

**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, 2018

**2018**



# QUARTERLY STATEMENT

As of September 30, 2018  
of the Condition and Affairs of the

## Ameriprise Insurance Company

|  |   |  |
|--|---|--|
| NAIC Group Code..... 4, 4<br>(Current Period) (Prior Period) | NAIC Company Code..... 12504  | Employer's ID Number.....<br>65-1261374  |
| Organized under the Laws of WI                               | State of Domicile or Port of Entry WI   | Country of Domicile US   |
| Incorporated/Organized..... October 14, 2005                 | Commenced Business..... January 26, 2006  |  |
| Statutory Home Office  | 3500 Packerland Drive .. De Pere .. WI .. US .. 54115-9070<br><i>(Street and Number) (City or Town, State, Country and Zip Code)</i>              |  |
| Main Administrative Office                                   | 3500 Packerland Drive .. De Pere .. WI .. US .. 54115-9070<br><i>(Street and Number) (City or Town, State, Country and Zip Code)</i>              | 920-330-5100<br><i>(Area Code) (Telephone Number)</i>  |
| Mail Address   | 3500 Packerland Drive .. De Pere .. WI .. US .. 54115-9070<br><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 .. 54115-9070<br><i>(Street and Number) (City or Town, State, Country and Zip Code)</i>              | 920-330-5100<br><i>(Area Code) (Telephone Number)</i>  |
| Internet Web Site Address                                    | www.ameriprise.com  |  |
| Statutory Statement Contact                                  | Kelly B Kinas<br><i>(Name)</i><br>Kelly.Kinas@ampf.com<br><i>(E-Mail Address)</i>   | 920-330-5619<br><i>(Area Code) (Telephone Number) (Extension)</i><br>920-330-5603<br><i>(Fax Number)</i> |

### OFFICERS

| Name                        | Title     | Name                    | Title     |
|-----------------------------|-----------|-------------------------|-----------|
| 1. Thomas Vincent Ealy      | President | 2. Thomas Richard Moore | Secretary |
| 3. James Anthony Brefeld Jr | Treasurer |                         |           |

### OTHER

|                            |                   |                    |                   |
|----------------------------|-------------------|--------------------|-------------------|
| Thomas Scott Botsford      | Sr Vice President | Lisa Kay Jossart   | Sr Vice President |
| Christopher Francis Malone | Sr Vice President | John Joseph Whalin | Vice President    |
| Richard Paul Yocius        | Vice President    |                    |                   |

### DIRECTORS OR TRUSTEES

|                       |                          |                            |                       |
|-----------------------|--------------------------|----------------------------|-----------------------|
| Thomas Scott Botsford | Thomas Vincent Ealy      | Christopher Francis Malone | Joseph Edward Sweeney |
| Richard Paul Yocius   | James Anthony Brefeld Jr | Brian Joseph McGrane       |                       |

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.

|  |   |  |
|--|---|--|
| _____<br>(Signature)<br>Thomas V Ealy<br>1. (Printed Name)<br>President<br>(Title) | _____<br>(Signature)<br>Kelly B Kinas<br>2. (Printed Name)<br>Asst Secretary<br>(Title) | _____<br>(Signature)<br>Christopher F Malone<br>3. (Printed Name)<br>Asst Treasurer<br>(Title) |
|--|---|--|

Subscribed and sworn to before me  
This 24th day of October, 2018

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<br>December 31<br>Prior Year Net<br>Admitted Assets |
|--|------------------------|----------------------------|--|---|
|  | 1<br>Assets            | 2<br>Nonadmitted<br>Assets | 3<br>Net Admitted<br>Assets<br>(Cols. 1 - 2) |   |
| 1. Bonds.....  | 46,206,845             |                            | 46,206,845                                   | 45,944,671  |
| 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 (\$.....164,029), cash equivalents (\$.....2,300,000) and short-term investments (\$.....0).....   | 2,464,029              |                            | 2,464,029                                    | 2,061,555   |
| 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).....   | 48,670,874             | 0                          | 48,670,874                                   | 48,006,226  |
| 13. Title plants less \$.....0 charged off (for Title insurers only).....  |                        |                            | 0  |   |
| 14. Investment income due and accrued.....   | 595,408                |                            | 595,408                                      | 545,995   |
| 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) and contracts subject to redetermination (\$.....0).....  |                        |                            | 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.....  | 1,566,687              |                            | 1,566,687                                    | 1,508,289   |
| 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).....                             | 50,832,969             | 0                          | 50,832,969                                   | 50,060,510  |
| 27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....   |                        |                            | 0  |   |
| 28. Total (Lines 26 and 27).....   | 50,832,969             | 0                          | 50,832,969                                   | 50,060,510  |

### 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<br>Current<br>Statement Date | 2<br>December 31<br>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).....  | 23,919                         | 30,999                         |
| 6. Taxes, licenses and fees (excluding federal and foreign income taxes).....  | 8,640                          | 8,354                          |
| 7.1 Current federal and foreign income taxes (including \$.....0 on realized capital gains (losses)).....  | 7,415                          | 2,630                          |
| 7.2 Net deferred tax liability.....  | 64                             | 1,052                          |
| 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.....  | 1,734,351                      | 1,670,043                      |
| 20. Derivatives.....   |                                |                                |
| 21. Payable for securities.....  |                                |                                |
| 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).....   | 1,774,389                      | 1,713,078                      |
| 27. Protected cell liabilities.....  |                                |                                |
| 28. Total liabilities (Lines 26 and 27).....   | 1,774,389                      | 1,713,078                      |
| 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).....  | 3,332,106                      | 2,620,960                      |
| 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).....  | 49,058,580                     | 48,347,434                     |
| 38. Totals (Page 2, Line 28, Col. 3).....  | 50,832,969                     | 50,060,512                     |

### 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<br>Current Year<br>to Date | 2<br>Prior Year<br>to Date | 3<br>Prior Year Ended<br>December 31 |
|---|------------------------------|----------------------------|--------------------------------------|
| <b>UNDERWRITING INCOME</b>  |                              |                            |                                      |
| 1. Premiums earned:   |                              |                            |                                      |
| 1.1 Direct..... (written \$.....25,891,321).....  | 25,814,679                   | 25,870,569                 | 34,582,061                           |
| 1.2 Assumed..... (written \$.....0).....  |                              |                            |                                      |
| 1.3 Ceded..... (written \$.....25,891,321).....   | 25,814,679                   | 25,870,569                 | 34,582,061                           |
| 1.4 Net..... (written \$.....0).....  | 0                            | 0                          | 0                                    |
| DEDUCTIONS:   |                              |                            |                                      |
| 2. Losses incurred (current accident year \$.....0):  |                              |                            |                                      |
| 2.1 Direct.....   | 17,888,345                   | 15,219,016                 | 28,502,850                           |
| 2.2 Assumed.....  |                              |                            |                                      |
| 2.3 Ceded.....  | 17,888,345                   | 15,219,016                 | 28,502,850                           |
| 2.4 Net.....  | 0                            | 0                          | 0                                    |
| 3. Loss adjustment expenses incurred.....   |                              |                            |                                      |
| 4. Other underwriting expenses incurred.....  | 625,719                      | 626,729                    | 728,360                              |
| 5. Aggregate write-ins for underwriting deductions.....   | 0                            | 0                          | 0                                    |
| 6. Total underwriting deductions (Lines 2 through 5).....   | 625,719                      | 626,729                    | 728,360                              |
| 7. Net income of protected cells.....   |                              |                            |                                      |
| 8. Net underwriting gain (loss) (Line 1 minus Line 6 + Line 7).....   | (625,719)                    | (626,729)                  | (728,360)                            |
| <b>INVESTMENT INCOME</b>  |                              |                            |                                      |
| 9. Net investment income earned.....  | 1,279,654                    | 1,253,783                  | 1,571,877                            |
| 10. Net realized capital gains (losses) less capital gains tax of \$.....(105).....   | (397)                        | 588                        | 588                                  |
| 11. Net investment gain (loss) (Lines 9 + 10).....  | 1,279,257                    | 1,254,371                  | 1,572,465                            |
| <b>OTHER INCOME</b>   |                              |                            |                                      |
| 12. Net gain or (loss) from agents' or premium balances charged off<br>(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<br>foreign income taxes (Lines 8 + 11 + 15).....     | 653,538                      | 627,642                    | 844,105                              |
| 17. Dividends to policyholders.....   |                              |                            |                                      |
| 18. Net income, after dividends to policyholders, after capital gains tax and before all other federal and<br>foreign income taxes (Line 16 minus Line 17)..... | 653,538                      | 627,642                    | 844,105                              |
| 19. Federal and foreign income taxes incurred.....  | (56,620)                     | (145,132)                  | (191,608)                            |
| 20. Net income (Line 18 minus Line 19) (to Line 22).....  | 710,158                      | 772,774                    | 1,035,713                            |
| <b>CAPITAL AND SURPLUS ACCOUNT</b>  |                              |                            |                                      |
| 21. Surplus as regards policyholders, December 31 prior year.....   | 48,347,434                   | 47,310,566                 | 47,310,566                           |
| 22. Net income (from Line 20).....  | 710,158                      | 772,774                    | 1,035,713                            |
| 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.....  | 988                          | 769                        | 1,154                                |
| 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).....   | 711,146                      | 773,543                    | 1,036,867                            |
| 39. Surplus as regards policyholders, as of statement date (Lines 21 plus 38).....  | 49,058,580                   | 48,084,109                 | 48,347,434                           |

### DETAILS OF WRITE-INS

|  |   |   |   |
|--|---|---|---|
| 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<br>Current Year<br>to Date | 2<br>Prior Year<br>To Date | 3<br>Prior Year Ended<br>December 31 |
|---|------------------------------|----------------------------|--------------------------------------|
| <b>CASH FROM OPERATIONS</b>   |                              |                            |                                      |
| 1. Premiums collected net of reinsurance.....   |                              |                            |                                      |
| 2. Net investment income.....   | 1,477,566                    | 1,444,977                  | 1,978,093                            |
| 3. Miscellaneous income.....  |                              |                            |                                      |
| 4. Total (Lines 1 through 3).....   | 1,477,566                    | 1,444,977                  | 1,978,093                            |
| 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.....   | 632,513                      | 603,563                    | 792,864                              |
| 8. Dividends paid to policyholders.....   |                              |                            |                                      |
| 9. Federal and foreign income taxes paid (recovered) net of \$.00 tax on capital gains (losses).....                | (61,510)                     | (123,367)                  | (165,625)                            |
| 10. Total (Lines 5 through 9).....  | 571,003                      | 480,196                    | 627,239                              |
| 11. Net cash from operations (Line 4 minus Line 10).....  | 906,563                      | 964,781                    | 1,350,854                            |
| <b>CASH FROM INVESTMENTS</b>  |                              |                            |                                      |
| 12. Proceeds from investments sold, matured or repaid:  |                              |                            |                                      |
| 12.1 Bonds.....   | 240,000                      | 1,536,709                  | 1,536,705                            |
| 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.....  |                              |                            |                                      |
| 12.8 Total investment proceeds (Lines 12.1 to 12.7).....  | 240,000                      | 1,536,709                  | 1,536,705                            |
| 13. Cost of investments acquired (long-term only):  |                              |                            |                                      |
| 13.1 Bonds.....   | 750,000                      | 2,793,815                  | 3,486,458                            |
| 13.2 Stocks.....  |                              |                            |                                      |
| 13.3 Mortgage loans.....  |                              |                            |                                      |
| 13.4 Real estate.....   |                              |                            |                                      |
| 13.5 Other invested assets.....   |                              |                            |                                      |
| 13.6 Miscellaneous applications.....  |                              | 119,631                    | 119,630                              |
| 13.7 Total investments acquired (Lines 13.1 to 13.6).....   | 750,000                      | 2,913,446                  | 3,606,088                            |
| 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).....  | (510,000)                    | (1,376,737)                | (2,069,383)                          |
| <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).....   | 5,910                        | 14,121                     | 1,075                                |
| 17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6)..... | 5,910                        | 14,121                     | 1,075                                |
| <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).....        | 402,473                      | (397,835)                  | (717,454)                            |
| 19. Cash, cash equivalents and short-term investments:  |                              |                            |                                      |
| 19.1 Beginning of year.....   | 2,061,553                    | 2,779,007                  | 2,779,007                            |
| 19.2 End of period (Line 18 plus Line 19.1).....  | 2,464,026                    | 2,381,172                  | 2,061,553                            |

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

|               |  |  |  |
|---------------|--|--|--|
| 20.0001 ..... |  |  |  |
|---------------|--|--|--|

**NOTES TO FINANCIAL STATEMENTS****Note 1 – Summary of Significant Accounting Policies and Going Concern**

## A. Accounting Practices

The accompanying financial statements of Ameriprise Insurance Company (Company) have been prepared on the basis of accounting practices prescribed or permitted 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 reconciliations of net income and policyholders' surplus between the amounts reported in the accompanying financial statements and NAIC SAP follow:

|   | SSAP<br># | F/S<br>Page | F/S<br>Line # | 2018          | 2017          |
|---|-----------|-------------|---------------|---------------|---------------|
| <b>NET INCOME</b>   |           |             |               |               |               |
| (1) The Company state basis<br>(Page 4, Line 20, Columns 1 & 3)             | XXX       | XXX         | XXX           | \$ 710,158    | \$ 1,035,713  |
| (2) State Prescribed Practice that are an increase/(decrease) from NAIC SAP |           |             |               | \$            | \$            |
| (3) State Permitted Practice that are an increase/(decrease) from NAIC SAP  |           |             |               | \$            | \$            |
| (4) NAIC SAP (1 – 2 – 3 = 4)  | XXX       | XXX         | XXX           | \$ 710,158    | \$ 1,035,713  |
| <b>SURPLUS</b>  |           |             |               |               |               |
| (5) The Company state basis<br>(Page 3, line 37, Columns 1 & 2)             | XXX       | XXX         | XXX           | \$ 49,058,580 | \$ 48,347,434 |
| (6) State Prescribed Practice that are an increase/(decrease) from NAIC SAP |           |             |               | \$            | \$            |
| (7) State Permitted Practice that are an increase/(decrease) from NAIC SAP  |           |             |               | \$            | \$            |
| (8) NAIC SAP (5 – 6 – 7 = 8)  | XXX       | XXX         | XXX           | \$ 49,058,580 | \$ 48,347,434 |

## 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 Policy

No significant changes

## D. Going Concern

Based upon its evaluation of relevant conditions and events, management does not have substantial doubt about the Company's ability to continue as a going concern.

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

No significant changes

**Note 3 – Business Combinations and Goodwill**

No significant changes

**Note 4 – Discontinued Operations**

No significant changes

**Note 5 – Investments**

A. Mortgage Loans - not applicable

B. Debt Restructuring - not applicable

C. Reverse Mortgages - not applicable

D. Loan-Backed and Structured Securities ("LBaSS")

(1) Prepayment assumptions for LBaSS 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 LBaSS except in situations 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) During the nine months ended September 30, 2018 the Company had no other-than-temporary impairment ("OTTI") recognized on LBaSS due to intent to sell or inability or lack of intent to retain for a period of time sufficient to recover the amortized cost.

**NOTES TO FINANCIAL STATEMENTS**

- (3) The following table provides information about LBaSS held at September 30, 2018 for which an OTTI has been recognized in the current reporting period due to the fact that the present value of cash flows expected to be collected is less than amortized cost of the securities.

| CUSIP | Carrying Value Before<br>Current Period OTTI<br>None | Present Value of<br>Projected Cash Flows | Recognized OTTI | Amortized Cost After<br>OTTI | Fair Value | Date of Financial Statement<br>Where Reported |
|-------|--|--|-----------------|------------------------------|------------|---|
|-------|--|--|-----------------|------------------------------|------------|---|

- (4) The following table provides information about investments in LBaSS 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, 2018:

|   |                        |              |
|---|------------------------|--------------|
| a. The aggregate amount of unrealized losses:                             | 1. Less than 12 Months | \$ (37,069)  |
|   | 2. 12 Months or Longer | \$ (48,802)  |
| b. The aggregate related fair value of securities with unrealized losses: | 1. Less than 12 Months | \$ 1,617,931 |
|   | 2. 12 Months or Longer | \$ 2,080,000 |

- (5) For all LBaSS for which the carrying value exceeds fair value, the Company has the intent and ability to retain the investment in the security for a period of time sufficient to recover the carrying value.

- E. Dollar Repurchase Agreements and/or Securities Lending Transactions - not applicable
- F. Repurchase Agreements Transactions Accounted for as Secured Borrowing - not applicable
- G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing - not applicable
- H. Repurchase Agreements Transactions Accounted for as a Sale - - not applicable
- I. Reverse Repurchase Agreements Transactions Accounted for as a Sale - not applicable
- J. Real Estate - not applicable
- K. Low-Income Housing Tax Credits (LIHTC) - not applicable
- L. Restricted Assets - no significant changes
- M. Working Capital Finance Investments - not applicable
- N. Offsetting and Netting of Assets and Liabilities - not applicable
- O. Structured Notes - not applicable
- P. 5\* Securities - no significant changes
- Q. Short Sales - not applicable
- R. Prepayment Penalty and Acceleration Fees - None

**Note 6 – Joint Ventures, Partnerships and Limited Liability Companies**

No significant changes

**Note 7 – Investment Income**

No significant changes

**Note 8 – Derivative Instruments**

No significant changes

**Note 9 – Income Taxes**

No significant changes

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

No significant changes

**Note 11 – Debt**

- A. No significant changes
- B. FHLB (Federal Home Loan Bank) Agreements - The Company has no funding agreements with the Federal Home Loan Bank.

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

- A. Defined Benefit Plan - The Company does not sponsor any defined benefit plans.
- B - I. No significant changes

**Note 13 – Capital and Surplus, Shareholder's Dividend Restrictions and Quasi-Reorganizations**

No significant changes

**Note 14 – Liabilities, Contingencies and Assessments**



**NOTES TO FINANCIAL STATEMENTS**

No significant changes

**Note 15 – Leases**

No significant changes

**Note 16 – Information about Financial Instruments with Off-Balance Sheet Risk and Financial Instruments with Concentrations of Credit Risk**

No significant changes

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

- A. Transfers of Receivables Reported as Sales - Not applicable
- B. Transfer and Servicing of Financial Assets - Not applicable
- C. Wash Sales - Not applicable

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

Not applicable

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

Not applicable

**Note 20 – Fair Value Measurements**

- A. Fair Value Measurements

- (1) The Company does not have any assets or liabilities reported at fair value as of September 30, 2018.
- (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, 2018.

- B. Fair Value Reporting under SSAP 100 and Other Accounting Pronouncements - Not applicable
- C. Fair Value Level

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, 2018.

| Type of Financial Instrument | Aggregate Fair Value | Admitted Assets | (Level 1) | (Level 2)     | (Level 3) | Not Practicable (Carrying Value) | Net Asset Value (NAV) Included in Level 2 |
|------------------------------|----------------------|-----------------|-----------|---------------|-----------|----------------------------------|---|
| Bonds                        | \$ 47,073,061        | \$ 46,206,845   | \$        | \$ 47,073,061 | \$        | \$                               | \$  |
| Cash equivalents             | \$ 2,300,000         | \$ 2,300,000    | \$        | \$ 2,300,000  | \$        | \$                               | \$  |

**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 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 or remaining maturities at the time of purchase 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 changes

**Note 22 – Events Subsequent**

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## NOTES TO FINANCIAL STATEMENTS

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No significant changes

**Note 23 – Reinsurance**

No significant changes

**Note 24 – Retrospectively Rated Contracts and Contracts Subject to Redetermination**

A-E. The Company is not involved in any retrospectively rated contracts or contracts subject to redetermination.

F. Risk Sharing Provisions of the Affordable Care Act - Not applicable

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

A. Change in Incurred Losses and Loss Adjustment Expenses

The Company has a reinsurance agreement with the Parent whereby the Company agrees to cede and the Parent agrees to reinsure liabilities arising from policies that have been issued or renewed by the Company on a 100% quota share basis.

B. Information about Significant Changes in Methodologies and Assumptions - No significant changes

**Note 26 – Intercompany Pooling Arrangements**

No significant changes

**Note 27 – Structured Settlements**

No significant changes

**Note 28 – Health Care Receivables**

No significant changes

**Note 29 – Participating policies**

No significant changes

**Note 30 – Premium Deficiency Reserves**

No significant changes

**Note 31 – High Deductibles**

No significant changes

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

No significant changes

**Note 33 – Asbestos/Environmental Reserves**

No significant changes

**Note 34 – Subscriber Savings Accounts**

No significant changes

**Note 35 – Multiple Peril Crop Insurance**

No significant changes

**Note 36 – Financial Guaranty Insurance**

Not applicable

# GENERAL INTERROGATORIES

## PART 1 - COMMON INTERROGATORIES

### GENERAL

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? Yes [ ] No [ X ]
- 1.2 If yes, has the report been filed with the domiciliary state? Yes [ ] No [ ]
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes [ ] No [ X ]
- 2.2 If yes, date of change: \_\_\_\_\_
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes [ X ] No [ ]  
If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes [ ] No [ X ]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.
- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? Yes [ X ] No [ ]
- 3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group. 820027
- 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<br>Name of Entity | 2<br>NAIC<br>Company<br>Code | 3<br>State of<br>Domicile |
|---------------------|------------------------------|---------------------------|
|                     |                              |                           |

5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? If yes, attach an explanation. Yes [ ] No [ X ] N/A [ ]
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2013
- 6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. 12/31/2013
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). 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 Departments? Yes [ ] No [ ] N/A [ X ]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [ X ] No [ ] N/A [ ]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [ ] No [ X ]
- 7.2 If yes, give full information:
- 8.1 Is the company a subsidiary of a bank holding company regulated 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<br>Affiliate Name                               | 2<br>Location (City, State) | 3<br>FRB | 4<br>OCC | 5<br>FDIC | 6<br>SEC |
|---|-----------------------------|----------|----------|-----------|----------|
| Ameriprise Enterprise Investment Services, Inc    | Minneapolis, MN             |          |          |           | YES      |
| Investment Professionals, Inc.                    | San Antonio, TX             |          |          |           | YES      |
| Lionstone Partners, LLC                           | Houston, TX                 |          |          |           | 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      |
| Riversource Life Insurance Company                | Minneapolis, MN             |          |          |           | 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

**GENERAL INTERROGATORIES**

**PART 1 - COMMON INTERROGATORIES**

(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:

\$ 1,566,687

**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<br>Prior Year End Book/Adjusted<br>Carrying Value | 2<br>Current Quarter Book/Adjusted<br>Carrying Value |
|----|---|--|
| \$ | 0   | \$ 0   |
|    | 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<br>Name of Custodian(s) | 2<br>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<br>Name(s) | 2<br>Location(s) | 3<br>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<br>Old Custodian | 2<br>New Custodian | 3<br>Date of Change | 4<br>Reason |
|--------------------|--------------------|---------------------|-------------|
|                    |                    |                     |             |

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

| 1<br>Name of Firm or Individual              | 2<br>Affiliation |
|--|------------------|
| Columbia Management Investment Advisors, LLC | A                |

17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e., designated with a "U") manage more than 10% of the reporting entity's assets?

Yes [ ] No [X]

## GENERAL INTERROGATORIES

### PART 1 - COMMON INTERROGATORIES

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

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

| 1                                      | 2  | 3                             | 4               | 5   |
|--|--|-------------------------------|-----------------|---|
| Central Registration Depository Number | Name of Firm or Individual                   | Legal Entity Identifier (LEI) | Registered With | Investment Management Agreement (IMA) Filed |
| 1082557                                | Columbia Management Investment Advisors, LLC | 6YVO3H2OUHJXER5SGR23          | SEC             | DS  |

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

18.2 If no, list exceptions:

19. By self-designating 5\*GI securities, the reporting entity is certifying the following elements for each self-designated 5\*GI security:

- a. Documentation necessary to permit a full credit analysis of the security does not exist.
- b. Issuer or obligor is current on all contracted interest and principal payments.
- c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

Has the reporting entity self-designated 5\*GI securities? Yes [ ] No [ X ]

## 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<br>Line of Business | 2<br>Maximum Interest | 3<br>Disc. Rate | Total Discount     |                 |           |            | Discount Taken During Period |                 |            |             |
|-----------------------|-----------------------|-----------------|--------------------|-----------------|-----------|------------|------------------------------|-----------------|------------|-------------|
|                       |                       |                 | 4<br>Unpaid Losses | 5<br>Unpaid LAE | 6<br>IBNR | 7<br>Total | 8<br>Unpaid Losses           | 9<br>Unpaid LAE | 10<br>IBNR | 11<br>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

7. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states? Yes [X] No [ ]

7.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity? Yes [ ] No [ ]

**SCHEDULE F - CEDED REINSURANCE**

Showing All New Reinsurers - Current Year to Date

| 1<br>NAIC<br>Company<br>Code | 2<br>ID Number | 3<br>Name of Reinsurer | 4<br>Domiciliary<br>Jurisdiction | 5<br>Type of<br>Reinsurer | 6<br>Certified<br>Reinsurer Rating<br>(1 through 6) | 7<br>Effective Date<br>of Certified<br>Reinsurer<br>Rating |
|------------------------------|----------------|------------------------|----------------------------------|---------------------------|---|--|
|------------------------------|----------------|------------------------|----------------------------------|---------------------------|---|--|

**NONE**

## SCHEDULE T - EXHIBIT OF PREMIUMS WRITTEN

Current Year to Date - Allocated by States and Territories

| States, Etc.                        | 1<br>Active<br>Status<br>(a) | Direct Premiums Written      |                            | Direct Losses Paid (Deducting Salvage) |                            | Direct Losses Unpaid         |                            |
|-------------------------------------|------------------------------|------------------------------|----------------------------|--|----------------------------|------------------------------|----------------------------|
|                                     |                              | 2<br>Current Year<br>to Date | 3<br>Prior Year<br>to Date | 4<br>Current Year<br>to Date           | 5<br>Prior Year<br>to Date | 6<br>Current Year<br>to Date | 7<br>Prior Year<br>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                            | 8,797,831                    | 7,905,854                  | 5,320,753                              | 6,095,015                  | 6,672,030                    | 3,691,390                  |
| 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                            | 16,703,320                   | 18,121,867                 | 14,442,752                             | 15,695,273                 | 22,932,008                   | 21,245,249                 |
| 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                            | 390,170                      | 212,774                    | 76,792                                 | 13,929                     | 9,496                        | 4,820                      |
| 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.....                     | XXX                          | 25,891,321                   | 26,240,496                 | 19,840,297                             | 21,804,218                 | 29,613,534                   | 24,941,458                 |

**DETAILS OF WRITE-INS**

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

|  |    |   |
|--|----|---|
| (a) Active Status Count  |    |   |
| L - Licensed or Chartered - Licensed insurance carrier or domiciled RRG.....   | 39 | R - Registered - Non-domiciled RRGs.....                                |
| E - Eligible - Reporting entities eligible or approved to write surplus lines in the state<br>(other than their state of domicile - See DSLI)..... | 0  | Q - Qualified - Qualified or accredited reinsurer.....                  |
| D - Domestic Surplus Lines Insurer (DSLII) - Reporting entities authorized to write<br>surplus lines in the state of domicile.....                 | 0  | N - None of the above - Not allowed to write business in the state..... |
|  |    | 18  |



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

|  | <u>ID Number</u> | <u>STATE</u> | <u>NAIC #</u> |
|--|------------------|--------------|---------------|
| Ameriprise Financial, Inc.....   | 13-3180631       |              |               |
| – Ameriprise Advisor Capital, LLC.....   | 27-0544454       |              |               |
| – Ameriprise Capital Trust I.....  | 45-6157641       |              |               |
| – Ameriprise Capital Trust II.....   | 45-6157643       |              |               |
| – Ameriprise Capital Trust III.....  | 45-6157644       |              |               |
| – Ameriprise Capital Trust IV.....   | 45-6157645       |              |               |
| – Ameriprise Captive Insurance Company.....                                      | 20-5761939       | VT           | 12852         |
| – Ameriprise Certificate Company.....  | 41-6009975       |              |               |
| – Investors Syndicate Development Corporation.....                               | 41-0951695       |              |               |
| – Ameriprise Holdings, Inc.....  | 26-3878824       |              |               |
| – 201 Eleventh Street South, LLC.....  | 45-5464028       |              |               |
| – Ameriprise India Private Limited.....  |                  |              |               |
| – Ameriprise National Trust Bank.....  | 06-1791061       |              |               |
| – Ameriprise Trust Company.....  | 41-6219335       |              |               |
| – AMPF Holding Corporation.....  | 38-2722519       |              |               |
| – American Enterprise Investment Services Inc.....                               | 41-1667086       |              |               |
| – Ameriprise Advisory Management, LLC.....                                       |                  |              |               |
| – Ameriprise Financial Services, Inc.....  | 41-0973005       |              |               |
| – AMPF Property Corporation.....   | 38-3050688       |              |               |
| – AMPF Realty Corporation.....   | 38-3050690       |              |               |
| – Investment Professionals, Inc.....   | 74-2629876       |              |               |
| – IDS Property Casualty Insurance Company.....                                   | 39-1173498       | WI           | 29068         |
| – Ameriprise Auto & Home Insurance Agency, Inc.....                              | 82-0541142       |              |               |
| – 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 Emerging Markets Bond Private Fund LLC.....                           | 46-4842432       |              |               |
| – 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.....                    |                  |              |               |
| – Emerging Global Advisors, LLC.....   |                  |              |               |
| – Centurion CDO IV Limited.....  |                  |              |               |
| – Centurion CDO VI, Ltd.....   | 98-0424253       |              |               |
| – Centurion CDO 7 Limited.....   | 98-0416968       |              |               |
| – Centurion CDO 8, Ltd.....  | 98-0435521       |              |               |
| – Centurion CDO IX Limited.....  | 98-0446511       |              |               |
| – Centurion CDO 10 Limited.....  | 98-0465083       |              |               |
| – Cent CLO 11 Limited.....   | 98-0463886       |              |               |
| – Cent CLO 12 Limited.....   | 98-0507952       |              |               |
| – Cent CLO 14 Limited.....   | 98-0509628       |              |               |
| – Cent CLO 15 Limited.....   | 98-0528007       |              |               |
| – Cent CLO 18 Limited.....   | 98-1105047       |              |               |
| – Cent CLO 19 Limited.....   | 98-1132125       |              |               |
| – Cent CLO 20 Limited.....   | 98-1141714       |              |               |
| – Cent CLO 21 Limited.....   | 98-1174078       |              |               |
| – Cent CLO 22 Limited.....   | 98-1191437       |              |               |
| – Cent CLO 23 Limited.....   | 98-1210182       |              |               |
| – Cent CLO 24 Limited.....   |                  |              |               |
| – Columbia Adaptive Retirement 2020.....   | 82-2427165       |              |               |
| – Columbia Adaptive Retirement 2025.....   | 82-4135960       |              |               |
| – Columbia Adaptive Retirement 2030.....   | 82-2442360       |              |               |
| – Columbia Adaptive Retirement 2035.....   | 82-4150305       |              |               |
| – Columbia Adaptive Retirement 2040.....   | 82-2464783       |              |               |
| – Columbia Adaptive Retirement 2045.....   | 82-4172289       |              |               |
| – Columbia Adaptive Retirement 2050.....   | 82-2481153       |              |               |
| – Columbia Adaptive Retirement 2055.....   | 82-4188116       |              |               |
| – Columbia Adaptive Retirement 2060.....   | 82-2498236       |              |               |
| – Columbia Adaptive Risk Allocation Fund, LLC.....                               | 46-4892631       |              |               |
| – Columbia Diversified Real Return Fund.....                                     | 46-4469208       |              |               |
| – Columbia Wanger Asset Management, LLC.....                                     | 04-3519872       |              |               |
| – GA Legacy, LLC.....  | 26-2639148       |              |               |
| – J. & W. Seligman & Co. Incorporated.....                                       | 13-3043476       |              |               |
| – Columbia Management Investment Distributors, Inc.....                          | 13-3043478       |              |               |
| – Seligman Partners, LLC.....  | 13-4200160       |              |               |
| – Seligman Tech Spectrum Fund, LLC.....  | 13-4200160       |              |               |
| – Lionstone Partners, LLC.....   | 76-0694729       |              |               |
| – Cash Flow Asset Management GP, LLC.....  | 81-4006192       |              |               |
| – Cash Flow Asset Management, L.P.....   | 20-0065394       |              |               |
| – Lionstone Advisory Services, LLC.....  | 27-1065302       |              |               |
| – Lionstone CFRE II Real Estate Advisory, LLC.....                               | 47-1271089       |              |               |
| – Lionstone Development Services, LLC.....                                       | 46-4179110       |              |               |
| – LPL 1111 Broadway GP, LLC.....   | 81-4664116       |              |               |
| – LPL 1111 Broadway, L.P.....  | 36-4855005       |              |               |
| – RiverSource CDO Seed Investments, LLC.....                                     | 87-0812264       |              |               |
| – Columbia Management Investment Services Corp.....                              | 41-1861053       |              |               |

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

|  | <u>ID Number</u> | <u>STATE</u> | <u>NAIC #</u> |
|--|------------------|--------------|---------------|
| Ameriprise Financial, Inc. (continued).....                      | 13-3180631       |              |               |
| - Ameriprise International Holdings GmbH.....                    |                  |              |               |
| - Ameriprise Asset Management Holdings GmbH.....                 |                  |              |               |
| - Ameriprise Asset Management Holdings Singapore (Pte.) Ltd..... |                  |              |               |
| - Ameriprise Asset Management Holdings Hong Kong Limited.....    |                  |              |               |
| - Threadneedle Portfolio Services Hong Kong Ltd.....             |                  |              |               |
| - Threadneedle Asset Management Malaysia Sdn. Bhd.....           |                  |              |               |
| - Threadneedle Investments Singapore (Pte.) Ltd.....             |                  |              |               |
| - Threadneedle Investments Taiwan Ltd.....                       |                  |              |               |
| - Ameriprise Holdings Singapore (Pte.) Ltd.....                  |                  |              |               |
| - Threadneedle Asset Management Holdings Sarl.....               |                  |              |               |
| - CTM Holdings Limited.....                                      |                  |              |               |
| - Columbia Threadneedle Investments (ME) Ltd.....                |                  |              |               |
| - TAM Investment Ltd.....  |                  |              |               |
| - Threadneedle International Investments GmbH.....               |                  |              |               |
| - Threadneedle Management Luxembourg S.A.....                    |                  |              |               |
| - Threadneedle Asian Focus.....                                  |                  |              |               |
| - Threadneedle US Disciplined Core Equities.....                 |                  |              |               |
| - Threadneedle Investment Grade Corporate Bond Fund.....         |                  |              |               |
| - Threadneedle - European High Yield Bond.....                   |                  |              |               |
| - Threadneedle Holdings Ltd.....                                 |                  |              |               |
| - TAM UK Holdings Ltd.....                                       |                  |              |               |
| - Threadneedle Asset Management Holdings Ltd.....                |                  |              |               |
| - Columbia Threadneedle Foundation.....                          |                  |              |               |
| - TC Financing Limited.....                                      |                  |              |               |
| - Threadneedle Asset Management Ltd.....                         | 98-0691981       |              |               |
| - Threadneedle Investment Services Ltd.....                      | 98-0691982       |              |               |
| - Threadneedle Asset Management (Nominees) Ltd.....              |                  |              |               |
| - Sackville TIPP Property (GP) Ltd.....                          |                  |              |               |
| - Threadneedle Asset Management Finance Ltd.....                 |                  |              |               |
| - TMS Investment Ltd.....  |                  |              |               |
| - Threadneedle International Ltd.....                            |                  |              |               |
| - Threadneedle Investments Ltd.....                              |                  |              |               |
| - Threadneedle Investments (Channel Islands) Ltd.....            |                  |              |               |
| - Threadneedle Management Services Ltd.....                      |                  |              |               |
| - Threadneedle Securities Ltd.....                               |                  |              |               |
| - Threadneedle Navigator ISA Manager Ltd.....                    |                  |              |               |
| - Threadneedle Pensions Ltd.....                                 |                  |              |               |
| - Sackville (TPEN) (75%).....                                    |                  |              |               |
| - Threadneedle Portfolio Services Ltd.....                       |                  |              |               |
| - Threadneedle Portfolio Services AG.....                        |                  |              |               |
| - Threadneedle Property Investments Ltd.....                     |                  |              |               |
| - Sackville LCW (GP) Ltd.....                                    |                  |              |               |
| - Sackville Property (GP) Ltd.....                               |                  |              |               |
| - Sackville SPF IV (GP) No. 1 Ltd.....                           |                  |              |               |
| - Sackville SPF IV (GP) No. 2 Ltd.....                           |                  |              |               |
| - Sackville SPF IV (GP) No. 3 Ltd.....                           |                  |              |               |
| - Sackville SPF IV Property (GP) Ltd.....                        |                  |              |               |
| - Sackville Tandem Property (GP) Ltd.....                        |                  |              |               |
| - Sackville TPEN Property (GP) Ltd.....                          |                  |              |               |
| - Sackville TPEN Property Nominee Ltd.....                       |                  |              |               |
| - Sackville (TPEN) (25%).....                                    |                  |              |               |
| - Sackville TSP Property (GP) Ltd.....                           |                  |              |               |
| - Sackville UK Property Select II (GP) Ltd.....                  |                  |              |               |
| - Sackville UK Property Select II (GP) No. 1 Ltd.....            |                  |              |               |
| - Sackville UK Property Select II (GP) No. 2 Ltd.....            |                  |              |               |
| - Sackville UK Property Select II (GP) No. 3 Ltd.....            |                  |              |               |
| - Threadneedle Unit Trust Manager Ltd.....                       |                  |              |               |
| - Threadneedle EMEA Holdings 1, LLC.....                         | 47-3044011       |              |               |

**SCHEDULE Y**

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

| 1              | 2                              | 3                 | 4            | 5            | 6      | 7  | 8   | 9                    | 10                               | 11   | 12  | 13   | 14   | 15                               | 16     |
|----------------|--------------------------------|-------------------|--------------|--------------|--------|--|---|----------------------|----------------------------------|--|---|--|--|----------------------------------|--------|
| Group Code     | Group Name                     | NAIC Company Code | ID Number    | Federal RSSD | CIK    | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries or Affiliates       | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person)   | Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | *      |
| <b>Members</b> |                                |                   |              |              |        |  |   |                      |                                  |  |   |  |  |                                  |        |
|                | Ameriprise Financial, Inc..... |                   | 13-3180631.. | 2433312      | 820027 | NYSE.....  | Ameriprise Financial, Inc.....                    | DE.....              | UIP.....                         |  |   |  |  | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 27-0544454.. | 4283810      |        |  | Ameriprise Advisor Capital, LLC.....              | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 45-6157641.. | 4285346      |        |  | Ameriprise Capital Trust I.....                   | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 45-6157643.. | 4289755      |        |  | Ameriprise Capital Trust II.....                  | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 45-6157644.. | 4289764      |        |  | Ameriprise Capital Trust III.....                 | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 45-6157645.. | 4289773      |        |  | Ameriprise Capital Trust IV.....                  | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
| 0004           | Ameriprise Financial, Inc..... | 12852             | 20-5761939.. | 4289791      |        |  | Ameriprise Captive Insurance Company.....         | VT.....              | IA.....                          | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 41-6009975.. | 4054449      |        |  | Ameriprise Certificate Company.....               | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 41-0951695.. | 4285298      |        |  | Investors Syndicate Development Corporation.....  | NV.....              | NIA.....                         | Ameriprise Certificate Company.....              | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 26-3878824.. | 4283856      |        |  | Ameriprise Holdings, Inc.....                     | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 45-5464028.. |              |        |  | 201 Eleventh Street South, LLC.....               | MN.....              | NIA.....                         | Ameriprise Holdings, Inc.....                    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   |              | 4289830      |        |  | Ameriprise India Private Limited.....             | IND.....             | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           | 1..... |
|                | Ameriprise Financial, Inc..... |                   | 06-1791061.. | 3470239      |        |  | Ameriprise National Trust Bank.....               | USA.....             | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 41-6219335.. | 994257       |        |  | Ameriprise Trust Company.....                     | MN.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 38-2722519.. | 4289933      |        |  | AMPF Holding Corporation.....                     | MI.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 41-1667086.. | 3255445      |        |  | American Enterprise Investment Services Inc.....  | MN.....              | NIA.....                         | AMPF Holding Corporation.....                    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   |              |              |        |  | Ameriprise Advisory Management, LLC.....          | DE.....              | NIA.....                         | AMPF Holding Corporation.....                    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 41-0973005.. | 4289942      |        |  | Ameriprise Financial Services, Inc.....           | DE.....              | NIA.....                         | AMPF Holding Corporation.....                    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 38-3050688.. | 4289951      |        |  | AMPF Property Corporation.....                    | MI.....              | NIA.....                         | AMPF Holding Corporation.....                    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 38-3050690.. | 4289960      |        |  | AMPF Realty Corporation.....                      | MI.....              | NIA.....                         | AMPF Holding Corporation.....                    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 74-2629876.. |              |        |  | Investment Professionals, Inc.....                | TX.....              | NIA.....                         | AMPF Holding Corporation.....                    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
| 0004           | Ameriprise Financial, Inc..... | 29068             | 39-1173498.. | 4289885      |        |  | IDS Property Casualty Insurance Company.....      | WI.....              | UDP.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   |              |              |        |  | Ameriprise Auto & Home Insurance Agency, Inc..... | WI.....              | NIA.....                         | IDS Property Casualty Insurance Company.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | Y.....                           |        |
| 0004           | Ameriprise Financial, Inc..... | 12504             | 65-1261374.. | 4289906      |        |  | Ameriprise Insurance Company.....                 | WI.....              | RE.....                          | IDS Property Casualty Insurance Company.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 42-1690915.. | 4291815      |        |  | RiverSource Distributors, Inc.....                | DE.....              | NIA.....                         | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
| 0004           | Ameriprise Financial, Inc..... | 65005             | 41-0823832.. | 2696715      |        |  | RiverSource Life Insurance Company.....           | MN.....              | IA.....                          | Ameriprise Financial, Inc.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
| 0004           | Ameriprise Financial, Inc..... | 80594             | 41-0987741.. | 2718046      |        |  | RiverSource Life Insurance Co. of New York.....   | NY.....              | NIA.....                         | RiverSource Life Insurance Company.....          | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | 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.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 26-4164569.. | 4289867      |        |  | RiverSource REO 1, LLC.....                       | MN.....              | NIA.....                         | RiverSource Life Insurance Company.....          | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 13-6178563.. | 4289876      |        |  | RiverSource Tax Advantaged Investments, Inc.....  | DE.....              | NIA.....                         | RiverSource Life Insurance Company.....          | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | Y.....                           |        |
|                | Ameriprise Financial, Inc..... |                   | 41-1977631.. | 3945102      |        |  | AEXP Affordable Housing Portfolio, LLC.....       | DE.....              | NIA.....                         | RiverSource Tax Advantaged Investments, Inc..... | Ownership.....  | 66.000                                     | Ameriprise Financial, Inc.....             | N.....                           |        |
|                | Ameriprise Financial, Inc..... |                   |              |              |        |  | CREA Corporate Tax Credit Fund XXVIII, LLC.....   | DE.....              | NIA.....                         | RiverSource Tax Advantaged Investments, Inc..... | Ownership.....  | 99.900                                     | Ameriprise Financial, Inc.....             | N.....                           |        |

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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                               | 16 |
|------------|--------------------------------|-------------------|--------------|--------------|-----|--|---|----------------------|----------------------------------|--|---|--|--|----------------------------------|----|
| Group Code | Group Name                     | NAIC Company Code | ID Number    | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries or Affiliates                               | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | *  |
|            | Ameriprise Financial, Inc..... |                   | 41-1533211.. | 4246169      |     |  | Columbia Management Investment Advisers, LLC                              | MN.....              | NIA.....                         | Ameriprise Financial, Inc.....                 | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 41-1624224.. | 4289979      |     |  | Advisory Capital Strategies Group, Inc.....                               | MN.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 46-4842432.. |              |     |  | Columbia Emerging Markets Bond Private Fund LLC                           | DE.....              | NIA.....                         | Advisory Capital Strategies Group, Inc.....    | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | 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.....             | N.....                           |    |
|            | 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.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Columbia U.S. Contrarian Core Equity Private Fund, LLC                    | DE.....              | NIA.....                         | Advisory Capital Strategies Group, Inc.....    | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Emerging Global Advisors, LLC.....  | DE.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Centurion CDO IV Limited.....   | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0424253.. |              |     |  | Centurion CDO VI, Ltd.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0416968.. |              |     |  | Centurion CDO 7 Limited.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0435521.. |              |     |  | Centurion CDO 8, Ltd.....   | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0446511.. |              |     |  | Centurion CDO IX Limited.....   | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0465083.. |              |     |  | Centurion CDO 10 Limited.....   | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0463886.. |              |     |  | Cent CLO 11 Limited.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0507952.. |              |     |  | Cent CLO 12 Limited.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0509628.. |              |     |  | Cent CLO 14 Limited.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0528007.. |              |     |  | Cent CLO 15 Limited.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-1105047.. |              |     |  | Cent CLO 18 Limited.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 98-1132125.. |              |     |  | Cent CLO 19 Limited.....  | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |    |

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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                               | 16 |
|------------|--------------------------------|-------------------|--------------|--------------|-----|--|---|----------------------|----------------------------------|--|---|--|--|----------------------------------|----|
| Group Code | Group Name                     | NAIC Company Code | ID Number    | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries or Affiliates   | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | *  |
|            | Ameriprise Financial, Inc..... |                   | 98-1141714.. |              |     |  | Cent CLO 20 Limited.....                      | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 98-1174078.. |              |     |  | Cent CLO 21 Limited.....                      | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 98-1191437.. |              |     |  | Cent CLO 22 Limited.....                      | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 98-1210182.. |              |     |  | Cent CLO 23 Limited.....                      | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Cent CLO 24 Limited.....                      | CYM.....             | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-2427165.. |              |     |  | Columbia Adaptive Retirement 2020.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-4135960.. |              |     |  | Columbia Adaptive Retirement 2025.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-2442360.. |              |     |  | Columbia Adaptive Retirement 2030.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..88.000                                   | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-4150305.. |              |     |  | Columbia Adaptive Retirement 2035.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-2464783.. |              |     |  | Columbia Adaptive Retirement 2040.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..97.000                                   | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-4172289.. |              |     |  | Columbia Adaptive Retirement 2045.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-2481153.. |              |     |  | Columbia Adaptive Retirement 2050.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-4188116.. |              |     |  | Columbia Adaptive Retirement 2055.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 82-2498236.. |              |     |  | Columbia Adaptive Retirement 2060.....        | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..99.000                                   | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 46-4892631.. |              |     |  | Columbia Adaptive Risk Allocation Fund, LLC.. | DE.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Influence.....  |  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 46-4469208.. |              |     |  | Columbia Diversified Real Return Fund.....    | MA.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..84.000                                   | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 04-3519872.. | ..4289997    |     |  | Columbia Wanger Asset Management, LLC....     | DE.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |
|            | Ameriprise Financial, Inc..... |                   | 26-2639148.. | ..4346854    |     |  | GA Legacy, LLC.....                           | DE.....              | NIA.....                         | Columbia Management Investment Advisers, LLC   | Ownership.....  | ..100.000                                  | Ameriprise Financial, Inc.....             | ..N.....                         |    |

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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                               | 16     |
|------------|--------------------------------|-------------------|--------------|--------------|-----|--|--|----------------------|----------------------------------|--|---|--|--|----------------------------------|--------|
| Group Code | Group Name                     | NAIC Company Code | ID Number    | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries or Affiliates                | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person)             | Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | *      |
|            | Ameriprise Financial, Inc..... |                   | 13-3043476.. | 2654434      |     |  | J. & W. Seligman & Co. Incorporated.....                   | DE.....              | NIA.....                         | Columbia Management Investment Advisers, LLC               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 13-3043478.. | 4292821      |     |  | Columbia Management Investment Distributors, Inc.          | DE.....              | NIA.....                         | J. & W. Seligman & Co. Incorporated.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 13-4200160.. | 4293145      |     |  | Seligman Partners, LLC.....                                | DE.....              | NIA.....                         | J. & W. Seligman & Co. Incorporated.....                   | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 13-4200160.. |              |     |  | Seligman Tech Spectrum Fund, LLC.....                      | DE.....              | NIA.....                         | Seligman Partners LLC.....                                 | Influence.....  |  | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 76-0694729.. |              |     |  | Lionstone Partners, LLC.....                               | TX.....              | NIA.....                         | Columbia Management Investment Advisers, LLC               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 81-4006192.. |              |     |  | Cash Flow Asset Management GP, LLC.....                    | TX.....              | NIA.....                         | Lionstone Partners, LLC.....                               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 20-0065394.. |              |     |  | Cash Flow Asset Management, L.P.....                       | TX.....              | NIA.....                         | Lionstone Partners, LLC.....                               | Ownership.....  | 99.000                                     | Ameriprise Financial, Inc.....             | N.....                           | 2..... |
|            | Ameriprise Financial, Inc..... |                   | 27-1065302.. |              |     |  | Lionstone Advisory Services, LLC.....                      | TX.....              | NIA.....                         | Lionstone Partners, LLC.....                               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 47-1271089.. |              |     |  | Lionstone CFRE II Real Estate Advisory, LLC..              | DE.....              | NIA.....                         | Lionstone Partners, LLC.....                               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 46-4179110.. |              |     |  | Lionstone Development Services, LLC.....                   | TX.....              | NIA.....                         | Lionstone Partners, LLC.....                               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 81-4664116.. |              |     |  | LPL 1111 Broadway GP, LLC.....                             | TX.....              | NIA.....                         | Lionstone Partners, LLC.....                               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 36-4855005.. |              |     |  | LPL 1111 Broadway, L.P.....                                | TX.....              | NIA.....                         | Lionstone Partners, LLC.....                               | Ownership.....  | 99.900                                     | Ameriprise Financial, Inc.....             | N.....                           | 3..... |
|            | Ameriprise Financial, Inc..... |                   | 87-0812264.. | 4290126      |     |  | RiverSource CDO Seed Investments, LLC.....                 | MN.....              | NIA.....                         | Columbia Management Investment Advisers, LLC               | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   | 41-1861053.. | 4291776      |     |  | Columbia Management Investment Services Corp.              | MN.....              | NIA.....                         | Ameriprise Financial, Inc.....                             | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Ameriprise International Holdings GmbH.....                | CHE.....             | NIA.....                         | Ameriprise Financial, Inc.....                             | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Ameriprise Asset Management Holdings GmbH                  | CHE.....             | NIA.....                         | Ameriprise International Holdings GmbH.....                | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Ameriprise Asset Management Holdings Singapore (Pte.) Ltd. | SGP.....             | NIA.....                         | Ameriprise Asset Management Holdings GmbH                  | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Ameriprise Asset Management Holdings Hong Kong Limited     | HKG.....             | NIA.....                         | Ameriprise Asset Management Holdings Singapore (Pte.) Ltd. | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              | 4293903      |     |  | Threadneedle Portfolio Services Hong Kong Ltd              | HKG.....             | NIA.....                         | Ameriprise Asset Management Holdings Hong Kong Limited     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle Asset Management Malaysia Sdn. Bhd            | MYS.....             | NIA.....                         | Ameriprise Asset Management Holdings Singapore (Pte.) Ltd. | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              | 4293873      |     |  | Threadneedle Investments Singapore (Pte.) Ltd              | SGP.....             | NIA.....                         | Ameriprise Asset Management Holdings Singapore (Pte.) Ltd. | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle Investments Taiwan Ltd.....                   | TWN.....             | NIA.....                         | Ameriprise Asset Management Holdings GmbH                  | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Ameriprise Holdings Singapore (Pte.) Ltd. ....             | SGP.....             | NIA.....                         | Ameriprise International Holdings GmbH.....                | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |        |
|            | Ameriprise Financial, Inc..... |                   |              | 4293538      |     |  | Threadneedle Asset Management Holdings Sarl                | LUX.....             | NIA.....                         | Ameriprise International Holdings GmbH.....                | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           | 4..... |

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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                               | 16 |
|------------|--------------------------------|-------------------|--------------|--------------|-----|--|---|----------------------|----------------------------------|--|---|--|--|----------------------------------|----|
| Group Code | Group Name                     | NAIC Company Code | ID Number    | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries or Affiliates       | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | *  |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | CTM Holdings Limited.....                         | MLT.....             | NIA.....                         | Threadneedle Asset Management Holdings Sarl    | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Columbia Threadneedle Investments (ME) Ltd.       | ARE.....             | NIA.....                         | CTM Holdings Limited.....                      | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4293574      |     |  | TAM Investment Ltd.....                           | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Sarl    | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4293855      |     |  | Threadneedle International Investments GmbH       | CHE.....             | NIA.....                         | Threadneedle Asset Management Holdings Sarl    | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4293882      |     |  | Threadneedle Management Luxembourg S.A.           | LUX.....             | NIA.....                         | Threadneedle Asset Management Holdings Sarl    | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle Asian Focus.....                     | LUX.....             | NIA.....                         | Threadneedle Management Luxembourg S.A.        | Ownership.....  | ...91.000                                  | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle US Disciplined Core Equities.....    | LUX.....             | NIA.....                         | Threadneedle Management Luxembourg S.A.        | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle Investment Grade Corporate Bond Fund | LUX.....             | NIA.....                         | Threadneedle Management Luxembourg S.A.        | Ownership.....  | ...83.000                                  | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle - European High Yield Bond.....      | LUX.....             | NIA.....                         | Threadneedle Management Luxembourg S.A.        | Ownership.....  | ...97.000                                  | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294339      |     |  | Threadneedle Holdings Ltd.....                    | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Sarl    | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294348      |     |  | TAM UK Holdings Ltd.....                          | GBR.....             | NIA.....                         | Threadneedle Holdings Ltd.....                 | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294357      |     |  | Threadneedle Asset Management Holdings Ltd.       | GBR.....             | NIA.....                         | TAM UK Holdings Ltd.....                       | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        | 4  |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Columbia Threadneedle Foundation.....             | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294535      |     |  | TC Financing Limited .....                        | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0691981.. | 4294469      |     |  | Threadneedle Asset Management Ltd.....            | GBR.....             | NIA.....                         | TC Financing Limited .....                     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   | 98-0691982.. | 4294571      |     |  | Threadneedle Investment Services Ltd.....         | GBR.....             | NIA.....                         | TC Financing Limited .....                     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294478      |     |  | Threadneedle Asset Management (Nominees) Ltd      | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294526      |     |  | Sackville TIPP Property (GP) Ltd.....             | GBR.....             | NIA.....                         | Threadneedle Asset Management (Nominees) Ltd   | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294441      |     |  | Threadneedle Asset Management Finance Ltd.        | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294450      |     |  | TMS Investment Ltd .....                          | JEY.....             | NIA.....                         | Threadneedle Asset Management Finance Ltd      | Ownership.....  | ...44.000                                  | Ameriprise Financial, Inc.....             | ...N.....                        | 4  |
|            | Ameriprise Financial, Inc..... |                   |              | 4294553      |     |  | Threadneedle International Ltd.....               | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294393      |     |  | Threadneedle Investments Ltd.....                 | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | ...100.000                                 | Ameriprise Financial, Inc.....             | ...N.....                        |    |

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                               | 16 |
|------------|--------------------------------|-------------------|--------------|--------------|-----|--|--|----------------------|----------------------------------|--|---|--|--|----------------------------------|----|
| Group Code | Group Name                     | NAIC Company Code | ID Number    | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries or Affiliates      | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | *  |
|            | Ameriprise Financial, Inc..... |                   |              | 4294599      |     |  | Threadneedle Investments (Channel Islands) Ltd   | JEY.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle Management Services Ltd.....        | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294768      |     |  | Threadneedle Securities Ltd.....                 | GBR.....             | NIA.....                         | Threadneedle Management Services Ltd.....      | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294786      |     |  | Threadneedle Navigator ISA Manager Ltd.....      | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294795      |     |  | Threadneedle Pensions Ltd.....                   | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294843      |     |  | Sackville (TPEN).....                            | GBR.....             | NIA.....                         | Threadneedle Pensions Ltd.....                 | Ownership.....  | 75.000                                     | Ameriprise Financial, Inc.....             | N.....                           | 5  |
|            | Ameriprise Financial, Inc..... |                   |              | 4294982      |     |  | Threadneedle Portfolio Services Ltd.....         | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle Portfolio Services AG.....          | CHE.....             | NIA.....                         | Threadneedle Portfolio Services Ltd.....       | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294991      |     |  | Threadneedle Property Investments Ltd.....       | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4295028      |     |  | Sackville LCW (GP) Ltd.....                      | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 33.000                                     | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4295082      |     |  | Sackville Property (GP) Ltd.....                 | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4295130      |     |  | Sackville SPF IV (GP) No. 1 Ltd.....             | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4295167      |     |  | Sackville SPF IV (GP) No. 2 Ltd.....             | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4295206      |     |  | Sackville SPF IV (GP) No. 3 Ltd.....             | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4295112      |     |  | Sackville SPF IV Property (GP) Ltd.....          | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4295251      |     |  | Sackville Tandem Property (GP) Ltd.....          | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Sackville TPEN Property (GP) Ltd.....            | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Sackville TPEN Property Nominee Ltd.....         | GBR.....             | NIA.....                         | Sackville TPEN Property (GP) Ltd.....          | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              | 4294843      |     |  | Sackville (TPEN).....                            | GBR.....             | NIA.....                         | Sackville TPEN Property Nominee Ltd.....       | Ownership.....  | 25.000                                     | Ameriprise Financial, Inc.....             | N.....                           | 5  |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Sackville TSP Property (GP) Ltd.....             | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Sackville UK Property Select II (GP) Ltd.....    | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Sackville UK Property Select II (GP) No. 1 Ltd.. | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Sackville UK Property Select II (GP) No. 2 Ltd.. | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Sackville UK Property Select II (GP) No. 3 Ltd.. | GBR.....             | NIA.....                         | Threadneedle Property Investments Ltd.....     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   |              |              |     |  | Threadneedle Unit Trust Manager Ltd.....         | GBR.....             | NIA.....                         | Threadneedle Asset Management Holdings Ltd     | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |
|            | Ameriprise Financial, Inc..... |                   | 47-3044011.. |              |     |  | Threadneedle EMEA Holdings 1, LLC.....           | MN.....              | NIA.....                         | Ameriprise International Holdings GmbH.....    | Ownership.....  | 100.000                                    | Ameriprise Financial, Inc.....             | N.....                           |    |

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**Asteri Explanation**

1 One share owned by Columbia Management Investment Advisers, LLC.



## SCHEDULE Y

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

| 1          | 2  | 3                 | 4         | 5            | 6   | 7  | 8   | 9                    | 10                               | 11   | 12  | 13   | 14   | 15                               | 16 |
|------------|--|-------------------|-----------|--------------|-----|--|---|----------------------|----------------------------------|--|---|--|--|----------------------------------|----|
| Group Code | Group Name   | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | *  |
| 2          | This entity has two shareholders: Lionstone Partners, LLC (99%) and Cash Flow Asset Management GP, LLC (1%). |                   |           |              |     |  |   |                      |                                  |  |   |  |  |                                  |    |
| 3          | This entity has two shareholders: Lionstone Partners, LLC (99.9%) and LPL 1111 Broadway GP, LLC (0.1%).      |                   |           |              |     |  |   |                      |                                  |  |   |  |  |                                  |    |
| 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<br>Prior Year to Date<br>Direct Loss<br>Percentage |
|---|--------------------------------|--------------------------------|--------------------------------|--|
|   | 1<br>Direct Premiums<br>Earned | 2<br>Direct Losses<br>Incurred | 3<br>Direct<br>Loss Percentage |  |
| 1. Fire.....  |                                |                                | 0.000                          |  |
| 2. Allied lines.....  |                                |                                | 0.000                          |  |
| 3. Farmowners multiple peril.....                                     |                                |                                | 0.000                          |  |
| 4. Homeowners multiple peril.....                                     | 294,834                        | 67,920                         | 23.037                         | 2.140  |
| 5. Commercial multiple peril.....                                     |                                |                                | 0.000                          |  |
| 6. Mortgage guaranty.....   |                                |                                | 0.000                          |  |
| 8. Ocean marine.....  |                                |                                | 0.000                          |  |
| 9. Inland marine.....   |                                |                                | 0.000                          |  |
| 10. Financial guaranty.....   |                                |                                | 0.000                          |  |
| 11.1. Medical professional liability - occurrence.....                |                                |                                | 0.000                          |  |
| 11.2. Medical professional liability - claims-made.....               |                                |                                | 0.000                          |  |
| 12. Earthquake.....   |                                |                                | 0.000                          |  |
| 13. Group accident and health.....                                    |                                |                                | 0.000                          |  |
| 14. Credit accident and health.....                                   |                                |                                | 0.000                          |  |
| 15. Other accident and health.....                                    |                                |                                | 0.000                          |  |
| 16. Workers' compensation.....  |                                |                                | 0.000                          |  |
| 17.1 Other liability-occurrence.....                                  |                                |                                | 0.000                          |  |
| 17.2 Other liability-claims made.....                                 |                                |                                | 0.000                          |  |
| 17.3 Excess workers' compensation.....                                |                                |                                | 0.000                          |  |
| 18.1 Products liability-occurrence.....                               |                                |                                | 0.000                          |  |
| 18.2 Products liability-claims made.....                              |                                |                                | 0.000                          |  |
| 19.1, 19.2 Private passenger auto liability.....                      | 16,854,786                     | 11,069,068                     | 65.673                         | 54.305   |
| 19.3, 19.4 Commercial auto liability.....                             |                                |                                | 0.000                          |  |
| 21. Auto physical damage.....   | 8,665,058                      | 6,751,356                      | 77.915                         | 68.000   |
| 22. Aircraft (all perils).....  |                                |                                | 0.000                          |  |
| 23. Fidelity.....   |                                |                                | 0.000                          |  |
| 24. Surety.....   |                                |                                | 0.000                          |  |
| 26. Burglary and theft.....   |                                |                                | 0.000                          |  |
| 27. Boiler and machinery.....   |                                |                                | 0.000                          |  |
| 28. Credit.....   |                                |                                | 0.000                          |  |
| 29. International.....  |                                |                                | 0.000                          |  |
| 30. Warranty.....   |                                |                                | 0.000                          |  |
| 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                              | 0.000                          |  |
| 35. Totals.....   | 25,814,678                     | 17,888,344                     | 69.295                         | 58.828   |
| <b>DETAILS OF WRITE-INS</b>   |                                |                                |                                |  |
| 3401. ....  |                                |                                | 0.000                          |  |
| 3402. ....  |                                |                                | 0.000                          |  |
| 3403. ....  |                                |                                | 0.000                          |  |
| 3498. Sum. of remaining write-ins for Line 34 from overflow page..... | 0                              | 0                              | 0.000                          | XXX  |
| 3499. Totals (Lines 3401 thru 3403 plus 3498) (Line 34).....          | 0                              | 0                              | 0.000                          |  |

## PART 2 - DIRECT PREMIUMS WRITTEN

| Lines of Business   | 1                  | 2                       | 3                          |
|---|--------------------|-------------------------|----------------------------|
|   | Current<br>Quarter | Current<br>Year to Date | Prior Year<br>Year to Date |
| 1. Fire.....  |                    |                         |                            |
| 2. Allied lines.....  |                    |                         |                            |
| 3. Farmowners multiple peril.....                                     |                    |                         |                            |
| 4. Homeowners multiple peril.....                                     |                    | 127,295                 | 390,170                    |
| 5. Commercial multiple peril.....                                     |                    |                         | 212,774                    |
| 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.....                       | 5,616,458          | 16,803,466              | 16,959,114                 |
| 19.3 19.4 Commercial auto liability.....                              |                    |                         |                            |
| 21. Auto physical damage.....   | 2,960,067          | 8,697,685               | 9,068,607                  |
| 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.....   | 8,703,820          | 25,891,321              | 26,240,495                 |
| <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) | 2018 Loss and LAE Payments on Claims Reported as of Prior Year-End | 2018 Loss and LAE Payments on Claims Unreported as of Prior Year-End | Total 2018 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. 2015 + Prior.....                                 |   |   | .....0   |  |  | .....0   |   |  |                                      | .....0   | .....0  | .....0  | .....0   |
| 2. 2016.....   |   |   | .....0   |  |  | .....0   |   |  |                                      | .....0   | .....0  | .....0  | .....0   |
| 3. Subtotals 2016 + Prior.....                       | .....0  | .....0                                    | .....0   | .....0   | .....0   | .....0   | .....0  | .....0   | .....0                               | .....0   | .....0  | .....0  | .....0   |
| 4. 2017.....   |   |   | .....0   |  |  | .....0   |   |  |                                      | .....0   | .....0  | .....0  | .....0   |
| 5. Subtotals 2017 + Prior.....                       | .....0  | .....0                                    | .....0   | .....0   | .....0   | .....0   | .....0  | .....0   | .....0                               | .....0   | .....0  | .....0  | .....0   |
| 6. 2018.....   | .....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 | .....48,347                                     |   |  |  |  |  |   |  |                                      |  | Col. 11, Line 7<br>As % of Col. 1,<br>Line 7  | Col. 12, Line 7<br>As % of Col. 2,<br>Line 7  | Col. 13, Line 7<br>As % of Col. 3,<br>Line 7   |
|  |   |   |  |  |  |  |   |  |                                      |  | 1. ....0.0 %  | 2. ....0.0 %  | 3. ....0.0 %   |
|  |   |   |  |  |  |  |   |  |                                      |  |   |   | Col. 13, Line 7<br>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<br>_____     |
| 2. Will Supplement A to Schedule T (Medical Professional Liability Supplement) be filed with this statement?                         | NO<br>_____     |
| 3. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?                | NO<br>_____     |
| 4. Will the Director and Officer Insurance Coverage Supplement be filed with the state of domicile and the NAIC with this statement? | NO<br>_____     |

**Explanation:**

1. The data for this supplement is not required to be filed.
2. The data for this supplement is not required to be filed.
3. The data for this supplement is not required to be filed.
4. The data for this supplement is not required to be filed.

**Bar Code:**



**NONE**

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

Real Estate

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

NONE

**SCHEDULE B - VERIFICATION**

Mortgage Loans

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

NONE

**SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

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

NONE

**SCHEDULE D - VERIFICATION**

Bonds and Stocks

|  | 1<br>Year to Date | 2<br>Prior Year Ended<br>December 31 |
|--|-------------------|--------------------------------------|
| 1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year.....                      | 45,944,671        | 44,300,130                           |
| 2. Cost of bonds and stocks acquired.....  | 750,000           | 3,486,458                            |
| 3. Accrual of discount.....  | 5,401             | 8,386                                |
| 4. Unrealized valuation increase (decrease).....   |                   |                                      |
| 5. Total gain (loss) on disposals.....   | (502)             | 905                                  |
| 6. Deduct consideration for bonds and stocks disposed of.....  | 240,000           | 1,536,705                            |
| 7. Deduct amortization of premium.....   | 252,726           | 314,503                              |
| 8. Total foreign exchange change in book/adjusted carrying value.....                                    |                   |                                      |
| 9. Deduct current year's other-than-temporary impairment recognized.....                                 |                   |                                      |
| 10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees..... |                   |                                      |
| 11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10).....              | 46,206,844        | 45,944,671                           |
| 12. Deduct total nonadmitted amounts.....  |                   |                                      |
| 13. Statement value at end of current period (Line 11 minus Line 12).....                                | 46,206,844        | 45,944,671                           |

### SCHEDULE D - PART 1B

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

| NAIC Designation                         | 1<br>Book/Adjusted Carrying<br>Value Beginning<br>of Current Quarter | 2<br>Acquisitions<br>During<br>Current Quarter | 3<br>Dispositions<br>During<br>Current Quarter | 4<br>Non-Trading Activity<br>During<br>Current Quarter | 5<br>Book/Adjusted Carrying<br>Value End of<br>First Quarter | 6<br>Book/Adjusted Carrying<br>Value End of<br>Second Quarter | 7<br>Book/Adjusted Carrying<br>Value End of<br>Third Quarter | 8<br>Book/Adjusted Carrying<br>Value December 31<br>Prior Year |
|--|--|--|--|--|--|---|--|--|
| <b>BONDS</b>                             |  |  |  |  |  |   |  |  |
| 1. NAIC 1 (a).....                       | 40,742,234   |  |  | (414,796)  | 39,886,910   | 40,742,234  | 40,327,438   | 40,015,048   |
| 2. NAIC 2 (a).....                       | 7,547,597  | 142,887,404                                    | 142,600,000                                    | 344,406  | 8,115,692  | 7,547,597   | 8,179,407  | 7,829,525  |
| 3. NAIC 3 (a).....                       |  |  |  |  |  |   | 0  |  |
| 4. NAIC 4 (a).....                       |  |  |  |  |  |   | 0  |  |
| 5. NAIC 5 (a).....                       |  |  |  |  |  |   | 0  |  |
| 6. NAIC 6 (a).....                       |  |  |  |  |  |   | 0  |  |
| 7. Total Bonds.....                      | 48,289,831   | 142,887,404                                    | 142,600,000                                    | (70,390)   | 48,002,602   | 48,289,831  | 48,506,845   | 47,844,573   |
| <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..... | 48,289,831   | 142,887,404                                    | 142,600,000                                    | (70,390)   | 48,002,602   | 48,289,831  | 48,506,845   | 47,844,573   |

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(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of short-term and cash equivalent bonds by NAIC designation:

NAIC 1 \$.....0; NAIC 2 \$.....2,300,000; 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 - PART 2 - VERIFICATION

### Cash Equivalents

|  | 1<br>Year To Date | 2<br>Prior Year Ended<br>December 31 |
|--|-------------------|--------------------------------------|
| 1. Book/adjusted carrying value, December 31 of prior year.....                          | 1,899,900         | 2,699,873                            |
| 2. Cost of cash equivalents acquired.....  | 431,863,895       | 571,371,666                          |
| 3. Accrual of discount.....  | 36,206            | 28,361                               |
| 4. Unrealized valuation increase (decrease).....   |                   |                                      |
| 5. Total gain (loss) on disposals.....   |                   |                                      |
| 6. Deduct consideration received on disposals.....                                       | 431,500,000       | 572,200,000                          |
| 7. Deduct amortization of premium.....   |                   |                                      |
| 8. Total foreign exchange change in book/ adjusted carrying value.....                   |                   |                                      |
| 9. Deduct current year's other-than-temporary impairment recognized.....                 |                   |                                      |
| 10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)..... | 2,300,000         | 1,899,900                            |
| 11. Deduct total nonadmitted amounts.....  |                   |                                      |
| 12. Statement value at end of current period (Line 10 minus Line 11).....                | 2,300,000         | 1,899,900                            |

**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**

**Sch. D - Pt. 3  
NONE**

**Sch. D - Pt. 4  
NONE**

**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<br>Depository                                  | 2<br>Code | 3<br>Rate of Interest | 4<br>Amount of Interest Received During Current Quarter | 5<br>Amount of Interest Accrued at Current Statement Date | Book Balance at End of Each Month During Current Quarter |                   |                  | 9<br>* |
|--|-----------|-----------------------|---|---|--|-------------------|------------------|--------|
|  |           |                       |   |   | 6<br>First Month   | 7<br>Second Month | 8<br>Third Month |        |
| <b>Open Depositories</b>                         |           |                       |   |   |  |                   |                  |        |
| Wells Fargo Bank..... Minneapolis, MN 55474..... |           |                       |   |   | 74,195   | 70,347            | 85,934           | XXX    |
| JP Morgan..... New York, NY 10005.....           |           |                       |   |   | 10,673   | 15,582            | 78,095           | XXX    |
| 0199999. Total Open Depositories.....            | XXX       | XXX                   | 0   | 0   | 84,868   | 85,928            | 164,029          | XXX    |
| 0399999. Total Cash on Deposit.....              | XXX       | XXX                   | 0   | 0   | 84,868   | 85,928            | 164,029          | XXX    |
| 0599999. Total Cash.....                         | XXX       | XXX                   | 0   | 0   | 84,868   | 85,928            | 164,029          | XXX    |

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

| 1   | 2   | 3    | 4               | 5                | 6               | 7                            | 8                                | 9                           |
|---|---|------|-----------------|------------------|-----------------|------------------------------|----------------------------------|-----------------------------|
| CUSIP   | Description   | Code | Date Acquired   | Rate of Interest | Maturity Date   | Book/Adjusted Carrying Value | Amount of Interest Due & Accrued | Amount Received During Year |
| <b>Bonds - Industrial &amp; Miscellaneous (Unaffiliated) - Issuer Obligations</b> |   |      |                 |                  |                 |                              |                                  |                             |
|   | JM SMUCKER CO.....  |      | 09/28/2018..... |                  | 10/01/2018..... | 2,300,000                    | 0                                | .460                        |
| 3299999   | Industrial & Miscellaneous (Unaffiliated) - Issuer Obligations..... |      |                 |                  |                 | 2,300,000                    | 0                                | .460                        |
| 3899999   | Total - Industrial & Miscellaneous (Unaffiliated).....              |      |                 |                  |                 | 2,300,000                    | 0                                | .460                        |
| <b>Total Bonds</b>  |   |      |                 |                  |                 |                              |                                  |                             |
| 7799999   | Subtotals - Issuer Obligations.....                                 |      |                 |                  |                 | 2,300,000                    | 0                                | .460                        |
| 8399999   | Subtotals - Bonds.....  |      |                 |                  |                 | 2,300,000                    | 0                                | .460                        |
| 8899999   | Total - Cash Equivalents.....                                       |      |                 |                  |                 | 2,300,000                    | 0                                | .460                        |

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