8399997	Subtotal - Bonds - Part 4				X X X	6,634,375	6,502,684	6,577,645	5,591,612	(28,348)	(22,624)		(50,972)		6,478,887		155,488	155,488	133,638	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	6,634,375	6,502,684	6,577,645	5,591,612	(28,348)	(22,624)		(50,972)		6,478,887		155,488	155,488	133,638	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	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
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	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
9899999	Subtotal - Preferred and Common Stocks				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
9999999	Total - Bonds, Preferred and Common Stocks				X X X	6,634,375	X X X	6,577,645	5,591,612	(28,348)	(22,624)		(50,972)		6,478,887		155,488	155,488	133,638	X X X	X X X	

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

QE05.1

**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 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	
<b>open depositories</b>									
Comerica .....	Providence, RI .....					0	(7,417)	0	X X X
Bank of America - Operating ..	Providence, RI .....					35,687,424	62,106,506	27,506,502	X X X
Bank of America - A/P .....	Providence, RI .....					(666,444)	(915,046)	(702,426)	X X X
Bank of America - Claims .....	Providence, RI .....					(685)	(685)	(685)	X X X
Fidelity .....	Covington, KY .....					1,392	1,392	1,399	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						X X X
0199999 Totals - Open Depositories .....		X X X	X X X			35,021,687	61,184,750	26,804,790	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						X X X
0299999 Totals - Suspended Depositories .....		X X X	X X X						X X X
0399999 Total Cash On Deposit .....		X X X	X X X			35,021,687	61,184,750	26,804,790	X X X
0499999 Cash in Company's Office .....		X X X	X X X	X X X	X X X	15,590	15,590	13,590	X X X
0599999 Total Cash .....		X X X	X X X			35,037,277	61,200,340	26,818,380	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>Exempt Money Market Mutual Funds - as Identified by SVO</b>								
38142B500	GOLDMAN:FS TRS I INST		09/26/2019	1.840	X X X	735,201	1,282	11,816
38142B500	GOLDMAN:FS TRS I INST	R	09/26/2019	1.840	X X X	670,066	898	(16)
8599999	Subtotal - Exempt Money Market Mutual Funds - as Identified by SVO					1,405,267	2,180	11,800
<b>All Other Money Market Mutual Funds</b>								
262006208	DREYFUS GVT CSH MGT INST		09/30/2019	1.790	X X X	249,303	410	3,110
8699999	Subtotal - All Other Money Market Mutual Funds					249,303	410	3,110
8899999	Total - Cash Equivalents					1,654,570	2,590	14,911

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