



HEALTH QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2020
OF THE CONDITION AND AFFAIRS OF THE

Humana Health Plan, Inc.

NAIC Group Code 0119 0119 NAIC Company Code 95885 Employer's ID Number 61-1013183
(Current) (Prior)

Organized under the Laws of Kentucky, State of Domicile or Port of Entry KY

Country of Domicile United States of America

Licensed as business type: Health Maintenance Organization

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

Incorporated/Organized 08/23/1982 Commenced Business 09/23/1983

Statutory Home Office 500 West Main Street, Louisville, KY, US 40202
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 500 West Main Street
(Street and Number)
Louisville, KY, US 40202, 502-580-1000
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address P.O. Box 740036, Louisville, KY, US 40201-7436
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 500 West Main Street
(Street and Number)
Louisville, KY, US 40202, 502-580-1000
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Website Address www.humana.com

Statutory Statement Contact Stephen Jackson, 502-580-2715
(Name) (Area Code) (Telephone Number)
DOIINQUIRIES@humana.com, 502-580-2099
(E-mail Address) (FAX Number)

OFFICERS

President & CEO	<u>Bruce Dale Broussard</u>	Chief Financial Officer	<u>Brian Andrew Kane</u>
Associate VP, Asst Gen Counsel & Corporate Secretary	<u>Joseph Matthew Ruschell</u>	SVP, Chief Actuary	<u>Vanessa Marie Olson</u>

OTHER

<u>Alan James Bailey, VP & Treasurer</u>	<u>John Edward Barger III, SVP, Medicaid President</u>	<u>Andrew Joseph Besendorf III, Appointed Actuary</u>
<u>Charles Wilbur Dow Jr., Regional President</u>	<u>Courtney Danielle Durall, Assistant Corporate Secretary and Legal Advisor</u>	<u>Douglas Allen Edwards, Senior Vice President, Workplace Experience</u>
<u>Jeffrey Carl Fernandez, SVP, Medicare West and MarketPOINT</u>	<u>Christopher Howal Hunter, Segment President, Group & Military Business</u>	<u>Steven Edward McCulley, SVP, Medicare</u>
<u>Matthew George Moore #, Regional President</u>	<u>Sean Joseph O'Reilly, SVP, Enterprise Compliance & Chief Compliance Officer</u>	<u>Bruno Roger Piquin, Regional President</u>
<u>William Mark Preston, VP, Investments</u>	<u>Richard Donald Remmers, SVP, Employer Group Sales</u>	<u>George Renaudin II, SVP, Medicare East & Provider</u>
<u>Donald Hank Robinson, SVP, Tax</u>	<u>Gilbert Alan Stewart, SVP, Medicare Divisional Leader</u>	<u>Daniel Andrew Tufto, SVP, Medicare Divisional Leader</u>
<u>Richard Andrew Vollmer Jr., SVP, Medicare Divisional Leader</u>	<u>Timothy Alan Wheatley, Segment President, Retail</u>	<u>Ralph Martin Wilson, Vice President</u>
<u>Cynthia Hillebrand Zipperle, SVP, Chief Accounting Officer & Controller</u>		

DIRECTORS OR TRUSTEES

<u>Bruce Dale Broussard</u>	<u>Brian Andrew Kane</u>	<u>Timothy Alan Wheatley</u>
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State of Kentucky SS:
County of Jefferson

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.

<u>Bruce Dale Broussard</u> President & CEO	<u>Joseph Matthew Ruschell</u> Assoc. VP, Asst. General Counsel & Corporate Secretary	<u>Alan James Bailey</u> VP & Treasurer
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Subscribed and sworn to before me this 4th day of November, 2020

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

Julia Wentworth
Notary Public
January 10, 2021

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	370,292,483	0	370,292,483	353,116,015
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	27,600,000	0	27,600,000	27,600,000
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 (\$9,969,445), cash equivalents (\$88,531,752) and short-term investments (\$0)	98,501,197	0	98,501,197	110,238,061
6. Contract loans (including \$0 premium notes)	0	0	0	0
7. Derivatives	0	0	0	0
8. Other invested assets	0	0	0	0
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)	496,393,680	0	496,393,680	490,954,076
13. Title plants less \$0 charged off (for Title insurers only)	0	0	0	0
14. Investment income due and accrued	1,975,029	0	1,975,029	2,632,264
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection	60,466,523	363,741	60,102,783	40,078,475
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 (\$3,204,789) and contracts subject to redetermination (\$2,917,041)	6,121,830	0	6,121,830	51,740,103
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	32,587,056	18,297	32,568,759	21,821,192
18.1 Current federal and foreign income tax recoverable and interest thereon	3,849,072	0	3,849,072	3,478,401
18.2 Net deferred tax asset	13,148,549	167,592	12,980,957	12,980,957
19. Guaranty funds receivable or on deposit	0	0	0	0
20. Electronic data processing equipment and software	0	0	0	0
21. Furniture and equipment, including health care delivery assets (\$0)	1,054,729	1,054,729	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	22,409,982	0	22,409,982	0
24. Health care (\$23,177,311) and other amounts receivable	31,587,071	7,380,481	24,206,590	16,999,292
25. Aggregate write-ins for other than invested assets	16,928,725	16,907,408	21,317	338,333
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25)	686,522,246	25,892,247	660,629,999	641,023,093
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts	0	0	0	0
28. Total (Lines 26 and 27)	686,522,246	25,892,247	660,629,999	641,023,093
DETAILS OF WRITE-INS				
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. Prepaid Expenses	13,727,975	13,727,975	0	0
2502. Deposits	2,913,890	2,913,890	0	0
2503. Prepaid Commissions	265,543	265,543	0	0
2598. Summary of remaining write-ins for Line 25 from overflow page	21,317	0	21,317	338,333
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	16,928,725	16,907,408	21,317	338,333

LIABILITIES, CAPITAL AND SURPLUS

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$1,409,357 reinsurance ceded)	239,791,990	10,689,294	250,481,284	134,982,452
2. Accrued medical incentive pool and bonus amounts	93,777	0	93,777	1,165,951
3. Unpaid claims adjustment expenses	2,507,207	0	2,507,207	740,381
4. Aggregate health policy reserves, including the liability of \$734,399 for medical loss ratio rebate per the Public Health Service Act	49,847,311	0	49,847,311	55,179,159
5. Aggregate life policy reserves	0	0	0	0
6. Property/casualty unearned premium reserve	0	0	0	0
7. Aggregate health claim reserves	443,000	0	443,000	443,000
8. Premiums received in advance	16,831,220	0	16,831,220	11,654,623
9. General expenses due or accrued	27,003,368	0	27,003,368	15,608,852
10.1 Current federal and foreign income tax payable and interest thereon (including \$0 on realized gains (losses))	0	0	0	0
10.2 Net deferred tax liability	0	0	0	0
11. Ceded reinsurance premiums payable	0	0	0	0
12. Amounts withheld or retained for the account of others	0	0	0	0
13. Remittances and items not allocated	2,477,010	0	2,477,010	3,662,115
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	0	0	0	1,861,174
16. Derivatives	0	0	0	0
17. Payable for securities	0	0	0	0
18. Payable for securities lending	0	0	0	0
19. Funds held under reinsurance treaties (with \$0 authorized reinsurers, \$26,030,514 unauthorized reinsurers and \$0 certified reinsurers)	26,030,514	0	26,030,514	120,261,141
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	42,541,679	0	42,541,679	43,381,496
23. Aggregate write-ins for other liabilities (including \$509,484 current)	4,655,019	0	4,655,019	1,276,885
24. Total liabilities (Lines 1 to 23)	412,222,095	10,689,294	422,911,389	390,217,228
25. Aggregate write-ins for special surplus funds	XXX	XXX	0	40,773,666
26. Common capital stock	XXX	XXX	2,248,000	2,248,000
27. Preferred capital stock	XXX	XXX	0	0
28. Gross paid in and contributed surplus	XXX	XXX	157,187,779	157,187,779
29. Surplus notes	XXX	XXX	0	0
30. Aggregate write-ins for other than special surplus funds	XXX	XXX	0	0
31. Unassigned funds (surplus)	XXX	XXX	78,282,831	50,596,419
32. Less treasury stock, at cost:				
32.10 shares common (value included in Line 26 \$0)	XXX	XXX	0	0
32.20 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	237,718,609	250,805,864
34. Total liabilities, capital and surplus (Lines 24 and 33)	XXX	XXX	660,629,999	641,023,092
DETAILS OF WRITE-INS				
2301. Reinsurance Payable	2,725,132	0	2,725,132	102,385
2302. Unclaimed Property	1,069,513	0	1,069,513	1,158,739
2303. OPM Contract Reserves	860,375	0	860,375	15,762
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)	4,655,019	0	4,655,019	1,276,885
2501. Special Surplus – Projected HCRL Assessment for the Upcoming Year	XXX	XXX	0	40,773,666
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	40,773,666
3001.	XXX	XXX		
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	0	0

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	3,037,694	3,094,957	4,120,152
2. Net premium income (including \$0 non-health premium income).....	XXX	1,573,938,999	828,935,898	1,118,173,423
3. Change in unearned premium reserves and reserve for rate credits.....	XXX	723,358	5,569,566	5,818,480
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	0	0
7. Aggregate write-ins for other non-health revenues	XXX	0	0	0
8. Total revenues (Lines 2 to 7)	XXX	1,574,662,357	834,505,464	1,123,991,903
Hospital and Medical:				
9. Hospital/medical benefits	31,912,536	959,967,972	992,746,228	1,350,678,523
10. Other professional services	729,232	21,964,549	2,086,231	3,411,633
11. Outside referrals	0	0	0	0
12. Emergency room and out-of-area	2,255,149	68,014,077	58,211,280	76,191,381
13. Prescription drugs	10,761,069	278,651,267	267,378,901	368,642,139
14. Aggregate write-ins for other hospital and medical	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts	0	(818,946)	621,112	(1,087,324)
16. Subtotal (Lines 9 to 15)	45,657,986	1,327,778,919	1,321,043,752	1,797,836,353
Less:				
17. Net reinsurance recoveries	0	5,399,392	652,097,649	869,937,792
18. Total hospital and medical (Lines 16 minus 17)	45,657,986	1,322,379,527	668,946,103	927,898,561
19. Non-health claims (net)	0	0	0	0
20. Claims adjustment expenses, including \$71,183,833 cost containment expenses	0	88,279,775	59,746,522	80,561,028
21. General administrative expenses	0	169,513,886	52,360,665	73,981,017
22. Increase in reserves for life and accident and health contracts (including \$0 increase in reserves for life only)	0	0	0	(1,937,000)
23. Total underwriting deductions (Lines 18 through 22).....	45,657,986	1,580,173,187	781,053,290	1,080,503,606
24. Net underwriting gain or (loss) (Lines 8 minus 23)	XXX	(5,510,830)	53,452,174	43,488,297
25. Net investment income earned	0	8,072,504	18,783,841	23,353,104
26. Net realized capital gains (losses) less capital gains tax of \$(20,770)	0	(66,997)	(12,211,161)	(10,014,784)
27. Net investment gains (losses) (Lines 25 plus 26)	0	8,005,507	6,572,681	13,338,320
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$0) (amount charged off \$0)].....	0	0	0	0
29. Aggregate write-ins for other income or expenses	0	274	(12,545)	(306,990)
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	2,494,952	60,012,309	56,519,627
31. Federal and foreign income taxes incurred	XXX	7,404,053	14,680,684	12,198,450
32. Net income (loss) (Lines 30 minus 31)	XXX	(4,909,102)	45,331,626	44,321,177
DETAILS OF WRITE-INS				
0601.	XXX			
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	0	0
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. Miscellaneous Income	0	274	2,185	2,201
2902. Loss on Disposal	0	0	(14,730)	(309,191)
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	274	(12,545)	(306,990)

STATEMENT OF REVENUE AND EXPENSES (Continued)

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
CAPITAL AND SURPLUS ACCOUNT			
33. Capital and surplus prior reporting year.....	250,805,864	757,922,419	757,922,419
34. Net income or (loss) from Line 32	(4,909,102)	45,331,626	44,321,177
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	(51,616)	39,546,045	39,533,604
37. Change in net unrealized foreign exchange capital gain or (loss)	0	0	0
38. Change in net deferred income tax	0	0	(10,319,375)
39. Change in nonadmitted assets	(8,126,537)	27,499,591	29,813,767
40. Change in unauthorized and certified reinsurance	0	6,407,487	6,407,487
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	(421,787,503)	(616,873,215)
45.2 Transferred to capital (Stock Dividend)	0	0	0
45.3 Transferred from capital	0	0	0
46. Dividends to stockholders	0	(46,809,104)	0
47. Aggregate write-ins for gains or (losses) in surplus	0	0	0
48. Net change in capital & surplus (Lines 34 to 47)	(13,087,255)	(349,811,858)	(507,116,555)
49. Capital and surplus end of reporting period (Line 33 plus 48)	237,718,609	408,110,561	250,805,864
DETAILS OF WRITE-INS			
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

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan Inc.

CASH FLOW

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
Cash from Operations			
1. Premiums collected net of reinsurance	1,602,909,652	893,996,588	1,157,657,214
2. Net investment income	10,054,371	27,730,257	33,212,882
3. Miscellaneous income	0	0	0
4. Total (Lines 1 to 3)	1,612,964,023	921,726,845	1,190,870,097
5. Benefit and loss related payments	1,213,297,054	855,353,321	1,130,929,302
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	255,799,311	137,304,053	176,236,628
8. Dividends paid to policyholders	0	0	0
9. Federal and foreign income taxes paid (recovered) net of \$571,442 tax on capital gains (losses)	7,753,954	19,065,448	14,589,286
10. Total (Lines 5 through 9)	1,476,850,319	1,011,722,822	1,321,755,216
11. Net cash from operations (Line 4 minus Line 10)	136,113,704	(89,995,977)	(130,885,119)
Cash from Investments			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds	110,800,914	485,111,766	729,068,904
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	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments	10	0	0
12.7 Miscellaneous proceeds	0	325,000	325,000
12.8 Total investment proceeds (Lines 12.1 to 12.7)	110,800,924	485,436,766	729,393,904
13. Cost of investments acquired (long-term only):			
13.1 Bonds	129,441,407	12,549,980	39,550,376
13.2 Stocks	0	150,000,000	150,000,000
13.3 Mortgage loans	0	0	0
13.4 Real estate	0	0	0
13.5 Other invested assets	0	0	0
13.6 Miscellaneous applications	0	0	0
13.7 Total investments acquired (Lines 13.1 to 13.6)	129,441,407	162,549,980	189,550,376
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)	(18,640,483)	322,886,786	539,843,528
Cash from Financing and Miscellaneous Sources			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes	0	0	0
16.2 Capital and paid in surplus, less treasury stock	0	(233,190,896)	(430,000,000)
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	0	46,809,104	0
16.6 Other cash provided (applied)	(129,210,086)	59,357,453	49,145,078
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6)	(129,210,086)	(220,642,548)	(380,854,923)
RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17)	(11,736,865)	12,248,261	28,103,485
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year	110,238,061	82,134,576	82,134,576
19.2 End of period (Line 18 plus Line 19.1)	98,501,197	94,382,837	110,238,061

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

20.0001. Non-Cash Return of Capital of Investment in Subsidiary – Proceeds for Stocks	0	0	(188,596,607)
20.0002. Non-Cash Return of Capital of Investment in subsidiary – Capital and Paid in surplus	0	0	188,596,607
20.0003. Non-Cash Dividend of Investment in Subsidiary – Proceeds for Stocks	0	(188,596,607)	0
20.0004. Non-Cash Dividend of Investment in Subsidiary – Capital and Paid in surplus	0	188,596,607	0

EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1 Total	Comprehensive (Hospital & Medical)		4 Medicare Supplement	5 Vision Only	6 Dental Only	7 Federal Employees Health Benefit Plan	8 Title XVIII Medicare	9 Title XIX Medicaid	10 Other
		2 Individual	3 Group							
Total Members at end of:										
1. Prior Year	337,962	9	162,415	1,534	0	0	10,848	8,094	155,062	0
2. First Quarter	335,218	6	160,620	1,836	0	0	9,001	7,534	156,221	0
3. Second Quarter	333,524	6	151,083	1,986	0	0	8,840	7,540	164,069	0
4. Third Quarter	337,637	4	146,594	2,060	0	0	8,707	8,630	171,642	0
5. Current Year	0	0	0	0	0	0	0	0	0	0
6. Current Year Member Months	3,037,694	52	1,394,399	17,213	0	(25)	79,045	70,213	1,476,797	0
Total Member Ambulatory Encounters for Period:										
7. Physician	3,032,884	69	850,824	21,206	0	0	65,804	151,092	1,943,889	0
8. Non-Physician	1,132,728	34	290,448	9,279	0	0	25,084	87,667	720,216	0
9. Total	4,165,612	103	1,141,272	30,485	0	0	90,888	238,759	2,664,105	0
10. Hospital Patient Days Incurred	228,857	16	28,398	1,055	0	0	3,086	20,906	175,396	0
11. Number of Inpatient Admissions	21,198	0	4,847	168	0	0	343	1,422	14,418	0
12. Health Premiums Written (a)	1,596,470,601	21,634,697	599,608,773	2,529,909	0	0	58,320,578	109,463,182	804,913,463	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	1,597,193,960	21,634,697	600,332,131	2,529,909	0	0	58,320,578	109,463,182	804,913,463	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.....	1,285,756,810	(347,994)	486,949,238	1,965,614	0	0	52,486,556	75,915,850	668,787,546	0
18. Amount Incurred for Provision of Health Care Services	1,327,778,919	(158,750)	494,226,340	2,159,136	0	0	50,502,794	86,355,606	694,693,793	0

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$109,463,182

CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)

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)	59,648,704	426,952,541	2,841,305	86,525,497	62,490,009	78,203,376
2. Medicare Supplement	255,001	1,710,613	5,293	474,231	260,294	285,981
3. Dental Only	0	0	0	0	0	0
4. Vision Only	0	0	0	0	0	0
5. Federal Employees Health Benefits Plan	4,995,431	47,491,125	390,461	5,784,055	5,385,892	6,195,052
6. Title XVIII - Medicare	23,337,352	52,325,270	5,204,084	44,249,761	28,541,435	40,689,428
7. Title XIX - Medicaid	8,725,336	587,901,056	1,422,276	104,027,321	10,147,612	10,051,615
8. Other health	0	0	0	0	0	0
9. Health subtotal (Lines 1 to 8)	96,961,823	1,116,380,605	9,863,419	241,060,865	106,825,242	135,425,452
10. Healthcare receivables (a)	0	30,557,792	0	0	0	24,915,005
11. Other non-health	0	0	0	0	0	0
12. Medical incentive pools and bonus amounts	253,228	0	93,789	(12)	347,017	1,165,951
13. Totals (Lines 9-10+11+12)	97,215,051	1,085,822,813	9,957,208	241,060,853	107,172,259	111,676,398

(a) Excludes \$ 0 loans or advances to providers not yet expensed.

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

1. Summary of Significant Accounting Policies and Going Concern

A. Accounting Practices

The financial statements of the Company are presented on the basis of accounting practices prescribed or permitted by the Commonwealth of Kentucky Department of Insurance.

The Commonwealth of Kentucky Department of Insurance (the Department) recognizes only statutory accounting practices prescribed or permitted by the State of Kentucky for determining and reporting the financial condition and results of operations of an insurance company, for determining its solvency under the Kentucky Insurance Law. The National Association of Insurance Commissioners' (NAIC) Accounting Practices and Procedures manual (NAIC SSAP) has been adopted as a component of prescribed or permitted practices by the State of Kentucky. The Commissioner of Insurance has the right to permit other specific practices that deviate from prescribed practices.

Effective June 30, 2019, the Department approved the merger of CHA Service Company into CHA HMO Inc., its direct subsidiary and a non-cash return of capital of CHA HMO Inc. from the Company to Humana Inc. Under SSAP No. 25, *Accounting for and Disclosures about Transactions with Affiliates and Other Related Parties*, this transaction would be recorded at fair value since it would be deemed "economic" in nature. The Department approved a permitted practice to allow the Company to report this transaction at book value. The Company's risk-based capital would not have triggered a regulatory event had it not used a prescribed or permitted practice.

A reconciliation of the Company's net income and capital and surplus between NAIC SSAP and practices prescribed and permitted by the State of Kentucky is shown below:

	SSAP #	F/S Page	F/S Line #		2020	2019
Net (Loss)/Income						
1. Humana Health Plan, Inc. Kentucky basis	xxx	xxx	xxx	\$	(4,909,102)	\$ 44,321,177
2. State Prescribed Practices that is an increase/(decrease) NAIC SSAP					-	-
3. State Permitted Practices that is an increase/(decrease) NAIC SSAP					-	-
a. Unrecorded net realized gains impact due to valuation difference	24	4	26		-	995,308,000
4. NAIC SSAP	xxx	xxx	xxx	\$	<u>(4,909,102)</u>	<u>\$ 1,039,629,177</u>
Surplus						
5. Humana Health Plan, Inc. Kentucky basis	xxx	xxx	xxx	\$	237,718,609	\$ 250,805,864
6. State Prescribed Practices that is an increase/(decrease) NAIC SSAP					-	-
7. State Permitted Practices that is an increase/(decrease) NAIC SSAP					-	-
a. Unrecorded net realized gains impact due to valuation difference	24	5	34		-	995,308,000
b. Return of Capital impact due to valuation difference	24	5	45		-	(995,308,000)
8. NAIC SSAP	xxx	xxx	xxx	\$	<u>237,718,609</u>	<u>\$ 250,805,864</u>

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

The preparation of financial statements in conformity with Statutory Accounting Principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities. It also requires disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the period. These estimates are based on knowledge of current events and anticipated future events, and accordingly, actual results could differ from those estimates.

C. Accounting Policy

Premiums are reported as earned in the period in which members are entitled to receive services, and are net of retroactive membership adjustments. Retroactive membership adjustments result from enrollment changes not yet processed, or not yet reported by an employer group or the government. Premiums received prior to such period are recorded as advance premiums.

Benefits incurred and loss adjustment expenses include claim payments, capitation payments, pharmacy costs net of rebates, allocations of certain centralized expenses, legal and administrative costs to settle claims, and various other costs incurred to provide health insurance coverage to members, as well as estimates of future payments to hospitals and others for medical care provided prior to the date of the statements of admitted assets, liabilities and surplus. Capitation payments represent monthly contractual fees disbursed to participating primary care physicians, and other providers who are responsible for providing medical care to members. Pharmacy costs represent payments for members' prescription drug benefits, net of rebates from drug manufacturers.

In addition, the Company uses the following accounting policies:

- (1) Short-term investments include investments mainly in U.S. Government obligations with a maturity of twelve months or less from the date of purchase. Short-term investments are recorded at amortized cost. The carrying value of short-term investments approximates fair value due to the short-term maturities of the investments.

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- (2-4) Investments are valued and classified in accordance with methods prescribed by the NAIC. Bonds with an NAIC rating of 1 or 2 are carried at amortized cost, with all other bonds being recorded at the lower of amortized cost or fair value; redeemable preferred stocks are carried at amortized cost; and non-redeemable preferred stocks are carried at fair value. Common stocks are carried at fair value.

The Company regularly evaluates investment securities for impairment. For all securities other than loan-backed and structured securities, the Company considers factors affecting the investee, factors affecting the industry the investee operates within, and general debt and equity market trends. The Company also considers the length of time an investment's fair value has been below carrying value, the near term prospects for recovery to carrying value, and the Company's intent and ability to hold the investment until maturity or market recovery is realized. If and when a determination is made that a decline in fair value below the cost basis is other-than-temporary, the related investment is written down to its estimated fair value through earnings.

Amortization of bond premium or discount is computed using the scientific interest method.

Income from investments is recorded on an accrual basis. For the purpose of determining realized gains and losses, the cost of securities sold is based upon specific identification. Investment income due and accrued over 90 days past due is nonadmitted.

- (5) The Company estimates the fair value of its investments in mortgage loans on real estate using a discounted cash flow method based on rating, maturity and future income when compared to the expected yield for mortgages having similar characteristics. The rating for mortgages in good standing is based on property type, location, market conditions, occupancy, debt service coverage, loan to value, caliber of tenancy, borrower and payment record. Problem mortgages are priced to reflect their monetary value to the Company, considering such things as the degree of default, whether or not the payments are still being made, interest rate, maturity and operating performance of the underlying collateral.
- (6) For loan backed and structured securities where the securities fair value is less than the amortized cost, the Company considers several factors to determine if the security's impairment is other-than-temporary. If the Company has the intent to sell the security or if the Company does not have the intent and ability to retain the security until recovery of its fair value, the related investment is written down to its estimated fair value through earnings. If, however, the Company has the intent and ability to retain the security until recovery of its fair value, the Company considers factors affecting the investee, factors affecting the industry the investee operates within, and general debt and equity market trends. The Company also considers the length of time an investment's fair value has been below carrying value and the near term prospects for recovery to carrying value. If the determination is made, based on these factors, that the Company does expect to recover the entire amortized cost of the security, then an other-than-temporary impairment has not occurred. If, however, the determination is made that the Company does not expect to recover the entire amortized cost of the security based on the factors noted above, the Company recognizes a realized loss in earnings for the non-interest related decline. No loss is recognized for the interest impairment.
- (7) Not Applicable.
- (8) Not Applicable.
- (9) Not Applicable.
- (10-11) The estimates of future medical benefit payments are developed using actuarial methods and assumptions based upon claim payment patterns, medical cost inflation, historical development such as claim inventory levels and claim receipt patterns, and other relevant factors. Corresponding administrative costs to process outstanding claims are estimated and accrued. Estimates of future payments relating to services incurred in the current and prior periods are continually reviewed by management and adjusted as necessary.

The Company assesses the profitability of its contracts for providing health insurance coverage to its members when current operating results or forecasts indicate probable future losses. The Company records a premium deficiency liability in current operations to the extent that the sum of expected future medical costs, claim adjustment expenses and maintenance costs exceed related future premiums. Investment income is not contemplated in the calculation of the premium deficiency liability.

Management believes the Company's benefits payable and loss adjustment expense are adequate to cover future claims and loss adjustment expense payments required, however, such estimates are based on knowledge of current events and anticipated future events and, therefore, the actual liability could differ from the amounts provided.

- (12) The Company has not modified its capitalization policy from the prior period.

Equipment is stated at cost less accumulated depreciation. Depreciation expense is computed using the straight-line method over estimated useful lives generally ranging from three to five years. Improvements to leased facilities are depreciated over the shorter of the remaining lease term or the anticipated life of the improvement.

The Company recognizes an asset or liability for the deferred tax consequences of temporary differences between the tax basis of assets or liabilities and their reported amounts in the financial statements. The temporary differences will result in taxable or deductible amounts in future years when the reported amounts of the assets or liabilities are recovered or settled.

- (13) The Company estimates anticipated Pharmacy Rebate Receivables using the analysis of historical recovery patterns.
- (14) Not Applicable.
- (15) Not Applicable.

NOTES TO THE FINANCIAL STATEMENTS

D. Going Concern

Management of the Company has evaluated the Company’s ability to continue as a going concern under SSAP No. 1, *Accounting Policies, Risks & Uncertainties, and Other Disclosures* (SSAP No. 1). Based on this evaluation, Management has determined that there is no substantial doubt about the Company’s ability to continue as a going concern.

2. Accounting Changes and Corrections of Errors

Not Applicable.

3. Business Combinations and Goodwill

A. Statutory Purchase Method

On April 30, 2008, the Company acquired UnitedHealth Group’s Las Vegas, Nevada individual SecureHorizons Medicare Advantage HMO customer and provider contracts, or SecureHorizons, for cash consideration of approximately \$185,300,000. In accordance with SSAP No. 20, *Nonadmitted Assets*, the \$185,300,000 of intangible assets were recorded as nonadmitted assets. Goodwill relating to the purchase of SecureHorizons was fully amortized during 2018.

Purchased Entity	Acquisition Date	Cost of Acquired Entity	Original Amount of Admitted Goodwill	Admitted Goodwill as of the Reporting Date	Amount of Goodwill Amortized During the Reporting Period	Admitted Goodwill as a % of SCA BACV, Gross of Admitted Goodwill
SecureHorizons	April 30, 2008	\$185,300,000	\$0	\$0	\$0	0%

B. Statutory Merger

Not Applicable.

C. Assumption Reinsurance

Not Applicable.

D. Impairment Loss

Not Applicable.

4. Discontinued Operations

Not Applicable.

5. Investments

A. Mortgage Loans, Including Mezzanine Real Estate Loans

No material change since year-end December 31, 2019.

B. Debt Restructuring

Not Applicable.

C. Reverse Mortgages

Not Applicable.

D. Loan-Backed Securities

- (1) Prepayment assumptions for mortgage-backed/loan-backed and structured securities were obtained from industry market sources.
- (2) Not Applicable.
- (3) Not Applicable.
- (4) The Company does not have any investments in an other-than-temporary impairment position at September 30, 2020.

Gross unrealized losses and related fair value of temporarily impaired securities that have been in a continuous unrealized loss position were as follows at September 30, 2020:

- (a) The aggregate amount of unrealized losses:

1. Less than Twelve Months

2. Twelve Months or Longer

\$

\$

(56,660)

(65,717)
- (b) The aggregate related fair value of securities with unrealized losses:

1. Less than Twelve Months

2. Twelve Months or Longer

\$

\$

5,452,082

9,071,092

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

(5) Unrealized losses are primarily due to increases in market interest rates and tighter liquidity conditions in the current markets than when the securities were purchased. All issuers of securities trading at an unrealized loss remain current on all contractual payments and the Company believes it is probable that all amounts due according to the contractual terms of the debt securities are collectible. After taking into account these and other factors, including the severity of the decline and the Company’s ability and intent to hold these securities until recovery or maturity, the Company determined the unrealized losses on these investment securities were temporary and, as such, no impairment was required.

E. Dollar Repurchase Agreements and/or Securities Lending Transactions

- (1) The Company has no repurchase agreements or securities lending transactions.
- (2) The Company has not pledged any of its assets as collateral.
- (3-7) Not Applicable.

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing

Not Applicable.

G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing

Not Applicable.

H. Repurchase Agreements Transactions Accounted for as a Sale

Not Applicable.

I. Reverse Repurchase Agreements Transactions Accounted for as a Sale

Not Applicable.

J. Real Estate

Not Applicable.

K. Low-Income Housing Tax Credits (LIHTC)

Not Applicable.

L. Restricted Assets

(1) Restricted Assets (Including Pledged)

	1	2	3	4	5	6	7
	Total Gross (Admitted & Nonadmitted) Restricted from Current Year	Total Gross (Admitted & Nonadmitted) Restricted from Prior Year	Increase/ (Decrease) (1 minus 2)	Total Current Year Nonadmitted Restricted	Total Current Year Admitted Restricted (1 minus 4)	Percentage Gross (Admitted & Nonadmitted) Restricted to Total Assets (a)	Percentage Admitted Restricted to Total Admitted Assets (b)
Restricted Asset Category							
a. Subject to contractual obligation for which liability is not shown	\$ -	\$ -	\$ -	\$ -	\$ -	-%	-%
b. Collateral held under security lending agreements	-	-	-	-	-	-	-
c. Subject to repurchase agreements	-	-	-	-	-	-	-
d. Subject to reverse repurchase agreements	-	-	-	-	-	-	-
e. Subject to dollar repurchase agreements	-	-	-	-	-	-	-
f. Subject to dollar reverse repurchase agreements	-	-	-	-	-	-	-
g. Placed under option contracts	-	-	-	-	-	-	-
h. Letter stock or securities restricted to sale – excluding FHLB capital stock	-	-	-	-	-	-	-
i. FHLB capital stock	-	-	-	-	-	-	-
j. On deposit with states	15,117,332	15,540,918	(423,586)	-	15,117,332	2.20%	2.29%
k. On deposit with other regulatory bodies	-	-	-	-	-	-	-
l. Pledged collateral to FHLB (including assets backing funding agreements)	-	-	-	-	-	-	-
m. Pledged as collateral not captured in other categories	-	-	-	-	-	-	-
n. Other restricted assets	-	-	-	-	-	-	-
o. Total Restricted Assets	\$ 15,117,332	\$ 15,540,918	\$ (423,586)	-	\$ 15,117,332	2.20%	2.29%

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- (2) Detail of Assets Pledged as Collateral Not Captured in Other Categories (Contracts that Share Similar Characteristics, Such as Reinsurance and Derivatives, Are Reported in the Aggregate)

Not Applicable.

- (3) Detail of Other Restricted Assets Categories (Contracts that Share Similar Characteristics, Such as Reinsurance and Derivatives, Are Reported in the Aggregate)

Not Applicable.

- (4) Collateral Received and Reflected as Assets Within the Reporting Entity's Financial Statements

Not Applicable.

M. Working Capital Finance Investments

Not Applicable.

N. Offsetting and Netting of Assets and Liabilities

Not Applicable.

O. 5GI* Securities

Not Applicable.

P. Short Sales

Not Applicable.

Q. Prepayment Penalty and Acceleration Fees

No material change since year-end December 31, 2019.

6. Joint Ventures, Partnerships and Limited Liability Companies

- A. The Company has no investments in Joint Ventures, Partnerships or Limited Liability Companies that exceed 10.0 percent of its admitted assets.
- B. The Company did not recognize any impairment write down for its investments in Joint Ventures, Partnerships and Limited Liability Companies during the statement periods.

7. Investment Income

- A. Due and accrued income was excluded from surplus on the following basis:

All investment income due and accrued with amounts that are over 90 days past due with the exception of mortgage loans in default.

- B. The total amount excluded was \$0.

8. Derivative Instruments

Not Applicable.

9. Income Taxes

No material change since year-end December 31, 2019.

10. Information Concerning Parent, Subsidiaries and Affiliates

A.-F. The Company has several management contracts with Humana Inc. and other related parties whereby the Company is provided with medical and executive management, information systems, claims processing, billing and enrollment, and telemarketing and other services as required by the Company. Management fees charged to operations for the years ended December 31, 2019 and 2018 were \$235,211,793 and \$464,966,349, respectively. As a part of this agreement, Humana Inc. makes cash disbursements on behalf of the Company which includes, but is not limited to, medical related items, general and administrative expenses, commissions and payroll. The Company continues to be primarily liable for any outstanding payments made on behalf of the Company, should Humana Inc. not be able to fulfill its obligations.

The Company has various related party agreements with no material change since year-end December 31, 2019.

A non-cash return of capital of \$188,596,607 was recorded at book value by the Company at June 30, 2019, as permitted by the Department. The Company reversed the prior year accumulated unrealized gain in the statements of changes in surplus of \$37,832,172 related to its investment in CHA Service Company and recorded a net realized loss on the transaction to Humana Inc. in the amount of \$15,855,114 in the accompanying statements of revenue and expenses.

No dividends or returns of capital were paid by the Company as of September 30, 2020.

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

At September 30, 2020, the Company reported \$22,409,982 due from Humana Inc. Amounts due to or from parent are generally settled within 90 days.

The Company has a parental guarantee with Humana Inc. in accordance with certain regulatory requirements.

G. All outstanding shares of the Company are owned by the Parent Company.

H. Not Applicable.

I. Not Applicable.

J. Not Applicable.

K. Not Applicable.

L. Not Applicable.

M. All SCA Investments

Not Applicable.

N. Investment in Insurance SCA

Not Applicable.

O. SCA Loss Tracking

Not Applicable.

11. Debt

A. Debt Including Capital Notes

The Company has no debentures outstanding.

The Company has no capital notes outstanding.

The Company does not have any reverse repurchase agreements.

B. Federal Home Loan Bank (FHLB) Agreements

The Company does not have any FHLB agreements.

12. Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans

A.-D. Defined Benefit Plans

Not Applicable.

E. Defined Contribution Plans

Not Applicable.

F. Multiemployer Plans

Not Applicable.

G. Consolidated/Holding Company Plans

No material change since year-end December 31, 2019.

H. Postemployment Benefits and Compensated Absences

Not Applicable.

I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17)

Not Applicable.

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

(1) The Company has \$1.00 par value common stock with 5,000,000 shares authorized and 2,248,000 shares issued and 2,248,000 outstanding. All shares are common stock shares.

(2) The Company has no preferred stock outstanding.

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- (3-5) Dividends and returns of capital to shareholders are noncumulative and are paid as determined by the Board of Directors. In accordance with the Department statutes, the maximum amount which can be paid by the Company to shareholders without prior approval by the Department is the lesser of 10% of total surplus or net income from the prior year. All ordinary dividends are limited to available and accumulated surplus funds. Based on these restrictions, the Company can pay a maximum dividend or return of capital to shareholders of approximately \$25,080,000 in 2020 without prior regulatory approval.

Within the limitations above, there are no restrictions placed on the portion of Company profits that may be paid as ordinary dividends to stockholders.

No dividends or returns of capital were paid by the Company as of September 30, 2020.

- (6) There were no restrictions placed on the Company's surplus, including for whom the surplus is being held.
- (7) Not Applicable.
- (8) Not Applicable.
- (9) Changes in balances of special surplus funds from the prior year is due to the health insurance industry fee having been permanently repealed beginning calendar year 2021.
- (10) The portion of unassigned funds (surplus) represented or reduced by cumulative unrealized gains and losses is \$(51,616).
- (11) Not Applicable.
- (12) Not Applicable.
- (13) Not Applicable.

14. Liabilities, Contingencies and Assessments

A. Contingent Commitments

Not Applicable.

B. Assessments

Not Applicable.

C. Gain Contingencies

Not Applicable.

D. Claims related extra contractual obligation and bad faith losses stemming from lawsuits

Not Applicable.

E. Joint and Several Liabilities

Not Applicable.

F. All Other Contingencies

During the ordinary course of business, the Company is subject to pending and threatened legal actions. Management of the Company does not believe that any of these actions will have a material adverse effect on the Company's surplus, results of operations or cash flows. However, the likelihood or outcome of current or future legal proceedings cannot be accurately predicted, and they could adversely affect the Company's surplus, results of operations and cash flows.

The Company is not aware of any other material contingent liabilities as of September 30, 2020.

15. Leases

No material change since year-end December 31, 2019.

16. Information about Financial Instruments With Off-Balance Sheet Risk and Financial Instruments With Concentrations of Credit Risk

The Company has no investment in Financial Instruments with Off-Balance Sheet Risk or Concentrations of Credit Risk.

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

A. Transfers of Receivables Reported as Sales

Not Applicable.

B. Transfer and Servicing of Financial Assets

Not Applicable.

C. Wash Sales

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

Not Applicable.

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

A. ASO Plans

The gain from operations from Administrative Services Only (ASO) uninsured plans and the uninsured portion of partially insured plans were as follows for the quarter ended September 30, 2020:

	ASO Uninsured Plans	Uninsured Portion of Partially Insured Plans	Total ASO
a. Net reimbursement for administrative expenses (including administrative fees) in excess of actual expenses	\$ (21,924,045)	\$ -	\$ (21,924,045)
b. Total net other income or expenses (including interest paid to or received from plans)	\$ (11,587)	\$ -	\$ (11,587)
c. Net gain or (loss) from operations	\$ (21,935,631)	\$ -	\$ (21,935,631)
d. Total claim payment volume	1,151,888,036	-	1,151,888,036

B. ASC Plans

Not Applicable.

C. Medicare or Other Similarly Structured Cost Based Reimbursement Contract

- (1) The Company records no revenue explicitly attributable to the cost share and reinsurance components of its Medicare or other similarly structured cost based reimbursement contracts.
- (2) As of September 30, 2020, the Company has recorded a receivable from CMS of \$14,894,529 related to the cost share and reinsurance components of administered Medicare products and a receivable from ASO customers of \$17,674,231. The Company has recorded receivables from the following payors whose account balance are greater than 10% of the Company's accounts receivable from uninsured accident and health plans or \$10,000:

Humana Inc.	\$ 1,631,690
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- (3) As no revenue is recorded in connection with the cost share and reinsurance components of the Company's Medicare or other similarly structured cost based reimbursement contracts, the Company has recorded no allowances and reserves for adjustment of recorded revenues and receivables.
- (4) The Company has made no adjustment to revenue resulting from audit of receivables related to revenues recorded in the prior period.

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

Not Applicable.

20. Fair Value Measurements

A. (1) The fair value of financial assets at September 30, 2020 were as follows:

	Level 1	Level 2	Level 3	Net Asset Value (NAV)	Total
a. Assets at fair value					
Bonds					
U.S. governments	\$ -	\$ -	\$ -	\$ -	-
Tax-exempt municipal	-	-	-	-	-
Residential mortgage-backed	-	-	-	-	-
Corporate debt securities	-	6,723,856	-	-	6,723,856
Total bonds	-	6,723,856	-	-	6,723,856
Total assets at fair value/NAV	\$ -	\$ 6,723,856	\$ -	\$ -	\$ 6,723,856
b. Liabilities at fair value	\$ -	\$ -	\$ -	\$ -	-
Total liabilities at fair value	\$ -	\$ -	\$ -	\$ -	-

The Company reports transfers between Level 1 and Level 2 of the fair value hierarchy levels at the end of the reporting period. There were no transfers between Level 1 and Level 2 of the fair value hierarchy between December 31, 2019 and September 30, 2020.

(2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy

Not Applicable.

- (3) The Company reports transfers into or out of Level 3 of the fair value hierarchy levels at the end of the reporting period. There were no transfers into or out of Level 3 of the fair value hierarchy levels between December 31, 2019 and September 30, 2020.

NOTES TO THE FINANCIAL STATEMENTS

(4) Fair value of actively traded debt securities are based on quoted market prices. Fair value of other debt securities are based on quoted market prices of identical or similar securities or based on observable inputs like interest rates generally using a market valuation approach, or, less frequently, an income valuation approach and are generally classified as Level 2. The Company generally obtains one quoted price for each security from a third party pricing service. These prices are generally derived from recently reported trades for identical or similar securities, including adjustments through the reporting date based upon observable market information. When quoted prices are not available, the third party pricing service may use quoted market prices of comparable securities 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 benchmark yields, reported trades, credit spreads, broker quotes, default rates and prepayment speeds. The Company is responsible for the determination of fair value and as such, the Company performs analysis on the prices received from the third party pricing service to determine whether the prices are reasonable estimates of fair value. The Company's analysis includes a review of monthly price fluctuations as well as a quarterly comparison of the prices received from the pricing service to prices reported by the Company's third party investment advisor. Based on the Company's internal price verification procedures and review of fair value methodology documentation provided by the third party pricing service, there were no material adjustments to the prices obtained from the third party pricing service during the quarter ended September 30, 2020.

(5) Derivative Fair Values

Not Applicable.

B. Other Fair Value Disclosures

Not Applicable.

C. Fair Values for All Financial Instruments by Levels 1, 2 and 3

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Net Asset Value (NAV)	Not Practicab (Carrying Val
Bonds and cash equivalents	\$ 477,720,540	\$ 458,824,235	\$ 88,531,752	\$ 389,188,788	\$ -	\$ -	\$
Mortgage Loans	27,600,000	27,600,000	-	-	27,600,000	-	
Total	\$ 505,320,540	\$ 486,424,235	\$ 88,531,752	\$ 389,188,788	\$ 27,600,000	\$ -	\$

D. Financial Instruments for which Not Practicable to Estimate Fair Values

Not Applicable.

21. Other Items

A. Extraordinary Items

The temporary deferral of non-essential care resulting from stay-at-home and physical distancing orders and other restrictions on movement and economic activity implemented throughout the country beginning in the second half of March 2020 to reduce the spread of the novel coronavirus, or COVID-19 has impacted the Company's business. Hospital admissions and utilization were significantly depressed in April and increased throughout May and June. Utilization continued to rebound throughout the third quarter of 2020. The impact of the deferral of non-essential care was partially offset by COVID-19 testing and treatment costs, as well as Humana's ongoing pandemic relief efforts.

B. Troubled Debt Restructuring: Debtors

Not Applicable.

C. Other Disclosures and Unusual Items

Not Applicable.

D. Business Interruption Insurance Recoveries

Not Applicable.

E. State Transferable and Non-transferable Tax Credits

Not Applicable.

F. Subprime Mortgage Related Risk Exposure

(1) The Company consults with its external investment managers to assess its subprime mortgage related risk exposure. Certain characteristics are utilized to determine if a mortgage-backed security has subprime exposure. The main characteristics reviewed when determining this are the collateral and structure of the security, the loan purpose, loan documentation, occupancy, geographical location, loan size and type. Subprime mortgage borrowers typically have lower credit scores, lower loan balances and higher loan-to-values than other conforming loans. Management's practices include reviewing quantitative and qualitative credit models that analyze loan-level collateral composition, historical underwriter performance trends, the impact of macroeconomic factors, and issuer risks; as well as reviewing the estimation of security cash flows and monthly model calibrations.

(2) Direct exposure through investments in sub-prime mortgage loans.

The Company has no direct exposure through investment to sub-prime mortgage loans.

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

(3) Direct exposure through other investments:

- a. Residential mortgage backed securities – No substantial exposure noted.
- b. Commercial mortgage backed securities – No substantial exposure noted.
- c. Collateralized debt obligations – No substantial exposure noted.
- d. Structured securities – No substantial exposure noted.
- e. Equity investment in SCAs – No substantial exposure noted.
- f. Other assets – No substantial exposure noted.
- g. Total – No substantial exposure noted.

(4) Underwriting exposure to sub-prime mortgage risk through Mortgage Guaranty coverage, Financial Guaranty coverage, Directors and Officers liability coverage, or Errors and Omissions liability coverage.

The Company does not have sub-prime mortgage risk.

Classification of mortgage related securities is primarily based on information from outside data services, including rating agency actions. When considering our exposure, the Company evaluated the percentage of full documentation loans, percent of owner occupied properties, FICO scores, average margin for ARM loans, percent of loans with prepayment penalties, the existence of non-traditional underwriting standards, among other factors.

G. Retained Assets

Not Applicable.

H. Insurance Linked Securities

Not Applicable.

22. Events Subsequent

The Company is not aware of any events or transactions occurring subsequent to the close of the books for this statement which may have a material effect on its financial condition. Subsequent events have been considered through November 6, 2020 for the Statutory Statement issued on November 6, 2020.

23. Reinsurance

A. Ceded Reinsurance Report

Section 1 – General Interrogatories

- (1) Are any of the reinsurers, listed in Schedule S as non-affiliated, owned in excess of 10.0 percent or controlled, either directly or indirectly, by the company or by any representative, officer, trustee, or director of the company?

Yes () No (X)

- (2) Have any policies issued by the company been reinsured with a company chartered in a country other than the United States (excluding U.S. Branches of such companies) that is owned in excess of 10.0 percent or controlled directly or indirectly by an insured, a beneficiary, a creditor or an insured or any other person not primarily engaged in the insurance business?

Yes () No (X)

Section 2 – Ceded Reinsurance Report – Part A

- (1) Does the company have any reinsurance agreements in effect under which the reinsurer may unilaterally cancel any reinsurance for reasons other than for nonpayment of premium or other similar credits?

Yes () No (X)

- (2) Does the reporting entity have any reinsurance agreements in effect such that the amount of losses paid or accrued through the statement date may result in a payment to the reinsurer of amounts that, in aggregate and allowing for offset of mutual credits from other reinsurance agreements with the same reinsurer, exceed the total direct premium collected under the reinsured policies?

Yes () No (X)

Section 3 – Ceded Reinsurance Report – Part B

- (1) What is the estimated amount of the aggregate reduction in surplus, (for agreements other than those under which the reinsurer may unilaterally cancel for reasons other than for nonpayment of premium or other similar credits that are reflected in Section 2 above) of termination of ALL reinsurance agreements, by either party, as of the date of this statement? Where necessary, the company may consider the current or anticipated experience of the business reinsured in making this estimate. \$0

- (2) Have any new agreements been executed or existing agreements amended, since January 1 of the year of this statement, to include policies or contracts that were in force or which had existing reserves established by the company as of the effective date of the agreement?

Yes () No (X)

B. Uncollectible Reinsurance

NOTES TO THE FINANCIAL STATEMENTS

Not Applicable.

C. Commutation of Ceded Reinsurance

Not Applicable.

D. Certified Reinsurer Rating Downgraded or Status Subject to Revocation

Not Applicable.

24. Retrospectively Rated Contracts and Contracts Subject to Redetermination

A. The Company estimates accrued retrospective premium adjustments for its Medicare business through a mathematical approach using an algorithm based upon settlement procedures defined by contracts with CMS.

B. The Company records accrued retrospective premium as an adjustment to earned premiums.

C. The amount of net premiums written by the Company at September 30, 2020 that are subject to retrospective rating features was \$789,027,230, or 50.13% of the total net premiums written. No other net premiums written by the Company are subject to retrospective rating features.

D. Medical loss ratio rebates required pursuant to the Public Health Service Act

	Individual	Small Group Employer	Large Group Employer	Other Categories with rebates	Total
Prior Reporting Year:					
Medical loss ratio rebates incurred	\$ -	\$ 2,110,343	\$ (219,578)	\$ (205,791)	\$ 1,684,974
Medical loss ratio rebates paid	-	1,159,077	508,772	5,835,604	7,503,453
Medical loss rebates unpaid	-	1,364,306	93,452	-	1,457,758
Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$ 1,457,758
Current Reporting Year-to-date:					
Medical loss ratio rebates incurred	\$ -	\$ 502,290	\$ 345,191	\$ -	\$ 847,481
Medical loss ratio rebates paid	-	1,275,015	295,824	-	1,570,839
Medical loss rebates unpaid	-	591,581	142,819	-	734,400
Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$ 734,400

E. Risk Sharing Provisions of the Affordable Care Act

(1) Did the reporting entity write accident and health insurance premium that is subject to the Affordable Care Act risk-sharing provisions (YES/NO) Yes (X) No ()

(2) Impact of Risk Sharing Provisions of the Affordable Care Act on Admitted Assets, Liabilities, and Revenue for the Current Year

a. Permanent ACA Risk Adjustment Program

Assets	
1. Premium adjustments receivable due to ACA Risk Adjustment (including high risk pool payments)	\$ 2,660,181
Liabilities	
2. Risk adjustment user fees payable for ACA Risk Adjustment	\$ 32,909
3. Premium adjustments payable due to ACA Risk Adjustment (including high risk pool premium)	\$ 1,943,662
Operations (Revenue & Expenses)	
4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment	\$ 149,410
5. Reported in expenses as ACA risk adjustment user fees (incurred/paid)	\$ 45,488

b. Transitional ACA Reinsurance Program

Assets	
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	\$ -
Liabilities	
4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	\$ -
5. Ceded reinsurance premiums payable due to ACA Reinsurance	\$ -
6. Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance	\$ -
Operations (Revenues & Expenses)	
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 premiums	\$ -

c. Temporary ACA Risk Corridors Program

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

Assets		
1.	Accrued retrospective premium due to ACA Risk Corridors	\$ -
Liabilities		
2.	Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	\$ -
Operations (Revenue & Expenses)		
3.	Effect of ACA Risk Corridors on net premium income	\$ 21,175,723
4.	Effect of ACA Risk Corridors on change in reserves for rate credits	\$ -

(3) Roll-forward of Prior Year ACA Risk-sharing Provisions for the Following Asset (Gross of Any Nonadmission) and Liability Balances, Along with the Reasons for Adjustments to Prior Year Balance.

Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
				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)
1	2	3	4	5	6	7	8		9	10
Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
a. Permanent ACA Risk Adjustment Program										
1.	Premium adjustments receivable (including high risk pool payments)	143,751	697,404	(553,653)		3,213,834		A.	2,660,181	
2.	Premium adjustments (payables) (including high risk pool premium)	(6,296,979)	(7,417,740)		1,120,761		(3,064,423)	B.		(1,943,662)
3.	Subtotal ACA Permanent Risk Adjustment Program	143,751	(6,296,979)	697,404	(7,417,740)	(553,653)	1,120,761	3,213,834	(3,064,423)	2,660,181 (1,943,662)
b. Transitional ACA Reinsurance Program										
1.	Amounts recoverable for claims paid	-	-	-	-	-	-		-	-
2.	Amounts recoverable for claims unpaid (contra liability)	-	-	-	-	-	-		-	-
3.	Amounts receivable relating to uninsured plans	-	-	-	-	-	-		-	-
4.	Liabilities for contributions payable due to ACA Reinsurance- not reported as ceded premium		-	-	-	-	-			-
5.	Ceded reinsurance premiums payable		-	-	-	-	-			-
6.	Liability for amounts held under uninsured plans		-	-	-	-	-			-
7.	Subtotal ACA Transitional Reinsurance Program	-	-	-	-	-	-	-	-	-
c. Temporary ACA Risk Corridors Program										
1.	Accrued retrospective premium	-	21,175,723	(21,175,723)		21,175,723		C.	-	
2.	Reserve for rate credits or policy experience rating refunds		-	-	-	-	-			-
3.	Subtotal ACA Risk Corridors Program	-	-	21,175,723	-	(21,175,723)	-	21,175,723	-	-
d. Total for ACA Risk Sharing Provisions										
		143,751	(6,296,979)	21,873,127	(7,417,740)	(21,729,376)	1,120,761	24,389,557	(3,064,423)	2,660,181 (1,943,662)

- Explanations of adjustments
- A. Adjustments related to updates received from CMS associated with 2019 benefit year and the latest data from Wakely Consulting.
- B. Small Group estimate changes for unfinalized years, based on latest data from Wakely Consulting.
- C. Adjustment recorded for additional risk corridor payments received in 2020 that had been previously written off.

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

(4) Roll-Forward of Risk Corridors Asset and Liability Balances by Program Benefit Year

	Accrued During the Prior Year on Business Written Before Dec 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before Dec 31 of the Prior Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
					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)
	1	2	3	4	5	6	7	8		9	10
Risk Corridors Program Year	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
a. 2014											
1. Accrued retrospective premium	-		9,875,928		(9,875,928)		9,875,928		A.	-	
2. Reserve for rate credits or policy experience rating refunds		-		-		-		-			-
b. 2015											
1. Accrued retrospective premium	-		5,541,529		(5,541,529)		5,541,529		B.	-	
2. Reserve for rate credits or policy experience rating refunds		-		-		-		-			-
c. 2016											
1. Accrued retrospective premium	-		5,758,266		(5,758,266)		5,758,266		C.	-	
2. Reserve for rate credits or policy experience rating refunds		-		-		-		-			-
d. Total for Risk Corridors	-	-	21,175,723	-	(21,175,723)	-	21,175,723	-		-	-

- Explanations of adjustments
- A. Adjustment recorded for additional risk corridor payments received in 2020 that had been previously written off.
- B. Adjustment recorded for additional risk corridor payments received in 2020 that had been previously written off.
- C. Adjustment recorded for additional risk corridor payments received in 2020 that had been previously written off.

(5) ACA Risk Corridors Receivable as of Reporting Date

	1	2	3	4	5	6
Risk Corridors Program Year	Estimated Amount to be Filed or Final Amount Filed with CMS	Non-Accrued Amounts for Impairment or Other Reasons	Amounts received from CMS	Assets Balance (Gross of Non-admissions) (1-2-3)	Non-admitted Amount	Net Admitted Asset (4-5)
a. 2014	\$ 11,862,832	\$ -	\$ 11,862,832	\$ -	\$ -	\$ -
b. 2015	5,541,529	-	5,541,529	-	-	-
c. 2016	5,758,266	-	5,758,266	-	-	-
d. Total (a+b+c)	\$ 23,162,627	\$ -	\$ 23,162,627	\$ -	\$ -	\$ -

On April 27, 2020, the U.S. Supreme Court ruled that the government is obligated to pay the losses under this risk corridor program, and that Congress did not impliedly repeal the obligation under its appropriations riders. In September 2020, the Company received \$21,175,723 from the U.S Government pursuant to the judgement issued by the Court of Federal Claims on July 7, 2020. The \$21,175,723 payment received from the U.S Government and \$1,058,466 in related fees and expenses are reflected in net premium income and general administrative expenses, respectively.

25. Change in Incurred Claims and Claim Adjustment Expenses

Benefits and loss adjustment expenses payable, net of health care receivables, as of December 31, 2019 were \$112,416,779. As of September 30, 2020, \$97,856,878 has been paid for incurred claims and claim adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$10,055,762 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been a \$4,504,139 favorable prior-year development since December 31, 2019. The decrease is generally the result of ongoing analysis of recent loss development trends. Original estimates are increased or decreased as additional information becomes known regarding individual claims. Included in this decrease, the Company experienced \$4,574,805 of favorable prior year claim development on retrospectively rated policies. However, the business to which it relates is subject to premium adjustments.

26. Intercompany Pooling Arrangements

Not Applicable.

27. Structured Settlements

The Company has no structured settlements.

28. Health Care Receivables

STATEMENT AS OF September 30, 2020 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

A. Pharmaceutical Rebate Receivables

Quarter	Estimate 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 181 Days after Billing
12/31/2020	\$ -	\$ -	\$ -	\$ -	\$ -
9/30/2020	34,627,343	34,627,343	-	-	-
6/30/2020	43,272,336	43,272,336	43,128,313	-	-
3/31/2020	20,252,023	20,252,023	19,996,926	44,406	-
12/31/2019	15,848,212	15,848,212	15,670,267	-	9,309,079
9/30/2019	18,037,589	18,037,589	17,865,203	46,615	125,771
6/30/2019	44,603,286	44,603,286	44,291,107	78,729	93,790
3/31/2019	53,303,634	53,303,634	52,951,099	-	352,535
12/31/2018	51,135,579	51,135,579	50,550,193	443,535	115,070
9/30/2018	67,866,728	67,866,728	67,578,313	288,415	-
6/30/2018	90,673,370	90,673,370	90,238,029	435,341	-
3/31/2018	69,388,291	69,388,291	69,388,291	-	-

B. Risk Sharing Receivables

Not Applicable.

29. Participating Policies

The Company has no participating policies.

30. Premium Deficiency Reserves

1.

Liability carried for premium deficiency reserves

\$ 213,000
2.

Date of the most recent evaluation of this liability

December 31, 2019
3.

Was anticipated investment income utilized in the calculation?

Yes () No (X)

The Company did recognize the time value of money by discounting future losses at an annual interest rate of 1.75%.

31. Anticipated Salvage and Subrogation

Not Applicable.

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

1.1

Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act?

Yes [☐] No [☒]

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 [☒]

2.2

If yes, date of change:

3.1

Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer?

If yes, complete Schedule Y, Parts 1 and 1A.

Yes [☒] No [☐]

3.2

Have there been any substantial changes in the organizational chart since the prior quarter end?

Yes [☐] No [☒]

3.3

If the response to 3.2 is yes, provide a brief description of those changes.

3.4

Is the reporting entity publicly traded or a member of a publicly traded group?

Yes [☒] No [☐]

3.5

If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group.

0000049071

4.1

Has the reporting entity been a party to a merger or consolidation during the period covered by this statement?

If yes, complete and file the merger history data file with the NAIC.

Yes [☐] No [☒]

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

5.

If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved?

If yes, attach an explanation.

Yes [☐] No [☒] N/A [☐]

6.1

State as of what date the latest financial examination of the reporting entity was made or is being made.

12/31/2018

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.

12/31/2018

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).

06/02/2020

6.4

By what department or departments?
Commonwealth of Kentucky 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 [☐]

6.6

Have all of the recommendations within the latest financial examination report been complied with?

Yes [☒] No [☐] N/A [☐]

7.1

Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period?

Yes [☐] No [☒]

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 [☒]

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 [☐] 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	2	3	4	5	6
Affiliate Name	Location (City, State)	FRB	OCC	FDIC	SEC

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?
(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.

Yes [X] No []
- 9.11

If the response to 9.1 is No, please explain:
- 9.2

Has the code of ethics for senior managers been amended?

Yes [] No [X]
- 9.21

If the response to 9.2 is Yes, provide information related to amendment(s).
NA
- 9.3

Have any provisions of the code of ethics been waived for any of the specified officers?

Yes [] No [X]
- 9.31

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

FINANCIAL

- 10.1

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

Yes [X] No []
- 10.2

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

\$22,409,982

INVESTMENT

- 11.1

Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.)

Yes [] No [X]
- 11.2

If yes, give full and complete information relating thereto:
12.

Amount of real estate and mortgages held in other invested assets in Schedule BA:

\$0
13.

Amount of real estate and mortgages held in short-term investments:

\$0
- 14.1

Does the reporting entity have any investments in parent, subsidiaries and affiliates?

Yes [] No [X]
- 14.2

If yes, please complete the following:

	1	2
	Prior Year-End Book/Adjusted Carrying Value	Current Quarter Book/Adjusted Carrying Value
14.21 Bonds	\$0	\$0
14.22 Preferred Stock	\$0	\$0
14.23 Common Stock	\$0	\$0
14.24 Short-Term Investments	\$0	\$0
14.25 Mortgage Loans on Real Estate	\$0	\$0
14.26 All Other	\$0	\$0
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26)	\$0	\$0
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above	\$0	\$0
- 15.1

Has the reporting entity entered into any hedging transactions reported on Schedule DB?

Yes [] No [X]
- 15.2

If yes, has a comprehensive description of the hedging program been made available to the domiciliary state?
If no, attach a description with this statement.

Yes [] No [] N/A []
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

GENERAL INTERROGATORIES

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

1 Name of Custodian(s)	2 Custodian Address
JP Morgan Chase	4 Metro Tech Center, 6th Floor, Mail Code: NY1-C512, Brooklyn, NY 11245, Attn: Charline Ottley

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

1 Name of Firm or Individual	2 Affiliation
BLACKROCK FINANCIAL MANAGEMENT, INC	U.....
W. Mark Preston	I.....

- 17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") manage more than 10% of the reporting entity's invested assets?..... Yes [X] No []
- 17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's invested assets?..... Yes [X] No []

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

1	2	3	4	5
Central Registration Depository Number	Name of Firm or Individual	Legal Entity Identifier (LEI)	Registered With	Investment Management Agreement (IMA) Filed
107105	BLACKROCK FINANCIAL MANAGEMENT, INC	549300LVXY1VJKE13M84	The SEC	DS.....

- 18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed? Yes [X] No []
- 18.2 If no, list exceptions:

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

a. Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.

b. Issuer or obligor is current on all contracted interest and principal payments.

c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

Has the reporting entity self-designated 5GI securities? Yes [] No [X]
20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:

a. The security was purchased prior to January 1, 2018.

b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.

c. The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.

d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.

Has the reporting entity self-designated PLGI securities? Yes [] No [X]
21. By assigning FE to a Schedule BA non-registered private fund, the reporting entity is certifying the following elements of each self-designated FE fund:

a. The shares were purchased prior to January 1, 2019.

b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.

c. The security had a public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO prior to January 1, 2019.

d. The fund only or predominantly holds bonds in its portfolio.

e. The current reported NAIC Designation was derived from the public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO.

f. The public credit rating(s) with annual surveillance assigned by an NAIC CRP has not lapsed.

Has the reporting entity assigned FE to Schedule BA non-registered private funds that complied with the above criteria? Yes [] No [X]
- 11.2

GENERAL INTERROGATORIES

PART 2 - HEALTH

1.

Operating Percentages:

1.1 A&H loss percent

88.5 %

1.2 A&H cost containment percent

4.5 %

1.3 A&H expense percent excluding cost containment expenses

11.9 %
- 2.1

Do you act as a custodian for health savings accounts?

Yes ☐ No ☒
- 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 ☒
- 2.4

If yes, please provide the balance of the funds administered as of the reporting date

\$0
3.

Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states?

Yes ☒ No ☐
- 3.1

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

Yes ☐ No ☐

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan Inc.

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

1	2	3	4	5	6	7	8	9	10
NAIC Company Code	ID Number	Effective Date	Name of Reinsurer	Domiciliary Jurisdiction	Type of Reinsurance Ceded	Type of Business Ceded	Type of Reinsurer	Certified Reinsurer Rating (1 through 6)	Effective Date of Certified Reinsurer Rating
			NONE						

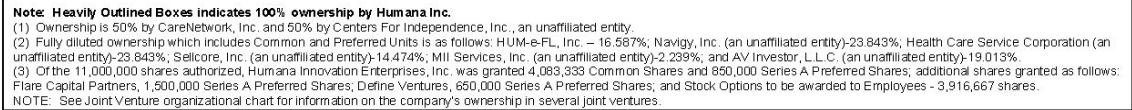
SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

		1	Direct Business Only							
States, etc.		Active Status (a)	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	L	0	(239,407)	0	0	0	(239,407)	0
2.	Alaska	AK	N	0	0	0	0	0	0	0
3.	Arizona	AZ	L	53,898,240	3,401,935	0	5,430,239	0	62,730,414	0
4.	Arkansas	AR	L	0	(683,268)	0	0	0	(683,268)	0
5.	California	CA	N	0	0	0	0	0	0	0
6.	Colorado	CO	L	33,314,204	1,528,053	0	3,660,970	0	38,503,227	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	L	0	(29,260)	0	0	0	(29,260)	0
14.	Illinois	IL	L	54,854,868	102,443,340	48,218,743	30,644,575	0	236,161,527	0
15.	Indiana	IN	L	44,040,715	(344,420)	0	0	0	43,696,295	0
16.	Iowa	IA	N	0	0	0	0	0	0	0
17.	Kansas	KS	L	969,194	1,068,457	0	13,089,357	0	15,127,008	0
18.	Kentucky	KY	L	409,061,845	(116,616)	756,694,720	4,936,615	0	1,170,576,564	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	L	119,092	156,278	0	0	0	275,370	0
27.	Montana	MT	N	0	0	0	0	0	0	0
28.	Nebraska	NE	L	0	(20,886)	0	0	0	(20,886)	0
29.	Nevada	NV	L	1,286,869	(838,719)	0	0	0	448,150	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	L	0	36,118	0	0	0	36,118	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	L	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	L	0	688,760	0	0	0	688,760	0
42.	South Dakota	SD	N	0	0	0	0	0	0	0
43.	Tennessee	TN	L	4,903,218	(4)	0	558,822	0	5,462,037	0
44.	Texas	TX	L	0	2,913,060	0	0	0	2,913,060	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	0	(65,852)	0	0	0	(65,852)	0
48.	Washington	WA	L	0	(434,387)	0	0	0	(434,387)	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	21,325,133	0	0	0	0	21,325,133	0
59.	Subtotal	XXX	623,773,379	109,463,182	804,913,463	58,320,578	0	0	1,596,470,601	0
60.	Reporting Entity Contributions for Employee Benefit Plans	XXX	0	0	0	0	0	0	0	0
61.	Totals (Direct Business)	XXX	623,773,379	109,463,182	804,913,463	58,320,578	0	0	1,596,470,601	0
DETAILS OF WRITE-INS										
58001.	ACA Support Programs	XXX	21,325,133	0	0	0	0	0	21,325,133	0
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	21,325,133	0	0	0	0	0	21,325,133	0

(a) Active Status Counts:
L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG.....19 R - Registered - Non-domiciled RRGs.....0
E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....0 Q - Qualified - Qualified or accredited reinsurer.....0
N - None of the above - Not allowed to write business in the state.....38

15



STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan Inc.

Companies with
Employees

Licensed Companies

As of 09/30/2019

Humana Inc.
(Delaware)
61-0647538

Humana at Home, Inc.
(f/k/a SeniorBridge Family Companies, Inc.)
13-4036798 (01/21/2000 - DE)
Acq. 07/06/2012

SeniorBridge Family
Companies (FL), Inc.
65-1096853
(03/28/2001 - FL)

SeniorBridge Family
Companies (IN), Inc.
20-0301155
(09/22/2003 - IN)

SeniorBridge Family
Companies (NY), Inc.
38-4484443
(11/29/2001 - NY)

Humana at Home (San
Antonio), Inc. (f/k/a
SeniorBridge Family
Companies (TX), Inc.)
01-0766084
(01/31/2003 -TX)

ROHC, L.L.C.
75-2844854
(10/18/1999 - TX)

Humana At Home
(Dallas), Inc.
75-2739333
(12/22/1997 - TX)

Humana At Home
(Houston), Inc.
76-0537878
(05/20/1997 - TX)

Humana At Home (TLC),
Inc.
75-2600512
(06/12/1995 - TX)

Care Partners Home Care,
LLC
26-0815856
(06/26/2009 - FL)

SeniorBridge-Florida, LLC
59-2518701
(08/1/2008 - FL)

Naples Health Care
Specialists, LLC
65-0992582
(12/08/2008 - FL)

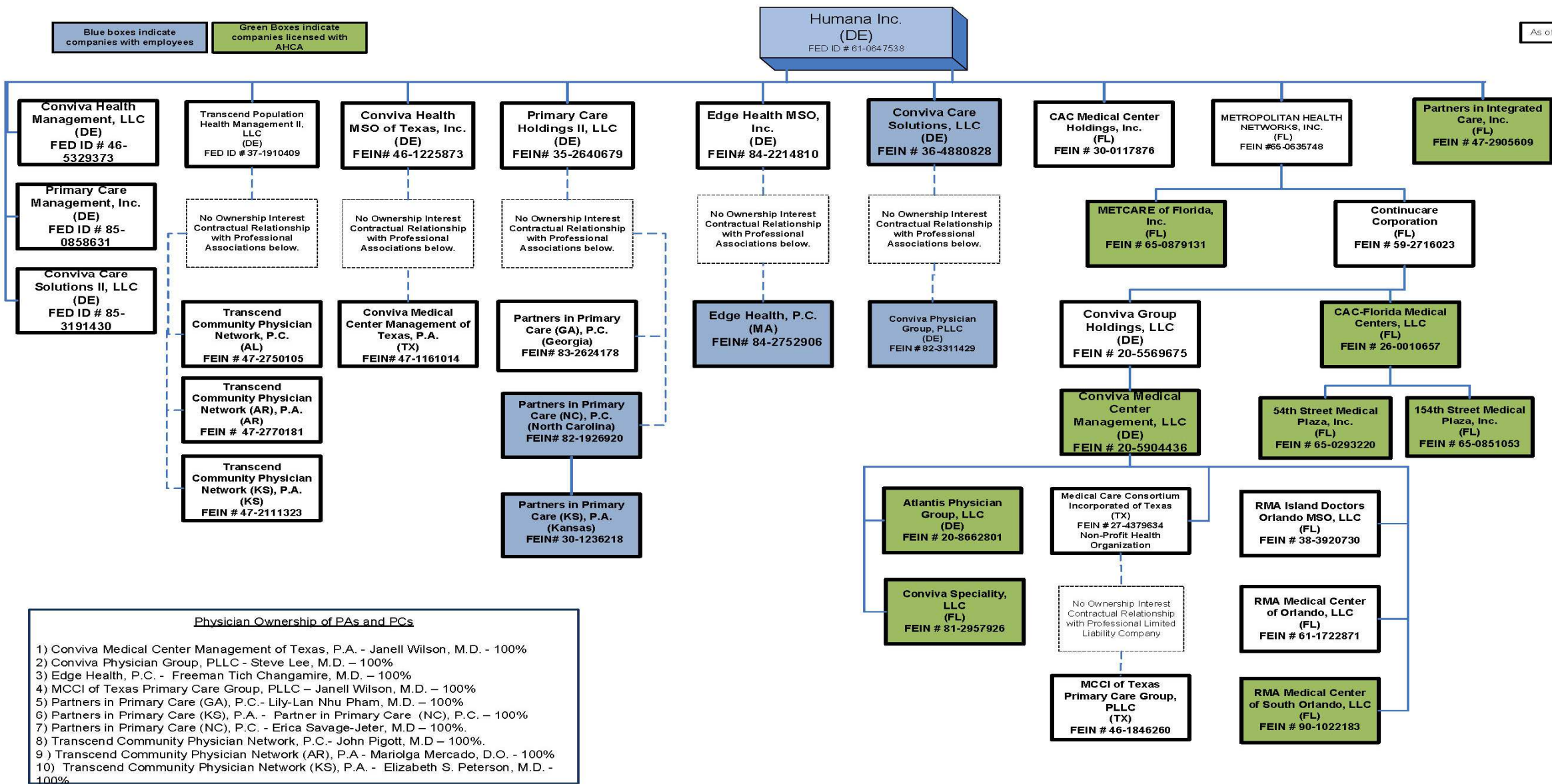
Nursing Solutions, LLC
65-0688221
(04/30/2009 - FL)

Complex Clinical
Management, Inc.
45-3713941
(10/26/2011 - FL)

Management Service Agreement
NO OWNERSHIP INTEREST

Humana Home Advantage (TX), P.A.
FEIN# 81-0789608
Created for Chronic Care Nurse Practitioner Program.
Incorporated in Texas on 12/04/2015.
Worthe S. Holt, M.D. and Paul Mikulecky, M.D. are the
shareholders.
Contractual relationship between Humana Home Advantage
(TX), P.A. and Complex Clinical Management, Inc.

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan 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	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship 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 Per-cent-age	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0119	Humana Inc.	.00000	65-0851053				154th Street Medical Plaza, Inc.	FL	NIA	CAC-Florida Medical Centers, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-5309363				516-526 West Main Street Condomium Council of Co-Owners, Inc.	KY	NIA	Humana Real Estate Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0293220				54th Street Medical Plaza, Inc.	FL	NIA	CAC-Florida Medical Centers, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12151	20-1001348				Arcadian Health Plan, Inc.	WA	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-8662801				Atlantis Physician Group, LLC	DE	NIA	Conviva Medical Center Management, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	30-0117876				CAC Medical Center Holdings, Inc.	FL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-0010657				CAC-Florida Medical Centers, LLC	FL	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-0815856				Care Partners Home Care, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	39-1514846				CareNetwork, Inc.	WI	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95092	59-2598550				CarePlus Health Plans, Inc.	FL	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95754	62-1579044				Cariten Health Plan Inc.	TN	IA	PHP Companies, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	35-2608414				CDO 1, LLC	DE	NIA	HJM Provider Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	32-0545504				CDO 2, LLC	DE	NIA	HJM Provider Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95158	61-1279717				CHA HMO, Inc.	KY	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.52015	59-2531815				CompBenefits Company	FL	IA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	04-3185995				CompBenefits Corporation	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.11228	36-3686002				CompBenefits Dental, Inc.	IL	IA	Dental Care Plus Management, Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	58-2228851				CompBenefits Direct, Inc.	DE	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.60984	74-2552026				CompBenefits Insurance Company	TX	IA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	45-3713941				Complex Clinical Management, Inc.	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	42-1575099				Humana Healthcare Research, Inc.	IL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-2716023				Continucare Corporation	FL	NIA	Metropolitan Health Networks, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	36-4880828				Conviva Care Solutions, LLC	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.15886	75-2043865				Humana Benefit Plan of Texas, Inc.	TX	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	36-3512545				Dental Care Plus Management, Corp.	IL	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95161	76-0039628				DentiCare, Inc.	TX	IA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.88595	31-0935772				Emphesys Insurance Company	TX	IA	Emphesys, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1237697				Emphesys, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-3164234				Family Physicians of Winter Park, Inc.	FL	NIA	FPG Acquisition Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	81-3802918				FPG Acquisition Corp.	DE	NIA	FPG Acquisition Holdings Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	81-3819187				FPG Acquisition Holdings Corp.	DE	NIA	FPG Holding Company, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	32-0505460				FPG Holding Company, LLC	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	45-4685400				FPG Senior Services, LLC	FL	NIA	FPG Acquisition Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	27-1649291				Harris, Rothenberg International Inc.	NY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1223418				Health Value Management, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	46-4912173				Humana EAP and Work-Life Services of California, Inc.	CA	IA	Harris, Rothenberg International Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-3592783				HJM Provider Holdings, LLC	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-4835394				Humana Active Outlook, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	75-2739333				Humana At Home (Dallas), Inc.	TX	NIA	ROHC, L.L.C.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	76-0537878				Humana At Home (Houston), Inc.	TX	NIA	ROHC, L.L.C.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0274594				Humana At Home 1, Inc.	FL	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	13-4036798				Humana at Home, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.60052	37-1326199				Humana Benefit Plan of Illinois, Inc.	IL	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-1843760				Humana Dental Company	FL	NIA	CompBenefits Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95519	58-2209549				Humana Employers Health Plan of Georgia, Inc.	GA	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1241225				Humana Government Business, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95642	72-1279235				Humana Health Benefit Plan of Louisiana, Inc.	LA	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.13558	26-2800286				Humana Health Company of New York, Inc.	NY	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.69671	61-1041514				Humana Health Insurance Company of Florida, Inc.	FL	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship 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 Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0119	Humana Inc.	.00000	26-3473328				Humana Health Plan of California, Inc.	CA	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95348	31-1154200				Humana Health Plan of Ohio, Inc.	OH	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95024	61-0994632				Humana Health Plan of Texas, Inc.	TX	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95885	61-1013183				Humana Health Plan, Inc.	KY	RE	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95721	66-0406896				Humana Health Plans of Puerto Rico, Inc.	PR	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-0647538		0000049071	NYSE	Humana Inc.	DE	UDP	See Footnote 1	Other	0.000	See Footnote 1		.2
.0119	Humana Inc.	.00000	61-1343791				Humana Innovation Enterprises, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.73288	39-1263473				Humana Insurance Company	WI	IA	CareNetwork, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.60219	61-1311685				Humana Insurance Company of Kentucky	KY	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12634	20-2888723				Humana Insurance Company of New York	NY	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.84603	66-0291866				Humana Insurance of Puerto Rico, Inc.	PR	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-3364857				Humana MarketPOINT of Puerto Rico, Inc.	PR	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1343508				Humana MarketPOINT, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.14224	27-3991410				Humana Medical Plan of Michigan, Inc.	MI	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.14462	27-4660531				Humana Medical Plan of Pennsylvania, Inc.	PA	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12908	20-8411422				Humana Medical Plan of Utah, Inc.	UT	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95270	61-1103898				Humana Medical Plan, Inc.	FL	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	45-2254346				Humana Pharmacy Solutions, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1316926				Humana Pharmacy, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12282	20-2036444				Humana Regional Health Plan, Inc.	AR	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-8418853				Humana Veterans Healthcare Services, Inc.	DE	NIA	Humana Government Business, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-4522426				Humana WellWorks LLC	DE	NIA	Health Value Management, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95342	39-1525003				Humana Wisconsin Health Organization Insurance Corporation	WI	IA	CareNetwork, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.70580	39-0714280				HumanaDental Insurance Company	WI	IA	HumanaDental, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1364005				HumanaDental, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	27-4535747				Go365, LLC	DE	NIA	HumanaWellworks LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1239538				Humco, Inc.	KY	DS	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1383567				HUM-e-FL, Inc.	FL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	86-1050795				Hummingbird Coaching Systems LLC	OH	NIA	Harris, Rothenberg International Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	39-1769093				Independent Care Health Plan	WI	OTH	See Footnote 2	Other	50.000	Humana Inc.		.3
.0119	Humana Inc.	.00000	61-1232669				Managed Care Indemnity, Inc.	VT	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-5569675				Conviva Group Holdings, LLC	DE	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-5904436				Conviva Medical Center Management, LLC	DE	NIA	Conviva Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	81-2957926				Conviva Speciality, LLC	FL	NIA	Conviva Medical Center Management, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	27-4379634				Medical Care Consortium Incorporated of Texas	TX	NIA	Conviva Medical Center Management, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0879131				METCARE of Florida, Inc.	FL	NIA	Metropolitan Health Networks, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0635728				Metropolitan Health Networks, Inc.	FL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0992582				Naples Health Care Specialists, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0688221				Nursing Solutions, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	62-1552091				PHP Companies, Inc.	TN	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	62-1250945				Preferred Health Partnership, Inc.	TN	NIA	PHP Companies, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-1724127				Humana Real Estate Company	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	46-1225873				Conviva Health MSO of Texas, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	38-3920730				RMA Island Doctors Orlando MSO, LLC	FL	NIA	Conviva Medical Center Management, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	90-1022183				RMA Medical Center of South Orlando, LLC	FL	NIA	Conviva Medical Center Management, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1722871				RMA Medical Center of Orlando, LLC	FL	NIA	Conviva Medical Center Management, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	75-2844854				ROHC, L.L.C.	TX	NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-1096853				SeniorBridge Family Companies (FL), Inc.	FL	NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-0301155				SeniorBridge Family Companies (IN), Inc.	IN	NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	36-4484443				SeniorBridge Family Companies (NY), Inc.	NY	NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	01-0766084				Humana At Home (San Antonio), Inc.	TX	NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-2518701				SeniorBridge-Florida, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Loca-tion	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Owner-ship Provide Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0119	Humana Inc.	.00000	74-2352809				Texas Dental Plans, Inc.	.TX	.NIA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.54739	52-1157181				The Dental Concern, Inc.	.KY	.IA	HumanaDental, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	75-2600512				Humana At Home (TLC), Inc.	.TX	.NIA	ROHC, L.L.C.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	80-0072760				Humana Digital Health and Analytics Platform Services, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	46-5329373				Conviva Health Management, LLC	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	66-0872725				Humana Management Services of Puerto Rico, Inc.	.PR	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	83-3321367				North Region Providers, LLC	.DE	.NIA	Humana Government Business, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	35-2640679				Primary Care Holdings II, LLC	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	37-1910409				Transcend Population Health Management II, LLC	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	84-2214810				Edge Health MSO, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	47-2905609				Partners in Integrated Care, Inc.	.FL	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	84-3226630				Humana Benefit Plan of South Carolina, Inc.	.SC	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	11-3391115				Alexander Infusion, LLC	.NY	.NIA	Eagle NY Rx, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	36-4898224				Eagle NY Rx, LLC	.DE	.NIA	Eagle Rx, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	47-1407967				Eagle Rx Holdco, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	47-1416614				Eagle Rx, Inc.	.DE	.NIA	Eagle Rx Holdco, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	23-3068914				Enclara Pharmacia, Inc.	.DE	.NIA	Eagle Rx, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	39-1789830				GuidantRx, Inc.	.WI	.NIA	PBM Holding Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1340806				PBM Holding Company	.DE	.NIA	Eagle Rx, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-2373204				PBM Plus Mail Service Pharmacy, LLC	.DE	.NIA	PBM Holding Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	85-3191430				Conviva Care Solutions II, LLC	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	85-3099097				Humana Direct Contracting Entity, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	85-0858631				Primary Care Management, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0

Asterisk	Explanation
0000001	Humana Inc., a Delaware corporation and ultimate parent company in the holding company system, is a publicly traded company on the New York Stock Exchange and ownership fluctuates daily.
0000002	Independent Care Health Plan, a Wisconsin corporation licensed as an HMO, operates an integrated, coordinated medical and social service managed care program for chronically disabled Medicaid recipients in Milwaukee, Wisconsin. CareNetwork, Inc. owns 50% of the company's stock. Centers For Independence, Inc. owns the other 50%.

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. This type of business is not written.

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
		1	2	3	
		Assets	Nonadmitted Assets	Net Admitted Assets (Cols. 1 - 2)	Prior Year Net Admitted Assets
2504.	Federal Contingency Reserves	21,317	0	21,317	338,333
2597.	Summary of remaining write-ins for Line 25 from overflow page	21,317	0	21,317	338,333

SCHEDULE A - VERIFICATION

Real Estate

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

SCHEDULE B - VERIFICATION

Mortgage Loans

	1	2
	Year to Date	Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year	27,600,000	27,600,000
2. Cost of acquired:		
2.1 Actual cost at time of acquisition	0	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	0
8. Deduct amortization of premium and mortgage interest points and commitment fees	0	0
9. Total foreign exchange change in book value/recorded investment excluding accrued interest	0	0
10. Deduct current year's other than temporary impairment recognized	0	0
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10)	27,600,000	27,600,000
12. Total valuation allowance	0	0
13. Subtotal (Line 11 plus Line 12)	27,600,000	27,600,000
14. Deduct total nonadmitted amounts	0	0
15. Statement value at end of current period (Line 13 minus Line 14)	27,600,000	27,600,000

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

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

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year	353,116,015	1,059,087,290
2. Cost of bonds and stocks acquired	129,441,407	189,550,376
3. Accrual of discount	(8,970)	139,894
4. Unrealized valuation increase (decrease)	(51,616)	39,533,602
5. Total gain (loss) on disposals	(87,778)	(12,676,941)
6. Deduct consideration for bonds and stocks disposed of	110,851,681	917,682,409
7. Deduct amortization of premium	1,315,661	4,852,696
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. Total investment income recognized as a result of prepayment penalties and/or acceleration fees	50,767	16,898
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10)	370,292,483	353,116,015
12. Deduct total nonadmitted amounts	0	0
13. Statement value at end of current period (Line 11 minus Line 12)	370,292,483	353,116,015

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan 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
BONDS								
1. NAIC 1 (a)	278,321,496	465,073,293	428,791,758	(8,636,709)	274,712,361	278,321,496	305,966,323	341,236,497
2. NAIC 2 (a)	73,751,761	69,820,332	68,342,353	7,907,001	59,989,563	73,751,761	83,136,742	43,294,479
3. NAIC 3 (a)	12,588,542	1,195,000	1,338,538	363,527	16,802,457	12,588,542	12,808,531	19,411,459
4. NAIC 4 (a)	3,167,211	0	0	212,789	4,021,847	3,167,211	3,380,000	2,339,324
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	367,829,011	536,088,626	498,472,648	(153,392)	355,526,227	367,829,011	405,291,596	406,281,759
PREFERRED STOCK								
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	367,829,011	536,088,626	498,472,648	(153,392)	355,526,227	367,829,011	405,291,596	406,281,759

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

NAIC 1 \$34,999,113 ; NAIC 2 \$0 ; NAIC 3 \$0 NAIC 4 \$0 ; NAIC 5 \$0 ; NAIC 6 \$0

SCHEDULE DA - PART 1

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Prior Year Value	Actual Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals		XX			

NONE

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	0	3,097,043
2. Cost of short-term investments acquired	0	0
3. Accrual of discount	0	2,957
4. Unrealized valuation increase (decrease)	0	0
5. Total gain (loss) on disposals	0	0
6. Deduct consideration received on disposals	0	3,100,000
7. Deduct amortization of premium	0	0
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)	0	0
11. Deduct total nonadmitted amounts	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	0	0

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 - PART 2 - VERIFICATION

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year	76,356,331	62,474,634
2. Cost of cash equivalents acquired	4,288,212,702	11,240,594,545
3. Accrual of discount	387,031	2,088,173
4. Unrealized valuation increase (decrease)	0	0
5. Total gain (loss) on disposals	10	0
6. Deduct consideration received on disposals	4,276,424,322	11,228,801,021
7. Deduct amortization of premium	0	0
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)	88,531,752	76,356,331
11. Deduct total nonadmitted amounts	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	88,531,752	76,356,331

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

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made

N O N E

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid

N O N E

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan 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 and Administrative Symbol
912828-ZA-1	UNITED STATES TREASURY		.08/11/2020	Barclays Capital		903,524	890,000	4,489	1
0599999. Subtotal - Bonds - U.S. Governments						903,524	890,000	4,489	XXX
3132DV-LA-1	FH SD7521 - RMBS		.07/30/2020	NOMURA SECURITIES/FIXED INCOME		3,666,130	3,425,039	2,854	1
3132DV-LC-7	FH SD7523 - RMBS		.07/31/2020	Various		2,081,497	1,951,308	1,626	1
3140X6-PC-9	FN FM3118 - RMBS		.07/31/2020	JP MORGAN SECS INC., - FIXED INCOME		1,909,736	1,775,983	1,776	1
314180-TQ-5	FN MA4158 - RMBS		.09/21/2020	NOMURA SECURITIES/FIXED INCOME		1,752,727	1,700,000	2,078	1
3199999. Subtotal - Bonds - U.S. Special Revenues						9,410,090	8,852,330	8,334	XXX
02079K-AD-9	ALPHABET INC		.08/03/2020	GOLDMAN		463,726	465,000	.0	1FE
12653V-AA-4	CSMC 2019-1CE4 A - CMBS		.09/18/2020	CREDIT SUISSE SECURITIES (USA)		704,890	705,000	.155	1FE
166756-AL-0	CHEVRON USA INC		.08/10/2020	BARCLAYS CAPITAL INC FIXED INC		1,115,000	1,115,000	.0	1FE
191216-DD-9	COCA-COLA CO		.09/14/2020	CITIGROUP GLOBAL MARKETS INC.		2,253,219	2,255,000	.0	1FE
23283P-AT-1	CYRUSONE FINANCE CORP		.09/15/2020	JP MORGAN SECS INC., - FIXED INCOME		271,686	275,000	.0	2FE
29717P-AW-7	ESSEX PORTFOLIO LP		.08/10/2020	WELLS FARGO SECURITIES		500,127	505,000	.0	2FE
35671D-CH-6	FREEMPORT-MCMORAN INC		.07/13/2020	JP MORGAN SECS INC., - FIXED INCOME		165,000	165,000	.0	3FE
38869A-AC-1	GRAPHIC PACKAGING INTERNATIONAL LLC		.08/14/2020	Bank of America Securities		260,000	260,000	.0	3FE
436440-AP-6	HOLOGIC INC		.09/14/2020	GOLDMAN		640,000	640,000	.0	3FE
482530-AA-3	KIND 2020-AIP A - CMBS		.09/17/2020	CREDIT SUISSE SECURITIES (USA)		1,521,603	1,519,466	.301	1Z
55358P-AA-4	MSCG 18SELF A - CMBS		.09/17/2020	MORGAN STANLEY CO		1,025,320	1,025,000	.180	1FE
59523U-AS-6	MID-AMERICA APARTMENTS LP		.08/03/2020	WELLS FARGO SECURITIES		64,652	65,000	.0	2FE
620076-BT-5	MOTOROLA SOLUTIONS INC		.08/10/2020	GOLDMAN		698,614	700,000	.0	2FE
74005P-BT-0	PRAXAIR INC		.08/03/2020	CITIGROUP GLOBAL MARKETS INC.		608,676	610,000	.0	1FE
74340X-BR-1	PROLOGIS LP		.08/06/2020	CITIGROUP GLOBAL MARKETS INC.		134,487	135,000	.0	1FE
81762P-AE-2	SERVICENOW INC		.08/06/2020	JP MORGAN SECS INC., - FIXED INCOME		288,915	290,000	.0	2FE
853496-AH-0	STANDARD INDUSTRIES INC		.08/07/2020	Bank of America Securities		130,000	130,000	.0	3FE
3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						10,845,916	10,859,466	636	XXX
8399997. Total - Bonds - Part 3						21,159,529	20,601,797	13,460	XXX
8399998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX
8399999. Total - Bonds						21,159,529	20,601,797	13,460	XXX
8999997. Total - Preferred Stocks - Part 3						0	XXX	0	XXX
8999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks						0	XXX	0	XXX
9799997. Total - Common Stocks - Part 3						0	XXX	0	XXX
9799998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX
9799999. Total - Common Stocks						0	XXX	0	XXX
9899999. Total - Preferred and Common Stocks						0	XXX	0	XXX
9999999 - Totals						21,159,529	XXX	13,460	XXX

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan 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-eign	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 Desig-nation and Admini-strative Symbol
912828-NT-3	UNITED STATES TREASURY		08/15/2020	Maturity @ 100.00		890,000	890,000	887,323	889,036	0	964	0	964	0	890,000	0	0	0	23,363	08/15/2020	1
0599999	Subtotal - Bonds - U.S. Governments					890,000	890,000	887,323	889,036	0	964	0	964	0	890,000	0	0	0	23,363	XXX	XXX
302987-AE-2	FRESB 2020-SB70 A1H - OMBS		09/01/2020	Paydown		1,155	1,155	1,160	0	0	(5)	0	(5)	0	1,155	0	0	0	16	10/25/2039	1
31329N-J7-4	FH Z44786 - RMBS		09/01/2020	Paydown		119,525	119,525	123,054	123,087	0	(3,562)	0	(3,562)	0	119,525	0	0	0	2,417	12/01/2046	1
3132A9-R7-4	FH ZS8610 - RMBS		09/01/2020	Paydown		14,935	14,935	15,629	0	0	(694)	0	(694)	0	14,935	0	0	0	158	05/01/2031	1
313205-4Q-2	FH SB8031 - RMBS		09/01/2020	Paydown		198,330	198,330	200,848	0	0	(2,518)	0	(2,518)	0	198,330	0	0	0	2,539	02/01/2035	1
313205-5F-5	FH SB8046 - RMBS		09/01/2020	Paydown		98,228	98,228	103,707	0	0	(5,479)	0	(5,479)	0	98,228	0	0	0	835	05/01/2035	1
31320V-3V-5	FH SD8012 - RMBS		09/01/2020	Paydown		266,501	266,501	277,952	0	0	(11,451)	0	(11,451)	0	266,501	0	0	0	5,262	09/01/2049	1
31320V-KU-8	FH SD7507 - RMBS		09/01/2020	Paydown		74,026	74,026	76,022	76,024	0	(1,998)	0	(1,998)	0	74,026	0	0	0	1,502	11/01/2049	1
31320V-KV-6	FH SD7508 - RMBS		09/01/2020	Paydown		32,946	32,946	34,601	34,606	0	(1,660)	0	(1,660)	0	32,946	0	0	0	770	10/01/2049	1
31320V-KW-4	FH SD7509 - RMBS		09/01/2020	Paydown		78,082	78,082	79,949	79,951	0	(1,869)	0	(1,869)	0	78,082	0	0	0	1,581	11/01/2049	1
31320V-LA-1	FH SD7521 - RMBS		09/01/2020	Paydown		20,397	20,397	21,833	0	0	(1,436)	0	(1,436)	0	20,397	0	0	0	42	07/01/2050	1
31320V-LC-7	FH SD7523 - RMBS		09/01/2020	Paydown		10,028	10,028	10,697	0	0	(669)	0	(669)	0	10,028	0	0	0	21	08/01/2050	1
31320H-GW-9	FH Q43812 - RMBS		09/01/2020	Paydown		387	387	414	417	0	(31)	0	(31)	0	387	0	0	0	10	09/01/2046	1
313308-C9-0	FH QN1896 - RMBS		09/01/2020	Paydown		15,353	15,353	16,246	0	0	(892)	0	(892)	0	15,353	0	0	0	125	03/01/2035	1
313308-DD-0	FH QN1900 - RMBS		09/01/2020	Paydown		13,694	13,694	14,507	0	0	(813)	0	(813)	0	13,694	0	0	0	112	04/01/2035	1
31346Y-XB-4	FH QAS174 - RMBS		09/01/2020	Paydown		126,687	126,687	134,585	0	0	(7,898)	0	(7,898)	0	126,687	0	0	0	970	12/01/2049	1
3138E6-VH-6	FN AK2415 - RMBS		09/01/2020	Paydown		336,624	336,624	360,556	357,931	0	(21,308)	0	(21,308)	0	336,624	0	0	0	9,149	02/01/2042	1
3138LS-SB-7	FN AQ2313 - RMBS		09/01/2020	Paydown		2,824	2,824	2,792	2,798	0	27	0	27	0	2,824	0	0	0	62	12/01/2042	1
3138M7-GZ-2	FN AP3815 - RMBS		09/01/2020	Paydown		2,966	2,966	2,933	2,936	0	31	0	31	0	2,966	0	0	0	59	09/01/2042	1
3138M7-W2-7	FN AP4264 - RMBS		09/01/2020	Paydown		379	379	375	375	0	4	0	4	0	379	0	0	0	8	08/01/2042	1
3138MG-RH-0	FN AQ1387 - RMBS		09/01/2020	Paydown		152	152	150	150	0	1	0	1	0	152	0	0	0	3	12/01/2042	1
3138MH-KQ-5	FN AQ2102 - RMBS		09/01/2020	Paydown		4,427	4,427	4,376	4,382	0	45	0	45	0	4,427	0	0	0	88	12/01/2042	1
3138MN-2Y-5	FN AQ7090 - RMBS		09/01/2020	Paydown		184	184	182	183	0	2	0	2	0	184	0	0	0	4	12/01/2042	1
3138MN-A3-4	FN AQ6325 - RMBS		09/01/2020	Paydown		217	217	214	215	0	2	0	2	0	217	0	0	0	4	11/01/2042	1
3138MN-AS-9	FN AQ6316 - RMBS		09/01/2020	Paydown		3,317	3,317	3,279	3,286	0	31	0	31	0	3,317	0	0	0	59	12/01/2042	1
3138MP-2X-2	FN AQ7989 - RMBS		09/01/2020	Paydown		272	272	269	270	0	3	0	3	0	272	0	0	0	5	12/01/2042	1
3138MQ-U3-8	FN AQ8381 - RMBS		09/01/2020	Paydown		326	326	323	323	0	3	0	3	0	326	0	0	0	7	12/01/2042	1
3138MQ-WG-4	FN AQ8746 - RMBS		09/01/2020	Paydown		504	504	499	499	0	5	0	5	0	504	0	0	0	10	12/01/2042	1
3138MR-2P-5	FN AQ8781 - RMBS		09/01/2020	Paydown		2,652	2,652	2,622	2,622	0	30	0	30	0	2,652	0	0	0	53	12/01/2042	1
3138MR-DZ-1	FN AQ8119 - RMBS		09/01/2020	Paydown		2,920	2,920	2,887	2,894	0	27	0	27	0	2,920	0	0	0	58	12/01/2042	1
3138MR-M7-3	FN AQ8381 - RMBS		09/01/2020	Paydown		1,749	1,749	1,730	1,731	0	19	0	19	0	1,749	0	0	0	31	12/01/2042	1
3138MR-TS-0	FN AQ9560 - RMBS		09/01/2020	Paydown		292	292	289	289	0	3	0	3	0	292	0	0	0	6	12/01/2042	1
3138MS-A2-5	FN AQ9924 - RMBS		09/01/2020	Paydown		4,324	4,324	4,275	4,284	0	39	0	39	0	4,324	0	0	0	92	12/01/2042	1
3138MS-A3-3	FN AQ9925 - RMBS		09/01/2020	Paydown		152	152	150	151	0	1	0	1	0	152	0	0	0	3	12/01/2042	1
3138NY-U9-4	FN AR2407 - RMBS		09/01/2020	Paydown		1,358	1,358	1,343	1,345	0	14	0	14	0	1,358	0	0	0	27	01/01/2043	1
3140EW-3W-3	FN BC2612 - RMBS		09/01/2020	Paydown		3,136	3,136	3,133	3,126	0	10	0	10	0	3,136	0	0	0	63	10/01/2046	1
3140F3-C3-0	FN BC7289 - RMBS		09/01/2020	Paydown		1,986	1,986	1,982	1,980	0	6	0	6	0	1,986	0	0	0	40	10/01/2046	1
3140FG-5N-5	FN BD8952 - RMBS		09/01/2020	Paydown		147,363	147,363	148,344	146,827	0	536	0	536	0	147,363	0	0	0	2,952	11/01/2046	1
3140FG-6S-3	FN BD8980 - RMBS		09/01/2020	Paydown		76,933	76,933	77,110	76,657	0	276	0	276	0	76,933	0	0	0	1,600	11/01/2046	1
3140FG-7G-8	FN BD8994 - RMBS		09/01/2020	Paydown		3,328	3,328	3,318	3,318	0	9	0	9	0	3,328	0	0	0	60	11/01/2046	1
3140FG-7L-7	FN BD8998 - RMBS		09/01/2020	Paydown		30,266	30,266	30,858	30,848	0	(582)	0	(582)	0	30,266	0	0	0	669	11/01/2046	1
3140FK-S3-5	FN BE0537 - RMBS		09/01/2020	Paydown		64,269	64,269	64,167	64,064	0	205	0	205	0	64,269	0	0	0	1,261	11/01/2046	1
3140FL-PL-6	FN BE1326 - RMBS		09/01/2020	Paydown		11,307	11,307	11,637	0	0	(330)	0	(330)	0	11,307	0	0	0	118	09/01/2031	1
3140FT-PP-1	FN BE7373 - RMBS		09/01/2020	Paydown		16,212	16,212	16,686	0	0	(474)	0	(474)	0	16,212	0	0	0	168	12/01/2031	1
3140HD-7A-6	FN BK0888 - RMBS		09/01/2020	Paydown		313,654	313,654	338,747	0	0	(25,092)	0	(25,092)	0	313,654	0	0	0	3,032	07/01/2048	1
3140J7-K4-6	FN BM3014 - RMBS		09/01/2020	Paydown		641,912	641,912	664,179	663,030	0	(21,117)	0	(21,117)	0	641,912	0	0	0	14,985	02/01/2045	1
3140JG-LQ-6	FN BN0334 - RMBS		09/01/2020	Paydown		39,005	39,005	40,718	0	0	(1,713)	0	(1,713)	0	39,005	0	0	0	896	12/01/2048	1
3140OC-PW-0	FN CA4936 - RMBS		09/01/2020	Paydown		120,237	120,237	123,665	0	0	(3,429)	0	(3,429)	0	120,237	0	0	0	2,090	01/01/2050	1
3140X3-AX-6	FN FM0021 - RMBS		09/01/2020	Paydown		432,813	432,813	451,817	0	0	(19,003)	0	(19,003)	0	432,813	0	0	0	9,902	03/01/2049	1
3140X4-H9-0	FN FM1155 - RMBS		09/01/2020	Paydown		225,662	225,662	232,643	0	0	(6,981)	0	(6,981)	0	225,662	0	0	0	2,399	06/01/2032	1
3140X5-H3-0	FN FM2049 - RMBS		09/01/2020	Paydown		136,217	136,217	138,942	138,943	0	(2,726)	0	(2,726)	0	136,217	0	0	0	2,625	12/01/2049	1
3140X5-J3-8	FN FM2081 - RMBS		09/01/2020	Paydown		10,462	10,462	10,775	10,774	0	(312)	0	(312)	0	10,462	0	0	0	205	12/01/2049	1
3140X5-JX-2	FN FM2077 - RMBS		09/01/2020	Paydown		62,707	62,707	64,500	64,498	0	(1,792)	0	(1,792)	0	62,707	0	0	0	1,265	12/01/2049	1
3140X5-JZ-7	FN FM2079 - RMBS		09/01/2020	Paydown		76,327	76,327	78,158	78,158	0	(1,832)	0	(1,832)	0	76,327	0	0	0	1,555	12/01/2049	1
3140X6-PC-9	FN FM3118 - RMBS		09/01/2020	Paydown		17,875	17,875	19,221	0	0	(1,346)	0	(1,346)	0	17,875	0	0	0	45	05/01/2050	1
31416X-AL-4	FN AB1810 - RMBS		09/01/2020	Paydown		149,116	149,116	158,238	156,800	0	(7,684)	0	(7,684)	0	149,116	0	0	0	3,865	11/01/2040	1

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE Humana Health Plan 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- eign	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 Recog- nized	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 Desig- nation and Admini- strative Symbol	
31417C-QQ-1	FN AB5862 - RMBS		09/01/2020	Paydown		2,599	2,599	2,570	2,574	0	25	0	25	0	2,599	0	0	0	.58	08/01/2042	1	
31417D-4F-7	FN AB7121 - RMBS		09/01/2020	Paydown		2,587	2,587	2,558	2,562	0	25	0	25	0	2,587	0	0	0	.52	12/01/2042	1	
31417G-SW-2	FN AB9860 - RMBS		09/01/2020	Paydown		12,626	12,626	12,549	12,552	0	74	0	74	0	12,626	0	0	0	.264	07/01/2043	1	
31418C-MG-6	FN MA3058 - RMBS		09/01/2020	Paydown		173,147	173,147	185,592	0	0	(12,445)	0	(12,445)	0	173,147	0	0	0	1,691	07/01/2047	1	
31418D-ET-5	FN MA3745 - RMBS		09/01/2020	Paydown		568,915	568,915	586,408	0	0	(17,494)	0	(17,494)	0	568,915	0	0	0	11,504	08/01/2049	1	
31418D-EU-2	FN MA3746 - RMBS		09/01/2020	Paydown		272,118	272,118	283,722	0	0	(11,604)	0	(11,604)	0	272,118	0	0	0	5,710	08/01/2049	1	
31418D-ID-1	FN MA3955 - RMBS		09/01/2020	Paydown		611,795	611,795	638,752	0	0	(26,957)	0	(26,957)	0	611,795	0	0	0	4,220	03/01/2035	1	
31418D-N7-3	FN MA4013 - RMBS		09/01/2020	Paydown		83,062	83,062	86,722	0	0	(3,660)	0	(3,660)	0	83,062	0	0	0	556	05/01/2035	1	
31418D-INB-1	FN MA4014 - RMBS		09/01/2020	Paydown		92,160	92,160	97,312	0	0	(5,153)	0	(5,153)	0	92,160	0	0	0	758	05/01/2035	1	
35563P-NP-0	SCRT 2020-1 MA - CMO/RMBS		09/01/2020	Paydown		78,202	78,202	81,268	0	0	(3,066)	0	(3,066)	0	78,202	0	0	0	991	08/25/2059	1	
3199999. Subtotal - Bonds - U.S. Special Revenues						5,913,914	5,913,914	6,156,736	2,157,462	0	(235,623)	0	(235,623)	0	5,913,914	0	0	0	101,685	XXX	XXX	
05607Q-AA-6	BX 2020-BXLP A - CMBS		07/15/2020	Paydown		786	786	786	0	0	0	0	0	0	786	0	0	0	.5	12/15/2036	1FE	
05946X-BV-4	BAFC 2003-1 A1 - CMO/RMBS		09/01/2020	Paydown		37	37	38	.38	0	0	0	0	0	37	0	0	0	.2	05/20/2033	1FE	
126307-AT-4	CSC HOLDINGS LLC		07/10/2020	Call @ 100.00		1,266,800	1,250,000	1,311,613	1,277,204	0	(10,404)	0	(10,404)	0	1,266,800	0	(16,800)	(16,800)	83,988	07/15/2023	3FE	
29444U-AQ-9	EQUINIX INC		07/03/2020	Call @ 100.00		316,876	300,000	329,250	315,204	0	(3,164)	0	(3,164)	0	312,040	0	(12,040)	(12,040)	34,159	01/15/2026	2FE	
48253Q-AA-3	KIND 2020-A1P A - CMBS		07/15/2020	Paydown		13,829	13,829	13,397	0	0	432	0	432	0	13,829	0	0	0	.62	03/16/2037	1FE	
81881Q-AS-5	SHACK 2013-1111 AR - CDO		07/15/2020	Paydown		23,191	23,191	23,191	23,191	0	0	0	0	0	23,191	0	0	0	495	07/15/2030	1FE	
82967N-AU-2	SIRIUS XM RADIO INC		07/06/2020	Call @ 102.69		71,882	70,000	73,675	72,081	0	(343)	0	(343)	0	71,738	0	144	144	2,759	04/15/2025	3FE	
85208N-AA-8	SPRINTS 161 A1 - ABS		09/20/2020	Paydown		30,313	30,313	30,312	30,312	0	0	0	0	0	30,313	0	0	0	764	03/20/2023	2FE	
3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						1,723,714	1,688,156	1,782,262	1,718,030	0	(13,479)	0	(13,479)	0	1,718,734	0	(28,696)	(28,696)	122,233	XXX	XXX	
8399997. Total - Bonds - Part 4						8,527,628	8,492,070	8,826,321	4,764,527	0	(248,137)	0	(248,137)	0	8,522,648	0	(28,696)	(28,696)	247,281	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						8,527,628	8,492,070	8,826,321	4,764,527	0	(248,137)	0	(248,137)	0	8,522,648	0	(28,696)	(28,696)	247,281	XXX	XXX	
8999997. Total - Preferred Stocks - Part 4						0	XXX	0	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	0	XXX	XXX
9799997. Total - Common Stocks - Part 4						0	XXX	0	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	0	XXX	XXX
9899999. Total - Preferred and Common Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9999999 - Totals						8,527,628	XXX	8,826,321	4,764,527	0	(248,137)	0	(248,137)	0	8,522,648	0	(28,696)	(28,696)	247,281	XXX	XXX	

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 DB - Part E - Derivatives Hedging Variable Annuity Guarantees

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

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1	2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
					6	7	8	
					First Month	Second Month	Third Month	
Depository	Code	Rate of Interest	Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date				*
WELLS FARGO Atlanta , GA		0.000	0	0	(10,512,700)	(10,576,510)	(10,840,900)	XXX
BB&T Louisville, KY		0.000	0	0	3,045,570	2,511,425	3,013,889	XXX
CITIBANK New Castle , DE		0.000	0	0	37,577	37,787	46,189	XXX
FIFTH THIRD Nashville		0.000	0	0	3,627,906	3,238,085	3,647,797	XXX
JP MORGAN CHASE New York , NY		0.000	0	0	2,737,191	3,107,719	2,720,611	XXX
PNC BANK Louisville, KY		0.000	0	0	11,126,748	5,343,537	8,487,982	XXX
JP Morgan Time Deposit New York,NY		0.050	0	0	17,317,809	8,075,836	2,893,878	XXX
0199998. Deposits in ... 0 depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX	0	0	0	0	0	XXX
0199999. Totals - Open Depositories	XXX	XXX	0	0	27,380,102	11,737,880	9,969,445	XXX
0299998. Deposits in ... 0 depositories that do not exceed the allowable limit in any one depository (See instructions) - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0299999. Totals - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0399999. Total Cash on Deposit	XXX	XXX	0	0	27,380,102	11,737,880	9,969,445	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX	0	0	0	XXX
.....								
.....								
.....								
.....								
.....								
0599999. Total - Cash	XXX	XXX	0	0	27,380,102	11,737,880	9,969,445	XXX

SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1	2	3	4	5	6	7	8	9
CUSIP	Description	Code	Date Acquired	Rate of Interest	Maturity Date	Book/Adjusted Carrying Value	Amount of Interest Due and Accrued	Amount Received During Year
	UNITED STATES TREASURY		.09/29/2020	0.000	10/20/2020	14,999,446	0	58
0199999.	Subtotal - Bonds - U.S. Governments - Issuer Obligations					14,999,446	0	58
0599999.	Total - U.S. Government Bonds					14,999,446	0	58
1099999.	Total - All Other Government Bonds					0	0	0
1799999.	Total - U.S. States, Territories and Possessions Bonds					0	0	0
2499999.	Total - U.S. Political Subdivisions Bonds					0	0	0
	FEDERAL FARM CREDIT BANKS FUNDING CORP		.09/30/2020	0.000	10/06/2020	9,999,917	0	17
	FED HOME LN DISCOUNT NT		.09/29/2020	0.000	10/16/2020	9,999,750	0	33
2599999.	Subtotal - Bonds - U.S. Special Revenues - Issuer Obligations					19,999,667	0	50
3199999.	Total - U.S. Special Revenues Bonds					19,999,667	0	50
3899999.	Total - Industrial and Miscellaneous (Unaffiliated) Bonds					0	0	0
4899999.	Total - Hybrid Securities					0	0	0
5599999.	Total - Parent, Subsidiaries and Affiliates Bonds					0	0	0
6099999.	Subtotal - SVO Identified Funds					0	0	0
6599999.	Subtotal - Unaffiliated Bank Loans					0	0	0
7699999.	Total - Issuer Obligations					34,999,113	0	108
7799999.	Total - Residential Mortgage-Backed Securities					0	0	0
7899999.	Total - Commercial Mortgage-Backed Securities					0	0	0
7999999.	Total - Other Loan-Backed and Structured Securities					0	0	0
8099999.	Total - SVO Identified Funds					0	0	0
8199999.	Total - Affiliated Bank Loans					0	0	0
8299999.	Total - Unaffiliated Bank Loans					0	0	0
8399999.	Total Bonds					34,999,113	0	108
09248U-71-8	BLKPK LQ:T-FUND INSTL		.09/29/2020	0.040		49,947,113	171	0
31846V-80-7	FIRST AMER:TRS OBG Y	SD	.08/31/2020	0.010		0	0	0
4812C2-23-9	JPMORGAN:US TRS-MM CAP		.09/30/2020	0.030		3,470,261	0	11
94975H-29-6	WELLSFARGO:TRS+ MM I	SD	.09/02/2020	0.010		110,094	1	355
8599999.	Subtotal - Exempt Money Market Mutual Funds - as Identified by the SVO					53,527,468	172	365
09248U-70-0	BLKPK LQ:FEDFUND INSTL	SD	.07/01/2020	0.050		0	0	0
31846V-20-3	FIRST AMER:GVT OBLG Y	SD	.09/15/2020	0.010		5,171	0	6
999990-80-7	RTCS I - INST	SD	.06/01/2020	0.000		0	0	0
8699999.	Subtotal - All Other Money Market Mutual Funds					5,171	0	6
8899999	- Total Cash Equivalents					88,531,752	172	480