



# QUARTERLY STATEMENT

As of September 30, 2014  
of the Condition and Affairs of the

## Ameriprise Insurance Company

NAIC Group Code..... 4, 4 (Current Period) (Prior Period)	NAIC Company Code..... 12504	Employer's ID Number..... 65-1261374
Organized under the Laws of Wisconsin	State of Domicile or Port of Entry Wisconsin	Country of Domicile US
Incorporated/Organized..... October 14, 2005	Commenced Business..... January 26, 2006	
Statutory Home Office	3500 Packerland Drive..... De Pere ..... WI ..... US ..... 54115-9070 <i>(Street and Number) (City or Town, State, Country and Zip Code)</i>	
Main Administrative Office	3500 Packerland Drive..... De Pere ..... WI ..... US ..... <i>(Street and Number) (City or Town, State, Country and Zip Code)</i>	920-330-5100 <i>(Area Code) (Telephone Number)</i>
Mail Address	3500 Packerland Drive..... De Pere ..... WI ..... US ..... <i>(Street and Number or P. O. Box) (City or Town, State, Country and Zip Code)</i>	
Primary Location of Books and Records	3500 Packerland Drive..... De Pere ..... WI ..... US ..... <i>(Street and Number) (City or Town, State, Country and Zip Code)</i>	920-330-5100 <i>(Area Code) (Telephone Number)</i>
Internet Web Site Address		
Statutory Statement Contact	Michelle W Papendick <i>(Name)</i> michelle.papendick@ampf.com <i>(E-Mail Address)</i>	920-330-5402 <i>(Area Code) (Telephone Number) (Extension)</i> 920-330-5603 <i>(Fax Number)</i>

### OFFICERS

Name	Title	Name	Title
1. Kenneth John Ciak	President	2. Thomas Richard Moore	Secretary
3. James Louis Hamalainen	Treasurer	4.	

### OTHER

Thomas John Boogaard	Vice President	Thomas Scott Botsford	Sr Vice President
Richard Norman Bush	Sr Vice President	Debra Marie Calmes	Vice President
Jon Patrick Gingrich	Sr Vice President	Jennifer Lynn Glodowski	Vice President
Suzanne Robinson Hoppe	Vice President	Lisa Kay Jossart	Sr Vice President
Carol Marie Kammin	Vice President	Thomas William Murphy	Vice President
Julie Lynn Marthaler #	Vice President	Rebecca Lea Roever	Sr Vice President
Gordon Howard Sissingh	Vice President	David Kent Stewart #	Interim CFO
Todd Christopher Thiel	Vice President	David H Weiser #	Vice President

### DIRECTORS OR TRUSTEES

Thomas Scott Botsford	Kenneth John Ciak	Michael Richard Greene	Charles Neal Maglaque
Rebecca Lea Roever #			

State of..... Wisconsin  
County of..... Brown

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) Kenneth J Ciak 1. (Printed Name) President (Title)	_____ (Signature) Michelle W Papendick 2. (Printed Name) Asst Secretary (Title)	_____ (Signature) Thomas S Botsford 3. (Printed Name) SR VP Risk Management (Title)
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Subscribed and sworn to before me  
This 31st day of October 2014

a. Is this an original filing? Yes [ X ] No [ ]  
b. If no: 1. State the amendment number \_\_\_\_\_  
2. Date filed \_\_\_\_\_  
3. Number of pages attached \_\_\_\_\_

**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.....	42,814,111		42,814,111	39,800,748
2. Stocks:				
2.1 Preferred stocks.....			0	
2.2 Common stocks.....			0	
3. Mortgage loans on real estate:				
3.1 First liens.....			0	
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....			0	
4.2 Properties held for the production of income (less \$.....0 encumbrances).....			0	
4.3 Properties held for sale (less \$.....0 encumbrances).....			0	
5. Cash (\$....65,736), cash equivalents (\$....2,800,000) and short-term investments (\$.....0).....	2,865,736		2,865,736	3,257,684
6. Contract loans (including \$.....0 premium notes).....			0	
7. Derivatives.....			0	
8. Other invested assets.....			0	
9. Receivables for securities.....			0	
10. Securities lending reinvested collateral assets.....			0	
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	45,679,848	0	45,679,848	43,058,432
13. Title plants less \$.....0 charged off (for Title insurers only).....			0	
14. Investment income due and accrued.....	533,198		533,198	518,697
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....			0	
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....			0	
15.3 Accrued retrospective premiums.....			0	
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers.....			0	
16.2 Funds held by or deposited with reinsured companies.....			0	
16.3 Other amounts receivable under reinsurance contracts.....			0	
17. Amounts receivable relating to uninsured plans.....			0	
18.1 Current federal and foreign income tax recoverable and interest thereon.....			0	
18.2 Net deferred tax asset.....			0	
19. Guaranty funds receivable or on deposit.....			0	
20. Electronic data processing equipment and software.....			0	
21. Furniture and equipment, including health care delivery assets (\$.....0).....			0	
22. Net adjustment in assets and liabilities due to foreign exchange rates.....			0	
23. Receivables from parent, subsidiaries and affiliates.....	1,773,672		1,773,672	2,552,445
24. Health care (\$.....0) and other amounts receivable.....			0	
25. Aggregate write-ins for other than invested assets.....	0	0	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	47,986,718	0	47,986,718	46,129,574
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			0	
28. Total (Lines 26 and 27).....	47,986,718	0	47,986,718	46,129,574

**DETAILS OF WRITE-INS**

1101.....			0	
1102.....			0	
1103.....			0	
1198. Summary of remaining write-ins for Line 11 from overflow page.....	0	0	0	0
1199. Totals (Lines 1101 thru 1103 plus 1198) (Line 11 above).....	0	0	0	0
2501.....			0	
2502.....			0	
2503.....			0	
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	0	0	0	0

**LIABILITIES, SURPLUS AND OTHER FUNDS**

	1 Current Statement Date	2 December 31 Prior Year
1. Losses (current accident year \$.....0).....		
2. Reinsurance payable on paid losses and loss adjustment expenses.....		
3. Loss adjustment expenses.....		
4. Commissions payable, contingent commissions and other similar charges.....		
5. Other expenses (excluding taxes, licenses and fees).....		
6. Taxes, licenses and fees (excluding federal and foreign income taxes).....	(32,713)	5,318
7.1 Current federal and foreign income taxes (including \$.....0 on realized capital gains (losses)).....	21,788	396,002
7.2 Net deferred tax liability.....	16,954	139,310
8. Borrowed money \$.....0 and interest thereon \$.....0.....		
9. Unearned premiums (after deducting unearned premiums for ceded reinsurance of \$.....0 and including warranty reserves of \$.....0 and accrued accident and health experience rating refunds including \$.....0 for medical loss ratio rebate per the Public Health Service Act.....		
10. Advance premium.....		
11. Dividends declared and unpaid:		
11.1 Stockholders.....		
11.2 Policyholders.....		
12. Ceded reinsurance premiums payable (net of ceding commissions).....		
13. Funds held by company under reinsurance treaties.....		
14. Amounts withheld or retained by company for account of others.....		
15. Remittances and items not allocated.....		
16. Provision for reinsurance (including \$.....0 certified).....		
17. Net adjustments in assets and liabilities due to foreign exchange rates.....		
18. Drafts outstanding.....		
19. Payable to parent, subsidiaries and affiliates.....	1,966,001	1,630,814
20. Derivatives.....		
21. Payable for securities.....	1,179,329	
22. Payable for securities lending.....		
23. Liability for amounts held under uninsured plans.....		
24. Capital notes \$.....0 and interest thereon \$.....0.....		
25. Aggregate write-ins for liabilities.....	0	0
26. Total liabilities excluding protected cell liabilities (Lines 1 through 25).....	3,151,359	2,171,444
27. Protected cell liabilities.....		
28. Total liabilities (Lines 26 and 27).....	3,151,359	2,171,444
29. Aggregate write-ins for special surplus funds.....	0	0
30. Common capital stock.....	8,000,000	8,000,000
31. Preferred capital stock.....		
32. Aggregate write-ins for other than special surplus funds.....	0	0
33. Surplus notes.....		
34. Gross paid in and contributed surplus.....	37,726,474	37,726,474
35. Unassigned funds (surplus).....	(891,115)	(1,768,344)
36. Less treasury stock, at cost:		
36.1 .....0.000 shares common (value included in Line 30 \$.....0).....		
36.2 .....0.000 shares preferred (value included in Line 31 \$.....0).....		
37. Surplus as regards policyholders (Lines 29 to 35, less 36).....	44,835,359	43,958,130
38. Totals (Page 2, Line 28, Col. 3).....	47,986,718	46,129,574

**DETAILS OF WRITE-INS**

2501. ....		
2502. ....		
2503. ....		
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	0	0
2901. ....		
2902. ....		
2903. ....		
2998. Summary of remaining write-ins for Line 29 from overflow page.....	0	0
2999. Totals (Lines 2901 thru 2903 plus 2998) (Line 29 above).....	0	0
3201. ....		
3202. ....		
3203. ....		
3298. Summary of remaining write-ins for Line 32 from overflow page.....	0	0
3299. Totals (Lines 3201 thru 3203 plus 3298) (Line 32 above).....	0	0

**STATEMENT OF INCOME**

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
<b>UNDERWRITING INCOME</b>			
1. Premiums earned:			
1.1 Direct..... (written \$.....28,200,089).....	26,900,168	23,029,440	
1.2 Assumed..... (written \$.....0).....			
1.3 Ceded..... (written \$.....28,200,089).....	26,900,168	23,029,440	
1.4 Net..... (written \$.....0).....	0	0	0
DEDUCTIONS:			
2. Losses incurred (current accident year \$.....0):			
2.1 Direct.....	28,552,310	22,158,261	
2.2 Assumed.....			
2.3 Ceded.....	28,552,310	22,158,261	
2.4 Net.....	0	0	0
3. Loss adjustment expenses incurred.....			
4. Other underwriting expenses incurred.....	670,909	1,307,431	534,206
5. Aggregate write-ins for underwriting deductions.....	0	0	0
6. Total underwriting deductions (Lines 2 through 5).....	670,909	1,307,431	534,206
7. Net income of protected cells.....			
8. Net underwriting gain (loss) (Line 1 minus Line 6 + Line 7).....	(670,909)	(1,307,431)	(534,206)
<b>INVESTMENT INCOME</b>			
9. Net investment income earned.....	1,379,429	1,311,137	1,643,887
10. Net realized capital gains (losses) less capital gains tax of \$.....9,640.....	17,903	(477)	(516)
11. Net investment gain (loss) (Lines 9 + 10).....	1,397,331	1,310,660	1,643,371
<b>OTHER INCOME</b>			
12. Net gain or (loss) from agents' or premium balances charged off (amount recovered \$.....0 amount charged off \$.....0).....	0		
13. Finance and service charges not included in premiums.....			
14. Aggregate write-ins for miscellaneous income.....	0	0	0
15. Total other income (Lines 12 through 14).....	0	0	0
16. Net income before dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes (Lines 8 + 11 + 15).....	726,423	3,229	1,109,165
17. Dividends to policyholders.....			
18. Net income after dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes (Line 16 minus Line 17).....	726,423	3,229	1,109,165
19. Federal and foreign income taxes incurred.....	(28,451)	(370,173)	(112,966)
20. Net income (Line 18 minus Line 19) (to Line 22).....	754,873	373,402	1,222,131
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
21. Surplus as regards policyholders, December 31 prior year.....	43,958,129	42,712,627	42,712,627
22. Net income (from Line 20).....	754,873	373,402	1,222,131
23. Net transfers (to) from Protected Cell accounts.....			
24. Change in net unrealized capital gains or (losses) less capital gains tax of \$.....0.....			
25. Change in net unrealized foreign exchange capital gain (loss).....			
26. Change in net deferred income tax.....	122,356	20,215	23,371
27. Change in nonadmitted assets.....			
28. Change in provision for reinsurance.....			
29. Change in surplus notes.....			
30. Surplus (contributed to) withdrawn from protected cells.....			
31. Cumulative effect of changes in accounting principles.....			
32. Capital changes:			
32.1 Paid in.....			
32.2 Transferred from surplus (Stock Dividend).....			
32.3 Transferred to surplus.....			
33. Surplus adjustments:			
33.1 Paid in.....			
33.2 Transferred to capital (Stock Dividend).....			
33.3 Transferred from capital.....			
34. Net remittances from or (to) Home Office.....			
35. Dividends to stockholders.....			
36. Change in treasury stock.....			
37. Aggregate write-ins for gains and losses in surplus.....	0	0	0
38. Change in surplus as regards policyholders (Lines 22 through 37).....	877,229	393,617	1,245,502
39. Surplus as regards policyholders, as of statement date (Lines 21 plus 38).....	44,835,358	43,106,244	43,958,129
<b>DETAILS OF WRITE-INS</b>			
0501. ....			
0502. ....			
0503. ....			
0598. Summary of remaining write-ins for Line 5 from overflow page.....	0	0	0
0599. Totals (Lines 0501 thru 0503 plus 0598) (Line 5 above).....	0	0	0
1401. ....			
1402. ....			
1403. ....			
1498. Summary of remaining write-ins for Line 14 from overflow page.....	0	0	0
1499. Totals (Lines 1401 thru 1403 plus 1498) (Line 14 above).....	0	0	0
3701. ....			
3702. ....			
3703. ....			
3798. Summary of remaining write-ins for Line 37 from overflow page.....	0	0	0
3799. Totals (Lines 3701 thru 3703 plus 3798) (Line 37 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.....			
2. Net investment income.....	1,406,893	1,406,468	1,742,091
3. Miscellaneous income.....			
4. Total (Lines 1 through 3).....	1,406,893	1,406,468	1,742,091
5. Benefit and loss related payments.....			
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	708,940	837,719	119,540
8. Dividends paid to policyholders.....			
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....	355,403	(240,930)	(379,742)
10. Total (Lines 5 through 9).....	1,064,343	596,789	(260,202)
11. Net cash from operations (Line 4 minus Line 10).....	342,549	809,678	2,002,293
<b>CASH FROM INVESTMENTS</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	5,881,921	6,505,000	9,365,000
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.....			
12.7 Miscellaneous proceeds.....	1,179,329		
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	7,061,250	6,505,000	9,365,000
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	8,909,707	7,978,785	9,639,430
13.2 Stocks.....			
13.3 Mortgage loans.....			
13.4 Real estate.....			
13.5 Other invested assets.....			
13.6 Miscellaneous applications.....			
13.7 Total investments acquired (Lines 13.1 to 13.6).....	8,909,707	7,978,785	9,639,430
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).....	(1,848,457)	(1,473,785)	(274,430)
<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).....	1,113,960	791,802	(697,841)
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	1,113,960	791,802	(697,841)
<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 Line 15 plus Line 17).....	(391,948)	127,695	1,030,021
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	3,257,683	2,227,662	2,227,662
19.2 End of period (Line 18 plus Line 19.1).....	2,865,735	2,355,357	3,257,683

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

20.0001 .....			
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**NOTES TO FINANCIAL STATEMENTS****Note 1 - Summary of Significant Accounting Policies**

## A. Accounting Practices

The accompanying financial statements of Ameriprise Insurance Company (Company) have been prepared on the basis of accounting practices prescribed by the Office of the Commissioner of Insurance of the State of Wisconsin.

The Office of the Commissioner of Insurance of the State of Wisconsin requires insurance companies domiciled in the State of Wisconsin to prepare their statutory financial statements in accordance with the National Association of Insurance Commissioners' NAIC Accounting Practice and Procedures Manual subject to any deviations prescribed or permitted by the Office of the Commissioner of Insurance of the State of Wisconsin.

No permitted statutory accounting practices were used in the preparation of these financial statements.

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

The preparation of financial statements of the Company in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures manual requires the use of management's estimates and assumptions that affect the amounts reported in these financial statements and notes. Actual results could differ from those estimates.

## C. Accounting Policies

No significant change

**Note 2 - Accounting Changes and Corrections of Errors**

No significant change.

**Note 3 - Business Combinations and Goodwill**

No significant change.

**Note 4 - Discontinued Operations**

No significant change.

**Note 5 - Investments**

## A. Mortgage loans - not applicable

## B. Debt Restructuring - not applicable

## C. Reverse Mortgages - not applicable

## D. Loan-Backed Securities

- (1) Prepayment assumptions for loan-backed and structured securities are based on financial information provided by a licensed data provider. These assumptions are consistent with the current interest rate and economic environment. The retrospective method is used to value all types of these securities except in a situation where rate changes result in recalculation of the effective yield. The recalculated yield is used to amortize the investment as of the rate change date.
- (2) The Company has no loan-backed or structured securities for which an other-than-temporary impairments ("OTTI") was recognized due to intent to sell or inability or lack of intent to retain for a period of time sufficient to recover the amortized cost basis.
- (3) The Company has no loan-backed or structured securities for which an OTTI was recognized due to the fact that the present value of cash flows expected to be collected is less than amortized cost basis of the securities.
- (4) The following table provides information about loan-backed and structured securities for which the carrying value (amortized cost) exceeds fair value and the length of time that individual securities have continuously had amortized cost in excess of fair value, as of September 30, 2014:
  - a. The aggregate amount of unrealized losses:
 

1. Less than 12 Months	\$0
2. 12 Months or Longer	\$0
  - b. The aggregate related fair value of securities with unrealized losses:
 

1. Less than 12 Months	\$0
2. 12 Months or Longer	\$0
- (5) For all loan-backed and structured securities for which they carrying value exceeds fair value, the Company has the intent and ability to retain the investment in the security for a period of time sufficient to recover the carrying value.

## E. Repurchase Agreements and/or Securities Lending Transactions - not applicable

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## NOTES TO FINANCIAL STATEMENTS

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- F. Investment in Real Estate - not applicable
- G. Low Income Housing Tax Credits - not applicable
- H. Restricted Assets - no significant change.

### **Note 6 - Joint Ventures, Partnerships and Limited Liability Companies**

No significant change.

### **Note 7 - Investment Income**

No significant change.

### **Note 8 - Derivative Instruments**

No significant change.

### **Note 9 - Income Taxes**

No significant change.

### **Note 10 - Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties**

No significant change.

### **Note 11 - Debt**

No significant change.

### **Note 12 - Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans**

No significant change.

### **Note 13 - Capital and Surplus, Dividend Restrictions and Quasi-Reorganizations**

No significant change.

### **Note 14 - Contingencies**

No significant change.

### **Note 15 - Leases**

No significant change.

### **Note 16 - Information About Financial Instruments With Off-Balance Sheet Risk and Financial Instruments With Concentrations of Credit Risk**

No significant change.

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

No significant change.

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

No significant change.

### **Note 19 - Direct Premium Written/Produced by Managing General Agents/Third Party Administrators**

No significant change.

### **Note 20 - Fair Value**

A. Fair Value Measurements at September 30, 2014

1. The Company does not have any assets or liabilities reported at fair value as of September 30, 2014.
2. The Company does not have any level 3 of the Fair Value Measurements.
3. The Company recognizes transfers between levels of the fair value hierarchy as of the beginning of the quarter in which each transfer occurred.

**NOTES TO FINANCIAL STATEMENTS**

4. The Company categorizes its fair value measurements according to a three-level hierarchy. The hierarchy prioritizes the inputs used by the Company's valuation techniques. A level is assigned to each fair value measurement based on the lowest level input that is significant to the fair value measurement in its entirety. The three levels of the fair value hierarchy are defined as follows:

Level 1	Unadjusted quoted prices for identical assets or liabilities in active markets that are accessible at the measurement date.
Level 2	Prices or valuations based on observable inputs other than quoted prices in active markets for identical assets and liabilities.
Level 3	Prices or valuations that require inputs that are both significant to the fair value measurement and unobservable.

The Company uses valuation techniques consistent with the market and income approaches to measure the fair value of its assets and liabilities. The Company's market approach uses prices and other relevant information generated by market transactions involving identical or comparable assets or liabilities. The Company's income approach uses valuation techniques to convert future projected cash flows to a single discounted present value amount. When applying either approach, the Company maximizes the use of observable inputs and minimizes the use of unobservable inputs.

5. The Company does not have any derivative assets or liabilities as of September 30, 2014.

B. Not applicable.

C. The following table provides the carrying value and the estimated fair value of financial instruments that are not reported at fair value as of September 30, 2014:

	September 30, 2014					
	Aggregate Fair Value	Admitted Assets or Liabilities	Level 1	Fair Value Level 2	Level 3	Not Practicable (Carrying Value)
<b>Financial Assets</b>						
Bonds	\$ 43,287,570	\$ 42,814,111	\$ 974,665	\$ 43,287,570	\$ ---	\$ ---
Cash equivalents	\$ 2,800,000	\$ 2,800,000	\$ ---	\$ 2,800,000	\$ ---	\$ ---

**Bonds**

When available, fair value is based on quoted prices in active markets. If quoted prices are not available, fair values are obtained from third party pricing services, non-binding broker quotes or other model-based valuation techniques. Level 1 securities include U.S. Treasuries. Level 2 securities include municipal bonds. The fair value of these Level 2 securities is based on a market approach with prices obtained from third party pricing services. Observable inputs used to value these securities can include, but are not limited to, reported trades, benchmark yields, issuer spreads and non-binding broker quotes.

**Cash Equivalents**

Cash equivalents include highly liquid investments with original maturities of three months or less. Cash equivalents are classified as Level 2 and measured at amortized cost, which is a reasonable estimate of fair value because of the short time between the purchase of the instrument and its expected realization.

D. Not applicable.

**Note 21 - Other Items**

No significant change.

**Note 22 - Events Subsequent**

No significant change.

**Note 23 - Reinsurance**

No significant change.

**Note 24 - Retrospectively Rated Contracts & Contracts Subject to Redetermination**

No significant change.

**Note 25 - Change in Incurred Losses and Loss Adjustment Expenses**

The Company has no incurred losses and loss adjustment expenses.  
The Company cedes 100% of the business to the Parent pursuant to a reinsurance agreement

**Note 26 - Intercompany Pooling Arrangements**



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## NOTES TO FINANCIAL STATEMENTS

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No significant change.

**Note 27 - Structured Settlements**

No significant change.

**Note 28 - Health Care Receivables**

No significant change.

**Note 29 - Participating Policies**

No significant change.

**Note 30 - Premium Deficiency Reserves**

No significant change.

**Note 31 - High Deductibles**

No significant change.

**Note 32 - Discounting of Liabilities for Unpaid Losses or Unpaid Loss Adjustment Expenses**

No significant change.

**Note 33 - Asbestos/Environmental Reserves**

No significant change.

**Note 34 - Subscriber Savings Accounts**

No significant change.

**Note 35 - Multiple Peril Crop Insurance**

No significant change.

**Note 36 - Financial Guaranty Insurance**

B. Not applicable.

**GENERAL INTERROGATORIES**

**PART 1 - COMMON INTERROGATORIES - GENERAL**

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? Yes [ ] No [ X ]
- 1.2 If yes, has the report been filed with the domiciliary state? Yes [ ] No [ ]
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes [ ] No [ X ]
- 2.2 If yes, date of change: .....
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? If yes, complete Schedule Y, Parts 1 and 1A. Yes [ X ] No [ ]
- 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.

- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? Yes [ ] No [ X ]
- 4.2 If yes, provide 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? If yes, attach an explanation. Yes [ ] No [ X ] N/A [ ]

- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. .....12/31/2013.....
- 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. .....12/31/2013.....
- 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). .....4/9/2010.....
- 6.4 By what department or departments?  
State of Wisconsin Office of the Commissioner of Insurance

- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes [ ] No [ ] N/A [ X ]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [ X ] No [ ] N/A [ ]

- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [ ] No [ X ]
- 7.2 If yes, give full information:

- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? Yes [ ] No [ X ]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.

- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? Yes [ X ] No [ ]

- 8.4 If the 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
Ameriprise Enterprise Investment Services, Inc	Minneapolis, MN				YES
Ameriprise Certificate Company	Minneapolis, MN				YES
Ameriprise Financial Services, Inc.	Minneapolis, MN				YES
Ameriprise Financial Inc.	Minneapolis, MN				YES
Columbia Wanger Asset Management, LLC.	Chicago, IL				YES
RiverSource Distributors, Inc.	Minneapolis, MN				YES
Columbia Management Investment Advisers, LLC	Boston, MA				YES
Columbia Management Investment Services, Co.	Boston, MA				YES
J. & W. Seligman & Co. Incorporated	New York, NY				YES
Columbia Management Investment Distributors, Inc	New York, NY				YES
WAM Acquisition GP, Inc.	Chicago, IL				YES
Ameriprise National Trust Bank	Minneapolis, MN		YES		

- 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.

**GENERAL INTERROGATORIES**

**PART 1 - COMMON INTERROGATORIES - GENERAL**

9.11 If the response to 9.1 is No, please explain:

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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).

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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).

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**PART 1 - FINANCIAL**

10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement?

Yes [X] No [ ]

10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount:

\$.....1,773,672

**PART 1 - 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:

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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]

14.2 If yes, please complete the following:

	1	2
	Prior Year-End Book/Adjusted Carrying Value	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 Mortgage 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? If no, attach a description with this statement.

Yes [ ] No [ ]

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16. For the reporting entity's security lending program, state the amount of the following as of 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	2
Name of Custodian(s)	Custodian Address
JP Morgan	New York, NY

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	2	3
Name(s)	Location(s)	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	2	3	4
Old Custodian	New Custodian	Date of Change	Reason

**PART 1 - INVESTMENT**

17.5 Identify all investment advisors, broker/dealers or individuals acting on behalf of broker/dealers that have access to the investment accounts, handle securities and have authority to make investments on behalf of the reporting entity:

1 Central Registration Depository	2 Name(s)	3 Address
50189	Columbia Management Investment Advisors, LLC	Boston, MA

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

18.2 If no, list exceptions:  
 \_\_\_\_\_  
 \_\_\_\_\_

**GENERAL INTERROGATORIES (continued)**

**PART 2**

**PROPERTY & CASUALTY INTERROGATORIES**

1. If the reporting entity is a member of a pooling arrangement, did the agreement or the reporting entity's participation change? Yes [ ] No [ ] N/A [X]  
 If yes, attach an explanation.

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2. Has the reporting entity reinsured any risk with any other reporting entity and agreed to release such entity from liability, in whole or in part, from any loss that may occur on the risk, or portion thereof, reinsured? Yes [ ] No [X]  
 If yes, attach an explanation.

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3.1 Have any of the reporting entity's primary reinsurance contracts been canceled? Yes [ ] No [X]

3.2 If yes, give full and complete information thereto:

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4.1 Are any of the liabilities for unpaid losses and loss adjustment expenses other than certain workers' compensation tabular reserves (see Annual Statement Instructions pertaining to disclosure of discounting for definition of "tabular reserves,") discounted at a rate of interest greater than zero? Yes [ ] No [X]

4.2 If yes, complete the following schedule:

1 Line of Business	2 Maximum Interest	3 Disc. Rate	Total Discount				Discount Taken During Period			
			4 Unpaid Losses	5 Unpaid LAE	6 IBNR	7 Total	8 Unpaid Losses	9 Unpaid LAE	10 IBNR	11 Total
						0				0
Total.....	XXX	XXX	0	0	0	0	0	0	0	0

5. Operating Percentages:

5.1 A&H loss percent 0.0 %

5.2 A&H cost containment percent 0.0 %

5.3 A&H expense percent excluding cost containment expenses 0.0 %

6.1 Do you act as a custodian for health savings accounts? Yes [ ] No [X]

6.2 If yes, please provide the amount of custodial funds held as of the reporting date. 0

6.3 Do you act as an administrator for health savings accounts? Yes [ ] No [X]

6.4 If yes, please provide the amount of funds administered as of the reporting date. 0

**SCHEDULE F - CEDED REINSURANCE**

Showing All New Reinsurers - Current Year to Date

1 NAIC Company Code	2 ID Number	3 Name of Reinsurer	4 Domiciliary Jurisdiction	5 Type of Reinsurer	6 Certified Reinsurer Rating (1 through 6)	7 Effective Date of Certified Reinsurer Rating
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**NONE**

**SCHEDULE T - EXHIBIT OF PREMIUMS WRITTEN**

Current Year to Date - Allocated by States and Territories

States, Etc.	1 Active Status	Direct Premiums Written		Direct Losses Paid (Deducting Salvage)		Direct Losses Unpaid	
		2 Current Year to Date	3 Prior Year to Date	4 Current Year to Date	5 Prior Year to Date	6 Current Year to Date	7 Prior Year to Date
1. Alabama.....AL	L						
2. Alaska.....AK	L						
3. Arizona.....AZ	L						
4. Arkansas.....AR	L						
5. California.....CA	N						
6. Colorado.....CO	L						
7. Connecticut.....CT	N						
8. Delaware.....DE	L						
9. District of Columbia.....DC	L						
10. Florida.....FL	N						
11. Georgia.....GA	L	5,571,985	4,316,799	3,465,371	3,031,775	4,045,582	1,723,925
12. Hawaii.....HI	N						
13. Idaho.....ID	N						
14. Illinois.....IL	L						
15. Indiana.....IN	L						
16. Iowa.....IA	L						
17. Kansas.....KS	L						
18. Kentucky.....KY	L						
19. Louisiana.....LA	N						
20. Maine.....ME	L						
21. Maryland.....MD	L						
22. Massachusetts.....MA	L						
23. Michigan.....MI	L						
24. Minnesota.....MN	N						
25. Mississippi.....MS	L						
26. Missouri.....MO	L						
27. Montana.....MT	L						
28. Nebraska.....NE	L						
29. Nevada.....NV	L						
30. New Hampshire.....NH	N						
31. New Jersey.....NJ	N						
32. New Mexico.....NM	L						
33. New York.....NY	L	22,628,104	20,236,299	18,020,725	13,547,755	19,840,234	13,249,977
34. North Carolina.....NC	N						
35. North Dakota.....ND	L						
36. Ohio.....OH	L						
37. Oklahoma.....OK	L						
38. Oregon.....OR	L						
39. Pennsylvania.....PA	L						
40. Rhode Island.....RI	L						
41. South Carolina.....SC	L						
42. South Dakota.....SD	L						
43. Tennessee.....TN	N						
44. Texas.....TX	L						
45. Utah.....UT	L						
46. Vermont.....VT	L						
47. Virginia.....VA	L						
48. Washington.....WA	N						
49. West Virginia.....WV	L						
50. Wisconsin.....WI	L						
51. Wyoming.....WY	L						
52. American Samoa.....AS	N						
53. Guam.....GU	N						
54. Puerto Rico.....PR	N						
55. US Virgin Islands.....VI	N						
56. Northern Mariana Islands.....MP	N						
57. Canada.....CAN	N						
58. Aggregate Other Alien.....OT	XXX	0	0	0	0	0	0
59. Totals.....	(a).....39	28,200,089	24,553,099	21,486,095	16,579,531	23,885,817	14,973,902

**DETAILS OF WRITE-INS**

58001.....	XXX						
58002.....	XXX						
58003.....	XXX						
58998. Summary of remaining write-ins for Line 58 from overflow page....	XXX	0	0	0	0	0	0
58999. Totals (Lines 58001 thru 58003+ Line 58998) (Line 58 above).....	XXX	0	0	0	0	0	0

(L) - Licensed or Chartered - Licensed Insurance Carrier or Domiciled RRG; (R) - Registered - Non-domiciled RRGs; (Q) - Qualified - Qualified or Accredited Reinsurer;

(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.

(a) Insert the number of L responses except for Canada and Other Alien.

**INSURER MEMBERS OF A HOLDING COMPANY GROUP  
PART 1 - ORGANIZATIONAL CHART**

	<u>FEIN</u>	<u>STATE</u>	<u>NAIC</u>
Ameriprise Financial, Inc.....	13-3180631		
Ameriprise Advisor Capital, LLC.....	27-0544454		
Ameriprise Capital Trust I.....	45-6157641		
Ameriprise Capital Trust II.....	45-6157643		
Ameriprise Capital Trust III.....	45-6157644		
Ameriprise Capital Trust IV.....	45-6157645		
Ameriprise Captive Insurance Company.....	20-5761939	VT	12852
Ameriprise Certificate Company.....	41-6009975		
Investors Syndicate Development Corporation.....	41-0951695		
Ameriprise Holdings, Inc.....	26-3878824		
201 Eleventh Street South, LLC.....	45-5464028		
Ameriprise India Insurance Brokers Services Private Limited (19%).....			
Ameriprise India Private Limited.....			
Ameriprise India Insurance Brokers Services Private Limited (7%).....			
Ameriprise International Holdings GmbH.....			
Ameriprise National Trust Bank.....	06-1791061		
Ameriprise Trust Company.....	41-6219335		
AMPF Holding Corporation.....	38-2722519		
American Enterprise Investment Services Inc.....	41-1667086		
Ameriprise Financial Services, Inc.....	41-0973005		
TIC TPS Portland 35, LLC.....	47-1967350		
AMPF Property Corporation.....	38-3050688		
AMPF Realty Corporation.....	38-3050690		
IDS Property Casualty Insurance Company.....	39-1173498	WI	29068
Ameriprise Auto & Home Insurance Agency, Inc.....	82-0541142	WI	
Ameriprise Insurance Company.....	65-1261374	WI	12504
RiverSource Distributors, Inc.....	42-1690915		
RiverSource Life Insurance Company.....	41-0823832	MN	65005
RiverSource Life Insurance Co. of New York.....	41-0987741	NY	80594
RiverSource NY REO, LLC.....	27-0380139		
RiverSource REO 1, LLC.....	26-4164569		
RiverSource Tax Advantaged Investments, Inc.....	13-6178563		
AEXP Affordable Housing Portfolio, LLC.....	41-1977631		
CREA Corporate Tax Credit Fund XXVIII, LLC.....			
Columbia Management Investment Advisers, LLC.....	41-1533211		
Advisory Capital Strategies Group, Inc.....	41-1624224		
Columbia Adaptive Risk Allocation Fund, LLC.....	46-4892631		
Columbia Focused Large Cap Growth Private Fund, LLC (Private Invest Fund).....			
Columbia Institutional High Yield Fixed Income Private Fund, LLC.....	45-5077345		
Columbia Institutional High Yield Fixed Income Private Fund.....			
Columbia U.S. Contrarian Core Equity Private Fund, LLC.....			
Columbia Adaptive Risk Allocation (Master) Fund.....	98-1156583		
Columbia Diversified Real Return Fund.....	46-4469208		
Columbia Emerging Markets Bond Private (Master) Fund.....	98-1154958		
Columbia Emerging Markets Bond Private Fund, LLC.....	46-4842432		
Columbia Global Alpha Opportunities (Master) Fund.....	98-1111310		
Columbia Institutional High Yield Fixed Income Private (Master) Fund.....	98-1165738		
Columbia Short Duration High Yield Private (Master) Fund.....	98-1046237		
Columbia Wanger Asset Management, LLC.....	04-3519872		
GA Legacy, LLC.....	26-2639148		
J. & W. Seligman & Co. Incorporated.....	13-3043476		
Columbia Management Investment Distributors, Inc.....	13-3043478		
Seligman Health Plus Partners, LLC.....	20-5704686		
Seligman Health Spectrum Plus, LLC.....	20-5704686		
Seligman Partners, LLC.....	13-4200160		
RiverSource CDO Seed Investments, LLC.....	87-0812264		
WAM Acquisition GP, Inc.....	04-3519867		
Columbia Management Investment Services Corp.....	41-1861053		
Seligman Health Spectrum Plus Fund.....			
Threadneedle Asset Management Holdings Sàrl.....			
TAM Investment Ltd.....			
Threadneedle Asset Management (Australia) Pty Ltd.....			
Threadneedle Asset Management Malaysia Sdn. Bhd.....			
Threadneedle International Investments GmbH.....			
Threadneedle Investments Singapore (Pte.) Ltd.....			
Threadneedle Investments Taiwan Ltd.....			
Threadneedle Management Luxembourg S.A.....			
Threadneedle Portfolio Services Hong Kong Ltd.....			
Threadneedle Holdings Ltd.....			
TAM UK Holdings Ltd.....			
Threadneedle Asset Management Holdings Ltd.....			
TC Financing Limited.....			
Threadneedle Asset Management Ltd.....	98-0691981		
Threadneedle Investment Services Ltd.....	98-0691982		
Threadneedle Asia Contrarian Equity.....			
Threadneedle Asian Focus.....			
Threadneedle Asset Management (Nominees) Ltd.....			



**INSURER MEMBERS OF A HOLDING COMPANY GROUP  
PART 1 - ORGANIZATIONAL CHART**

	- Sackville TIPP Property (GP) Ltd.....
	- Threadneedle Asset Management Finance Ltd.....
	- European Property Fund sub-fund of TIPP SICAV.....
	- TMS Investment Ltd.....
	- The Threadneedle Foundation.....
	- Threadneedle International Ltd.....
	- Threadneedle Investments Ltd.....
	- Threadneedle Investments (Channel Islands) Ltd.....
	- Threadneedle Management Services Ltd.....
	- Threadneedle Securities Ltd.....
	- Threadneedle Multi Asset Target Alpha.....
	- Threadneedle Navigator ISA Manager Ltd.....
	- Threadneedle Pensions Ltd.....
	- Sackville (TPEN) (75%).....
	- Threadneedle Portfolio Services Ltd.....
	- Threadneedle Portfolio Services AG.....
	- Threadneedle Property Investments Ltd.....
	- Sackville LCW (GP) Ltd.....
	- Sackville Property (GP) Ltd.....
	- Sackville SPF IV (GP) No. 1 Ltd.....
	- Sackville SPF IV (GP) No. 2 Ltd.....
	- Sackville SPF IV (GP) No. 3 Ltd.....
	- Sackville SPF IV Property (GP) Ltd.....
	- Threadneedle Strategic Property Fund IV (TN Prop Fund).....
	- Sackville Tandem Property (GP) Ltd.....
	- Sackville TPEN Property (GP) Ltd.....
	- Sackville TPEN Property Nominee Ltd.....
	- Sackville (TPEN) (25%).....
	- Threadneedle Pensions Property Partnership 1 (TN Prop Fund).....
	- Threadneedle Pensions Property Partnership 2 (TN Prop Fund).....
	- Sackville TSP Property (GP) Ltd.....
	- Threadneedle Strategic Property (Eagle Star) Fund (TN Prop Fund).....
	- Threadneedle Strategic Property (Nearhearth) Fund (TN Prop Fund).....
	- Threadneedle Strategic Property (Parcelgate) Fund (TN Prop Fund).....
	- Threadneedle Tandem Property Fund (TN Prop Fund).....
	- Threadneedle UK Opportunities Property II Fund (TN Prop Fund).....
	- Sackville UK Property Select II (GP) Ltd.....
	- Sackville UK Property Select II (GP) No. 1 Ltd.....
	- Sackville UK Property Select II (GP) No. 2 Ltd.....
	- Sackville UK Property Select II (GP) No. 3 Ltd.....
	- Threadneedle Unit Trust Manager Ltd.....

**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
Group Code	Group Name	NAIC Company Code	Federal 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)	*
<b>Members</b>														
	Ameriprise Financial, Inc.....		13-3180631	2433312....	820027.....	NYSE.....	Ameriprise Financial, Inc.....	DE.....	UIP.....					
	Ameriprise Financial, Inc.....		27-0544454	4283810....			Ameriprise Advisor Capital, LLC.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		45-6157641	4285346....			Ameriprise Capital Trust I.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		45-6157643	4289755....			Ameriprise Capital Trust II.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		45-6157644	4289764....			Ameriprise Capital Trust III.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		45-6157645	4289773....			Ameriprise Capital Trust IV.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
0004	Ameriprise Financial, Inc.....	12852.....	20-5761939	4289791....			Ameriprise Captive Insurance Company.....	VT.....	IA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-6009975	4054449....	52428.....		Ameriprise Certificate Company.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-0951695	4285298....			Investors Syndicate Development Corporation.....	NV.....	NIA.....	Ameriprise Certificate Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		26-3878824	4283856....			Ameriprise Holdings, Inc.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		45-5464028				201 Eleventh Street South, LLC.....	MN.....	NIA.....	Ameriprise Holdings, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Ameriprise India Insurance Brokers Services Private Limited	IND.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	19.000	Ameriprise Financial, Inc.....	1.....
	Ameriprise Financial, Inc.....			4289830....			Ameriprise India Private Limited.....	IND.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	2.....
	Ameriprise Financial, Inc.....						Ameriprise India Insurance Brokers Services Private Limited	IND.....	NIA.....	Ameriprise India Private Limited.....	Ownership.....	7.000	Ameriprise Financial, Inc.....	1.....
	Ameriprise Financial, Inc.....						Ameriprise International Holdings GmbH.....	CHE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		06-1791061	3470239....			Ameriprise National Trust Bank.....	USA.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-6219335	994257....			Ameriprise Trust Company.....	MN.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		38-2722519	4289933....			AMPF Holding Corporation.....	MI.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-1667086	3255445....			American Enterprise Investment Services Inc.....	MN.....	NIA.....	AMPF Holding Corporation.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-0973005	4289942....			Ameriprise Financial Services, Inc.....	DE.....	NIA.....	AMPF Holding Corporation.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		47-1967350				TIC TPS Portland 35, LLC.....	DE.....	NIA.....	Ameriprise Financial Services, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		38-3050688	4289951....			AMPF Property Corporation.....	MI.....	NIA.....	AMPF Holding Corporation.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		38-3050690	4289960....			AMPF Realty Corporation.....	MI.....	NIA.....	AMPF Holding Corporation.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
0004	Ameriprise Financial, Inc.....	29068.....	39-1173498	4289885....			IDS Property Casualty Insurance Company.....	WI.....	UDP.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		82-0541142	4289894....			Ameriprise Auto & Home Insurance Agency, Inc.....	WI.....	NIA.....	IDS Property Casualty Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
0004	Ameriprise Financial, Inc.....	12504.....	65-1261374	4289906....			Ameriprise Insurance Company.....	WI.....	RE.....	IDS Property Casualty Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		42-1690915	4291815....			RiverSource Distributors, Inc.....	DE.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
0004	Ameriprise Financial, Inc.....	65005.....	41-0823832	2696715....	727892.....		RiverSource Life Insurance Company.....	MN.....	IA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
0004	Ameriprise Financial, Inc.....	80594.....	41-0987741	2718046....			RiverSource Life Insurance Co. of New York.....	NY.....	DS.....	RiverSource Life Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		27-0380139	4289858....			RiverSource NY REO, LLC.....	NY.....	DS.....	RiverSource Life Insurance Co. of New York.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		26-4164569	4289867....			RiverSource REO 1, LLC.....	MN.....	DS.....	RiverSource Life Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		13-6178563	4289876....			RiverSource Tax Advantaged Investments, Inc.....	DE.....	DS.....	RiverSource Life Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-1977631	3945102....			AEXP Affordable Housing Portfolio, LLC.....	DE.....	DS.....	RiverSource Tax Advantaged Investments, Inc.....	Ownership.....	66.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						CREA Corporate Tax Credit Fund XXVIII, LLC.....	DE.....	NIA.....	RiverSource Tax Advantaged Investments, Inc.....	Ownership.....	99.900	Ameriprise Financial, Inc.....	

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## 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
Group Code	Group Name	NAIC Company Code	Federal 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)	*
	Ameriprise Financial, Inc.....		41-1533211	4246169....			Columbia Management Investment Advisers, LLC..	MN.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-1624224	4289979....			Advisory Capital Strategies Group, Inc.....	MN.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		46-4892631				Columbia Adaptive Risk Allocation Fund, LLC.....	DE.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Other.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Columbia Focused Large Cap Growth Private Fund, LLC (Private Invest Fund)	DE.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....		45-5077345				Columbia Institutional High Yield Fixed Income Private Fund, LLC	DE.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....						Columbia Institutional High Yield Fixed Income Private Fund	CYM.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....						Columbia U.S. Contrarian Core Equity Private Fund, LLC	DE.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....		98-1156583				Columbia Adaptive Risk Allocation (Master) Fund..	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		46-4469208				Columbia Diversified Real Return Fund.....	MA.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1154958				Columbia Emerging Markets Bond Private (Master) Fund	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Other.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		46-4842432				Columbia Emerging Markets Bond Private Fund, LLC	DE.....	NIA.....	Columbia Management Investment Advisers, LLC	Other.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1111310				Columbia Global Alpha Opportunities (Master) Fund	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1165738				Columbia Institutional High Yield Fixed Income Private (Master) Fund	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....		98-1046237				Columbia Short Duration High Yield Private (Master) Fund	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		04-3519872	4289997....			Columbia Wanger Asset Management, LLC.....	DE.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		26-2639148	4346854....			GA Legacy, LLC.....	DE.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		13-3043476	2654434....			J. & W. Seligman & Co. Incorporated.....	DE.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		13-3043478	4292821....			Columbia Management Investment Distributors, Inc.	DE.....	NIA.....	J. & W. Seligman & Co. Incorporated.....	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		20-5704686	4293181....			Seligman Health Plus Partners, LLC.....	DE.....	NIA.....	J. & W. Seligman & Co. Incorporated.....	Ownership.....	...100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		20-5704686				Seligman Health Spectrum Plus, LLC.....	DE.....	NIA.....	Seligman Health Plus Partners LLC.....	Other.....	.....2.000	Ameriprise Financial, Inc.....	5.....

Q12.1

## 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
Group Code	Group Name	NAIC Company Code	Federal 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)	*
	Ameriprise Financial, Inc.....		13-4200160	4293145.....			Seligman Partners, LLC.....	DE.....	NIA.....	J. & W. Seligman & Co. Incorporated.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		87-0812264	4290126.....			RiverSource CDO Seed Investments, LLC.....	MN.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		04-3519867	3079230.....			WAM Acquisition GP, Inc.....	DE.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-1861053	4291776.....			Columbia Management Investment Services Corp.	MN.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Seligman Health Spectrum Plus Fund.....	CYM.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	97.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4293538.....			Threadneedle Asset Management Holdings Sarl...	LUX.....	NIA.....	Ameriprise Financial, Inc.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	6.....
	Ameriprise Financial, Inc.....			4293574.....			TAM Investment Ltd.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Asset Management (Australia) Pty Ltd	AUS.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Asset Management Malaysia Sdn. Bhd	MYS.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4293855.....			Threadneedle International Investments GmbH.....	CHE.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4293873.....			Threadneedle Investments Singapore (Pte.) Ltd....	SGP.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Investments Taiwan Ltd.....	TWN.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4293882.....			Threadneedle Management Luxembourg S.A.....	LUX.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4293903.....			Threadneedle Portfolio Services Hong Kong Ltd....	HKG.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294339.....			Threadneedle Holdings Ltd.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Sarl	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294348.....			TAM UK Holdings Ltd.....	GBR.....	NIA.....	Threadneedle Holdings Ltd.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	6.....
	Ameriprise Financial, Inc.....			4294357.....			Threadneedle Asset Management Holdings Ltd.....	GBR.....	NIA.....	TAM UK Holdings Ltd.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294535.....			TC Financing Limited.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0691981	4294469.....			Threadneedle Asset Management Ltd.....	GBR.....	NIA.....	TC Financing Limited.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0691982	4294571.....			Threadneedle Investment Services Ltd.....	GBR.....	NIA.....	TC Financing Limited.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Asia Contrarian Equity.....	LUX.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	91.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Asian Focus.....	LUX.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	88.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294478.....			Threadneedle Asset Management (Nominees) Ltd.	GBR.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294526.....			Sackville TIPP Property (GP) Ltd.....	GBR.....	NIA.....	Threadneedle Asset Management (Nominees) Ltd	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294441.....			Threadneedle Asset Management Finance Ltd.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						European Property Fund sub-fund of TIPP SICAV..	LUX.....	NIA.....	Threadneedle Asset Management Finance Ltd..	Ownership.....	50.100	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294450.....			TMS Investment Ltd.....	JEY.....	NIA.....	Threadneedle Asset Management Finance Ltd..	Ownership.....	44.000	Ameriprise Financial, Inc.....	6.....
	Ameriprise Financial, Inc.....						The Threadneedle Foundation.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294553.....			Threadneedle International Ltd.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294393.....			Threadneedle Investments Ltd.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4294599.....			Threadneedle Investments (Channel Islands) Ltd...	JEY.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	100.000	Ameriprise Financial, Inc.....	

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## 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
Group Code	Group Name	NAIC Company Code	Federal 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)	*
	Ameriprise Financial, Inc						Threadneedle Management Services Ltd	GBR	NIA	Threadneedle Asset Management Holdings Ltd.	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4294768			Threadneedle Securities Ltd	GBR	NIA	Threadneedle Management Services Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc						Threadneedle Multi Asset Target Alpha	LUX	NIA	Threadneedle Asset Management Holdings Ltd.	Ownership	97.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4294786			Threadneedle Navigator ISA Manager Ltd	GBR	NIA	Threadneedle Asset Management Holdings Ltd.	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4294795			Threadneedle Pensions Ltd	GBR	NIA	Threadneedle Asset Management Holdings Ltd.	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4294843			Sackville (TPEN)	GBR	NIA	Threadneedle Pensions Ltd	Ownership	75.000	Ameriprise Financial, Inc	7
	Ameriprise Financial, Inc			4294982			Threadneedle Portfolio Services Ltd	GBR	NIA	Threadneedle Asset Management Holdings Ltd.	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc						Threadneedle Portfolio Services AG	CHE	NIA	Threadneedle Portfolio Services Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4294991			Threadneedle Property Investments Ltd	GBR	NIA	Threadneedle Asset Management Holdings Ltd.	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4295028			Sackville LCW (GP) Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	33.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4295082			Sackville Property (GP) Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4295130			Sackville SPF IV (GP) No. 1 Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4295167			Sackville SPF IV (GP) No. 2 Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4295206			Sackville SPF IV (GP) No. 3 Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4295112			Sackville SPF IV Property (GP) Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc						Threadneedle Strategic Property Fund IV (TN Prop Fund)	GBR	NIA	Sackville SPF IV Property (GP) Ltd	Other		Ameriprise Financial, Inc	4
	Ameriprise Financial, Inc			4295251			Sackville Tandem Property (GP) Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc						Sackville TPEN Property (GP) Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc						Sackville TPEN Property Nominee Ltd	GBR	NIA	Sackville TPEN Property (GP) Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc			4294843			Sackville (TPEN)	GBR	NIA	Sackville TPEN Property Nominee Ltd	Ownership	25.000	Ameriprise Financial, Inc	7
	Ameriprise Financial, Inc						Threadneedle Pensions Property Partnership 1 (TN Prop Fund)	GBR	NIA	Sackville TPEN Property (GP) Ltd	Other		Ameriprise Financial, Inc	4
	Ameriprise Financial, Inc						Threadneedle Pensions Property Partnership 2 (TN Prop Fund)	GBR	NIA	Sackville TPEN Property (GP) Ltd	Other		Ameriprise Financial, Inc	4
	Ameriprise Financial, Inc						Sackville TSP Property (GP) Ltd	GBR	NIA	Threadneedle Property Investments Ltd	Ownership	100.000	Ameriprise Financial, Inc	
	Ameriprise Financial, Inc						Threadneedle Strategic Property (Eagle Star) Fund (TN Prop Fund)	GBR	NIA	Sackville TSP Property (GP) Ltd	Other		Ameriprise Financial, Inc	4
	Ameriprise Financial, Inc						Threadneedle Strategic Property (Nearhearth) Fund (TN Prop Fund)	GBR	NIA	Sackville TSP Property (GP) Ltd	Other		Ameriprise Financial, Inc	4
	Ameriprise Financial, Inc						Threadneedle Strategic Property (Parcelgate) Fund (TN Prop Fund)	GBR	NIA	Sackville TSP Property (GP) Ltd	Other		Ameriprise Financial, Inc	4
	Ameriprise Financial, Inc						Threadneedle Tandem Property Fund (TN Prop Fund)	GBR	NIA	Sackville TSP Property (GP) Ltd	Other		Ameriprise Financial, Inc	4
	Ameriprise Financial, Inc						Threadneedle UK Opportunities Property II Fund (TN Prop Fund)	GBR	NIA	Sackville TSP Property (GP) Ltd	Other		Ameriprise Financial, Inc	4

Q12.3

## 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
Group Code	Group Name	NAIC Company Code	Federal 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)	*
.....	Ameriprise Financial, Inc.....	.....	.....	.....	.....	.....	Sackville UK Property Select II (GP) Ltd.....	GBR.....	NIA.....	Threadneedle Property Investments Ltd.....	Ownership.....	...100.000	Ameriprise Financial, Inc.....	.....
.....	Ameriprise Financial, Inc.....	.....	.....	.....	.....	.....	Sackville UK Property Select II (GP) No. 1 Ltd.....	GBR.....	NIA.....	Threadneedle Property Investments Ltd.....	Ownership.....	...100.000	Ameriprise Financial, Inc.....	.....
.....	Ameriprise Financial, Inc.....	.....	.....	.....	.....	.....	Sackville UK Property Select II (GP) No. 2 Ltd.....	GBR.....	NIA.....	Threadneedle Property Investments Ltd.....	Ownership.....	...100.000	Ameriprise Financial, Inc.....	.....
.....	Ameriprise Financial, Inc.....	.....	.....	.....	.....	.....	Sackville UK Property Select II (GP) No. 3 Ltd.....	GBR.....	NIA.....	Threadneedle Property Investments Ltd.....	Ownership.....	...100.000	Ameriprise Financial, Inc.....	.....
.....	Ameriprise Financial, Inc.....	.....	.....	.....	.....	.....	Threadneedle Unit Trust Manager Ltd.....	GBR.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	...100.000	Ameriprise Financial, Inc.....	.....

Q12.4

Asterisk	Explanation
1	Owned 19% / 7% by Ameriprise Financial Inc. and Ameriprise India Private Limited, respectively.
2	One share owned by Columbia Management Investment Advisers, LLC.
3	Managing Member and Ownership
4	General Partner and Ownership (<1%)
5	Board Membership, Managing Member and Ownership
6	Ownership percentage indicates voting shares only.
7	Owned 75% / 25% by Threadneedle Pensions Ltd and Sackville TPEN Property Nominee Ltd, respectively.

**PART 1 - LOSS EXPERIENCE**

Lines of Business	Current Year to Date			4 Prior Year to Date Direct Loss Percentage
	1 Direct Premiums Earned	2 Direct Losses Incurred	3 Direct Loss Percentage	
1. Fire.....			0.0	
2. Allied lines.....			0.0	
3. Farmowners multiple peril.....			0.0	
4. Homeowners multiple peril.....			0.0	
5. Commercial multiple peril.....			0.0	
6. Mortgage guaranty.....			0.0	
8. Ocean marine.....			0.0	
9. Inland marine.....			0.0	
10. Financial guaranty.....			0.0	
11.1. Medical professional liability - occurrence.....			0.0	
11.2. Medical professional liability - claims-made.....			0.0	
12. Earthquake.....			0.0	
13. Group accident and health.....			0.0	
14. Credit accident and health.....			0.0	
15. Other accident and health.....			0.0	
16. Workers' compensation.....			0.0	
17.1 Other liability-occurrence.....			0.0	
17.2 Other liability-claims made.....			0.0	
17.3 Excess workers' compensation.....			0.0	
18.1 Products liability-occurrence.....			0.0	
18.2 Products liability-claims made.....			0.0	
19.1, 19.2 Private passenger auto liability.....	18,006,274	20,957,718	116.4	105.9
19.3, 19.4 Commercial auto liability.....			0.0	
21. Auto physical damage.....	8,893,894	7,594,593	85.4	75.4
22. Aircraft (all perils).....			0.0	
23. Fidelity.....			0.0	
24. Surety.....			0.0	
26. Burglary and theft.....			0.0	
27. Boiler and machinery.....			0.0	
28. Credit.....			0.0	
29. International.....			0.0	
30. Warranty.....			0.0	
31. Reinsurance-nonproportional assumed property.....	XXX	XXX	XXX	XXX
32. Reinsurance-nonproportional assumed liability.....	XXX	XXX	XXX	XXX
33. Reinsurance-nonproportional assumed financial lines.....	XXX	XXX	XXX	XXX
34. Aggregate write-ins for other lines of business.....	0	0	0.0	
35. Totals.....	26,900,168	28,552,311	106.1	96.2

**DETAILS OF WRITE-INS**

3401.....			0.0	
3402.....			0.0	
3403.....			0.0	
3498. Sum. of remaining write-ins for Line 34 from overflow page.....	0	0	0.0	XXX
3499. Totals (Lines 3401 thru 3403 plus 3498) (Line 34).....	0	0	0.0	

**PART 2 - DIRECT PREMIUMS WRITTEN**

Lines of Business	1	2	3
	Current Quarter	Current Year to Date	Prior Year Year to Date
1. Fire.....			
2. Allied lines.....			
3. Farmowners multiple peril.....			
4. Homeowners multiple peril.....			
5. Commercial multiple peril.....			
6. Mortgage guaranty.....			
8. Ocean marine.....			
9. Inland marine.....			
10. Financial guaranty.....			
11.1 Medical professional liability - occurrence.....			
11.2 Medical professional liability - claims made.....			
12. Earthquake.....			
13. Group accident and health.....			
14. Credit accident and health.....			
15. Other accident and health.....			
16. Workers' compensation.....			
17.1 Other liability-occurrence.....			
17.2 Other liability-claims made.....			
17.3 Excess workers' compensation.....			
18.1 Products liability-occurrence.....			
18.2 Products liability-claims made.....			
19.1 19.2 Private passenger auto liability.....	9,307,719	18,789,577	16,663,798
19.3 19.4 Commercial auto liability.....			
21. Auto physical damage.....	3,293,484	9,410,512	7,889,301
22. Aircraft (all perils).....			
23. Fidelity.....			
24. Surety.....			
26. Burglary and theft.....			
27. Boiler and machinery.....			
28. Credit.....			
29. International.....			
30. Warranty.....			
31. Reinsurance-nonproportional assumed property.....	XXX	XXX	XXX
32. Reinsurance-nonproportional assumed liability.....	XXX	XXX	XXX
33. Reinsurance-nonproportional assumed financial lines.....	XXX	XXX	XXX
34. Aggregate write-ins for other lines of business.....	0	0	0
35. Totals.....	12,601,203	28,200,089	24,553,099

**DETAILS OF WRITE-INS**

3401.....			
3402.....			
3403.....			
3498. Sum. of remaining write-ins for Line 34 from overflow page.....	0	0	0
3499. Totals (Lines 3401 thru 3403 plus 3498) (Line 34).....	0	0	0

**PART 3 (000 omitted)**

**LOSS AND LOSS ADJUSTMENT EXPENSE RESERVES SCHEDULE**

	1	2	3	4	5	6	7	8	9	10	11	12	13
Years in Which Losses Occurred	Prior Year-End Known Case Loss and LAE Reserves	Prior Year-End IBNR Loss and LAE Reserves	Total Prior Year-End Loss and LAE Reserves (Cols. 1 + 2)	2014 Loss and LAE Payments on Claims Reported as of Prior Year-End	2014 Loss and LAE Payments on Claims Unreported as of Prior Year-End	Total 2014 Loss and LAE Payments (Cols. 4 + 5)	Q.S. Date Known Case Loss and LAE Reserves on Claims Reported and Open as of Prior Year-End	Q.S. Date Known Case Loss and LAE Reserves on Claims Reported or Reopened Subsequent to Prior Year-End	Q.S. Date IBNR Loss and LAE Reserves	Total Q.S. Loss and LAE Reserves (Cols. 7 + 8 + 9)	Prior Year-End Known Case Loss and LAE Reserves Developed (Savings)/Deficiency (Cols. 4 + 7 minus Col. 1)	Prior Year-End IBNR Loss and LAE Reserves Developed (Savings)/Deficiency (Cols. 5 + 8 + 9 minus Col. 2)	Prior Year-End Total Loss and LAE Reserve Developed (Savings)/Deficiency (Cols. 11 + 12)
1. 2011 + Prior.....			.0			.0				.0	.0	.0	.0
2. 2012.....			.0			.0				.0	.0	.0	.0
3. Subtotals 2012 + Prior.....	0	0	.0	0	0	.0	0	0	0	.0	0	0	0
4. 2013.....			.0			.0				.0	.0	.0	.0
5. Subtotals 2013 + Prior.....	0	0	.0	0	0	.0	0	0	0	.0	0	0	0
6. 2014.....	.XXX	.XXX	.XXX	.XXX		.0	.XXX			.0	.XXX	.XXX	.XXX
7. Totals.....	0	0	.0	0	0	.0	0	0	0	.0	0	0	0
8. Prior Year-End's Surplus As Regards Policyholders	43,958										Col. 11, Line 7 As % of Col. 1, Line 7	Col. 12, Line 7 As % of Col. 2, Line 7	Col. 13, Line 7 As % of Col. 3, Line 7
											1. ....0.0 %	2. ....0.0 %	3. ....0.0 %
													Col. 13, Line 7 Line 8
													4. ....0.0 %

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# 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.

	<b>Response</b>
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement?	NO
2. Will Supplement A to Schedule T (Medical Professional Liability Supplement) be filed with this statement?	NO
3. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?	NO
4. Will the Director and Officer Supplement be filed with the state of domicile and the NAIC with this statement?	NO

**Explanation:**

- 1.
- 2.
- 3.
- 4.

**Bar Code:**



**NONE**

**Ameriprise Insurance Company**  
**SCHEDULE A - VERIFICATION**

Real Estate

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	0	
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 end of current period (Lines 1+2+3+4-5+6-7-8).....	0	0
10. Deduct total nonadmitted amounts.....		
11. Statement value at end of current period (Line 9 minus Line 10).....	0	0

NONE

**SCHEDULE B - VERIFICATION**

Mortgage Loans

	1 Year to Date	2 Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year.....	0	
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 and commitment fees.....		
9. Total foreign exchange change in book value/recorded investment excluding accrued interest.....		
10. Deduct current year's other than temporary impairment recognized.....		
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10).....	0	0
12. Total valuation allowance.....		
13. Subtotal (Line 11 plus Line 12).....	0	0
14. Deduct total nonadmitted amounts.....		
15. Statement value at end of current period (Line 13 minus Line 14).....	0	0

NONE

**SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	0	
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).....	0	0
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	0	0

NONE

**SCHEDULE D - VERIFICATION**

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year.....	39,800,749	39,637,658
2. Cost of bonds and stocks acquired.....	8,909,707	9,639,430
3. Accrual of discount.....	4,483	3,573
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....	27,543	(792)
6. Deduct consideration for bonds and stocks disposed of.....	5,881,921	9,365,000
7. Deduct amortization of premium.....	46,448	114,120
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).....	42,814,113	39,800,749
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	42,814,113	39,800,749

## 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).....	39,973,689	7,139,709	2,382,074	(15,263)	31,465,349	33,773,731	38,516,103	29,872,318
2. NAIC 2 (a).....	4,298,301	233,696,339	237,100,000	3,410	12,427,072	10,498,259	7,098,008	11,729,517
3. NAIC 3 (a).....								1,398,877
4. NAIC 4 (a).....								
5. NAIC 5 (a).....								
6. NAIC 6 (a).....								
7. Total Bonds.....	44,271,990	240,836,048	239,482,074	(11,853)	43,892,421	44,271,990	45,614,111	43,000,712
<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.....	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock.....	44,271,990	240,836,048	239,482,074	(11,853)	43,892,421	44,271,990	45,614,111	43,000,712

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(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of non-rated short-term and cash equivalent bonds by NAIC designation:  
NAIC 1 \$.....0; NAIC 2 \$.....0; NAIC 3 \$.....0; NAIC 4 \$.....0; NAIC 5 \$.....0; NAIC 6 \$.....0.

**Sch. DA-Pt 1  
NONE**

**Sch. DA-Verification  
NONE**

**Sch. DB-Pt A-Verification  
NONE**

**Sch. DB-Pt B-Verification  
NONE**

**Sch. DB-Pt C-Sn 1  
NONE**

**Sch. DB-Pt C-Sn 2  
NONE**

**Sch. DB-Verification  
NONE**

**SCHEDULE E- VERIFICATION**

Cash Equivalents

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	3,199,963	1,799,984
2. Cost of cash equivalents acquired.....	597,892,814	594,192,897
3. Accrual of discount.....	7,223	7,082
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....		
6. Deduct consideration received on disposals.....	598,300,000	592,800,000
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).....	2,800,000	3,199,963
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	2,800,000	3,199,963

**Sch. A-Pt 2  
NONE**

**Sch. A-Pt 3  
NONE**

**Sch. B-Pt 2  
NONE**

**Sch. B-Pt 3  
NONE**

**Sch. BA-Pt 2  
NONE**

**Sch. BA-Pt 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 or Market Indicator (a)
<b>Bonds - U.S. States, Territories and Possessions</b>									
452152 VC 2	ILLINOIS STATE OF 5.000% 02/01/26		08/13/2014	BANK OF AMERICA		537,800	500,000	1,181	1FE
1799999. Total Bonds - U.S. States, Territories and Possessions						537,800	500,000	1,181	XXX
<b>Bonds - U.S. Special Revenue and Special Assessment</b>									
167736 B2 2	CHICAGO ILL WTR REV 5.000% 11/01/23		09/11/2014	PNC SECURITIES CORP		197,688	170,000		1FE
167736 B4 8	CHICAGO ILL WTR REV 5.000% 11/01/25		09/11/2014	PNC SECURITIES CORP		230,536	200,000		1FE
340122 KV 1	SC MCLEOD REGIONAL MED CTR 5.000% 11/0		07/30/2014	MORGAN (J.P.) SECURITIES		257,690	215,000		1FE
340122 KW 9	SC MCLEOD REGIONAL MED CTR 5.000% 11/0		07/30/2014	MORGAN (J.P.) SECURITIES		282,336	235,000		1FE
340122 KX 7	FLORENCE CNTY SC 5.000% 11/01/25		07/30/2014	MORGAN (J.P.) SECURITIES		219,719	185,000		1FE
45471A NL 2	INDIANA FIN AUTH HOSP REV 5.000% 12/01		09/25/2014	MORGAN (J.P.) SECURITIES		387,358	325,000		1FE
45528U LV 1	INDIANAPOLIS LOCAL PUBLIC IMPR 5.000%		09/17/2014	BANK OF AMERICA		462,320	400,000		1FE
603827 WN 2	MINNEAPOLIS & ST PAUL MINN MET 5.000%		09/11/2014	CITIGROUP GLOBAL MARKETS INC		329,651	285,000		1FE
646136 EK 3	NEW JERSEY ST TRANSN TR FD AUT 5.500%		08/27/2014	SAMUEL A. RAMIREZ		1,015,742	850,000	9,999	1FE
735240 E8 2	PORT PORTLAND ORE 5.000% 07/01/24		09/05/2014	BANK OF AMERICA		515,445	435,000		1FE
735240 E9 0	PORT PORTLAND ORE 5.000% 07/01/25		09/05/2014	BANK OF AMERICA		781,767	665,000		1FE
73358W TN 4	PORT AUTHORITY OF NEW YORK & N 5.000%		08/15/2014	CITIGROUP GLOBAL MARKETS INC		468,832	400,000		1FE
95308R FV 6	WEST HARRIS CNTY TX REGL WTR A 5.000%		08/26/2014	BANK OF OKLAHOMA		142,825	120,000	400	1FE
98322Q FS 1	WYOMING CMNTY DEV AUTH HST REV 3.000%		08/07/2014	BANK OF AMERICA		240,000	240,000		1FE
98322Q FT 9	WYOMING CMNTY DEV AUTH HST REV 3.100%		08/07/2014	BANK OF AMERICA		370,000	370,000		1FE
98322Q FV 4	WYOMING CMNTY DEV AUTH HST REV 3.250%		08/07/2014	BANK OF AMERICA		545,000	545,000		1FE
98322Q FX 0	WYOMING CMNTY DEV AUTH HST REV 3.350%		08/07/2014	BANK OF AMERICA		155,000	155,000		1FE
3199999. Total Bonds - U.S. Special Revenue and Special Assessment						6,601,909	5,795,000	10,399	XXX
8399997. Total Bonds - Part 3						7,139,709	6,295,000	11,580	XXX
8399999. Total Bonds						7,139,709	6,295,000	11,580	XXX
9999999. Total Bonds, Preferred and Common Stocks						7,139,709	XXX	11,580	XXX

QE04

(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 Stock 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 Desig- nation or 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. (11+12-13)	15 Total Foreign Exchange Change in B./A.C.V.								
<b>Bonds - U.S. Political Subdivisions of States, Territories and Possessions</b>																						
969268	CP 4		07/01/2014	MORGAN STANLEY & CO		487,500	500,000	502,340	502,172			(98)		(98)		502,074		(14,574)	(14,574)	18,083	08/01/2038	1FE
2499999. Total Bonds - U.S. Political Subdivisions of States, Territories and Possessions						487,500	500,000	502,340	502,172	0		(98)	0	(98)	0	502,074	0	(14,574)	(14,574)	18,083	XXX	XXX
<b>Bonds - U.S. Special Revenue and Special Assessment</b>																						
479694	AF 8		08/15/2014	Call 100.0000		1,880,000	1,880,000	1,938,449	1,885,013			(5,013)		(5,013)		1,880,000			0	91,180	08/15/2029	1FE
3199999. Total Bonds - U.S. Special Revenue and Special Assessment						1,880,000	1,880,000	1,938,449	1,885,013	0		(5,013)	0	(5,013)	0	1,880,000	0	0	0	91,180	XXX	XXX
8399997. Total Bonds - Part 4						2,367,500	2,380,000	2,440,789	2,387,185	0		(5,111)	0	(5,111)	0	2,382,074	0	(14,574)	(14,574)	109,263	XXX	XXX
8399999. Total Bonds						2,367,500	2,380,000	2,440,789	2,387,185	0		(5,111)	0	(5,111)	0	2,382,074	0	(14,574)	(14,574)	109,263	XXX	XXX
9999999. Total Bonds, Preferred and Common Stocks						2,367,500	XXX	2,440,789	2,387,185	0		(5,111)	0	(5,111)	0	2,382,074	0	(14,574)	(14,574)	109,263	XXX	XXX

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

**Sch. DB-Pt A-Sn 1  
NONE**

**Sch. DB-Pt A-Sn 1-Footer A  
NONE**

**Sch. DB-Pt A-Sn 1-Footer B  
NONE**

**Sch. DB-Pt B-Sn 1  
NONE**

**Sch. DB-Pt B-Sn 1-Footer A  
NONE**

**Sch. DB-Pt B-Sn 1-Footer B  
NONE**

**Sch. DB-Pt B-Sn 1B-Broker List  
NONE**

**Sch. DB-Pt D-Sn 1  
NONE**

**Sch. DB-Pt D-Sn 2  
NONE**

**Sch. DL-Pt. 1  
NONE**

**Sch. DL-Pt. 2  
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>								
Wells Fargo Bank..... Minneapolis, MN 55474.....					46,360	46,442	46,252	XXX..
JP Morgan Bank..... New York, NY 10005.....					94,643	73,903	19,485	XXX..
0199999. Total Open Depositories.....	...XXX...	...XXX...	.....0	.....0	141,003	120,346	65,736	XXX..
0399999. Total Cash on Deposit.....	...XXX...	...XXX...	.....0	.....0	141,003	120,346	65,736	XXX..
0599999. Total Cash.....	...XXX...	...XXX...	.....0	.....0	141,003	120,346	65,736	XXX..

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1 Description	2 Code	3 Date Acquired	4 Rate of Interest	5 Maturity Date	6 Book/Adjusted Carrying Value	7 Amount of Interest Due & Accrued	8 Amount Received During Year
<b>Bonds - Industrial and Miscellaneous (Unaffiliated) - Issuer Obligations</b>							
EDISON INTL.....		09/30/2014		10/01/2014	2,800,000		16
3299999. Industrial and Miscellaneous (Unaffiliated) - Issuer Obligations.....					2,800,000	.0	16
3899999. Total - Industrial and Miscellaneous (Unaffiliated).....					2,800,000	.0	16
<b>Total Bonds</b>							
7799999. Subtotals - Issuer Obligations.....					2,800,000	.0	16
8399999. Subtotals - Bonds.....					2,800,000	.0	16
8699999. Total - Cash Equivalents.....					2,800,000	.0	16

QE13