

**QUARTERLY STATEMENT**

**OF THE**

**UnitedHealthcare Plan of the River Valley, Inc.**

**TO THE**

**Insurance Department**

**OF THE**

**STATE OF**

Illinois

FOR THE QUARTER ENDED  
SEPTEMBER 30, 2016

HEALTH

**2016**

**QUARTERLY STATEMENT**

**OF THE**

**UnitedHealthcare Plan of the River Valley, Inc.**

**TO THE**

**Insurance Department**

**OF THE**

**STATE OF**

Iowa

FOR THE QUARTER ENDED  
SEPTEMBER 30, 2016

HEALTH

**2016**

**QUARTERLY STATEMENT**

**OF THE**

**UnitedHealthcare Plan of the River Valley, Inc.**

**TO THE**

**Insurance Department**

**OF THE**

**STATE OF**

Tennessee

FOR THE QUARTER ENDED  
SEPTEMBER 30, 2016

HEALTH

**2016**

**QUARTERLY STATEMENT**

**OF THE**

**UnitedHealthcare Plan of the River Valley, Inc.**

**TO THE**

**Insurance Department**

**OF THE**

**STATE OF**

Virginia

FOR THE QUARTER ENDED  
SEPTEMBER 30, 2016

HEALTH

**2016**



# HEALTH QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2016  
OF THE CONDITION AND AFFAIRS OF THE  
**UnitedHealthcare Plan of the River Valley, Inc.**

NAIC Group Code 0707 0707 NAIC Company Code 95378 Employer's ID Number 36-3379945  
(Current) (Prior)

Organized under the Laws of Illinois, State of Domicile or Port of Entry Illinois

Country of Domicile United States of America

Licensed as business type: Health Maintenance Organization

Is HMO Federally Qualified? Yes [ ] No [ X ]

Incorporated/Organized 08/05/1985 Commenced Business 12/19/1985

Statutory Home Office 1300 River Drive, Suite 200, Moline, IL, US 61265  
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 1300 River Drive, Suite 200  
(Street and Number)  
Moline, IL, US 61265 309-736-4600  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address 9700 Health Care Lane, MN017-E900, Minnetonka, MN, US 55343  
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 1300 River Drive, Suite 200  
(Street and Number)  
Moline, IL, US 61265 309-736-4600  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Website Address UHCRiverValley.com

Statutory Statement Contact Micah Forrest Wenck, 952-979-6175  
(Name) (Area Code) (Telephone Number)  
micah\_1\_wenck@uhc.com, 952-979-7825  
(E-mail Address) (FAX Number)

**OFFICERS**

Secretary Christina Regina Palme-Krizak Chief Financial Officer James Wesley Kelly  
Treasurer Robert Worth Oberrender

**OTHER**

Nyle Brent Cottingham, Vice President Charles David Ettelson, Chief Medical Officer Rita Faye Johnson-Mills, President, Medicaid Division  
Patrick Gerard Quinn #, President, Commercial

**DIRECTORS OR TRUSTEES**

William Kenneth Appelgate Ph.D. Charles David Ettelson James Edward Hecker  
Rita Faye Johnson-Mills James Wesley Kelly Patrick Gerard Quinn #  
Cathie Sue Whiteside Scott Edward Williams

State of Missouri  
County of St Louis

State of Minnesota  
County of Hennepin

State of \_\_\_\_\_  
County of \_\_\_\_\_

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.

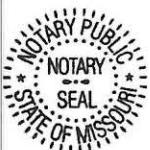
Patrick Gerard Quinn  
Patrick Gerard Quinn  
President, Commercial

Christina Regina Palme-Krizak  
Christina Regina Palme-Krizak  
Secretary

Subscribed and sworn to before me this 18 day of October, 2016  
Cynthia L Dalpiaz

Subscribed and sworn to before me this 18 day of Oct, 2016  
Deborah Lynette Gambell

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_



**CYNTHIA L. DALPIAZ**  
My Commission Expires  
May 12, 2019  
St. Louis County  
Commission #15389126



Is this an original filing?..... Yes [ X ] No [ ]

1. State amendment number.....
2. Date filed.....
3. Number of pages attached.....

**ASSETS**

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds .....	643,155,965	0	643,155,965	617,059,033
2. Stocks:				
2.1 Preferred stocks .....	0	0	0	0
2.2 Common stocks .....	0	0	0	0
3. Mortgage loans on real estate:				
3.1 First liens .....	0	0	0	0
3.2 Other than first liens .....	0	0	0	0
4. Real estate:				
4.1 Properties occupied by the company (less \$ .....0 encumbrances) .....	0	0	0	0
4.2 Properties held for the production of income (less \$ .....0 encumbrances) .....	0	0	0	0
4.3 Properties held for sale (less \$ .....0 encumbrances) .....	0	0	0	0
5. Cash (\$ .....9,917,836 ), cash equivalents (\$ .....1,651,424 ) and short-term investments (\$ .....66,160,626 ) .....	77,729,886	0	77,729,886	264,965,505
6. Contract loans (including \$ .....0 premium notes) .....	0	0	0	0
7. Derivatives .....	0	0	0	0
8. Other invested assets .....	16,223,752	0	16,223,752	17,777,164
9. Receivables for securities .....	0	0	0	0
10. Securities lending reinvested collateral assets .....	0	0	0	0
11. Aggregate write-ins for invested assets .....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	737,109,603	0	737,109,603	899,801,702
13. Title plants less \$ .....0 charged off (for Title insurers only) .....	0	0	0	0
14. Investment income due and accrued .....	4,523,385	0	4,523,385	5,666,717
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	84,274,006	68,746	84,205,260	12,241,115
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ .....0 earned but unbilled premiums) .....	0	0	0	0
15.3 Accrued retrospective premiums (\$ .....0 ) and contracts subject to redetermination (\$ .....57,987,784 ) .....	57,987,784	0	57,987,784	56,563,829
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	0	0	0	0
16.2 Funds held by or deposited with reinsured companies .....	0	0	0	0
16.3 Other amounts receivable under reinsurance contracts .....	0	0	0	0
17. Amounts receivable relating to uninsured plans .....	13,041,129	35,809	13,005,320	23,613,941
18.1 Current federal and foreign income tax recoverable and interest thereon .....	0	0	0	28,928,472
18.2 Net deferred tax asset .....	53,354,937	3,698,517	49,656,420	59,386,743
19. Guaranty funds receivable or on deposit .....	810,293	0	810,293	1,337,710
20. Electronic data processing equipment and software .....	0	0	0	0
21. Furniture and equipment, including health care delivery assets (\$ .....0 ) .....	0	0	0	0
22. Net adjustment in assets and liabilities due to foreign exchange rates .....	0	0	0	0
23. Receivables from parent, subsidiaries and affiliates .....	0	0	0	0
24. Health care (\$ .....32,754,280 ) and other amounts receivable .....	56,690,717	23,936,437	32,754,280	42,909,636
25. Aggregate write-ins for other than invested assets .....	1,173,377	1,129,608	43,769	620,850
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	1,008,965,231	28,869,117	980,096,114	1,131,070,715
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0	0
28. Total (Lines 26 and 27)	1,008,965,231	28,869,117	980,096,114	1,131,070,715
<b>DETAILS OF WRITE-INS</b>				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)	0	0	0	0
2501. Liquidated Damages Receivable .....	1,100,000	1,100,000	0	0
2502. State Taxes Receivable .....	43,769	0	43,769	0
2503. Service Fee Billing .....	22,725	22,725	0	0
2598. Summary of remaining write-ins for Line 25 from overflow page .....	6,883	6,883	0	620,850
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	1,173,377	1,129,608	43,769	620,850

**LIABILITIES, CAPITAL AND SURPLUS**

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$ .....0 reinsurance ceded) .....	318,238,740	0	318,238,740	295,742,897
2. Accrued medical incentive pool and bonus amounts .....	5,079,541	0	5,079,541	7,292,291
3. Unpaid claims adjustment expenses .....	4,782,503	0	4,782,503	4,141,511
4. Aggregate health policy reserves, including the liability of \$ .....0 for medical loss ratio rebate per the Public Health Service Act .....	96,959,213	0	96,959,213	109,658,463
5. Aggregate life policy reserves .....	0	0	0	0
6. Property/casualty unearned premium reserve .....	0	0	0	0
7. Aggregate health claim reserves .....	1,523,470	0	1,523,470	164,176
8. Premiums received in advance .....	75,306,412	0	75,306,412	161,370,127
9. General expenses due or accrued .....	43,153,046	0	43,153,046	55,040,542
10.1 Current federal and foreign income tax payable and interest thereon (including \$ .....0 on realized gains (losses)) .....	818,045	0	818,045	0
10.2 Net deferred tax liability .....	0	0	0	0
11. Ceded reinsurance premiums payable .....	307,157	0	307,157	283,157
12. Amounts withheld or retained for the account of others .....	0	0	0	0
13. Remittances and items not allocated .....	566	0	566	12,765
14. Borrowed money (including \$ .....0 current) and interest thereon \$ .....0 (including \$ .....0 current) .....	0	0	0	0
15. Amounts due to parent, subsidiaries and affiliates .....	25,864,153	0	25,864,153	64,118,089
16. Derivatives .....	0	0	0	0
17. Payable for securities .....	2,644,768	0	2,644,768	1,175,748
18. Payable for securities lending .....	0	0	0	0
19. Funds held under reinsurance treaties (with \$ .....0 authorized reinsurers, \$ .....0 unauthorized reinsurers and \$ .....0 certified reinsurers) .....	0	0	0	0
20. Reinsurance in unauthorized and certified (\$ .....0 ) companies .....	0	0	0	0
21. Net adjustments in assets and liabilities due to foreign exchange rates .....	0	0	0	0
22. Liability for amounts held under uninsured plans .....	8,273,834	0	8,273,834	8,176,603
23. Aggregate write-ins for other liabilities (including \$ .....400,454 current) .....	400,454	0	400,454	588,810
24. Total liabilities (Lines 1 to 23) .....	583,351,902	0	583,351,902	707,765,179
25. Aggregate write-ins for special surplus funds .....	XXX	XXX	0	41,171,375
26. Common capital stock .....	XXX	XXX	610,000	610,000
27. Preferred capital stock .....	XXX	XXX	0	0
28. Gross paid in and contributed surplus .....	XXX	XXX	44,977,137	44,977,137
29. Surplus notes .....	XXX	XXX	0	0
30. Aggregate write-ins for other than special surplus funds .....	XXX	XXX	1,500,000	1,500,000
31. Unassigned funds (surplus) .....	XXX	XXX	349,657,075	335,047,024
32. Less treasury stock, at cost:				
32.1 .....0 shares common (value included in Line 26 \$ .....0 ) .....	XXX	XXX	0	0
32.2 .....0 shares preferred (value included in Line 27 \$ .....0 ) .....	XXX	XXX	0	0
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	XXX	XXX	396,744,212	423,305,536
34. Total liabilities, capital and surplus (Lines 24 and 33) .....	XXX	XXX	980,096,114	1,131,070,715
<b>DETAILS OF WRITE-INS</b>				
2301. Accrued Fines and Penalties .....	393,157	0	393,157	581,513
2302. Unclaimed Property .....	7,297	0	7,297	7,297
2303. ....				
2398. Summary of remaining write-ins for Line 23 from overflow page .....	0	0	0	0
2399. Totals (Lines 2301 through 2303 plus 2398)(Line 23 above) .....	400,454	0	400,454	588,810
2501. Section 9010 ACA Subsequent Fee Year Assessment .....	XXX	XXX	0	41,171,375
2502. ....	XXX	XXX		
2503. ....	XXX	XXX		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	XXX	XXX	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above) .....	XXX	XXX	0	41,171,375
3001. Statutory Fund .....	XXX	XXX	1,500,000	1,500,000
3002. ....	XXX	XXX		
3003. ....	XXX	XXX		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	XXX	XXX	0	0
3099. Totals (Lines 3001 through 3003 plus 3098)(Line 30 above) .....	XXX	XXX	1,500,000	1,500,000

**STATEMENT OF REVENUE AND EXPENSES**

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member Months	XXX	6,365,875	5,553,686	7,423,212
2. Net premium income ( including \$ 0 non-health premium income)	XXX	2,598,871,675	2,583,795,659	3,417,804,569
3. Change in unearned premium reserves and reserve for rate credits	XXX	(2,376,852)	(7,824,682)	(14,339,221)
4. Fee-for-service (net of \$ 0 medical expenses)	XXX	0	0	0
5. Risk revenue	XXX	0	0	0
6. Aggregate write-ins for other health care related revenues	XXX	0	394,000	658,000
7. Aggregate write-ins for other non-health revenues	XXX	0	0	0
8. Total revenues (Lines 2 to 7)	XXX	2,596,494,823	2,576,364,977	3,404,123,348
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits	0	1,993,498,934	1,886,992,071	2,544,521,557
10. Other professional services	0	13,862,597	11,322,567	14,912,946
11. Outside referrals	0	0	0	0
12. Emergency room and out-of-area	0	0	0	0
13. Prescription drugs	0	120,417,971	62,726,067	76,863,128
14. Aggregate write-ins for other hospital and medical	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts	0	7,807,299	7,186,941	9,229,986
16. Subtotal (Lines 9 to 15)	0	2,135,586,801	1,968,227,647	2,645,527,617
<b>Less:</b>				
17. Net reinsurance recoveries	0	0	0	0
18. Total hospital and medical (Lines 16 minus 17)	0	2,135,586,801	1,968,227,647	2,645,527,617
19. Non-health claims (net)	0	0	0	0
20. Claims adjustment expenses, including \$ 83,037,292 cost containment expenses	0	138,139,139	103,694,129	168,138,242
21. General administrative expenses	0	278,518,669	281,807,902	365,781,295
22. Increase in reserves for life and accident and health contracts (including \$ 0 increase in reserves for life only)	0	(14,212,000)	0	77,366,000
23. Total underwriting deductions (Lines 18 through 22)	0	2,538,032,609	2,353,729,678	3,256,813,154
24. Net underwriting gain or (loss) (Lines 8 minus 23)	XXX	58,462,214	222,635,299	147,310,194
25. Net investment income earned	0	7,618,279	8,677,122	11,062,191
26. Net realized capital gains (losses) less capital gains tax of \$ 1,028,499	0	1,854,304	2,588,638	3,163,717
27. Net investment gains (losses) (Lines 25 plus 26)	0	9,472,583	11,265,760	14,225,908
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$ 80,244 ) (amount charged off \$ (308,903) )]	0	(228,659)	(331,879)	(403,237)
29. Aggregate write-ins for other income or expenses	0	(385,681)	(466,786)	(1,916,013)
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29)	XXX	67,320,457	233,102,394	159,216,852
31. Federal and foreign income taxes incurred	XXX	21,664,546	87,696,016	96,763,215
32. Net income (loss) (Lines 30 minus 31)	XXX	45,655,911	145,406,378	62,453,637
<b>DETAILS OF WRITE-INS</b>				
0601. TennCare Incentives	XXX	0	394,000	658,000
0602.	XXX			
0603.	XXX			
0698. Summary of remaining write-ins for Line 6 from overflow page	XXX	0	0	0
0699. Totals (Lines 0601 through 0603 plus 0698)(Line 6 above)	XXX	0	394,000	658,000
0701.	XXX			
0702.	XXX			
0703.	XXX			
0798. Summary of remaining write-ins for Line 7 from overflow page	XXX	0	0	0
0799. Totals (Lines 0701 through 0703 plus 0798)(Line 7 above)	XXX	0	0	0
1401.				
1402.				
1403.				
1498. Summary of remaining write-ins for Line 14 from overflow page	0	0	0	0
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above)	0	0	0	0
2901. Fines & Penalties – Paid and Accrued	0	(385,681)	(470,348)	(1,919,574)
2902. Investment Settlement Proceeds	0	0	3,562	3,561
2903.				
2998. Summary of remaining write-ins for Line 29 from overflow page	0	0	0	0
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above)	0	(385,681)	(466,786)	(1,916,013)



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

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
<b>CAPITAL AND SURPLUS ACCOUNT</b>			
33. Capital and surplus prior reporting year.....	423,305,536	600,328,649	600,328,649
34. Net income or (loss) from Line 32.....	45,655,911	145,406,378	62,453,637
35. Change in valuation basis of aggregate policy and claim reserves.....	0	0	0
36. Change in net unrealized capital gains (losses) less capital gains tax of \$..... 0	0	0	0
37. Change in net unrealized foreign exchange capital gain or (loss).....	0	0	0
38. Change in net deferred income tax.....	(12,822,512)	(17,221,028)	17,225,581
39. Change in nonadmitted assets.....	(394,723)	11,884,530	18,297,669
40. Change in unauthorized and certified reinsurance.....	0	0	0
41. Change in treasury stock.....	0	0	0
42. Change in surplus notes.....	0	0	0
43. Cumulative effect of changes in accounting principles.....	0	0	0
44. Capital Changes:			
44.1 Paid in.....	0	0	0
44.2 Transferred from surplus (Stock Dividend).....	0	0	0
44.3 Transferred to surplus.....	0	0	0
45. Surplus adjustments:			
45.1 Paid in.....	0	0	0
45.2 Transferred to capital (Stock Dividend).....	0	0	0
45.3 Transferred from capital.....	0	0	0
46. Dividends to stockholders.....	(59,000,000)	(275,000,000)	(275,000,000)
47. Aggregate write-ins for gains or (losses) in surplus.....	0	0	0
48. Net change in capital & surplus (Lines 34 to 47).....	(26,561,324)	(134,930,120)	(177,023,113)
49. Capital and surplus end of reporting period (Line 33 plus 48)	396,744,212	465,398,529	423,305,536
<b>DETAILS OF WRITE-INS</b>			
4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page.....	0	0	0
4799. Totals (Lines 4701 through 4703 plus 4798)(Line 47 above)	0	0	0

**CASH FLOW**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....	2,439,195,095	2,372,650,410	3,376,068,592
2. Net investment income .....	17,116,407	19,886,221	24,106,616
3. Miscellaneous income .....	264,000	394,000	394,000
4. Total (Lines 1 to 3) .....	2,456,575,502	2,392,930,631	3,400,569,208
5. Benefit and loss related payments .....	2,105,111,330	2,051,914,436	2,712,397,999
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0
7. Commissions, expenses paid and aggregate write-ins for deductions .....	418,266,074	405,803,700	530,921,055
8. Dividends paid to policyholders .....	0	0	0
9. Federal and foreign income taxes paid (recovered) net of \$ .....0 tax on capital gains (losses) .....	(7,053,472)	116,804,597	154,169,597
10. Total (Lines 5 through 9) .....	2,516,323,933	2,574,522,733	3,397,488,651
11. Net cash from operations (Line 4 minus Line 10) .....	(59,748,431)	(181,592,101)	3,080,557
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	192,336,977	302,505,705	360,952,842
12.2 Stocks .....	0	0	0
12.3 Mortgage loans .....	0	0	0
12.4 Real estate .....	0	0	0
12.5 Other invested assets .....	0	0	26,889
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	1,946	0	0
12.7 Miscellaneous proceeds .....	1,469,020	0	0
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	193,807,943	302,505,705	360,979,731
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	222,344,062	149,896,004	210,976,645
13.2 Stocks .....	0	0	0
13.3 Mortgage loans .....	0	0	0
13.4 Real estate .....	0	0	0
13.5 Other invested assets .....	9,387	0	0
13.6 Miscellaneous applications .....	0	2,440,951	2,501,214
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	222,353,449	152,336,955	213,477,859
14. Net increase (or decrease) in contract loans and premium notes .....	0	0	0
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	(28,545,506)	150,168,750	147,501,872
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....	0	0	0
16.2 Capital and paid in surplus, less treasury stock .....	0	0	0
16.3 Borrowed funds .....	0	0	0
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....	0	0	0
16.5 Dividends to stockholders .....	59,000,000	275,000,000	275,000,000
16.6 Other cash provided (applied) .....	(39,941,683)	(413,357)	14,369,815
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	(98,941,683)	(275,413,356)	(260,630,185)
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	(187,235,619)	(306,836,707)	(110,047,756)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	264,965,505	375,013,261	375,013,261
19.2 End of period (Line 18 plus Line 19.1) .....	77,729,886	68,176,554	264,965,505

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

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STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION**

	1 Total	Comprehensive (Hospital & Medical)		4 Medicare Supplement	5 Vision Only	6 Dental Only	7 Federal Employees Health Benefit Plan	8 Title XVIII Medicare	9 Title XIX Medicaid	10 Other
		2 Individual	3 Group							
<b>Total Members at end of:</b>										
1. Prior Year .....	626,339	9,687	34,419	0	0	0	3,365	101,753	477,115	0
2. First Quarter .....	595,687	36,955	32,227	0	0	0	2,615	43,639	480,251	0
3. Second Quarter .....	755,951	22,117	32,059	0	0	0	2,607	44,331	654,837	0
4. Third Quarter .....	749,316	22,183	29,571	0	0	0	2,577	45,011	649,974	0
5. Current Year	0	0	0	0	0	0	0	0	0	0
6. Current Year Member Months	6,365,875	272,921	280,393	0	0	0	23,242	396,833	5,392,486	0
<b>Total Member Ambulatory Encounters for Period:</b>										
7. Physician .....	4,987,059	121,338	123,890	0	0	0	16,987	837,938	3,886,906	0
8. Non-Physician .....	3,261,772	39,466	37,043	0	0	0	3,153	526,456	2,655,654	0
9. Total	8,248,831	160,804	160,933	0	0	0	20,140	1,364,394	6,542,560	0
10. Hospital Patient Days Incurred	2,411,532	1,513	5,806	0	0	0	875	120,424	2,282,914	0
11. Number of Inpatient Admissions	161,598	295	1,222	0	0	0	168	16,897	143,016	0
12. Health Premiums Written (a) .....	2,601,466,426	48,371,042	108,030,097	0	0	0	14,193,993	489,019,682	1,941,851,612	0
13. Life Premiums Direct .....	0	0	0	0	0	0	0	0	0	0
14. Property/Casualty Premiums Written .....	0	0	0	0	0	0	0	0	0	0
15. Health Premiums Earned .....	2,599,089,575	48,371,042	108,387,826	0	0	0	14,193,993	486,223,509	1,941,913,205	0
16. Property/Casualty Premiums Earned .....	0	0	0	0	0	0	0	0	0	0
17. Amount Paid for Provision of Health Care Services.....	2,105,111,323	33,605,934	83,529,134	0	0	0	11,669,779	405,673,717	1,570,632,759	0
18. Amount Incurred for Provision of Health Care Services	2,135,586,801	34,827,224	84,406,740	0	0	0	11,534,013	356,259,209	1,648,559,615	0

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ .....489,019,682



## UNDERWRITING AND INVESTMENT EXHIBIT

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

Line of Business	Claims Paid Year to Date		Liability End of Current Quarter		5 Claims Incurred in Prior Years (Columns 1 + 3)	6 Estimated Claim Reserve and Claim Liability December 31 of Prior Year
	1 On Claims Incurred Prior to January 1 of Current Year	2 On Claims Incurred During the Year	3 On Claims Unpaid Dec. 31 of Prior Year	4 On Claims Incurred During the Year		
1. Comprehensive (hospital and medical) .....	10,654,886	106,136,469	771,346	13,678,927	11,426,232	13,345,876
2. Medicare Supplement .....	0	0	0	0	0	0
3. Dental Only .....	0	0	0	0	0	0
4. Vision Only .....	0	0	0	0	0	0
5. Federal Employees Health Benefits Plan .....	1,766,124	9,903,655	42,022	1,990,075	1,808,146	2,411,051
6. Title XVIII - Medicare .....	57,425,931	340,230,256	4,534,967	48,810,312	61,960,898	110,906,664
7. Title XIX - Medicaid .....	148,103,717	1,420,870,236	6,942,859	242,991,701	155,046,576	169,243,482
8. Other health .....	0	0	0	0	0	0
9. Health subtotal (Lines 1 to 8) .....	217,950,658	1,877,140,616	12,291,194	307,471,015	230,241,852	295,907,073
10. Healthcare receivables (a) .....	14,187,741	35,629,909	0	4,616,909	14,187,741	63,267,649
11. Other non-health .....	0	0	0	0	0	0
12. Medical incentive pools and bonus amounts .....	9,588,337	431,712	1,498,610	3,580,931	11,086,947	7,292,291
13. Totals (Lines 9-10+11+12)	213,351,254	1,841,942,419	13,789,804	306,435,037	227,141,058	239,931,715

(a) Excludes \$ 2,256,157 loans or advances to providers not yet expensed.

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## NOTES TO FINANCIAL STATEMENTS

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**1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

Effective January 1, 2016, UnitedHealthcare Plan of the River Valley, Inc. (the "Company") novated its Centers for Medicare and Medicaid Services ("CMS") Medicare Advantage contract to affiliate, UnitedHealthcare of Wisconsin, Inc. ("UHCWI"). The novation agreement resulted in full control of the contract being transferred to UHCWI at \$0 net book value for dates of service on or after January 1, 2016. Approval for this novation was received from CMS and the State of Illinois Department of Insurance (the "Department"). There was no transfer of assets or surplus as a result of the novation.

**A. Accounting Practices**

The statutory basis financial statements of the Company are presented on the basis of accounting practices prescribed and permitted by the Department.

The Department recognizes only statutory accounting practices, prescribed and permitted by the State of Illinois, for determining and reporting the financial condition and results of operations of a health maintenance organization, for determining its solvency under Illinois Insurance Law. The state prescribes the use of the National Association of Insurance Commissioners' ("NAIC") Accounting Practices and Procedures manual ("NAIC SAP") in effect for the accounting periods covered in the statutory basis financial statements.

No significant differences exist between the practices prescribed and permitted by the State of Illinois and those prescribed and permitted by the NAIC SAP which materially affect the statutory basis net income and capital and surplus, as illustrated in the table below:

	State of Domicile	September 30, 2016	December 31, 2015
<b>Net Income</b>			
(1) Company state basis	Illinois	\$ 45,655,911	\$ 62,453,637
(2) State prescribed practices that increase/(decrease) NAIC SAP: None	Illinois	-	-
(3) State permitted practices that increase/(decrease) NAIC SAP: None	Illinois	-	-
(4) NAIC SAP (1-2-3=4)	Illinois	\$ 45,655,911	\$ 62,453,637
<b>Capital and Surplus</b>			
(5) Company state basis	Illinois	\$ 396,744,212	\$ 423,305,536
(6) State prescribed practices that increase/(decrease) NAIC SAP: None	Illinois	-	-
(7) State permitted practices that increase/(decrease) NAIC SAP: None	Illinois	-	-
(8) NAIC SAP (5-6-7=8)	Illinois	\$ 396,744,212	\$ 423,305,536

**B. Use of Estimates in the Preparation of the Statutory Basis Financial Statements**

No significant change.

**C. Accounting Policy**

(1–5) No significant change.

(6) U.S. government and agency securities and corporate debt securities include loan-backed securities (mortgage-backed securities and asset-backed securities), which are valued using the retrospective adjustment methodology. Prepayment assumptions for the determination of the amortized cost of loan-backed securities are based on a three-month constant prepayment rate history obtained from external data source vendors. The Company's investment policy limits investments in nonagency residential mortgage-backed securities, including home equity and sub-prime mortgages, to 10% of total cash and invested assets. Total combined investments in mortgage-backed securities and asset-backed securities cannot exceed more than 30% of total cash and invested assets.

(7–13) No significant change.

**D. Going Concern**

No significant change.

**2. ACCOUNTING CHANGES AND CORRECTION OF ERRORS**

No significant change.

**3. BUSINESS COMBINATIONS AND GOODWILL**

A–D. No significant change.

**4. DISCONTINUED OPERATIONS**

**A. Discontinued Operation Disposed of or Classified as Held for Sale**

(1–5) The Company did not discontinue any operations during 2016 and 2015; however, the Company did make the decision to discontinue offering the Medicare Advantage product. Effective January 1, 2016, the Company novated its CMS Medicare Advantage contract to affiliate, UHCWI. The novation agreement resulted in full control of the contract being transferred to UHCWI at \$0 net book value for dates of service on or after January 1, 2016. Approval for this novation was received from CMS. There was no transfer of assets or surplus as a result of the novation.

**B. Change in Plan of Sale of Discontinued Operations** — Not applicable.

**C. Nature of any Significant Continuing Involvement with Discontinued Operations after Disposal** — Not applicable.

**D. Equity Interest Retained in the Discontinued Operation after Disposal** — Not applicable.

**5. INVESTMENTS AND OTHER INVESTED ASSETS**

**A. Mortgage Loans, including Mezzanine Real Estate Loans**

No significant change.

**B. Debt Restructuring**

No significant change.

**C. Reverse Mortgages**

No significant change.

**D. Loan-Backed Securities**

(1) Loan-backed securities are valued using the retrospective adjustment methodology. Prepayment assumptions for the determination of the amortized cost of loan-backed securities are based on a three-month constant prepayment rate history obtained from external data source vendors.

(2) The Company did not recognize any other-than-temporary impairments (“OTTI”) on loan-backed securities as of September 30, 2016.

(3) As of September 30, 2016, the Company did not have any loan-backed securities with an OTTI to report by CUSIP.

- (4) The following table illustrates the fair value, gross unrealized losses, and length of time that the loan-backed securities have been in a continuous unrealized loss position as of September 30, 2016 and December 31, 2015:

	<b>September 30, 2016</b>
The aggregate amount of unrealized losses:	
1. Less than 12 months	\$ 11,215
2. 12 Months or longer	55,478
The aggregate related fair value of securities with unrealized losses:	
1. Less than 12 months	8,332,607
2. 12 Months or longer	9,911,568
	<b>December 31, 2015</b>
The aggregate amount of unrealized losses:	
1. Less than 12 months	\$ 584,899
2. 12 Months or longer	410,345
The aggregate related fair value of securities with unrealized losses:	
1. Less than 12 months	83,111,485
2. 12 Months or longer	13,642,069

- (5) The Company believes that it will collect all principal and interest due on all investments that have an amortized cost in excess of fair value. The unrealized losses as of September 30, 2016 were primarily caused by interest rate increases and not by unfavorable changes in the credit ratings associated with these securities.

**E. Repurchase Agreements and/or Securities Lending Transactions**

No significant change.

**F. Real Estate**

No significant change.

**G. Low-Income Housing Tax Credits**

No significant change.

**H. Restricted Assets**

No significant change.

**I. Working Capital Finance Investments**

Not applicable.

**J. Offsetting and Netting of Assets and Liabilities**

The Company does not have any offsetting or netting of assets and liabilities as it relates to derivatives, repurchase and reverse repurchase agreements, and securities borrowing and securities lending activities.

**K. Structured Notes**

The Company does not have any structured notes.

**6. JOINT VENTURES, PARTNERSHIPS, AND LIMITED LIABILITY COMPANIES**

A–B. No significant change.

**7. INVESTMENT INCOME**

A–B. No significant change.

**8. DERIVATIVE INSTRUMENTS**

A–F. No significant change.

**9. INCOME TAXES**

A–G. The provision for federal income taxes incurred is different from that which would be obtained by applying the statutory federal income tax rate of 35% to net gain before federal income taxes and net



realized capital gains primarily as a result of the annual health insurer fee under Section 9010 of the Patient Protection and Affordable Care Act ("ACA") which is non-deductible for tax purposes. The Company is required to expense 100% of the estimated annual fee on January 1, 2016. The Company's health insurer fee impact is \$41,345,953 in 2016, which was paid in September 2016.

The Company's net deferred tax asset decreased \$12,822,512 from December 31, 2015 to September 30, 2016 as a result of the decreases in the premium deficiency reserve (see Note 30), paid in advance premiums, and purchased amortization. The change in net deferred income taxes, excluding the impact of the change in the premium deficiency reserve had a corresponding impact on the current federal income tax provision.

**10. INFORMATION CONCERNING PARENT, SUBSIDIARIES, AND AFFILIATES**

**A–N. Material Related Party Transactions**

No significant change.

**11. DEBT**

**A–B.** No significant change.

**12. RETIREMENT PLANS, DEFERRED COMPENSATION, POSTEMPLOYMENT BENEFITS AND COMPENSATED ABSENCES, AND OTHER POSTRETIREMENT BENEFIT PLANS**

**A–I.** The Company has no defined benefit plans, defined contribution plans, multiemployer plans, consolidated/holding company plans, postemployment benefits, and compensated absences plans and is not impacted by the Medicare Modernization Act on postretirement benefits, since all personnel are employees of United HealthCare Services, Inc. ("UHS"), which provides services to the Company under the terms of a management agreement.

**13. CAPITAL AND SURPLUS, SHAREHOLDERS' DIVIDEND RESTRICTIONS, AND QUASI-REORGANIZATIONS**

**(1–3)** No significant change.

**(4)** On May 23, 2016, the Company declared an ordinary cash dividend of \$59,000,000 to the sole shareholder, UnitedHealthcare Services Company of the River Valley, Inc. The dividend was paid on June 27, 2016. The ordinary dividend complied with the provisions set forth in the statutes of Illinois and Tennessee. The dividend was recorded as a reduction to unassigned surplus.

**(5–13)** No significant change.

**14. LIABILITIES, CONTINGENCIES AND ASSESSMENTS**

As of September 2015, CMS informed the Company that it had been selected for a RADV audit for 2011 dates of service (2012 payment year). This audit closed in May 2016 and no information has been received from CMS regarding results or when to expect results. All documentation was submitted prior to the deadline. The Company cannot reasonably estimate the range of loss, if any, that may result from any material government investigations, audits and reviews in which it is currently involved given the inherent difficulty in predicting regulatory action, fines and penalties, if any, and the various remedies and levels of judicial review available to the Company in the event of an adverse finding.

**15. LEASES**

**A–B.** No significant change.

**16. INFORMATION ABOUT FINANCIAL INSTRUMENTS WITH OFF-BALANCE-SHEET RISK AND FINANCIAL INSTRUMENTS WITH CONCENTRATIONS OF CREDIT RISK**

**(1–4)** No significant change.

**17. SALE, TRANSFER, AND SERVICING OF FINANCIAL ASSETS AND EXTINGUISHMENTS OF LIABILITIES**

**A.** The Company did not have any transfers of receivables reported as sales as of September 30, 2016 or December 31, 2015.

**B.** The Company did not have any transfer and servicing of financial assets as of September 30, 2016 or December 31, 2015.

**C.** No transactions involving wash sales of securities with an NAIC designation of 3 or below or unrated securities occurred as of September 30, 2016 or the year ended December 31, 2015.

**18. GAIN OR LOSS TO THE REPORTING ENTITY FROM UNINSURED PLANS AND THE UNINSURED PORTION OF PARTIALLY INSURED PLANS**

**A–B.** No significant change.

**C. Medicare or Other Similarly Structured Cost Based Reimbursement Contract**

The Medicare Part D program is a partially insured plan. The Company recorded a receivable of \$7,744,124 and \$16,250,998 in amounts receivable relating to uninsured plans and also a payable of \$93,747 and \$0 in liability for amounts held under uninsured plans in the statutory basis statements of admitted assets, liabilities, and capital and surplus as of September 30, 2016 and December 31, 2015, respectively, for cost reimbursement under the Medicare Part D program for the catastrophic reinsurance and low-income member cost-sharing subsidies. The Company also recorded a receivable of \$0 and \$1,832,535 and a payable of \$8,180,087 and \$8,175,865 as of September 30, 2016 and December 31, 2015, respectively, for the Medicare Part D Coverage Gap Discount Program in amounts receivable relating to uninsured plans and liability for amounts held under uninsured plans, respectively, in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

The Company participates in administering the payments for TennCare's Pharmacy Benefit Manager. There is no risk to the Company as a result of these transactions. The Company recorded a premium tax receivable from TennCare of \$5,261,196 and \$5,530,408, as of September 30, 2016 and December 31, 2015, respectively, which is included in amounts receivable relating to uninsured plans in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

Effective April 1, 2016, the state of Iowa Department of Human Services ("IA DHS") has elected to administer enhanced rate payments to the Graduated Medical Education Program and the University of Iowa Health Care Physicians through non-risk reconciled payments. The IA DHS capitation rate is inclusive of the enhanced rate and the Company subsequently remits payment at agreed upon intervals to the Graduated Medical Education Program and the University of Iowa based on a detailed listing provided by the IA DHS. There is no risk to the Company as any excess or shortfall is 100% remitted or received back from the state. As of September 30, 2016, there are no amounts outstanding related to the enhanced rate payments in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

**19. DIRECT PREMIUM WRITTEN/PRODUCED BY MANAGING GENERAL AGENTS/THIRD-PARTY ADMINISTRATORS**

No significant change.

**20. FAIR VALUE MEASUREMENT**

The NAIC SAP defines fair value, establishes a framework for measuring fair value, and outlines the disclosure requirements related to fair value measurements. The fair value hierarchy is as follows:

*Level 1* — Quoted (unadjusted) prices for identical assets in active markets.

*Level 2* — Other observable inputs, either directly or indirectly, including:

- Quoted prices for similar assets in active markets;
- Quoted prices for identical or similar assets in nonactive markets (few transactions, limited information, noncurrent prices, high variability over time, etc.);
- Inputs other than quoted prices that are observable for the asset (interest rates, yield curves, volatilities, default rates, etc.);
- Inputs that are derived principally from or corroborated by other observable market data.

*Level 3* — Unobservable inputs that cannot be corroborated by observable market data.

The estimated fair values of bonds and short-term investments are based on quoted market prices, where available. The Company obtains one price for each security primarily from a third-party pricing service ("pricing service"), which generally uses quoted prices or other observable inputs for the determination of fair value. The pricing service normally derives the security prices through recently reported trades for identical or similar securities, making adjustments through the reporting date based upon available observable market information. For securities not actively traded, the pricing service may use quoted market prices of comparable instruments or discounted cash flow analyses, incorporating inputs that are currently observable in the markets for similar securities. Inputs that are often used in the valuation methodologies include, but are not limited to, non-binding broker quotes, benchmark yields, credit spreads, default rates and prepayment speeds. As the Company is responsible for the determination of fair value, it performs quarterly analyses on the prices received from the pricing service to determine whether the prices are reasonable estimates of fair value. Specifically, the Company compares the prices received from the pricing service to a secondary pricing source; prices reported by its custodian, its investment consultant and third-party investment advisors. Additionally, the Company compares changes in the reported market

values and returns to relevant market indices to test the reasonableness of the reported prices. The Company's internal price verification procedures and review of fair value methodology documentation provided by independent pricing services have not historically resulted in an adjustment in the prices obtained from the pricing service.

In instances in which the inputs used to measure fair value fall into different levels of the fair value hierarchy, the fair value measurement has been determined based on the lowest-level input that is significant to the fair value measurement in its entirety. The Company's assessment of the significance of a particular item to the fair value measurement in its entirety requires judgment, including the consideration of inputs specific to the asset or liability.

**A. Fair Value**

- (1) The Company does not have any financial assets that are measured and reported at fair value in the statutory basis statements of admitted assets, liabilities, and capital and surplus at September 30, 2016 and December 31, 2015.
- (2) The Company's financial assets with fair value hierarchy of level 3 represents investments in low-income housing tax credit investments. These investments are recorded and reported at cost of \$16,223,752 and \$17,777,164 at September 30, 2016 and December 31, 2015, respectively, which approximates fair value, as there is no readily available market.
- (3) Excluding the low-income housing tax credit investments, the Company has no investments reported with a fair value hierarchy of Level 2 or Level 3 as of September 30, 2016 and the year ended December 31, 2015 and therefore has no valuation technique to disclose.
- (4) **Investments** — Fair values of debt securities are based on quoted market prices, where available. The Company obtains one price for each security primarily from a third-party pricing service, which generally uses quoted prices or other observable inputs for the determination of fair value. The pricing service normally derives the security prices through recently reported trades for identical or similar securities, and, if necessary, makes adjustments through the reporting date based upon available observable market information. For securities not actively traded, the pricing service may use quoted market prices of comparable instruments or discounted cash flow analyses, incorporating inputs that are currently observable in the markets for similar securities. Inputs that are often used in the valuation methodologies include, but are not limited to, benchmark yields, credit spreads, default rates, prepayment speeds and non-binding broker quotes. As the Company is responsible for the determination of fair value, it performs quarterly analyses on the prices received from the pricing service to determine whether the prices are reasonable estimates of fair value. Specifically, the Company compares the prices received from the pricing service to prices reported by a secondary pricing source, such as its custodian, its investment consultant and third-party investment advisors. Additionally, the Company compares changes in the reported market values and returns to relevant market indices to test the reasonableness of the reported prices. The Company's internal price verification procedures and reviews of fair value methodology documentation provided by independent pricing services have not historically resulted in adjustment in the prices obtained from the pricing service.  
  
**Low-Income Housing Tax Credit Investments** — The fair values of Level 3 investments in low-income housing tax credit investments are deemed held-to-maturity as there is no active market and they will not be sold. Because of this, these securities are held at amortized cost. Should any contractual breakage occur that jeopardizes the ability to receive the tax credits associated with these securities, an impairment will be recognized. As of September 30, 2016, these investments are performing in accordance with their original contract terms.
- (5) The Company has no derivative assets and liabilities to disclose.

**B. Fair Value Combination** — Not applicable.

**C. Aggregate Fair Value Hierarchy**

The aggregate fair value by hierarchy of all financial instruments as of September 30, 2016 and December 31, 2015, is presented in the table below:

September 30, 2016						
Types of Financial Investment	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Not Practicable (Carrying Value)
U.S. government and agency securities	\$ 200,821,632	\$ 199,854,468	\$ 120,172,360	\$ 80,649,272	\$ -	\$ -
State and agency municipal securities	150,986,029	146,964,137	-	150,986,029	-	-
City and county municipal securities	101,726,368	98,887,806	-	101,726,368	-	-
Corporate debt securities (includes commercial paper)	220,938,470	218,688,182	-	220,938,470	-	-
Money-market funds	44,921,998	44,921,998	44,921,998	-	-	-
Other invested assets	<u>16,223,752</u>	<u>16,223,752</u>	<u>-</u>	<u>-</u>	<u>16,223,752</u>	<u>-</u>
Total bonds, short-term investments, and other invested assets	<u>\$ 735,618,249</u>	<u>\$ 725,540,343</u>	<u>\$ 165,094,358</u>	<u>\$ 554,300,139</u>	<u>\$ 16,223,752</u>	<u>\$ -</u>
December 31, 2015						
Types of Financial Investment	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Not Practicable (Carrying Value)
U.S. government and agency securities	\$ 188,071,665	\$ 189,170,715	\$ 104,113,135	\$ 83,958,530	\$ -	\$ -
State and agency municipal securities	147,544,133	145,089,444	-	147,544,133	-	-
City and county municipal securities	102,565,676	100,198,755	-	102,565,676	-	-
Corporate debt securities (includes commercial paper)	215,822,667	218,403,893	-	215,822,667	-	-
Money-market funds	208,088,356	208,088,356	208,088,356	-	-	-
Other invested assets	<u>17,777,164</u>	<u>17,777,164</u>	<u>-</u>	<u>-</u>	<u>17,777,164</u>	<u>-</u>
Total bonds, short-term investments, and other invested assets	<u>\$ 879,869,661</u>	<u>\$ 878,728,327</u>	<u>\$ 312,201,491</u>	<u>\$ 549,891,006</u>	<u>\$ 17,777,164</u>	<u>\$ -</u>

Included as Level 1 in U.S. government and agency securities in the fair value hierarchy tables above are U.S. Treasury securities of \$120,172,360 and \$104,113,135 as of September 30, 2016 and December 31, 2015, respectively.

Included as Level 2 in corporate debt securities in the fair value hierarchy tables above are commercial paper investments of \$1,891,601 and \$996,886 as of September 30, 2016 and December 31, 2015, respectively. The commercial paper investments are included in short-term investments in the statutory basis statements of admitted assets, liabilities, and capital and surplus.

**D. Not Practicable to Estimate Fair Value** — Not applicable.**21. OTHER ITEMS**

The Company recorded receivables related to retroactive policies and estimated withholds of \$2,714,242 and \$324,942 as of December 31, 2015 for the TennCare Medicaid and CHOICES programs, respectively. As of September 30, 2016, the Company has collected \$5,422,797 and \$180,525 related to retroactive policies and estimated withholds related to these prior year balances for Medicaid and CHOICES programs, respectively. These amounts are included in premiums and considerations in the statutory basis financial statements.

The Company has recorded payables for estimated recoupments of \$25,547,760 for TennCare Medicaid and CHOICES, net as of December 31, 2015. As of September 30, 2016, \$5,735,053 has been recouped related to these prior year balances related to Medicaid and CHOICES, net. Currently, \$11,292,730 still remains for estimated recoupments for Medicaid and CHOICES, net, for the prior year. The estimated recoupments are included in premiums received in advance in the statutory basis financial statements.

The Company continues to refine the estimated recoupments on the CHOICES product. The impact of further refining the estimates due to updated information and additional history with the CHOICES product could result in a reduction to the amounts previously reported as net premium income. However, the Company is unable to accurately estimate the financial impact of the change at this time and any change would be reflected in operating results in the period in which the change in the estimate is identified.

**A–H.** No significant change.

**22. EVENTS SUBSEQUENT**

No significant change.

**23. REINSURANCE**

**A–D.** No significant change.

**24. RETROSPECTIVELY RATED CONTRACTS AND CONTRACTS SUBJECT TO REDETERMINATION**

**A–B.** No significant change.

**C.** The Company has Medicare Part D risk-corridor amounts from CMS which are subject to a retrospectively rated feature related to Part D premiums. The Company has estimated accrued retrospective premiums related to certain Part D premiums based on guidelines determined by CMS. The formula is tiered and based on the bid medical loss ratio. The amount of Medicare Part D direct premiums written subject to this retrospectively rated feature was \$36,019,126 and \$104,275,150 representing, 1.4% and 3.0% of total direct premiums written as of September 30, 2016 and December 31, 2015, respectively. The decrease from the prior year is primarily due to the novation of the Company's CMS contract to affiliate, UHCWI (see Note 1).

The Company has risk-adjustment amounts from CMS which are subject to a redetermination feature related to Medicare premiums. The Company has estimated premium adjustments for changes to each member's health scores based on guidelines determined by CMS. The total amount of Medicare direct premiums written for which a portion is subject to redetermination features was \$489,019,682 and \$1,209,704,911 representing, 19% and 35% of total direct premiums written as of September 30, 2016 and December 31, 2015, respectively. The decrease from the prior year is primarily due to the novation of the Company's CMS contract to affiliate, UHCWI (see Note 1).

**D.** The Company is required to maintain specific minimum loss ratios on the comprehensive commercial lines of business. Effective January 1, 2016, the Company novated its Medicare contract (see Note 1) and is no longer subject to minimum loss ratios requirements. Prior to the novation, the Company was required to maintain specific minimum loss ratios on the Medicare line of business.

The following table discloses the minimum medical loss ratio rebate liability which is included in aggregate health policy reserves in the statutory basis statements of admitted assets, liabilities, and capital and surplus for the nine months ended September 30, 2016 and the year ended December 31, 2015:

	1	2	3	4	5
	Individual	Small Group Employer	Large Group Employer	Other Categories with Rebates	Total
Prior reporting year:					
(1) Medical loss ratio rebates incurred	\$ -	\$ 202,751	\$ 402,669	\$ -	\$ 605,420
(2) Medical loss ratio rebates paid	-	-	177,934	-	177,934
(3) Medical loss rebates unpaid	-	202,751	237,943	-	440,694
(4) Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
(5) Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
(6) Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	440,694
Current reporting year-to-date:					
(7) Medical loss ratio rebates incurred	\$ -	\$ (202,751)	\$ (5,643)	\$ -	\$ (208,394)
(8) Medical loss ratio rebates paid	-	-	232,300	-	232,300
(9) Medical loss rebates unpaid	-	-	-	-	-
(10) Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
(11) Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
(12) Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	-

**E. Risk-Sharing Provisions of the Affordable Care Act**

**(1)** The Company has accident and health insurance premiums in 2016 subject to the risk-sharing provisions of the ACA.

The ACA imposed fees and premium stabilization provisions on health insurance issuers offering comprehensive commercial health insurance. The three premium stabilization programs are commonly referred to as the 3Rs – risk adjustment, reinsurance, and risk corridors.

**Risk Adjustment** – The permanent risk adjustment program, designed to mitigate the potential impact of adverse selection and provide stability for health insurance issuers, applies to all non-grandfathered plans not subject to transitional relief in the individual and small group markets both inside and outside of the insurance exchanges. Premium adjustments pursuant to the risk adjustment program are accounted for as premium subject to redetermination and user fees are accounted for as assessments.

**Reinsurance** – The transitional reinsurance program was designed to protect issuers in the individual market from an expected increase in large claims due to the elimination of preexisting condition limitations. The transitional reinsurance program is effective from 2014 through 2016 and applies to all issuers of major medical commercial products and third party administrators. Contributions attributable to enrollees in ACA compliant individual plans, including program administrative costs, are accounted for as ceded premium and payments received are accounted for as ceded benefit recoveries. The portion of the individual contributions earmarked for the U.S. Treasury is accounted for as an assessment. Contributions made for enrollees in fully insured

plans other than ACA compliant individual plans, including program administrative costs and payments to the U.S. Treasury, are treated as assessments.

**Risk Corridors** – The temporary risk corridors program, designed to provide some aggregate protection against variability for issuers in the individual and small group markets during the period 2014 through 2016, applies to Qualified Health Plans in the individual and small group markets both inside and outside of the insurance exchanges. Premium adjustments pursuant to the risk corridors program are accounted for as premium adjustments for retrospectively rated contracts.

(2) The following table presents the current year impact of risk-sharing provisions of the on assets, liabilities and operations.

<b>a. Permanent ACA Risk Adjustment Program</b>	<b>September 30, 2016</b>
<u>Assets</u>	
1. Premium adjustments receivable due to ACA Risk Adjustment	\$ 1,177,236
<u>Liabilities</u>	
2. Risk adjustment user fees payable for ACA Risk Adjustment	\$ 4,778
3. Premium adjustments payable due to ACA Risk Adjustment	\$ 567,420
<u>Operations (Revenue &amp; Expense)</u>	
4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment	\$ 147,242
5. Reported in expenses as ACA risk adjustment user fees (incurred/paid)	\$ 5,031
<b>b. Transitional ACA Reinsurance Program</b>	
<u>Assets</u>	
1. Amounts recoverable for claims paid due to ACA Reinsurance	\$ -
2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability)	\$ -
3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	\$ -
<u>Liabilities</u>	
4. Liabilities for contributions payable due to ACA Reinsurance - not reported as ceded premium	\$ 1,124,428
5. Ceded reinsurance premiums payable due to ACA Reinsurance	\$ -
6. Liability for amounts held under uninsured plans contributions for ACA Reinsurance	\$ -
<u>Operations (Revenue &amp; Expense)</u>	
7. Ceded reinsurance premiums due to ACA Reinsurance	\$ -
8. Reinsurance recoveries (income statement) due to ACA reinsurance payments or expected payments	\$ -
9. ACA Reinsurance contributions - not reported as ceded premium	\$ 684,538
<b>c. Temporary ACA Risk Corridors Program</b>	
<u>Assets</u>	
1. Accrued retrospective premium due to ACA Risk Corridors	\$ -
<u>Liabilities</u>	
2. Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	\$ -
<u>Operations (Revenue &amp; Expense)</u>	
3. Effect of ACA Risk Corridors on net premium income (paid/received)	\$ -
4. Effect of ACA Risk Corridors on change in reserves for rate credits	\$ -

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(3) The following table is a rollforward of prior year ACA risk-sharing provisions for asset and liability balances, along with reasons for adjustments to prior year balances.

	Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments		Unsettled Balances as of the Reporting Date		
	1	2	3	4	Prior Year Accrued Less Payments (Col 1-3) 5	Prior Year Accrued Less Payments (Col 2-4) 6	To Prior Year Balances 7	To Prior Year Balances 8	Cumulative Balance from Prior Years (Col 1-3+7) 9	Cumulative Balance from Prior Years (Col 2-4+8) 10	
	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
a. Permanent ACA Risk Adjustment Program											
1. Premium adjustments receivable	\$ 1,574,619	\$ -	\$ 296,715	\$ -	\$ 1,277,905	\$ -	\$ (1,228,378)	\$ -	A	\$ 49,526	\$ -
2. Premium adjustments (payable)	-	(1,431,523)	-	(1,125,146)	-	(306,377)	-	306,377	B	-	-
3. Subtotal ACA Permanent Risk Adjustment Program	1,574,619	(1,431,523)	296,715	(1,125,146)	1,277,905	(306,377)	(1,228,378)	306,377		49,526	-
b. Transitional ACA Reinsurance Program											
1. Amounts recoverable for claims paid	-	-	-	-	-	-	-	-	C	-	-
2. Amounts recoverable for claims unpaid (contra liability)	-	-	-	-	-	-	-	-	D	-	-
3. Amounts receivable relating to uninsured plans	-	-	-	-	-	-	-	-	E	-	-
4. Liabilities for contributions payable due to ACA Reinsurance - not reported as ceded premium	-	(1,759,560)	-	(1,319,670)	-	(439,890)	-	-	F	-	(439,890)
5. Ceded reinsurance premiums payable	-	-	-	-	-	-	-	-	G	-	-
6. Liability for amounts held under uninsured plans	-	-	-	-	-	-	-	-	H	-	-
7. Subtotal ACA Transitional Reinsurance Program	-	(1,759,560)	-	(1,319,670)	-	(439,890)	-	-		-	(439,890)
c. Temporary ACA Risk Corridors Program											
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	I	-	-
2. Reserve for rate credits or policy experience rating refunds	-	-	-	-	-	-	-	-	J	-	-
3. Subtotal ACA Risk Corridors Program	-	-	-	-	-	-	-	-		-	-
d. Total for ACA Risk Sharing Provisions	\$ 1,574,619	\$ (3,191,063)	\$ 296,715	\$ (2,444,816)	\$ 1,277,905	\$ (746,267)	\$ (1,228,378)	\$ 306,377		\$ 49,526	\$ (439,890)

Explanation of Adjustments

A. The 2015 December risk adjustment factor receivable was reported based on estimated state risk transfer factors for each state and risk pool utilizing paid claims data through October 31, 2015. The adjustments as of 9/30/2016 reflect true-ups based on the final CMS Summary Report on Transitional Reinsurance Payments and the Permanent Risk Adjustment Transfers for the 2015 Program Year and reflect the balance in accordance with the CMS cash settlement process at the state and market level.

B. The 2015 December risk adjustment factor payable was reported based on estimated state risk transfer factors for each state and risk pool utilizing paid claims data through October 31, 2015. The adjustments as of 9/30/2016 reflect true-ups based on the Final CMS Summary Report on Transitional Reinsurance Payments and the Permanent Risk Adjustment Transfers for the 2015 Program Year and reflect the balance in accordance with the CMS cash settlement process at the state and market level.

C. NA

D. NA

E. NA

F. NA

G. NA

H. NA

I. NA

J. NA

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(4) The Company does not have any risk corridor receivables or payables to present in the table below.

Risk Corridors Program Year:	Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments		Unsettled Balances as of the Reporting Date		
	1	2	3	4	Prior Year Accrued Less Payments (Col 1-3)	Prior Year Accrued Less Payments (Col 2-4)	To Prior Year Balances	To Prior Year Balances	Cumulative Balance from Prior Years (Col 1-3+7)	Cumulative Balance from Prior Years (Col 2-4+8)	
	Receivable	(Payable)	Receivable	(Payable)	5	6	7	8	9	10	
a. 2014											
1. Accrued retrospective premium	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	A	\$ -	\$ -
2. Reserve for rate credits or policy experience rating refunds	-	-	-	-	-	-	-	-	B	-	-
b. 2015											
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	C	-	-
2. Reserve for rate credits or policy experience rating refunds	-	-	-	-	-	-	-	-	D	-	-
c. 2016											
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	E	-	-
2. Reserve for rate credits or policy experience rating refunds	-	-	-	-	-	-	-	-	F	-	-
d. Total for Risk Corridors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -

Explanation of Adjustments

- A. N/A
- B. N/A
- C. N/A
- D. N/A
- E. N/A
- F. N/A

(5) The Company does not have any risk corridor receivables to present in the table below.

Risk Corridors Program Year:	1	2	3	4	5	6
	Estimated Amount to be Filed or Final Amount Filed with CMS	Non-Accrued Amounts for Impairment or Other Reasons	Amounts received from CMS	Asset Balance (Gross of Non-admissions) (1-2-3)	Non-admitted Amount	Net Admitted Asset (4-5)
a. 2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
b. 2015	-	-	-	-	-	-
c. 2016	-	-	-	-	-	-
d. Total (a+b+c)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

25. CHANGE IN INCURRED CLAIMS AND CLAIMS ADJUSTMENT EXPENSES

Changes in estimates related to the prior year incurred claims are included in total hospital and medical expenses in the current year in the statutory basis statements of operations. The following tables disclose paid claims, incurred claims, and the balance in the claims unpaid, accrued medical incentive pool and bonus amounts, aggregate health claim reserves, and health care receivable (excluding provider loans and advances net yet expensed) at September 30, 2016 and December 31, 2015:

	September 30, 2016		Total
	Current Year Incurred Claims	Prior Years Incurred Claims	
Beginning of year claim reserve	\$ -	\$ (303,199,364)	\$ (303,199,364)
Paid claims—net of health care receivable	1,877,572,330	227,538,995	2,105,111,325
End of year claim reserve	311,051,947	13,789,804	324,841,751
Incurred claims excluding the change in health care receivable	2,188,624,277	(61,870,565)	2,126,753,712
Beginning of year health care receivable*	-	63,267,649	63,267,649
End of year health care receivable*	(40,246,819)	(14,187,741)	(54,434,560)
Total incurred claims	\$ 2,148,377,458	\$ (12,790,657)	\$ 2,135,586,801

\*Health care receivable excludes provider loans and advances not yet expensed of \$2,256,157 and \$589,000 for 2016 and 2015, respectively.



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	December 31, 2015		
	Current Year Incurred Claims	Prior Years Incurred Claims	Total
Beginning of year claim reserve	\$ -	\$ (373,813,462)	\$ (373,813,462)
Paid claims—net of health care receivable	2,444,755,232	267,642,767	2,712,397,999
End of year claim reserve	<u>289,228,546</u>	<u>13,970,818</u>	<u>303,199,364</u>
Incurred claims excluding the change in health care receivable	2,733,983,778	(92,199,877)	2,641,783,901
Beginning of year health care receivable	-	67,011,365	67,011,365
End of year health care receivable*	<u>(56,068,134)</u>	<u>(7,199,515)</u>	<u>(63,267,649)</u>
Total incurred claims	<u>\$ 2,677,915,644</u>	<u>\$ (32,388,027)</u>	<u>\$ 2,645,527,617</u>

\*Health care receivable excludes provider loans and advances not yet expensed of \$589,000 and \$0 for 2015 and 2014, respectively.

The liabilities for claims unpaid, accrued medical incentive pool and bonus amounts, and aggregate health claim reserves, net of health care receivable (excluding provider loans and advances net yet expensed) as of December 31, 2015 was \$239,931,715. As of September 30, 2016, \$227,538,995 has been paid for incurred claims attributable to insured events of prior years. Reserves remaining for prior years, net of healthcare receivable (excluding provider loans and advances net yet expensed) are now (\$397,937) as a result of re-estimation of unpaid claims. Therefore, there has been \$12,790,657 favorable prior year development since December 31, 2015 to September 30, 2016. The primary drivers consist of favorable development of \$4,659,645 in retroactivity for inpatient, outpatient, physician, and pharmacy claims, \$12,431,801 as a result of a change in the provision for adverse deviations in experience, and \$5,950,754 in provider settlements, partially offset by unfavorable development of \$5,092,572 in capitation, \$3,548,843 in risk share activity, and \$2,146,015 in Medicaid recoveries. At December 31, 2015, the Company recorded \$32,388,027 of favorable development comprised of \$17,169,926 in retroactivity for inpatient, outpatient, physician, and pharmacy claims and favorable development of \$15,560,534 as a result of a change in the provision for adverse deviations in experience. Original estimates are increased or decreased, as additional information becomes known regarding individual claims, including the medical loss ratio rebate accruals. Included in this favorable development is the impact related to retrospectively rated policies, which also has a corresponding impact on medical loss ratio rebates. As a result of the prior year effects, on a regular basis, the Company adjusts revenue and the corresponding liability and/or receivable related to retrospectively rated policies and the impact of the change is included as a component of change in reserve for rate credits in the statutory basis statements of operations.

The Company incurred claims adjustment expenses of \$138,139,139 and \$168,138,242 for the nine months ended September 30, 2016 and the year ended December 31, 2015, respectively. These costs are included in the management service fees paid by the Company to UHS as a part of its management agreement. The following tables disclose paid claims adjustment expense ("CAE"), incurred CAE, and the balance in the unpaid claims adjustment expenses reserve for the nine months ended September 30, 2016 and the year ended December 31, 2015:

	September 30, 2016	December 31, 2015
Total claims adjustment expenses incurred	\$ 138,139,139	\$ 168,138,242
Less current year unpaid claims adjustment expenses	(4,782,503)	(4,141,511)
Add prior year unpaid claims adjustment expenses	<u>4,141,511</u>	<u>5,159,859</u>
Total claims adjustment expenses paid	<u>\$ 137,498,147</u>	<u>\$ 169,156,590</u>

**26. INTERCOMPANY POOLING ARRANGEMENTS**

**A–G.** No significant change.

**27. STRUCTURED SETTLEMENTS**

**A–B.** No significant change.

**28. HEALTH CARE AND OTHER AMOUNTS RECEIVABLE**

**A.** Pharmacy rebates receivable are recorded when reasonably estimated or billed by the affiliated or non-affiliated pharmaceutical benefit manager in accordance with pharmaceutical rebate contract provisions. Information used to support rebates billed to the manufacturer is based on utilization information gathered by the pharmaceutical benefit manager and adjusted for significant changes in pharmaceutical contract provisions.

The Company evaluates admissibility of all pharmacy rebates receivable based on the administration of each underlying pharmaceutical benefit management agreement. The Company has non-admitted all pharmacy rebates receivable that do not meet the admissibility criteria of Statement of Statutory Accounting Principles ("SSAP") No. 84, *Certain Health Care Receivables and Receivables under*

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Government Insured Plans from the statutory basis statements of admitted assets, liabilities, and capital and surplus.

For each pharmaceutical management agreement for which a portion of the total pharmacy rebates receivable can be admitted based on the admissibility criteria of SSAP No. 84, the transaction history is summarized as follows:

Quarter	Estimated Pharmacy Rebates as Reported on Financial Statements	Pharmacy Rebates as Billed or Otherwise Confirmed	Actual Rebates Received within 90 Days of Billing	Actual Rebates Received within 91 to 180 Days of Billing	Actual Rebates Received More than 180 Days After Billing
9/30/2016	\$ 22,920,004	\$ -	\$ -	\$ -	\$ -
6/30/2016	22,719,099	22,238,982	13,458,441	-	-
3/31/2016	20,749,065	20,585,942	15,888,877	4,142,836	-
12/31/2015	31,541,036	31,594,715	27,280,096	3,977,261	(11,889)
9/30/2015	31,024,670	30,852,441	25,980,021	2,117,584	2,478,656
6/30/2015	28,470,991	28,613,885	23,346,598	3,846,386	1,141,586
3/31/2015	25,604,082	25,186,307	19,404,499	4,280,847	1,343,294
12/31/2014	23,452,508	23,864,012	18,533,141	4,195,358	979,020
9/30/2014	21,552,754	21,884,523	16,485,039	4,499,416	891,244
6/30/2014	19,502,895	19,766,272	15,009,763	3,381,198	1,342,086
3/31/2014	17,808,381	18,203,853	13,664,127	3,380,354	1,048,343
12/31/2013	19,062,222	18,813,160	15,681,007	2,073,330	1,027,568

Of the amount reported as health care and other amounts receivable, \$30,715,466 and \$42,147,079 relates to pharmacy rebates receivable as of September 30, 2016 and December 31, 2015, respectively. This decrease is primarily due to the decrease in Medicare members as a result of the Company's novation of its CMS contract (see Note 1) and the change in generic/name brand mix. The Company also reported \$2,038,814 and \$762,557 of claim overpayments due from providers at September 30, 2016 and December 31, 2015, respectively that have been determined to be admissible.

B. No significant change.

29. PARTICIPATING POLICIES

No significant change.

30. PREMIUM DEFICIENCY RESERVES

The following table summarizes the Company's premium deficiency reserves as of September 30, 2016 and December 31, 2015:

	<b>September 30, 2016</b>
1. Liability carried for premium deficiency reserves	\$ 63,154,000
2. Date of the most recent evaluation of this liability	9/30/2016
3. Was anticipated investment income utilized in this calculation?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
	<b>December 31, 2015</b>
1. Liability carried for premium deficiency reserves	\$ 77,366,000
2. Date of the most recent evaluation of this liability	12/31/2015
3. Was anticipated investment income utilized in this calculation?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Premium deficiency reserves are included in aggregate health policy reserves in the statutory basis statements of admitted assets, liabilities and capital and surplus and as a (decrease) increase in reserves for life and accident and health contracts in the statutory basis statements of operations.

31. ANTICIPATED SALVAGE AND SUBROGATION

No significant change.

# GENERAL INTERROGATORIES

## PART 1 - COMMON INTERROGATORIES

### GENERAL

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? ..... Yes [ ] No [ X ]
- 1.2 If yes, has the report been filed with the domiciliary state? ..... Yes [ ] No [ ]
- 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 [ X ] No [ ]

3.3 If the response to 3.2 is yes, provide a brief description of those changes.  
July 1, 2016 AmeriChoice of Connecticut, Inc., a Connecticut corporation, merged with and into Oxford Health Plans (CT), Inc., a Connecticut corporation.  
July 1, 2016 Catamaran Insurance Company of Ohio, Inc. changed its name to Optum Insurance of Ohio, Inc.  
August 3, 2016 Project Z Merger Sub, Inc., a Delaware corporation, was formed as a wholly owned subsidiary of WellMed Medical Management, Inc., a Texas corporation.  
August 18, 2016 Optum Global Finance (Ireland) Unlimited Company, an Irish company, was formed as a 100% subsidiary of Optum Global Solutions (Ireland) Limited, an Irish company.  
September 1, 2016 North American Medical Management California, Inc., a Tennessee corporation, acquired 100% of the equity interests of Empire Physician Management Co, LLC, a California limited liability company.  
September 30, 2016 Project Z Merger Sub, Inc., a Delaware corporation, merged with and into USMD Holdings, Inc., a Delaware corporation, with USMD Holdings, Inc. being the surviving corporation in the merger. As a result, USMD Holdings, Inc. became a wholly owned subsidiary of WellMed Medical Management, Inc.

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 the name of the entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? ..... Yes [ ] No [ X ] N/A [ ]  
If yes, attach an explanation.

6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. .... 12/31/2011

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. .... 12/31/2011

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). .... 09/23/2013

6.4 By what department or departments?  
Illinois Department 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 [ ] No [ ] N/A [ X ]

7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? ..... Yes [ ] No [ X ]

7.2 If yes, give full information:

8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? ..... Yes [ ] No [ X ]

8.2 If response to 8.1 is yes, please identify the name of the bank holding company.

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

8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

1 Affiliate Name	2 Location (City, State)	3 FRB	4 OCC	5 FDIC	6 SEC
Optum Bank, Inc. ....	Salt Lake City, UT .....	NO	NO	YES	NO

## GENERAL INTERROGATORIES

- 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 [  ] No [  ]
- (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;
- (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;
- (c) Compliance with applicable governmental laws, rules and regulations;
- (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and
- (e) Accountability for adherence to the code.
- 9.11 If the response to 9.1 is No, please explain:
- 9.2 Has the code of ethics for senior managers been amended? ..... Yes [  ] No [  ]
- 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 [  ]
- 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

### FINANCIAL

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

### INVESTMENT

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) ..... Yes [  ] No [  ]
- 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 [  ]
- 14.2 If yes, please complete the following:
- |   | 1<br>Prior Year-End<br>Book/Adjusted<br>Carrying Value | 2<br>Current Quarter<br>Book/Adjusted<br>Carrying Value |
|---|--|---|
| 14.21 Bonds .....   | \$ .....0  | \$ .....0   |
| 14.22 Preferred Stock .....   | \$ .....0  | \$ .....0   |
| 14.23 Common Stock .....  | \$ .....0  | \$ .....0   |
| 14.24 Short-Term Investments .....  | \$ .....0  | \$ .....0   |
| 14.25 Mortgage Loans on Real Estate .....   | \$ .....0  | \$ .....0   |
| 14.26 All Other .....   | \$ .....0  | \$ .....0   |
| 14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) ..... | \$ .....0  | \$ .....0   |
| 14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above .....                       | \$ .....0  | \$ .....0   |
- 15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? ..... Yes [  ] No [  ]
- 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.

**GENERAL INTERROGATORIES**

16. For the reporting entity's security lending program, state the amount of the following as of the current statement date:
- 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 .....\$ .....0
  - 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 .....\$ .....0
  - 16.3 Total payable for securities lending reported on the liability page .....\$ .....0

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

1 Name of Custodian(s)	2 Custodian Address
Bank of New York Mellon .....	Global Liquidity Services, 1 Wall St, 14th Floor, New York City, NY 10286 .....
Northern Trust .....	50 S. LaSalle, Chicago, IL 60675 .....

- 17.2 For all agreements that do not comply with the requirements of the NAIC Financial Condition Examiners Handbook, provide the name, location and a complete explanation:

1 Name(s)	2 Location(s)	3 Complete Explanation(s)

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter? ..... Yes [ ] No [ X ]
- 17.4 If yes, give full information relating thereto:

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

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

1 Central Registration Depository	2 Name(s)	3 Address
107038 .....	JPMorgan Investment Management Inc. ....	245 Park Avenue, New York City, NY 10167 .....
113972 .....	Standish Mellon Asset Management Company .....	201 Washington Street, Suite 2900, Boston, MA 02108-4408 .....

- 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:

## GENERAL INTERROGATORIES

### PART 2 - HEALTH

1. Operating Percentages:

1.1 A&H loss percent .....84.8 %  
1.2 A&H cost containment percent .....3.2 %  
1.3 A&H expense percent excluding cost containment expenses .....12.8 %

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

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

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

2.4 If yes, please provide the balance of the funds administered as of the reporting date .....\$.....0

**SCHEDULE S - CEDED REINSURANCE**

Showing All New Reinsurance Treaties - Current Year to Date

1 NAIC Company Code	2 ID Number	3 Effective Date	4 Name of Reinsurer	5 Domiciliary Jurisdiction	6 Type of Reinsurance Ceded	7 Type of Reinsurer	8 Certified Reinsurer Rating (1 through 6)	9 Effective Date of Certified Reinsurer Rating
<b>NONE</b>								

**SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS**

Current Year to Date - Allocated by States and Territories

1	Direct Business Only									
	2	3	4	5	6	7	8	9		
States, etc.	Active Status	Accident and Health Premiums	Medicare Title XVIII	Medicaid Title XIX	Federal Employees Health Benefits Program Premiums	Life and Annuity Premiums & Other Considerations	Property/Casualty Premiums	Total Columns 2 Through 7	Deposit-Type Contracts	
1. Alabama	AL	N	0	0	0	0	0	0	0	
2. Alaska	AK	N	0	0	0	0	0	0	0	
3. Arizona	AZ	N	0	0	0	0	0	0	0	
4. Arkansas	AR	N	0	0	0	0	0	0	0	
5. California	CA	N	0	0	0	0	0	0	0	
6. Colorado	CO	N	0	0	0	0	0	0	0	
7. Connecticut	CT	N	0	0	0	0	0	0	0	
8. Delaware	DE	N	0	0	0	0	0	0	0	
9. District of Columbia	DC	N	0	0	0	0	0	0	0	
10. Florida	FL	N	0	0	0	0	0	0	0	
11. Georgia	GA	N	0	0	0	0	0	0	0	
12. Hawaii	HI	N	0	0	0	0	0	0	0	
13. Idaho	ID	N	0	0	0	0	0	0	0	
14. Illinois	IL	L	5,944,227	67,492	0	0	0	6,011,719	0	
15. Indiana	IN	N	0	0	0	0	0	0	0	
16. Iowa	IA	L	137,178,785	1,209,719	476,152,679	14,193,993	0	628,735,176	0	
17. Kansas	KS	N	0	0	0	0	0	0	0	
18. Kentucky	KY	N	0	0	0	0	0	0	0	
19. Louisiana	LA	N	0	0	0	0	0	0	0	
20. Maine	ME	N	0	0	0	0	0	0	0	
21. Maryland	MD	N	0	0	0	0	0	0	0	
22. Massachusetts	MA	N	0	0	0	0	0	0	0	
23. Michigan	MI	N	0	0	0	0	0	0	0	
24. Minnesota	MN	N	0	0	0	0	0	0	0	
25. Mississippi	MS	N	0	0	0	0	0	0	0	
26. Missouri	MO	N	0	0	0	0	0	0	0	
27. Montana	MT	N	0	0	0	0	0	0	0	
28. Nebraska	NE	N	0	0	0	0	0	0	0	
29. Nevada	NV	N	0	0	0	0	0	0	0	
30. New Hampshire	NH	N	0	0	0	0	0	0	0	
31. New Jersey	NJ	N	0	0	0	0	0	0	0	
32. New Mexico	NM	N	0	0	0	0	0	0	0	
33. New York	NY	N	0	0	0	0	0	0	0	
34. North Carolina	NC	N	0	0	0	0	0	0	0	
35. North Dakota	ND	N	0	0	0	0	0	0	0	
36. Ohio	OH	N	0	0	0	0	0	0	0	
37. Oklahoma	OK	N	0	0	0	0	0	0	0	
38. Oregon	OR	N	0	0	0	0	0	0	0	
39. Pennsylvania	PA	N	0	0	0	0	0	0	0	
40. Rhode Island	RI	N	0	0	0	0	0	0	0	
41. South Carolina	SC	N	0	0	0	0	0	0	0	
42. South Dakota	SD	N	0	0	0	0	0	0	0	
43. Tennessee	TN	L	2,474,205	487,477,044	1,465,698,933	0	0	1,955,650,182	0	
44. Texas	TX	N	0	0	0	0	0	0	0	
45. Utah	UT	N	0	0	0	0	0	0	0	
46. Vermont	VT	N	0	0	0	0	0	0	0	
47. Virginia	VA	L	10,803,922	265,427	0	0	0	11,069,349	0	
48. Washington	WA	N	0	0	0	0	0	0	0	
49. West Virginia	WV	N	0	0	0	0	0	0	0	
50. Wisconsin	WI	N	0	0	0	0	0	0	0	
51. Wyoming	WY	N	0	0	0	0	0	0	0	
52. American Samoa	AS	N	0	0	0	0	0	0	0	
53. Guam	GU	N	0	0	0	0	0	0	0	
54. Puerto Rico	PR	N	0	0	0	0	0	0	0	
55. U.S. Virgin Islands	VI	N	0	0	0	0	0	0	0	
56. Northern Mariana Islands	MP	N	0	0	0	0	0	0	0	
57. Canada	CAN	N	0	0	0	0	0	0	0	
58. Aggregate Other Aliens	OT	XXX	0	0	0	0	0	0	0	
59. Subtotal	XXX	156,401,139	489,019,682	1,941,851,612	14,193,993	0	0	2,601,466,426	0	
60. Reporting Entity Contributions for Employee Benefit Plans	XXX	0	0	0	0	0	0	0	0	
61. Totals (Direct Business)	(a) 4	156,401,139	489,019,682	1,941,851,612	14,193,993	0	0	2,601,466,426	0	
DETAILS OF WRITE-INS										
58001.	XXX									
58002.	XXX									
58003.	XXX									
58998. Summary of remaining write-ins for Line 58 from overflow page	XXX	0	0	0	0	0	0	0	0	
58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)	XXX	0	0	0	0	0	0	0	0	

(L) Licensed or Chartered - Licensed Insurance Carrier or Domiciled RRG; (R) Registered - Non-domiciled RRGs; (Q) Qualified - Qualified or Accredited Reinsurer; (E) Eligible - Reporting Entities eligible or approved to write Surplus Lines in the state; (N) None of the above - Not allowed to write business in the state.

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

All premiums are allocated based upon geographic market.





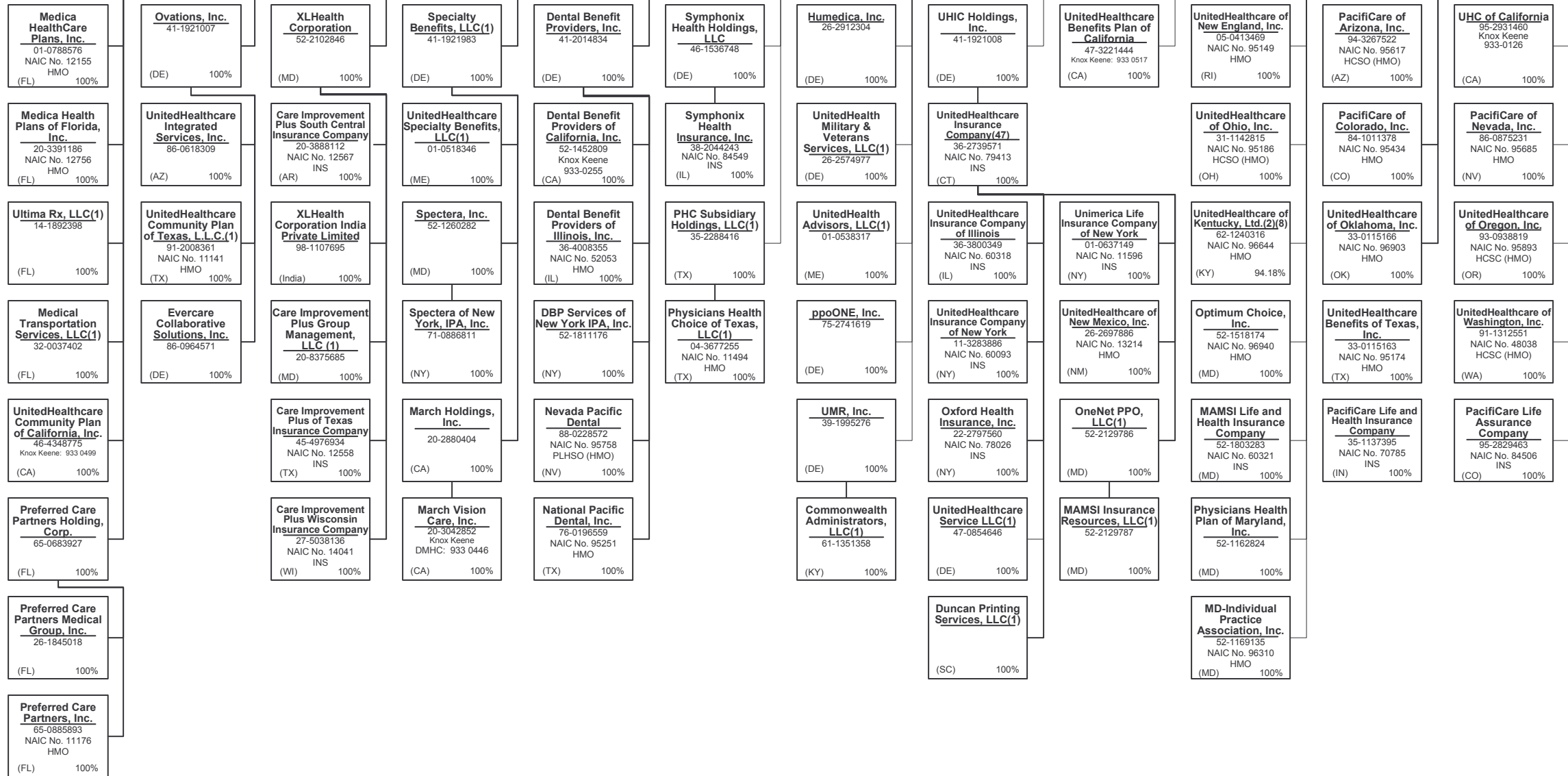


**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**

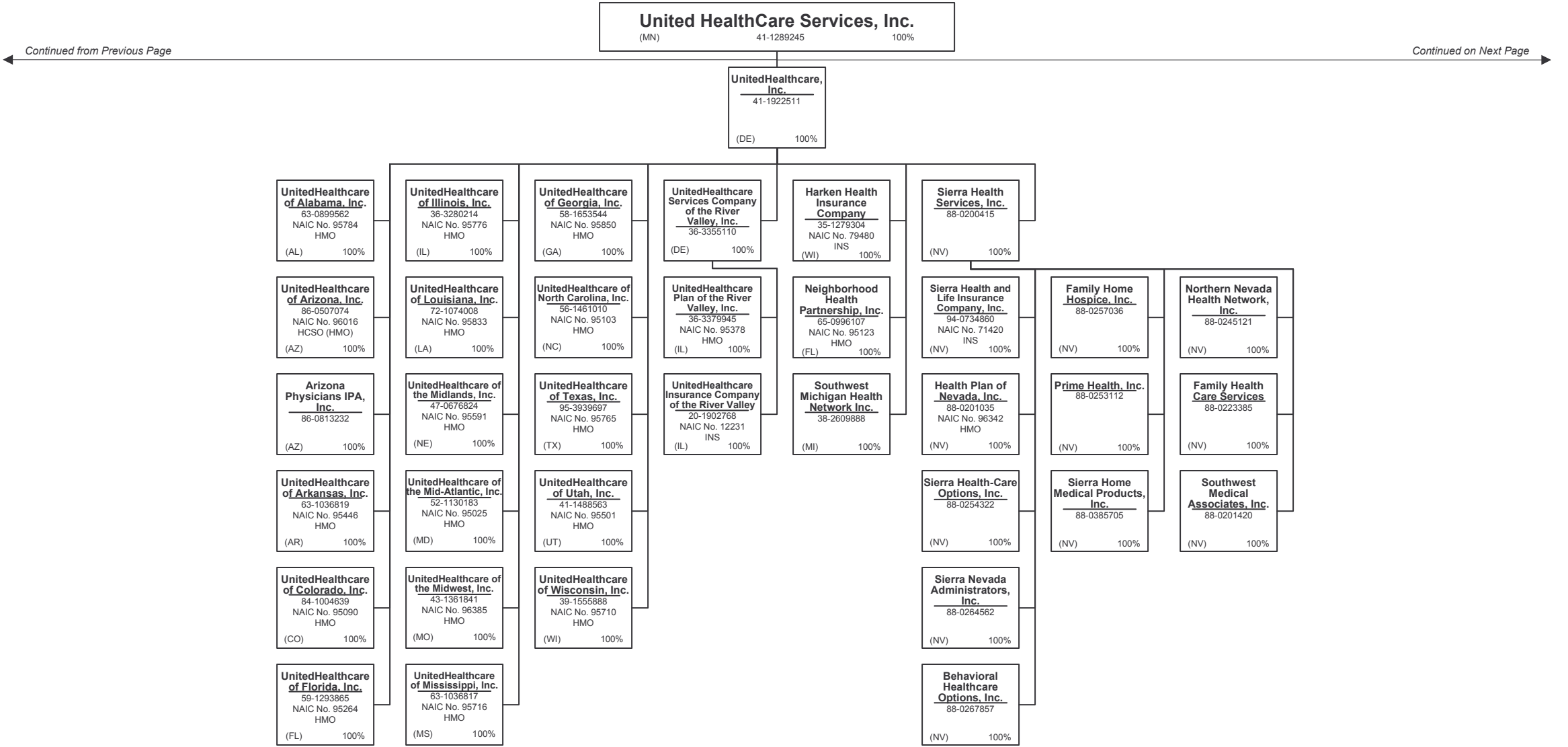
**United HealthCare Services, Inc.**  
 (MN) 41-1289245 100%

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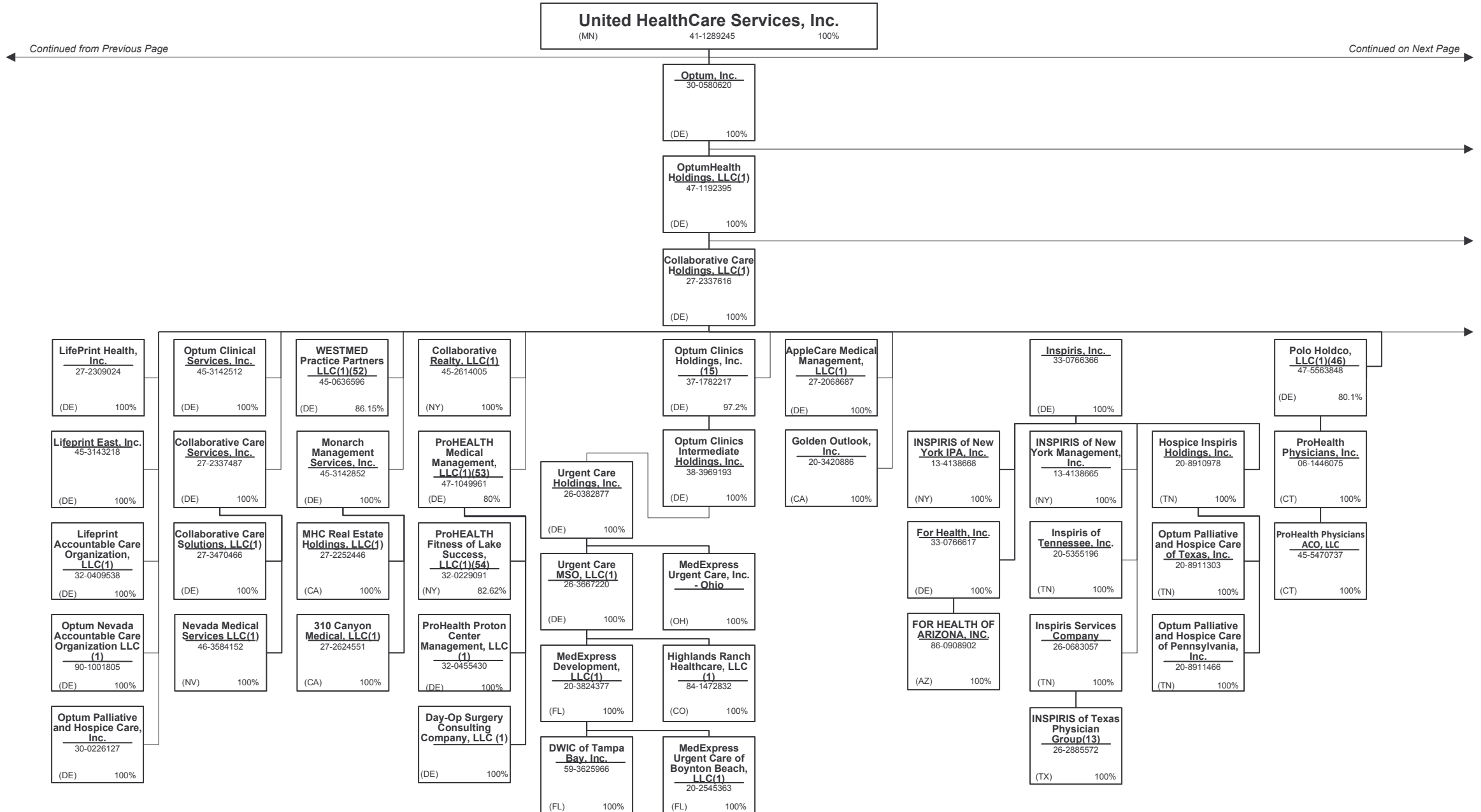
**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**



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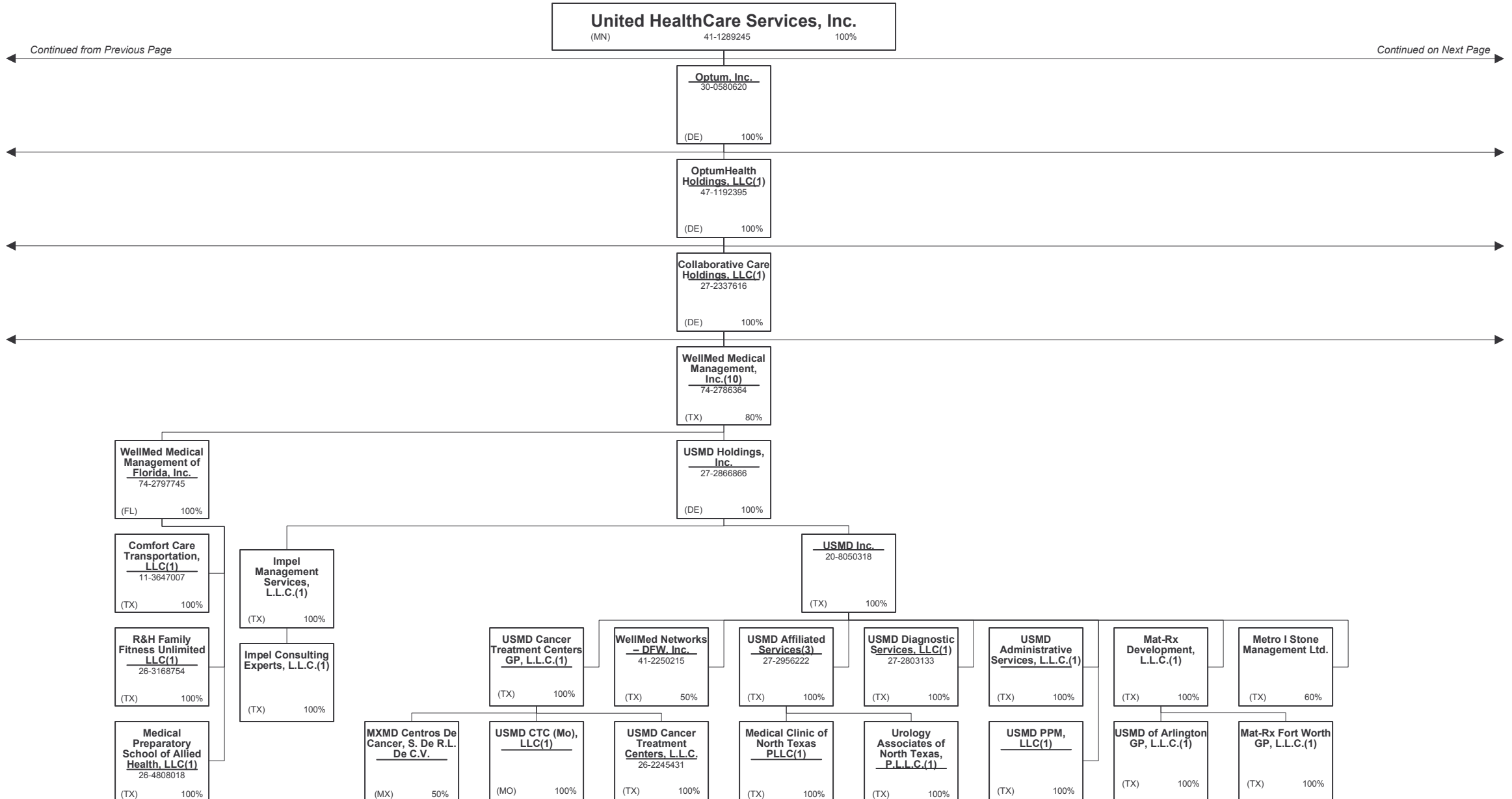
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**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**



15.4

**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**

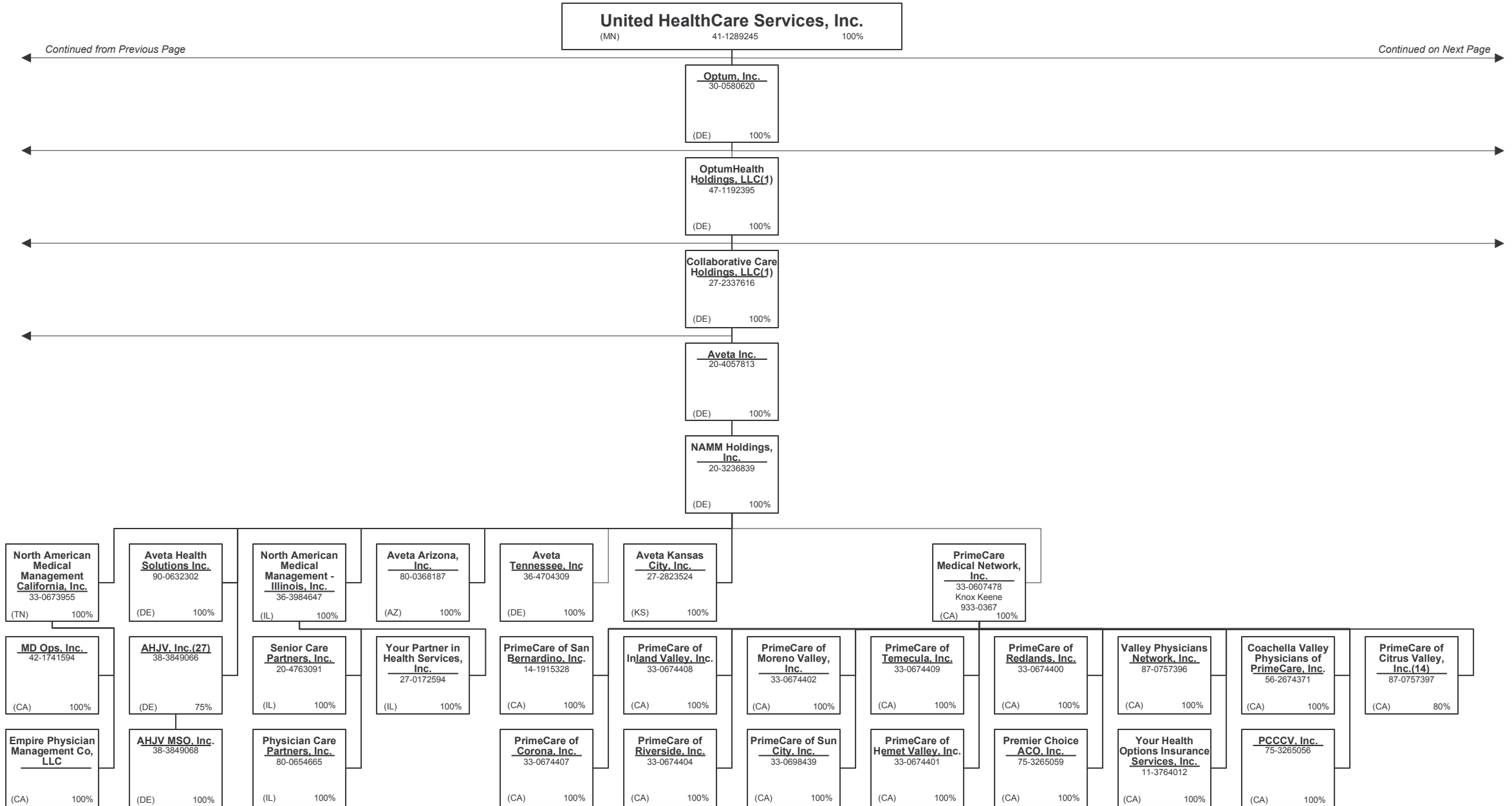


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**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**

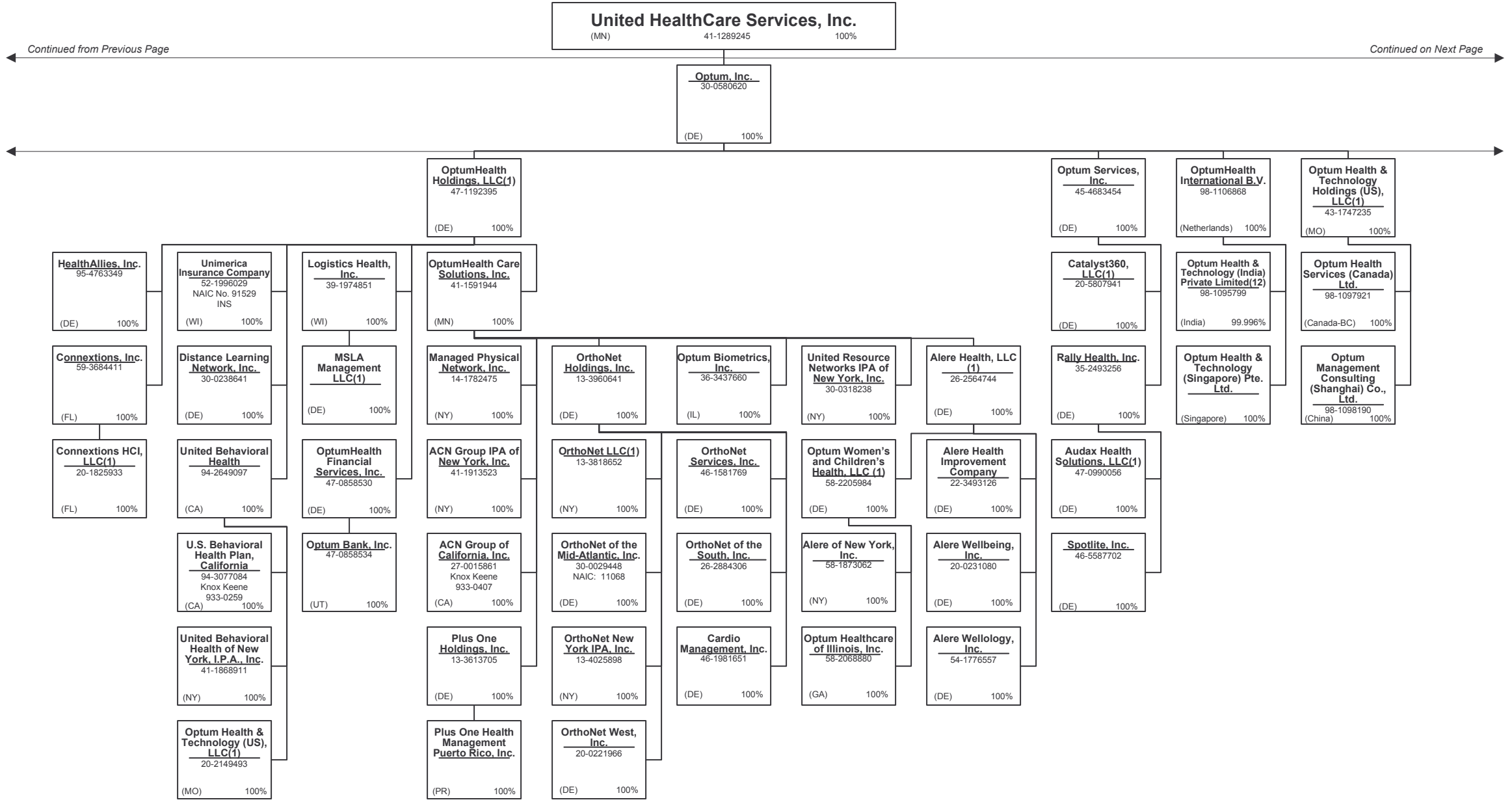


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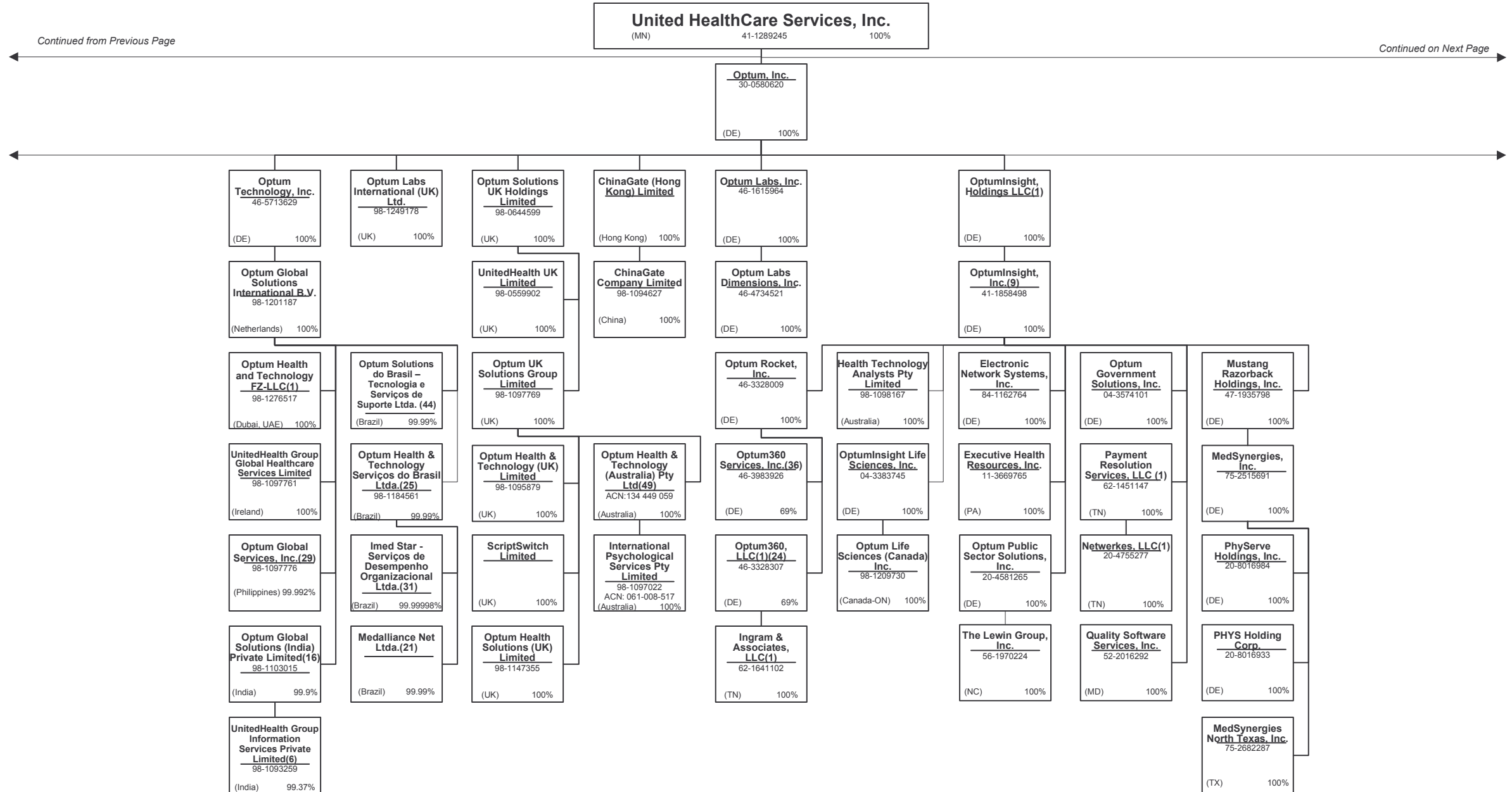
**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**



15.7



**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**

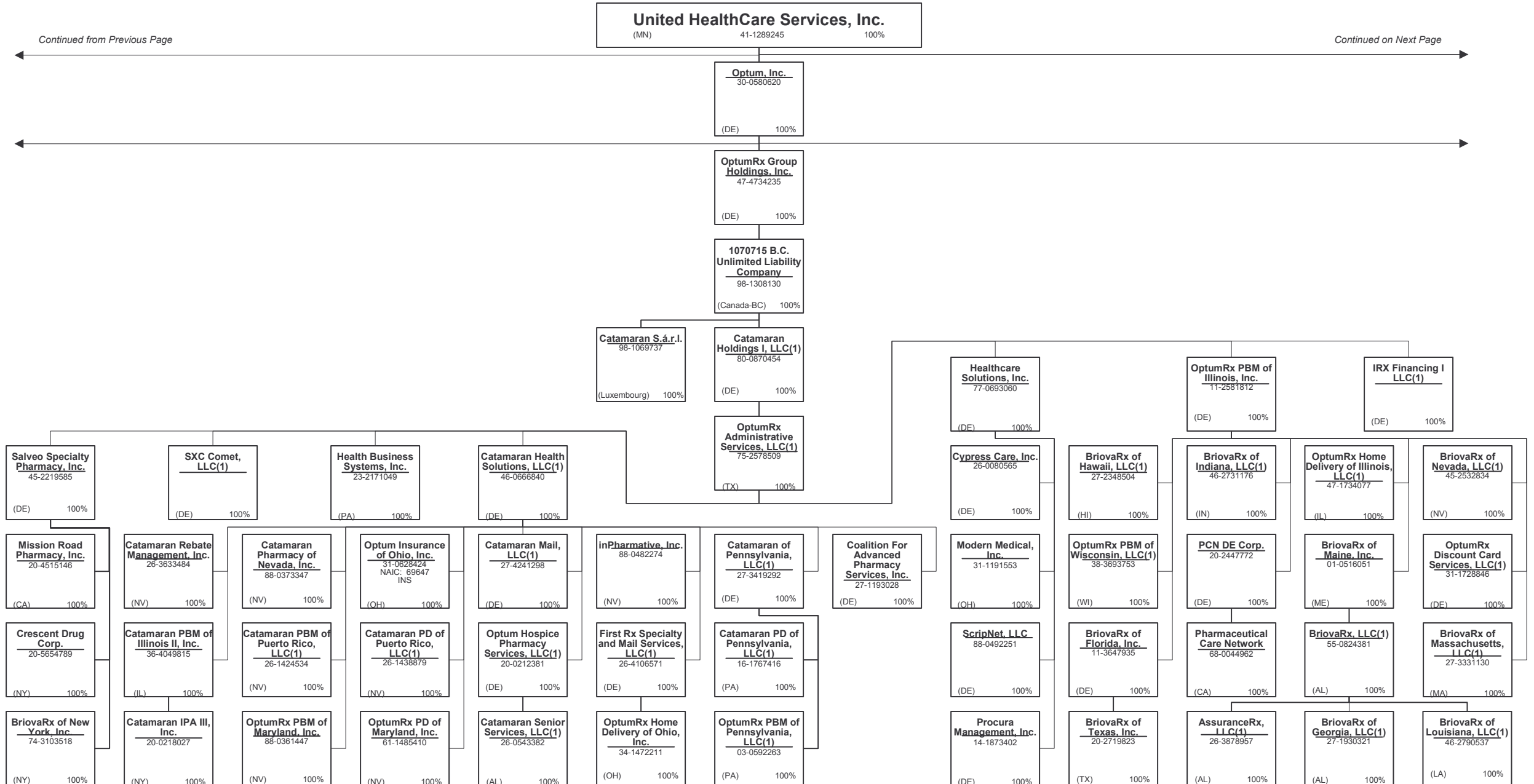


15.8

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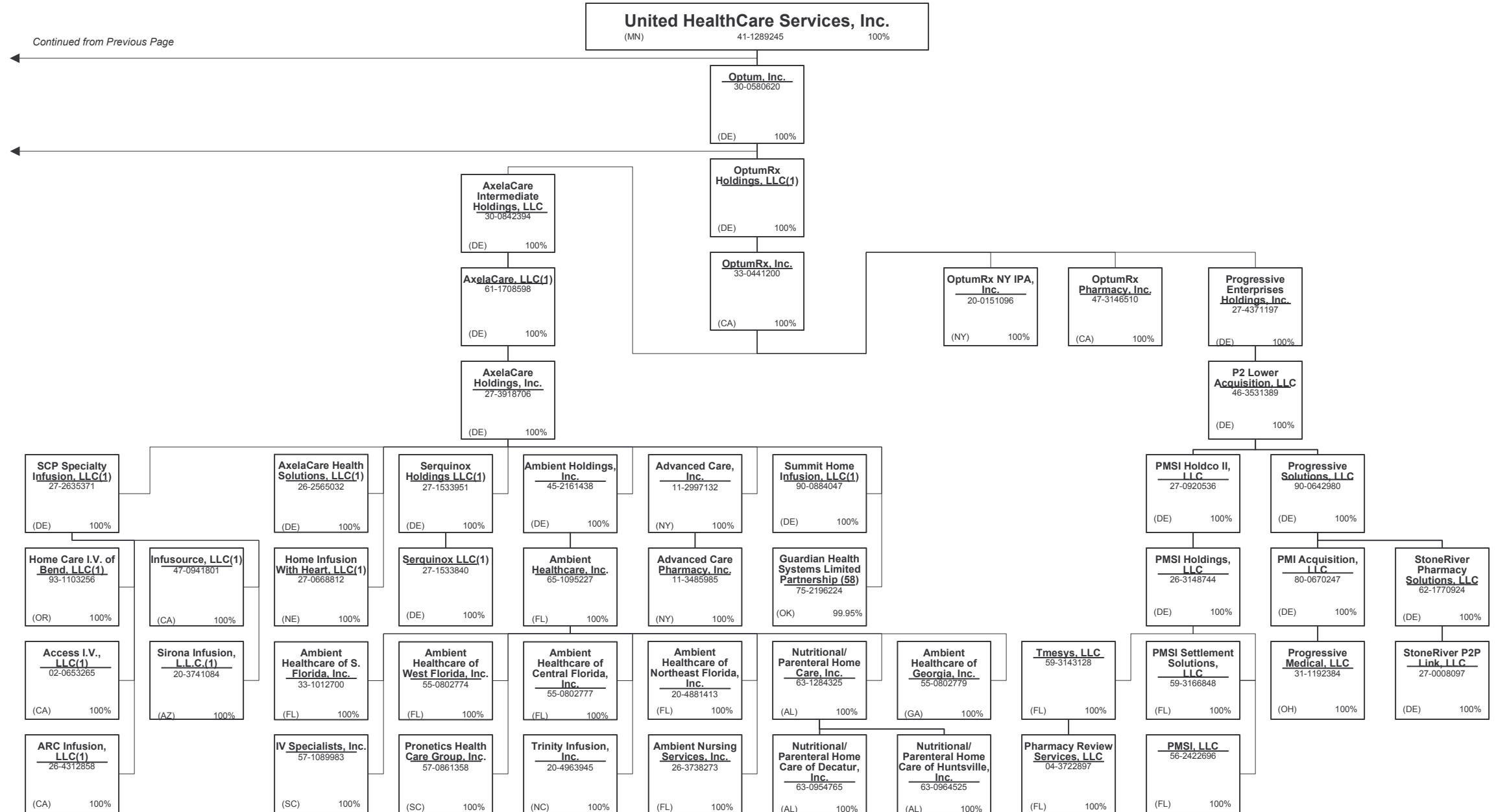
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**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**



15.9

**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**



## SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

### PART 1 – ORGANIZATIONAL CHART

#### Notes

All legal entities on the Organization Chart are Corporations unless otherwise indicated.

- (1) Entity is a Limited Liability Company
- (2) Entity is a Partnership
- (3) Entity is a Non-Profit Corporation
- (4) Control of the Foundation is based on sole membership, not the ownership of voting securities
- (5) COI Participações S.A. is 87.270% owned by Esho – Empresa de Serviços Hospitalares S.A. and 12.729% owned by COIPAR Participações S.A.
- (6) UnitedHealth Group Information Services Private Limited is 100% owned by Optum Global Solutions (India) Private Limited. UnitedHealth International, Inc. holds 10 shares as a nominee shareholder.
- (7) UnitedHealthcare India Private Limited is 99.9935% owned by UnitedHealthcare International II B.V. and 0.0065% owned by UnitedHealth International, Inc.
- (8) General partnership interests are held by United HealthCare Services, Inc. (89.77%) and by UnitedHealthcare, Inc. (10.23%). United HealthCare Services, Inc. also holds 100% of the limited partnership interests. When combining general and limited partner interests, United HealthCare Services, Inc. owns 94.18% and UnitedHealthcare, Inc. owns 5.83%.
- (9) Branch office located in Abu Dhabi, UAE.
- (10) WellMed Medical Management, Inc. is 80% owned by Collaborative Care Holdings, LLC and 20% owned by WMG Healthcare Partners, L.P.
- (11) Seisa Serviços Integrados de Saúde Ltda is 99.99% owned by Amil Assistência Médica Internacional S.A. and 0.000007% owned by Cemed Care – Empresa de Atendimento Clínico Geral Ltda.
- (12) Optum Health & Technology (India) Private Limited is 99.996% owned by OptumHealth International B.V. and 0.004 % owned by United Behavioral Health.
- (13) INSPIRIS of Texas Physician Group is a Texas non-profit (taxable) whose sole member is Inspiris Services Company.
- (14) PrimeCare of Citrus Valley, Inc. is 80% owned by PrimeCare Medical Network, Inc. and 20% owned by Citrus Valley Medical Associates, Inc.
- (15) Optum Clinics Holdings, Inc. is 97.2% owned by Collaborative Care Holdings, LLC and 2.8% is owned by external shareholders.
- (16) Optum Global Solutions (India) Private Limited is 99.9% owned by Optum Global Solutions International B.V. and 0.1% owned by UnitedHealth International, Inc.
- (17) Amico Saúde Ltda. is 98.87947% owned by Amil Assistência Médica Internacional S.A. and 1.12053% owned by Cemed Care – Empresa de Atendimento Clínico Geral Ltda.
- (18) Esho – Empresa de Serviços Hospitalares S.A. is 99.224% owned by Amil Assistência Médica Internacional S.A. and 0.0340693% owned by Treasury Shares and .7409758% owned by external shareholders.
- (19) Etho – Empresa de Tecnologia Hospitalar Ltda. 71.91% owned by Amil Assistência Médica Internacional S.A. and 28.08% owned by an external shareholder.
- (20) Orthology, Inc. is 80% owned by UnitedHealth Group Ventures, LLC and 20% owned by external shareholders.
- (21) Medalliance Net Ltda. is owned 99.999985% by Optum Health & Technology Serviços do Brasil Ltda. and 0.000015% by UHG Brasil Participações S.A.

- (22) Branch offices in Iraq and Uganda.
- (23) Cemed Care Empresa de Atendimento Clínico Geral Ltda. Is 99.9999995% owned by Amil Assistência Médica Internacional S.A. and 0.000005% owned by Amico Saúde Ltda.
- (24) Optum 360, LLC is 69% owned by Optum Rocket, Inc; the remaining 31% is owned by external holders.
- (25) Optum Health & Technology Serviços do Brasil Ltda. is 99.9964% owned by Optum Global Solutions International B.V. and .0036% owned by OptumInsight, Inc.
- (26) Bosque Medical Center Ltda. is 77.55428% owned by Amil Assistência Médica Internacional S.A. and 22.44572% owned by Esho – Empresa de Serviços Hospitalares S.A.
- (27) AHJV, Inc. is 75% owned by NAMM Holdings, Inc. and 25% owned by Humana, Inc.
- (28) Real Appeal, Inc. is majority-owned by UHG or one of its affiliates and the remaining 2% is owned by Real Appeal Management.
- (29) Optum Global Solutions (Philippines), Inc. is 99.992% owned by Optum Global Solutions International B.V., and the remaining 0.008% is held by the company's directors.
- (30) Amil Clinical Research Participações Ltda. is 99.95% owned by Amil Lifesciences Participações Ltda. and 0.05% owned by Cemed Care – Empresa de Atendimento Clínico Geral Ltda.
- (31) Imed Star Serviços de Desempenho Organizacional Ltda. is 99.99998% owned by Optum Health & Technology Serviços do Brasil Ltda and 0.00002% owned by UHG Brasil Participações S.A.
- (32) Hospital de Clínicas de Jacarepaguá Ltda. is 99.99% owned by Esho – Empresa de Serviços Hospitalares S.A. and 0.01% is owned by Cemed Care – Empresa de Atendimento Clínico Geral Ltda.
- (33) Hospital Alvorada Taguatinga Ltda. is 79.62822% owned by Amil Assistência Médica Internacional S.A. 20.37178% by Bosque Medical Center Ltda.
- (34) Amil Lifesciences Participações Ltda. Is 99.999669% owned by Amil Assistência Médica Internacional S.A. and 0.000331% owned by Cemed Care Empresa de Atendimento Clínico Geral Ltda.
- (35) FrontierMEDEX Kenya Limited is 99.9% owned by Frontier MEDEX Limited and 0.1% owned by UnitedHealthcare International I B.V.
- (36) Optum360 Services, Inc. is 69% owned by Optum Rocket, Inc. and 31% owned by two external interest holders.
- (37) The limited partners of UnitedHealth Group International, L.P. include FMG Holdings, LLC (14.8145%), Hygeia Corporation (DE) (0.2012%) and UnitedHealth Group Incorporated (84.9843%). UnitedHealth Group International GP is the general partner of UnitedHealth Group International, L.P.
- (38) Polar II Fundo de Investimento em Participações is a Brazilian private equity investment fund incorporated in the form of a closed-end condominium.
- (39) UnitedHealthcare International III S.á.r.l. is 69.999% owned by UnitedHealthcare Europe S.á.r.l. and 30.001% owned by UnitedHealthcare International II S.á.r.l.
- (40) Amil Assistência Médica Internacional S.A. is 90.23% owned by Polar II Fundo de Investimento em Participações and the remaining 9.77% is owned by the former controlling shareholders of Amil Assistência Médica Internacional S.A.
- (41) Lusíadas A.C.E. is 70% owned by Lusíadas, SGPS, S.A., 10% owned by Lusíadas – Parcerias Cascais, S.A., and 20% owned by Lusíadas, S.A.

- (42) Centro Médico PJ Ltda. is 99.99% owned by Esho – Empresa de Serviços Hospitalares S.A. and 0.01% is owned by Cemed Care – Empresa de Atendimento Clínico Geral Ltda.
- (43) Frontier Medex Tanzania Limited is 99% owned by Frontier MEDEX Limited. The remaining 1% is owned by a former officer of Frontier MEDEX Limited and is being transferred to UnitedHealthcare International I BV.
- (44) Optum Solutions do Brasil – Tecnologia e Serviços de Suporte Ltda., is 99.999998% owned by Optum Global Solutions International B.V. and 0.00002% owned by OptumHealth International B.V.
- (45) Multiangio Ltda. is 68% owned by Esho – Empresa de Serviços Hospitalares S.A. and the remaining 32% is owned by external shareholders.
- (46) Polo Holdco, LLC is 80.1% owned by Collaborative Care Holdings, LLC and the remaining 19.9% being owned by an outside third party.
- (47) Excellion Serviços Biomédicos Ltda is 99.999997% owned by Esho – Empresa de Serviços Hospitalares S.A. and 0.000003% is owned by Cemed Care - Empresa de Atendimento Clínico Geral Ltda.
- (48) Hospital Samaritano de São Paulo Ltda. is 99.9999998% owned by Esho – Empresa de Serviços Hospitalares S.A. and the remaining 0000002% is owned by Hospital Alvorada Taguatinga Ltda.
- (49) Branch office located in Hong Kong.
- (50) Dental Center Serviços Odontológicos Ltda. is 100% owned by Seisa Serviços Integrados de Saúde Ltda.
- (51) Hospital AMA S.A. is 50.48% owned by Esho – Empresa de Serviços Hospitalares S.A. and 49.52% owned by Seisa Serviços Integrados de Saúde Ltda.
- (52) WESTMED Practice Partners LLC is 86.15% owned by Collaborative Care Holdings, LLC and 13.85% owned by external shareholders.
- (53) ProHEALTH Medical Management, LLC is 80% owned by Collaborative Care Holdings, LLC and 20% owned by an external shareholder.
- (54) ProHEALTH Fitness of Lake Success, LLC is 82.62% owned by ProHEALTH Medical Management, LLC and 17.38% by an external shareholder.
- (55) Hospital Maternidade Promater Ltda is 99.99% owned by Esho – Empresa de Serviços Hospitalares S.A. and 0.00006% owned by Seisa Serviços Integrados de Saúde Ltda.
- (56) Hospital Geral e Maternidade Madre Maria Theodora Ltda. is 99.9999% owned by Esho – Empresa de Serviços Hospitalares S.A. and 0.00001% owned by Cemed Care Empresa de Atendimento Clínico Geral Ltda.
- (57) Angiografia e Hemodinâmica Madre Theodora Ltda. is 50% owned by Hospital Geral e Maternidade Madre Maria Theodora Ltda. and 50% owned by 28 individual partners.
- (58) Guardian Health Systems Limited Partnership is 99.95% owned by AxelaCare Holdings, Inc. with the remaining 0.05% interest as a limited partner being held by AxelaCare Health Solutions, LLC.
- (59) TeamMD Holdings, Inc., a Delaware corporation, was formed as an 80% owned subsidiary of UnitedHealth Group Ventures, LLC, a Delaware limited liability company. The remaining 20% is owned by external shareholders.
- (60) Hospitais Associados de Pernambuco Ltda. is 90% owned by Esho – Empresa de Serviços Hospitalares S.A. and 10% is owned by an external shareholder
- (61) Topimagem Diagnóstico por Imagem Ltda. is 89% owned by Esho – Empresa de Serviços Hospitalares S.A., and the remaining 11% interest is owned by external shareholders.
- (62) Dilab – Medicina Nuclear Ltda is 85% owned by Esho – Empresa de Serviços Hospitalares S.A. and the remaining 15% is owned by external shareholders.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		00000	98-1308130		0001363851		1070715 B.C. Unlimited Liability Company	CAN	NIA	OptumRx Group Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2624551				310 Canyon Medical, LLC	CA	NIA	Monarch Management Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	02-0653265				Access I.V., LLC	CA	NIA	SCP Specialty Infusion, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	41-1913523				ACN Group IPA of New York, Inc.	NY	NIA	OptumHealth Care Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-0015861				ACN Group of California, Inc.	CA	IA	OptumHealth Care Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	11-3485985				Advanced Care Pharmacy, Inc.	NY	NIA	Advanced Care, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	11-2997132				Advanced Care, Inc.	NY	NIA	AxelaCare Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	38-3849068				AHJV MSO, Inc.	DE	NIA	AHJV, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	38-3849066				AHJV, Inc.	DE	NIA	NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	22-3493126		0001461390		Alere Health Improvement Company	DE	NIA	Alere Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-2564744		0001460933		Alere Health, LLC	DE	NIA	OptumHealth Care Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	58-1873062		0001156286		Alere of New York, Inc.	NY	NIA	Optum Women's and Children's Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-0231080		0001355945		Alere Wellbeing, Inc.	DE	NIA	Alere Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	54-1776557		0001460931		Alere Wellology, Inc.	DE	NIA	Alere Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	82406	35-1665915				All Savers Insurance Company	IN	IA	Golden Rule Financial Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	73130	35-1744596				All Savers Life Insurance Company of California	CA	IA	Golden Rule Financial Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	55-0802777				Ambient Healthcare of Central Florida, Inc.	FL	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	55-0802779				Ambient Healthcare of Georgia, Inc.	GA	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-4881413				Ambient Healthcare of Northeast Florida, Inc.	FL	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	33-1012700				Ambient Healthcare of S. Florida, Inc.	FL	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	55-0802774				Ambient Healthcare of West Florida, Inc.	FL	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	65-1095227				Ambient Healthcare, Inc.	FL	NIA	Ambient Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	45-2161438				Ambient Holdings, Inc.	DE	NIA	AxelaCare Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-3738273				Ambient Nursing Services, Inc.	FL	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	54-1743136		0001122263		AmeriChoice Corporation	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	54-1743141				AmeriChoice Health Services, Inc.	DE	NIA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95497	22-3368602				AmeriChoice of New Jersey, Inc.	NJ	IA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1108620				Amico Saúde Ltda.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	98.879	UnitedHealth Group Incorporated	
		00000	98-1108620				Amico Saúde Ltda.	BRA	NIA	Cemed Care - Empresa de Atendimento Clínico Geral Ltda.	Ownership	1.121	UnitedHealth Group Incorporated	
		00000			0001447698		Amil Assistência Médica Internacional S.A.	BRA	NIA	Polar II Fundo de Investimento em Participações	Ownership	90.230	UnitedHealth Group Incorporated	1
		00000	98-1109085				Amil Clinical Research Participações Ltda.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	99.950	UnitedHealth Group Incorporated	
		00000	98-1109085				Amil Clinical Research Participações Ltda.	BRA	NIA	Cemed Care - Empresa de Atendimento Clínico Geral Ltda.	Ownership	0.050	UnitedHealth Group Incorporated	
		00000	98-1138212				AMIL International	LUX	NIA	Amil Assistência Médica Internacional S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1110579				Amil Lifesciences Participações Ltda.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1110579				Amil Lifesciences Participações Ltda.	BRA	NIA	Cemed Care - Empresa de Atendimento Clínico Geral Ltda.	Ownership	0.000	UnitedHealth Group Incorporated	
		00000	98-1210271				Angiografia e Hemodinâmica Madre Theodora Ltda.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	50.000	UnitedHealth Group Incorporated	1
		00000	27-2068687				AppleCare Medical Management, LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-4312858				ARC Infusion, LLC	CA	NIA	SCP Specialty Infusion, LLC	Ownership	100.000	UnitedHealth Group Incorporated	

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		00000	86-0813232				Arizona Physicians IPA, Inc.	AZ	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	90-0369702				ASI Global, LLC	TX	NIA	FrontierMEDEX, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-3878957				AssuranceRx, LLC	AL	NIA	BriovaRx, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	47-0990056		0001529111		Audax Health Solutions, LLC	DE	NIA	Rally Health, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	80-0368187				Aveta Arizona, Inc.	AZ	NIA	NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	90-0632302				Aveta Health Solutions Inc.	DE	NIA	NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-4057813		0001355487		Aveta Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2823524				Aveta Kansas City, Inc.	KS	NIA	NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	36-4704309				Aveta Tennessee, Inc.	DE	NIA	NAMM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-2565032				AxelaCare Health Solutions, LLC	DE	NIA	AxelaCare Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-3918706		0001507772		AxelaCare Holdings, Inc.	DE	NIA	AxelaCare, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	30-0842394				AxelaCare Intermediate Holdings, LLC	DE	NIA	OptumRx, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	61-1708598				AxelaCare, LLC	DE	NIA	AxelaCare Intermediate Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	88-0267857				Behavioral Healthcare Options, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1112673				Bosque Medical Center Ltda.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	77.554	UnitedHealth Group Incorporated	
		00000	98-1112673				Bosque Medical Center Ltda.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	22.446	UnitedHealth Group Incorporated	
		00000	11-3647935				BriovaRx of Florida, Inc.	DE	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-1930321				BriovaRx of Georgia, LLC	GA	NIA	BriovaRx, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2348504				BriovaRx of Hawaii, LLC	HI	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	46-2731176				BriovaRx of Indiana, LLC	IN	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	46-2790537				BriovaRx of Louisiana, LLC	LA	NIA	BriovaRx, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	01-0516051		0001601630		BriovaRx of Maine, Inc.	ME	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-3331130				BriovaRx of Massachusetts, LLC	MA	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	45-2532834				BriovaRx of Nevada, LLC	NV	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	74-3103518				BriovaRx of New York, Inc.	NY	NIA	Salveo Specialty Pharmacy, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-2719823				BriovaRx of Texas, Inc.	TX	NIA	BriovaRx of Florida, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	55-0824381		0001601629		BriovaRx, LLC	AL	NIA	BriovaRx of Maine, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	46-1981651				Cardio Management, Inc.	DE	NIA	OrthoNet Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-8375685				Care Improvement Plus Group Management, LLC	MD	NIA	XLHealth Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	12558	45-4976934				Care Improvement Plus of Texas Insurance Company	TX	IA	XLHealth Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	12567	20-3888112				Care Improvement Plus South Central Insurance Company	AR	IA	XLHealth Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	14041	27-5038136				Care Improvement Plus Wisconsin Insurance Company	WI	IA	XLHealth Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1328471				Casa de Saúde Santa Therezinha S.A.	BRA	NIA	Hospital Alvorada de Taguatinga Ltda.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-5807941				Catalyst360, LLC	DE	NIA	Optum Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	46-0666840		0001600768		Catamaran Health Solutions, LLC	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	80-0870454		0001600637		Catamaran Holdings I, LLC	DE	NIA	OptumRx Group Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-0218027				Catamaran IPA III, Inc.	NY	NIA	Catamaran PBM of Illinois II, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-4241298				Catamaran Mail, LLC	DE	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-3419292				Catamaran of Pennsylvania, LLC	DE	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	36-4049815		0001600742		Catamaran PBM of Illinois II, Inc.	IL	NIA	OptumRx PBM of Maryland, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-1424534				Catamaran PBM of Puerto Rico, LLC	NV	NIA	OptumRx PBM of Maryland, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	16-1767416				Catamaran PD of Pennsylvania, LLC	PA	NIA	Catamaran of Pennsylvania, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-1438879				Catamaran PD of Puerto Rico, LLC	NV	NIA	OptumRx PBM of Maryland, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	88-0373347				Catamaran Pharmacy of Nevada, Inc.	NV	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-3633484		0001601643		Catamaran Rebate Management, Inc.	NV	NIA	OptumRx PBM of Maryland, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		00000	98-1069737		0001600973		Catamaran S.á.r.l.	LUX	NIA	OptumRx Group Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-0543382				Catamaran Senior Services, LLC	AL	NIA	Optum Hospice Pharmacy Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1111491				Cemed Care - Empresa de Atendimento Clínico Geral Ltda.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1111491				Cemed Care - Empresa de Atendimento Clínico Geral Ltda.	BRA	NIA	Amico Saúde Ltda.	Ownership	0.000	UnitedHealth Group Incorporated	
		00000	98-1310461				Centro Médico PJ Ltda.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	99.990	UnitedHealth Group Incorporated	
		00000	98-1310461				Centro Médico PJ Ltda.	BRA	NIA	Cemed Care - Empresa de Atendimento Clínico Geral Ltda.	Ownership	0.010	UnitedHealth Group Incorporated	
		00000	98-1094627				ChinaGate (Hong Kong) Limited	HKG	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1094627				ChinaGate Company Limited	CHN	NIA	ChinaGate (Hong Kong) Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1277015				CMS - Central de Manipulação e Serviços Farmacêuticos S.A.	BRA	NIA	COI - Clínicas Oncológicas Integradas S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	56-2674371				Coachella Valley Physicians of PrimeCare, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-1193028				Coalition For Advanced Pharmacy Services, Inc.	DE	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1276040				COI - Clínicas Oncológicas Integradas S.A.	BRA	NIA	COI Participações S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1275801				COI Participações S.A.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	87.270	UnitedHealth Group Incorporated	
		00000	98-1275801				COI Participações S.A.	BRA	NIA	COI Participações S.A.	Ownership	12.730	UnitedHealth Group Incorporated	
		00000	27-2337616				Collaborative Care Holdings, LLC	DE	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2337487				Collaborative Care Services, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-3470466				Collaborative Care Solutions, LLC	DE	NIA	Collaborative Care Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	45-2614005				Collaborative Realty, LLC	NY	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	11-3647007				Comfort Care Transportation, LLC	TX	NIA	WellMed Medical Management, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	61-1351358				Commonwealth Administrators, LLC	KY	NIA	UMR, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-1825933				Connexions HCl, LLC	FL	NIA	Connexions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	59-3684411				Connexions, Inc.	FL	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-5654789				Crescent Drug Corp.	NY	NIA	Salveo Specialty Pharmacy, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-0080565				Cypress Care, Inc.	DE	NIA	Healthcare Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	52-1811176				Day-Op Surgery Consulting Company, LLC	DE	NIA	ProHEALTH Medical Management, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	52-1811176				DBP Services of New York IPA, Inc.	NY	NIA	Dental Benefit Providers, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	52-1452809				Dental Benefit Providers of California, Inc.	CA	IA	Dental Benefit Providers, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	52-1452809				Dental Benefit Providers of Illinois, Inc.	IL	IA	Dental Benefit Providers, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	52053	36-4008355				Dental Benefit Providers, Inc.	DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	41-2014834				Dental Benefit Providers, Inc.	DE	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1285762				Dilab Medicina Nuclear Ltda.	BRA	NIA	OptumHealth Holdings, LLC	Ownership	85.000	UnitedHealth Group Incorporated	1
		00000	30-0238641				Distance Learning Network, Inc.	DE	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	59-3625966				Duncan Printing Services, LLC	SC	NIA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	84-1162764				DWIC of Tampa Bay, Inc.	FL	NIA	MedExpress Development, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1103713				Electronic Network Systems, Inc.	DE	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1103713				ELG FZE	ARE	NIA	Frontier MEDEX Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					Empire Physician Management Co, LLC	CA	NIA	North American Medical Management California, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1111172				Esho - Empresa de Serviços Hospitalares S.A.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	99.225	UnitedHealth Group Incorporated	4

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		.0000	98-1122399				Etho – Empresa de Tecnologia Hospitalar Ltda.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	.71.910	UnitedHealth Group Incorporated	1
		.0000	86-0964571				Evercare Collaborative Solutions, Inc.	DE	NIA	Ovations, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1111239				Excellion Serviços Biomédicos Ltda.	BRA	NIA	Esho – Empresa de Serviços Hospitalares S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1111239				Excellion Serviços Biomédicos Ltda.	BRA	NIA	Cemed Care – Empresa de Atendimento Clínico Geral Ltda.	Ownership	0.000	UnitedHealth Group Incorporated	
		.0000	11-3669765				Executive Health Resources, Inc.	PA	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1259260				Exploration for Mine Clearance LLC	JRO	NIA	Frontier MEDEX Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0223385				Family Health Care Services	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0257036				Family Home Hospice, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	26-4106571				First Rx Specialty and Mail Services, LLC	DE	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	35-2456267				FMG Holdings, LLC	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	86-0908902				FOR HEALTH OF ARIZONA, INC.	AZ	NIA	For Health, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0766617				For Health, Inc.	DE	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1029201				Frontier MEDEX Limited	GBR	NIA	UnitedHealthcare International I B.V.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1172769				Frontier Medex Tanzania Limited	TZA	NIA	Frontier MEDEX Limited	Ownership	99.000	UnitedHealth Group Incorporated	2
		.0000	68-0679514				FrontierMEDEX (RMS), Inc.	DE	NIA	FMG Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	45-5339512				FrontierMEDEX Government Services, LLC	DE	NIA	FMG Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1147103				FrontierMEDEX Kenya Limited	KEN	NIA	Frontier MEDEX Limited	Ownership	99.900	UnitedHealth Group Incorporated	
		.0000	98-1147103				FrontierMEDEX Kenya Limited	KEN	NIA	UnitedHealthcare International I B.V.	Ownership	0.100	UnitedHealth Group Incorporated	
		.0000	98-1101521				FrontierMEDEX Limited	JRO	NIA	Frontier MEDEX Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-1219808				FrontierMEDEX US, Inc.	DE	NIA	FMG Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	52-2230470				FrontierMEDEX, Inc.	MN	NIA	FrontierMEDEX US, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	37-0920164				gethealthinsurance.com Agency Inc.	IN	NIA	Golden Rule Financial Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-3420886				Golden Outlook, Inc.	CA	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	37-0855360				Golden Rule Financial Corporation	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	62286	37-6028756	3057283			Golden Rule Insurance Company	IN	IA	Golden Rule Financial Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	75-2196224				Guardian Health Systems Limited Partnership	OK	NIA	AxelaCare Holdings, Inc.	Ownership	99.950	UnitedHealth Group Incorporated	
		.0000	75-2196224				Guardian Health Systems Limited Partnership	OK	NIA	AxelaCare Health Solutions, LLC	Ownership	0.050	UnitedHealth Group Incorporated	
		.0000	98-0213198				H&W Indemnity (SPC), Ltd.	CYM	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	79480	35-1279304				Harken Health Insurance Company	WI	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	23-2171049				Health Business Systems, Inc.	PA	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	43893	13-3584296				Health Net Insurance of New York, Inc.	NY	IA	Oxford Health Plans LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-0153069				Health Net Services (Bermuda) Ltd.	BMU	NIA	Oxford Health Plans LLC	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	96342	88-0201035				Health Plan of Nevada, Inc.	NV	IA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1098167				Health Technology Analysts Pty Limited	AUS	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	95-4763349				HealthAllies, Inc.	DE	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	77-0693060				Healthcare Solutions, Inc.	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	84-1472832				Highlands Ranch Healthcare, LLC	CO	NIA	Urgent Care MSO, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	93-1103256				Home Care I.V. of Bend, LLC	OR	NIA	SCP Specialty Infusion, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	27-0668812				Home Infusion With Heart, LLC	NE	NIA	AxelaCare Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-8910978				Hospice Inspiris Holdings, Inc.	TN	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1286038				Hospitais Associados de Pernambuco Ltda.	BRA	NIA	Esho – Empresa de Serviços Hospitalares S.A.	Ownership	90.000	UnitedHealth Group Incorporated	1
		.0000	98-1111920				Hospital Alvorada de Taguatinga Ltda.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	79.628	UnitedHealth Group Incorporated	
		.0000	98-1111920				Hospital Alvorada de Taguatinga Ltda.	BRA	NIA	Bosque Medical Center Ltda.	Ownership	20.372	UnitedHealth Group Incorporated	



STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		00000	98-1202916				Hospital AMA S.A.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	50.480	UnitedHealth Group Incorporated	
		00000	98-1202916				Hospital AMA S.A.	BRA	NIA	Seisa Serviços Integrados de Saúde Ltda.	Ownership	49.520	UnitedHealth Group Incorporated	
		00000	98-1203135				Hospital Carlos Chagas S.A.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1310065				Hospital de Clínicas de Jacarepaguá Ltda.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	99.990	UnitedHealth Group Incorporated	
		00000	98-1310065				Hospital de Clínicas de Jacarepaguá Ltda.	BRA	NIA	Camed Care - Empresa de Atendimento Clínico Geral Ltda.	Ownership	0.010	UnitedHealth Group Incorporated	
		00000	98-1284950				Hospital Maternidade Promater Ltda.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1284950				Hospital Maternidade Promater Ltda.	BRA	NIA	Seisa Serviços Integrados de Saúde Ltda.	Ownership	0.000	UnitedHealth Group Incorporated	
		00000	98-1328324				Hospital Samaritano de São Paulo Ltda.	BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1328324				Hospital Samaritano de São Paulo Ltda.	BRA	NIA	Hospital Alvorada de Taguatinga Ltda.	Ownership	0.000	UnitedHealth Group Incorporated	
		00000	26-2912304		0001441730		Humedica, Inc.	DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	36-4331825				Hygeia Corporation	DE	NIA	UnitedHealth International, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1099968				Hygeia Corporation	CAN	NIA	UnitedHealth Group International L.P.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					Imed Star - Serviços de Desempenho Organizacional Ltda.	BRA	NIA	Optum Health & Technology Serviços do Brasil Ltda.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					Imed Star - Serviços de Desempenho Organizacional Ltda.	BRA	NIA	UHG Brasil Participações S.A.	Ownership	0.000	UnitedHealth Group Incorporated	
		00000					Impel Consulting Experts, L.L.C.	TX	NIA	Impel Management Services, L.L.C.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					Impel Management Services, L.L.C.	TX	NIA	USMD Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	47-0941801				Infusource, LLC	CA	NIA	SCP Specialty Infusion, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	62-1641102				Ingram & Associates, LLC	TN	NIA	Optum360, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	88-0482274				inPharmative, Inc.	NV	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	13-4138668				INSPIRIS of New York IPA, Inc.	NY	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	13-4138665				INSPIRIS of New York Management, Inc.	NY	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-5355196				Inspiris of Tennessee, Inc.	TN	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-2885572				INSPIRIS of Texas Physician Group	TX	NIA	Inspiris Services Company	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-0683057				Inspiris Services Company	TN	NIA	Inspiris, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	33-0766366				Inspiris, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1097022				International Psychological Services Pty Limited	AUS	NIA	Optum Health & Technology (Australia) Pty Ltd	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					IRX Financing I LLC	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	57-1089983				IV Specialists, Inc.	SC	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	32-0409538				Lifeprint Accountable Care Organization, LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	45-3143218				Lifeprint East, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2309024				LifePrint Health, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	39-1974851				Logistics Health, Inc.	WI	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1137620				Lusiadas - Parcerias Cascais, S.A.	PRT	NIA	Lusiadas, SGPS, S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1139095				Lusiadas A.C.E.	PRT	NIA	Lusiadas, S.A.	Ownership	70.000	UnitedHealth Group Incorporated	
		00000	98-1139095				Lusiadas A.C.E.	PRT	NIA	Lusiadas, S.A.	Ownership	20.000	UnitedHealth Group Incorporated	
		00000	98-1139095				Lusiadas A.C.E.	PRT	NIA	Lusiadas - Parcerias Cascais, S.A.	Ownership	10.000	UnitedHealth Group Incorporated	
		00000	98-1139089				Lusiadas, S.A.	PRT	NIA	Lusiadas, SGPS, S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1138570				Lusiadas, SGPS, S.A.	PRT	NIA	Amil International	Ownership	100.000	UnitedHealth Group Incorporated	

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		.00000	98-1315536				Mamoco - Mamografia e Ecografia, Centro de Diagnóstico, Lda.	..PT.	..NIA	Lusíadas, S.A.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	52-2129787				MAMSI Insurance Resources, LLC	..MD.	..NIA	OneNet PPO, LLC	Ownership	..100.000	UnitedHealth Group Incorporated	
..0707	UnitedHealth Group Incorporated	.60321	52-1803283				MAMSI Life and Health Insurance Company	..MD.	..IA	United HealthCare Services, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	14-1782475				Managed Physical Network, Inc.	..NY.	..NIA	OptumHealth Care Solutions, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	20-2880404				March Holdings, Inc.	..CA.	..NIA	Specialty Benefits, LLC	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	20-3042852				March Vision Care, Inc.	..CA.	..IA	March Holdings, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					Mat-Rx Development, L.L.C.	..TX.	..NIA	USMD Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					Mat-Rx Fort Worth GP, L.L.C.	..TX.	..NIA	Mat-Rx Development, L.L.C.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	42-1741594				MD Ops, Inc.	..CA.	..NIA	North American Medical Management California, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
..0707	UnitedHealth Group Incorporated	.96310	52-1169135				MD-Individual Practice Association, Inc.	..MD.	..IA	United HealthCare Services, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					Medalliance Net Ltda.	..BRA.	..NIA	Optum Health & Technology Serviços do Brasil Ltda.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					Medalliance Net Ltda.	..BRA.	..NIA	UHG Brasil Participações S.A.	Ownership	..0.000	UnitedHealth Group Incorporated	
		.00000	52-2178531				MEDEX Insurance Services, Inc.	..MD.	..NIA	FrontierMEDEX, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	20-3824377				MedExpress Development, LLC	..FL.	..NIA	Urgent Care MSO, LLC	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	20-2545363				MedExpress Urgent Care of Boynton Beach, LLC	..FL.	..NIA	MedExpress Development, LLC	Ownership	..100.000	UnitedHealth Group Incorporated	
..0707	UnitedHealth Group Incorporated	.00000					MedExpress Urgent Care, Inc. - Ohio	..OH.	..NIA	Urgent Care Holdings, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
..0707	UnitedHealth Group Incorporated	.12756	20-3391186				Medica Health Plans of Florida, Inc.	..FL.	..IA	United HealthCare Services, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.12155	01-0788576				Medica HealthCare Plans, Inc.	..FL.	..IA	United HealthCare Services, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					Medical Clinic of North Texas PLLC	..TX.	..NIA	USMD Affiliated Services	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	26-4808018				Medical Preparatory School of Allied Health, LLC	..TX.	..NIA	WellMed Medical Management, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	32-0037402				Medical Transportation Services, LLC	..FL.	..NIA	United HealthCare Services, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	75-2682287				MedSynergies North Texas, Inc.	..TX.	..NIA	MedSynergies, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	75-2515691		0001012564		MedSynergies, Inc.	..DE.	..NIA	Mustang Razorback Holdings, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					Metro I Stone Management Ltd.	..TX.	..NIA	USMD Inc.	Ownership	..60.000	UnitedHealth Group Incorporated	1
		.00000	27-2252446				MHC Real Estate Holdings, LLC	..CA.	..NIA	Monarch Management Services, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	20-4515146				Mission Road Pharmacy, Inc.	..CA.	..NIA	Salveo Specialty Pharmacy, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	46-3949765				MN Waypoint Sports Physical Therapy, Inc.	..DE.	..NIA	Orthology, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					Mobile Medical Professionals, Inc.	..IA.	..NIA	TeamMD Iowa, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	31-1191553				Modern Medical, Inc.	..OH.	..NIA	Healthcare Solutions, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	45-3142852				Monarch Management Services, Inc.	..DE.	..NIA	Collaborative Care Holdings, LLC	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					MSLA Management LLC	..DE.	..NIA	Logistics Health, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	98-1285432				Multiangio Ltda.	..BRA.	..NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	..68.000	UnitedHealth Group Incorporated	1
		.00000	47-1935798				Mustang Razorback Holdings, Inc.	..DE.	..NIA	OptumInsight, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000					MXMD Centros De Cancer, S. De R.L. De C.V.		..NIA	USMD Cancer Treatment Centers, L.L.C.	Ownership	..50.000	UnitedHealth Group Incorporated	1
		.00000	20-3236839				NAMM Holdings, Inc.	..DE.	..NIA	Aveta Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
..0707	UnitedHealth Group Incorporated	.95251	76-0196559				National Pacific Dental, Inc.	..TX.	..IA	Dental Benefit Providers, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
..0707	UnitedHealth Group Incorporated	.95123	65-0996107				Neighborhood Health Partnership, Inc.	..FL.	..IA	UnitedHealthcare, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	20-4755277				Netwerkes, LLC	..TN.	..NIA	Payment Resolution Services, LLC	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	46-3584152				Nevada Medical Services LLC	..NV.	..NIA	Collaborative Care Services, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
..0707	UnitedHealth Group Incorporated	.95758	88-0228572				Nevada Pacific Dental	..NV.	..IA	Dental Benefit Providers, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	36-3984647				North American Medical Management - Illinois, Inc.	..IL.	..NIA	NAMM Holdings, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	
		.00000	33-0673955				North American Medical Management California, Inc.	..TN.	..NIA	NAMM Holdings, Inc.	Ownership	..100.000	UnitedHealth Group Incorporated	

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		.00000	88-0245121				Northern Nevada Health Network, Inc.	.NV	.NIA	Sierra Health Services, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	63-0954765				Nutritional/Parenteral Home Care of Decatur, Inc.	.AL	.NIA	Nutritional/Parenteral Home Care, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	63-0964525				Nutritional/Parenteral Home Care of Huntsville, Inc.	.AL	.NIA	Nutritional/Parenteral Home Care, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	63-1284325				Nutritional/Parenteral Home Care, Inc.	.AL	.NIA	Ambient Healthcare, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	52-2129786				OneNet PPO, LLC	.MD	.NIA	UnitedHealthcare Insurance Company	Ownership	.100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.96940	52-1518174				Optimum Choice, Inc.	.MD	.IA	United HealthCare Services, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	47-0858534	3202702			Optum Bank, Inc.	.UT	.NIA	OptumHealth Financial Services, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	36-3437660				Optum Biometrics, Inc.	.IL	.NIA	OptumHealth Care Solutions, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	45-3142512				Optum Clinical Services, Inc.	.DE	.NIA	Collaborative Care Holdings, LLC	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	37-1782217		0001641013		Optum Clinics Holdings, Inc.	.DE	.NIA	Collaborative Care Holdings, LLC	Ownership	.97.200	UnitedHealth Group Incorporated	1
		.00000	38-3969193				Optum Clinics Intermediate Holdings, Inc.	.DE	.NIA	Optum Clinics Holdings, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1325466				Optum Global Finance (Ireland) Unlimited Company	.JRL	.NIA	Optum Global Solutions (Ireland) Limited	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1103015				Optum Global Solutions (India) Private Limited	.JND	.NIA	Optum Global Solutions International B.V.	Ownership	.99.900	UnitedHealth Group Incorporated	
		.00000	98-1103015				Optum Global Solutions (India) Private Limited	.JND	.NIA	UnitedHealth International, Inc.	Ownership	.0.100	UnitedHealth Group Incorporated	
		.00000	98-1307821				Optum Global Solutions (Ireland) Limited	.JRL	.NIA	UnitedHealthcare International II S.á.r.l.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1097776				Optum Global Solutions (Philippines), Inc.	.PHL	.NIA	Optum Global Solutions International B.V.	Ownership	.99.992	UnitedHealth Group Incorporated	2
		.00000	98-1201187				Optum Global Solutions International B.V.	.NLD	.NIA	Optum Technology, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	04-3574101				Optum Government Solutions, Inc.	.DE	.NIA	OptumInsight, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000					Optum Health & Technology (Australia) Pty Ltd	.AUS	.NIA	Optum UK Solutions Group Limited	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1095799				Optum Health & Technology (India) Private Limited	.JND	.NIA	OptumHealth International B.V.	Ownership	.99.996	UnitedHealth Group Incorporated	
		.00000	98-1095799				Optum Health & Technology (India) Private Limited	.JND	.NIA	United Behavioral Health	Ownership	.0.004	UnitedHealth Group Incorporated	
		.00000					Optum Health & Technology (Singapore) Pte. Ltd.	.SGP	.NIA	OptumHealth International B.V.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1095879				Optum Health & Technology (UK) Limited	.GBR	.NIA	Optum UK Solutions Group Limited	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	20-2149493				Optum Health & Technology (US), LLC	.MO	.NIA	United Behavioral Health	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	43-1747235				Optum Health & Technology Holdings (US), LLC	.MO	.NIA	Optum, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1184561				Optum Health & Technology Serviços do Brasil Ltda.	.BRA	.NIA	Optum Global Solutions International B.V.	Ownership	.99.996	UnitedHealth Group Incorporated	
		.00000	98-1184561				Optum Health & Technology Serviços do Brasil Ltda.	.BRA	.NIA	OptumInsight, Inc.	Ownership	.0.004	UnitedHealth Group Incorporated	
		.00000	98-1276517				Optum Health and Technology FZ-LLC	.ARE	.NIA	Optum Global Solutions International B.V.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1097921				Optum Health Services (Canada) Ltd.	.CAN	.NIA	Optum Health & Technology Holdings (US), LLC	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	98-1147355				Optum Health Solutions (UK) Limited	.GBR	.NIA	Optum UK Solutions Group Limited	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	58-2068880		0001460656		Optum Healthcare of Illinois, Inc.	.GA	.NIA	Optum Women's and Children's Health, LLC	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	20-0212381				Optum Hospice Pharmacy Services, LLC	.DE	.NIA	Catamaran Health Solutions, LLC	Ownership	.100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.69647	31-0628424				Optum Insurance of Ohio, Inc.	.OH	.IA	OptumRx PBM of Maryland, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	
		.00000	46-4734521				Optum Labs Dimensions, Inc.	.DE	.NIA	Optum Labs, Inc.	Ownership	.100.000	UnitedHealth Group Incorporated	

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		.00000	98-1249178				Optum Labs International (UK) Ltd.	GBR	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	46-1615964				Optum Labs, Inc.	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	98-1209730				Optum Life Sciences (Canada) Inc.	CAN	NIA	OptumInsight Life Sciences, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	98-1098190				Optum Management Consulting (Shanghai) Co., Ltd.	CHN	NIA	Optum Health & Technology Holdings (US), LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	90-1001805				Optum Nevada Accountable Care Organization LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	20-8911466				Optum Palliative and Hospice Care of Pennsylvania, Inc.	TN	NIA	Hospice Inspiris Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	20-8911303				Optum Palliative and Hospice Care of Texas, Inc.	TN	NIA	Hospice Inspiris Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	30-0226127				Optum Palliative and Hospice Care, Inc.	DE	NIA	Collaborative Care Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	20-4581265				Optum Public Sector Solutions, Inc.	DE	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	46-3328009				Optum Rocket, Inc.	DE	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	45-4683454				Optum Services, Inc.	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000					Optum Solutions do Brasil - Tecnologia e Servicos de Suporte Ltda.	BRA	NIA	Optum Global Solutions International B.V.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000					Optum Solutions do Brasil - Tecnologia e Servicos de Suporte Ltda.	BRA	NIA	OptumHealth International B.V.	Ownership	0.000	UnitedHealth Group Incorporated	
		.00000	98-0644599				Optum Solutions UK Holdings Limited	GBR	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	46-5713629				Optum Technology, Inc.	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	98-1097769				Optum UK Solutions Group Limited	GBR	NIA	Optum Solutions UK Holdings Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	58-2205984		0001460641		Optum Women's and Children's Health, LLC	DE	NIA	Alere Health, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	30-0580620	3119994			Optum, Inc.	DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	46-3983926				Optum360 Services, Inc.	DE	NIA	Optum Rocket, Inc.	Ownership	69.000	UnitedHealth Group Incorporated	1
		.00000	46-3328307				Optum360, LLC	DE	NIA	Optum Rocket, Inc.	Ownership	75.000	UnitedHealth Group Incorporated	1
		.00000	41-1591944				OptumHealth Care Solutions, Inc.	MN	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	47-0858530				OptumHealth Financial Services, Inc.	DE	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	47-1192395				OptumHealth Holdings, LLC	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	98-1106868				OptumHealth International B.V.	NLD	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000					OptumInsight Holdings, LLC	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	04-3383745				OptumInsight Life Sciences, Inc.	DE	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	41-1858498				OptumInsight, Inc.	DE	NIA	OptumInsight Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	75-2578509		0001600762		OptumRx Administrative Services, LLC	TX	NIA	Catamaran Holdings I, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	31-1728846				OptumRx Discount Card Services, LLC	DE	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	47-4734235				OptumRx Group Holdings, Inc.	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000					OptumRx Holdings, LLC	DE	NIA	Optum, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	47-1734077				OptumRx Home Delivery of Illinois, LLC	IL	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000					OptumRx Home Delivery of Ohio, Inc.	OH	NIA	First Rx Specialty and Mail Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	20-0151096				OptumRx NY IPA, Inc.	NY	NIA	OptumRx, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	11-2581812		0001600760		OptumRx PBM of Illinois, Inc.	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	88-0361447		0001600759		OptumRx PBM of Maryland, Inc.	NV	NIA	Catamaran Health Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	03-0592263		0001601641		OptumRx PBM of Pennsylvania, LLC	PA	NIA	Catamaran of Pennsylvania, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	38-3693753				OptumRx PBM of Wisconsin, LLC	WI	NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	61-1485410				OptumRx PD of Maryland, Inc.	NV	NIA	OptumRx PBM of Maryland, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	47-3146510				OptumRx Pharmacy, Inc.	DE	NIA	OptumRx, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	33-0441200				OptumRx, Inc.	CA	NIA	OptumRx Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	46-2881462				Orthology Mid-Atlantic, Inc.	DE	NIA	Orthology, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.00000	46-2742615				Orthology, Inc.	DE	NIA	UnitedHealth Group Ventures, LLC	Ownership	80.000	UnitedHealth Group Incorporated	1
		.00000	13-3960641		0001342696		OrtoNet Holdings, Inc.	DE	NIA	OptumHealth Care Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		.0000	13-3818652				OrthoNet LLC	..NY	..NIA	OrthoNet Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	13-4025898				OrthoNet New York IPA, Inc.	..NY	..NIA	OrthoNet Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	30-0029448				OrthoNet of the Mid-Atlantic, Inc.	..DE	..IA	OrthoNet Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	26-2884306				OrthoNet of the South, Inc.	..DE	..NIA	OrthoNet Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	46-1581769				OrthoNet Services, Inc.	..DE	..NIA	OrthoNet Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-0221966				OrthoNet West, Inc.	..DE	..NIA	OrthoNet Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1921007				Ovations, Inc.	..DE	..NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	06-1587795				Oxford Benefit Management, Inc.	..CT	..NIA	Oxford Health Plans LLC	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.78026	22-2797560				Oxford Health Insurance, Inc.	..NY	..IA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.96798	06-1181201				Oxford Health Plans (CT), Inc.	..CT	..IA	Oxford Health Plans LLC	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.95506	22-2745725				Oxford Health Plans (NJ), Inc.	..NJ	..IA	Oxford Health Plans LLC	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.95479	06-1181200				Oxford Health Plans (NY), Inc.	..NY	..IA	Oxford Health Plans LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	52-2443751				Oxford Health Plans LLC	..DE	..NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	46-3531389				P2 Lower Acquisition, LLC	..DE	..NIA	Progressive Enterprises Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.70785	35-1137395				PacifiCare Life and Health Insurance Company	..IN	..IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.84506	95-2829463				PacifiCare Life Assurance Company	..CO	..IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.95617	94-3267522		0001225819		PacifiCare of Arizona, Inc.	..AZ	..IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.95434	84-1011378		0001225822		PacifiCare of Colorado, Inc.	..CO	..IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.95685	86-0875231		0001225835		PacifiCare of Nevada, Inc.	..NV	..IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	62-1451147				Payment Resolution Services, LLC	..TN	..NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	75-3265056				PCCCV, Inc.	..CA	..NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-2447772				PCN DE Corp.	..DE	..NIA	OptumRx PBM of Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000					Perham Physical Therapy, LTD.	..MN	..NIA	Orthology, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	68-0044962				Pharmaceutical Care Network	..CA	..NIA	PCN DE Corp.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	04-3722897				Pharmacy Review Services, LLC	..FL	..NIA	Tmesys, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	35-2288416				PHC Subsidiary Holdings, LLC	..TX	..NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-8016933				PHYS Holding Corp.	..DE	..NIA	MedSynergies, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-8016984				PhyServe Holdings, Inc.	..DE	..NIA	MedSynergies, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	80-0654665				Physician Care Partners, Inc.	..IL	..NIA	North American Medical Management - Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.11494	04-3677255				Physicians Health Choice of Texas, LLC	..TX	..IA	PHC Subsidiary Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	52-1162824				Physicians Health Plan of Maryland, Inc.	..MD	..NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000					Plus One Health Management Puerto Rico, Inc.	..PR	..NIA	Plus One Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	13-3613705				Plus One Holdings, Inc.	..DE	..NIA	OptumHealth Care Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	80-0670247				PMI Acquisition, LLC	..DE	..NIA	PROGRESSIVE SOLUTIONS, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	27-0920536				PMSI Holdco II, LLC	..DE	..NIA	P2 Lower Acquisition, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	26-3148744				PMSI Holdings, LLC	..DE	..NIA	PMSI Holdco II, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	59-3166848				PMSI Settlement Solutions, LLC	..FL	..NIA	PMSI Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	56-2422696				PMSI, LLC	..FL	..NIA	PMSI Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1083164				Polar II Fundo de Investimento em Participações	..BRA	..NIA	S.á.r.l.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	47-5563848				Polo Holdco, LLC	..DE	..NIA	Collaborative Care Holdings, LLC	Ownership	80.100	UnitedHealth Group Incorporated	1
		.0000	75-2741619				ppoONE, Inc.	..DE	..NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	65-0683927				Preferred Care Partners Holding, Corp.	..FL	..NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	26-1845018				Preferred Care Partners Medical Group, Inc.	..FL	..NIA	Preferred Care Partners Holding, Corp.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.11176	65-0885893				Preferred Care Partners, Inc.	..FL	..IA	Preferred Care Partners Holding, Corp.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	75-3265059				Premier Choice ACO, Inc.	..CA	..NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0253112				Prime Health, Inc.	..NV	..NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		.0000	33-0607478				PrimeCare Medical Network, Inc.	CA	IA	NAIM Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	87-0757397				PrimeCare of Citrus Valley, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	80.000	UnitedHealth Group Incorporated	1
		.0000	33-0674407				PrimeCare of Corona, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0674401				PrimeCare of Hemet Valley, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0674408				PrimeCare of Inland Valley, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0674402				PrimeCare of Moreno Valley, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0674400				PrimeCare of Redlands, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0674404				PrimeCare of Riverside, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	14-1915328				PrimeCare of San Bernardino, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0698439				PrimeCare of Sun City, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	33-0674409				PrimeCare of Temecula, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	14-1873402				Procura Management, Inc.	DE	NIA	Healthcare Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	27-4371197				Progressive Enterprises Holdings, Inc.	DE	NIA	OptumRx, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	31-1192384				Progressive Medical, LLC	OH	NIA	PMI Acquisition, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	90-0642980				PROGRESSIVE SOLUTIONS, LLC	DE	NIA	P2 Lower Acquisition, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	32-0229091				ProHEALTH Fitness of Lake Success, LLC	NY	NIA	ProHEALTH Medical Management, LLC	Ownership	82.620	UnitedHealth Group Incorporated	1
		.0000	47-1049961				ProHEALTH Medical Management, LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership	80.000	UnitedHealth Group Incorporated	1
		.0000	45-5470737				ProHealth Physicians ACO, LLC	CT	NIA	ProHealth Physicians, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	06-1446075				ProHealth Physicians, Inc.	CT	NIA	Polo Holdco, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	32-0455430				ProHealth Proton Center Management, LLC	DE	NIA	ProHEALTH Medical Management, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	57-0861358				Proneitics Health Care Group, Inc.	SC	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	52-2016292				Quality Software Services, Inc.	MD	NIA	OptumInsight, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	26-3168754				R&H Family Fitness Unlimited LLC	TX	NIA	WellMed Medical Management, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	35-2493256				Rally Health, Inc.	DE	NIA	Optum Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	80-0947972				Real Appeal, Inc.	DE	NIA	UnitedHealth Group Ventures, LLC	Ownership	98.000	UnitedHealth Group Incorporated	2
		.0000	45-2219585		0001522802		Salveo Specialty Pharmacy, Inc.	DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	27-2635371				SCP Specialty Infusion, LLC	DE	NIA	AxelaCare Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0492251				ScripNet, LLC	DE	NIA	Healthcare Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000					ScriptSwitch Limited	GBR	NIA	Optum UK Solutions Group Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1202716				Seisa Serviços Integrados de Saúde Ltda.	BRA	NIA	Amil Assistência Médica Internacional S.A.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1202716				Seisa Serviços Integrados de Saúde Ltda.	BRA	NIA	Cemed Care - Empresa de Atendimento Clínico Geral Ltda.	Ownership	0.000	UnitedHealth Group Incorporated	
		.0000	20-4763091				Senior Care Partners, Inc.	IL	NIA	North American Medical Management - Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	27-1533951		0001487203		Serquinox Holdings LLC	DE	NIA	AxelaCare Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	27-1533840				Serquinox LLC	DE	NIA	Serquinox Holdings LLC	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.71420	94-0734860				Sierra Health and Life Insurance Company, Inc.	NV	IA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0200415		0000754009		Sierra Health Services, Inc.	NV	NIA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0254322				Sierra Health-Care Options, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0385705				Sierra Home Medical Products, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0264562				Sierra Nevada Administrators, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-3741084				Sirona Infusion, L.L.C.	AZ	NIA	SCP Specialty Infusion, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	88-0201420				Southwest Medical Associates, Inc.	NV	NIA	Sierra Health Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	38-2609888				Southwest Michigan Health Network Inc.	MI	NIA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1921983				Specialty Benefits, LLC	DE	NIA	UnitedHealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	71-0886811				Spectera of New York, IPA, Inc.	NY	NIA	Spectera, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	52-1260282				Spectera, Inc.	MD	NIA	Specialty Benefits, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000					Sports and Spinal Physical Therapy, Inc.	DC	NIA	Orthology, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	46-5587702				Spotlite, Inc.	DE	NIA	Rally Health, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		.0000	27-0008097				StoneRiver P2P Link, LLC	.DE	NIA	StoneRiver Pharmacy Solutions, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	62-1770924				StoneRiver Pharmacy Solutions, LLC	.DE	NIA	PROGRESSIVE SOLUTIONS, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	90-0884047				Summit Home Infusion, LLC	.DE	NIA	AxelaCare Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000					SXC Comet, LLC	.DE	NIA	OptumRx Administrative Services, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	46-1536748				Symphonix Health Holdings, LLC	.DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.84549	38-2044243				Symphonix Health Insurance, Inc.	.IL	IA	Symphonix Health Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000					TeamMD Holdings, Inc.	.DE	NIA	UnitedHealth Group Ventures, LLC	Ownership	80.000	UnitedHealth Group Incorporated	1
		.0000					TeamMD Iowa, Inc.	.DE	NIA	TeamMD Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	56-1970224		0001284028		The Lewin Group, Inc.	.NC	NIA	Optum Public Sector Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	25-1825549				Three Rivers Holdings, Inc.	.DE	NIA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	59-3143128				Tmesys, LLC	.FL	NIA	PMSI Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1287904				Topimagem Diagnóstico por Imagem Ltda.	.BRA	NIA	Esho - Empresa de Serviços Hospitalares S.A.	Ownership	89.000	UnitedHealth Group Incorporated	1
		.0000	52-1431155				Travel Express Incorporated	.MD	NIA	FrontierMEDEX, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-4963945				Trinity Infusion, Inc.	.NC	NIA	Ambient Healthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	94-3077084				U.S. Behavioral Health Plan, California	.CA	IA	United Behavioral Health	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1113428				UHC Global Health Services BC Ltd.	.CAN	NIA	UnitedHealthcare Global Canada Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1913059				UHC International Services, Inc.	.DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	95-2931460		0001225831		UHC of California	.CA	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000					UHG Brasil Participações S.A.	.BRA	NIA	Polar II Fundo de Investimento em Participações	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1921008				UHIC Holdings, Inc.	.DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	14-1892398				Ultima Rx, LLC	.FL	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	39-1995276				UMR, Inc.	.DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.91529	52-1996029				Unimerica Insurance Company	.WI	IA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.11596	01-0637149				Unimerica Life Insurance Company of New York	.NY	IA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	25-1877716				Unison Administrative Services, LLC	.PA	NIA	Three Rivers Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	20-5917714				Unison Health Plan of Delaware, Inc.	.DE	IA	Three Rivers Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
.0707	UnitedHealth Group Incorporated	.13032	26-0651931				Unison Health Plan of the Capital Area, Inc.	.DC	IA	Three Rivers Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	94-2649097				United Behavioral Health	.CA	NIA	OptumHealth Holdings, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1868911				United Behavioral Health of New York, I.P.A., Inc.	.NY	NIA	United Behavioral Health	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1941615				United Health Foundation	.MN	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1289245	3410132	0001310133		United HealthCare Services, Inc.	.MN	UIP	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	30-0318238				United Resource Networks IPA of New York, Inc.	.NY	NIA	OptumHealth Care Solutions, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	01-0538317				UnitedHealth Advisors, LLC	.ME	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1097761				UnitedHealth Group Global Healthcare Services Limited	.JRL	NIA	Optum Global Solutions International B.V.	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1321939	4665014	0000731766	New York Stock Exchange	UnitedHealth Group Incorporated	.DE	UIP			0.000		
		.0000	98-1093259				UnitedHealth Group Information Services Private Limited	.IND	NIA	Optum Global Solutions (India) Private Limited	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1079826				UnitedHealth Group International GP	.CYM	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	98-1080118				UnitedHealth Group International L.P.	.CYM	NIA	UnitedHealth Group International GP	Ownership	84.984	UnitedHealth Group Incorporated	5
		.0000	98-1080118				UnitedHealth Group International L.P.	.CYM	NIA	FMG Holdings, LLC	Ownership	14.815	UnitedHealth Group Incorporated	5
		.0000	98-1080118				UnitedHealth Group International L.P.	.CYM	NIA	Hygeia Corporation	Ownership	0.201	UnitedHealth Group Incorporated	5
		.0000	46-3311984				UnitedHealth Group Ventures, LLC	.DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		.0000	41-1917398				UnitedHealth International, Inc.	.DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	

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STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		00000	26-2574977				UnitedHealth Military & Veterans Services, LLC	DE	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-0559902				UnitedHealth UK Limited	GBR	NIA	Optum Solutions UK Holdings Limited	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95174	33-0115163		0001225840		UnitedHealthcare Benefits of Texas, Inc.	TX	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	47-3221444				UnitedHealthcare Benefits Plan of California	CA	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	46-4348775				UnitedHealthcare Community Plan of California, Inc.	CA	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	13168	26-2688274				UnitedHealthcare Community Plan of Georgia, Inc.	GA	IA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	12323	56-2451429				UnitedHealthcare Community Plan of Ohio, Inc.	OH	IA	Three Rivers Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	11141	91-2008361				UnitedHealthcare Community Plan of Texas, L.L.C.	TX	IA	Ovations, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95467	38-3204052				UnitedHealthcare Community Plan, Inc.	MI	IA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1200034				UnitedHealthcare Consulting & Assistance Service (Beijing) Co., Ltd.	CHN	NIA	UnitedHealthcare International I B.V.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1199879				UnitedHealthcare Europe S.á.r.l.	LUX	NIA	UnitedHealthcare International I S.á.r.l.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1104429				UnitedHealthcare Global Canada Limited	CAN	NIA	UnitedHealthcare International I B.V.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1099116				UnitedHealthcare India Private Limited	IND	NIA	UnitedHealthcare International II B.V.	Ownership	99.994	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	79413	98-1099116				UnitedHealthcare India Private Limited	IND	NIA	UnitedHealth International, Inc.	Ownership	0.007	UnitedHealth Group Incorporated	
		00000	36-2739571				UnitedHealthcare Insurance Company	CT	IA	UHC Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	60318	36-3800349				UnitedHealthcare Insurance Company of Illinois	IL	IA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	60093	11-3283886				UnitedHealthcare Insurance Company of New York	NY	IA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	12231	20-1902768				UnitedHealthcare Insurance Company of the River Valley	IL	IA	UnitedHealthcare Services Company of the River Valley, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	86-0618309				UnitedHealthcare Integrated Services, Inc.	AZ	IA	Ovations, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	41-1988797				UnitedHealthcare International Asia, LLC	DE	NIA	UnitedHealth Group Incorporated	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1100512				UnitedHealthcare International I B.V.	NLD	NIA	UnitedHealth Group International L.P.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1079595				UnitedHealthcare International I S.á.r.l.	LUX	NIA	UnitedHealth Group International L.P.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1100980				UnitedHealthcare International II B.V.	NLD	NIA	UnitedHealthcare International I B.V.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1079459				UnitedHealthcare International II S.á.r.l.	LUX	NIA	UnitedHealthcare Europe S.á.r.l.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1077436				UnitedHealthcare International III S.á.r.l.	LUX	NIA	UnitedHealthcare Europe S.á.r.l.	Ownership	69.999	UnitedHealth Group Incorporated	
		00000	98-1077436				UnitedHealthcare International III S.á.r.l.	LUX	NIA	UnitedHealthcare International II S.á.r.l.	Ownership	30.001	UnitedHealth Group Incorporated	
		00000	98-1080926				UnitedHealthcare International IV S.á.r.l.	LUX	NIA	UnitedHealthcare International II S.á.r.l.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	98-1257473				UnitedHealthcare International V S.á.r.l.	LUX	NIA	Optum Global Solutions (Ireland) Limited	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	97179	86-0207231				UnitedHealthcare Life Insurance Company	WI	IA	Golden Rule Financial Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95784	63-0899562				UnitedHealthcare of Alabama, Inc.	AL	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	96016	86-0507074				UnitedHealthcare of Arizona, Inc.	AZ	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95446	63-1036819				UnitedHealthcare of Arkansas, Inc.	AR	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95090	84-1004639				UnitedHealthcare of Colorado, Inc.	CO	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95264	59-1293865				UnitedHealthcare of Florida, Inc.	FL	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	

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STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
0707	UnitedHealth Group Incorporated	95850	58-1653544				UnitedHealthcare of Georgia, Inc.	GA	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95776	36-3280214				UnitedHealthcare of Illinois, Inc.	IL	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	96644	62-1240316				UnitedHealthcare of Kentucky, Ltd.	KY	IA	United HealthCare Services, Inc.	Ownership	94.180	UnitedHealth Group Incorporated	3
0707	UnitedHealth Group Incorporated	96644	62-1240316				UnitedHealthcare of Kentucky, Ltd.	KY	IA	UnitedHealthcare, Inc.	Ownership	5.820	UnitedHealth Group Incorporated	3
0707	UnitedHealth Group Incorporated	95833	72-1074008				UnitedHealthcare of Louisiana, Inc.	LA	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95716	63-1036817				UnitedHealthcare of Mississippi, Inc.	MS	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95149	05-0413469				UnitedHealthcare of New England, Inc.	RI	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	13214	26-2697886				UnitedHealthcare of New Mexico, Inc.	NM	IA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95085	06-1172891				UnitedHealthcare of New York, Inc.	NY	IA	AmeriChoice Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95103	56-1461010				UnitedHealthcare of North Carolina, Inc.	NC	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95186	31-1142815				UnitedHealthcare of Ohio, Inc.	OH	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	96903	33-0115166				UnitedHealthcare of Oklahoma, Inc.	OK	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95893	93-0938819		0001225824		UnitedHealthcare of Oregon, Inc.	OR	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95220	25-1756858				UnitedHealthcare of Pennsylvania, Inc.	PA	IA	Three Rivers Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95765	95-3939697				UnitedHealthcare of Texas, Inc.	TX	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
							UnitedHealthcare of the Mid-Atlantic, Inc.							
0707	UnitedHealth Group Incorporated	95025	52-1130183				UnitedHealthcare of the Midlands, Inc.	MD	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95591	47-0676824				UnitedHealthcare of the Midlands, Inc.	NE	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	96385	43-1361841				UnitedHealthcare of the Midwest, Inc.	MO	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95501	41-1488563				UnitedHealthcare of Utah, Inc.	UT	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	48038	91-1312551		0001225843		UnitedHealthcare of Washington, Inc.	WA	IA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95710	39-1555888				UnitedHealthcare of Wisconsin, Inc.	WI	IA	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
0707	UnitedHealth Group Incorporated	95378	36-3379945				UnitedHealthcare Plan of the River Valley, Inc.	IL	RE	UnitedHealthcare Services Company of the River Valley, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	47-0854646				UnitedHealthcare Service LLC	DE	NIA	UnitedHealthcare Insurance Company	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	36-3355110				UnitedHealthcare Services Company of the River Valley, Inc.	DE	UDP	UnitedHealthcare, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	01-0518346				UnitedHealthcare Specialty Benefits, LLC	ME	NIA	Specialty Benefits, LLC	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	41-1922511				UnitedHealthcare, Inc.	DE	UIP	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-0382877		0001453198		Urgent Care Holdings, Inc.	DE	NIA	Optum Clinics Intermediate Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-3667220				Urgent Care MSO, LLC	DE	NIA	Urgent Care Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					Urology Associates of North Texas, P.L.L.C.	TX	NIA	USMD Affiliated Services	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					USMD Administrative Services, L.L.C.	TX	NIA	USMD Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2956222				USMD Affiliated Services	TX	NIA	USMD Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					USMD Cancer Treatment Centers GP, L.L.C.	TX	NIA	USMD Cancer Treatment Centers, L.L.C.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	26-2245431				USMD Cancer Treatment Centers, L.L.C.	TX	NIA	USMD Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					USMD CT (Mo), LLC	MO	NIA	USMD Cancer Treatment Centers, L.L.C.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2803133				USMD Diagnostic Services, LLC	TX	NIA	USMD Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-2866866		0001507881		USMD Holdings, Inc.	DE	NIA	WellMed Medical Management, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	20-8050318		0001404693		USMD Inc.	TX	NIA	USMD Holdings, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					USMD of Arlington GP, L.L.C.	TX	NIA	Mat-Rx Development, L.L.C.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					USMD PPM, LLC	TX	NIA	USMD Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	87-0757396				Valley Physicians Network, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000					WellMed Medical Management of Florida, Inc.	FL	NIA	WellMed Medical Management, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	74-2797745				WellMed Medical Management, Inc.	TX	NIA	Collaborative Care Holdings, LLC	Ownership	80.000	UnitedHealth Group Incorporated	1
		00000	74-2786364				WellMed Networks - DFW, Inc.	TX	NIA	USMD Inc.	Ownership	0.000	UnitedHealth Group Incorporated	
		00000	45-0636596				WESTMED Practice Partners LLC	DE	NIA	Collaborative Care Holdings, LLC	Ownership	86.150	UnitedHealth Group Incorporated	1
		00000	52-2102846		0001314524		XLHealth Corporation	MD	NIA	United HealthCare Services, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	

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STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE Y**

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
		00000	98-1107695				XLHealth Corporation India Private Limited	IND	NIA	XLHealth Corporation	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	11-3764012				Your Health Options Insurance Services, Inc.	CA	NIA	PrimeCare Medical Network, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	
		00000	27-0172594				Your Partner in Health Services, Inc.	IL	NIA	North American Medical Management - Illinois, Inc.	Ownership	100.000	UnitedHealth Group Incorporated	

Asterisk	Explanation
1	The remaining percentage is owned by external shareholders, parties, investors, or non-affiliated companies.
2	The remaining percentage is owned by company officers and/or directors.
3	The general partnership interest of 89.77% is held by United HealthCare Services, Inc. (UHS) and 10.23% is held by UnitedHealthcare, Inc. (UHC). UHS also holds 100% of the limited partnership interests. When combining general and limited partner interests, UHS owns 94.18% and UHC owns 5.82%.
4	The remaining 0.7409758% owned by external shareholders and 0.0340693% owned by Treasury Shares.
5	The limited partners of UnitedHealth Group International, L.P. include FMG Holdings, LLC (14.8145%), Hygeia Corporation (DE) (0.2012%) and UnitedHealth Group Incorporated (84.9843%). UnitedHealth Group International GP is the general partner of UnitedHealth Group International, L.P.

# SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing. However, in the event that your company does not transact the type of business for which the special report must be filed, your response of NO to the specific interrogatory will be accepted in lieu of filing a "NONE" report and a bar code will be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and provide an explanation following the interrogatory questions.

	Response
1. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement? .....	NO

Explanation:

1. The Company does not offer stand-alone Medicare Part D product.

Bar Code:

1. Medicare Part D Coverage Supplement [Document Identifier 365]



**OVERFLOW PAGE FOR WRITE-INS**

Additional Write-ins for Assets Line 25

	Current Statement Date			4 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
2504. Prepaid Commissions .....	6,883	6,883	0	0
2505. Premium Tax Receivable .....	0	0	0	356,850
2506. TennCare Incentive Receivable .....	0	0	0	264,000
2597. Summary of remaining write-ins for Line 25 from overflow page	6,883	6,883	0	620,850

**SCHEDULE A - VERIFICATION**

Real Estate

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

NONE

**SCHEDULE B - VERIFICATION**

Mortgage Loans

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

NONE

**SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year	17,777,164	19,971,369
2. Cost of acquired:		
2.1 Actual cost at time of acquisition	9,387	0
2.2 Additional investment made after acquisition	0	0
3. Capitalized deferred interest and other	0	0
4. Accrual of discount	0	0
5. Unrealized valuation increase (decrease)	0	0
6. Total gain (loss) on disposals	0	0
7. Deduct amounts received on disposals	0	26,889
8. Deduct amortization of premium and depreciation	1,562,799	2,167,316
9. Total foreign exchange change in book/adjusted carrying value	0	0
10. Deduct current year's other than temporary impairment recognized	0	0
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10)	16,223,752	17,777,164
12. Deduct total nonadmitted amounts	0	0
13. Statement value at end of current period (Line 11 minus Line 12)	16,223,752	17,777,164

**SCHEDULE D - VERIFICATION**

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year	617,059,033	771,961,443
2. Cost of bonds and stocks acquired	222,344,062	210,976,645
3. Accrual of discount	92,719	100,605
4. Unrealized valuation increase (decrease)	0	0
5. Total gain (loss) on disposals	3,132,900	4,878,623
6. Deduct consideration for bonds and stocks disposed of	192,336,977	360,952,842
7. Deduct amortization of premium	6,883,730	9,905,441
8. Total foreign exchange change in book/adjusted carrying value	0	0
9. Deduct current year's other than temporary impairment recognized	252,042	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	643,155,965	617,059,033
11. Deduct total nonadmitted amounts	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	643,155,965	617,059,033

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE D - PART 1B**

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

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a) .....	610,008,852	1,960,631,325	1,934,175,237	(2,258,352)	633,704,232	610,008,852	634,206,588	788,781,078
2. NAIC 2 (a) .....	75,365,640	8,990,638	7,485,941	(108,910)	78,305,032	75,365,640	76,761,427	80,972,185
3. NAIC 3 (a) .....	0	0	0	0	1,163,940	0	0	0
4. NAIC 4 (a) .....	0	0	0	0	837,500	0	0	0
5. NAIC 5 (a) .....	0	0	0	0	0	0	0	0
6. NAIC 6 (a) .....	0	0	0	0	0	0	0	0
7. Total Bonds	685,374,492	1,969,621,963	1,941,661,178	(2,367,262)	714,010,704	685,374,492	710,968,015	869,753,263
<b>PREFERRED STOCK</b>								
8. NAIC 1 .....	0	0	0	0	0	0	0	0
9. NAIC 2 .....	0	0	0	0	0	0	0	0
10. NAIC 3 .....	0	0	0	0	0	0	0	0
11. NAIC 4 .....	0	0	0	0	0	0	0	0
12. NAIC 5 .....	0	0	0	0	0	0	0	0
13. NAIC 6 .....	0	0	0	0	0	0	0	0
14. Total Preferred Stock	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock	685,374,492	1,969,621,963	1,941,661,178	(2,367,262)	714,010,704	685,374,492	710,968,015	869,753,263

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of non-rated short-term and cash equivalent bonds by NAIC designation: NAIC 1 \$ .....11,621,175 ; NAIC 2 \$ .....3,463,618 ; NAIC 3 \$ .....0 ; NAIC 4 \$ .....0 ; NAIC 5 \$ .....0 ; NAIC 6 \$ .....0

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**SCHEDULE DA - PART 1**

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Par Value	Actual Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals	66,160,626	xxx	66,251,474	203,062	42,720

**SCHEDULE DA - VERIFICATION**

Short-Term Investments

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	243,892,130	159,021,114
2. Cost of short-term investments acquired .....	4,777,268,257	6,539,959,279
3. Accrual of discount .....	15,281	8,894
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	1,946	0
6. Deduct consideration received on disposals .....	4,954,771,579	6,454,581,881
7. Deduct amortization of premium .....	245,409	515,276
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	66,160,626	243,892,130
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	66,160,626	243,892,130

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards

**N O N E**

Schedule DB - Part B - Verification - Futures Contracts

**N O N E**

Schedule DB - Part C - Section 1 - Replication (Synthetic Asset) Transactions (RSATs) Open

**N O N E**

Schedule DB-Part C-Section 2-Reconciliation of Replication (Synthetic Asset) Transactions Open

**N O N E**

Schedule DB - Verification - Book/Adjusted Carrying Value, Fair Value and Potential Exposure of  
Derivatives

**N O N E**



**SCHEDULE E - VERIFICATION**

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	8,802,099	854,878
2. Cost of cash equivalents acquired .....	3,196,132	11,439,772
3. Accrual of discount .....	1,510	314
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	0	0
6. Deduct consideration received on disposals .....	10,345,000	3,486,000
7. Deduct amortization of premium .....	3,317	6,865
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	1,651,424	8,802,099
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	1,651,424	8,802,099

Schedule A - Part 2 - Real Estate Acquired and Additions Made

**N O N E**

Schedule A - Part 3 - Real Estate Disposed

**N O N E**

Schedule B - Part 2 - Mortgage Loans Acquired and Additions Made

**N O N E**

Schedule B - Part 3 - Mortgage Loans Disposed, Transferred or Repaid

**N O N E**

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE BA - PART 2**

Showing Other Long-Term Invested Assets ACQUIRED AND ADDITIONS MADE During the Current Quarter

1 CUSIP Identification	2 Name or Description	3 Location		5 Name of Vendor or General Partner	6 NAIC Designation	7 Date Originally Acquired	8 Type and Strategy	9 Actual Cost at Time of Acquisition	10 Additional Investment Made After Acquisition	11 Amount of Encumbrances	12 Commitment for Additional Investment	13 Percentage of Ownership
		City	State									
	Enterprise N Guar Fed LIHTC PrvPlc CS		US	Enterprise	8/27/2013	08/27/2013		9,387	0	0	0	0.000
	3399999. Non-Guaranteed Federal Low Income Housing Tax Credit - Unaffiliated							9,387	0	0	0	XXX
	4499999. Total - Unaffiliated							9,387	0	0	0	XXX
	4599999. Total - Affiliated							0	0	0	0	XXX
4699999 - Totals												

**SCHEDULE BA - PART 3**

Showing Other Long-Term Invested Assets DISPOSED, Transferred or Repaid During the Current Quarter

1 CUSIP Identification	2 Name or Description	3 Location		5 Name of Purchaser or Nature of Disposal	6 Date Originally Acquired	7 Disposal Date	8 Book/ Adjusted Carrying Value Less Encum- brances, Prior Year	9 Change in Book/Adjusted Carrying Value						15 Book/ Adjusted Carrying Value Less Encum- brances on Disposal	16 Consid- eration	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Invest- ment Income
		City	State					9 Unrealized Valuation Increase (De- crease)	10 Current Year's (Depre- ciation) or (Amorti- zation)/ Accretion	11 Current Year's Other Than Temporary Impair- ment Recog- nized	12 Capital- ized Deferred Interest and Other	13 Total Change in Book/ Adjusted Carrying Value (9+10- 11+12)	14 Total Foreign Exchange Change in Book/ Adjusted Carrying Value						
	US Bancorp Guar Fed LIHTC Fd 2012-5 Prv P		GA	Paydown	07/02/2012	08/15/2016	538,632	0	(538,632)	0	0	(538,632)	0	538,632	0	0	0	0	0
	3199999. Guaranteed Federal Low Income Housing Tax Credit - Unaffiliated						538,632	0	(538,632)	0	0	(538,632)	0	538,632	0	0	0	0	0
	Enterprise N Guar Fed LIHTC PrvPlc CS		US	Paydown	08/27/2013	08/15/2016	1,024,167	0	(1,024,167)	0	0	(1,024,167)	0	1,024,167	0	0	0	0	0
	3399999. Non-Guaranteed Federal Low Income Housing Tax Credit - Unaffiliated						1,024,167	0	(1,024,167)	0	0	(1,024,167)	0	1,024,167	0	0	0	0	0
	4499999. Total - Unaffiliated						1,562,799	0	(1,562,799)	0	0	(1,562,799)	0	1,562,799	0	0	0	0	0
	4599999. Total - Affiliated						0	0	0	0	0	0	0	0	0	0	0	0	0
4699999 - Totals																			

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE D - PART 3**

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

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation or Market Indicator (a)
912828-D4-9	US Treasury Note 0.875% 08/15/17		07/06/2016	Harris Nesbitt Corp		2,208,594	2,200,000	7,563	1
912828-S7-6	US Treasury Note 1.125% 07/31/21		08/04/2016	Barclays Group Inc		5,319,668	5,300,000	810	1
912828-UA-6	US Treasury Note 0.625% 11/30/17		07/15/2016	Harris Nesbitt Corp		1,499,180	1,500,000	1,230	1
912828-UR-9	US Treasury Note 0.750% 02/28/18		08/26/2016	CitiGroup		998,984	1,000,000	3,709	1
<b>0599999. Subtotal - Bonds - U.S. Governments</b>						10,026,426	10,000,000	13,312	XXX
3130A8-QS-5	FHLB Note Non Call 1.125% 07/14/21		08/04/2016	CitiGroup		5,090,738	5,100,000	3,347	1FE
3138E0-K8-4	FNMA Pool AL7518 MBS 3.500% 10/01/45		07/21/2016	Merrill Lynch		1,101,249	1,032,220	2,509	1
3140F1-YH-9	FNMA Pool BC6111 MBS 3.500% 06/01/46		08/15/2016	Merrill Lynch		2,140,948	1,993,608	3,295	1
3140F5-DT-7	FNMA Pool BC9113 MBS 3.500% 05/01/46		08/12/2016	Merrill Lynch		671,993	627,664	854	1
3140F9-RX-5	FNMA Pool BD2301 MBS 3.000% 06/01/46		08/05/2016	Nomura Securities		2,078,786	1,993,741	1,163	1
45470R-CS-3	INDIANA ST FIN A Rev Bond Non Call 5.000% 12/01/24		08/19/2016	Jefferys and Company		3,191,925	2,500,000	0	1FE
928172-Q2-4	VIRGINIA ST PUBL Rev Bond Non Call 5.000% 08/01/21		09/21/2016	Wachovia Bank		1,591,016	1,350,000	0	1FE
<b>3199999. Subtotal - Bonds - U.S. Special Revenues</b>						15,866,655	14,597,233	11,168	XXX
0258M0-DS-5	AMERICAN EXPRESS Corp Note Non Call 1.166% 09/22/17		08/01/2016	Deutsche Bank		494,545	495,000	580	1FE
03065D-AF-4	AmeriCredit Auto AMCAR 2016-3 C ABS 2.240% 04/08/22		08/02/2016	CitiGroup		2,669,775	2,670,000	0	1FE
037833-BZ-2	APPLE INC Corp Note Call MW 2.450% 08/04/26		07/28/2016	JP Morgan Chase		1,037,161	1,040,000	0	1FE
06051G-ET-2	BANK OF AMER CRP Corp Note Non Call 2.000% 01/11/18		08/03/2016	US Bank		755,468	750,000	1,125	2FE
084670-BX-5	BERKSHIRE HATHWY Corp Note MW 1.150% 08/15/18		08/08/2016	Wells Fargo		155,981	156,000	0	1FE
12594J-AA-3	COMM MORTGAGE TR COMM 2016-GCT A CMBS Prv Plc 2.681% 08/10/29		07/25/2016	Deutsche Bank		1,153,566	1,120,000	1,335	1FE
172967-JH-5	CITIGROUP INC Corp Note Non Call 1.800% 02/05/18		08/05/2016	Market Axess		602,814	600,000	150	2FE
172967-KN-0	CITIGROUP INC Corp Note Non Call 3.400% 05/01/26		07/25/2016	Various		530,246	535,000	4,345	2FE
174610-AN-5	CITIZENS FIN GRP Corp Note Call 2.375% 07/28/21		07/25/2016	Credit Suisse		1,054,451	1,055,000	0	2FE
198280-AF-6	COLUMBIA PIPELIN Corp Note Call MW 4.500% 06/01/25		09/19/2016	Various		790,898	735,000	9,962	2FE
224044-CG-0	COX COMMUN INC Corp Note Call MW Prv Plc 3.350% 09/15/26		09/08/2016	Wachovia Bank		204,654	205,000	0	2FE
25468P-DM-5	WALT DISNEY CO Corp Note MW 1.850% 07/30/26		07/07/2016	Merrill Lynch		851,704	870,000	0	1FE
25746U-CJ-6	DOMINION RES Corp Note Call MW 2.000% 08/15/21		08/04/2016	Mizuho Investor Sec Co		788,870	790,000	0	2FE
36962G-X6-6	GEN ELEC CAP CRP Corp Note Non Call 1.058% 08/07/18		08/18/2016	Deutsche Bank		417,869	417,000	184	1FE
38143U-BH-7	GOLDMAN SACHS GP Corp Note Call 3.750% 02/25/26		08/04/2016	Barclays Group Inc		528,145	500,000	8,542	1FE
437076-BN-1	HOME DEPOT INC Corp Note Call MW 2.125% 09/15/26		09/06/2016	Merrill Lynch		662,657	670,000	0	1FE
446438-RL-9	HUNTINGTON NATL Corp Note Call 1.700% 02/26/18		08/03/2016	Pierpont Securities LLC		266,261	265,000	2,027	1FE
459745-GF-6	INTL LEASE FIN Corp Note Non Call 8.250% 12/15/20		07/27/2016	Morgan Stanley		546,188	450,000	4,538	2FE
459745-QH-2	INTL LEASE FIN Corp Note Non Call 6.250% 05/15/19		09/06/2016	CitiGroup		301,081	275,000	5,443	2FE
459745-GL-3	INTL LEASE FIN Corp Note Non Call 5.875% 04/01/19		09/06/2016	Goldman Sachs		184,221	170,000	4,383	2FE
50116W-AC-9	Kubota Credit Ov KCOT 16-1A A3 ABS PRV PLC 1.500% 07/15/20		07/26/2016	JP Morgan Chase		1,454,644	1,455,000	0	1FE
59217G-BS-7	MET LIFE GLOB Corp Note Non Call Prv Plc 1.350% 09/14/18		09/08/2016	Merrill Lynch		299,859	300,000	0	1FE
61761J-3R-8	MORGAN STANLEY Corp Note MW 3.125% 07/27/26		07/20/2016	Morgan Stanley		511,498	515,000	0	1FE
63946C-AB-4	NBCUNIVERSAL ENT Corp Note Non Call Prv Plc 1.365% 04/15/18		07/28/2016	Wells Fargo		853,361	848,000	480	1FE
654740-AQ-2	NISSAN MOTOR ACC Corp Note Non Call Prv Plc 1.372% 09/13/19		09/07/2016	CitiGroup		364,000	364,000	0	1FE
86765B-AT-6	SUNOCO LOGISTICS Corp Note Call MW 3.900% 07/15/26		07/07/2016	Mizuho Investor Sec Co		319,027	320,000	0	2FE
887317-BA-2	TIME WARNER INC Corp Note Call MW 2.950% 07/15/26		08/05/2016	Wachovia Bank		713,342	700,000	5,163	2FE
91159H-HN-3	US BANCORP Corp Note Call 2.375% 07/22/26		07/19/2016	US Bank		1,310,338	1,320,000	0	1FE
922776-AG-2	VENTAS REALTY LP Corp Note Call MW 4.125% 01/15/26		07/28/2016	Merrill Lynch		545,546	505,000	984	2FE
92343V-AL-8	VERIZON COMM INC Corp Note MW 30BP 5.500% 02/15/18		07/06/2016	Mizuho Investor Sec Co		373,916	350,000	7,807	2FE
92976W-BH-8	WACHOVIA CORP Corp Note Non Call 5.750% 02/01/18		08/05/2016	Merrill Lynch		958,869	900,000	1,294	1FE
89114Q-BN-7	TORONTO DOM BANK Corp Note Non Call 1.450% 09/06/18	A.	08/29/2016	Toronto Dominion Sec		1,339,759	1,340,000	0	1FE
202740-HV-4	COM BK AUSTRALIA Corp Note Non Call Prv Plc 1.375% 09/06/18	F.	08/29/2016	Goldman Sachs		1,143,202	1,145,000	0	1FE
88167A-AD-3	TEVA PHARMACEUCL Corp Note MW 2.800% 07/21/23	F.	07/18/2016	Barclays Group Inc		373,744	375,000	0	2FE
<b>3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)</b>						24,577,660	24,205,000	58,322	XXX
<b>8399997. Total - Bonds - Part 3</b>						50,470,741	48,802,233	82,802	XXX
<b>8399998. Total - Bonds - Part 5</b>						XXX	XXX	XXX	XXX
<b>8399999. Total - Bonds</b>						50,470,741	48,802,233	82,802	XXX
<b>8999997. Total - Preferred Stocks - Part 3</b>						0	XXX	0	XXX
<b>8999998. Total - Preferred Stocks - Part 5</b>						XXX	XXX	XXX	XXX
<b>8999999. Total - Preferred Stocks</b>						0	XXX	0	XXX
<b>9799997. Total - Common Stocks - Part 3</b>						0	XXX	0	XXX
<b>9799998. Total - Common Stocks - Part 5</b>						XXX	XXX	XXX	XXX
<b>9799999. Total - Common Stocks</b>						0	XXX	0	XXX

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE D - PART 3**

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

1 CUSIP Identification	2 Description	3 Foreign	4 Date Acquired	5 Name of Vendor	6 Number of Shares of Stock	7 Actual Cost	8 Par Value	9 Paid for Accrued Interest and Dividends	10 NAIC Designation or Market Indicator (a)
9899999. Total - Preferred and Common Stocks						0	XXX	0	XXX
9999999 - Totals						50,470,741	XXX	82,802	XXX

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

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation or Market Indicator (a)
36179R-BW-8	GNMA Pool MA2753 MBS 3.000% 04/20/45		08/03/2016	Goldman Sachs		2,280,279	2,175,417	2,248,328	2,247,049	.0	.379	.0	.379	.0	2,247,428	.0	32,851	32,851	44,777	04/20/2045	1
36179R-BW-8	GNMA Pool MA2753 MBS 3.000% 04/20/45		08/01/2016	Paydown		83,391	83,391	86,186	86,137	.0	(2,746)	.0	(2,746)	.0	83,391	.0	.0	.0	1,577	04/20/2045	1
36220N-VU-8	GNMA Pool 283327 MBS 9.000% 12/15/19		09/01/2016	Paydown		796	796	796	797	.0	.2	.0	.2	.0	796	.0	.0	.0	48	12/15/2019	1
91282B-P8-7	US Treasury Note 1.125% 02/28/21		08/03/2016	Barclays Group Inc.		5,321,324	5,300,000	5,284,473	.0	.0	1,290	.0	1,290	.0	5,285,763	.0	35,562	35,562	25,438	02/28/2021	1
91282B-QX-1	US Treasury Note 1.500% 07/31/16		07/31/2016	Maturity		1,600,000	1,600,000	1,630,813	1,610,262	.0	(10,262)	.0	(10,262)	.0	1,600,000	.0	.0	.0	24,000	07/31/2016	1
91282B-VR-8	US Treasury Note 0.625% 08/15/16		08/15/2016	Maturity		1,650,000	1,650,000	1,653,182	1,651,180	.0	(1,180)	.0	(1,180)	.0	1,650,000	.0	.0	.0	10,313	08/15/2016	1
91282B-VW-7	US Treasury Note 0.875% 09/15/16		09/15/2016	Maturity		1,000,000	1,000,000	1,004,453	1,003,091	.0	(3,091)	.0	(3,091)	.0	1,000,000	.0	.0	.0	8,750	09/15/2016	1
0599999	Subtotal - Bonds - U.S. Governments					11,935,790	11,809,604	11,908,232	6,598,514	0	(15,608)	0	(15,608)	0	11,867,378	0	68,413	68,413	114,903	XXX	XXX
3128MJ-VZ-0	FHLMC Pool G08631 MBS 3.000% 03/01/45		09/01/2016	Paydown		66,055	66,055	67,400	67,464	.0	(1,409)	.0	(1,409)	.0	66,055	.0	.0	.0	1,370	03/01/2045	1
3128PC-2X-9	FHLMC Pool J01690 MBS 5.500% 04/01/21		09/01/2016	Paydown		4,657	4,657	4,655	4,652	.0	.5	.0	.5	.0	4,657	.0	.0	.0	162	04/01/2021	1
3128PE-4K-1	FHLMC Pool J03526 MBS 6.000% 10/01/21		09/01/2016	Paydown		8,952	8,952	9,101	9,036	.0	(83)	.0	(83)	.0	8,952	.0	.0	.0	336	10/01/2021	1
3128PE-4P-0	FHLMC Pool J03530 MBS 6.000% 10/01/21		09/01/2016	Paydown		1,939	1,939	1,966	1,954	.0	(15)	.0	(15)	.0	1,939	.0	.0	.0	78	10/01/2021	1
3128PL-PR-7	FHLMC Pool J08532 MBS 5.500% 08/01/23		09/01/2016	Paydown		53,679	53,679	54,283	54,101	.0	(422)	.0	(422)	.0	53,679	.0	.0	.0	1,798	08/01/2023	1
3128PV-WF-5	FHLMC Pool J15146 MBS 4.500% 04/01/26		09/01/2016	Paydown		30,609	30,609	32,536	32,220	.0	(1,611)	.0	(1,611)	.0	30,609	.0	.0	.0	1,014	04/01/2026	1
3128PV-AA-2	FHLMC Pool J15427 MBS 4.500% 05/01/26		09/01/2016	Paydown		20,232	20,232	21,515	20,232	.0	(1,078)	.0	(1,078)	.0	20,232	.0	.0	.0	550	05/01/2026	1
3128PV-F3-9	FHLMC Pool J15586 MBS 4.500% 06/01/26		09/01/2016	Paydown		6,698	6,698	7,121	7,058	.0	(359)	.0	(359)	.0	6,698	.0	.0	.0	202	06/01/2026	1
312906-FZ-8	FHLMC FHR 1105 Cls EZ CMO 7.950% 07/01/21		09/08/2016	Paydown		20	20	20	20	.0	.0	.0	.0	.0	20	.0	.0	.0	.0	07/01/2021	1
312926-2P-2	FHLMC Pool A80782 MBS 6.000% 08/01/38		09/01/2016	Paydown		452	452	460	460	.0	(8)	.0	(8)	.0	452	.0	.0	.0	18	08/01/2038	1
31292L-YA-7	FHLMC Pool C04305 MBS 3.000% 11/01/42		09/01/2016	Paydown		18,153	18,153	18,930	18,884	.0	(731)	.0	(731)	.0	18,153	.0	.0	.0	374	11/01/2042	1
312972-LE-0	FHLMC Pool B19325 MBS 5.000% 05/01/20		09/01/2016	Paydown		5,400	5,400	5,291	5,344	.0	56	.0	56	.0	5,400	.0	.0	.0	179	05/01/2020	1
31326T-PY-7	FHLMC Pool Q08239 MBS 3.500% 05/01/42		09/01/2016	Paydown		37,050	37,050	38,255	38,247	.0	(1,197)	.0	(1,197)	.0	37,050	.0	.0	.0	877	05/01/2042	1
31326V-JF-0	FHLMC Pool Q09862 MBS 3.500% 08/01/42		09/01/2016	Paydown		2,546	2,546	2,722	2,711	.0	(164)	.0	(164)	.0	2,546	.0	.0	.0	59	08/01/2042	1
3132HQ-DB-5	FHLMC Pool Q13698 MBS 3.000% 12/01/42		09/01/2016	Paydown		9,665	9,665	10,121	10,095	.0	(430)	.0	(430)	.0	9,665	.0	.0	.0	193	12/01/2042	1
3132HQ-M4-1	FHLMC Pool Q13979 MBS 3.000% 12/01/42		09/01/2016	Paydown		35,389	35,389	37,048	36,950	.0	(1,561)	.0	(1,561)	.0	35,389	.0	.0	.0	784	12/01/2042	1
3132JA-PW-9	FHLMC Pool Q19036 MBS 3.500% 06/01/43		09/01/2016	Paydown		47,371	47,371	49,103	49,090	.0	(1,719)	.0	(1,719)	.0	47,371	.0	.0	.0	1,127	06/01/2043	1
3132MA-VC-2	FHLMC Pool Q29911 MBS 3.500% 11/01/44		09/01/2016	Paydown		78,210	78,210	82,292	82,212	.0	(4,002)	.0	(4,002)	.0	78,210	.0	.0	.0	1,853	11/01/2044	1
3132QL-BR-3	FHLMC Pool Q30047 MBS 3.500% 11/01/44		09/01/2016	Paydown		5,301	5,301	5,488	5,487	.0	(187)	.0	(187)	.0	5,301	.0	.0	.0	123	11/01/2044	1
3132QM-BF-3	FHLMC Pool Q31769 MBS 4.000% 03/01/45		09/01/2016	Paydown		53,977	53,977	57,376	57,360	.0	(3,383)	.0	(3,383)	.0	53,977	.0	.0	.0	1,439	03/01/2045	1
3132QN-XX-2	FHLMC Pool Q32493 MBS 4.000% 04/01/45		09/01/2016	Paydown		81,089	81,089	86,132	86,115	.0	(5,025)	.0	(5,025)	.0	81,089	.0	.0	.0	1,908	04/01/2045	1
3132QQ-TV-4	FHLMC Pool Q34163 MBS 3.500% 06/01/45		09/01/2016	Paydown		19,289	19,289	20,218	.0	(928)	.0	(928)	.0	19,289	.0	.0	.0	282	06/01/2045	1	
313550-K3-6	FNMA Note Non Call 2.125% 04/24/26		08/03/2016	Citi Group		2,726,422	2,676,422	2,676,227	.0	(346)	.0	(346)	.0	2,675,881	.0	50,541	50,541	15,387	04/24/2026	1	
313550-ZR-7	FNMA Note Non Call 2.625% 09/06/24		08/03/2016	BMO HARRIS BANK N.A.		5,466,129	5,100,000	5,357,463	.0	(4,882)	.0	(4,882)	.0	5,352,581	.0	113,548	113,548	55,038	09/06/2024	1	
3136AN-GF-8	FNMA 2015-22 HT CMO 3.000% 04/25/45		09/01/2016	Paydown		53,825	53,825	56,037	55,818	.0	(1,993)	.0	(1,993)	.0	53,825	.0	.0	.0	1,076	04/25/2045	1
3137BP-VII-8	FHLMC FHMS K152 A1 CMBS 2.830% 05/25/30		09/01/2016	Paydown		5,159	5,159	5,262	.0	(103)	.0	(103)	.0	5,159	.0	.0	.0	24	05/25/2030	1	
31385X-EW-3	FNMA Pool 555549 MBS 5.000% 06/01/18		09/01/2016	Paydown		42,265	42,265	43,797	42,722	.0	(457)	.0	(457)	.0	42,265	.0	.0	.0	1,409	06/01/2018	1
3138A2-BQ-1	FNMA Pool AH0946 MBS 4.000% 12/01/40		09/01/2016	Paydown		18,424	18,424	19,365	19,320	.0	(896)	.0	(896)	.0	18,424	.0	.0	.0	494	12/01/2040	1
3138A8-YD-2	FNMA Pool AH7007 MBS 4.000% 03/01/41		09/01/2016	Paydown		15,043	15,043	15,835	15,798	.0	(756)	.0	(756)	.0	15,043	.0	.0	.0	409	03/01/2041	1
3138AM-SW-1	FNMA Pool A18060 MBS 3.500% 10/01/26		09/01/2016	Paydown		192,009	192,009	200,919	198,947	.0	(6,938)	.0	(6,938)	.0	192,009	.0	.0	.0	4,470	10/01/2026	1
3138AP-OP-0	FNMA Pool A19109 MBS 4.000% 05/01/42		09/01/2016	Paydown		22,466	22,466	24,246	24,135	.0	(1,669)	.0	(1,669)	.0	22,466	.0	.0	.0	599	05/01/2042	1
3138AT-CX-6	FNMA Pool AJ1885 MBS 3.000% 03/01/42		09/01/2016	Paydown		101	101	106	.0	(6)	.0	(6)	.0	101	.0	.0	.0	2	03/01/2042	1	
3138AV-EN-9	FNMA Pool AJ4640 MBS 4.000% 10/01/41		09/01/2016	Paydown		14,398	14,398	15,197	15,160	.0	(761)	.0	(761)	.0	14,398	.0	.0	.0	359	10/01/2041	1
3138E0-RK-7	FNMA Pool AJ7689 MBS 4.000% 12/01/41		09/01/2016	Paydown		21,677	21,677	22,832	22,778	.0	(1,101)	.0	(1,101)	.0	21,677	.0	.0	.0	585	12/01/2041	1
3138E9-YH-7	FNMA Pool AK5211 MBS 3.000% 04/01/27		09/01/2016	Paydown		223,202	223,202	234,746	232,491	.0	(9,289)	.0	(9,289)	.0	223,202	.0	.0	.0	4,906	04/01/2027	1
3138EE-TJ-2	FNMA Pool AK9896 MBS 3.500% 07/01/42		09/01/2016	Paydown		6,049	6,049	6,454	6,429	.0	(380)	.0	(380)	.0	6,049	.0	.0	.0	141	07/01/2042	1
3138EJ-CJ-0	FNMA Pool AL2256 MBS 4.500% 01/01/42		09/01/2016	Paydown		72,224	72,224	78,352	78,323	.0	(6,098)	.0	(6,098)	.0	72,224	.0	.0	.0	2,212	01/01/2042	1
3138EN-LE-7	FNMA Pool AL5724 MBS 4.500% 10/01/44		09/01/2016	Paydown		97,531	97,531	106,096	.0	(8,564)	.0	(8,564)	.0	97,531	.0	.0	.0	2,376	10/01/2044	1	
3138EP-N3-4	FNMA Pool AL6709 MBS 4.000% 04/01/45		09/01/2016	Paydown		58,981	58,981	62,740	.0	(3,761)	.0	(3,761)	.0	58,981	.0	.0	.0	1,586	04/01/2045	1	
3138EQ-K8-4	FNMA Pool AL7518 MBS 3.500% 10/01/45		09/01/2016	Paydown		18,884	18,884	20,147	.0	(1,263)	.0	(1,263)	.0	18,884	.0	.0	.0	78	10/01/2045	1	
3138MA-E3																					

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation or Market Indicator (a)
3138W3-LR-2	FNMA Pool AR5735 MBS 3.500% 02/01/43		08/01/2016	Paydown		495,066	495,066	514,172	513,275	.0	(18,209)	.0	(18,209)	.0	495,066	.0	.0	.0	10,122	02/01/2043	1
3138WC-F3-2	FNMA Pool AS2885 MBS 3.500% 07/01/44		09/01/2016	Paydown		81,142	81,142	83,170	83,111	.0	(1,969)	.0	(1,969)	.0	81,142	.0	.0	.0	1,940	07/01/2044	1
3138WE-6G-9	FNMA Pool AS5370 MBS 3.500% 07/01/45		07/21/2016	FTN Financial Services		987,932	937,400	972,707	972,707	.0	(344)	.0	(344)	.0	972,363	.0	15,569	15,569	21,417	07/01/2045	1
3138WF-6G-9	FNMA Pool AS5370 MBS 3.500% 07/01/45		07/01/2016	Paydown		10,509	10,509	10,907	10,905	.0	(396)	.0	(396)	.0	10,509	.0	.0	.0	215	07/01/2045	1
3138WG-YP-3	FNMA Pool AS7017 MBS 3.500% 04/01/46		09/01/2016	Paydown		25,558	25,558	26,971	.0	(1,414)	.0	(1,414)	.0	25,558	.0	.0	.0	276	04/01/2046	1	
3138X9-WS-4	FNMA Pool AU9656 MBS 4.500% 09/01/43		09/01/2016	Paydown		85,368	85,368	92,598	92,565	.0	(7,197)	.0	(7,197)	.0	85,368	.0	.0	.0	2,252	09/01/2043	1
3138XE-TZ-1	FNMA Pool AV3267 MBS 5.000% 12/01/43		09/01/2016	Paydown		13,041	13,041	14,592	14,592	.0	(1,551)	.0	(1,551)	.0	13,041	.0	.0	.0	435	12/01/2043	1
3138Y7-D9-0	FNMA Pool AX5527 MBS 3.500% 06/01/46		09/01/2016	Paydown		4,106	4,106	4,371	.0	(265)	.0	(265)	.0	4,106	.0	.0	.0	24	06/01/2046	1	
3138YA-FD-2	FNMA Pool AX8263 MBS 4.000% 12/01/44		09/01/2016	Paydown		53,606	53,606	57,090	57,076	.0	(3,470)	.0	(3,470)	.0	53,606	.0	.0	.0	1,447	12/01/2044	1
3138YB-DG-5	FNMA Pool AX9102 MBS 4.500% 11/01/44		09/01/2016	Paydown		411,212	446,969	411,212	446,969	.0	(35,758)	.0	(35,758)	.0	411,212	.0	.0	.0	12,283	11/01/2044	1
3138YH-HD-2	FNMA Pool AY1127 MBS 3.500% 04/01/45		09/01/2016	Paydown		16,589	16,589	17,268	17,260	.0	(671)	.0	(671)	.0	16,589	.0	.0	.0	387	04/01/2045	1
3138YN-MS-3	FNMA Pool AY8468 MBS 4.000% 08/01/45		09/01/2016	Paydown		112,796	112,796	120,340	120,298	.0	(7,501)	.0	(7,501)	.0	112,796	.0	.0	.0	3,013	08/01/2045	1
3138YN-RB-5	FNMA Pool AY8581 MBS 3.500% 08/01/45		09/01/2016	Paydown		7,039	7,039	7,339	7,337	.0	(298)	.0	(298)	.0	7,039	.0	.0	.0	164	08/01/2045	1
31398Q-TE-7	FHLMC FHR 3747 HG CMO 2.400% 07/15/37		09/01/2016	Paydown		245,487	245,487	249,400	247,210	.0	(1,723)	.0	(1,723)	.0	245,487	.0	.0	.0	3,921	07/15/2037	1
31402Q-R6-0	FNMA Pool 735009 MBS 5.000% 05/01/19		09/01/2016	Paydown		7,017	7,017	6,894	6,955	.0	63	.0	63	.0	7,017	.0	.0	.0	233	05/01/2019	1
31402R-JE-0	FNMA Pool 735661 MBS 5.500% 12/01/17		09/01/2016	Paydown		61,007	61,007	66,336	62,720	.0	(1,713)	.0	(1,713)	.0	61,007	.0	.0	.0	2,228	12/01/2017	1
31407N-FK-4	FNMA Pool 835470 MBS 5.000% 09/01/20		09/01/2016	Paydown		4,070	4,070	3,988	4,020	.0	50	.0	50	.0	4,070	.0	.0	.0	138	09/01/2020	1
31407S-GA-4	FNMA Pool 839093 MBS 5.000% 10/01/20		09/01/2016	Paydown		3,737	3,737	3,664	3,693	.0	44	.0	44	.0	3,737	.0	.0	.0	123	10/01/2020	1
3140EO-6Q-3	FNMA Pool AZ8078 MBS 3.500% 08/01/45		09/01/2016	Paydown		1,426	1,426	1,482	1,482	.0	(56)	.0	(56)	.0	1,426	.0	.0	.0	34	08/01/2045	1
3140EW-AM-7	FNMA Pool BC1811 MBS 3.000% 04/01/46		09/01/2016	Paydown		9,717	9,717	10,083	.0	(366)	.0	(366)	.0	9,717	.0	.0	.0	50	04/01/2046	1	
3140FO-US-1	FNMA Pool BC5092 MBS 3.500% 11/01/43		09/01/2016	Paydown		47,146	47,146	50,197	.0	(3,052)	.0	(3,052)	.0	47,146	.0	.0	.0	172	11/01/2043	1	
3140F1-YH-9	FNMA Pool BC6111 MBS 3.500% 06/01/46		09/01/2016	Paydown		3,309	3,309	3,553	.0	(245)	.0	(245)	.0	3,309	.0	.0	.0	10	06/01/2046	1	
3140F5-DT-7	FNMA Pool BC9113 MBS 3.500% 05/01/46		09/01/2016	Paydown		1,013	1,013	1,084	.0	(72)	.0	(72)	.0	1,013	.0	.0	.0	3	05/01/2046	1	
3140F9-RX-5	FNMA Pool BD2301 MBS 3.000% 06/01/46		09/01/2016	Paydown		3,182	3,182	3,318	.0	(136)	.0	(136)	.0	3,182	.0	.0	.0	8	06/01/2046	1	
31410X-VR-4	FNMA Pool 900724 MBS 5.500% 08/01/21		09/01/2016	Paydown		1,543	1,543	1,543	1,541	.0	2	.0	2	.0	1,543	.0	.0	.0	55	08/01/2021	1
31412V-AG-3	FNMA Pool 935707 MBS 5.000% 11/01/24		09/01/2016	Paydown		7,599	7,599	8,094	7,974	.0	(376)	.0	(376)	.0	7,599	.0	.0	.0	253	11/01/2024	1
31414F-K9-1	FNMA Pool 964820 MBS 5.000% 08/01/23		09/01/2016	Paydown		24,937	24,937	25,170	25,081	.0	(145)	.0	(145)	.0	24,937	.0	.0	.0	794	08/01/2023	1
31416B-RB-6	FNMA Pool 995182 MBS 5.500% 06/01/20		09/01/2016	Paydown		27,272	27,272	29,821	28,704	.0	(1,432)	.0	(1,432)	.0	27,272	.0	.0	.0	999	06/01/2020	1
31416T-2S-7	FNMA Pool AA9784 MBS 5.000% 07/01/24		09/01/2016	Paydown		44,318	44,318	46,022	45,611	.0	(1,292)	.0	(1,292)	.0	44,318	.0	.0	.0	1,476	07/01/2024	1
31417A-QE-2	FNMA Pool AB4052 MBS 4.000% 12/01/41		09/01/2016	Paydown		85,031	85,031	90,651	90,605	.0	(5,574)	.0	(5,574)	.0	85,031	.0	.0	.0	2,283	12/01/2041	1
31417G-TY-2	FNMA Pool AB9566 MBS 3.000% 06/01/43		09/01/2016	Paydown		108,619	108,619	111,301	111,301	.0	(2,619)	.0	(2,619)	.0	108,619	.0	.0	.0	2,103	06/01/2043	1
575579-XK-8	MASSACHUSETTS ST Rev Bond Non Call 5.500% 07/01/16		07/01/2016	Maturity		960,000	960,000	1,015,863	966,111	.0	(6,111)	.0	(6,111)	.0	960,000	.0	.0	.0	52,800	07/01/2016	1FE
3199999	<b>Subtotal - Bonds - U.S. Special Revenues</b>					16,889,088	16,252,681	16,926,594	8,569,101	0	(195,935)	0	(195,935)	0	16,658,155	0	230,933	230,933	304,807	XXX	XXX
02006Y-AB-1	ALLY AUTO RECEIV ALLYA 2015-1 A2 ABS 0.920% 02/15/18		09/15/2016	Paydown		542,068	542,068	542,062	542,067	.0	2	.0	2	.0	542,068	.0	.0	.0	3,325	02/15/2018	1FE
0258M0-DC-0	AMERICAN EXPRESS Corp Note Non Call 2.800% 09/19/16		09/19/2016	Maturity		250,000	250,000	254,365	253,096	.0	(3,096)	.0	(3,096)	.0	250,000	.0	.0	.0	7,000	09/19/2016	1FE
0258M0-DH-9	AMERICAN EXPRESS Corp Note Non Call 1.262% 07/29/16		07/29/2016	Maturity		700,000	700,000	701,802	700,927	.0	(927)	.0	(927)	.0	700,000	.0	.0	.0	5,520	07/29/2016	1FE
03065V-AC-1	AmeriCredit Auto AMICAR 2016-1 A2B ABS 1.267% 06/10/19		09/08/2016	Paydown		224,510	224,510	224,510	.0	.0	.0	.0	.0	224,510	.0	.0	.0	1,633	06/10/2019	1FE	
032511-BJ-5	ANADARKO PETRO Corp Note Call MW 3.450% 07/15/24		07/26/2016	Wachovia Bank		1,297,096	1,330,000	1,302,760	1,303,837	.0	1,519	.0	1,519	.0	1,305,357	.0	(8,261)	(8,261)	47,669	07/15/2024	2FE
12591V-AA-9	COMM MORTGAGE TR COMM 2014 CR16 A1 CMBS 1.445% 02/10/19		09/01/2016	Paydown		161,687	161,687	161,684	161,656	.0	31	.0	31	.0	161,687	.0	.0	.0	1,552	02/10/2019	1FM
12594B-AA-0	COMM MORTGAGE TR COMM 2014-OR17 A1 CMBS 1.275% 05/10/47		09/15/2016	Paydown		1,137,388	1,137,388	1,137,388	.0	.0	.0	.0	.0	1,137,388	.0	.0	.0	3,971	03/10/2017	1FE	
12631D-AW-3	Capital Auto Rec AFIN 2015-3 A1A ABS Prv Plc 1.390% 02/20/18		09/01/2016	Paydown		80,036	80,036	80,035	80,022	.0	14	.0	14	.0	80,036	.0	.0	.0	678	05/10/2047	1FM
13974H-AA-5	Citigroup Commercial Mtge Tr CGOINT 2014-GC21 A1 CMBS 1.242% 05/10/47		09/01/2016	Paydown		408,339	408,339	407,477	407,511	.0	828	.0	828	.0	408,339	.0	.0	.0	4,257	02/20/2018	1FE
17322M-AS-5	DEVON ENERGY Corp Note Call MW 2.250% 12/15/18		08/19/2016	Redemption	101.9560	1,809,719	1,775,000	1,775,178	1,775,146	.0	(30)	.0	(30)	.0	1,775,115	.0	34,604	34,604	27,069	12/15/2018	2FE

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STATEMENT AS OF SEPTEMBER 30, 2016 OF THE UnitedHealthcare Plan of the River Valley, Inc.

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
										11	12	13	14	15								
CUSIP Ident-ification	Description	For-ign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn-ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con-tractual Maturity Date	NAIC Design-ation or Market In-dicator (a)	
26207U-AE-9	Drive Auto Recei DRIVE 2015-BA B ABS Prv Plc 2.120% 06/17/19		09/15/2016	Paydown		528,492	528,492	527,831	527,855	0	637	0	637	0	528,492	0	0	0	8,171	06/17/2019	1FE	
26207V-AE-7	DRIVE AUTO RECEI DRIVE 2015-CA B ABS Prv Plc 2.230% 09/16/19		09/15/2016	Paydown		33,463	33,463	33,460	33,460	0	3	0	3	0	33,463	0	0	0	560	09/16/2019	1FE	
30219G-AD-0	ESRX-CALLO8/16 Corp Note MW 35BP 2.650%		07/07/2016	Redemption	101.1300	455,085	450,000	454,455	0	0	(1,772)	0	(1,772)	0	452,683	0	2,402	2,402	10,666	02/15/2017	2FE	
31428X-BC-9	FEDEX CORP Corp Note MW 3.200% 02/01/25		08/03/2016	Barclays Group Inc.		810,048	770,000	743,766	744,102	0	1,479	0	1,479	0	745,581	0	64,467	64,467	25,119	02/01/2025	2FE	
36250U-AA-2	GM Financial Aut GMLT 2016-1 A1 ABS 0.670%		09/20/2016	Paydown		804,329	804,329	804,329	0	0	0	0	0	0	804,329	0	0	0	2,480	02/21/2017	1FE	
38141G-VR-2	GOLDMAN SACHS GP Corp Note Non Call 4.250%		10/21/25	JP Morgan Chase		569,246	540,000	536,220	536,280	0	187	0	187	0	536,467	0	32,779	32,779	18,360	10/21/2025	2FE	
421915-EG-0	HCP INC Corp Note MW 6.300% 09/15/16		09/15/2016	Maturity		201,000	201,000	210,403	207,624	0	(6,624)	0	(6,624)	0	201,000	0	0	0	12,663	09/15/2016	2FE	
46641W-AS-6	JPMBB COMMERCIAL JPMBB 2014-C19 A1 CMBS 1.266% 04/15/47		09/01/2016	Paydown		566,128	566,128	566,128	566,128	0	0	0	0	0	566,128	0	0	0	5,254	04/15/2047	1FM	
493268-BY-1	Keycorp Student Loan Tr KSLT 2004-A 2A2 ABS 1.034% 10/28/41		07/27/2016	Paydown		12,744	12,744	12,610	12,699	0	45	0	45	0	12,744	0	0	0	80	10/28/2041	1FE	
61763K-AW-4	MORGAN STANLEY BAML TRUST MSBAM 2014-C15 A1 CMBS 1.313% 04/15/47		09/01/2016	Paydown		110,526	110,526	110,524	110,496	0	31	0	31	0	110,526	0	0	0	964	04/15/2047	1FM	
654740-AE-9	NISSAN MOTOR ACC Corp Note Non Call Prv Plc 1.557% 09/26/16		09/26/2016	Maturity		388,000	388,000	389,958	389,110	0	(1,110)	0	(1,110)	0	388,000	0	0	0	3,897	09/26/2016	1FE	
69371R-L6-1	PACCAR FINL CORP Corp Note Non Call 1.150%		08/16/2016	Maturity		400,000	400,000	402,500	401,106	0	(1,106)	0	(1,106)	0	400,000	0	0	0	4,600	08/16/2016	1FE	
72650R-AZ-5	PLAINS ALL AMER Corp Note Call 3.650%		06/01/22	JP Morgan Chase		1,017,312	1,010,000	1,020,393	1,018,448	0	(710)	0	(710)	0	1,017,738	0	(425)	(425)	24,372	06/01/2022	2FE	
80283W-AE-9	SANTANDER DRIVE SDART 2014-2 B ABS 1.620%		09/15/2016	Paydown		715,019	715,017	714,905	715,005	0	12	0	12	0	715,017	0	0	0	7,706	02/15/2019	1FE	
89236T-BU-8	TOYOTA MTR CRED Corp Note Non Call 0.963%		09/23/2016	Maturity		800,000	800,000	799,980	799,993	0	7	0	7	0	800,000	0	0	0	4,400	09/23/2016	1FE	
94974B-FM-7	WELLS FARGO CO Corp Note Non Call 1.226%		07/20/2016	Maturity		1,450,000	1,450,000	1,457,086	1,452,252	0	(2,252)	0	(2,252)	0	1,450,000	0	0	0	11,636	07/20/2016	1FE	
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					15,600,550	15,517,042	15,500,121	12,867,114	0	(12,810)	0	(12,810)	0	15,474,983	0	125,566	125,566	244,660	XXX	XXX	
8399997	Total - Bonds - Part 4					44,425,428	43,579,327	44,334,947	28,034,729	0	(224,353)	0	(224,353)	0	44,000,516	0	424,912	424,912	664,370	XXX	XXX	
8399998	Total - Bonds - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8399999	Total - Bonds					44,425,428	43,579,327	44,334,947	28,034,729	0	(224,353)	0	(224,353)	0	44,000,516	0	424,912	424,912	664,370	XXX	XXX	
8999997	Total - Preferred Stocks - Part 4					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX	
8999998	Total - Preferred Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8999999	Total - Preferred Stocks					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX	
9799997	Total - Common Stocks - Part 4					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX	
9799998	Total - Common Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999	Total - Common Stocks					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX	
9899999	Total - Preferred and Common Stocks					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX	
9999999	Totals					44,425,428	XXX	44,334,947	28,034,729	0	(224,353)	0	(224,353)	0	44,000,516	0	424,912	424,912	664,370	XXX	XXX	

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



Schedule DB - Part A - Section 1 - Options, Caps, Floors, Collars, Swaps and Forwards Open  
**N O N E**

Schedule DB - Part B - Section 1 - Futures Contracts Open  
**N O N E**

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made  
**N O N E**

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged By  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged To  
**N O N E**

Schedule DL - Part 1 - Reinvested Collateral Assets Owned  
**N O N E**

Schedule DL - Part 2 - Reinvested Collateral Assets Owned  
**N O N E**







October 11, 2016

## STATEMENT OF ACTUARIAL OPINION

Statutory Quarterly Statement of United Healthcare Plan of the River Valley, Inc.

Medicaid Risk Business in Eastern Tennessee, Excluding Long Term Care

As of and for the Period Ended September 30, 2016

I, Kevin Francis, am a Member of the American Academy of Actuaries (Academy) and Vice President of Actuarial Services for United Healthcare Plan of the River Valley, Inc.'s Medicaid plans. I meet the Academy qualification standards for rendering this statement of actuarial opinion.

This statement is for United Healthcare Plan of the River Valley, Inc.'s Medicaid risk business in Eastern Tennessee, which had approximately 161,900 members in September 2016. This business became effective July 1, 2009.

I have examined the actuarial assumptions and methods used in determining the loss reserves listed below, as prepared for filing with regulatory officials as of September 30, 2016

I have determined that the appropriate level for claims liability for this block of business is \$38,938,890.

Note that in the annual statement, both Medicaid and non-Medicaid businesses are combined.

My examination included such review of the actuarial assumptions and actuarial methods and of the underlying basic liability records and such tests of the actuarial calculations as I considered necessary.

In my opinion the amounts carried in the balance sheet on account of the actuarial items identified above:

- a) Are computed in accordance with presently accepted actuarial standards consistently applied and are fairly stated in accordance with sound actuarial principles;
- b) Are based on actuarial assumptions which are in accordance with or stronger than those called for in related contract provisions and are appropriate for the purpose for which the statement was prepared;
- c) Meet the requirements of the laws of the State of Tennessee;
- d) Make good and sufficient provision for all unpaid claims and other actuarial liabilities of the organization guaranteed under the terms of its contracts and agreements;

- e) Are computed on the basis of actuarial assumptions and methods consistent in all material respects with those used in computing the corresponding items in the annual statement of the preceding year-end; and
- f) Include provision, in the aggregate, for all actuarial reserves and related statement items which ought to be established.

The actuarial methods, considerations and analyses used in forming my opinion conform to the appropriate Standards of Practice as promulgated from time to time by the Actuarial Standards Board, whose standards form the basis of this statement of opinion.

This statement has been prepared for inclusion with United Healthcare Plan of the River Valley, Inc.'s statutory quarterly statement for filing with regulatory authorities of the State of Tennessee and is intended for no other purpose.

October 11, 2016



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October 11, 2016

## STATEMENT OF ACTUARIAL OPINION

Statutory Quarterly Statement of United Healthcare Plan of the River Valley, Inc.

Medicaid Risk Business in Eastern Tennessee, Long Term Care

As of and for the Period Ended September 30, 2016

I, Kevin Francis, am a Member of the American Academy of Actuaries (Academy) and Vice President of Actuarial Services for United Healthcare Plan of the River Valley, Inc.'s Medicaid plans. I meet the Academy qualification standards for rendering this statement of actuarial opinion.

This statement is for United Healthcare Plan of the River Valley, Inc.'s Medicaid Long Term Care risk business in Eastern Tennessee, which had approximately 3,500 members in September 2016. This business became effective August 1, 2010.

I have examined the actuarial assumptions and methods used in determining the loss reserves listed below, as prepared for filing with regulatory officials as of September 30, 2016

I have determined that the appropriate level for claims liability for this block of business is \$13,007,551.

Note that in the annual statement, both Medicaid and non-Medicaid businesses are combined.

My examination included such review of the actuarial assumptions and actuarial methods and of the underlying basic liability records and such tests of the actuarial calculations as I considered necessary.

In my opinion the amounts carried in the balance sheet on account of the actuarial items identified above:

- a) Are computed in accordance with presently accepted actuarial standards consistently applied and are fairly stated in accordance with sound actuarial principles;
- b) Are based on actuarial assumptions which are in accordance with or stronger than those called for in related contract provisions and are appropriate for the purpose for which the statement was prepared;
- c) Meet the requirements of the laws of the State of Tennessee;
- d) Make good and sufficient provision for all unpaid claims and other actuarial liabilities of the organization guaranteed under the terms of its contracts and agreements;

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October 11, 2016



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October 11, 2016

STATEMENT OF ACTUARIAL OPINION

Statutory Quarterly Statement of United Healthcare Plan of the River Valley, Inc.

Medicaid Risk Business in Middle Tennessee, Excluding Long Term Care

As of and for the Period Ended September 30, 2016

I, Kevin Francis, am a Member of the American Academy of Actuaries (Academy) and Vice President of Actuarial Services for United Healthcare Plan of the River Valley, Inc.'s Medicaid plans. I meet the Academy qualification standards for rendering this statement of actuarial opinion.

This statement is for United Healthcare Plan of the River Valley, Inc.'s Medicaid risk business in Middle Tennessee, which had approximately 172,500 members in September 2016. This business became effective April 1, 2007.

I have examined the actuarial assumptions and methods used in determining the loss reserves listed below, as prepared for filing with regulatory officials as of September 30, 2016

I have determined that the appropriate level for claims liability for this block of business is \$49,712,061.

Note that in the annual statement, both Medicaid and non-Medicaid businesses are combined.

My examination included such review of the actuarial assumptions and actuarial methods and of the underlying basic liability records and such tests of the actuarial calculations as I considered necessary.

In my opinion the amounts carried in the balance sheet on account of the actuarial items identified above:

- a) Are computed in accordance with presently accepted actuarial standards consistently applied and are fairly stated in accordance with sound actuarial principles;
- b) Are based on actuarial assumptions which are in accordance with or stronger than those called for in related contract provisions and are appropriate for the purpose for which the statement was prepared;
- c) Meet the requirements of the laws of the State of Tennessee;
- d) Make good and sufficient provision for all unpaid claims and other actuarial liabilities of the organization guaranteed under the terms of its contracts and agreements;

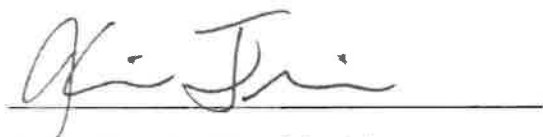


- e) Are computed on the basis of actuarial assumptions and methods consistent in all material respects with those used in computing the corresponding items in the annual statement of the preceding year-end; and
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This statement has been prepared for inclusion with United Healthcare Plan of the River Valley, Inc.'s statutory quarterly statement for filing with regulatory authorities of the State of Tennessee and is intended for no other purpose.

October 11, 2016



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October 11, 2016

## STATEMENT OF ACTUARIAL OPINION

Statutory Quarterly Statement of United Healthcare Plan of the River Valley, Inc.

Medicaid Risk Business in Middle Tennessee, Long Term Care

As of and for the Period Ended September 30, 2016

I, Kevin Francis, am a Member of the American Academy of Actuaries (Academy) and Vice President of Actuarial Services for United Healthcare Plan of the River Valley, Inc.'s Medicaid plans. I meet the Academy qualification standards for rendering this statement of actuarial opinion.

This statement is for United Healthcare Plan of the River Valley, Inc.'s Medicaid Long Term Care risk business in Middle Tennessee, which had approximately 3,000 members in September 2016. This business became effective March 1, 2010.

I have examined the actuarial assumptions and methods used in determining the loss reserves listed below, as prepared for filing with regulatory officials as of September 30, 2016

I have determined that the appropriate level for claims liability for this block of business is \$10,522,347.

Note that in the annual statement, both Medicaid and non-Medicaid businesses are combined.

My examination included such review of the actuarial assumptions and actuarial methods and of the underlying basic liability records and such tests of the actuarial calculations as I considered necessary.

In my opinion the amounts carried in the balance sheet on account of the actuarial items identified above:

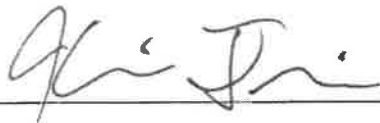
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- b) Are based on actuarial assumptions which are in accordance with or stronger than those called for in related contract provisions and are appropriate for the purpose for which the statement was prepared;
- c) Meet the requirements of the laws of the State of Tennessee;
- d) Make good and sufficient provision for all unpaid claims and other actuarial liabilities of the organization guaranteed under the terms of its contracts and agreements;

- e) Are computed on the basis of actuarial assumptions and methods consistent in all material respects with those used in computing the corresponding items in the annual statement of the preceding year-end; and
- f) Include provision, in the aggregate, for all actuarial reserves and related statement items which ought to be established.

The actuarial methods, considerations and analyses used in forming my opinion conform to the appropriate Standards of Practice as promulgated from time to time by the Actuarial Standards Board, whose standards form the basis of this statement of opinion.

This statement has been prepared for inclusion with United Healthcare Plan of the River Valley, Inc.'s statutory quarterly statement for filing with regulatory authorities of the State of Tennessee and is intended for no other purpose.

October 11, 2016



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October 11, 2016

## STATEMENT OF ACTUARIAL OPINION

Statutory Quarterly Statement of United Healthcare Plan of the River Valley, Inc.

Medicaid Risk Business in Western Tennessee, Excluding Long Term Care

As of and for the Period Ended September 30, 2016

I, Kevin Francis, am a Member of the American Academy of Actuaries (Academy) and Vice President of Actuarial Services for United Healthcare Plan of the River Valley, Inc.'s Medicaid plans. I meet the Academy qualification standards for rendering this statement of actuarial opinion.

This statement is for United Healthcare Plan of the River Valley, Inc.'s Medicaid risk business in Western Tennessee, which had approximately 138,000 members in September 2016. This business became effective November 1, 2008.

I have examined the actuarial assumptions and methods used in determining the loss reserves listed below, as prepared for filing with regulatory officials as of September 30, 2016

I have determined that the appropriate level for claims liability for this block of business is \$30,869,510.

Note that in the annual statement, both Medicaid and non-Medicaid businesses are combined.

My examination included such review of the actuarial assumptions and actuarial methods and of the underlying basic liability records and such tests of the actuarial calculations as I considered necessary.

In my opinion the amounts carried in the balance sheet on account of the actuarial items identified above:

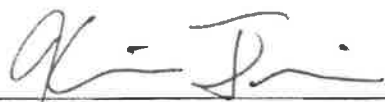
- a) Are computed in accordance with presently accepted actuarial standards consistently applied and are fairly stated in accordance with sound actuarial principles;
- b) Are based on actuarial assumptions which are in accordance with or stronger than those called for in related contract provisions and are appropriate for the purpose for which the statement was prepared;
- c) Meet the requirements of the laws of the State of Tennessee;
- d) Make good and sufficient provision for all unpaid claims and other actuarial liabilities of the organization guaranteed under the terms of its contracts and agreements;

- e) Are computed on the basis of actuarial assumptions and methods consistent in all material respects with those used in computing the corresponding items in the annual statement of the preceding year-end; and
- f) Include provision, in the aggregate, for all actuarial reserves and related statement items which ought to be established.

The actuarial methods, considerations and analyses used in forming my opinion conform to the appropriate Standards of Practice as promulgated from time to time by the Actuarial Standards Board, whose standards form the basis of this statement of opinion.

This statement has been prepared for inclusion with United Healthcare Plan of the River Valley, Inc.'s statutory quarterly statement for filing with regulatory authorities of the State of Tennessee and is intended for no other purpose.

October 11, 2016



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October 11, 2016

STATEMENT OF ACTUARIAL OPINION

Statutory Quarterly Statement of United Healthcare Plan of the River Valley, Inc.

Medicaid Risk Business in Western Tennessee, Long Term Care

As of and for the Period Ended September 30, 2016

I, Kevin Francis, am a Member of the American Academy of Actuaries (Academy) and Vice President of Actuarial Services for United Healthcare Plan of the River Valley, Inc.'s Medicaid plans. I meet the Academy qualification standards for rendering this statement of actuarial opinion.

This statement is for United Healthcare Plan of the River Valley, Inc.'s Medicaid Long Term Care risk business in Western Tennessee, which had approximately 3,000 members in September 2016. This business became effective August 1, 2010.

I have examined the actuarial assumptions and methods used in determining the loss reserves listed below, as prepared for filing with regulatory officials as of September 30, 2016

I have determined that the appropriate level for claims liability for this block of business is \$10,652,228.

Note that in the annual statement, both Medicaid and non-Medicaid businesses are combined.

My examination included such review of the actuarial assumptions and actuarial methods and of the underlying basic liability records and such tests of the actuarial calculations as I considered necessary.

In my opinion the amounts carried in the balance sheet on account of the actuarial items identified above:

- a) Are computed in accordance with presently accepted actuarial standards consistently applied and are fairly stated in accordance with sound actuarial principles;
- b) Are based on actuarial assumptions which are in accordance with or stronger than those called for in related contract provisions and are appropriate for the purpose for which the statement was prepared;
- c) Meet the requirements of the laws of the State of Tennessee;
- d) Make good and sufficient provision for all unpaid claims and other actuarial liabilities of the organization guaranteed under the terms of its contracts and agreements;

- e) Are computed on the basis of actuarial assumptions and methods consistent in all material respects with those used in computing the corresponding items in the annual statement of the preceding year-end; and
- f) Include provision, in the aggregate, for all actuarial reserves and related statement items which ought to be established.

The actuarial methods, considerations and analyses used in forming my opinion conform to the appropriate Standards of Practice as promulgated from time to time by the Actuarial Standards Board, whose standards form the basis of this statement of opinion.

This statement has been prepared for inclusion with United Healthcare Plan of the River Valley, Inc.'s statutory quarterly statement for filing with regulatory authorities of the State of Tennessee and is intended for no other purpose.

October 11, 2016



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Actuarial Certification

Carrier: UnitedHealthcare Plan of the River Valley, Inc.  
Date: October 14, 2016  
Valuation Date: September 2016  
Subject: TennCare Claim Reserve Estimate (IBNR) as of September 2016 – Risk Business – Eastern Tennessee – Excluding Long Term Care

I, Kevin Francis, am Vice President of Actuarial Services for United HealthCare Community and State. I am a member of the American Academy of Actuaries and am qualified to render the actuarial opinion contained herein.

In my opinion, the claim reserve estimate (IBNR) of \$38,938,890 provides good and sufficient provision for all unpaid claim liabilities and was computed in accordance with currently accepted actuarial standards.

Note that, as of September 2016, this block of business had approximately 161,900 members.

A handwritten signature in black ink, appearing to read 'Kevin Francis', written over a horizontal line.

Kevin Francis, FSA, MAAA

Vice President of Actuarial Services

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Actuarial Certification

Carrier: UnitedHealthcare Plan of the River Valley, Inc.  
Date: October 14, 2016  
Valuation Date: September 2016  
Subject: TennCare Claim Reserve Estimate (IBNR) as of September 2016 – Risk Business – Eastern Tennessee – Long Term Care

I, Kevin Francis, am Vice President of Actuarial Services for United HealthCare Community and State. I am a member of the American Academy of Actuaries and am qualified to render the actuarial opinion contained herein.

In my opinion, the claim reserve estimate (IBNR) of \$13,007,551 provides good and sufficient provision for all unpaid claim liabilities and was computed in accordance with currently accepted actuarial standards.

Note that, as of September 2016, this block of business had approximately 3,500 members.

A handwritten signature in black ink, appearing to read 'Kevin Francis', written over a horizontal line.

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Actuarial Certification

Carrier: UnitedHealthcare Plan of the River Valley, Inc.  
Date: October 14, 2016  
Valuation Date: September 2016  
Subject: TennCare Claim Reserve Estimate (IBNR) as of September 2016 – Risk Business – Middle Tennessee – Excluding Long Term Care

I, Kevin Francis, am Vice President of Actuarial Services for United HealthCare Community and State. I am a member of the American Academy of Actuaries and am qualified to render the actuarial opinion contained herein.

In my opinion, the claim reserve estimate (IBNR) of \$49,712,061 provides good and sufficient provision for all unpaid claim liabilities and was computed in accordance with currently accepted actuarial standards.

Note that, as of September 2016, this block of business had approximately 172,500 members.

A handwritten signature in black ink, appearing to read 'Kevin Francis', written over a horizontal line.

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Actuarial Certification

Carrier: UnitedHealthcare Plan of the River Valley, Inc.  
Date: October 14, 2016  
Valuation Date: September 2016  
Subject: TennCare Claim Reserve Estimate (IBNR) as of September 2016 – Risk Business – Middle Tennessee – Long Term Care

I, Kevin Francis, am Vice President of Actuarial Services for United HealthCare Community and State. I am a member of the American Academy of Actuaries and am qualified to render the actuarial opinion contained herein.

In my opinion, the claim reserve estimate (IBNR) of \$10,522,347 provides good and sufficient provision for all unpaid claim liabilities and was computed in accordance with currently accepted actuarial standards.

Note that, as of September 2016, this block of business had approximately 3,000 members.

A handwritten signature in cursive script, appearing to read 'Kevin Francis', written over a horizontal line.

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Actuarial Certification

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Date: October 14, 2016  
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Western Tennessee – Excluding Long Term Care

I, Kevin Francis, am Vice President of Actuarial Services for United HealthCare Community and State. I am a member of the American Academy of Actuaries and am qualified to render the actuarial opinion contained herein.

In my opinion, the claim reserve estimate (IBNR) of \$30,869,510 provides good and sufficient provision for all unpaid claim liabilities and was computed in accordance with currently accepted actuarial standards.

Note that, as of September 2016, this block of business had approximately 138,000 members.

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Date: October 14, 2016  
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Subject: TennCare Claim Reserve Estimate (IBNR) as of September 2016 – Risk Business –  
Western Tennessee – Long Term Care

I, Kevin Francis, am Vice President of Actuarial Services for United HealthCare Community and State. I am a member of the American Academy of Actuaries and am qualified to render the actuarial opinion contained herein.

In my opinion, the claim reserve estimate (IBNR) of \$10,652,228 provides good and sufficient provision for all unpaid claim liabilities and was computed in accordance with currently accepted actuarial standards.

Note that, as of September 2016, this block of business had approximately 3,000 members.

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Vice President of Actuarial Services

United HealthCare Community and State

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**UHC Plan of the River Valley**  
**Reconciliation of Cash to Accrual Basis Accounting**  
**As of September 30, 2016**

	<u>Middle</u>	<u>East</u>	<u>West</u>	<u>Consolidated</u>	<u>Key</u>
Cash received per premium tax reconciliation	469,817,961	456,541,060	360,300,078	1,286,659,098	
Change in accruals	28,750,875	456,899	2,547,376	31,755,150	a
Change in withhold	(5,749,459)	(5,745,281)	(4,478,406)	(15,973,146)	b
Cash Received Money Follow the Person Bonus	(64,000)	(98,500)	(102,000)	(264,500)	c
Cash Received 12/31/2015 for January Capitation payment	57,494,594	57,452,808	44,764,060	159,731,462	d
2015 STAT Entry - Future Accrual January impact to 2016	1,381,983	2,907,955	1,472,719	5,762,657	e
2015 STAT Entry - 820 Cash Receipts Received 12/31/16	(1,138,767)	(334,090)	(485,339)	(1,958,196)	f
Cash Received for Rescinded Liquidated Damages	(8,173)	-	(5,420)	(13,593)	g
Accrual basis	550,485,013	511,180,851	404,033,068	1,465,698,933	
2A Reported premiums	550,485,013	511,180,851	404,033,068	1,465,698,933	
<b>Difference</b>	<b>0</b>	<b>-</b>	<b>(0)</b>	<b>-</b>	

**Key**

- (a) Consistent with NAIC guidelines, UPRV records premiums on an accrual basis of accounting. The increase in Accruals is driven by Health Insurer Fee Accrual (HIF) of \$33M and a decrease in Members without services (MWOS) liability of \$9.7M due to recovery from the state for 3 quarters and reset of the estimate. This was offset by a decrease in the future retro accrual of (\$3.1M) and an increase in the Risk Adjusted Rate liability of (\$7.9M)
- (b) This item is created due to receipt of December withhold. September withhold was received on 9/30/2016.
- (c) Amount is the TennCare bonus payment for the "Money Follows the Person" accrual
- (d) This amount is adding in the January 2016 Capitation payment that is not included in premium tax calculation due to prepayment of receipt 12/31/2015.
- (e) Amount is a reversal of a 2015 revenue STAT adjustment to the GAAP accrual for future retroactivity recorded in January.
- (f) Amount is a reversal of a 2015 revenue STAT adjustment due to retro cash received 12/30/ but details were not received until Jan 2016.
- (g) Amount is Cash received for rescinded Liquidated Damages.

<b>Accrual change is calculated as follows:</b>	<u>Middle</u>	<u>East</u>	<u>West</u>	<u>Consolidated</u>
Reversal of Dec 2015 future retro accrual	(2,874,946)	(3,634,008)	(2,292,887)	(8,801,841)
Reversal of Dec 2015 MWOS recoupment accrual	7,840,547	9,954,764	7,752,448	25,547,760
September 2016 future retro accrual	3,355,571	1,066,351	1,279,009	5,700,931
September 2016 members without services revenue accrual	(5,417,429)	(6,027,708)	(4,369,910)	(15,815,048)
September 2016 Risk Adj Rate Accr	13,096,912	(12,230,803)	(8,806,316)	(7,940,208)
September 2016 HIF accrual	12,739,299	11,324,953	8,980,152	33,044,404
September Premium Tax Rate Variance accrual	10,921	3,350	4,879	19,150
<b>Total change in accrual</b>	<b>28,750,875</b>	<b>456,899</b>	<b>2,547,376</b>	<b>31,755,150</b>

**United Healthcare C & S - Tennessee  
Retroactive Revenue Accrual Summary  
September-16**

Total												
IDB	Mid TN - TANF		Mid TN - LTC		West TN - TANF		West TN - LTC		East TN - TANF		East TN - LTC	
	Mbrs	Rev	Mbrs	Rev	Mbrs	Rev	Mbrs	Rev	Mbrs	Rev	Mbrs	Rev
Apr-16	94	88,109.92	1	6,321.74	38	51,181.89	(0)	(1,156.12)	14	24,913.91	2	8,969.14
May-16	224	196,179.42	2	13,763.18	86	112,272.81	(2)	(5,219.61)	39	57,776.59	4	23,768.19
Jun-16	428	332,102.33	6	37,489.78	145	179,399.08	(5)	(17,338.43)	72	99,363.89	9	49,901.32
Jul-16	708	504,700.77	4	46,829.24	207	258,964.87	(18)	(67,362.50)	77	138,599.26	7	49,546.94
Aug-16	1,266	793,465.21	(14)	(7,443.11)	385	382,634.40	(34)	(115,873.00)	131	222,896.26	(13)	(11,566.63)
Sep-16	2,550	1,391,177.54	(30)	(47,125.00)	850	643,495.24	(46)	(141,989.18)	246	441,607.69	(28)	(39,425.77)
<b>Total</b>	<b>5,269</b>	<b>3,305,735.19</b>	<b>(30)</b>	<b>49,835.83</b>	<b>1,711</b>	<b>1,627,948.29</b>	<b>(105)</b>	<b>(348,938.84)</b>	<b>580</b>	<b>985,157.60</b>	<b>(19)</b>	<b>81,193.19</b>

Prior Month	4,838	2,858,865.97	(57)	(96,543.29)	1,736	1,512,509.57	(120)	(410,088.29)	469	885,970.52	(36)	11,861.36
Change from Prior Month	431	446,869.22	26	146,379.12	(25)	115,438.72	15	61,149.45	110	99,187.08	17	69,331.83

	Prior Month		Current Month		Inc/(Decr) in Accrual	
	Mbrs	Revenue	Mbrs	Revenue	Mbrs	Revenue
TANF	7,043	5,257,346.06	7,560	5,918,841.08	517	661,495.02
LTC	(212)	(494,770.22)	(154)	(217,909.82)	57	276,860.40
<b>TOTALS</b>	<b>6,831</b>	<b>4,762,575.84</b>	<b>7,406</b>	<b>5,700,931.26</b>	<b>574</b>	<b>938,355.42</b>

Comments:

**Americhoice - Tennessee**  
**Report 2A - TennCare Income Statement**  
CRA 2.30.14.3.3 and 2.30.14.3.4

Member Months	East	Middle	West	Total TN
	1,509,053	1,557,505	1,272,071	4,338,629
<b>Revenues:</b>				
TennCare Capitation	497,282,033	537,502,499	394,065,536	1,428,850,067
Other Revenue - TennCare Bonuses	1	-	-	-
Other Revenue - Estimated TennCare Health Insurer Reimbursement Fee	2	11,324,953	12,739,299	8,980,152
STAT Adjustments	2,573,865	243,215	987,380	3,804,461
<b>Total Revenues</b>	<b>511,180,851</b>	<b>550,485,013</b>	<b>404,033,068</b>	<b>1,465,698,933</b>
<b>Estimated Expenses:</b>				
<b>Hospital and Medical (w/o Mental Health)</b>				
Capitated Physician Services	-	-	-	-
Fee-for Service Physician Services	77,970,948	86,426,208	51,311,913	215,709,069
Inpatient Hospital Services	68,758,692	96,258,144	60,344,401	225,361,237
Outpatient Hospital Services	44,885,845	50,577,348	34,228,828	129,692,022
Emergency Room Services	38,291,162	31,214,663	21,310,182	90,816,007
Dental Services	-	-	-	-
Vision Services	2,108,223	3,444,146	1,533,480	7,085,849
Pharmacy Services	-	-	-	-
Home Health Services	3,851,322	2,106,817	1,334,085	7,292,224
Chiropractic Services	-	-	-	-
Radiology Services	5,648,970	6,887,374	3,237,242	15,773,586
Laboratory Services	5,880,244	7,543,513	4,694,367	18,118,124
Durable Medical Equipment Services	6,805,486	7,088,899	5,129,543	19,023,927
Transportation Services	6,689,895	7,962,090	6,371,613	21,023,598
Outside Referrals	-	-	-	-
Medical Incentive Pool and Withhold Adj	-	-	-	-
Occupancy, Depreciation and Amortization	-	-	-	-
Nursing Facility Care	77,404,729	62,436,685	61,095,415	200,936,829
HCBS Services	23,960,098	23,827,543	24,899,633	72,687,275
Other Medical and Hospital Services - Write-Ins	2,651,592	7,446,696	5,482,005	15,580,293
<b>Subtotal Medical and Hospital</b>	<b>364,907,207</b>	<b>393,220,126</b>	<b>280,972,707</b>	<b>1,039,100,040</b>
<b>Mental Health and Substance Abuse Services</b>				
Inpatient Psychiatric Facility Services	5,266,543	5,557,500	6,192,184	17,016,226
Inpatient Substance Abuse Treatment and Detox	694,200	1,309,948	385,581	2,389,729
Outpatient Mental Health Services	2,705,238	5,430,546	1,255,822	9,391,606
Outpatient Substance Abuse Treatment and Detox	784,401	1,039,866	363,193	2,187,460
Housing/Residential Treatment	2,714,408	2,681,295	2,335,176	7,730,879
Specialized Crisis Services	41,502	25,488	33,574	100,564
Psychiatric Rehab and Support Services	2,901,499	5,477,454	5,551,808	13,930,761
Case Management	6,188,826	9,206,572	4,314,965	19,710,364
Forensics	-	-	-	-
Other Judicial	-	-	-	-
Pharmacy	-	-	-	-
Lab Services	-	-	-	-
Transportation	16,895	15,308	22,450	54,653
Medical Incentive Pool and Withhold Adjustments	-	-	-	-
Occupancy, Depreciation and Amortization	-	-	-	-
Other Mental Health and Substance Abuse Services	2,378,497	395,708	140,733	2,914,938
PCP and Specialist Services	-	-	-	-
Other Mental Health Services - Write-Ins	6,428,960	5,385,432	2,832,399	14,646,791
<b>Subtotal MH&amp;SAS</b>	<b>30,120,969</b>	<b>36,525,117</b>	<b>23,427,884</b>	<b>90,073,970</b>
<b>Subtotal Hospital, Medical, MH&amp;SAS, CHOICES</b>	<b>395,028,176</b>	<b>429,745,243</b>	<b>304,400,591</b>	<b>1,129,174,010</b>
<b>LESS:</b>				
Net Reinsurance Recoveries Incurred	-	-	-	-
Copayments	-	-	-	-
Subrogation and Coordination of Benefits	-	-	-	-
<b>Subtotal Reinsurance, Copay, Subrogation</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Hospital, Medical, MHS&amp;S</b>	<b>395,028,176</b>	<b>429,745,243</b>	<b>304,400,591</b>	<b>1,129,174,010</b>
<b>Administration:</b>				
Compensation	-	-	-	-
Direct and Allocated Admin expenses	-	-	-	-
Marketing	-	-	-	-
Interest Expense	-	-	-	-
Premium Tax Expense	33,929,558	34,333,241	25,429,173	93,691,972
Occupancy, Depreciation, and Amortization	-	-	-	-
Insurer Fee	9,225,843	10,378,036	7,315,657	26,919,537
Other Administration - Write-Ins	50,964,448	56,005,340	40,734,878	147,704,666
Fines and Penalties - Other Write-Ins	70,977	214,460	96,648	382,086
<b>Total Administration Expenses</b>	<b>94,190,826</b>	<b>100,931,077</b>	<b>73,576,357</b>	<b>268,698,260</b>
<b>Total Expenses</b>	<b>489,219,002</b>	<b>530,676,320</b>	<b>377,976,948</b>	<b>1,397,872,270</b>
Extraordinary Item	-	-	-	-
Provision for Income Tax	2	10,915,692	10,565,355	11,680,122
<b>Net Income (Loss)</b>	<b>11,046,157</b>	<b>9,243,338</b>	<b>14,375,998</b>	<b>34,665,493</b>
<b>Write-Ins for Other Revenues:</b>				
Total Other Revenues	-	-	-	-
<b>Write-Ins for Other Medical and Hospital:</b>				
Other Miscellaneous	2,648,008	7,442,469	5,481,106	15,571,583
Other Capitated Services	3,585	4,227	898	8,710
<b>Total Other Medical and Hospital</b>	<b>2,651,592</b>	<b>7,446,696</b>	<b>5,482,005</b>	<b>15,580,293</b>
<b>Detail of Other MH and SAS:</b>				
Total Other MH and SAS	-	-	-	-
<b>Write-Ins for Other Administration:</b>				
Administrative Services Fees	39,091,590	42,112,528	30,903,745	112,107,853
Behavioral Healthcare Services	4,313,953	4,769,426	3,632,183	12,715,562
Spectera Administration Fees	-	-	-	-
Other Miscellaneous	7,558,916	9,123,385	6,198,950	22,881,251
<b>Total Other Administration</b>	<b>50,964,448</b>	<b>56,005,340</b>	<b>40,734,878</b>	<b>147,704,666</b>

1. The statutory quarterly filing Statement of Revenue and Expenses and the 2A includes TennCare incentives which are presented as Other Revenue per the direction of the TDCI. As these incentives are not considered written premiums or earned premiums per the NAIC guidelines these amounts have been excluded from the statutory quarterly filing Exhibit of Premiums, Enrollment, and Utilization.

2. The provision for federal income taxes incurred is different from that which would be obtained by applying the statutory federal income tax rate of 35% to net income before federal income taxes, plus capital gains tax primarily as a result of the new annual health insurer fee under section 9010 of the ACA that requires the Company to expense 100% of the estimated annual fee on January 1, 2016 which is nondeductible for tax purposes. The Company estimates its health insurer fee on the Medicaid product line to be \$26,919,537 in 2016 YTD, which will be payable in December 2016 and is included in Other Administration - Write-Ins in the Report 2A.



**UnitedHealthcare Community Plan - East Tennessee**  
**Report 2A - TennCare Income Statement**  
CRA 2.30.14.3.3 and 2.30.14.3.4

	Current Qtr YTD Total as of 09/30/2016	YTD Total as of 09/30/2016	Prior Year as of 12/31/2015
<b>Member Months</b>	<b>501,253</b>	<b>1,509,053</b>	<b>2,004,086</b>
<b>Revenues:</b>			
TennCare Capitation	164,267,695	497,282,033	677,170,642
Other Revenue - TennCare Bonuses	-	-	-
Other Revenue - Estimated TennCare Health Insurer Reimbursement Fee	3,582,020	11,324,953	22,139,640
STAT Adjustments	-	2,573,865	(914,270)
<b>Total Revenues</b>	<b>167,849,714</b>	<b>511,180,851</b>	<b>698,396,012</b>
<b>Estimated Expenses:</b>			
<b>Hospital and Medical (w/o Mental Health)</b>			
Capitated Physician Services	-	-	-
Fee-for Service Physician Services	25,145,727	77,970,948	112,547,776
Inpatient Hospital Services	24,078,458	68,758,692	102,424,871
Outpatient Hospital Services	15,127,064	44,885,845	58,011,277
Emergency Room Services	12,841,626	38,291,162	53,572,319
Dental Services	-	-	-
Vision Services	781,190	2,108,223	3,340,670
Pharmacy Services	-	-	-
Home Health Services	1,198,320	3,851,322	4,402,439
Chiropractic Services	-	-	-
Radiology Services	1,844,159	5,648,970	8,023,866
Laboratory Services	1,838,861	5,880,244	14,508,051
Durable Medical Equipment Services	2,345,189	6,805,486	10,057,288
Transportation Services	2,226,691	6,689,895	9,339,470
Outside Referrals	-	-	-
Medical Incentive Pool and Withhold Adj	-	-	-
Occupancy, Depreciation and Amortization	-	-	-
Nursing Facility Care	26,615,712	77,404,729	116,761,647
HCBS Services	7,758,558	23,960,098	28,821,448
Other Medical and Hospital Services - Write-Ins	(1,958,305)	2,651,592	(8,101,704)
<b>Subtotal Medical and Hospital</b>	<b>119,843,249</b>	<b>364,907,207</b>	<b>513,709,418</b>
<b>Mental Health and Substance Abuse Services</b>			
Inpatient Psychiatric Facility Services	1,948,442	5,266,543	7,705,178
Inpatient Substance Abuse Treatment and Detox	229,850	694,200	959,741
Outpatient Mental Health Services	1,060,859	2,705,238	4,071,444
Outpatient Substance Abuse Treatment and Detox	264,153	784,401	826,830
Housing/Residential Treatment	881,704	2,714,408	4,706,275
Specialized Crisis Services	(24,443)	41,502	383,059
Psychiatric Rehab and Support Services	931,499	2,901,499	5,614,095
Case Management	2,102,971	6,188,826	9,174,878
Forensics	-	-	-
Other Judicial	-	-	-
Pharmacy	-	-	-
Lab Services	-	-	-
Transportation	6,000	16,895	24,141
Medical Incentive Pool and Withhold Adjustments	-	-	-
Occupancy, Depreciation and Amortization	-	-	-
Other Mental Health and Substance Abuse Services	779,891	2,378,497	3,738,943
PCP and Specialist Services	-	-	-
Other Mental Health Services - Write-Ins	2,193,287	6,428,960	6,244,886
<b>Subtotal MH&amp;SAS</b>	<b>10,374,211</b>	<b>30,120,969</b>	<b>43,449,469</b>
Subtotal Hospital, Medical, MH&SAS, CHOICES	130,217,460	395,028,176	557,158,886
<b>LESS:</b>			
Net Reinsurance Recoveries Incurred	-	-	-
Copayments	-	-	-
Subrogation and Coordination of Benefits	-	-	-
<b>Subtotal Reinsurance, Copay, Subrogation</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Hospital, Medical, MHS&amp;S</b>	<b>130,217,460</b>	<b>395,028,176</b>	<b>557,158,886</b>
<b>Administration:</b>			
Compensation	-	-	-
Direct and Allocated Admin expenses	-	-	-
Marketing	-	-	-
Interest Expense	-	-	-
Premium Tax Expense	12,541,435	33,929,558	48,730,989
Occupancy, Depreciation, and Amortization	-	-	-
Insurer Fee	51,411	9,225,843	13,475,069
Other Administration - Write-Ins	16,702,393	50,964,448	65,828,243
Fines and Penalties - Other Write-Ins	(3,732)	70,977	785,543
<b>Total Administration Expenses</b>	<b>29,291,508</b>	<b>94,190,826</b>	<b>128,819,843</b>
<b>Total Expenses</b>	<b>159,508,968</b>	<b>489,219,002</b>	<b>685,978,730</b>
Extraordinary Item	-	-	-
Provision for Income Tax	2,937,255	10,915,692	9,062,323
<b>Net Income (Loss)</b>	<b>5,403,491</b>	<b>11,046,157</b>	<b>3,354,959</b>
<b>Write-Ins for Other Revenues:</b>			
Total Other Revenues	-	-	-
<b>Write-Ins for Other Medical and Hospital:</b>			
Other Miscellaneous	(1,960,022)	2,648,008	(1,858,518)
Other Capitated Services	1,718	3,585	1,700
<b>Total Other Medical and Hospital</b>	<b>(1,958,305)</b>	<b>2,651,592</b>	<b>(1,856,818)</b>
<b>Detail of Other MH and SAS:</b>			
Other Miscellaneous	2,193,287	6,428,960	6,244,886
<b>Total Other MH and SAS</b>	<b>2,193,287</b>	<b>6,428,960</b>	<b>6,244,886</b>
<b>Write-Ins for Other Administration:</b>			
Administrative Services Fee	12,840,488	39,091,580	49,158,746
Behavioral Healthcare Services	1,427,944	4,313,953	5,283,779
Spectera Administration Fees	-	-	-
Other Miscellaneous	2,433,962	7,558,916	11,385,717
<b>Total Other Administration</b>	<b>16,702,393</b>	<b>50,964,448</b>	<b>65,828,243</b>

**UnitedHealthcare Community Plan - Middle Tennessee**  
**Report 2A - TennCare Income Statement**  
CRA 2.30.14.3.3 and 2.30.14.3.4

Member Months	Current Qtr YTD	YTD Total as of	Prior Year as of
	Total as of 09/30/2016	09/30/2016	12/31/2015
	<u>527,960</u>	<u>1,557,505</u>	<u>1,961,151</u>
<b>Revenues:</b>			
TennCare Capitation	180,963,551	537,502,499	716,809,774
Other Revenue - TennCare Bonuses	-	-	-
Other Revenue - Estimated TennCare Health Insurer Reimbursement Fee	4,029,370	12,739,299	23,732,492
STAT Adjustments	-	243,215	1,251,661
<b>Total Revenues</b>	<u>184,992,920</u>	<u>550,485,013</u>	<u>741,793,927</u>
<b>Estimated Expenses:</b>			
<b>Hospital and Medical (w/o Mental Health)</b>			
Capitated Physician Services	-	-	-
Fee-for Service Physician Services	29,235,524	86,426,208	118,556,573
Inpatient Hospital Services	36,716,561	96,258,144	108,390,034
Outpatient Hospital Services	17,211,323	50,577,348	64,646,069
Emergency Room Services	10,634,599	31,214,663	33,991,607
Dental Services	-	-	-
Vision Services	1,646,611	3,444,146	2,772,808
Pharmacy Services	-	-	-
Home Health Services	753,932	2,106,817	2,170,298
Chiropractic Services	-	-	-
Radiology Services	2,350,104	6,887,374	8,852,254
Laboratory Services	2,264,171	7,543,513	15,271,041
Durable Medical Equipment Services	2,437,779	7,088,899	9,613,311
Transportation Services	2,901,308	7,962,090	10,711,782
Outside Referrals	-	-	-
Medical Incentive Pool and Withhold Adj	-	-	-
Occupancy, Depreciation and Amortization	-	-	-
Nursing Facility Care	21,876,709	62,436,685	98,745,260
HCBS Services	7,644,906	23,827,543	31,107,695
Other Medical and Hospital Services - Write-Ins	1,316,916	7,446,696	10,662,476
<b>Subtotal Medical and Hospital</b>	<u>136,990,443</u>	<u>393,220,126</u>	<u>515,491,206</u>
<b>Mental Health and Substance Abuse Services</b>			
Inpatient Psychiatric Facility Services	1,912,110	5,557,500	6,815,535
Inpatient Substance Abuse Treatment and Detox	443,440	1,309,948	1,423,676
Outpatient Mental Health Services	2,092,837	5,430,546	7,286,465
Outpatient Substance Abuse Treatment and Detox	319,550	1,039,866	932,684
Housing/Residential Treatment	808,168	2,681,295	3,732,345
Specialized Crisis Services	5,090	25,488	75,829
Psychiatric Rehab and Support Services	1,458,361	5,477,454	7,376,347
Case Management	2,832,575	9,206,572	13,181,532
Forensics	-	-	-
Other Judicial	-	-	-
Pharmacy	-	-	-
Lab Services	-	-	-
Transportation	5,615	15,308	13,415
Medical Incentive Pool and Withhold Adjustments	-	-	-
Occupancy, Depreciation and Amortization	-	-	-
Other Mental Health and Substance Abuse Services	179,264	395,708	531,836
PCP and Specialist Services	-	-	-
Other Mental Health Services - Write-Ins	2,513,350	5,385,432	5,865,041
<b>Subtotal MH&amp;SAS</b>	<u>12,570,360</u>	<u>36,525,117</u>	<u>47,234,705</u>
Subtotal Hospital, Medical, MH&SAS, CHOICES	<u>149,560,803</u>	<u>429,745,243</u>	<u>562,725,911</u>
<b>LESS:</b>			
Net Reinsurance Recoveries Incurred	-	-	-
Copayments	-	-	-
Subrogation and Coordination of Benefits	-	-	-
<b>Subtotal Reinsurance, Copay, Subrogation</b>	<u>-</u>	<u>-</u>	<u>-</u>
<b>Total Hospital, Medical, MHS&amp;S</b>	<u>149,560,803</u>	<u>429,745,243</u>	<u>562,725,911</u>
<b>Administration:</b>			
Compensation	-	-	-
Direct and Allocated Admin expenses	-	-	-
Marketing	-	-	-
Interest Expense	-	-	-
Premium Tax Expense	12,877,385	34,333,241	50,345,743
Occupancy, Depreciation, and Amortization	-	-	-
Insurer Fee	57,832	10,378,036	15,133,140
Other Administration - Write-Ins	18,464,644	56,005,340	68,089,184
Fines and Penalties - Other Write-Ins	82,565	214,460	620,407
<b>Total Administration Expenses</b>	<u>31,482,426</u>	<u>100,931,077</u>	<u>134,188,474</u>
<b>Total Expenses</b>	<u>181,043,229</u>	<u>530,676,320</u>	<u>696,914,385</u>
Extraordinary Item	-	-	-
Provision for Income Tax	1,402,633	10,565,355	21,004,439
<b>Net Income (Loss)</b>	<u>2,547,058</u>	<u>9,243,338</u>	<u>23,875,103</u>
<b>Write-Ins for Other Revenues:</b>			
Total Other Revenues	-	-	-
<b>Write-Ins for Other Medical and Hospital:</b>			
Other Miscellaneous	1,316,067	7,442,469	16,504,164
Other Capitated Services	848	4,227	23,353
<b>Total Other Medical and Hospital</b>	<u>1,316,916</u>	<u>7,446,696</u>	<u>16,527,516</u>
<b>Detail of Other MH and SAS:</b>			
Other Miscellaneous	2,513,350	5,385,432	5,865,041
<b>Total Other MH and SAS</b>	<u>2,513,350</u>	<u>5,385,432</u>	<u>5,865,041</u>
<b>Write-Ins for Other Administration:</b>			
Administrative Services Fee	14,151,941	42,112,528	52,216,027
Behavioral Healthcare Services	1,607,249	4,769,426	5,872,291
Spectera Administration Fees	-	-	-
Other Miscellaneous	2,705,454	9,123,385	10,000,866
<b>Total Other Administration</b>	<u>18,464,644</u>	<u>56,005,340</u>	<u>68,089,184</u>

**UnitedHealthcare Community Plan - West Tennessee**  
**Report 2A - TennCare Income Statement**  
West Tennessee CRA 2.30.14.3.3 and 2.30.14.3.4

Member Months	Current Qtr YTD Total as of 09/30/2016	YTD Total as of 09/30/2016	Prior Year as of 12/31/2015
	<u>425,518</u>	<u>1,272,071</u>	<u>1,653,287</u>
<b>Revenues:</b>			
TennCare Capitation	131,225,858	394,065,536	545,530,131
Other Revenue - TennCare Bonuses	-	-	-
Other Revenue - Estimated TennCare Health Insurer Reimbursement Fee	2,840,372	8,980,152	18,990,537
STAT Adjustments	-	987,380	94,828
<b>Total Revenues</b>	<u>134,066,230</u>	<u>404,033,068</u>	<u>564,615,497</u>
<b>Estimated Expenses:</b>			
<b>Hospital and Medical (w/o Mental Health)</b>			
Capitated Physician Services	-	-	75,005,408
Fee-for Service Physician Services	15,989,057	51,311,913	60,344,401
Inpatient Hospital Services	19,245,530	60,344,401	49,935,203
Outpatient Hospital Services	10,559,670	34,228,828	29,075,579
Emergency Room Services	6,255,919	21,310,182	-
Dental Services	-	-	-
Vision Services	(125,196)	1,533,480	3,038,676
Pharmacy Services	-	-	-
Home Health Services	415,256	1,334,085	1,744,014
Chiropractic Services	-	-	-
Radiology Services	1,008,289	3,237,242	4,893,650
Laboratory Services	1,370,463	4,694,367	7,921,775
Durable Medical Equipment Services	1,540,195	5,129,543	6,987,024
Transportation Services	2,133,911	6,371,613	9,568,252
Outside Referrals	-	-	-
Medical Incentive Pool and Withhold Adj	-	-	-
Occupancy, Depreciation and Amortization	-	-	-
Nursing Facility Care	20,995,496	61,095,415	94,399,646
HCBS Services	8,196,104	24,899,633	30,912,947
Other Medical and Hospital Services - Write-Ins	547,158	5,482,005	3,864,335
<b>Subtotal Medical and Hospital</b>	<u>88,131,851</u>	<u>280,972,707</u>	<u>407,958,464</u>
<b>Mental Health and Substance Abuse Services</b>			
Inpatient Psychiatric Facility Services	1,829,439	6,192,184	9,632,394
Inpatient Substance Abuse Treatment and Detox	150,431	385,581	602,085
Outpatient Mental Health Services	375,650	1,255,822	1,622,162
Outpatient Substance Abuse Treatment and Detox	125,765	363,193	498,372
Housing/Residential Treatment	849,388	2,335,176	4,505,295
Specialized Crisis Services	11,012	33,574	66,354
Psychiatric Rehab and Support Services	1,510,436	5,551,808	8,582,324
Case Management	1,213,999	4,314,965	6,685,460
Forensics	-	-	-
Other Judicial	-	-	-
Pharmacy	-	-	-
Lab Services	-	-	-
Transportation	2,894	22,450	59,289
Medical Incentive Pool and Withhold Adjustments	-	-	-
Occupancy, Depreciation and Amortization	-	-	-
Other Mental Health and Substance Abuse Services	45,811	140,733	1,195,693
PCP and Specialist Services	-	-	-
Other Mental Health Services - Write-Ins	964,348	2,832,399	3,314,672
<b>Subtotal MH&amp;SAS</b>	<u>7,079,174</u>	<u>23,427,884</u>	<u>36,764,099</u>
Subtotal Hospital, Medical, MH&SAS, CHOICES	<u>95,211,025</u>	<u>304,400,591</u>	<u>444,722,563</u>
<b>LESS:</b>			
Net Reinsurance Recoveries Incurred	-	-	-
Copayments	-	-	-
Subrogation and Coordination of Benefits	-	-	-
<b>Subtotal Reinsurance, Copay, Subrogation</b>	<u>-</u>	<u>-</u>	<u>-</u>
<b>Total Hospital, Medical, MHS&amp;S</b>	<u>95,211,025</u>	<u>304,400,591</u>	<u>444,722,563</u>
<b>Administration:</b>			
Compensation	-	-	-
Direct and Allocated Admin expenses	-	-	-
Marketing	-	-	-
Interest Expense	-	-	-
Premium Tax Expense	9,533,305	25,429,173	37,266,242
Occupancy, Depreciation, and Amortization	-	-	-
Insurer Fee	40,767	7,315,657	10,998,544
Other Administration - Write-Ins	13,459,719	40,734,878	51,183,677
Fines and Penalties - Other Write-Ins	38,167	96,648	513,625
<b>Total Administration Expenses</b>	<u>23,071,958</u>	<u>73,576,357</u>	<u>99,962,088</u>
<b>Total Expenses</b>	<u>118,282,983</u>	<u>377,976,948</u>	<u>544,684,651</u>
Extraordinary Item	-	-	-
Provision for Income Tax	5,538,405	11,680,122	10,825,286
<b>Net Income (Loss)</b>	<u>10,244,843</u>	<u>14,375,998</u>	<u>9,105,559</u>
<b>Write-Ins for Other Revenues:</b>			
Total Other Revenues	-	-	-
<b>Write-Ins for Other Medical and Hospital:</b>			
Other Miscellaneous	547,113	5,481,106	7,179,007
Other Capitated Services	44	898	-
<b>Total Other Medical and Hospital</b>	<u>547,158</u>	<u>5,482,005</u>	<u>7,179,007</u>
<b>Detail of Other MH and SAS:</b>			
Other Miscellaneous	964,348	2,832,399	3,314,672
<b>Total Other MH and SAS</b>	<u>964,348</u>	<u>2,832,399</u>	<u>3,314,672</u>
<b>Write-Ins for Other Administration:</b>			
Administrative Services Fee	10,256,056	30,903,745	39,752,763
Behavioral Healthcare Services	1,210,621	3,632,183	3,836,444
Spectera Administration Fees	-	-	-
Other Miscellaneous	1,993,042	6,198,950	7,594,470
<b>Total Other Administration</b>	<u>13,459,719</u>	<u>40,734,878</u>	<u>51,183,677</u>

**STATEMENT AS OF SEPTEMBER 30, 2016 OF UNITEDHEALTHCARE PLAN OF THE RIVER VALLEY, INC.**

**EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION**

Tennessee	1  Total	Comprehensive (Hospital & Medical)		4  Medicare Supplement	5  Vision Only	6  Dental Only	7  Federal Employees Health Benefit Plan	8  Medicare	9  Medicaid	10  Other
		2  Individual	3  Group							
<b>Total Members at end of:</b>										
1. Prior Year	548,704		824				XXX	70,765	477,115	
2. First Quarter	524,618		728				XXX	43,639	480,251	
3. Second Quarter	530,686		716				XXX	44,331	485,639	
4. Third Quarter	527,641		645				XXX	45,011	481,985	
5. Current Year	-		-				XXX	-	-	
6. Current Year Member Months	4,741,829		6,367				XXX	396,833	4,338,629	
<b>Total Member Ambulatory Encounters for Year:</b>										
7. Physician	3,829,028		3,400				XXX	837,938	2,987,689	
8. Non-Physician	2,861,619		676				XXX	526,456	2,334,487	
9. Total	6,690,646		4,076				XXX	1,364,394	5,322,176	
10. Hospital Patient Days Incurred	1,868,347		169				XXX	120,424	1,747,754	
11. Number of Inpatient Admissions	135,437		29				XXX	16,897	118,511	
12. Health Premiums Written	1,955,650,183		2,474,205				XXX	487,477,045	1,465,698,933	
13. Life Premiums Direct	-		-				XXX	-	-	
14. Property/Casualty Premiums Written	-		-				XXX	-	-	
15. Health Premiums Earned	1,957,975,341		2,474,205				XXX	489,740,611	1,465,760,526	
16. Property/Casualty Premiums Earned	-		-				XXX	-	-	
17. Amount Paid for Provision of Health Care Services	1,535,844,641		2,983,679				XXX	385,590,532	1,147,270,430	
18. Amount Incurred for Provision of Health Care Services	1,484,660,284		3,041,867				XXX	352,444,407	1,129,174,010	

STATEMENT AS OF September 30, 2016 FOR  
UNITEDHEALTHCARE PLAN OF THE RIVER VALLEY, INC.

**EXHIBIT 2 - ACCIDENT AND HEALTH PREMIUMS DUE AND UNPAID**

Individually list all debtors with account balances the greater of 10% of gross Premiums Receivable or \$10,000.

Name of Debtor	1-30 Days	31-60 Days	61-90 Days	Over 90 Days	Non Admitted	Admitted
Total Individuals	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Group subscribers:	-	-	-	-	-	-
	-	-	-	-	-	-
Group subscriber subtotal	-	-	-	-	-	-
Premiums due and unpaid not individually listed	386,235	-	-	48,247	63,793	370,689
Total group	386,235	-	-	48,247	63,793	370,689
Premiums due and unpaid from Medicare entities	-	-	-	2,084,681	4,953	2,079,728
Premiums due and unpaid from Medicaid entities	14,663,411	11,542,613	10,422,295	45,126,524	-	81,754,843
Accident and health premiums due and unpaid (Page 2, Line 15)	\$ 15,049,646	\$ 11,542,613	\$ 10,422,295	\$ 47,259,452	68,746	\$ 84,205,260

STATEMENT AS OF September 30, 2016 OF UNITEDHEALTHCARE PLAN OF THE RIVER VALLEY, INC.

**Exhibit 3 - Health Care Receivables**

	2 1 - 30 Days	3 31 - 60 Days	4 61 - 90 Days	5 Over 90 Days	6 Nonadmitted	7 Admitted
OptumRx, Inc.	\$ 30,430,236	\$ 801,705	\$ 654,158	\$ 1,433,403	\$ 2,604,036	\$ 30,715,466
0199998 Aggregate Pharmaceutical Rebate Receivables Not Individually Listed	-	-	-	-	-	-
0199999 Total Pharmaceutical Rebate Receivables	30,430,236	801,705	654,158	1,433,403	2,604,036	30,715,466
0299998 Aggregate Claim Overpayment Receivables Not Individually Listed	12,407,390	151,167	66,541	8,244,152	18,830,436	2,038,814
0299999 Total Claim Overpayment Receivables	12,407,390	151,167	66,541	8,244,152	18,830,436	2,038,814
0399998 Aggregate Loans and Advances to Providers Not Individually Listed	-	-	-	2,256,152	2,256,152	-
0399999 Total Loans and Advances to Providers	-	-	-	2,256,152	2,256,152	-
0499998 Aggregate Capitation Arrangement Receivables Not Individually Listed	-	-	-	-	-	-
0499999 Total Capitation Arrangement Receivables	-	-	-	-	-	-
0599998 Aggregate Risk Sharing Receivables Not Individually Listed	-	245,813	-	-	245,813	-
0599999 Total Risk Sharing Receivables	-	245,813	-	-	245,813	-
0699998 Aggregate Other Receivables Not Individually Listed	-	-	-	-	-	-
0699999 Total Other Receivables	-	-	-	-	-	-
0799999 Gross Health Care Receivables	\$ 42,837,626	\$ 1,198,685	\$ 720,699	\$ 11,933,707	\$ 23,936,437	\$ 32,754,280

STATEMENT AS OF September 30, 2016 OF UNITEDHEALTHCARE PLAN OF THE RIVER VALLEY, INC.

**Exhibit 5 - Amounts Due From Parent, Subsidiaries and Affiliates**

	1 Name of Affiliate	2 1 - 30 Days	3 31 -60 Days	4 61 - 90 Days	5 Over 90 Days	6 Nonadmitted	7 Current	8 Non-Current
0100001	United HealthCare Services, Inc.	9,793,413	-	-	-	-	9,793,413	-
0199999	Individually listed receivables	9,793,413	-	-	-	-	9,793,413	-
0299999	Receivables not individually listed							
0399999	Total gross amounts receivable	9,793,413	-	-	-	-	9,793,413	-

STATEMENT AS OF Septemebr 30, 2016 OF UNITEDHEALTHCARE PLAN OF THE RIVER VALLEY, INC.

**Exhibit 6 - Amounts Due To Parent, Subsidiaries and Affiliates**

	1 Affiliate	2 Description	3 Amount	4 Current	5 Non-Current
0100001	United HealthCare Services, Inc.	Intercompany Payables	35,657,566	35,657,566	-
0199999	Individually listed payables		35,657,566	35,657,566	-
0299999	Payables not individually listed		-	-	-
0399999	Total gross payables		35,657,566	35,657,566	-