

**QUARTERLY STATEMENT**  
**OF THE**  
**Ameriprise Insurance Company**  
**Of**  
**De Pere**  
**in the state of WI**

**to the Insurance Department**  
**of the State of**

For the Period Ended  
September 30, 2015

**2015**



# QUARTERLY STATEMENT

As of September 30, 2015  
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 Incorporated/Organized..... October 14, 2005	State of Domicile or Port of Entry Wisconsin Commenced Business..... January 26, 2006	Country of Domicile US
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	www.ameriprise.com	
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
Lisa Kay Jossart	Sr Vice President	Christopher Francis Malone	Sr Vice President
Jason Robert Manns #	Vice President	Rebecca Lea Roever	Sr Vice President
Gordon Howard Sissingh	Vice President	Todd Christopher Thiel	Vice President

### DIRECTORS OR TRUSTEES

Thomas Scott Botsford	Kenneth John Ciak	Michael Richard Greene	James Louis Hamalainen
Christopher Francis Malone	Rebecca Lea Roever	Joseph Edward Sweeney	

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) Christopher F Malone _____ 3. (Printed Name) _____ Asst Treasurer _____ (Title)
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Subscribed and sworn to before me  
This 3rd day of November 2015

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.....	43,447,215		43,447,215	42,232,640
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 (\$.....195,226), cash equivalents (\$.....3,400,000) and short-term investments (\$.....0).....	3,595,226		3,595,226	2,593,141
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).....	47,042,441	.0	47,042,441	44,825,781
13. Title plants less \$.....0 charged off (for Title insurers only).....			.0	
14. Investment income due and accrued.....	568,879		568,879	530,007
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.....	1,691,390		1,691,390	1,622,186
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).....	49,302,711	.0	49,302,711	46,977,974
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			.0	
28. Total (Lines 26 and 27).....	49,302,711	.0	49,302,711	46,977,974

### 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).....		231
7.1 Current federal and foreign income taxes (including \$.....0 on realized capital gains (losses)).....	317,671	36,228
7.2 Net deferred tax liability.....	4,798	9,416
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.....	1,354,461	1,795,487
20. Derivatives.....		
21. Payable for securities.....	1,692,822	
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).....	3,369,752	1,841,362
27. Protected cell liabilities.....		
28. Total liabilities (Lines 26 and 27).....	3,369,752	1,841,362
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).....	206,485	(589,861)
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).....	45,932,959	45,136,613
38. Totals (Page 2, Line 28, Col. 3).....	49,302,711	46,977,975

### 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 \$.....28,022,800).....	27,961,946	26,900,168	
1.2 Assumed..... (written \$.....0).....			
1.3 Ceded..... (written \$.....28,022,800).....	27,961,946	26,900,168	
1.4 Net..... (written \$.....0).....	0	0	0
DEDUCTIONS:			
2. Losses incurred (current accident year \$.....0):			
2.1 Direct.....	18,944,716	28,552,310	
2.2 Assumed.....			
2.3 Ceded.....	18,944,716	28,552,310	
2.4 Net.....	0	0	0
3. Loss adjustment expenses incurred.....			(0)
4. Other underwriting expenses incurred.....	674,923	670,909	695,595
5. Aggregate write-ins for underwriting deductions.....	0	0	0
6. Total underwriting deductions (Lines 2 through 5).....	674,923	670,909	695,595
7. Net income of protected cells.....			
8. Net underwriting gain (loss) (Line 1 minus Line 6 + Line 7).....	(674,923)	(670,909)	(695,595)
<b>INVESTMENT INCOME</b>			
9. Net investment income earned.....	1,290,709	1,379,429	1,669,052
10. Net realized capital gains (losses) less capital gains tax of \$.....12,684.....	23,556	17,903	17,903
11. Net investment gain (loss) (Lines 9 + 10).....	1,314,265	1,397,331	1,686,955
<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).....	639,342	726,423	991,360
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).....	639,342	726,423	991,360
19. Federal and foreign income taxes incurred.....	(152,386)	(28,451)	(57,230)
20. Net income (Line 18 minus Line 19) (to Line 22).....	791,728	754,873	1,048,590
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
21. Surplus as regards policyholders, December 31 prior year.....	45,136,613	43,958,129	43,958,129
22. Net income (from Line 20).....	791,728	754,873	1,048,590
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.....	4,618	122,356	129,894
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).....	796,346	877,229	1,178,484
39. Surplus as regards policyholders, as of statement date (Lines 21 plus 38).....	45,932,959	44,835,358	45,136,613
<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.....	1,376,029	1,406,893	1,731,638
3. Miscellaneous income.....			
4. Total (Lines 1 through 3).....	1,376,029	1,406,893	1,731,638
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.....	675,154	708,940	700,682
8. Dividends paid to policyholders.....			
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....	(421,145)	355,403	312,186
10. Total (Lines 5 through 9).....	254,009	1,064,343	1,012,868
11. Net cash from operations (Line 4 minus Line 10).....	1,122,020	342,549	718,770
<b>CASH FROM INVESTMENTS</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	6,844,500	5,881,921	10,001,921
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.....	1,692,822	1,179,329	
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	8,537,322	7,061,250	10,001,921
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	8,147,028	8,909,707	12,480,168
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).....	8,147,028	8,909,707	12,480,168
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).....	390,294	(1,848,457)	(2,478,247)
<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).....	(510,230)	1,113,960	1,094,932
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	(510,230)	1,113,960	1,094,932
<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).....	1,002,084	(391,948)	(664,545)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	2,593,138	3,257,683	3,257,683
19.2 End of period (Line 18 plus Line 19.1).....	3,595,222	2,865,735	2,593,138

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.

A reconciliation of the Company net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the State of Wisconsin is show below.

	State of Domicile	2015	2014
<b>NET INCOME</b>			
(1) Ameriprise Insurance Company state basis (Page 4, Line 20, Columns 1 & 3)	WI	791,728	1,048,590
(2) State Prescribed Practices that increase/decrease NAIC SAP			
(3) State Permitted Practices that increase/decrease NAIC SAP			
(4) NAIC SAP (1 - 2 - 3 = 4)	WI	791,728	1,048,590
<b>SURPLUS</b>			
(5) Ameriprise Insurance Company state basis (Page 3, line 37, Columns 1 & 2)	WI	45,932,959	45,136,613
(6) State Prescribed Practices that increase/decrease NAIC SAP			
(7) State Permitted Practices that increase/decrease NAIC SAP			
(8) NAIC SAP (5 - 6 - 7 = 8)	WI	45,932,959	45,136,613

**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 impairment ("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.

**NOTES TO FINANCIAL STATEMENTS**

- (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, 2015:

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

- (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.

**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**



**NOTES TO FINANCIAL STATEMENTS****A. Fair Value Measurements at September 30, 2015**

- (1) The Company does not have any assets or liabilities reported at fair value as of September 30, 2015.
- (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.
- (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, 2015.

**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, 2015.**

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	Fair Value (Level 1)	Fair Value (Level 2)	Fair Value (Level 3)	Not Practicable (Carrying Value)
Bonds	\$ 44,697,784	\$ 43,447,215	\$ 927,444	\$ 43,770,340	\$ -	\$ -
Cash equivalents	3,400,000	3,400,000		3,400,000		

**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

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## **NOTES TO FINANCIAL STATEMENTS**

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**Note 26 - Intercompany Pooling Arrangements**

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
0		

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). 02/20/2015
- 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 the Department? 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 with 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.

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

9.2 Has the code of ethics for senior managers been amended? Yes [ ] No [X]

9.21 If the response to 9.2 is Yes, provide information related to amendment(s).

9.3 Have any provisions of the code of ethics been waived for any of the specified officers? Yes [ ] No [X]

9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

**FINANCIAL**

10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes [X] No [ ]

10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ 1,691,390

**INVESTMENT**

11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes [ ] No [X]

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

12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ 0

13. Amount of real estate and mortgages held in short-term investments: \$ 0

14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes [ ] No [X]

14.2 If yes, please complete the following:

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

	1 Prior Year-End Book/Adjusted Carrying Value	2 Current Quarter Book/Adjusted Carrying Value
\$	0	\$ 0
	0	0
	0	0
	0	0
	0	0
\$	0	\$ 0
\$	0	\$ 0

15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes [ ] No [X]

15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes [ ] No [ ]

If no, attach a description with this statement.

16. For the reporting entity's security lending program, state the amount of the following as of current statement date:

16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0

16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0

16.3 Total payable for securities lending reported on the liability page: \$ 0

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

17.1 For all agreements that comply with the requirements of the NAIC *Financial Condition Examiners Handbook*, complete the following:

1 Name of Custodian(s)	2 Custodian Address
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 Name(s)	2 Location(s)	3 Complete Explanation(s)

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

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

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

17.5 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	2	3

Central Registration Depository	Name(s)	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.

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.

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:

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
	0.000	0.000	0	0	0	0	0	0	0	0
<b>Total</b>	XXX	XXX	0	0	0	0	0	0	0	0

5.1 Operating Percentages:

5.1 A&H loss percent 0.000%

5.2 A&H cost containment percent 0.000%

5.3 A&H expense percent excluding cost containment expenses 0.000%

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	6,763,591	5,571,985	5,993,706	3,465,371	3,767,127	4,045,582
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	21,259,209	22,628,104	18,830,136	18,020,725	19,978,808	19,840,234
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		28,022,800	28,200,089	24,823,841	21,486,095	23,745,934	23,885,817

**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 National Trust Bank.....	06-1791061		
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 Trust Company.....	41-6219335		
AMPF Holding Corporation.....	38-2722519		
American Enterprise Investment Services Inc.....	41-1667086		
Ameriprise Financial Services, Inc.....	41-0973005		
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 Focused Large Cap Growth Private Fund, LLC (Private Invest Fund).....			
Columbia Institutional High Yield Fixed Income Private Fund LLC.....	45-5077345		
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 Global Alpha Opportunities (Master) Fund.....	98-1111310		
Columbia Select Large Cap Growth ETF (ETF FUNDS).....	27-0473870		
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		
Columbia Research Partners LLC.....	27-2466899		
Columbia Research Market Neutral, LP (Private Invest Fund).....	26-2795674		
Seligman Health Plus Partners LLC.....	20-5704686		
Seligman Health Spectrum Plus, LLC.....	20-5704686		
Seligman Partners LLC.....	13-4200160		
Seligman Tech Spectrum Fund, 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 Sarl.....			
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 Asset Management UK Ltd.....			
TAM UK Holdings Ltd.....			
Threadneedle Asset Management Holdings Ltd.....			
Threadneedle Asia Contrarian Equity.....			
Threadneedle Asian Focus.....			
Threadneedle Asset Management (Nominees) Ltd.....			
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 Holdings Limited.....			
Threadneedle Asset Management Ltd.....	98-0691981		

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

<ul style="list-style-type: none"> <li>– Threadneedle Investment Services Ltd.....</li> <li>– Threadneedle International Ltd.....</li> <li>– Threadneedle Investments Ltd.....</li> <li>– Threadneedle Investments (Channel Islands) Ltd.....</li> <li>– Threadneedle Management Services Ltd.....</li> <li>– Threadneedle Securities Ltd.....</li> <li>– Threadneedle Multi Asset Target Alpha.....</li> <li>– Threadneedle Navigator ISA Manager Ltd.....</li> <li>– Threadneedle Pensions Ltd.....</li> <li>– Sackville (TPEN) (75%).....</li> <li>– Threadneedle Portfolio Services Ltd.....</li> <li>– Threadneedle Portfolio Services AG.....</li> <li>– Threadneedle Property Investments Ltd.....</li> <li>– Sackville LCW (GP) Ltd.....</li> <li>– Sackville Property (GP) Ltd.....</li> <li>– Sackville SPF IV (GP) No. 1 Ltd.....</li> <li>– Sackville SPF IV (GP) No. 2 Ltd.....</li> <li>– Sackville SPF IV (GP) No. 3 Ltd.....</li> <li>– Sackville SPF IV Property (GP) Ltd.....</li> <li>– Threadneedle Strategic Property Fund IV (TN Prop Fund).....</li> <li>– Sackville Tandem Property (GP) Ltd.....</li> <li>– Sackville TPEN Property (GP) Ltd.....</li> <li>– Sackville TPEN Property Nominee Ltd.....</li> <li>– Sackville (TPEN) (25%).....</li> <li>– Threadneedle Pensions Property Partnership 1 (TN Prop Fund).....</li> <li>– Threadneedle Pensions Property Partnership 2 (TN Prop Fund).....</li> <li>– Sackville TSP Property (GP) Ltd.....</li> <li>– Threadneedle Strategic Property (Eagle Star) Fund (TN Prop Fund).....</li> <li>– Threadneedle Strategic Property (Nearhearth) Fund (TN Prop Fund).....</li> <li>– Threadneedle Strategic Property (Parcelgate) Fund (TN Prop Fund).....</li> <li>– Threadneedle Tandem Property Fund (TN Prop Fund).....</li> <li>– Threadneedle UK Opportunities Property II Fund (TN Prop Fund).....</li> <li>– Sackville UK Property Select II (GP) Ltd.....</li> <li>– Sackville UK Property Select II (GP) No. 1 Ltd.....</li> <li>– Sackville UK Property Select II (GP) No. 2 Ltd.....</li> <li>– Sackville UK Property Select II (GP) No. 3 Ltd.....</li> <li>– Threadneedle Unit Trust Manager Ltd.....</li> </ul>	<p>98-0691982</p>
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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	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.....		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.....	IA.....	RiverSource Life Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		27-0380139..	4289858....			RiverSource NY REO, LLC.....	NY.....	NIA.....	RiverSource Life Insurance Co. of New York.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		26-4164569..	4289867....			RiverSource REO 1, LLC.....	MN.....	NIA.....	RiverSource Life Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		13-6178563..	4289876....			RiverSource Tax Advantaged Investments, Inc.....	DE.....	NIA.....	RiverSource Life Insurance Company.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		41-1977631..	3945102....			AEXP Affordable Housing Portfolio, LLC.....	DE.....	NIA.....	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.....	
	Ameriprise Financial, Inc.....		41-1533211..	4246169....			Columbia Management Investment Advisers, LLC..	MN.....	NIA.....	Ameriprise Financial, Inc.....	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	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.....		41-1624224..	4289979.....			Advisory Capital Strategies Group, Inc.....	MN.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	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.....	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Columbia Institutional High Yield Fixed Income Private Fund	CYM.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		45-5077345..				Columbia Institutional High Yield Fixed Income Private Fund, LLC	DE.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1165738..				Columbia Institutional High Yield Fixed Income Private (Master) Fund	CYM.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Columbia U.S. Contrarian Core Equity Private Fund, LLC	DE.....	NIA.....	Advisory Capital Strategies Group, Inc.....	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Centurion Global Sovereign CBO I, Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Centurion CDO IV Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0416968..				Centurion CDO 7 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0446511..				Centurion CDO IX Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0465083..				Centurion CDO 10 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0463886..				Cent CLO 11 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0507952..				Cent CLO 12 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0509628..				Cent CLO 14 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-0528007..				Cent CLO 15 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1087757..				Cent CLO 17 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1105047..				Cent CLO 18 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1132125..				Cent CLO 19 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1141714..				Cent CLO 20 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		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	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.....		98-1174078..				Cent CLO 21 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1191437..				Cent CLO 22 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1210182..				Cent CLO 23 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Cent CLO 24 Limited.....	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		46-4892631..				Columbia Adaptive Risk Allocation Fund, LLC.....	DE.....	NIA.....	Columbia Management Investment Advisers, LLC	Influence.....		Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		98-1156583..				Columbia Adaptive Risk Allocation (Master) Fund..	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	81.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		46-4469208..				Columbia Diversified Real Return Fund.....	MA.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	99.000	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.....		98-1046237..				Columbia Short Duration High Yield Private (Master) Fund	CYM.....	NIA.....	Columbia Management Investment Advisers, LLC	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....		47-2947408..				Columbia U.S. Social Bond Fund.....	MA.....	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.....		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.....						Ameriprise International Holdings GmbH.....	CHE.....	NIA.....	Ameriprise Financial, Inc.....	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	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.....						Ameriprise Asset Management Holdings GmbH ....	CHE.....	NIA.....	Ameriprise International Holdings GmbH.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Ameriprise Asset Management Holdings Singapore (Pte.) Ltd.	SGP.....	NIA.....	Ameriprise Asset Management Holdings GmbH	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Asset Management Malaysia Sdn. Bhd	MYS.....	NIA.....	Ameriprise Asset Management Holdings Singapore (Pte.) Ltd.	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4293873.....			Threadneedle Investments Singapore (Pte.) Ltd.....	SGP.....	NIA.....	Ameriprise Asset Management Holdings Singapore (Pte.) Ltd.	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Investments Taiwan Ltd.....	TWN.....	NIA.....	Ameriprise Asset Management Holdings GmbH	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Ameriprise Holdings Singapore (Pte.) Ltd. ....	SGP.....	NIA.....	Ameriprise International Holdings GmbH.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....			4293538.....			Threadneedle Asset Management Holdings Sarl...	LUX.....	NIA.....	Ameriprise International Holdings GmbH.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	4.....
	Ameriprise Financial, Inc.....			4293574.....			TAM Investment Ltd.....	GBR.....	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.....			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.....	4.....
	Ameriprise Financial, Inc.....			4294357.....			Threadneedle Asset Management Holdings Ltd.....	GBR.....	NIA.....	TAM UK Holdings Ltd.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Columbia Threadneedle Foundation.....	GBR.....	NIA.....	Threadneedle Asset Management 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.....	76.000	Ameriprise Financial, Inc.....	
	Ameriprise Financial, Inc.....						Threadneedle Asian Focus.....	LUX.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	87.000	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.....	4.....
	Ameriprise Financial, Inc.....						Threadneedle Global Multi Asset Income.....	LUX.....	NIA.....	Threadneedle Asset Management Holdings Ltd..	Ownership.....	82.000	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.....	
	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.....			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.....	

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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	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.....			4294843.....			Sackville (TPEN).....	GBR.....	NIA.....	Threadneedle Pensions Ltd.....	Ownership.....	75.000	Ameriprise Financial, Inc.....	5.....
	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.....	3.....
	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.....	5.....
	Ameriprise Financial, Inc.....						Threadneedle Pensions Property Partnership 1 (TN Prop Fund)	GBR.....	NIA.....	Sackville TPEN Property (GP) Ltd.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....						Threadneedle Pensions Property Partnership 2 (TN Prop Fund)	GBR.....	NIA.....	Sackville TPEN Property (GP) Ltd.....	Other.....		Ameriprise Financial, Inc.....	3.....
	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.....	3.....
	Ameriprise Financial, Inc.....						Threadneedle Strategic Property (Nearhearth) Fund (TN Prop Fund)	GBR.....	NIA.....	Sackville TSP Property (GP) Ltd.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....						Threadneedle Strategic Property (Parcelgate) Fund (TN Prop Fund)	GBR.....	NIA.....	Sackville TSP Property (GP) Ltd.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....						Threadneedle Tandem Property Fund (TN Prop Fund)	GBR.....	NIA.....	Sackville TSP Property (GP) Ltd.....	Other.....		Ameriprise Financial, Inc.....	3.....
	Ameriprise Financial, Inc.....						Threadneedle UK Opportunities Property II Fund (TN Prop Fund)	GBR.....	NIA.....	Sackville TSP Property (GP) Ltd.....	Other.....		Ameriprise Financial, Inc.....	3.....
	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.....	
	Ameriprise Financial, Inc.....		47-3044011..				Threadneedle EMEA Holdings 1, LLC.....	MN.....	NIA.....	Ameriprise International Holdings GmbH.....	Ownership.....	100.000	Ameriprise Financial, Inc.....	

Q12.4

## 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	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)	*

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	General Partner and Ownership (<1%)
4	Ownership percentage indicates voting shares only.
5	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.....	18,514,594	10,472,770	56.6	116.4
19.3, 19.4 Commercial auto liability.....			0.0	
21. Auto physical damage.....	9,447,352	8,471,947	89.7	85.4
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.....	27,961,946	18,944,716	67.8	106.1
<b>DETAILS OF WRITE-INS</b>				
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.....	6,179,936	18,509,789	18,789,577
19.3 19.4 Commercial auto liability.....			
21. Auto physical damage.....	3,216,675	9,513,011	9,410,512
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.....	9,396,611	28,022,800	28,200,089
<b>DETAILS OF WRITE-INS</b>			
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)	2015 Loss and LAE Payments on Claims Reported as of Prior Year-End	2015 Loss and LAE Payments on Claims Unreported as of Prior Year-End	Total 2015 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. 2012 + Prior.....			.....0			.....0				.....0	.....0	.....0	.....0
2. 2013.....			.....0			.....0				.....0	.....0	.....0	.....0
3. Subtotals 2013 + Prior.....	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0
4. 2014.....			.....0			.....0				.....0	.....0	.....0	.....0
5. Subtotals 2014 + Prior.....	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0	.....0
6. 2015.....	.....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	.....45,137										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

**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

**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

**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.....	42,232,638	39,800,747
2. Cost of bonds and stocks acquired.....	8,147,027	12,480,167
3. Accrual of discount.....	4,259	5,763
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....	36,240	27,543
6. Deduct consideration for bonds and stocks disposed of.....	6,844,500	10,001,921
7. Deduct amortization of premium.....	128,451	79,661
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).....	43,447,213	42,232,638
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	43,447,213	42,232,638

## 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).....	41,141,708	3,550,442	3,003,947	(48,109)	38,664,279	41,141,708	41,640,094	40,834,927
2. NAIC 2 (a).....	3,615,980	176,396,623	175,700,000	3,369	5,941,618	3,615,980	4,315,972	3,197,691
3. NAIC 3 (a).....	894,683			(3,533)		894,683	891,150	
4. NAIC 4 (a).....							.0	
5. NAIC 5 (a).....							.0	
6. NAIC 6 (a).....							.0	
7. Total Bonds.....	45,652,371	179,947,065	178,703,947	(48,274)	44,605,897	45,652,371	46,847,215	44,032,618
<b>PREFERRED STOCK</b>								
8. NAIC 1.....							.0	
9. NAIC 2.....							.0	
10. NAIC 3.....							.0	
11. NAIC 4.....							.0	
12. NAIC 5.....							.0	
13. NAIC 6.....							.0	
14. Total Preferred Stock.....	.0	.0	.0	.0	.0	.0	.0	.0
15. Total Bonds and Preferred Stock.....	45,652,371	179,947,065	178,703,947	(48,274)	44,605,897	45,652,371	46,847,215	44,032,618

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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.....	1,799,981	3,199,964
2. Cost of cash equivalents acquired.....	518,690,088	757,190,803
3. Accrual of discount.....	9,931	9,214
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....		
6. Deduct consideration received on disposals.....	517,100,000	758,600,000
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).....	3,400,000	1,799,981
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	3,400,000	1,799,981



**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	2	3	4	5	6	7	8	9	10
Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation or Market Indicator (a)
<b>Bonds - U.S. Special Revenue and Special Assessment</b>									
167615 UR 2	CHICAGO ILL PK DIST 5.000% 01/01/26		08/28/2015	BMO CAPITAL MARKETS		583,562	535,000		1FE
167615 VE 0	CHICAGO ILL PK DIST 5.000% 01/01/23		08/28/2015	BMO CAPITAL MARKETS		1,109,260	1,000,000		1FE
645918 U8 4	NEW JERSEY ECONOMIC DEVELOPMEN 5.000%		08/26/2015	BARCLAYS BANK PLC		1,062,620	1,000,000	25,000	1FE
76221R VH 3	Rhode Island Housing & Mortgag 3.650%		07/08/2015	MORGAN STANLEY & CO		795,000	795,000		1FE
3199999	Total Bonds - U.S. Special Revenue and Special Assessment					3,550,442	3,330,000	25,000	XXX
8399997	Total Bonds - Part 3					3,550,442	3,330,000	25,000	XXX
8399999	Total Bonds					3,550,442	3,330,000	25,000	XXX
9999999	Total Bonds, Preferred and Common Stocks					3,550,442	XXX	25,000	XXX

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

QE04

## SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For eig n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Design- ation or Market Indicato r (a)
<b>Bonds - U.S. States, Territories and Possessions</b>																					
977056	6H 8		09/24/2015	WISCONSIN STATE OF SER 3 5.000% 11/01/...		100.0000	10,000	10,000	10,322	10,000			0		10,000			0	449	11/01/2026	1FE....
1799999. Total Bonds - U.S. States, Territories and Possessions.....						10,000	10,000	10,322	10,000	0	0	0	0	0	10,000	0	0	0	449	XXX	XXX
<b>Bonds - U.S. Special Revenue and Special Assessment</b>																					
17131H	AL 2		08/28/2015	CHULA VISTA CALIF 1997A 4.900% 03/01/2...		101.0000	2,974,450	2,945,000	3,015,680	2,954,913		(5,525)	(5,525)	2,949,388			25,062	25,062	143,102	03/01/2023	1FE....
57563R	KY 4		07/01/2015	MASSACHUSETTS EDL FING AUTH 5.250% 07/...		100.0000	45,000	45,000	44,519	44,549		10	10	44,560			440	440	2,363	07/01/2029	1FE....
3199999. Total Bonds - U.S. Special Revenue and Special Assessment.....						3,019,450	2,990,000	3,060,199	2,999,462	0	(5,515)	0	(5,515)	0	2,993,948	0	25,502	25,502	145,465	XXX	XXX
8399997. Total Bonds - Part 4.....						3,029,450	3,000,000	3,070,521	3,009,462	0	(5,515)	0	(5,515)	0	3,003,948	0	25,502	25,502	145,914	XXX	XXX
8399999. Total Bonds.....						3,029,450	3,000,000	3,070,521	3,009,462	0	(5,515)	0	(5,515)	0	3,003,948	0	25,502	25,502	145,914	XXX	XXX
9999999. Total Bonds, Preferred and Common Stocks.....						3,029,450	XXX	3,070,521	3,009,462	0	(5,515)	0	(5,515)	0	3,003,948	0	25,502	25,502	145,914	XXX	XXX

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

QE05

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

**Sch. DB-Pt B-Sn 1  
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.....			.....0	.....0	.....(30,520)	.....13,532	.....28,169	XXX
JP Morgan..... New York, NY 10005.....			.....0	.....0	.....90,576	.....34,792	.....167,057	XXX
0199999. Total Open Depositories.....	XXX	XXX	.....0	.....0	.....60,056	.....48,324	.....195,226	XXX
0399999. Total Cash on Deposit.....	XXX	XXX	.....0	.....0	.....60,056	.....48,324	.....195,226	XXX
0599999. Total Cash.....	XXX	XXX	.....0	.....0	.....60,056	.....48,324	.....195,226	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>							
WILLIAMS PRTNRS.....		09/30/2015		10/01/2015	3,400,000		.38
3299999. Industrial and Miscellaneous (Unaffiliated) - Issuer Obligations.....					3,400,000	0	.38
3899999. Total - Industrial and Miscellaneous (Unaffiliated).....					3,400,000	0	.38
<b>Total Bonds</b>							
7799999. Subtotals - Issuer Obligations.....					3,400,000	0	.38
8399999. Subtotals - Bonds.....					3,400,000	0	.38
8699999. Total - Cash Equivalents.....					3,400,000	0	.38

QE13