



QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2016
OF THE CONDITION AND AFFAIRS OF THE

KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

NAIC Group Code 0601 , 0601 (Current Period) (Prior Period) NAIC Company Code 95540 Employer's ID Number 93-0798039

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

Country of Domicile United States

Licensed as business type: Life, Accident & Health [] Property/Casualty [] Hospital, Medical & Dental Service or Indemnity []
Dental Service Corporation [] Vision Service Corporation [] Health Maintenance Organization [X]
Other [] Is HMO Federally Qualified? Yes [] No [X]

Incorporated/Organized 10/19/1981 Commenced Business 05/01/1942

Statutory Home Office 500 N.E. Multnomah Street, Suite 100 , Portland, OR, US 97232-2099
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 500 N.E. Multnomah Street, Suite 100 , Portland, OR, US 97232-2099 503-813-2800
(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address 500 N.E. Multnomah Street, Suite 100 , Portland, OR, US 97232-2099
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 500 N.E. Multnomah Street, Suite 100 , Portland, OR, US 97232-2099 503-813-2502
(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Web Site Address www.kp.org

Statutory Statement Contact Rachelle Anne Quinn 503-813-2502
(Name) (Area Code) (Telephone Number) (Extension)
Rachelle.A.Quinn@kp.org 503-813-4408
(E-Mail Address) (FAX Number)

OFFICERS

Name	Title	Name	Title
<u>Andrew Raymond McCulloch</u>	<u>Regional President</u>	<u>William Netherton Wiechmann</u>	<u>Assistant Secretary - V.P. & Regional Counsel</u>
<u>Jenny Smith #</u>	<u>Interim CFO and Executive Director</u>	<u>Bernard James Tyson</u>	<u>Director, Chairman, CEO and President</u>

OTHER OFFICERS

<u>Kathryn Lee Lancaster</u>	<u>Ex. V.P. & Chief Financial Officer</u>	<u>Arthur Milton Southam MD</u>	<u>Ex. V.P. - Health Plan Operations</u>
<u>Gregory Adams</u>	<u>Executive Vice President & Group President</u>	<u>Thomas Ralph Meier</u>	<u>Senior V.P. & Treasurer</u>
<u>Donald Hoyt Omdoff</u>	<u>Senior V.P. - National Facilities Services</u>	<u>Alfonse L Upshaw</u>	<u>Senior V.P. - Corp. Controller & CAO</u>
<u>Mark Steven Zemelman</u>	<u>Senior Vice President, General Counsel & Secretary</u>		

DIRECTORS OR TRUSTEES

<u>Margaret Effie Porfido JD</u>	<u>Edward Ying Wah Pei</u>	<u>Arnold Eugene Washington MD</u>	<u>Bernard James Tyson</u>
<u>Judith Ann Johansen JD</u>	<u>Cynthia Ann Telles PhD</u>	<u>Kim John Kaiser</u>	<u>Philip Albert Marineau</u>
<u>Jeffrey Emanuel Epstein</u>	<u>Richard Patrick Shannon MD</u>	<u>David Frank Hoffmeister</u>	<u>Leslie Stone Heisz</u>
<u>Regina Marcia Benjamin MD</u>	<u>Ramon Francis Baez</u>		

State of Oregon ss
County of Multnomah

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.

Andrew Raymond McCulloch
Regional President

William Netherton Wiechmann
Assistant Secretary - V.P. & Regional Counsel

Jenny Smith
Interim CFO and Executive Director

Subscribed and sworn to before me this
day of _____

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

b. If no:

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

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

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	993,182,450		993,182,450	1,050,179,771
2. Stocks:				
2.1 Preferred stocks			0	0
2.2 Common stocks			0	0
3. Mortgage loans on real estate:				
3.1 First liens			0	0
3.2 Other than first liens			0	0
4. Real estate:				
4.1 Properties occupied by the company (less \$ 7,447,457 encumbrances)	213,431,527		213,431,527	209,126,637
4.2 Properties held for the production of income (less \$ 1,768 encumbrances)	4,536,277		4,536,277	4,233,502
4.3 Properties held for sale (less \$ encumbrances)			0	2,832,956
5. Cash (\$ (6,580,731)), cash equivalents (\$ 0) and short-term investments (\$ 26,017,436)	19,436,705		19,436,705	6,510,605
6. Contract loans (including \$ premium notes)			0	0
7. Derivatives	0		0	0
8. Other invested assets	0		0	0
9. Receivables for securities	66,085		66,085	355
10. Securities lending reinvested collateral assets			0	0
11. Aggregate write-ins for invested assets	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11)	1,230,653,044	0	1,230,653,044	1,272,883,826
13. Title plants less \$ charged off (for Title insurers only)			0	0
14. Investment income due and accrued	4,589,595		4,589,595	4,253,785
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection	15,394,796	491,239	14,903,557	28,332,034
15.2 Deferred premiums, agents' balances and instalments booked but deferred and not yet due (including \$ earned but unbilled premiums)	0		0	0
15.3 Accrued retrospective premiums (\$) and contracts subject to redetermination (\$ 43,095,761)	43,095,761		43,095,761	36,008,316
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers	6,103,717		6,103,717	7,612,177
16.2 Funds held by or deposited with reinsured companies			0	0
16.3 Other amounts receivable under reinsurance contracts			0	0
17. Amounts receivable relating to uninsured plans			0	0
18.1 Current federal and foreign income tax recoverable and interest thereon			0	0
18.2 Net deferred tax asset			0	0
19. Guaranty funds receivable or on deposit			0	0
20. Electronic data processing equipment and software	1,263,232	589,224	674,008	899,804
21. Furniture and equipment, including health care delivery assets (\$ 76,566,688)	77,191,825	625,137	76,566,688	73,929,746
22. Net adjustment in assets and liabilities due to foreign exchange rates	0	0	0	0
23. Receivables from parent, subsidiaries and affiliates	65,569,784		65,569,784	34,337,882
24. Health care (\$ 12,433,966) and other amounts receivable	15,640,131	3,206,165	12,433,966	19,294,543
25. Aggregate write-ins for other-than-invested assets	7,261,998	7,261,998	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25)	1,466,763,883	12,173,763	1,454,590,120	1,477,552,113
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts			0	0
28. Total (Lines 26 and 27)	1,466,763,883	12,173,763	1,454,590,120	1,477,552,113
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. Other Non-Admitted Assets	7,261,998	7,261,998	0	0
2502.				
2503.				
2598. Summary of remaining write-ins for Line 25 from overflow page	0	0	0	0
2599. Totals (Lines 2501 through 2503 plus 2598) (Line 25 above)	7,261,998	7,261,998	0	0

LIABILITIES, CAPITAL AND SURPLUS

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$871,949 reinsurance ceded).....	47,698,378		47,698,378	57,956,647
2. Accrued medical incentive pool and bonus amounts	0		0	0
3. Unpaid claims adjustment expenses	1,321,580		1,321,580	1,321,580
4. Aggregate health policy reserves including the liability of \$ for medical loss ratio rebate per the Public Health Service Act	10,903,187		10,903,187	8,255,905
5. Aggregate life policy reserves			0	0
6. Property/casualty unearned premium reserve			0	0
7. Aggregate health claim reserves			0	0
8. Premiums received in advance	111,822,002		111,822,002	31,367,354
9. General expenses due or accrued	105,987,094		105,987,094	23,447,731
10.1 Current federal and foreign income tax payable and interest thereon (including \$ on realized gains (losses))			0	0
10.2 Net deferred tax liability.....			0	0
11. Ceded reinsurance premiums payable	754,001		754,001	762,993
12. Amounts withheld or retained for the account of others	1,429,477		1,429,477	78,513,855
13. Remittances and items not allocated			0	0
14. Borrowed money (including \$ current) and interest thereon \$ (including \$ current)			0	0
15. Amounts due to parent, subsidiaries and affiliates	127,342,667		127,342,667	142,052,836
16. Derivatives.....		0	0	0
17. Payable for securities	634,206		634,206	0
18. Payable for securities lending			0	0
19. Funds held under reinsurance treaties (with \$ authorized reinsurers, \$ unauthorized reinsurers and \$ certified reinsurers).....			0	0
20. Reinsurance in unauthorized and certified (\$) companies			0	0
21. Net adjustments in assets and liabilities due to foreign exchange rates			0	0
22. Liability for amounts held under uninsured plans			0	0
23. Aggregate write-ins for other liabilities (including \$9,938,499 current)	551,547,511	0	551,547,511	714,548,342
24. Total liabilities (Lines 1 to 23).....	959,440,103	0	959,440,103	1,058,227,243
25. Aggregate write-ins for special surplus funds	XXX	XXX	0	27,000,000
26. Common capital stock	XXX	XXX		0
27. Preferred capital stock	XXX	XXX		0
28. Gross paid in and contributed surplus	XXX	XXX	177,753,051	177,753,051
29. Surplus notes	XXX	XXX		0
30. Aggregate write-ins for other-than-special surplus funds	XXX	XXX	0	0
31. Unassigned funds (surplus)	XXX	XXX	317,396,966	214,571,819
32. Less treasury stock, at cost:				
32.1 shares common (value included in Line 26 \$)	XXX	XXX		0
32.2 shares preferred (value included in Line 27 \$)	XXX	XXX		0
33. Total capital and surplus (Lines 25 to 31 minus Line 32)	XXX	XXX	495,150,017	419,324,870
34. Total liabilities, capital and surplus (Lines 24 and 33)	XXX	XXX	1,454,590,120	1,477,552,113
DETAILS OF WRITE-INS				
2301. Pension.....	320,010,410		320,010,410	375,965,690
2302. Post Retirement.....	208,029,417		208,029,417	296,613,776
2303. Accrued Taxes.....			0	25,605,490
2398. Summary of remaining write-ins for Line 23 from overflow page	23,507,684	0	23,507,684	16,363,386
2399. Totals (Lines 2301 through 2303 plus 2398) (Line 23 above)	551,547,511	0	551,547,511	714,548,342
2501. 2016 Health Insurance Provided Fee Payable.....	XXX	XXX		27,000,000
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	27,000,000
3001.	XXX	XXX		0
3002.	XXX	XXX		0
3003.	XXX	XXX		0
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	4,391,946	4,248,612	5,668,454
2. Net premium income (including \$ non-health premium income).....	XXX	2,483,603,665	2,366,965,606	3,167,470,248
3. Change in unearned premium reserves and reserve for rate credits.....	XXX		0	0
4. Fee-for-service (net of \$ medical expenses).....	XXX	48,169,876	40,824,900	55,881,275
5. Risk revenue.....	XXX	115,024,780	94,341,368	127,308,216
6. Aggregate write-ins for other health care related revenues.....	XXX	3,310,306	4,137,619	6,840,151
7. Aggregate write-ins for other non-health revenues.....	XXX	0	0	0
8. Total revenues (Lines 2 to 7).....	XXX	2,650,108,627	2,506,269,493	3,357,499,890
Hospital and Medical:				
9. Hospital/medical benefits.....		1,148,400,093	1,116,426,233	1,485,668,786
10. Other professional services.....		274,265,749	256,426,592	345,688,508
11. Outside referrals.....		119,175,879	108,988,230	146,359,984
12. Emergency room and out-of-area.....		70,773,434	65,353,191	90,218,448
13. Prescription drugs.....		296,866,806	301,647,502	404,482,847
14. Aggregate write-ins for other hospital and medical.....	0	516,682,476	481,458,494	652,051,294
15. Incentive pool, withhold adjustments and bonus amounts.....		0	0	0
16. Subtotal (Lines 9 to 15).....	0	2,426,164,437	2,330,300,242	3,124,469,867
Less:				
17. Net reinsurance recoveries.....		5,577,218	9,533,142	13,074,155
18. Total hospital and medical (Lines 16 minus 17).....	0	2,420,587,219	2,320,767,100	3,111,395,712
19. Non-health claims (net).....		0	0	0
20. Claims adjustment expenses, including \$ 15,252,808 cost containment expenses.....		31,581,017	36,713,405	46,949,398
21. General administrative expenses.....		168,160,285	171,792,111	224,451,058
22. Increase in reserves for life and accident and health contracts (including \$ increase in reserves for life only).....		0	0	0
23. Total underwriting deductions (Lines 18 through 22).....	0	2,620,328,521	2,529,272,616	3,382,796,168
24. Net underwriting gain or (loss) (Lines 8 minus 23).....	XXX	29,780,106	(23,003,123)	(25,296,278)
25. Net investment income earned.....		16,107,079	11,919,252	17,354,143
26. Net realized capital gains (losses) less capital gains tax of \$.....		6,091,270	(914,858)	(2,862,513)
27. Net investment gains (losses) (Lines 25 plus 26).....	0	22,198,349	11,004,394	14,491,630
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$ 89,228) (amount charged off \$ 2,049,697)].....		(1,960,469)	(2,999,013)	(4,374,312)
29. Aggregate write-ins for other income or expenses.....	0	1,414,874	1,271,157	1,680,445
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	51,432,860	(13,726,585)	(13,498,515)
31. Federal and foreign income taxes incurred.....	XXX	0	0	0
32. Net income (loss) (Lines 30 minus 31).....	XXX	51,432,860	(13,726,585)	(13,498,515)
DETAILS OF WRITE-INS				
0601. Other Health Care Revenue.....	XXX	3,280,481	2,941,146	3,822,841
0602. Meaningful Use Grant Revenue.....	XXX	29,825	1,196,473	3,017,310
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	3,310,306	4,137,619	6,840,151
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. Medical Office Operations.....		502,844,381	469,169,259	635,697,205
1402. Public & Professional Liability.....		13,838,095	12,289,235	16,354,089
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	516,682,476	481,458,494	652,051,294
2901. Other Revenue.....		1,414,874	1,271,157	1,680,445
2902.				
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	1,414,874	1,271,157	1,680,445

STATEMENT OF REVENUE AND EXPENSES (Continued)

	1	2	3
	Current Year To Date	Prior Year To Date	Prior Year Ended December 31
CAPITAL & SURPLUS ACCOUNT			
33. Capital and surplus prior reporting year.....	419,324,870	203,154,414	203,154,414
34. Net income or (loss) from Line 32	51,432,860	(13,726,585)	(13,498,515)
35. Change in valuation basis of aggregate policy and claim reserves		0	0
36. Change in net unrealized capital gains (losses) less capital gains tax of \$		0	0
37. Change in net unrealized foreign exchange capital gain or (loss)		0	0
38. Change in net deferred income tax		0	0
39. Change in nonadmitted assets	1,687,303	(935,843)	2,219,814
40. Change in unauthorized and certified reinsurance	0	0	0
41. Change in treasury stock		0	0
42. Change in surplus notes	0	0	0
43. Cumulative effect of changes in accounting principles		1,911,514	1,911,525
44. Capital Changes:			
44.1 Paid in		0	0
44.2 Transferred from surplus (Stock Dividend)		0	0
44.3 Transferred to surplus		0	0
45. Surplus adjustments:			
45.1 Paid in		100,000,000	175,000,000
45.2 Transferred to capital (Stock Dividend)	0	0	0
45.3 Transferred from capital		0	0
46. Dividends to stockholders		0	0
47. Aggregate write-ins for gains or (losses) in surplus	22,704,984	(29,464,736)	50,537,632
48. Net change in capital and surplus (Lines 34 to 47)	75,825,147	57,784,350	216,170,456
49. Capital and surplus end of reporting period (Line 33 plus 48)	495,150,017	260,938,764	419,324,870
DETAILS OF WRITE-INS			
4701. Pension - SSAP 102	13,268,382	19,551,242	35,663,984
4702. Post Retirement Benefit SSAP 92	9,436,602	(49,015,978)	14,873,648
4703.		0	0
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)	22,704,984	(29,464,736)	50,537,632

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.....	2,573,148,958	2,352,107,249	3,134,733,981
2. Net investment income.....	14,874,566	26,660,138	36,633,363
3. Miscellaneous income.....	174,058,019	156,812,084	206,857,190
4. Total (Lines 1 to 3).....	2,762,081,543	2,535,579,471	3,378,224,534
5. Benefit and loss related payments.....	2,415,973,162	2,326,965,596	3,102,682,389
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.....	115,869,045	210,473,931	269,724,025
8. Dividends paid to policyholders.....	0	0	0
9. Federal and foreign income taxes paid (recovered) net of \$ tax on capital gains (losses).....	0	0	0
10. Total (Lines 5 through 9).....	2,531,842,207	2,537,439,527	3,372,406,414
11. Net cash from operations (Line 4 minus Line 10).....	230,239,336	(1,860,056)	5,818,120
Cash from Investments			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	570,910,564	414,846,563	587,394,843
12.2 Stocks.....	0	0	0
12.3 Mortgage loans.....	0	0	0
12.4 Real estate.....	6,663,964	484,737	484,737
12.5 Other invested assets.....	0	0	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments.....	3,511	0	10,555
12.7 Miscellaneous proceeds.....	1,180,997	6,346,771	5,436,898
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	578,759,036	421,678,071	593,327,033
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	510,900,277	533,407,266	776,891,058
13.2 Stocks.....	0	0	0
13.3 Mortgage loans.....	0	0	0
13.4 Real estate.....	19,445,693	19,342,681	26,595,149
13.5 Other invested assets.....	0	0	0
13.6 Miscellaneous applications.....	612,538	2,742,366	6,434,383
13.7 Total investments acquired (Lines 13.1 to 13.6).....	530,958,508	555,492,313	809,920,590
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).....	47,800,528	(133,814,242)	(216,593,557)
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	100,000,000	175,000,000
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	0	0
16.6 Other cash provided (applied).....	(265,113,764)	10,284,103	8,903,857
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6).....	(265,113,764)	110,284,103	183,903,857
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).....	12,926,100	(25,390,195)	(26,871,580)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	6,510,605	33,382,185	33,382,185
19.2 End of period (Line 18 plus Line 19.1).....	19,436,705	7,991,990	6,510,605

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1 Total	Comprehensive (Hospital & Medical)		4 Medicare Supplement	5 Vision Only	6 Dental Only	7 Federal Employees Health Benefits Plan	8 Title XVIII Medicare	9 Title XIX Medicaid	10 Other
		2 Individual	3 Group							
Total Members at end of:										
1. Prior Year.....	475,594	26,584	349,186	.0	.0	.0	20,223	79,279	322	.0
2. First Quarter.....	488,675	38,262	349,640	.0	.0	.0	20,144	80,629	.0	.0
3. Second Quarter.....	489,026	37,889	349,562	.0	.0	.0	19,962	81,613	.0	.0
4. Third Quarter.....	493,501	39,470	351,273	.0	.0	.0	19,764	82,994	.0	.0
5. Current Year	0									
6. Current Year Member Months	4,391,946	340,031	3,139,684	0	0	0	179,752	732,479	0	0
Total Member Ambulatory Encounters for Period:										
7. Physician.....	1,585,150	79,474	823,259	.0	.0	179,189	61,014	442,214	.0	.0
8. Non-Physician.....	627,502	25,230	287,802	0	0	158,905	20,574	134,991	0	0
9. Total	2,212,652	104,704	1,111,061	0	0	338,094	81,588	577,205	0	0
10. Hospital Patient Days Incurred	93,402	4,044	41,315	0	0	0	4,240	43,803	0	0
11. Number of Inpatient Admissions	25,525	1,176	12,622	0	0	0	1,038	10,689	0	0
12. Health Premiums Written (a).....	2,484,166,917	111,960,763	1,426,905,628	.0	.0	105,233,193	107,818,591	732,261,353	(12,611)	.0
13. Life Premiums Direct.....	0									
14. Property/Casualty Premiums Written.....	0									
15. Health Premiums Earned.....	2,484,166,917	111,960,763	1,426,905,628	.0	.0	105,233,193	107,818,591	732,261,353	(12,611)	.0
16. Property/Casualty Premiums Earned.....	0									
17. Amount Paid for Provision of Health Care Services.....	2,435,550,755	114,684,220	1,227,370,175	.0	.0	93,140,279	86,807,831	754,375,928	366,555	158,805,767
18. Amount Incurred for Provision of Health Care Services	2,426,164,437	115,922,992	1,221,361,802	0	0	94,331,080	86,140,435	750,172,397	295,117	157,940,614

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ 732,261,353

Dental members are counted as Medical members.

The membership above does not include the CCO (Community Care Organization) and self-funded members. Member months for the CCO and self-funded groups are 395,539 and 109,971, respectively.

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

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

Aging Analysis of Unpaid Claims

1 Account	2 1 - 30 Days	3 31 - 60 Days	4 61 - 90 Days	5 91 - 120 Days	6 Over 120 Days	7 Total
Claims unpaid (Reported)						
0199999 Individually listed claims unpaid	.0	.0	.0	.0	.0	.0
0299999 Aggregate accounts not individually listed-uncovered						
0399999 Aggregate accounts not individually listed-covered	(1,105,315)	(896,343)	(474,037)	(555,289)	(4,124,019)	(7,155,003)
0499999 Subtotals	(1,105,315)	(896,343)	(474,037)	(555,289)	(4,124,019)	(7,155,003)
0599999 Unreported claims and other claim reserves	XXX	XXX	XXX	XXX	XXX	34,118,277
0699999 Total amounts withheld	XXX	XXX	XXX	XXX	XXX	21,607,053
0799999 Total claims unpaid	XXX	XXX	XXX	XXX	XXX	48,570,327
0899999 Accrued medical incentive pool and bonus amounts	XXX	XXX	XXX	XXX	XXX	

00

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

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 Dec. 31 of Prior Year
	1	2	3	4		
	On Claims Incurred Prior to January 1 of Current Year	On Claims Incurred During the Year	On Claims Unpaid Dec. 31 of Prior Year	On Claims Incurred During the Year		
1. Comprehensive (hospital and medical)	24,642,102	1,312,461,265	128,252	21,677,137	24,770,354	27,446,941
2. Medicare Supplement					0	0
3. Dental only	4,025,940	89,114,339		5,216,741	4,025,940	4,025,940
4. Vision only					0	0
5. Federal Employees Health Benefits Plan	1,318,684	85,490,487	(111,885)	1,779,305	1,206,799	2,334,816
6. Title XVIII - Medicare	5,375,460	741,709,998	(458,072)	15,874,271	4,917,388	19,619,730
7. Title XIX - Medicaid	76,062	265,884	9,435	115,326	85,497	196,198
8. Other health	3,085,090	155,727,119	157,124	3,310,745	3,242,214	4,333,022
9. Health subtotal (Lines 1 to 8).....	38,523,338	2,384,769,092	(275,146)	47,973,525	38,248,192	57,956,647
10. Health care receivables (a)	(21,432,267)	13,879,210			(21,432,267)	0
11. Other non-health					0	0
12. Medical incentive pools and bonus amounts					0	0
13. Totals (Lines 9-10+11+12)	59,955,605	2,370,889,882	(275,146)	47,973,525	59,680,459	57,956,647

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

6

NOTES TO FINANCIAL STATEMENTS

1) Summary of Significant Accounting Policies

A. Accounting Practices

The statutory financial statements of Kaiser Foundation Health Plan of the Northwest (Health Plan) have been prepared in conformity with the National Association of Insurance Commissioners' (NAIC) Accounting Practices and Procedures Manual (NAIC SAP), the NAIC Annual Statement Instructions, and other accounting practices, as prescribed or permitted by the Oregon Department of Consumer and Business Services Division of Financial Regulation (State of Oregon). For the quarter ended September 30, 2016 and year ended December 31, 2015, there were no differences between the NAIC SAP and the practices prescribed by or permitted by the State of Oregon that impacted Health Plan's statutory net income or capital and surplus. As noted in the schedule below (in thousands):

	State of Domicile	SSAP#	F/S Page	F/S Line#	2016	2015
<u>NET INCOME</u>						
(1) Health Plan state basis (Page 4, Line 32, Columns 2 & 4)	Oregon				\$ 51,433	\$ (13,499)
(2) State Prescribed Practices that increase/(decrease) NAIC SAP	Oregon				-	-
(3) State Permitted Practices that increase/(decrease) NAIC SAP	Oregon				-	-
(4) NAIC SAP(1-2-3=4)	Oregon				51,433	(13,499)
<u>SURPLUS</u>						
(5) Health Plan state basis (Page 3, Line 33, Columns 3 & 4)	Oregon				495,150	419,325
(6) State Prescribed Practices that increase/(decrease) NAIC SAP	Oregon				-	-
(7) State Permitted Practices that increase/(decrease) NAIC SAP	Oregon				-	-
Statutory Surplus, NAIC SAP (5-6-7=8)	Oregon				\$ 495,150	\$ 419,325

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

No significant changes from the 2015 annual statement.

C. Accounting Policies

New Accounting Pronouncements

In June 2015, the NAIC adopted revisions to Statement of Statutory Accounting Principles (SSAP) 54, Individual and Group Accident and Health Contracts and SSAP 84, Amounts Receivable Under Government Insured Plans. The guidance was adopted prospectively by Health Plan in 2015. The revisions clarify reporting requirements for Medicare risk adjustment receivables and payables. Management reclassified certain Medicare receivables from health care receivables - net to premiums receivable - net and certain Medicare payables from other liabilities to aggregate health policy reserves during 2015.

In August 2016, the NAIC adopted revisions to SSAP 55, Unpaid Claims, Losses and Loss Adjustment Expenses. The guidance was adopted prospectively by Health Plan for the period ended September 30, 2016. The revisions clarify accounting treatment of costs associated with salvage and subrogation. Health Plan recognized \$0.9 million of estimated collection costs at September 30, 2016.

Loan-Backed Structured Securities

Health Plan does have investments in loan-backed and/or structured securities and collateralized mortgage obligations. These securities are stated on the amortized cost basis and adjustments are made prospectively.

2) Accounting Changes and Corrections of Errors

For the quarter ended September 30, 2016, Health Plan reclassified certain accounts within assets and liabilities between lines of the financial statements. The changes continue to comply with statutory accounting guidance, align the Health Plan with other Kaiser Health Plans, and bring consistency across the program. The changes did not have a material or negative impact on capital and surplus.

3) Business Combinations and Goodwill

No significant changes from the 2015 annual statement.

4) Discontinued Operations

No significant changes from the 2015 annual statement.

NOTES TO FINANCIAL STATEMENTS

5) Investments

A – C.

Health Plan has no investments in mortgage loans, restructured debt or reverse mortgages.

D. Loan-Backed Securities

(1) Health Plan does have investments in loan-backed and/or structured securities and collateralized mortgage obligations. Prepayment assumptions are obtained from a third party vendor data source.

(2) During the nine months ended September 30, 2016, the aggregate other-than-temporary impairment (OTTI) recognized for certain loan-backed and/or structured securities was as follows (in thousands):

	(1) Amortized Cost Basis Before Other- than-Temporary Impairment	(2) Other-than- Temporary Impairment Recognized in Loss	(3) Fair Value (1)-(2)
OTTI recognized 1st Quarter			
a. Intent to sell	\$ -	\$ -	-
b. Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis	38,861	222	38,639
c. Total 1st Quarter	<u>\$ 38,861</u>	<u>\$ 222</u>	<u>\$ 38,639</u>
OTTI recognized 2nd Quarter			
d. Intent to sell	\$ -	\$ -	-
e. Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis	11,621	53	11,568
f. Total 2nd Quarter	<u>\$ 11,621</u>	<u>\$ 53</u>	<u>\$ 11,568</u>
OTTI recognized 3rd Quarter			
g. Intent to sell	\$ -	\$ -	-
h. Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis	31,392	67	31,325
i. Total 3rd Quarter	<u>\$ 31,392</u>	<u>\$ 67</u>	<u>\$ 31,325</u>

NOTES TO FINANCIAL STATEMENTS

(3) Each impairment of loan-backed and/or structured securities recognized during the nine months ended September 30, 2016 was as follows (in thousands):

(1)	(2)	(3)	(4)	(5)	(6)	(7)
CUSIP	Book/Adjusted Carrying Value Amortized Cost Before Current Period OTTI	Present Value of Projected Cash Flows	Recognized Other-Than- Temporary Impairment	Amortized Cost After Other- Than- Temporary Impairment	Fair Value at time of OTTI	Date of Financial Statement Where Reported
3138ENTP4	\$ 2,142	\$ 2,133	\$ 9	\$ 2,133	\$ 2,133	3/31/2016
33766QAA5	\$ 491	\$ 490	\$ 1	\$ 490	\$ 490	3/31/2016
38376RQL3	\$ 6,668	\$ 6,614	\$ 54	\$ 6,614	\$ 6,614	3/31/2016
02665VAA1	\$ 450	\$ 446	\$ 4	\$ 446	\$ 446	3/31/2016
12550LAE2	\$ 774	\$ 772	\$ 2	\$ 772	\$ 772	3/31/2016
19624MAA5	\$ 699	\$ 691	\$ 8	\$ 691	\$ 691	3/31/2016
26249EAE5	\$ 440	\$ 435	\$ 5	\$ 435	\$ 435	3/31/2016
26251BAC0	\$ 847	\$ 839	\$ 8	\$ 839	\$ 839	3/31/2016
29372EBE7	\$ 3,781	\$ 3,779	\$ 2	\$ 3,779	\$ 3,779	3/31/2016
30711XAC8	\$ 591	\$ 591	\$ -	\$ 591	\$ 591	3/31/2016
3137GOHC6	\$ 473	\$ 472	\$ 1	\$ 472	\$ 472	3/31/2016
32113CBH2	\$ 2,855	\$ 2,852	\$ 3	\$ 2,852	\$ 2,852	3/31/2016
33882UAB3	\$ 1,970	\$ 1,940	\$ 30	\$ 1,940	\$ 1,940	3/31/2016
46186LAA0	\$ 1,038	\$ 1,029	\$ 9	\$ 1,029	\$ 1,029	3/31/2016
46186PAA1	\$ 2,023	\$ 1,997	\$ 26	\$ 1,997	\$ 1,997	3/31/2016
46644DAA4	\$ 2,520	\$ 2,492	\$ 28	\$ 2,492	\$ 2,492	3/31/2016
55818YAG6	\$ 490	\$ 483	\$ 7	\$ 483	\$ 483	3/31/2016
606072LA2	\$ 342	\$ 336	\$ 6	\$ 336	\$ 338	3/31/2016
64033LAA8	\$ 188	\$ 188	\$ -	\$ 188	\$ 188	3/31/2016
67590LAE8	\$ 795	\$ 793	\$ 2	\$ 793	\$ 793	3/31/2016
78444EAC3	\$ 230	\$ 230	\$ -	\$ 230	\$ 230	3/31/2016
80282XAE8	\$ 287	\$ 287	\$ -	\$ 287	\$ 287	3/31/2016
85172CAA4	\$ 1,765	\$ 1,762	\$ 3	\$ 1,762	\$ 1,762	3/31/2016
87154EAB6	\$ 3,168	\$ 3,168	\$ -	\$ 3,168	\$ 3,168	3/31/2016
89253UAA8	\$ 2,986	\$ 2,981	\$ 5	\$ 2,981	\$ 2,981	3/31/2016
89852TAC2	\$ 848	\$ 839	\$ 9	\$ 839	\$ 839	3/31/2016
3138ENTP4	\$ 1,998	\$ 1,994	\$ 4	\$ 1,994	\$ 1,994	6/30/2016
02665VAA1	\$ 453	\$ 448	\$ 5	\$ 448	\$ 448	6/30/2016
19624MAA5	\$ 702	\$ 696	\$ 6	\$ 696	\$ 696	6/30/2016
3137GOJQ3	\$ 1,013	\$ 1,013	\$ -	\$ 1,013	\$ 1,013	6/30/2016
32113CBH2	\$ 2,855	\$ 2,852	\$ 3	\$ 2,852	\$ 2,852	6/30/2016
383122AA6	\$ 1,596	\$ 1,595	\$ 1	\$ 1,595	\$ 1,596	6/30/2016
46186PAA1	\$ 2,003	\$ 1,972	\$ 31	\$ 1,972	\$ 1,972	6/30/2016
67590WAE4	\$ 829	\$ 826	\$ 3	\$ 826	\$ 826	6/30/2016
78444EAC3	\$ 83	\$ 83	\$ -	\$ 83	\$ 83	6/30/2016
80282XAE8	\$ 89	\$ 89	\$ -	\$ 89	\$ 89	6/30/2016
059497AX5	\$ 2,248	\$ 2,244	\$ 4	\$ 2,244	\$ 2,244	9/30/2016
19624MAA5	\$ 704	\$ 699	\$ 5	\$ 699	\$ 699	9/30/2016
26208AAD4	\$ 440	\$ 439	\$ 1	\$ 439	\$ 439	9/30/2016
3137B9SJ5	\$ 2,145	\$ 2,135	\$ 10	\$ 2,135	\$ 2,135	9/30/2016
3137BDY67	\$ 4,422	\$ 4,420	\$ 2	\$ 4,420	\$ 4,420	9/30/2016
33766QAA5	\$ 165	\$ 165	\$ -	\$ 165	\$ 165	9/30/2016
36250UAC9	\$ 901	\$ 901	\$ -	\$ 901	\$ 901	9/30/2016
380881DN9	\$ 3,210	\$ 3,210	\$ -	\$ 3,210	\$ 3,209	9/30/2016
38375BVN9	\$ 6,224	\$ 6,193	\$ 31	\$ 6,193	\$ 6,193	9/30/2016
38376RQL3	\$ 6,073	\$ 6,064	\$ 9	\$ 6,064	\$ 6,064	9/30/2016
43813JAC9	\$ 1,248	\$ 1,247	\$ 1	\$ 1,247	\$ 1,247	9/30/2016
92347XAB2	\$ 3,612	\$ 3,608	\$ 4	\$ 3,608	\$ 3,608	9/30/2016
Total			\$ 342			

(4) – (5)

For the nine months ended September 30, 2016, there were no impaired loan-backed securities for which an other-than-temporary impairment has not been recognized in earnings as a realized loss.

E - G.

For the nine months ended September 30, 2016 and the year ended December 31, 2015, Health Plan had no investments in repurchase agreements and/or securities lending transactions, real estate or low-income housing tax credits.

NOTES TO FINANCIAL STATEMENTS

H. Restricted Assets

(1) Restricted assets (including pledged) as of September 30, 2016 were as follows (in thousands):

Restricted Asset Category	Gross Restricted										Percentage	
	Current Year						7	8	9	10	11	
	1	2	3	4	5	6						
Total General Account (G/A) (Admitted & Nonadmitted)	G/A Supporting S/A Activity (a) (Admitted & Nonadmitted)	Total Separate Account (S/A) Restricted Assets (Admitted & Nonadmitted)	S/A Assets Supporting G/A Activity (b) (Admitted & Nonadmitted)	Total (1 plus 3) (Admitted & Nonadmitted)	Total Nonadmitted	Total From Prior Year (Admitted & Nonadmitted)	Increase/ (Decrease) (5 minus 7)	Total Current Year Admitted Restricted (5 minus 6)	Total admitted & nonadmitted Restricted to Total Assets	Admitted Restricted to Total Admitted Assets		
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. Leases stock or securities restricted as to sale - excluding FHLB capital stock												
i. FHLB capital stock												
j. On deposit with states	277	-	-	-	277	-	274	3	277	0.02%	0.02%	
k. On deposit with other regulatory bodies												
l. Pledged as 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	\$ 277	\$ -	\$ -	\$ -	\$ 277	\$ -	\$ 274	\$ 3	\$ 277	0.02%	0.02%	

(a) Subset of column 1

(b) Subset of column 3

(2) - (3)

There were neither assets pledged as collateral nor other restricted assets.

I. Working Capital Finance Investments

Health Plan does not have Working Capital Finance Investments.

J. Offsetting and Netting of Assets and Liabilities

Not applicable to the Health Plan.

K. Structured Notes

Structured notes held at September 30, 2016 were as follows (in thousands):

<u>CUSIP Identification</u>	<u>Actual Cost</u>	<u>Fair Value</u>	<u>Book/Adjusted Carrying Value</u>	<u>Mortgage-Referenced Security (Yes/No)</u>
30711XAA2	\$ 462	\$ 466	\$ 461	Yes
30711XAC8	479	483	479	Yes
30711XAE4	462	472	466	Yes
30711XAJ3	8	8	8	Yes
30711XBJ2	2,918	2,948	2,918	Yes
30711XBJ2	994	1,008	994	Yes
3137G0AC3	260	262	260	Yes
3137G0EC9	79	79	79	Yes
3137G0EQ8	244	245	244	Yes
3137G0GQ6	510	511	510	Yes
3137G0HC6	270	271	270	Yes
3137G0JQ3	987	989	987	Yes
Totals	\$ 7,673	\$ 7,742	\$ 7,676	

6) Joint Ventures, Partnerships & Limited Liability Companies

No significant changes from the 2015 annual statement.

7) Investment Income

No significant changes from the 2015 annual statement.

8) Derivative Instruments

No significant changes from the 2015 annual statement.

NOTES TO FINANCIAL STATEMENTS

9) Income Taxes

No significant changes from the 2015 annual statement.

10) Information Concerning Parent, Subsidiaries and Affiliates

No significant changes from the 2015 annual statement.

11) Debt

As of September 30, 2016 and December 31, 2015 Health Plan has no borrowings.

12) Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and other Postretirement Benefit Plans

(4) Components of net period benefit cost:

Pension:

Health Plan participates with affiliated organizations in a defined benefit pension plan covering substantially all its employees. Benefits are based on age at retirement, years of credited service, and average compensation for a specified period prior to retirement. Contributions are intended to provide not only for benefits attributed to service to date but also for those expected to be earned in the future.

The pension plan is administered by KFHP. Plan assets for Health Plan are not segregated and, accordingly, are not disclosed below. However, KFHP separately accounts for Health Plan liability and expense, and KFHP allocates pension expense and related prepaid or accrued benefit costs to Health Plan based on participant demographics and plan provisions.

Health Plan Allocations

The accrued pension plan liability allocated to Health Plan at December 31, 2015 and the change through September 30, 2016 are as follows (in thousands):

Allocated pension plan liability at December 31, 2015	\$ 375,966
Recognized transition liability	—
Provision	42,680
Contributions	<u>(98,636)</u>
Allocated pension plan liability at September 30, 2016	320,010
Unrecognized transition liability	—
GAAP provision adjustment	<u>(2,429)</u>
Allocated GAAP basis pension obligation at September 30, 2016	<u>\$ 317,581</u>

For the nine months ended September 30, pension expense allocated to Health Plan was as follows (in thousands):

	<u>2016</u>
Service cost	\$ 41,867
Interest cost	32,846
Expected return on plan assets	(32,033)
Amortization of net actuarial loss	11,847
Amortization of prior service cost	<u>1,422</u>
Net pension expense	<u>55,949</u>
Other changes in plan assets and benefit obligations recognized in capital and surplus:	
Amortization of net actuarial loss	(11,847)
Amortization of prior service cost	<u>(1,422)</u>
Total recognized in surplus	<u>(13,269)</u>
Total recognized in net periodic benefit cost and surplus	<u>\$ 42,680</u>

NOTES TO FINANCIAL STATEMENTS

Plan assets and actuarial assumptions are materially consistent with the 2015 annual statement.

Postretirement:

Certain employees may become eligible for postretirement health care and life insurance benefits while working for Health Plan. Benefits available to retirees, through both affiliated and unaffiliated provider networks, vary by employee group. Postretirement health care benefits available to retirees include subsidized Medicare premiums, medical and prescription drug benefits, dental benefits, and vision benefits.

The accrued liability for postretirement benefits at December 31, 2015 and the change through September 30, 2016 are as follows (in thousands):

Accrued benefit liability at December 31, 2015	
before liability transfer to KFHP	\$ 379,677
Liability transferred to KFHP	<u>(83,064)</u>
Accrued benefit liability at December 31, 2015	296,613
Provision	15,141
Contributions	(91,747)
Benefits paid or provided	<u>(11,978)</u>
Accrued benefit liability at September 30, 2016	208,029
Unrecognized transition liability	—
GAAP provision adjustment	(207)
GAAP basis accumulated postretirement obligation at September 30, 2016	<u>\$ 207,822</u>

For the nine months ended September 30, postretirement benefits expense was as follows (in thousands):

	2016
Service cost	\$ 5,452
Interest cost	16,265
Expected return on plan assets	(6,576)
Amortization of prior service cost	8,491
Amortization of net actuarial loss	946
Postretirement benefits expense	<u>24,578</u>
Other changes in plan assets and benefit obligations recognized in capital and surplus:	
Amortization of prior service cost	(8,491)
Amortization of net actuarial loss	(946)
Total recognized in surplus	<u>(9,437)</u>
Total recognized in net periodic benefit cost and surplus	<u>\$ 15,141</u>

Actuarial assumptions are consistent with the 2015 annual statement assumptions.

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

No significant changes from the 2015 annual statement.

14) Contingencies

No significant changes from the 2015 annual statement.

15) Leases

No significant changes from the 2015 annual statement.

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

No significant changes from the 2015 annual statement.

NOTES TO FINANCIAL STATEMENTS

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

A – B. Transfer of Receivables Reported as Sales & Transfer and Servicing of Financial Assets

Health Plan has no transaction subject to the disclosure requirements of this footnote during the reporting period.

C. Wash Sales

SSAP No. 103 *Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities* (SSAP No. 103), paragraph 28 requires a reporting entity to disclose any wash sales involving securities with a NAIC designation of 3 or below. Although the Health Plan's investment strategy does not include purchasing any securities with a NAIC designation of 3 or below, four securities were held at September 30, 2016 with a NAIC designation of 3. During 2016 and 2015, Health Plan did not participate in any wash sale as defined by SSAP No. 103.

18) Gain or Loss to the Reporting Entity from Uninsured A&H Plans and the Uninsured Portion of Partially Insured Plans

No significant changes from the 2015 annual statement.

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

No significant changes from the 2015 annual statement.

20) Fair Value Measurements

A – B.

Health Plan has no assets or liabilities that are measured and reported at fair value in the statement of financial position after initial recognition.

C.

Investments are reported at lower of amortized cost or fair value, with impairment recorded if amortized cost is greater than fair value. The fair values of investments are based on quoted market prices, if available, or estimated using quoted market prices for similar investments. If listed prices or quotes are not available, fair value is based upon other observable inputs or models that primarily use market based or independently sourced market parameters as inputs. In addition to market information, models also incorporate transaction details such as maturity. Fair value adjustments, including credit, liquidity, and other factors, are included, as appropriate, to arrive at a fair value measurement.

Health Plan utilizes a three level valuation hierarchy for fair value measurements. An instrument's categorization within the hierarchy is based upon the lowest level of input that is significant to the fair value measurement. For instruments classified in level 1 of the hierarchy, valuation inputs are quoted prices for identical instruments in active markets at the measurement date. For instruments classified in level 2 of the hierarchy, valuation inputs are directly observable but do not qualify as level 1 inputs. Examples of level 2 inputs include: quoted prices for similar instruments in active markets; quoted prices for identical or similar instruments in inactive markets; other observable inputs such as interest rates and yield curves observable at commonly quoted intervals, volatilities, prepayment speeds, loss severities, credit risks, and default rates; and market correlated inputs that are derived principally from or corroborated by observable market data. For instruments classified in level 3 of the hierarchy, valuation inputs are unobservable inputs for the instrument. Level 3 inputs incorporate assumptions about the factors that market participants would use in pricing the instrument.

NOTES TO FINANCIAL STATEMENTS

At September 30, 2016, bonds and short-term investments at statement value and estimated fair value, derived using level 2 inputs, were as follows (in thousands):

2016 Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Not Practicable (Carrying Value)
Short-term investments:						
Money market funds	\$ 14,479	\$ 14,479	\$ -	\$ 14,479	\$ -	\$ -
Industrial and miscellaneous bonds	11,543	11,538	-	11,543	-	-
Total short-term investments	26,022	26,017	-	26,022	-	-
Bonds and other invested assets:						
U.S. Treasury and government-sponsored agencies	266,567	264,185	-	266,567	-	-
All other government bonds	18,951	18,909	-	18,951	-	-
U.S. states, territories and possessions	972	970	-	972	-	-
U.S. special revenue bonds	5,857	5,829	-	5,857	-	-
Loan-backed and/or structured securities	206,310	204,466	-	206,310	-	-
Industrial and miscellaneous bonds	506,957	498,823	-	506,957	-	-
Total bonds and other invested assets	1,005,614	993,182	-	1,005,614	-	-
Total investments	\$ 1,031,636	\$ 1,019,199	\$ -	\$ 1,031,636	\$ -	\$ -
2015						
Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Not Practicable (Carrying Value)
Short-term investments:						
Money market funds	\$ 3,984	\$ 3,984	\$ -	\$ 3,984	\$ -	\$ -
Industrial and miscellaneous bonds	7,002	7,002	-	7,002	-	-
Total short-term investments	10,986	10,986	-	10,986	-	-
Bonds and other invested assets:						
U.S. Treasury and government-sponsored agencies	278,508	278,314	-	278,508	-	-
All other government bonds	11,823	11,823	-	11,823	-	-
U.S. states, territories and possessions	985	984	-	985	-	-
U.S. special revenue bonds	382	379	-	382	-	-
Loan-backed and/or structured securities	221,356	220,872	-	221,356	-	-
Industrial and miscellaneous bonds	539,560	537,808	-	539,560	-	-
Total bonds and other invested assets	1,052,614	1,050,180	-	1,052,614	-	-
Total investments	\$ 1,063,600	\$ 1,061,166	\$ -	\$ 1,063,600	\$ -	\$ -

D.

There were no investments at September 30, 2016 for which it was not practicable to estimate fair value.

21) Other Items

Health Plan had no other items for the reporting periods.

22) Events Subsequent

No significant changes from the 2015 annual statement.

23) Reinsurance

No significant changes from the 2015 annual statement.

24) Retrospectively Rated Contracts and Contract Subject to Redetermination

E. Risk Sharing Provisions of the Affordable Care Act

- (1) Health Plan wrote health insurance premium which is subject to the Affordable Care Act risk sharing provisions.

NOTES TO FINANCIAL STATEMENTS

(2) Risk sharing provisions relating to the Affordable Care Act (ACA) were as follows:

a. Permanent ACA Risk Adjustment Program	September 30, 2016
<u>Assets</u>	
1. Premium adjustments receivable due to ACA Risk Adjustment	\$ 14,249,665
<u>Liabilities</u>	
2. Risk adjustment user fees payable for ACA Risk Adjustment	65,023
3. Premium adjustments payable due to ACA Risk Adjustment	4,500,000
<u>Operations (Revenue & Expense)</u>	
4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment	933,057
5. Reported in expenses as ACA risk adjustment user fees (incurred/paid)	64,979
b. Transitional ACA Reinsurance Program and OTRP	
<u>Assets</u>	
1. Amounts recoverable for claims paid due to ACA Reinsurance and OTRP	\$ 6,103,717
2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability)	871,949
3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	-
<u>Liabilities</u>	
4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	11,478,047
5. Ceded reinsurance premiums payable due to ACA Reinsurance	754,001
6. Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance	-
<u>Operations (Revenue & Expense)</u>	
7. Ceded reinsurance premiums due to ACA Reinsurance	563,252
8. Reinsurance recoveries (income statement) due to ACA Reinsurance and OTRP payments or expected payments	5,577,218
9. ACA Reinsurance contributions – not reported as ceded premium	7,446,907
c. Temporary ACA Risk Corridors Program	
<u>Assets</u>	
1. Accrued retrospective premium due to ACA Risk Corridors	\$ -
<u>Liabilities</u>	
2. Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	1,376,717
<u>Operations (Revenue & Expense)</u>	
3. Effect of ACA Risk Corridors on net premium income (paid/received)	4,623,283
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		Difference:		Adjustments:		Unsettled Balances as of the Reporting Date	
	1	2	3	4	Prior Year Accrued Less Payments (Col 1-3)	Prior Year Accrued Less Payments (Col 2-4)	To Prior Year Balances	To Prior Year Balances	Cumulative Balance from Prior Years (Col 1-3+7)	Cumulative Balance from Prior Years (Col 2-4+8)
	Receivable	(Payable)	Receivable	(Payable)	5	6	7	8	9	10
a. Permanent ACA Risk Adjustment Program										
1. Premium adjustments receivable	\$ 36,970,472	\$ -	\$ 28,153,864	\$ -	\$ 8,816,608	\$ -	\$ (2,066,943)	\$ -	A	\$ 6,749,665
2. Premium adjustments (payable)	-	13,938	-	13,938	-	-	-	-	-	-
3. Subtotal ACA Permanent Risk Adjustment Program	36,970,472	13,938	28,153,864	13,938	8,816,608	-	(2,066,943)	-	-	6,749,665
b. Transitional ACA Reinsurance Program and OTRP										
1. Amounts recoverable for claims paid	20,193,682	-	20,477,403	-	(283,721)	-	3,355,595	-	B	3,071,874
2. Amounts recoverable for claims unpaid (Contra Liability)	1,682,170	-	-	-	1,682,170	-	(1,682,170)	-	B	-
3. Amounts receivable relating to uninsured plans	-	-	-	-	-	-	-	-	-	-
4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	-	39,908,403	-	35,877,263	-	4,031,140	-	-	-	4,031,140
5. Ceded reinsurance premiums payable	-	1,666,203	-	1,475,453	-	190,748	-	-	-	190,748
6. Liability for amounts held under uninsured plans	-	-	-	-	-	-	-	-	-	-
7. Subtotal ACA Transitional Reinsurance Program and OTRP	21,875,852	41,574,606	20,477,403	37,352,716	1,398,449	4,221,888	1,673,425	-	-	3,071,874
c. Temporary ACA Risk Corridors Program										
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	-	-
2. Reserve for rate credits or policy experience rating	-	9,867,746	-	3,867,746	-	6,000,000	-	(5,323,283)	C	676,717
3. Subtotal ACA Risk Corridors Program	-	9,867,746	-	3,867,746	-	6,000,000	-	(5,323,283)	-	676,717
d. Total for ACA Risk Sharing Provisions	\$ 58,846,324	\$ 51,456,290	\$ 48,631,267	\$ 41,234,402	\$ 10,215,057	\$ 10,221,888	\$ (393,518)	\$ (5,323,283)		\$ 9,821,539

Explanation of Adjustments

A. CMS released final 2015 RA Issuer Report on 06/30/2016

B. CMS released final 2015 RI Issuer Report on 06/30/2016 (early payment received 03/16, 25% Coinsurance Rate for claims data submitted 02/01/16).

C. 2015 Risk Corridor true up as of 06/30/16 (recorded payables only)

NOTES TO FINANCIAL STATEMENTS

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

Risk Corridors Program Year:	Accrued as of December 31 of the prior year reporting year		Received or Paid as of the Current Period on Business Written For the Risk Corridors Program Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
	Receivable	(Payable)	Receivable	(Payable)	Accrued Less Payments Receivable	Accrued Less Payments (Payable)	Balances Receivable	Balances (Payable)	Ref	Cumulative Balance Receivable	Cumulative Balance (Payable)
2014											
Accrued Retropective premium	-	-	-	-	-	-	-	-		-	-
Reserve for rate credits or policy experience rating refunds	-	3,867,746	-	3,867,746	-	-	-	-		-	-
2015											
Accrued Retropective premium	-	-	-	-	-	-	-	-		-	-
Reserve for rate credits or policy experience rating refunds	-	6,000,000	-	-	-	6,000,000	-	(5,323,283)	A	-	676,717
2016											
Accrued Retropective premium	-	-	-	-	-	-	-	-		-	-
Reserve for rate credits or policy experience rating refunds	-	-	-	-	-	-	-	-		-	-
Total for Risk Corridors	-	9,867,746	-	3,867,746	-	6,000,000	-	(5,323,283)		-	676,717

Explanation of Adjustments

A. 2015 Risk Corridor true up as of 06/30/16 (recorded payables only)

(5) ACA Risk Corridors Receivable as of Reporting Date:

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	Asset Balance (Gross of Non-admissions)	Non-admitted Amount	Net Admitted Asset
2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2015	\$ 9,821,230	\$ 9,821,230	\$ -	\$ -	\$ -	\$ -
2016	\$ 15,554,588	\$ 15,554,588	\$ -	\$ -	\$ -	\$ -
Total	\$ 25,375,818	\$ 25,375,818	\$ -	\$ -	\$ -	\$ -

25) Change in Incurred Claims and Claim Adjustment Expenses

Unpaid claims and claims adjustment expense includes both reported and unreported medical claims, which have been partially reduced by estimated recoverables for salvage and subrogation and estimated reinsurance recoveries under the PPACA. Unpaid claims incurred but not reported represent an estimate of claims incurred for or on behalf of Health Plan's members that had not yet been reported to the Health Plan in the statutory statements of admitted assets, liabilities, capital, and surplus. Unpaid claims are based on a number of factors including hospital admission data and prior claims experience, as well as claims processing patterns; adjustments, if necessary, are made to medical expense in the period the actual claims costs are ultimately determined. The estimated salvage and subrogation included as a reduction to unpaid claims and claims adjustment expense was \$7.2 million and \$8.8 million at September 30, 2016 and December 31, 2015, respectively. At September 30, 2016 and December 31, 2015, the estimated reinsurance recoveries under the PPACA included as a reduction to reserves for unpaid claims and claims adjustment expense was \$0.9 and \$1.7 million, respectively.

Claims adjustment expense represents costs incurred related to the claim settlement process such as costs to record, process, and adjust claims. These expenses are calculated using a percentage of current medical costs, which is based on historical cost experience.

NOTES TO FINANCIAL STATEMENTS

Activity in the reserves for unpaid claims and claims adjustment expense was summarized as follows (in thousands):

	9/30/2016	12/31/2015
Balances at January 1	\$ 59,278	\$ 52,837
Incurred related to		
Current year	\$ 2,418,864	\$ 3,117,839
Prior years	\$ 1,723	\$ (6,317)
Total incurred	<u>\$ 2,420,587</u>	<u>\$ 3,111,522</u>
Paid related to		
Current year	\$ 2,370,891	\$ 3,060,080
Prior years	\$ 59,954	\$ 45,001
Total paid	<u>\$ 2,430,845</u>	<u>\$ 3,105,081</u>
Balance at end of period	<u>\$ 49,020</u>	<u>\$ 59,278</u>

Amounts incurred related to prior years vary from previously estimated liabilities as the claims are ultimately adjudicated and paid. Liabilities are reviewed and revised as information regarding actual claims payments becomes known. Positive (negative) amounts reported for incurred related to prior years result from claims being adjudicated and paid for amounts more (less) than originally estimated.

26) Intercompany Pooling Arrangements

No significant changes from the 2015 annual statement.

27) Structured Settlements

Not applicable for Health Entities.

28) Health Care Receivables

No significant changes from the 2015 annual statement.

29) Participating Policies

No significant changes from the 2015 annual statement.

30) Premium Deficiency Reserves

No significant changes from the 2015 annual statement.

31) Anticipated Salvage and Subrogation

No significant changes from the 2015 annual statement.

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: 03/03/2016
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes No
If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes No
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.
.....
- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? Yes No
- 4.2 If yes, provide the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? Yes No NA
If yes, attach an explanation.
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2013
- 6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. 12/31/2013
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). 03/24/2015
- 6.4 By what department or departments?
State of Oregon Department of Consumer & Business Services.....
- 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 NA
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes No NA
- 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 Affiliate Name	2 Location (City, State)	3 FRB	4 OCC	5 FDIC	6 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? Yes No
- (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;
- (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;
- (c) Compliance with applicable governmental laws, rules and regulations;
- (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and
- (e) Accountability for adherence to the code.

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

- 9.2 Has the code of ethics for senior managers been amended? Yes No

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

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

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

FINANCIAL

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

10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: _____ \$ _____ .0

INVESTMENT

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

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

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

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

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

14.2 If yes, please complete the following:

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

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

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

If no, attach a description with this statement.

GENERAL INTERROGATORIES

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

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 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
U.S. Bank National Association.....	800 Nicollet Mall, Minneapolis, MN 55402-70200.....
State Street Bank and Trust Company.....	2 Ave de Lafayette, Boston, MA 02111.....

- 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

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

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

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

1 Central Registration Depository	2 Name(s)	3 Address
104973.....	Wells Capital Management.....	525 Market Street, 10th Floor, San Francisco, CA 94510.....
107160.....	Payden & Rygel.....	333 S. Grand, Los Angeles, CA 90071.....

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

GENERAL INTERROGATORIES
PART 2 - HEALTH

1. Operating Percentages:

1.1 A&H loss percent.....	98.1 %
1.2 A&H cost containment percent.....	0.6 %
1.3 A&H expense percent excluding cost containment expenses.....	7.4 %
2.1 Do you act as a custodian for health savings accounts?.....	Yes [] No [X]
2.2 If yes, please provide the amount of custodial funds held as of the reporting date.....	\$
2.3 Do you act as an administrator for health savings accounts?.....	Yes [] No [X]
2.4 If yes, please provide the balance of the funds administered as of the reporting date.....	\$

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

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

SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

1 States, Etc.	2 Active Status	Direct Business Only							9 Deposit-Type Contracts	
		3 Accident & Health Premiums	4 Medicare Title XVIII	5 Medicaid Title XIX	6 Federal Employees Health Benefits Program Premiums	7 Life & Annuity Premiums & Other Considerations	8 Property/Casualty Premiums	8 Total Columns 2 Through 7		
1. Alabama	AL	N							0	
2. Alaska	AK	N							0	
3. Arizona	AZ	N							0	
4. Arkansas	AR	N							0	
5. California	CA	N							0	
6. Colorado	CO	N							0	
7. Connecticut	CT	N							0	
8. Delaware	DE	N							0	
9. Dist. Columbia	DC	N							0	
10. Florida	FL	N							0	
11. Georgia	GA	N							0	
12. Hawaii	HI	N							0	
13. Idaho	ID	N							0	
14. Illinois	IL	N							0	
15. Indiana	IN	N							0	
16. Iowa	IA	N							0	
17. Kansas	KS	N							0	
18. Kentucky	KY	N							0	
19. Louisiana	LA	N							0	
20. Maine	ME	N							0	
21. Maryland	MD	N							0	
22. Massachusetts	MA	N							0	
23. Michigan	MI	N							0	
24. Minnesota	MN	N							0	
25. Mississippi	MS	N							0	
26. Missouri	MO	N							0	
27. Montana	MT	N							0	
28. Nebraska	NE	N							0	
29. Nevada	NV	N							0	
30. New Hampshire	NH	N							0	
31. New Jersey	NJ	N							0	
32. New Mexico	NM	N							0	
33. New York	NY	N							0	
34. North Carolina	NC	N							0	
35. North Dakota	ND	N							0	
36. Ohio	OH	N							0	
37. Oklahoma	OK	N							0	
38. Oregon	OR	L	1,294,961,714	540,940,439	(12,611)	73,606,138			1,909,495,680	
39. Pennsylvania	PA	N							0	
40. Rhode Island	RI	N							0	
41. South Carolina	SC	N							0	
42. South Dakota	SD	N							0	
43. Tennessee	TN	N							0	
44. Texas	TX	N							0	
45. Utah	UT	N							0	
46. Vermont	VT	N							0	
47. Virginia	VA	N							0	
48. Washington	WA	L	226,235,164	191,320,914		34,212,454			451,768,532	
49. West Virginia	WV	N							0	
50. Wisconsin	WI	N							0	
51. Wyoming	WY	N							0	
52. American Samoa	AS	N							0	
53. Guam	GU	N							0	
54. Puerto Rico	PR	N							0	
55. U.S. Virgin Islands	VI	N							0	
56. Northern Mariana Islands	MP	N							0	
57. Canada	CAN	N							0	
58. Aggregate other alien	OT	XXX	0	0	0	0	0	0	0	0
59. Subtotal	XXX		1,521,196,878	732,261,353	(12,611)	107,818,592	0	0	2,361,264,212	0
60. Reporting entity contributions for Employee Benefit Plans	XXX		122,902,705						122,902,705	
61. Total (Direct Business)	(a)	2	1,644,099,583	732,261,353	(12,611)	107,818,592	0	0	2,484,166,917	0
DETAILS OF WRITE-INS										
58001	XXX									
58002	XXX									
58003	XXX									
58998	Summary of remaining write-ins for Line 58 from overflow page	XXX	0	0	0	0	0	0	0	0
58999	Totals (Lines 58001 through 58003 plus 58998) (Line 58 above)	XXX	0	0	0	0	0	0	0	0

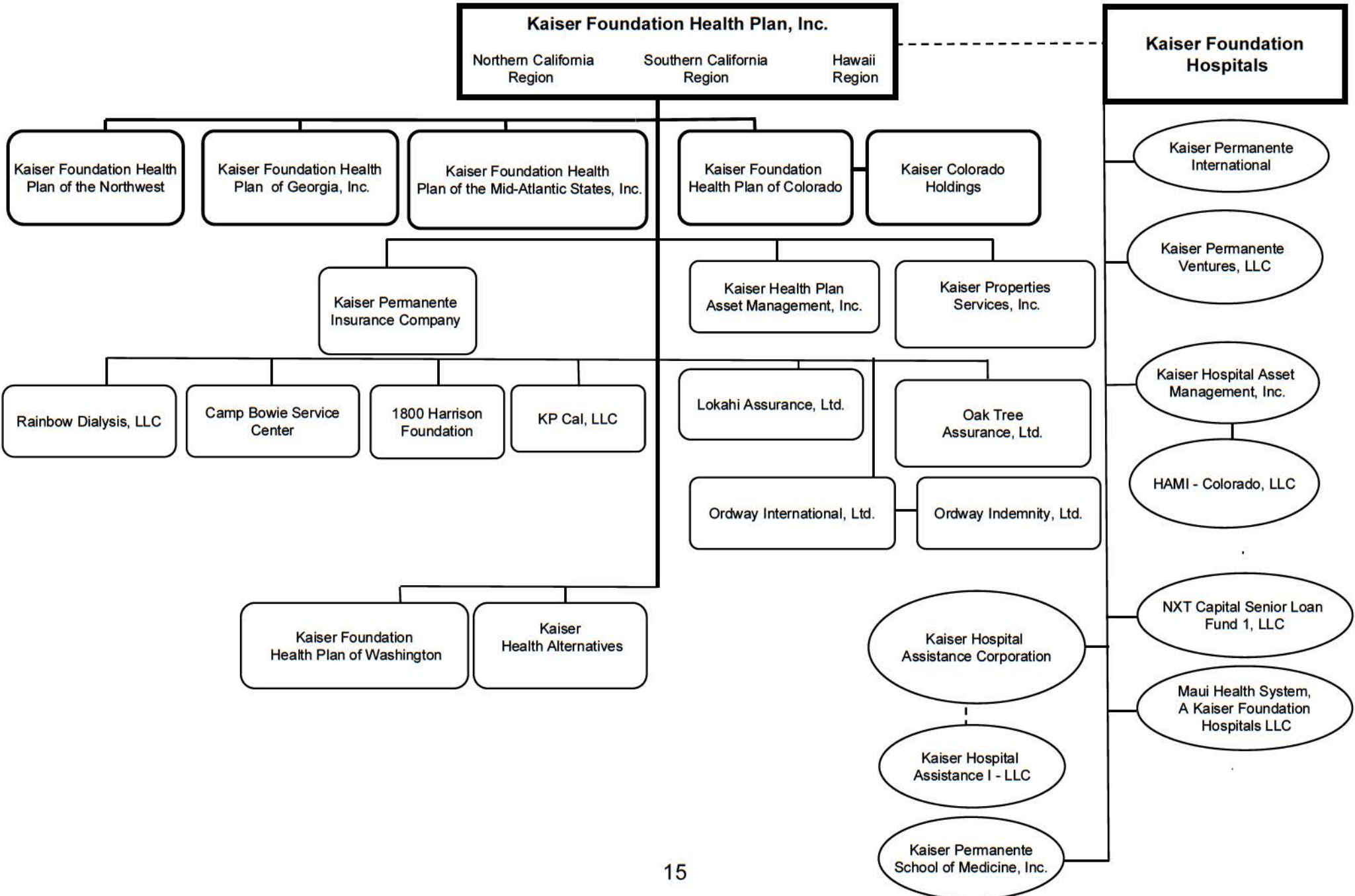
(L) Licensed or Chartered - Licensed Insurance Carrier or Domiciled RRG; (R) Registered - Non-domiciled RRGs; (Q) Qualified - Qualified or Accredited Reinsurer; (E) Eligible - Reporting Entities eligible or approved to write Surplus Lines in the state; (N) None of the above - Not allowed to write business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

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST
 SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

PART 1 – ORGANIZATION CHART

KAISER FOUNDATION HEALTH PLAN, INC. AND KAISER FOUNDATION HOSPITALS
 SUBSIDIARIES AND AFFILIATED CORPORATIONS

As of September 30, 2016



STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Name of Parent Subsidiaries or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/ Person(s)	*
00601	Kaiser Foundation Health Plan, Inc (KFHP)	95669	84-0591617				Kaiser Foundation Health Plan of Colorado	CO	NIA	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Health Plan, Inc (KFHP)		03-0329760				Oak Tree Assurance, Ltd.	VT	OTH	KFHP	Ownership	100.0	KFHP	1
00601	Kaiser Foundation Health Plan, Inc (KFHP)	95639	52-0954463				Kaiser Foundation Health Plan of the Mid-Atlantic States, Inc	MD	NIA	KFHP	Ownership	100.0	KFHP	0
00601	Kaiser Foundation Health Plan, Inc (KFHP)	96237	58-1592076				Kaiser Foundation Health Plan of Georgia, Inc	GA	NIA	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Health Plan, Inc (KFHP)		94-3299124				Kaiser Health Plan Asset Management, Inc.	CA	NIA	KFHP	Ownership	100.0	KFHP	0
00601	Kaiser Foundation Health Plan, Inc (KFHP)	60053	94-3203402				Kaiser Permanente Insurance Company	CA	IA	KFHP	Ownership	100.0	KFHP	2
00601	Kaiser Foundation Health Plan, Inc (KFHP)		94-1340523				Kaiser Foundation Health Plan, Inc. ("KFHP")	CA	UDP		Board of Directors	0.0	KFHP	0
00601	Kaiser Foundation Health Plan, Inc (KFHP)	95540	93-0798039				Kaiser Foundation Health Plan of the Northwest ("KFHP-NW")	OR	RE	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Health Plan, Inc (KFHP)		94-3259432				Kaiser Properties Services, Inc	CA	NIA	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Health Plan, Inc (KFHP)		93-0954562				Kaiser Health Alternatives	OR	NIA	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Hospitals ("KFH")		94-3245176				Kaiser Permanente International	CA	NIA	KFH	Ownership	100.0	KFH	0
	Kaiser Foundation Hospitals ("KFH")		94-3299125				Kaiser Hospital Asset Management, Inc.	CA	NIA	KFH	Ownership	100.0	KFH	0
	Kaiser Foundation Health Plan, Inc (KFHP)		94-3299123				Camp Bowie Service Center	CA	NIA	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Hospitals ("KFH")		94-1105628				Kaiser Foundation Hospitals ("KFH")	CA	NIA		Board of Directors	0.0	KFH	0
	Kaiser Foundation Health Plan, Inc (KFHP)		91-2171891				Lokahi Assurance LTD	HI	OTH	KFHP	Ownership	100.0	KFHP	1
	Kaiser Foundation Health Plan, Inc (KFHP)		20-2712661				KP Cal, LLC	CA	NIA	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Health Plan, Inc (KFHP)		90-0031974				Ordway Indemnity, LTD.	BMJ	OTH	Ordway International, LTD.	Ownership	100.0	KFHP	1
	Kaiser Foundation Health Plan, Inc (KFHP)						Ordway International, LTD.	BMJ	OTH	KFHP	Ownership	100.0	KFHP	3
	Kaiser Foundation Hospitals ("KFH")						HAMI-Colorado, LLC	DE	NIA	Kaiser Hospital Asset Management, Inc.	Ownership	100.0	KFH	4
	Kaiser Foundation Health Plan, Inc (KFHP)		94-3317484				1800 Harrison Foundation	CA	NIA	KFHP	Ownership	100.0	KFHP	0
	Kaiser Foundation Hospitals ("KFH")		27-2252521				Kaiser Permanente Ventures, LLC - Series A	DE	NIA	KFH	Ownership	100.0	KFH	0
	Kaiser Foundation Hospitals ("KFH")		27-3339892				Kaiser Permanente Ventures, LLC - Series B	DE	NIA	KFH	Management	0.0	KFH	0
	Kaiser Foundation Hospitals ("KFH")		47-2924619				Kaiser Permanente Ventures, LLC - Series C	DE	NIA	KFH	Ownership	100.0	KFH	0

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.

Bar Code:

1.



OVERFLOW PAGE FOR WRITE-INS

MQ003 Additional Aggregate Lines for Page 03 Line 23.
 *LIAB

	1 Covered	2 Uncovered	3 Total	4 Total
2304. Other Liability.....	18,251,068		18,251,068	11,273,345
2305. Self Insurance.....	5,256,616		5,256,616	5,090,041
2306.....			0	0
2397. Summary of remaining write-ins for Line 23 from Page 03	23,507,684	0	23,507,684	16,363,386

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	216,193,095	209,100,999
2. Cost of acquired:		
2.1 Actual cost at time of acquisition	0	0
2.2 Additional investment made after acquisition	19,758,312	25,595,950
3. Current year change in encumbrances	(312,620)	999,197
4. Total gain (loss) on disposals	3,943,605	388,712
5. Deduct amounts received on disposals	6,663,964	484,737
6. Total foreign exchange change in book/adjusted carrying value	0	0
7. Deduct current year's other-than-temporary impairment recognized	0	0
8. Deduct current year's depreciation	14,950,625	19,407,026
9. Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8)	217,967,803	216,193,095
10. Deduct total nonadmitted amounts	0	0
11. Statement value at end of current period (Line 9 minus Line 10)	217,967,803	216,193,095

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	0	0
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)	0	0
12. Total valuation allowance	0	0
13. Subtotal (Line 11 plus Line 12)	0	0
14. Deduct total nonadmitted amounts	0	0
15. Statement value at end of current period (Line 13 minus Line 14)	0	0

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	0	0
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 depreciation	0	0
9. Total foreign exchange change in book/adjusted carrying value	0	0
10. Deduct current year's other-than-temporary impairment recognized	0	0
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10)	0	0
12. Deduct total nonadmitted amounts	0	0
13. Statement value at end of current period (Line 11 minus Line 12)	0	0

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	1,050,179,771	864,559,715
2. Cost of bonds and stocks acquired	510,900,277	776,891,058
3. Accrual of discount	2,174,073	1,996,067
4. Unrealized valuation increase (decrease)	0	0
5. Total gain (loss) on disposals	2,756,692	2,175,891
6. Deduct consideration for bonds and stocks disposed of	570,910,564	587,394,843
7. Deduct amortization of premium	1,305,278	2,611,219
8. Total foreign exchange change in book/adjusted carrying value	0	0
9. Deduct current year's other-than-temporary impairment recognized	612,521	5,436,898
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	993,182,450	1,050,179,771
11. Deduct total nonadmitted amounts	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	993,182,450	1,050,179,771

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

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).....	772,711,240	228,084,264	213,525,712	355,527	821,946,267	772,711,240	787,625,319	805,635,508
2. NAIC 2 (a).....	233,102,976	27,452,478	31,329,069	(85,288)	242,898,118	233,102,976	229,141,097	255,529,583
3. NAIC 3 (a).....	2,729,230	0	0	(295,759)	2,401,020	2,729,230	2,433,471	0
4. NAIC 4 (a).....	0	0	0	0	0	0	0	0
5. NAIC 5 (a).....	0	0	0	0	0	0	0	0
6. NAIC 6 (a).....	0	0	0	0	0	0	0	0
7. Total Bonds	1,008,543,446	255,536,742	244,854,781	(25,520)	1,067,245,405	1,008,543,446	1,019,199,887	1,061,165,091
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 & Preferred Stock	1,008,543,446	255,536,742	244,854,781	(25,520)	1,067,245,405	1,008,543,446	1,019,199,887	1,061,165,091

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of non-rated short-term and cash equivalent bonds by NAIC designation: NAIC 1 \$ 10,550,000 ; NAIC 2 \$ 988,549 ;

NAIC 3 \$ 0 ; NAIC 4 \$ 0 ; NAIC 5 \$ 0 ; NAIC 6 \$ 0

SI02

SCHEDULE DA - PART 1

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Par Value	Actual Cost	Interest Collected Year To Date	Paid for Accrued Interest Year To Date
9199999	26,017,436	XXX	26,017,199	2,200	2,024

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	10,985,320	35,023,434
2. Cost of short-term investments acquired	217,091,629	401,902,284
3. Accrual of discount	689	3,550
4. Unrealized valuation increase (decrease)	.0	.0
5. Total gain (loss) on disposals	3,511	10,555
6. Deduct consideration received on disposals	202,059,485	425,932,053
7. Deduct amortization of premium	4,228	21,676
8. Total foreign exchange change in book/adjusted carrying value	.0	.0
9. Deduct current year's other-than-temporary impairment recognized	.0	.774
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	26,017,436	10,985,320
11. Deduct total nonadmitted amounts	.0	.0
12. Statement value at end of current period (Line 10 minus Line 11)	26,017,436	10,985,320

Schedule DB - Part A - Verification

NONE

Schedule DB - Part B - Verification

NONE

Schedule DB - Part C - Section 1

NONE

Schedule DB - Part C - Section 2

NONE

Schedule DB - Verification

NONE

SCHEDULE E - VERIFICATION

(Cash Equivalents)

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year0	.1
2. Cost of cash equivalents acquired	11,969,181	2,999,543
3. Accrual of discount765	.212
4. Unrealized valuation increase (decrease)0	.0
5. Total gain (loss) on disposals	(18)	.129
6. Deduct consideration received on disposals	11,969,928	2,999,885
7. Deduct amortization of premium0	.0
8. Total foreign exchange change in book/adjusted carrying value0	.0
9. Deduct current year's other than temporary impairment recognized0	.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 amounts0	.0
12. Statement value at end of current period (Line 10 minus Line 11)	0	0

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE A - PART 2

Showing All Real Estate ACQUIRED AND ADDITIONS MADE During the Current Quarter

1 Description of Property	2 Location		4 Date Acquired	5 Name of Vendor	6 Actual Cost at Time of Acquisition	7 Amount of Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances	9 Additional Investment Made After Acquisition
	City	State						
Acquired by purchase								
L300 - 3474 KAISER CENTER DR-CLINIC & LAND	PORTLAND	OR	02/28/1975	VARIOUS	0	0	0	1,831,596
L302 - 3600 N INTERSTATE-CLINIC & LAND	PORTLAND	OR	09/30/1992	VARIOUS	0	0	0	1,321,799
L303 - 3325 N INTERSTATE-CLINIC & LAND	PORTLAND	OR	11/30/1971	VARIOUS	0	0	0	135,004
L304 - 19500 SE STARK - CLINIC & LAND	PORTLAND	OR	10/31/1985	VARIOUS	0	0	0	156,249
L305 - 3600 N INTERSTATE-CLINIC&LAND	PORTLAND	OR	09/30/1978	VARIOUS	0	0	0	676,226
L308 - 4855 SW WESTERN AVE-CLINIC & LAND	BEAVERTON	OR	11/30/1989	VARIOUS	0	0	0	222,497
L309 - 2400 NE LANCASTER DR -CLIN & LAND	SALEM	OR	04/30/1990	VARIOUS	0	0	0	87,356
L310 - 5125 S SKYLINE RD-CLINIC & LAND	SALEM	OR	09/30/1988	VARIOUS	0	0	0	130,838
L311 - 19185 S.W. 9TH AVENUE - LAND	TUALATIN	OR	06/30/1996	VARIOUS	0	0	0	387,046
L602 - 5025 SE 28TH AVE-CLINIC & LAND	PORTLAND	OR	04/30/1996	VARIOUS	0	0	0	148,084
L604 - 2300 NE LANCASTER DR - CLINIC&LAND	SALEM	OR	09/30/1988	VARIOUS	0	0	0	211,198
L606 - 5135 S. SKYLINE RD. - CLINIC	SALEM	OR	06/30/1990	VARIOUS	0	0	0	112,306
L607 - 10104 N.E. GLISAN - CLINIC & LAND	PORTLAND	OR	10/31/1995	VARIOUS	0	0	0	574,415
L702 - 7201 N INTERSTATE-CLINIC & LAND	PORTLAND	OR	11/30/1986	VARIOUS	0	0	0	127,019
L703 - 5717 138TH AVENUE - CLINIC & LAND	PORTLAND	OR	01/30/1995	VARIOUS	0	0	0	357,208
L715 - 13705 NE AIRPORT WAY - LAB	PORTLAND	OR	12/03/2011	VARIOUS	0	0	0	211,536
L851 - 14406 NE 20TH AVE - CLINIC & LAND	YANCOUVER	WA	02/28/1995	VARIOUS	0	0	0	103,291
L852 - 12907 SE MILL PLAIN-CLINIC & LAND	YANCOUVER	WA	07/31/1990	VARIOUS	0	0	0	162,100
L853 - 1230 7TH AVE - CLINIC & LAND	LONGVIEW	WA	12/31/1987	VARIOUS	0	0	0	221,669
L950 - 12711 SE MILL PLAIN-CLINIC & LAND	YANCOUVER	WA	01/31/1992	VARIOUS	0	0	0	257,471
L704 - 500 N. E. MULTNOMAH - BLDG & LAND	PORTLAND	OR	08/30/1994	VARIOUS	0	0	0	498,477
VARIOUS LOCATIONS LESS THAN \$50K	VARIOUS			VARIOUS	0	0	0	143,695
019999 - Acquired by purchase					0	0	0	8,367,078
039999 Totals					0	0	0	8,367,078

SCHEDULE A - PART 3

Showing All Real Estate DISPOSED During the Quarter, Including Payments During the Final Year on "Sales Under Contract"

1 Description of Property	2 Location		4 Disposal Date	5 Name of Purchaser	6 Actual Cost	7 Expended for Additions, Permanent Improvements and Changes in Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances Prior Year	9 Changes in Book/Adjusted Carrying Value Less Encumbrances			14 Book/Adjusted Carrying Value Less Encumbrances on Disposal	15 Amounts Received During Year	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain(Loss) on Disposal	18 Total Gain (Loss) on Disposal	19 Gross Income Earned Less Interest Incurred on Encumbrances	20 Taxes, Repairs and Expenses Incurred	
	City	State						9 Current Year's Depreciation	10 Current Year's Other Than Temporary Impairment Recognized	11 Current Year's Change in Encumbrances								12 Total Change in B./A. C.V. (11-9-10)
LAND & BUILDING 5115 N GREELEY BKO.	Portland	OR	01/08/2016	adidas America, Inc.	4,445,954	0	1,188,949	27,594	0	2,383	(25,211)	0	3,170,193	0	1,953,650	1,953,650	0	(4,759)
BUILDING 2211 E. MILL PLAIN	Vancouver	WA	04/29/2016	2211 E Mill Plain, LLC	8,965,353	0	1,587,794	0	0	0	0	0	3,493,771	0	1,989,955	1,989,955	0	70,231
019999 - Property disposed					13,411,307	0	2,776,743	27,594	0	2,383	(25,211)	0	6,663,964	0	3,943,605	3,943,605	0	65,472
039999 Totals					13,411,307	0	2,776,743	27,594	0	2,383	(25,211)	0	6,663,964	0	3,943,605	3,943,605	0	65,472

E01

Schedule B - Part 2

NONE

Schedule B - Part 3

NONE

Schedule BA - Part 2

NONE

Schedule BA - Part 3

NONE

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE D - PART 3

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

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation or Market Indicator ^(A)
Bonds - U.S. Governments									
912828-2F-6	US TREASURY NB 1.125% 08/31/21		09/02/2016	NOMURA SECURITIES INTEI		2,517,115	2,525,000	.574	.1
912828-N2-2	US TREASURY NB 1.250% 12/15/18		09/01/2016	Various		23,679,866	23,400,000	42,630	.1
912828-P9-5	US TREASURY NB 1.000% 03/15/19		08/01/2016	MORGAN STANLEY CO INCO		312,022	310,000	1,196	.1
912828-R8-5	US TREASURY NB 1.000% 06/15/19		07/08/2016	Various		2,041,198	2,030,000	1,275	.1
912828-R9-3	US TREASURY NB 0.625% 06/30/16		07/29/2016	CITIGROUPGLOBAL MARKE		9,294,188	9,300,000	5,054	.1
912828-S2-7	US TREASURY NB 1.125% 06/30/21		09/15/2016	Various		22,514,066	22,520,000	26,810	.1
912828-S6-8	US TREASURY NB 0.750% 07/31/16		08/16/2016	NOMURA SECURITIES INTEI		9,874,774	9,874,000	3,421	.1
912828-S7-6	US TREASURY NB 1.125% 07/31/21		08/17/2016	BARCLAYS BANK		928,474	930,000	.512	.1
0599999 - Bonds - U.S. Governments						71,161,700	70,889,000	81,472	XXX
Bonds - All Other Governments									
12593C-AE-1	CPPIB CAPITAL INC SERIES 144A 1.250% 01	A	09/13/2016	Goldman Sachs Co.		3,430,437	3,440,000	.0	1FE
045167-DQ-3	ASIAN DEVELOPMENT BANK SERIES GMTN 1.0	F	08/09/2016	Oppenheimer Co Inc		2,454,563	2,460,000	.0	1FE
30254H-AK-5	FMS WERTMANAGEMENT 1.000% 08/16/19	F	08/10/2016	JP Morgan Chase Bank		1,345,640	1,350,000	.0	1FE
500769-HA-5	KFM 1.000% 07/15/19	F	07/12/2016	DEUTSCHE BANK AG		1,579,510	1,580,000	.0	1FE
63863T-BC-8	NED WATERSCHAPBK SERIES 144A 0.875% 07	F	07/06/2016	NOMURA SECURITIES INTEI		1,569,011	1,570,000	.0	1FE
1099999 - Bonds - All Other Governments						10,379,161	10,400,000	0	XXX
Bonds - U.S. Special Revenue									
313560-P4-9	FANNIE MAE 1.000% 08/28/19		08/31/2016	Goldman Sachs Co.		3,284,868	3,290,000	.0	.1
3137EA-EB-1	FREDDIE MAC 0.875% 07/19/19		07/19/2016	Bony/Toronto Dom Sec Inc.		3,272,062	3,280,000	.0	.1
3199999 - Bonds - U.S. Special Revenue and Special Assessment and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions						6,556,930	6,570,000	0	XXX
Bonds - Industrial and Miscellaneous (Unaffiliated)									
02665W-BE-0	AMERICAN HONDA FINANCE SERIES MTN 1.20		07/07/2016	BARCLAYS BANK		739,260	740,000	.0	1FE
026874-DG-9	AMERICAN INTL GROUP 3.300% 03/01/21		08/30/2016	Goldman Sachs Co.		3,366,284	3,205,000	.55	2FE
084670-BX-5	BERKSHIRE HATHAWAY INC 1.150% 08/15/18		08/08/2016	Wachovia Securities LLC		419,950	420,000	.0	1FE
13974M-AE-6	CAPITAL AUTO RECEIVABLES ASSET SERIES 20		07/12/2016	CITIGROUPGLOBAL MARKE		189,990	190,000	.0	1FE
13974M-AF-3	CAPITAL AUTO RECEIVABLES ASSET SERIES 20		07/12/2016	CITIGROUPGLOBAL MARKE		389,940	390,000	.0	1FE
17275R-BG-6	CISCO SYSTEMS INC 1.400% 09/20/19		09/13/2016	CITIGROUPGLOBAL MARKE		1,023,862	1,025,000	.0	1FE
19624M-AA-5	COLONY AMERICAN HOMES SERIES 2014-2A CLA		08/17/2016	Interest Capitalization		.0	.0	.0	1FE
233331-AX-5	DTE ENERGY COMPANY 1.500% 10/01/19		09/29/2016	Wachovia Securities LLC		634,206	635,000	.0	1FE
25746U-CN-7	DOMINION RESOURCES INC SERIES 144A 1.5		09/26/2016	RBC CAPITAL MARKETS		1,583,066	1,585,000	.0	2FE
36250U-AG-9	GM FINANCIAL AUTOMOBILE LEASIN SERIES 20		09/26/2016	Chase Securities		901,038	880,000	.713	1FE
44891E-AG-4	HYUNDAI AUTO RECEIVABLES TRUST SERIES 16		09/14/2016	Chase Securities		749,763	750,000	.0	2M
46629H-HL-7	JP MORGAN CHASE & CO 6.300% 04/23/19		07/20/2016	Various		416,053	370,000	5,808	1FE
50077L-AG-1	KRAFT HEINZ FOODS CO 2.000% 07/02/18		08/16/2016	Tax Free Exchange		7,403,436	7,430,000	18,162	2FE
65339K-AJ-9	NEXTERA ENERGY CAPITAL 1.649% 09/01/18		08/25/2016	CITIGROUPGLOBAL MARKE		290,625	290,000	.0	2FE
65470H-AD-7	NISSAN AUTO RECEIVABLES OWNER SERIES 201		08/02/2016	HSBC Securities		3,044,709	3,045,000	.0	1FE
78409V-AA-2	SAP GLOBAL INC 5.900% 11/15/17		07/29/2016	Tax Free Exchange		130,246	125,000	2,131	2FE
78409V-AJ-3	SAP GLOBAL INC 3.300% 08/14/20		07/29/2016	Tax Free Exchange		2,257,777	2,260,000	34,183	2FE
92343V-CH-5	VERIZON COMMUNICATIONS SERIES W1 2.625		07/01/2016	Various		139,967	135,000	1,339	2FE
92343V-DF-8	VERIZON COMMUNICATIONS 1.375% 08/15/19		07/27/2016	MIZUHO SECURITIES USA INC		759,932	760,000	.0	2FE
92347X-AA-4	VERIZON OWNER TRUST SERIES 2016-1A CLASS		07/12/2016	Oppenheimer Co Inc		399,933	400,000	.0	1FE
92347X-AB-2	VERIZON OWNER TRUST SERIES 2016-A1 CLASS		07/14/2016	Oppenheimer Co Inc		3,611,041	3,630,000	.0	1FE
98161F-AD-7	WORLD OMNI AUTOMOBILE LEASE SE SERIES 20		07/12/2016	Oppenheimer Co Inc		4,329,457	4,330,000	.0	1FE
06367T-JW-1	BANK OF MONTREAL SERIES MTN 1.350% 08/	A	08/24/2016	HARRIS NESSBITT CORP		2,009,920	2,010,000	.0	1FE
380881-DN-9	GOLDEN CREDIT CARD TRUST SERIES 2016-5A	A	09/13/2016	RBC CAPITAL MARKETS		3,209,098	3,210,000	.0	1FE
05253J-AN-1	AUST & NZ BANKING GROUP SERIES MTN 1.6	F	07/11/2016	RBC CAPITAL MARKETS		1,449,870	1,450,000	.0	1FE
05582W-EJ-9	BNP PARIBAS NY 1.520% 09/25/17	F	09/22/2016	JPMORGAN SECURITIES IN		3,220,000	3,220,000	.0	1Z
056752-AD-0	BAIDU INC 2.750% 06/09/19	F	08/01/2016	MIZUHO SECURITIES USA INC		1,253,911	1,230,000	5,168	1FE
23636A-AF-8	DANSKE BANK A/S SERIES 144A 1.650% 09/	F	08/31/2016	CITIGROUPGLOBAL MARKE		948,784	950,000	.0	1FE
63254A-AQ-1	NATIONAL AUSTRALIA BANK 1.375% 07/12/1	F	07/05/2016	Oppenheimer Co Inc		2,092,692	2,100,000	.0	1FE
63869U-BD-4	NATIONWIDE BLDG SOCIETY SERIES 144A 2	F	07/20/2016	Chase Securities		2,695,194	2,700,000	.0	1FE
78448T-AA-0	SMBC AVIATION CAPITAL F1 SERIES 144A 2	F	07/12/2016	CITIGROUPGLOBAL MARKE		449,375	450,000	.0	2FE
82481L-AA-7	SHIRE AG INV IRELAND DA 1.900% 09/23/	F	09/19/2016	BARCLAYS BANK		4,111,667	4,115,000	.0	2FE
85325A-BB-5	STANDARD CHARTERED PLC SERIES 144A 2	F	08/16/2016	Chase Securities		646,856	650,000	.0	1FE
86360B-AN-2	SVENSKA HANDELSBANKEN AB SERIES 3FXD 1	F	08/30/2016	DEUTSCHE BANK AG		1,381,441	1,385,000	.0	1FE
88167A-AA-9	TEVA PHARMACEUTICALS NE 1.400% 07/20/1	F	07/18/2016	BARCLAYS BANK		929,200	930,000	.0	2FE
88167A-AB-7	TEVA PHARMACEUTICALS NE 1.700% 07/19/1	F	07/18/2016	BARCLAYS BANK		819,926	820,000	.0	2FE
88167A-AC-5	TEVA PHARMACEUTICALS NE 2.200% 07/21/2	F	07/18/2016	Various		3,763,527	3,765,000	.0	2FE

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B.A.C.V. (11+12-13)	Total Foreign Exchange Change in B.A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contract Maturity Date	NAIC Designation or Market Indicator (a)
Bonds - U.S. Governments																					
38374V-H7-7	GOVERNMENT NATIONAL MORTGAGE SERIES 2009		09/01/2016	Paydown		83,937	83,937	85,447	85,447	0	(1,510)	0	(1,510)	0	83,937	0	0	0	2,371	09/20/2033	1
38375B-WN-9	GOVERNMENT NATIONAL MORTGAGE A SERIES 20		09/01/2016	Paydown		170,194	170,194	171,807	0	0	(1,613)	0	(1,613)	0	170,194	0	0	0	1,305	06/20/2062	1
38376R-QL-3	GOVERNMENT NATIONAL MORTGAGE A SERIES 20 CLASS CA 2.00% 0		09/01/2016	Paydown		289,987	289,987	290,727	0	0	(833)	2,392	(3,265)	0	289,987	0	0	0	2,932	07/20/2062	1
38378W-Z5-1	GOVERNMENT NATIONAL MORTGAGE A SERIES 20		09/01/2016	Paydown		153,625	153,625	155,406	155,034	0	(1,409)	0	(1,409)	0	153,625	0	0	0	3,071	02/16/2043	1
912828-H3-7	US TREASURY NB 1.000%		09/15/18	Various		18,650,516	18,610,000	18,518,963	18,519,130	0	28,746	0	28,746	0	18,547,875	0	102,641	102,641	180,950	01/15/2018	1
912828-J6-8	US TREASURY NB 0.875%		07/18/2016	FIRST TENNESSEE BANK BOND DIVI		2,311,141	2,300,000	2,291,996	2,291,996	0	(1,972)	0	(1,972)	0	2,293,968	0	17,173	17,173	19,438	03/15/2018	1
912828-K2-5	US TREASURY NB 0.750%		07/12/2016	NOMURA SECURITIES INTEI		1,030,402	1,030,000	1,020,019	1,020,019	0	2,478	0	2,478	0	1,022,498	0	7,905	7,905	6,079	04/15/2018	1
912828-M7-2	US TREASURY NB 0.875%		07/07/2016	Various		3,775,705	3,780,000	3,752,963	2,891,619	0	2,109	0	2,109	0	3,755,072	0	20,633	20,633	20,000	11/30/2017	1
912828-N6-5	US TREASURY NB 1.000%		07/07/2016	CITIGROUPGLOBAL MARKE		6,288,553	6,250,000	6,242,188	6,242,188	0	2,011	0	2,011	0	6,244,199	0	44,355	44,355	32,609	12/31/2017	1
912828-P9-5	US TREASURY NB 1.000%		09/13/2016	CITIGROUPGLOBAL MARKE		2,431,063	2,425,000	2,419,224	0	0	944	0	944	0	2,420,169	0	10,894	10,894	12,059	03/15/2019	1
912828-R5-1	US TREASURY NB 0.875%		09/27/2016	CITIGROUPGLOBAL MARKE		10,871,033	10,880,000	10,840,346	0	0	(1,412)	0	(1,412)	0	10,841,758	0	29,275	29,275	28,497	05/31/2018	1
912828-R8-5	US TREASURY NB 1.000%		08/31/2016	Various		11,630,908	11,620,000	11,669,176	0	0	(1,641)	7	(1,648)	0	11,667,535	0	(36,627)	(36,627)	14,049	06/15/2019	1
912828-S2-7	US TREASURY NB 1.125%		07/20/2016	Chase Securities		2,698,313	2,700,000	2,698,840	0	0	1	0	1	0	2,698,841	0	(528)	(528)	11,733	06/30/2021	1
912828-UR-9	US TREASURY NB 0.750%		02/28/18	Oppenheimer Co Inc		7,631,807	7,633,000	7,631,164	0	0	266	0	266	0	7,631,429	0	378	378	29,573	02/28/2018	1
912828-JF-2	US TREASURY NB 1.125%		06/15/18	CITIGROUPGLOBAL MARKE		9,378,965	9,300,000	9,291,639	7,981,290	0	(3,332)	0	(3,332)	0	9,294,971	0	83,993	83,993	65,748	06/15/2018	1
0599999 - Bonds - U.S. Governments						77,396,149	77,175,743	77,079,905	39,186,713	0	36,205	2,399	33,806	0	77,116,058	0	280,092	280,092	420,444	XXX	XXX
Bonds - All Other Governments																					
458110-BV-9	INTER-AMERICAN DEVEL BK	F	09/27/2016	HARRIS NESBITT CORP		1,001,590	1,000,000	1,002,200	1,002,200	0	(1,351)	0	(1,351)	0	1,000,849	0	711	711	11,656	03/15/2017	1FE
1099999 - Bonds - All Other Governments						1,001,590	1,000,000	1,002,200	1,002,200	0	(1,351)	0	(1,351)	0	1,000,849	0	711	711	11,656	XXX	XXX
Bonds - U.S. Social Revenue and Special Assessment and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions																					
312800-QK-6	FHLBC GOLD POOL 119452		09/01/2016	Paydown		348,946	348,946	358,106	0	0	(9,160)	0	(9,160)	0	348,946	0	0	0	3,602	06/01/2022	1
313500-P4-9	FANNIE MIE 1.000%		09/28/18	MELLON BANK CAPITAL MARKETS IN		833,739	835,000	833,697	0	0	22	0	22	0	833,719	0	20	20	441	08/28/2019	1
3136AF-Q8-0	FANNIE MIE SERIES 2013-81		09/01/2016	Paydown		276,956	276,956	284,414	283,100	0	(6,144)	0	(6,144)	0	276,956	0	0	0	5,536	02/25/2043	1
3136AG-KU-5	FANNIE MIE SERIES 2013-93		09/01/2016	Paydown		165,084	165,084	168,659	168,659	0	(3,575)	0	(3,575)	0	165,084	0	0	0	3,284	09/25/2038	1
3136AH-LH-3	FANNIE MIE SERIES 2014-52		09/01/2016	Paydown		138,524	138,524	141,451	141,451	0	(2,927)	0	(2,927)	0	138,524	0	0	0	2,789	08/25/2042	1
3136AK-J3-8	FANNIE MIE SERIES 2014-52		09/01/2016	Paydown		230,959	230,959	239,598	239,598	0	(8,639)	0	(8,639)	0	230,959	0	0	0	6,214	01/25/2029	1
3137AE-TT-2	FREDDIE MAC SERIES 3914		09/01/2016	Paydown		153,097	153,097	160,257	158,575	0	(5,478)	0	(5,478)	0	153,097	0	0	0	3,536	08/15/2026	1
3137AG-BN-9	FREDDIE MAC SERIES 3945		09/01/2016	Paydown		85,850	85,850	88,024	87,765	0	(1,915)	0	(1,915)	0	85,850	0	0	0	1,728	03/15/2026	1
3137AG-EB-9	FREDDIE MAC SERIES 3939		09/01/2016	Paydown		68,886	68,886	70,534	70,338	0	(1,452)	0	(1,452)	0	68,886	0	0	0	1,380	03/15/2026	1
3137AT-RF-1	FREDDIE MAC SERIES 4097		09/01/2016	Paydown		131,254	131,254	131,314	131,286	0	(32)	0	(32)	0	131,254	0	0	0	2,121	05/15/2027	1
313789-SJ-5	FREDDIE MAC SERIES 4328		09/01/2016	Paydown		306,268	306,268	314,046	314,046	0	(7,778)	0	(7,778)	0	306,268	0	0	0	6,229	07/15/2041	1
31378D-Y6-7	STRUCTURED P SERIES 43		09/01/2016	Paydown		408,189	408,189	423,941	423,941	0	(15,752)	0	(15,752)	0	408,189	0	0	0	11,261	01/25/2039	1
3137EA-EB-1	FREDDIE MAC 0.875%		07/19/18	J.P. Morgan Chase Bank		3,265,207	3,280,000	3,272,062	0	0	435	0	435	0	3,272,497	0	(7,290)	(7,290)	4,883	07/19/2019	1
3138EN-TP-4	FHLBC GOLD POOL AL5957		09/01/2016	Paydown		139,323	139,323	148,461	0	0	(9,410)	908	(10,318)	0	139,323	0	0	0	2,800	05/01/2027	1

E05

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B.A.C.V. (11+12-13)	Total Foreign Exchange Change in B.A.C.V.	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation or Market Indicator (a)	
31397M-04-6	FANNIE MBE SERIES 2008-02 CLASS AY 4.0	09/01/2016	Paydown		231,357	231,357	242,220	235,829	0	(4,472)	0	(4,472)	0	231,357	0	0	0	6,171	12/25/2023	1	
313970-0K-0	FANNIE MBE SERIES 2011-20 CLASS PA 4.5	09/01/2016	Paydown		145,727	145,727	153,287	148,249	0	(2,522)	0	(2,522)	0	145,727	0	0	0	4,383	03/25/2038	1	
313975-1D-0	FANNIE MBE SERIES 2011-44 CLASS B 4.00	09/01/2016	Paydown		305,932	305,932	323,234	323,234	0	(17,301)	0	(17,301)	0	305,932	0	0	0	8,084	07/25/2024	1	
31400E-6J-3	FNMA POOL 685201 5.500% 03/01/18	09/01/2016	Paydown		37,034	37,034	37,432	36,280	0	754	0	754	0	37,034	0	0	0	1,338	03/01/2018	1	
31402D-KC-3	FNMA POOL 725791 5.000% 11/01/18	09/01/2016	Paydown		36,560	36,560	36,439	35,528	0	1,032	0	1,032	0	36,560	0	0	0	1,217	11/01/2018	1	
31416X-HF-0	FNMA POOL AB2029 4.000% 01/01/21	09/01/2016	Paydown		67,259	67,259	70,329	68,415	0	(1,156)	0	(1,156)	0	67,259	0	0	0	1,818	01/01/2021	1	
678907-HB-0	OHIO ST HSG FIN ADY NTGE REVEN 0.450%	07/07/2016	Chase Securities		890,000	890,000	890,000	0	0	0	0	0	890,000	0	0	0	0	1,298	03/01/2037	1FE	
678907-HB-0	OHIO ST HSG FIN ADY NTGE REVEN 0.450%	07/01/2016	Redemption	100,000	5,000	5,000	5,000	0	0	0	0	0	5,000	0	0	0	0	0	03/01/2037	1FE	
3199999	Bonds - U.S. Special Revenue and Special Assessment and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions				8,271,151	8,287,205	8,382,505	2,866,294	0	(95,470)	908	(96,378)	0	8,278,421	0	(7,270)	(7,270)	80,074	XXX	XXX	
Bonds - Industrial and Miscellaneous (Unaffiliated)																					
008171-AT-5	AETNA INC 1.900% 06/07/19	07/08/2016	Goldman Sachs Co.		1,758,635	1,740,000	1,739,723	0	0	(4)	0	(4)	0	1,739,720	0	18,916	18,916	3,122	06/07/2019	2FE	
02006W-KC-3	ALLY AUTO RECEIVABLES TRUST SERIES 2014	07/08/2016	CITIGROUPGLOBAL MARKE		1,388,851	1,386,035	1,383,139	1,383,139	0	1,030	0	1,030	0	1,384,170	0	4,681	4,681	10,010	04/15/2019	1FE	
02006X-AB-3	ALLY AUTO RECEIVABLES TRUST LE SERIES 20	07/08/2016	CITIGROUPGLOBAL MARKE		1,000,443	1,000,599	998,867	998,867	0	1,351	0	1,351	0	1,000,219	0	224	224	5,247	10/20/2016	1FE	
02865V-MA-1	AMERICAN HOMES 4 REHT SER ES 2014-SFR1 C	09/17/2016	Paydown		23,674	23,674	23,391	23,199	0	978	504	474	0	23,674	0	0	0	247	06/17/2031	1FE	
03215P-CE-7	AMERSEC RES IDENTICAL SECURITIES SERIES 19	09/01/2016	Paydown		32	32	31	31	0	1	0	1	0	32	0	0	0	2	06/25/2027	1FNL	
059487-AX-5	BANC OF AMERICA COMM NRTG INC SERIES 20	09/01/2016	Paydown		483,267	483,267	495,714	495,714	0	(12,447)	0	(12,447)	0	483,267	0	0	0	17,721	01/15/2048	1FNL	
059513-AF-8	BANC OF AMERICA COMMERCIAL NRTG SERIES 20	09/01/2016	Paydown		109,826	109,826	114,228	114,228	0	(4,402)	0	(4,402)	0	109,826	0	0	0	4,226	02/10/2051	1FE	
07274E-AD-5	BAYER US FINANCE LLC SER ES 144A 2.375	08/04/2016	Various		3,336,524	3,280,000	3,261,466	2,514,268	0	(252)	0	(252)	0	3,263,037	0	73,488	73,488	61,762	10/08/2019	1FE	
084670-BX-5	BERKSHIRE HATHAWAY INC 1.150% 08/15/18	09/01/2016	Various		275,261	275,000	274,967	0	0	1	0	1	0	274,968	0	294	294	193	08/15/2018	1FE	
12646W-KC-8	CREDIT SUISSE MORTGAGE TRUST SERIES 2013	09/01/2016	Paydown		26,424	26,424	24,251	24,469	0	1,955	0	1,955	0	26,424	0	0	0	283	04/25/2043	1FNL	
126802-CA-3	CARD TRU SERIES 20	07/08/2016	CITIGROUPGLOBAL MARKE		2,725,644	2,718,000	2,723,487	2,723,487	0	(2,597)	0	(2,597)	0	2,720,891	0	4,754	4,754	25,598	02/18/2020	1FE	
13975E-AE-3	CAPITAL AUTO RECEIVABLES ASSET SERIES 20	09/20/2016	Paydown		135,743	135,743	133,804	135,253	0	490	0	490	0	135,743	0	0	0	1,122	04/20/2018	1FE	
13975E-AF-0	CAPITAL AUTO RECEIVABLES ASSET SERIES 20	09/20/2016	Paydown		66,085	66,085	65,540	65,888	0	197	0	197	0	66,085	0	0	0	862	10/22/2018	1FE	
140420-NL-0	CAPITAL ONE BKWK USA NA 1.300% 06/05/17	08/02/2016	BARCLAYS BANK		1,700,136	1,700,000	1,686,349	1,686,349	0	5,579	0	5,579	0	1,691,928	0	8,208	8,208	14,611	06/05/2017	2FE	
151020-AN-4	CELGENE CORP 2.250% 05/15/19	07/15/2016	BARCLAYS BANK		224,121	220,000	218,068	218,068	0	304	0	304	0	218,373	0	5,748	5,748	3,389	05/15/2019	2FE	
17305E-FC-4	CITIBANK CREDIT CARD ISSUANCE SERIES 201	07/22/2016	Paydown		6,570,000	6,570,000	6,571,433	6,571,928	0	(1,928)	0	(1,928)	0	6,570,000	0	0	0	72,927	07/23/2018	1FE	
17305E-FE-0	CITIBANK CREDIT CARD ISSUANCE SERIES 201	09/07/2016	Paydown		6,675,000	6,675,000	6,688,019	6,688,019	0	(13,019)	0	(13,019)	0	6,675,000	0	0	0	88,110	09/07/2018	1FE	
19624M-AA-7	COLONY AMERICAN HOMES SERIES 2014-AA GLA	09/17/2016	Paydown		3,374	3,374	3,304	3,304	0	69	0	69	0	3,374	0	0	0	37	05/17/2031	1FE	
19624M-AA-5	COLONY AMERICAN HOMES SERIES 2014-AA GLA	09/17/2016	Paydown		2,646	2,646	2,607	2,583	0	113	50	63	0	2,646	0	0	0	25	07/17/2031	1FE	
240019-BB-7	DAYTON POWER & LIGHT 1.875% 09/15/16	08/26/2016	Call	100,0790	1,491,118	1,490,000	1,488,131	1,489,372	0	1,745	0	1,745	0	1,491,118	0	0	0	26,463	09/15/2016	2FE	
24422E-ST-7	DAVID DEXE CAPITAL CORP SER ES NIN 1.3	09/06/2016	Various		165,734	165,000	164,337	164,337	0	219	0	219	0	164,556	0	1,178	1,178	2,545	01/16/2018	1FE	
29372E-BE-7	ENTERPRISE FLEET FINANCING LLC SERIES 20	09/20/2016	Paydown		611,443	611,443	608,906	608,931	0	2,911	368	2,513	0	611,443	0	0	0	4,278	03/20/2020	1FE	
30219G-AL-2	EXPRESS SCRIPTS HOLDING CO 3.300% 02/17	07/13/2016	SANTANDER INVESTMENT I		2,270,333	2,180,000	2,155,464	0	0	285	0	285	0	2,155,749	0	114,584	114,584	28,314	02/25/2021	2FE	

E05.1

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B.A.C.V. (11+12-13)	Total Foreign Exchange Change in B.A.C.V.	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation or Market Indicator (a)
30711X-AA-2	CONNECT OUT AVENUE SECURITIES SERIES 201		09/26/2016	Paydown		82,415	82,415	82,661	82,609	0	(194)	0	(194)	0	82,415	0	0	0	1,355	10/25/2023	1FE
30711X-AC-8	CONNECT OUT AVENUE SECURITIES SERIES 201		09/26/2016	Paydown		63,589	63,589	63,494	63,492	0	101	4	97	0	63,589	0	0	0	874	01/25/2024	1FE
30711X-AE-4	CONNECT OUT AVENUE SECURITIES Series 201		09/26/2016	Paydown		65,829	65,829	64,604	64,876	0	953	0	953	0	65,829	0	0	0	618	05/25/2024	1FE
30711X-AJ-3	CONNECT OUT AVENUE SECURITIES SERIES 201		09/26/2016	Paydown		1,935	1,935	1,917	1,922	0	2	0	2	0	1,935	0	0	0	21	07/25/2024	1FE
30711X-BJ-2	CONNECT OUT AVENUE SECURITIES SERIES 201		09/26/2016	Paydown		48,256	48,256	48,256	0	0	0	0	0	0	48,256	0	0	0	610	08/25/2028	2WN
30711X-BZ-6	CONNECT OUT AVENUE SECURITIES SERIES 201		09/26/2016	Paydown		17,899	17,899	17,899	0	0	0	0	0	0	17,899	0	0	0	192	09/25/2028	2WN
313760-AC-3	STRUCTURED AGENCY CREDIT RISK SERIES 201		09/26/2016	Paydown		77,658	64,078	63,890	74,288	0	13,712	0	13,712	0	77,658	0	0	0	811	11/25/2023	1FE
313760-EC-9	STRUCTURED AGENCY CREDIT RISK SERIES 15		09/26/2016	Paydown		178,953	178,953	178,463	178,562	0	391	0	391	0	178,953	0	0	0	1,814	03/25/2025	1FE
313760-ED-8	STRUCTURED AGENCY CREDIT RISK SERIES 15		09/26/2016	Paydown		40,842	40,842	40,655	40,674	0	168	0	168	0	40,842	0	0	0	392	10/25/2027	1FE
313760-QQ-6	STRUCTURED AGENCY CREDIT RISK SERIES 15		09/26/2016	Paydown		348,100	348,100	348,100	0	0	0	0	0	0	348,100	0	0	0	4,280	04/25/2028	1FE
313760-HC-6	STRUCTURED AGENCY CREDIT RISK SERIES 15		09/26/2016	Paydown		188,352	188,352	188,147	188,352	0	205	205	0	0	188,352	0	0	0	2,060	05/25/2028	1FE
313760-JQ-3	STRUCTURED AGENCY CREDIT RISK SERIES 201		09/26/2016	Paydown		26,270	26,270	26,270	0	0	0	0	0	0	26,270	0	0	0	134	10/25/2028	2WN
337860-AA-5	FIRSTENERGY OHIO P1RB SPECIAL SERIES 201		07/15/2016	Paydown		325,548	325,548	324,777	325,133	0	770	356	414	0	325,548	0	0	0	2,210	01/15/2019	1FE
34530L-AD-3	FORD CREDIT AUTO LEASE TRUST SERIES 2014		09/15/2016	Paydown		1,195,800	1,195,800	1,193,949	1,193,949	0	1,851	0	1,851	0	1,195,800	0	0	0	7,031	09/15/2017	1FE
36228F-SZ-5	GSAA HOME EQUITY TRUST SERIES 2004-SEA2		09/26/2016	Paydown		28,384	28,384	28,376	28,376	0	8	0	8	0	28,384	0	0	0	247	03/25/2034	1FN
423074-BB-8	HEINZ HJ CO SERIES 144A 1.600% 06/30/1		08/16/2016	Tax Free Exchange		988,312	988,312	987,129	987,129	0	1,183	0	1,183	0	988,312	0	0	0	9,944	06/30/2017	2FE
423074-BH-5	HEINZ HJ CO SERIES 144A 2.000% 07/02/1		08/16/2016	Tax Free Exchange		7,403,436	7,403,436	7,394,930	7,394,930	0	8,506	0	8,506	0	7,403,436	0	0	0	166,762	07/02/2018	2FE
43813J-AC-9	HONDA AUTO RECEIVABLES OWNER TRUST SERIES 20		09/21/2016	Paydown		1,024,467	1,024,467	1,022,625	1,022,625	0	1,842	0	1,842	0	1,024,467	0	0	0	4,566	12/21/2017	1FE
446438-BH-8	HARTINGTON NATIONAL BANK 1.375% 04/24/		07/06/2016	WILZHO SECURITIES USA INC		250,600	250,600	248,490	248,490	0	601	0	601	0	249,091	0	1,509	1,509	2,454	04/24/2017	1FE
44890V-AC-6	HUNDAI AUTO LEASE SECURITIZAT SERIES 20		09/15/2016	Paydown		2,820,465	2,820,465	2,817,404	2,817,404	0	3,061	0	3,061	0	2,820,465	0	0	0	18,350	11/15/2017	1FE
46186N-AA-6	INVTATION HOMES TRUST SERIES 2013-SR1		09/17/2016	Paydown		2,823	2,823	2,767	2,767	0	56	0	56	0	2,823	0	0	0	31	12/17/2000	1FE
46186P-AA-1	INVTATION HOMES TRUST SERIES 2014-SR1		09/17/2016	Paydown		1,938	1,938	1,908	1,896	0	96	54	42	0	1,938	0	0	0	20	06/17/2031	1FE
46634S-AB-1	J.P. MORGAN CHASE COMMERCIAL MFR. SERIES 20		09/01/2016	Paydown		113,049	113,049	113,510	113,510	0	(460)	0	(460)	0	113,049	0	0	0	1,656	05/15/2045	1FN
50116R-AB-2	MINOTA CREDIT OWNER TRUST SERIES 2015-1A		09/15/2016	Paydown		183,074	183,074	182,727	182,727	0	347	0	347	0	183,074	0	0	0	1,147	12/15/2017	1FE
500645-AE-9	MORGAN HILL OS INC 5.900% 11/15/17		07/29/2016	Tax Free Exchange		130,246	125,000	132,534	132,534	0	(2,288)	0	(2,288)	0	130,246	0	0	0	5,818	11/15/2017	2FE
500645-AN-9	MORGAN HILL OS INC SERIES M 3.300% 0		07/29/2016	Tax Free Exchange		2,257,777	2,280,000	2,257,415	2,257,457	0	320	0	320	0	2,257,777	0	0	0	70,644	08/14/2020	2FE
606072-LA-2	MISSOURI HIGH EDUCATION LOAN SERIES 20		09/26/2016	Paydown		15,260	15,260	14,927	15,163	0	336	239	97	0	15,260	0	0	0	131	01/26/2026	1FE
61890A-AA-2	MORGAN STANLEY BANK TRUST SERIES 2015-02		09/01/2016	Paydown		88,126	88,126	87,648	87,648	0	478	0	478	0	88,126	0	0	0	1,161	12/15/2047	1FE
617446-CZ-3	MORGAN STANLEY BANK TRUST SERIES 2013-SR1		07/05/2016	Madovia Securities LLC		459,729	450,000	457,123	457,123	0	(8,663)	0	(8,663)	0	458,459	0	1,270	1,270	24,457	01/09/2017	1FE
61761D-AB-8	MORGAN STANLEY BANK TRUST SERIES 2012-06		09/01/2016	Paydown		35,422	35,422	35,420	35,420	0	2	0	2	0	35,422	0	0	0	448	11/15/2045	1FE
64033L-AA-8	NELNET STUDENT LOAN TRUST SERIES 2014-2A		09/25/2016	Paydown		47,156	47,156	46,910	46,953	0	275	72	203	0	47,156	0	0	0	230	06/25/2021	1FE
69382B-AX-0	PIES POWER LLC 2.750% 09/15/16		09/15/2016	Naturity		370,000	370,000	381,526	372,488	0	(2,488)	0	(2,488)	0	370,000	0	0	0	10,175	09/15/2016	2FE
7591EP-AJ-9	RESIONS FINANCIAL CORP 2.000% 05/15/18		08/18/2016	Corporate Action		638,133	630,000	595,545	612,553	0	4,524	0	4,524	0	617,077	0	21,057	21,057	9,500	05/15/2018	2FE

E05.2

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B.A.C.V. (11+12-13)	Total Foreign Exchange Change in B.A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation or Market Indicator (a)
7844E-AC-3	SUM STUDENT LOAN TRUST SERIES 2007-7 CLA		07/25/2016	Paydown		83,025	83,025	82,969	82,890	0	167	32	135	0	83,025	0	0	0	482	04/25/2017	1FE
80282X-HE-8	SWANTANDER DRIVE AUTO RECEIVABLE SERIES 20		08/15/2016	Paydown		88,843	88,843	88,881	89,227	0	(334)	49	(383)	0	88,843	0	0	0	1,593	12/15/2017	1FE
81744T-MA-5	SEQUIA MORTGAGE TRUST SERIES 2012-1 CLA		09/01/2016	Paydown		18,082	18,082	17,797	17,834	0	248	0	248	0	18,082	0	0	0	325	01/25/2042	1FN
81744W-MA-8	SEQUIA MORTGAGE TRUST SERIES 2013-1 CLA		09/01/2016	Paydown		26,146	26,146	24,706	24,792	0	1,354	0	1,354	0	26,146	0	0	0	252	02/25/2043	1FN
81744Y-AC-0	SEQUIA MORTGAGE TRUST SERIES 2013-4 CLA		09/01/2016	Paydown		30,972	30,972	28,479	28,722	0	2,250	0	2,250	0	30,972	0	0	0	325	04/25/2043	1FN
842587-OH-8	SOUTHERN CO 1.950% 09/01/16		09/01/2016	Maturity		2,630,000	2,630,000	2,618,007	2,628,277	0	1,723	0	1,723	0	2,630,000	0	0	0	51,285	09/01/2016	2FE
85172C-MA-4	SPRINGLEAF MORTGAGE LOAN TRUST SERIES 20		09/01/2016	Paydown		396,303	396,303	393,712	393,613	0	2,522	843	1,879	0	396,303	0	0	0	3,381	06/25/2058	1FN
85172G-MA-5	SPRINGLEAF MORTGAGE LOAN TRUST SERIES 20		09/01/2016	Paydown		25,073	25,073	24,819	24,833	0	240	0	240	0	25,073	0	0	0	298	12/25/2065	1FN
871829-BB-2	SYSCO CORPORATION 1.900% 04/01/19		07/08/2016	Various		273,613	270,000	269,852	269,333	0	11	0	11	0	269,862	0	3,750	3,750	1,454	04/01/2019	2FE
89233P-6S-0	TOYOTA MOTOR CREDIT CORP NTN 1.250% 10		08/02/2016	CITIGROUPGLOBAL MARNE		6,005,874	5,990,000	5,880,333	5,937,730	0	17,290	0	17,290	0	5,955,020	0	50,854	50,854	61,900	10/05/2017	1FE
92343V-CA-0	VERIZON COMMUNICATIONS 1.620% 06/17/19		07/01/2016	Goldman Sachs Co.		140,634	140,000	139,051	139,051	0	141	0	141	0	139,192	0	1,442	1,442	1,075	06/17/2019	2FE
92887F-AC-5	VOLVO FINANCIAL EQUIPMENT LLC SERIES 201		07/08/2016	Machovia Securities LLC		848,171	849,466	847,011	847,011	0	988	0	988	0	847,999	0	173	173	4,025	04/16/2018	1FE
92936Y-MA-9	WELLS FARGO BANK NA MORTGAGE TRU SERIES 20		09/01/2016	Paydown		3,821,864	3,821,864	3,805,741	3,806,131	0	15,733	0	15,733	0	3,821,864	0	0	0	26,240	08/15/2045	1FN
94988J-SO-5	WELLS FARGO BANK NA 1.750% 05/24/19		09/27/2016	Various		995,815	990,000	989,574	989,574	0	35	0	35	0	989,609	0	6,206	6,206	5,427	05/24/2019	1FE
884603-BU-8	THOMSON REUTERS CORP 1.850% 09/29/17		08/02/2016	Goldman Sachs Co.		1,705,270	1,700,000	1,691,262	1,691,262	0	2,912	0	2,912	0	1,694,174	0	11,096	11,096	22,440	09/29/2017	2FE
00182E-AS-8	AMZ NAT LONAL INTL INZ SER IES 144A 1.400		07/05/2016	Southwest Securities Inc.		501,280	500,000	498,435	499,314	0	267	0	267	0	499,581	0	1,679	1,679	4,881	04/27/2017	1FE
05578D-AE-2	BPC SA 1.625% 02/10/17		07/07/2016	Southwest Securities Inc.		330,749	330,000	329,244	329,244	0	359	0	359	0	329,604	0	1,145	1,145	4,945	02/10/2017	1FE
383122-MA-6	QSFORTH FUNDING PLC SER IES 2016-1A CLAS		08/15/2016	Paydown		140,068	140,068	139,983	139,983	0	85	85	0	0	140,068	0	0	0	1,068	02/15/2058	1FE
60688X-MA-8	NIZUHO BANK LTD SERIES 144A 1.300% 04		07/08/2016	Southwest Securities Inc.		420,122	420,000	416,140	417,805	0	895	0	895	0	418,699	0	1,422	1,422	4,034	04/16/2017	1FE
714294-AB-1	PERRIGO CO LTD 1.300% 11/08/16		09/29/2016	Call	100,1167	1,026,197	1,025,000	1,017,753	1,017,753	0	8,443	0	8,443	0	1,026,197	0	0	0	11,881	11/08/2016	2FE
80283L-KK-8	SWANTANDER UK PLC 2.500% 03/14/19		08/01/2016	Various		314,453	310,000	309,489	309,489	0	32	0	32	0	309,521	0	4,931	4,931	3,014	03/14/2019	1FE
81180W-AP-6	SEAGATE HDD CAYMAN SHIRE A01 INV IRELAND DA 3.750% 11/15/18		07/07/2016	Various		2,450,000	2,450,000	2,431,625	2,431,625	0	3,172	0	3,172	0	2,434,797	0	15,203	15,203	59,879	11/15/2018	2FE
82481L-MA-7	TEVA PHARMACEUTICALS NE 1.900% 09/23/17		09/20/2016	BNY/Suntrust Capital		604,946	605,000	604,510	604,510	0	0	0	0	0	604,510	0	436	436	0	09/23/2019	2FE
88167A-AC-5	TEVA PHARMACEUTICALS NE 2.200% 07/21/17		09/02/2016	Various		3,374,586	3,375,000	3,374,171	3,374,171	0	7	0	7	0	3,374,178	0	408	408	8,427	07/21/2021	2FE
999999	Bonds - Industrial and Miscellaneous (Unaffiliated)					76,816,223	76,590,020	76,310,766	65,383,698	0	66,814	2,691	64,123	0	76,461,570	0	354,656	354,656	999,988	XXX	XXX
839997	Subtotals - Bonds - Part 4					163,485,083	163,012,968	162,785,376	108,438,905	0	6,198	5,998	200	0	162,856,868	0	628,189	628,189	1,512,172	XXX	XXX
839999	Subtotals - Bonds					163,485,083	163,012,968	162,785,376	108,438,905	0	6,198	5,998	200	0	162,856,868	0	628,189	628,189	1,512,172	XXX	XXX
999999	Totals					163,485,083	163,012,968	162,785,376	108,438,905	0	6,198	5,998	200	0	162,856,868	0	628,189	628,189	1,512,172	XXX	XXX

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

E05.3

Schedule DB - Part A - Section 1

NONE

Schedule DB - Part B - Section 1

NONE

Schedule DB - Part D - Section 1

NONE

Schedule DB - Part D - Section 2

NONE

Schedule DL - Part 1

NONE

Schedule DL - Part 2

NONE

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE KAISER FOUNDATION HEALTH PLAN OF THE NORTHWEST

SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1 Description	2 Code	3 Date Acquired	4 Rate of Interest	5 Maturity Date	6 Book/Adjusted Carrying Value	7 Amount of Interest Due & Accrued	8 Amount Received During Year
NONE							
8699999 Total Cash Equivalents					0	0	0