

QUARTERLY STATEMENT

OF THE

American National Life Insurance Company of New York

TO THE

Insurance Department

OF THE

STATE OF

**FOR THE QUARTER ENDED
SEPTEMBER 30, 2019**

☒ **LIFE AND ACCIDENT AND HEALTH**

☐ **FRATERNAL BENEFIT SOCIETIES**

2019



LIFE AND ACCIDENT AND HEALTH COMPANIES/FRATERNAL BENEFIT SOCIETIES - ASSOCIATION EDITION

QUARTERLY STATEMENT
AS OF SEPTEMBER 30, 2019
OF THE CONDITION AND AFFAIRS OF THE
American National Life Insurance Company of New York

NAIC Group Code 0408 0408 NAIC Company Code 63126 Employer's ID Number 14-1400831
(Current) (Prior)
Organized under the Laws of New York, State of Domicile or Port of Entry NY
Country of Domicile United States of America
Licensed as business type: Life, Accident & Health [X] Fraternal Benefit Societies []
Incorporated/Organized 10/20/1953 Commenced Business 01/20/1954
Statutory Home Office 344 Route 9W Glenmont, NY, US 12077
(Street and Number) (City or Town, State, Country and Zip Code)
Main Administrative Office One Moody Plaza
(Street and Number)
Galveston, TX, US 77550 800-392-0644
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)
Mail Address P.O. Box 656 Albany, NY, US 12201-0656
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)
Primary Location of Books and Records 344 Route 9W
(Street and Number)
Glenmont, NY, US 12077 518-431-5201
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)
Internet Website Address www.americannational.com
Statutory Statement Contact Jennifer Jo Duncan 518-431-5201
(Name) (Area Code) (Telephone Number)
jennifer.duncan@americannational.com 518-431-5978
(E-mail Address) (FAX Number)

OFFICERS

President & Chief Marketing Officer	<u>David Alan Behrens</u>	Vice President, Controller & Treasurer	<u>Michelle Annette Gage</u>
Vice President, Corporate Secretary	<u>John Mark Flippin</u>	Senior Vice President, Actuary and Chief Risk Officer New York	<u>Kathryn Lentivech FSA #</u>

OTHER

<u>James Edward Pozzi, Chairman & Chief Executive Officer</u>	<u>Johnny David Johnson, Executive Vice President, Chief Administrative Officer & Chief Information Officer</u>	<u>James Walter Pangburn, Executive Vice President, Specialty Markets Group</u>
<u>John Frederick Simon, Executive Vice President & Chief Actuary</u>	<u>Shannon Lee Smith, Executive Vice President, Chief Agencies Officer, Multiple Line</u>	<u>Timothy Allen Walsh, Executive Vice President & Chief Financial Officer</u>
<u>Dwain Allen Akins, Senior Vice President, Chief Compliance Officer</u>	<u>Michele Mackay Bartkowski, Senior Vice President, Finance</u>	<u>Scott Frank Brast, Senior Vice President, Real Estate/Mortgage Loan</u>
<u>Scott Christopher Campbell, Senior Vice President, Chief Client Officer</u>	<u>Lee Chadwick Ferrell, Senior Vice President, IMG Marketing Operations</u>	<u>Deborah Kay Janson #, Senior Vice President, Corporate Risk Officer</u>
<u>Sara Liane Latham, Senior Vice President & Actuary</u>	<u>Anne Marie LeMire, Senior Vice President, Fixed Income & Equity Investments</u>	<u>Bradley Wayne Manning, Senior Vice President, Life Claims & Customer Contact Center</u>
<u>Michael Scott Marquis, Senior Vice President, Life Underwriting</u>	<u>Meredith Myron Mitchell, Senior Vice President, Application Development & Support</u>	<u>Michael Scott Nimmons, Senior Vice President, Internal Audit Services</u>
<u>Edward Bruce Pavelka, Senior Vice President, Life New Business & Administration</u>	<u>Ronald Clark Price, Senior Vice President, Career Life Agencies, Multiple Line</u>	<u>Patrick Anthony Smith, Senior Vice President, Multiple Line Agencies Field Operations</u>

DIRECTORS OR TRUSTEES

<u>David Alan Behrens</u>	<u>Irwin Max Herz Jr.</u>	<u>Johnny David Johnson</u>
<u>Ashild Ingrid Moody</u>	<u>Edward Joseph Muhl</u>	<u>Matthew Richard Ostiguy</u>
<u>Elvin Jerome Pederson</u>	<u>James Edward Pozzi</u>	<u>John Frederick Simon</u>
<u>Timothy Allen Walsh</u>	<u>James Daniel Yarbrough</u>	

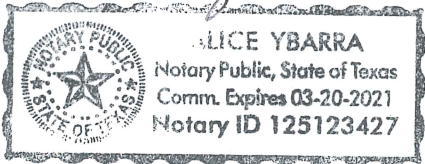
State of Texas SS:
County of Galveston

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.

David Alan Behrens John Mark Flippin Michelle Annette Gage
President & Chief Marketing Officer Vice President, Corporate Secretary Vice President, Controller & Treasurer

Subscribed and sworn to before me this 17th day of October, 2019
Alice Ybarra

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



ASSETS

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 – 2)	
1. Bonds	2, 104, 863, 234	0	2, 104, 863, 234	1, 796, 863, 482
2. Stocks:				
2.1 Preferred stocks	4, 101, 988	0	4, 101, 988	4, 101, 988
2.2 Common stocks	111, 446, 137	0	111, 446, 137	111, 677, 055
3. Mortgage loans on real estate:				
3.1 First liens	401, 813, 097	0	401, 813, 097	349, 712, 567
3.2 Other than first liens		0	0	
4. Real estate:				
4.1 Properties occupied by the company (less \$ encumbrances)	5, 516, 520	0	5, 516, 520	5, 627, 959
4.2 Properties held for the production of income (less \$ encumbrances)	0	0	0	1, 918, 439
4.3 Properties held for sale (less \$ encumbrances)		0	0	
5. Cash (\$(4, 067, 952)), cash equivalents (\$38, 889, 827) and short-term investments (\$)	34, 821, 875	0	34, 821, 875	8, 705, 292
6. Contract loans (including \$ premium notes)	36, 919, 540	0	36, 919, 540	37, 018, 472
7. Derivatives	9, 603, 331	0	9, 603, 331	1, 884, 167
8. Other invested assets	22, 210, 495		22, 210, 495	9, 477, 241
9. Receivables for securities	7, 936	0	7, 936	0
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)	2, 731, 304, 153	0	2, 731, 304, 153	2, 326, 986, 662
13. Title plants less \$ charged off (for Title insurers only)		0	0	
14. Investment income due and accrued	22, 503, 228	0	22, 503, 228	19, 705, 239
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection	743, 111	61, 201	681, 910	600, 690
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ earned but unbilled premiums)	13, 003, 644	0	13, 003, 644	13, 605, 513
15.3 Accrued retrospective premiums (\$) and contracts subject to redetermination (\$)		0	0	
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers	540, 277	0	540, 277	584, 652
16.2 Funds held by or deposited with reinsured companies		0	0	
16.3 Other amounts receivable under reinsurance contracts	45	0	45	14
17. Amounts receivable relating to uninsured plans		0	0	
18.1 Current federal and foreign income tax recoverable and interest thereon	0	0	0	208, 726
18.2 Net deferred tax asset	18, 335, 497	18, 335, 497	0	0
19. Guaranty funds receivable or on deposit	23, 492	0	23, 492	35, 988
20. Electronic data processing equipment and software		0	0	
21. Furniture and equipment, including health care delivery assets (\$)	409, 769	409, 769	0	0
22. Net adjustment in assets and liabilities due to foreign exchange rates		0	0	
23. Receivables from parent, subsidiaries and affiliates	3, 936, 451	0	3, 936, 451	2, 035, 664
24. Health care (\$) and other amounts receivable	944, 554	944, 554	0	0
25. Aggregate write-ins for other than invested assets	899, 205	545, 381	353, 824	3, 549, 598
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25)	2, 792, 643, 426	20, 296, 402	2, 772, 347, 024	2, 367, 312, 746
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts		0	0	
28. Total (Lines 26 and 27)	2, 792, 643, 426	20, 296, 402	2, 772, 347, 024	2, 367, 312, 746
DETAILS OF WRITE-INS				
1101.				
1102.				
1103.				
1198. Summary of remaining write-ins for Line 11 from overflow page	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)	0	0	0	0
2501. Prepaid state premium taxes	353, 824		353, 824	158, 178
2502. Other receivables	45, 592	45, 592	0	3, 391, 420
2503. Prepaid pension cost	3, 146, 680	3, 146, 680	0	0
2598. Summary of remaining write-ins for Line 25 from overflow page	(2, 646, 891)	(2, 646, 891)	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	899, 205	545, 381	353, 824	3, 549, 598

LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31 Prior Year
1. Aggregate reserve for life contracts \$2,338,154,282 less \$ included in Line 6.3 (including \$ Modco Reserve)	2,338,154,282	1,967,234,824
2. Aggregate reserve for accident and health contracts (including \$ Modco Reserve)	14,806,692	15,361,846
3. Liability for deposit-type contracts (including \$ Modco Reserve)	79,179,575	76,798,073
4. Contract claims:		
4.1 Life	7,998,794	10,456,725
4.2 Accident and health	176,514	131,082
5. Policyholders' dividends/refunds to members \$622,262 and coupons \$ due and unpaid	622,262	0
6. Provision for policyholders' dividends, refunds to members and coupons payable in following calendar year - estimated amounts:		
6.1 Policyholders' dividends and refunds to members apportioned for payment (including \$ Modco)	2,673,699	10,102,417
6.2 Policyholders' dividends and refunds to members not yet apportioned (including \$ Modco)	5,202,438	
6.3 Coupons and similar benefits (including \$ Modco)		
7. Amount provisionally held for deferred dividend policies not included in Line 6		
8. Premiums and annuity considerations for life and accident and health contracts received in advance less \$ discount; including \$30,793 accident and health premiums	220,973	199,194
9. Contract liabilities not included elsewhere:		
9.1 Surrender values on canceled contracts		
9.2 Provision for experience rating refunds, including the liability of \$ accident and health experience rating refunds of which \$0 is for medical loss ratio rebate per the Public Health Service Act		
9.3 Other amounts payable on reinsurance, including \$ assumed and \$1,090,784 ceded	1,090,784	1,162,486
9.4 Interest Maintenance Reserve	809,023	1,256,511
10. Commissions to agents due or accrued-life and annuity contracts \$211,123 , accident and health \$162,087 and deposit-type contract funds \$	373,210	579,553
11. Commissions and expense allowances payable on reinsurance assumed		
12. General expenses due or accrued	245,186	278,617
13. Transfers to Separate Accounts due or accrued (net) (including \$ accrued for expense allowances recognized in reserves, net of reinsured allowances)		
14. Taxes, licenses and fees due or accrued, excluding federal income taxes	226,325	362,613
15.1 Current federal and foreign income taxes, including \$2,285,370 on realized capital gains (losses)	8,000,292	0
15.2 Net deferred tax liability	9,046,523	6,244,926
16. Unearned investment income	938,386	1,029,727
17. Amounts withheld or retained by reporting entity as agent or trustee	1,338,040	1,393,641
18. Amounts held for agents' account, including \$109,911 agents' credit balances	109,911	85,436
19. Remittances and items not allocated	1,954,976	3,799,320
20. Net adjustment in assets and liabilities due to foreign exchange rates		
21. Liability for benefits for employees and agents if not included above		
22. Borrowed money \$ and interest thereon \$		
23. Dividends to stockholders declared and unpaid		
24. Miscellaneous liabilities:		
24.01 Asset valuation reserve	37,351,582	25,737,438
24.02 Reinsurance in unauthorized and certified (\$) companies	601,903	1,621,543
24.03 Funds held under reinsurance treaties with unauthorized and certified (\$) reinsurers		
24.04 Payable to parent, subsidiaries and affiliates	1,450,878	2,888,040
24.05 Drafts outstanding		
24.06 Liability for amounts held under uninsured plans		
24.07 Funds held under coinsurance		
24.08 Derivatives	0	
24.09 Payable for securities	10,368,460	137,800
24.10 Payable for securities lending		
24.11 Capital notes \$ and interest thereon \$		
25. Aggregate write-ins for liabilities	11,782,913	3,402,639
26. Total liabilities excluding Separate Accounts business (Lines 1 to 25)	2,534,723,621	2,130,264,450
27. From Separate Accounts Statement		
28. Total liabilities (Lines 26 and 27)	2,534,723,621	2,130,264,450
29. Common capital stock	5,000,550	5,000,550
30. Preferred capital stock		
31. Aggregate write-ins for other than special surplus funds	0	0
32. Surplus notes		
33. Gross paid in and contributed surplus	58,300,471	58,300,471
34. Aggregate write-ins for special surplus funds	0	0
35. Unassigned funds (surplus)	174,322,382	173,747,275
36. Less treasury stock, at cost:		
36.1 shares common (value included in Line 29 \$)	0	
36.2 shares preferred (value included in Line 30 \$)		
37. Surplus (Total Lines 31+32+33+34+35-36) (including \$ in Separate Accounts Statement)	232,622,853	232,047,746
38. Totals of Lines 29, 30 and 37	237,623,403	237,048,296
39. Totals of Lines 28 and 38 (Page 2, Line 28, Col. 3)	2,772,347,024	2,367,312,746
DETAILS OF WRITE-INS		
2501. Liability on derivative collateral	9,710,000	1,720,000
2502. Uncashed check reserve	2,072,913	1,682,153
2503. Miscellaneous investment liabilities		486
2598. Summary of remaining write-ins for Line 25 from overflow page	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	11,782,913	3,402,639
3101.		
3102.		
3103.		
3198. Summary of remaining write-ins for Line 31 from overflow page	0	0
3199. Totals (Lines 3101 through 3103 plus 3198)(Line 31 above)	0	0
3401.		
3402.		
3403.		
3498. Summary of remaining write-ins for Line 34 from overflow page	0	0
3499. Totals (Lines 3401 through 3403 plus 3498)(Line 34 above)	0	0

SUMMARY OF OPERATIONS

	1	2	3
	Current Year To Date	Prior Year To Date	Prior Year Ended December 31
1. Premiums and annuity considerations for life and accident and health contracts	410,276,836	188,636,958	262,310,531
2. Considerations for supplementary contracts with life contingencies	1,716,544	887,510	1,230,155
3. Net investment income	78,444,656	66,810,881	89,903,450
4. Amortization of Interest Maintenance Reserve (IMR)	195,013	381,718	510,600
5. Separate Accounts net gain from operations excluding unrealized gains or losses			
6. Commissions and expense allowances on reinsurance ceded	469,949	523,682	674,948
7. Reserve adjustments on reinsurance ceded			
8. Miscellaneous Income:			
8.1 Income from fees associated with investment management, administration and contract guarantees from Separate Accounts			
8.2 Charges and fees for deposit-type contracts			
8.3 Aggregate write-ins for miscellaneous income	5,453	7,003	15,673
9. Totals (Lines 1 to 8.3)	491,108,451	257,247,752	354,645,357
10. Death benefits	22,842,168	21,113,369	30,126,332
11. Matured endowments (excluding guaranteed annual pure endowments)	201,762	200,265	233,501
12. Annuity benefits	21,035,823	17,584,313	24,619,139
13. Disability benefits and benefits under accident and health contracts	1,985,376	2,013,988	2,633,422
14. Coupons, guaranteed annual pure endowments and similar benefits			
15. Surrender benefits and withdrawals for life contracts	40,097,000	47,259,662	65,404,384
16. Group conversions			
17. Interest and adjustments on contract or deposit-type contract funds	1,523,065	2,715,110	3,307,480
18. Payments on supplementary contracts with life contingencies	2,481,057	2,430,812	3,291,920
19. Increase in aggregate reserves for life and accident and health contracts	369,867,965	132,716,663	190,876,714
20. Totals (Lines 10 to 19)	460,034,216	226,034,182	320,492,892
21. Commissions on premiums, annuity considerations, and deposit-type contract funds (direct business only)	17,408,749	11,973,170	16,299,904
22. Commissions and expense allowances on reinsurance assumed	0	0	0
23. General insurance expenses and fraternal expenses	8,927,576	8,407,406	11,480,512
24. Insurance taxes, licenses and fees, excluding federal income taxes	1,157,706	1,384,355	1,785,582
25. Increase in loading on deferred and uncollected premiums	(305,400)	(517,604)	(293,128)
26. Net transfers to or (from) Separate Accounts net of reinsurance			
27. Aggregate write-ins for deductions	10,187	13,778	13,697
28. Totals (Lines 20 to 27)	487,233,034	247,295,287	349,779,459
29. Net gain from operations before dividends to policyholders and federal income taxes (Line 9 minus Line 28)	3,875,417	9,952,465	4,865,898
30. Dividends to policyholders and refunds to members	5,056,249	4,298,309	9,797,157
31. Net gain from operations after dividends to policyholders, refunds to members and before federal income taxes (Line 29 minus Line 30)	(1,180,832)	5,654,156	(4,931,259)
32. Federal and foreign income taxes incurred (excluding tax on capital gains)	6,647,536	8,536,265	5,073,498
33. Net gain from operations after dividends to policyholders, refunds to members and federal income taxes and before realized capital gains or (losses) (Line 31 minus Line 32)	(7,828,368)	(2,882,109)	(10,004,757)
34. Net realized capital gains (losses) (excluding gains (losses) transferred to the IMR) less capital gains tax of \$2,725,425 (excluding taxes of \$(67,107) transferred to the IMR)	10,562,655	4,338,047	8,921,559
35. Net income (Line 33 plus Line 34)	2,734,287	1,455,938	(1,083,198)
CAPITAL AND SURPLUS ACCOUNT			
36. Capital and surplus, December 31, prior year	237,048,296	250,687,145	250,687,145
37. Net income (Line 35)	2,734,287	1,455,938	(1,083,198)
38. Change in net unrealized capital gains (losses) less capital gains tax of \$2,476,838	9,360,748	5,269,042	(20,074,058)
39. Change in net unrealized foreign exchange capital gain (loss)			
40. Change in net deferred income tax	7,174,879	7,380,546	6,937,152
41. Change in nonadmitted assets	(8,226,443)	(6,676,866)	(6,817,143)
42. Change in liability for reinsurance in unauthorized and certified companies	1,019,640	(850,597)	(1,238,485)
43. Change in reserve on account of change in valuation basis, (increase) or decrease			0
44. Change in asset valuation reserve	(11,614,144)	(2,554,354)	7,528,830
45. Change in treasury stock	0		
46. Surplus (contributed to) withdrawn from Separate Accounts during period			
47. Other changes in surplus in Separate Accounts Statement	0		
48. Change in surplus notes			
49. Cumulative effect of changes in accounting principles	0		
50. Capital changes:			
50.1 Paid in			
50.2 Transferred from surplus (Stock Dividend)			
50.3 Transferred to surplus			
51. Surplus adjustment:			
51.1 Paid in	0	0	0
51.2 Transferred to capital (Stock Dividend)			
51.3 Transferred from capital			
51.4 Change in surplus as a result of reinsurance			
52. Dividends to stockholders	0		
53. Aggregate write-ins for gains and losses in surplus	126,140	(482,674)	1,108,053
54. Net change in capital and surplus for the year (Lines 37 through 53)	575,107	3,541,035	(13,638,849)
55. Capital and surplus, as of statement date (Lines 36 + 54)	237,623,403	254,228,180	237,048,296
DETAILS OF WRITE-INS			
08.301. Miscellaneous income	5,453	7,003	15,673
08.302.			
08.303.			
08.398. Summary of remaining write-ins for Line 8.3 from overflow page	0	0	0
08.399. Totals (Lines 08.301 through 08.303 plus 08.398) (Line 8.3 above)	5,453	7,003	15,673
2701. Fines and penalties to regulatory authorities	10,125	13,592	13,639
2702. Miscellaneous	62	186	58
2703.			
2798. Summary of remaining write-ins for Line 27 from overflow page	0	0	0
2799. Totals (Lines 2701 through 2703 plus 2798)(Line 27 above)	10,187	13,778	13,697
5301. Change in deferred tax on non admitted items	126,140	(397,006)	66,498
5302. Change in pension and post retirement plans net of deferred tax	0	(85,668)	1,041,555
5303.			
5398. Summary of remaining write-ins for Line 53 from overflow page	0	0	0
5399. Totals (Lines 5301 through 5303 plus 5398)(Line 53 above)	126,140	(482,674)	1,108,053

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	412,803,956	190,585,966	263,932,432
2. Net investment income	76,619,942	66,731,639	90,339,451
3. Miscellaneous income	475,371	530,723	690,659
4. Total (Lines 1 to 3)	489,899,269	257,848,328	354,962,542
5. Benefit and loss related payments	90,566,681	91,093,001	123,498,087
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	27,771,112	21,699,497	29,205,423
8. Dividends paid to policyholders	6,660,267	4,335,356	6,046,555
9. Federal and foreign income taxes paid (recovered) net of \$330,027 tax on capital gains (losses)	1,096,836	739,721	5,729,166
10. Total (Lines 5 through 9)	126,094,896	117,867,575	164,479,231
11. Net cash from operations (Line 4 minus Line 10)	363,804,373	139,980,753	190,483,311
Cash from Investments			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds	75,834,938	118,878,078	149,785,514
12.2 Stocks	19,575,217	4,843,994	12,487,066
12.3 Mortgage loans	24,117,368	12,511,955	13,964,588
12.4 Real estate	1,752,703	0	0
12.5 Other invested assets	2,445,630	0	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments	0	0	0
12.7 Miscellaneous proceeds	16,675,806	4,923,093	1,086,320
12.8 Total investment proceeds (Lines 12.1 to 12.7)	140,401,661	141,157,120	177,323,488
13. Cost of investments acquired (long-term only):			
13.1 Bonds	385,862,591	187,865,567	214,662,625
13.2 Stocks	243,983	260,673	5,434,145
13.3 Mortgage loans	75,576,277	71,330,213	146,854,516
13.4 Real estate	309,827	2,494,466	2,668,304
13.5 Other invested assets	15,106,267	391,364	4,791,356
13.6 Miscellaneous applications	7,727,100	3,110,432	0
13.7 Total investments acquired (Lines 13.1 to 13.6)	484,826,045	265,452,715	374,410,946
14. Net increase (or decrease) in contract loans and premium notes	(98,932)	(3,103,300)	(3,020,203)
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14)	(344,325,452)	(121,192,295)	(194,067,255)
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	0	0
16.3 Borrowed funds	0	0	0
16.4 Net deposits on deposit-type contracts and other insurance liabilities	872,321	(4,199,090)	(5,692,883)
16.5 Dividends to stockholders	0	0	0
16.6 Other cash provided (applied)	5,765,341	6,202,949	(7,194,690)
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6)	6,637,662	2,003,859	(12,887,573)
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)	26,116,583	20,792,317	(16,471,517)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year	8,705,292	25,176,809	25,176,809
19.2 End of period (Line 18 plus Line 19.1)	34,821,875	45,969,126	8,705,292

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

20.0001. Real estate acquired in satisfaction of debt			1,940,150
---	--	--	-----------

EXHIBIT 1

DIRECT PREMIUMS AND DEPOSIT-TYPE CONTRACTS			
	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Industrial life	0	0	0
2. Ordinary life insurance	41,741,710	39,916,304	55,333,883
3. Ordinary individual annuities	369,248,781	148,677,722	207,002,227
4. Credit life (group and individual)	583,133	654,400	850,282
5. Group life insurance	0	0	0
6. Group annuities	0	0	0
7. A & H - group	0	0	0
8. A & H - credit (group and individual)	651,650	726,239	936,927
9. A & H - other	2,391,153	3,403,838	4,502,441
10. Aggregate of all other lines of business	0	0	0
11. Subtotal (Lines 1 through 10)	414,616,427	193,378,503	268,625,760
12. Fraternal (Fraternal Benefit Societies Only)			
13. Subtotal (Lines 11 through 12)	414,616,427	193,378,503	268,625,760
14. Deposit-type contracts	6,221,031	2,840,317	4,116,407
15. Total (Lines 13 and 14)	420,837,458	196,218,820	272,742,167
DETAILS OF WRITE-INS			
1001.			
1002.			
1003.			
1098. Summary of remaining write-ins for Line 10 from overflow page	0	0	0
1099. Totals (Lines 1001 through 1003 plus 1098)(Line 10 above)	0	0	0

NOTES TO FINANCIAL STATEMENTS

NOTE 1 Summary of Significant Accounting Policies and Going Concern

A. Accounting Practices

The financial statements of American National Life Insurance Company of New York ("the Company") are presented on the basis of accounting practices prescribed or permitted by the New York State Department of Financial Services.

The New York State Department of Financial Services recognizes only statutory accounting practices prescribed or permitted by the State of New York for determining and reporting the financial condition and results of operations of an insurance company, and for determining its solvency under the New York Insurance Law. The National Association of Insurance Commissioners' (NAIC) Accounting Practices and Procedures Manual, (NAIC SAP) has been adopted as a component of prescribed or permitted practices by the State of New York.

A reconciliation of the Company's net income and capital and surplus between NAIC SAP and practices or permitted by the State of New York as of September 30, 2019 and December 31, 2018 is shown below:

	SSAP #	F/S Page	F/S Line #	2019	2018
NET INCOME					
(1) State basis (Page 4, Line 35, Columns 1 & 3)	XXX	XXX	XXX	\$ 2,734,287	\$ (1,083,198)
(2) State Prescribed Practices that are an increase/(decrease) from NAIC SAP:					
(3) State Permitted Practices that are an increase/(decrease) from NAIC SAP:					
(4) NAIC SAP (1-2-3=4)	XXX	XXX	XXX	\$ 2,734,287	\$ (1,083,198)
SURPLUS					
(5) State basis (Page 3, Line 38, Columns 1 & 2)	XXX	XXX	XXX	\$ 237,623,403	\$ 237,048,296
(6) State Prescribed Practices that are an increase/(decrease) from NAIC SAP:					
(7) State Permitted Practices that are an increase/(decrease) from NAIC SAP:					
(8) NAIC SAP (5-6-7=8)	XXX	XXX	XXX	\$ 237,623,403	\$ 237,048,296

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

No significant change.

C. Accounting Policy

- (1) No significant change.
- (2) The Company has no investment in mandatory convertible securities or SVO identified investments. Bonds not backed by other loans, with NAIC ratings of 6, are stated at the lower of amortized cost or SVO market value; all other NAIC ratings are stated at amortized cost using the modified scientific method.
- (3)-(5) No significant change.
- (6) Loan-backed securities are carried at amortized cost using the retrospective method.
- (7)-(13) No significant change.

D. Going Concern

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

NOTE 2 Accounting Changes and Corrections of Errors

In 2018, the Company recognized an increase to its' current tax liability of \$1,067,928 and a decrease to its' net deferred tax liability of \$1,757,614. These changes were made subsequent to the filing of the 2017 Annual Statement and were related to corrections and adjustments to prior year activity. The impact in 2018 is an increase to surplus of \$689,686. Some of these corrections were calculated and recorded in the Company's 2017 audited financial statements.

NOTE 3 Business Combinations and Goodwill

No significant change.

NOTE 4 Discontinued Operations

No significant change.

NOTE 5 Investments

A. Mortgage Loans, including Mezzanine Real Estate Loans

No significant change.

B. Debt Restructuring

No significant change.

C. Reverse Mortgages

No significant change.

D. Loan Backed Securities

- (1) Prepayment assumptions for mortgage-backed/ asset-backed securities were obtained from independent third party pricing services or internal estimates.
- (2) At September 30, 2019, the Company did not have any securities within the scope of SSAP No. 43R, Revised Statutory Accounting for Loan-backed and Structured Securities, with a recognized other-than-temporary impairment due to the intent to sell or an inability or lack of intent to retain the security for a period of time sufficient to recover the amortized cost basis.
- (3) At September 30, 2019, the Company did not hold any loan-backed and structured securities with a recognized credit-related other-than-temporary impairment.
- (4) Unrealized loss/ fair value information:
- a) The aggregate amount of unrealized losses:

1. Less than 12 Months

\$ (65,112)

2. 12 Months or Longer

\$ (206,716)

b)The aggregate related fair value of securities with unrealized losses:

1. Less than 12 Months

\$ 10,523,626

2. 12 Months or Longer

\$ 2,521,150
- (5) All loan-backed and structured securities in an unrealized loss position were reviewed to determine whether an other-than-temporary impairment should be recognized. As of September 30, 2019, the Company believes it has the intent and ability to hold these securities long enough to allow the cost basis of these securities to be recovered. Although the investment securities above did not meet management's criteria for other-than-temporary impairment at this time, it is possible that future events or information could cause them to conclude that declines in value are other-than-temporary.

E. Dollar Repurchase Agreements and/or Securities Lending Transactions

The Company has no repurchase agreements or securities lending transactions.

NOTES TO FINANCIAL STATEMENTS

- F. Repurchase Agreements Transactions Accounted for as Secured Borrowing
The Company has no repurchase agreements transactions accounted for as secured borrowing.
- G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing
The Company has no reverse repurchase agreements transactions accounted for as secured borrowing.
- H. Repurchase Agreements Transactions Accounted for as a Sale
The Company has no repurchase agreements transactions accounted for as a sale.
- I. Reverse Repurchase Agreements Transactions Accounted for as a Sale
The Company has no reverse repurchase agreements transactions accounted for as a sale.
- J. Real Estate

(1) No significant change.

(2) The Company has sold a real estate property for a loss of (\$155,968) in March 2019. This amount is included in "Net Realized Capital Gains and Losses", line 34 of the Summary of Operations. The detail is included in Schedule A, Part 3.

(3)-(5) No significant change.
- K. Low Income Housing tax Credits (LIHTC)
No significant change.
- L. Restricted Assets
No significant change.
- M. Working Capital Finance Investments
The Company has no working capital finance investments.
- N. Offsetting and Netting of Assets and Liabilities
The Company has no offset or netted assets and liabilities in accordance with SSAP no. 64.
- O. Structured Notes
No significant change.
- P. 5GI Securities
No significant change.
- Q. Short Sales
No significant change.
- R. Prepayment Penalty and Acceleration Fees
No significant change.

NOTE 6 Joint Ventures, Partnerships and Limited Liability Companies

No significant change.

NOTE 7 Investment Income

No significant change.

NOTE 8 Derivative Instruments

The Company issues indexed deferred annuities, which credit returns based on the performance of underlying equity indexes. However, the indexed credits cannot be less than minimum guarantees. The Company issues policies one a week and purchases options at the same time, thereby closely matching the timing and other characteristics of the option assets to the indexed-related liabilities. The Company purchases the options from a number of different well-regarded parties and further mitigates credit risk by negotiating collateral deposit agreements with the counter-parties. All options are stated at fair value net of collateral and are reported on the Derivatives line on the Asset page. Changes in the values of the options are recorded as changes in unrealized gains.

NOTE 9 Income Taxes

No significant change.

NOTE 10 Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties

No significant change.

NOTE 11 Debt

- A. No significant change.
- B. FHLB (Federal Home Loan Bank) Agreements
The Company has no Federal Home Loan Bank (FHLB) agreements.

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

A. Defined Benefit Plan

(1) - (3) No significant change.

	Pension Benefits		Postretirement Benefits		Special or Contractual Benefits Per SSAP No. 11	
	2019	2018	2019	2018	2019	2018
(4) Components of net periodic benefit cost						
a. Service cost	\$ 48,905	\$ 65,206				
b. Interest cost	\$ 787,756	\$ 1,050,341	\$ 26,311	\$ 35,076		
c. Expected return on plan assets	\$ (1,310,117)	\$ (1,746,823)				
d. Transition asset or obligation	\$ 65,862	\$ 87,816				
e. Gains and losses	\$ 91,910	\$ 122,547	\$ 1,901	\$ 2,535		
f. Prior service cost or credit			\$ (22,947)	\$ (30,596)		
g. Gain or loss recognized due to a settlement or curtailment						
h. Total net periodic benefit cost	\$ (315,684)	\$ (420,913)	\$ 5,265	\$ 7,015	\$ -	\$ -

(5) - (21) No significant change.

- B. Defined Benefit Plan - Investment Policies and Strategies
No significant change.
- C. Fair Value Measurements
No significant change.
- D. Overall Expected Long-term Rate-of-return-on-assets Assumption
No significant change.
- E. Defined Contribution Plan
No significant change.
- F. Multiemployer Plans
No significant change.

NOTES TO FINANCIAL STATEMENTS

- G. Consolidated/Holding Company PlansNo significant change.
- H. Postemployment Benefits and Compensated AbsencesNo significant change.
- I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17) No significant change.

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

No significant change.

NOTE 14 Liabilities, Contingencies and Assessments

No significant change.

NOTE 15 Leases

No significant change.

NOTE 16 Information About Financial Instruments With Off-Balance Sheet Risk and Financial Instruments With Concentrations of Credit Risk

No significant change.

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

The Company had no sales, transfers or servicing of financial assets and extinguishment of liabilities during the reporting periods.

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

No significant change.

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

No significant change.

NOTE 20 Fair Value Measurements

A.

(1) Fair Value Measurements at Reporting Date

Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Total
a. Assets at fair value					
Common Stock- Unaffiliated	\$ 111,446,137				\$ 111,446,137
Preferred Stock	\$ 4,435,000				\$ 4,435,000
Bonds		\$ 2,000,000	\$ 529,091		\$ 2,529,091
Options			\$ 9,603,331		\$ 9,603,331
Total assets at fair value/NAV	\$ 115,881,137	\$ 2,000,000	\$ 10,132,422	\$ -	\$ 128,013,559

Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Total
b. Liabilities at fair value					
Total liabilities at fair value	\$ -	\$ -	\$ -	\$ -	\$ -

There were no transfers between Level 1 and Level 2 fair value hierarchies.

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

Description	Ending Balance as of Prior Quarter End	Transfers into Level 3	Transfers out of Level 3	Total gains and (losses) included in Net Income	Total gains and (losses) included in Surplus	Purchases	Issuances	Sales	Settlements	Ending Balance for Current Quarter End
a. Assets										
Options	\$ 8,622,608	\$ -	\$ -	\$ (525,159)	\$ 795,118	\$ 1,527,070		\$ (816,306)		\$ 9,603,331
Bonds	\$ 529,091					\$ -				\$ 529,091
Total Assets	\$ 9,151,699	\$ -	\$ -	\$ (525,159)	\$ 795,118	\$ 1,527,070	\$ -	\$ (816,306)	\$ -	\$ 10,132,422

Description	Ending Balance as of Prior Quarter End	Transfers into Level 3	Transfers out of Level 3	Total gains and (losses) included in Net Income	Total gains and (losses) included in Surplus	Purchases	Issuances	Sales	Settlements	Ending Balance for Current Quarter End
a. Liabilities										
Total Liabilities	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

(3) Transfers between levels, if any, are recognized at the beginning of the reporting period.

(4) The market values of equity and debt securities are obtained by the Securities Valuation Office of the NAIC and/or various pricing services. There has been no change in the valuation techniques and related inputs.

(5) The fair value information for derivative assets is included in the above tables.

B.

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability. A fair value hierarchy is used to determine fair value based on a hypothetical transaction at the measurement date from the perspective of a market participant. An asset or liability's classification within the fair value hierarchy is based on the lowest level of significant input to its valuation. The input levels are defined as follows:

Level 1 - Unadjusted quoted prices in active markets for identical assets or liabilities. The Company defines active markets based on average trading volume for equity securities. The size of the bid/ask spread is used as an indicator of market activity for fixed maturity securities.

Level 2 - Quoted prices in markets that are not active or inputs that are observable directly or indirectly. Level 2 inputs include quoted prices for similar assets or liabilities other than quoted prices in Level 1; quoted prices in markets that are not active; or other inputs that are observable or can be derived principally from or corroborated by observable market data for substantially the full term of the assets or liabilities.

Level 3 - Unobservable inputs that are supported by little or no market activity and are significant to the fair value of the assets or liabilities. Unobservable inputs reflect the Company's own assumptions about the assumptions that market participants would use in pricing the asset or liability. Level 3 assets and liabilities include financial instruments whose values are determined using pricing models and third-party evaluation, as well as instruments for which the determination of fair value requires significant management judgment or estimation.

The Company has evaluated the various types of securities in its investment portfolio to determine an appropriate fair value hierarchy level based upon trading activity and the observability of market inputs. Based on the results of this evaluation and investment class analysis, each price was classified into Level 1, 2, or 3.

There are some equity and fixed income securities whose market price is obtained from the Securities Valuation Office (SVO) of the National Association of Insurance Commissioners. For those securities that are not priced by the SVO, the price is obtained from independent pricing services.

The pricing service utilizes market quotations for fixed maturity securities that have quoted prices in active markets. Since fixed maturities generally do not trade on a daily basis, the pricing service prepares estimates of fair value measurements for these securities using its proprietary pricing applications, which include available relevant market information, benchmark curves, benchmarking of like securities, sector groupings and matrix pricing. Additionally, the pricing service uses an Option Adjusted Spread model to develop prepayment and interest rate scenarios.

The pricing service evaluates each asset class based on relevant market information, relevant credit information, perceived market movements and sector news. The market inputs utilized in the pricing evaluation, listed in the approximate order of priority, include benchmark yields, reported trades, broker/dealer quotes, issuer spreads, two-sided markets, benchmark securities, bids, offers, reference data, and economic events. The extent of the use of each market input depends on the asset class and the market conditions. Depending on the security, the priority of the use of inputs may change or some market inputs may not be relevant. For some securities additional inputs may be necessary.

The Company has reviewed the inputs and methodology used by the pricing service and the techniques applied by the pricing service to produce quotes that represent the fair value of a specific security. The review of the pricing service's methodology confirms the service is utilizing information from organized transactions or a technique that represents a market participant's assumptions. The Company does not adjust quotes received by the pricing service.

NOTES TO FINANCIAL STATEMENTS

The pricing service utilized by the Company has indicated that they will only produce an estimate of fair value if there is objectively verifiable information available. If the pricing service discontinues pricing an investment, the Company would be required to produce an estimate of fair value using some of the same methodologies as the pricing service, but would have to make assumptions for market-based inputs that are unavailable due to market conditions.

The fair value estimates of most fixed maturity investments including municipal bonds are based on observable market information rather than market quotes. Accordingly, the estimates of fair value for such fixed maturities provided by the pricing service are included in the amount disclosed in Level 2 of the hierarchy.

Additionally, the Company holds a small amount of fixed maturities that have characteristics that make them unsuitable for matrix pricing. For these securities, a quote from a broker (typically a market maker) is obtained. Due to the disclaimers on these quotes that indicate that the price is indicative only, the Company includes these fair value estimates in Level 3. The pricing of certain private placement debt also includes significant non-observable inputs, the internally determined credit rating of the security and an externally provided credit spread, and are classified in Level 3.

For public common and preferred stocks, the Company receives prices from a nationally recognized pricing service that are based on observable market transactions and these securities are disclosed in Level 1. For certain preferred stock held, current market quotes in active markets are unavailable. In these instances, the Company receives an estimate of fair value from the pricing service that provides fair value estimates for the fixed maturity securities. The service utilizes some of the same methodologies to price the preferred stocks as it does for the fixed maturities. These estimates for equity securities are disclosed in Level 2.

The market value of derivative instruments is obtained by a pricing service. Due to the disclaimers that the prices is indicative only, the Company includes these fair value estimates in Level 3.

- C. Aggregate fair value for all financial instruments and the level within the fair value hierarchy in which the fair value measurements in their entirety fall.
- The table below reflects the fair values and admitted values of all admitted assets that are financial instruments. The fair values are also categorized into the three-level fair value hierarchy as described above in the Note 20A.

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Net Asset Value (NAV)	Not Practicable (Carrying Value)
Bonds	\$ 2,194,063,762	\$ 2,104,863,234		\$ 2,191,301,741	\$ 2,762,021		
Common Stock	\$ 111,446,137	\$ 111,446,137	\$ 111,446,137				
Preferred Stock	\$ 4,435,000	\$ 4,101,988	\$ 4,435,000				
Options	\$ 9,603,331	\$ 9,603,331			\$ 9,603,331		
Surplus Debentures/BA Assets	\$ 5,991,069	\$ 4,783,111		\$ -	\$ 5,991,069		
Mortgage Loans	\$ 410,470,473	\$ 401,813,097			\$ 410,470,473		

- D. Not Practicable to Estimate Fair Value

As of September 30, 2019, there were no financial instruments for which it is not practicable for the Company to estimate the fair value.

- E. The Company had no investments measured using Net Asset Value.

NOTE 21 Other Items

No significant change.

NOTE 22 Events Subsequent

No significant change.

NOTE 23 Reinsurance

No significant change.

NOTE 24 Retrospectively Rated Contracts & Contracts Subject to Redetermination

The Company had no retrospectively rated contracts or contracts subject to redetermination during the reporting periods.

NOTE 25 Change in Incurred Losses and Loss Adjustment Expenses

- A. Claim reserves on accident and health contracts as of December 31, 2018 were \$8.3 million. As of September 30, 2019, \$1.2 million has been paid for claims and claim adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$6.9 million as a result of re-estimation of unpaid claims and claim adjustment expenses principally on disability and credit lines of insurance. Claims have developed as expected. Original estimates are increased or decreased, as additional information becomes known regarding individual claims.
- B. There were no significant changes in methodologies and assumptions used in calculating the liability for unpaid losses and loss adjustment expenses.

NOTE 26 Intercompany Pooling Arrangements

No significant change.

NOTE 27 Structured Settlements

No significant change.

NOTE 28 Health Care Receivables

No significant change.

NOTE 29 Participating Policies

No significant change.

NOTE 30 Premium Deficiency Reserves

No significant change.

NOTE 31 Reserves for Life Contracts and Annuity Contracts

No significant change.

NOTE 32 Analysis of Annuity Actuarial Reserves and Deposit Type Liabilities by Withdrawal Characteristics

No significant change.

NOTE 33 Premium & Annuity Considerations Deferred and Uncollected

No significant change.

NOTE 34 Separate Accounts

No significant change.

NOTE 35 Loss/Claim Adjustment Expenses

No significant change.

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

1.1

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

Yes [☐] No [☒]

1.2

If yes, has the report been filed with the domiciliary state?

Yes [☐] No [☐]

2.1

Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity?

Yes [☐] No [☒]

2.2

If yes, date of change:

3.1

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

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.

3.4

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

Yes [☒] No [☐]

3.5

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

904163

4.1

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

Yes [☐] No [☒]

If yes, complete and file the merger history data file with the NAIC for the annual filing corresponding to this period.

4.2

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

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

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 [☐] N/A [☒]

If yes, attach an explanation.

6.1

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

12/31/2015

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.

12/31/2015

6.3

State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date).

06/13/2017

6.4

By what department or departments?
New York State Department of Financial 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 [☐] N/A [☒]

6.6

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

Yes [☐] No [☐] N/A [☒]

7.1

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

Yes [☐] No [☒]

7.2

If yes, give full information:

8.1

Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board?

Yes [☐] No [☒]

8.2

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

8.3

Is the company affiliated with one or more banks, thrifts or securities firms?

Yes [☒] No [☐]

8.4

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

1	2	3	4	5	6
Affiliate Name	Location (City, State)	FRB	OCC	FDIC	SEC
American National Registered Investment Advisor Inc	League City, Texas	NO	NO	NO	YES
ANICO Financial Services Inc	Galveston, Texas	NO	NO	NO	YES

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

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

[

X

]

No

[

]

(a)

Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;

(b)

Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;

(c)

Compliance with applicable governmental laws, rules and regulations;

(d)

The prompt internal reporting of violations to an appropriate person or persons identified in the code; and

(e)

Accountability for adherence to the code.
- 9.1.1

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

Has the code of ethics for senior managers been amended?

.....

Yes

[

]

No

[

X

]

9.2.1

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

9.3

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

.....

Yes

[

]

No

[

X

]

9.3.1

If the response to 9.3 is Yes, provide the nature of any waiver(s).
- FINANCIAL
- 10.1

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

.....

Yes

[

X

]

No

[

]

10.2

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

.....

\$

.....

1,396,196

INVESTMENT

11.1

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

.....

Yes

[

]

No

[

X

]

11.2

If yes, give full and complete information relating thereto:

12.

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

.....

\$

.....

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

[

X

]

14.2

If yes, please complete the following:

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

15.1

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

.....

Yes

[

X

]

No

[

]

15.2

If yes, has a comprehensive description of the hedging program been made available to the domiciliary state?

.....

Yes

[

X

]

No

[

]

If no, attach a description with this statement.

16.

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

16.1

Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2.

.....

\$

.....

0

16.2

Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2

.....

\$

.....

0

16.3

Total payable for securities lending reported on the liability page.

.....

\$

.....

0

8.1

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

GENERAL INTERROGATORIES

17. Excluding items in Schedule E - Part 3 - Special Deposits, real estate, mortgage loans and investments held physically in the reporting entity's offices, vaults or safety deposit boxes, were all stocks, bonds and other securities, owned throughout the current year held pursuant to a custodial agreement with a qualified bank or trust company in accordance with Section 1, III - General Examination Considerations, F. Outsourcing of Critical Functions, Custodial or Safekeeping Agreements of the NAIC Financial Condition Examiners Handbook?

Yes [X] No []
- 17.1 For all agreements that comply with the requirements of the NAIC Financial Condition Examiners Handbook, complete the following:

1 Name of Custodian(s)	2 Custodian Address
Bank of New York Mellon	One Wall Street, New York, NY

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

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

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter?

Yes [] No [X]
- 17.4 If yes, give full information relating thereto:

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

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

1 Name of Firm or Individual	2 Affiliation
Anne Le Mire	I.....
Scott Brast	I.....

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

Yes [] No [X]

17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's assets?.....

Yes [] No [X]

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

1	2	3	4	5
Central Registration Depository Number	Name of Firm or Individual	Legal Entity Identifier (LEI)	Registered With	Investment Management Agreement (IMA) Filed

- 18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed?

Yes [X] No []
- 18.2 If no, list exceptions:

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

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

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

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

Has the reporting entity self-designated 5GI securities?

Yes [] No [X]

20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:

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

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

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

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

Has the reporting entity self-designated PLGI securities?

Yes [] No [X]

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

GENERAL INTERROGATORIES

PART 2 - LIFE AND ACCIDENT AND HEALTH COMPANIES/FRATERNAL BENEFIT SOCIETIES

Life and Accident Health Companies/Fraternal Benefit Societies:

1.

Report the statement value of mortgage loans at the end of this reporting period for the following categories:

1

Amount

1.1

Long-Term Mortgages In Good Standing

1.11

Farm Mortgages

\$

1.12

Residential Mortgages

\$

1.13

Commercial Mortgages

\$

401,813,097

1.14

Total Mortgages in Good Standing

\$

401,813,097

1.2

Long-Term Mortgages In Good Standing with Restructured Terms

1.21

Total Mortgages in Good Standing with Restructured Terms

\$

1.3

Long-Term Mortgage Loans Upon which Interest is Overdue more than Three Months

1.31

Farm Mortgages

\$

1.32

Residential Mortgages

\$

1.33

Commercial Mortgages

\$

1.34

Total Mortgages with Interest Overdue more than Three Months

\$

0

1.4

Long-Term Mortgage Loans in Process of Foreclosure

1.41

Farm Mortgages

\$

1.42

Residential Mortgages

\$

1.43

Commercial Mortgages

\$

1.44

Total Mortgages in Process of Foreclosure

\$

0

1.5

Total Mortgage Loans (Lines 1.14 + 1.21 + 1.34 + 1.44) (Page 2, Column 3, Lines 3.1 + 3.2)

\$

401,813,097

1.6

Long-Term Mortgages Foreclosed, Properties Transferred to Real Estate in Current Quarter

1.61

Farm Mortgages

\$

1.62

Residential Mortgages

\$

1.63

Commercial Mortgages

\$

1.64

Total Mortgages Foreclosed and Transferred to Real Estate

\$

0

2.

Operating Percentages:

2.1

A&H loss percent

%

2.2

A&H cost containment percent

%

2.3

A&H expense percent excluding cost containment expenses

%

3.1

Do you act as a custodian for health savings accounts?

Yes

[]

No

[X]

3.2

If yes, please provide the amount of custodial funds held as of the reporting date

\$

3.3

Do you act as an administrator for health savings accounts?

Yes

[]

No

[X]

3.4

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

\$

4.

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

Yes

[X]

No

[]

4.1

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

Yes

[]

No

[]

Fraternal Benefit Societies Only:

5.1

In all cases where the reporting entity has assumed accident and health risks from another company, provisions should be made in this statement on account of such reinsurances for reserve equal to that which the original company would have been required to establish had it retained the risks. Has this been done?

Yes

[]

No

[]

N/A

[]

5.2

If no, explain:

6.1

Does the reporting entity have outstanding assessments in the form of liens against policy benefits that have increased surplus?

Yes

[]

No

[]

6.2

If yes, what is the date(s) of the original lien and the total outstanding balance of liens that remain in surplus?

Date	Outstanding Lien Amount

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

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

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE T - PREMIUMS AND ANNUITY CONSIDERATIONS

Current Year To Date - Allocated by States and Territories

States, Etc.			1	Life Contracts		Direct Business Only			7
				2	3	4	5	6	
1.	Alabama	AL	N	14,555	0		0	14,555	
2.	Alaska	AK	N	2,084	0		0	2,084	
3.	Arizona	AZ	N	24,128	0		0	24,128	
4.	Arkansas	AR	N	2,559	0		0	2,559	
5.	California	CA	N	29,333	0		0	29,333	
6.	Colorado	CO	N	24,777	0		0	24,777	
7.	Connecticut	CT	L	1,467,910	218,362	230,394	0	1,916,666	
8.	Delaware	DE	L	949,672	116,311	42,181	0	1,108,164	
9.	District of Columbia	DC	N	2,802	0		0	2,802	
10.	Florida	FL	N	306,833	558,662		0	865,495	
11.	Georgia	GA	N	56,381	0		0	56,381	
12.	Hawaii	HI	N	3,215	0		0	3,215	
13.	Idaho	ID	N	2,593	0		0	2,593	
14.	Illinois	IL	N	18,478	0		0	18,478	
15.	Indiana	IN	N	21,488	0		0	21,488	
16.	Iowa	IA	N	5,660	24,093		0	29,753	
17.	Kansas	KS	N	309	0		0	309	
18.	Kentucky	KY	N	20,834	0		0	20,834	
19.	Louisiana	LA	N	1,427	0		0	1,427	
20.	Maine	ME	L	913,662	95,553	130,194	0	1,139,409	
21.	Maryland	MD	L	1,085,698	7,450	95,404	0	1,188,552	
22.	Massachusetts	MA	L	1,718,614	208,740	363,397	0	2,290,751	
23.	Michigan	MI	N	10,480	0		0	10,480	
24.	Minnesota	MN	N	13,284	0		0	13,284	
25.	Mississippi	MS	N	3,309	0		0	3,309	
26.	Missouri	MO	N	13,003	0		0	13,003	
27.	Montana	MT	N	2,582	0		0	2,582	
28.	Nebraska	NE	N	1,857	0		0	1,857	
29.	Nevada	NV	N	20,692	0		0	20,692	
30.	New Hampshire	NH	L	1,083,007	135,541	169,611	0	1,388,159	
31.	New Jersey	NJ	L	4,240,016	996,513	431,048	0	5,667,577	75,037
32.	New Mexico	NM	N	12,996	0		0	12,996	
33.	New York	NY	L	21,060,874	364,110,747	1,878,183	0	387,049,804	6,145,993
34.	North Carolina	NC	N	130,742	142,849		0	273,591	
35.	North Dakota	ND	N	0	0		0	0	
36.	Ohio	OH	N	30,628	0		0	30,628	
37.	Oklahoma	OK	N	6,615	0		0	6,615	
38.	Oregon	OR	N	2,953	0		0	2,953	
39.	Pennsylvania	PA	L	701,396	78,547	56,058	0	836,001	
40.	Rhode Island	RI	L	427,477	88,578	65,521	0	581,576	
41.	South Carolina	SC	N	138,019	23,135		0	161,154	
42.	South Dakota	SD	N	4,989	0		0	4,989	
43.	Tennessee	TN	N	31,228	2,653		0	33,881	
44.	Texas	TX	N	103,649	465,000		0	568,649	
45.	Utah	UT	N	2,936	1,800		0	4,736	
46.	Vermont	VT	L	1,050,713	1,397,246	132,007	0	2,579,966	
47.	Virginia	VA	L	259,592	11,700	32,096	0	303,388	
48.	Washington	WA	N	13,469	0		0	13,469	
49.	West Virginia	WV	L	1,996,008	565,302	61,975	0	2,623,285	
50.	Wisconsin	WI	N	17,301	0		0	17,301	
51.	Wyoming	WY	N	4,706	0		0	4,706	
52.	American Samoa	AS	N	0	0		0	0	
53.	Guam	GU	N	0	0		0	0	
54.	Puerto Rico	PR	N	0	0		0	0	
55.	U.S. Virgin Islands	VI	N	1,464	0		0	1,464	
56.	Northern Mariana Islands	MP	N	0	0		0	0	
57.	Canada	CAN	N	3,479	0		0	3,479	
58.	Aggregate Other Aliens	OT	XXX	2,608	0	0	0	2,608	0
59.	Subtotal	XXX		38,065,084	369,248,782	3,688,069	0	411,001,935	6,221,030
90.	Reporting entity contributions for employee benefits plans	XXX		0	0	0	0	0	0
91.	Dividends or refunds applied to purchase paid-up additions and annuities	XXX		4,766,928	0	0	0	4,766,928	0
92.	Dividends or refunds applied to shorten endowment or premium paying period	XXX						0	
93.	Premium or annuity considerations waived under disability or other contract provisions	XXX		411,209	0	90,834	0	502,043	0
94.	Aggregate or other amounts not allocable by State	XXX		0	0	0	0	0	0
95.	Totals (Direct Business)	XXX		43,243,221	369,248,782	3,778,903	0	416,270,906	6,221,030
96.	Plus Reinsurance Assumed	XXX		0	0	0	0	0	0
97.	Totals (All Business)	XXX		43,243,221	369,248,782	3,778,903	0	416,270,906	6,221,030
98.	Less Reinsurance Ceded	XXX		3,627,383	0	807,009	0	4,434,392	0
99.	Totals (All Business) less Reinsurance Ceded	XXX		39,615,838	369,248,782	2,971,894	0	411,836,514	6,221,030
DETAILS OF WRITE-INS									
58001.	JPN Japan	XXX		2,314				2,314	
58002.	UAE United Arab Emirates	XXX		294				294	
58003.		XXX							
58998.	Summary of remaining write-ins for Line 58 from overflow page	XXX		0	0	0	0	0	0
58999.	Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)	XXX		2,608	0	0	0	2,608	0
9401.		XXX							
9402.		XXX							
9403.		XXX							
9498.	Summary of remaining write-ins for Line 94 from overflow page	XXX		0	0	0	0	0	0
9499.	Totals (Lines 9401 through 9403 plus 9498)(Line 94 above)	XXX		0	0	0	0	0	0

(a) Active Status Counts:

L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG.....13

E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....0

N - None of the above - Not allowed to write business in the state.....44

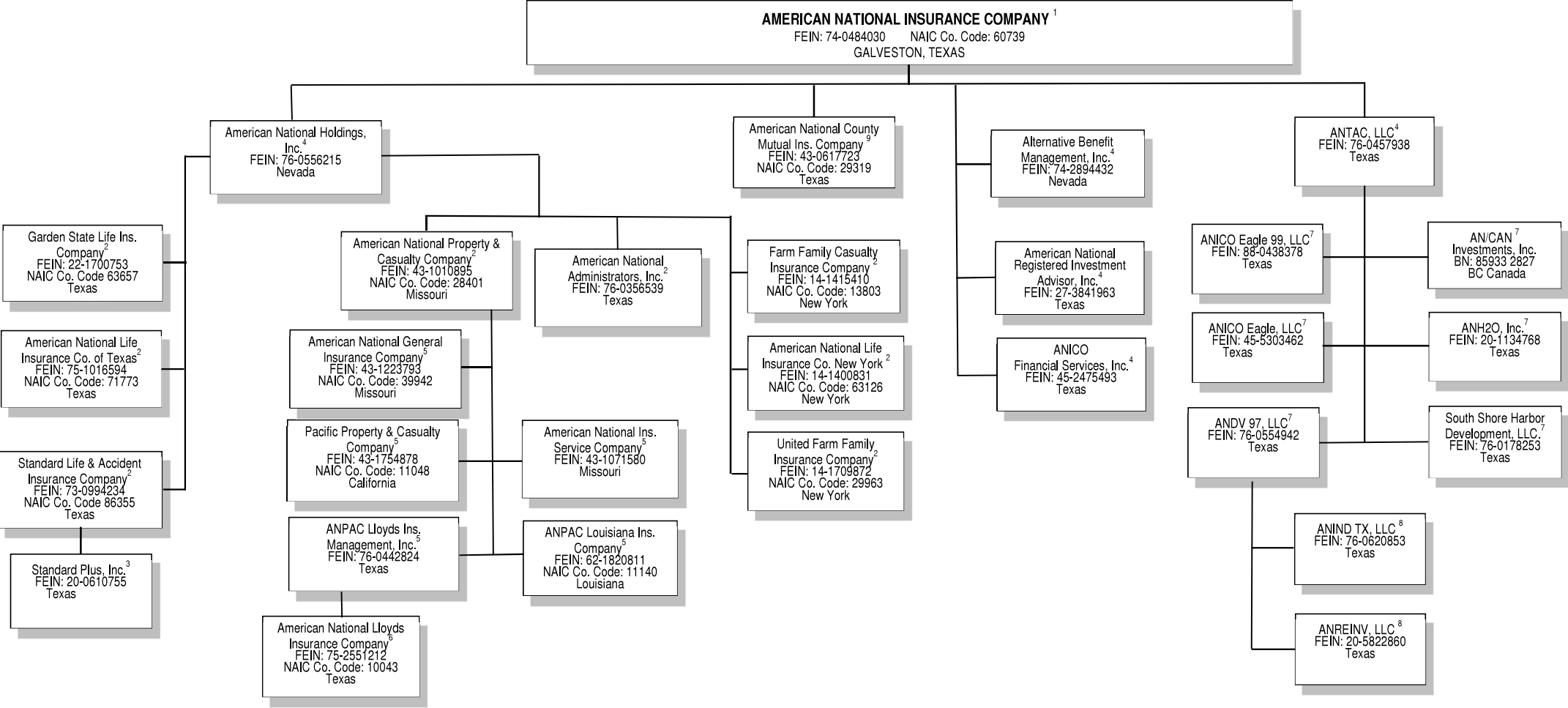
R - Registered - Non-domiciled RRGs.....0

Q - Qualified - Qualified or accredited reinsurer.....0

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

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

PART 1 - ORGANIZATIONAL CHART



(1) 22.7% owned by The Moody Foundation and 37% owned by the Libbie S. Moody Trust.

(2) 100% owned by American National Holdings, Inc.

(3) 100% owned by Standard Life and Accident Insurance Company.

(4) 100% owned by American National Insurance Company.

(5) 100 % owned by American National Property and Casualty Company (ANPAC).

(6) Not a subsidiary company, but managed by ANPAC Lloyds Insurance Management, Inc.

(7) 100% owned by ANTAC, LLC.

(8) 100% owned by ANDV 97, LLC.

(9) Not a subsidiary company but managed by American National Insurance Company.

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

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Loca-tion	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0408	American National Insurance Company	.60739	74-0484030	1343722	904163	NASDAQ	American National Insurance Company	TX	UIP	Libbie S. Moody Trust	Ownership	0.370	Moody National Bank	N	
.0408	American National Insurance Company	.60739	74-0484030	1343722	904163	NASDAQ	American National Insurance Company	TX	UIP	The Moody Foundation	Ownership, Board	0.227	Robert L. Moody, Ross R. Moody, Frances Moody-Dahlberg	N	
		.00000	76-0556215	0	0		American National Holdings, Inc.	NV	UDP	American National Insurance Company	Ownership	1.000	American National Insurance Company	Y	
		.00000	76-0457938	0	0		ANTAC, LLC	TX	NIA	American National Insurance Company	Ownership	1.000	American National Insurance Company	Y	
		.00000	27-3841963	0	1518195		American National Registered Investment Advisor, Inc.	TX	NIA	American National Insurance Company	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.39942	43-1223793	0	0		American National General Insurance Company	MO	IA	American National Property and Casualty Company	Ownership	1.000	American National Insurance Company	N	
		.00000	43-1071580	0	0		American National Insurance Service Company	MO	NIA	American National Property and Casualty Company	Ownership	1.000	American National Insurance Company	N	
		.00000	76-0356539	0	0		American National Administrators, Inc.	TX	NIA	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	N	
		.00000	76-0442824	0	0		ANPAC Lloyds Insurance Management, Inc.	TX	NIA	American National Property and Casualty Company	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.11140	62-1820811	0	0		ANPAC Louisiana Insurance Company	LA	IA	American National Property and Casualty Company	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.11048	43-1754878	0	0		Pacific Property and Casualty Company	CA	IA	American National Property and Casualty Company	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.13803	14-1415410	0	0		Farm Family Casualty Insurance Company	NY	IA	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.29319	43-0617723	0	0		American National County Mutual Insurance Company	TX	IA	American National Insurance Company	Management	0.000	American National Insurance Company	N	
.0408	American National Insurance Company	.10043	75-2551212	0	0		American National Lloyds Insurance Company	TX	IA	ANPAC Lloyds Insurance Management, Inc.	Management	0.000	American National Insurance Company	N	
		.00000	74-2894432	0	0		Alternative Benefit Management, Inc.	NV	NIA	American National Insurance Company	Ownership	1.000	American National Insurance Company	N	
		.00000	76-0554942	0	0		ANDV 97, LLC	TX	NIA	ANTAC, LLC	Ownership	1.000	American National Insurance Company	N	
		.00000	45-5303462	0	0		ANICO Eagle, LLC	TX	NIA	ANTAC, LLC	Ownership	1.000	American National Insurance Company	N	
		.00000	88-0438378	0	0		ANICO Eagle 99, LLC	TX	NIA	ANTAC, LLC	Ownership	1.000	American National Insurance Company	N	
		.00000	85-9332827	0	0		AN/CAN Investments, Inc.	CAN	NIA	ANTAC, LLC	Ownership	1.000	American National Insurance Company	N	
		.00000	76-0620853	0	0		ANIND TX, LLC	TX	NIA	ANDV 97, LLC	Ownership	1.000	American National Insurance Company	N	
		.00000	20-5822860	0	0		ANREINV, LLC	TX	NIA	ANDV 97, LLC	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.29963	14-1709872	0	0		United Farm Family Insurance Company	NY	IA	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	N	
		.00000	20-1134768	0	0		ANH20, Inc.	TX	NIA	ANTAC, LLC	Ownership	1.000	American National Insurance Company	N	
		.00000	76-0178253	0	0		South Shore Harbour Development, LLC	TX	NIA	ANTAC, LLC	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.28401	43-1010895	1343946	0		American National Property and Casualty Company	MO	IA	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	Y	
.0408	American National Insurance Company	.71773	75-1016594	1343731	0		American National Life Insurance Company of Texas	TX	IA	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.86355	73-0994234	0	0		Standard Life and Accident Insurance Company	TX	IA	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	N	
		.00000	20-0610755	0	0		Standard Plus, Inc.	TX	NIA	Company	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.63657	22-1700753	0	0		Garden State Life Insurance Company	TX	IA	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	N	
.0408	American National Insurance Company	.63126	14-1400831	0	0		American National Life Insurance Company of New York	NY	RE	American National Holdings, Inc.	Ownership	1.000	American National Insurance Company	N	
		.00000	45-2475493	0	0		ANICO Financial Services, Inc.	TX	NIA	American National Insurance Company	Ownership	1.000	American National Insurance Company	N	

Asterisk	

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

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.

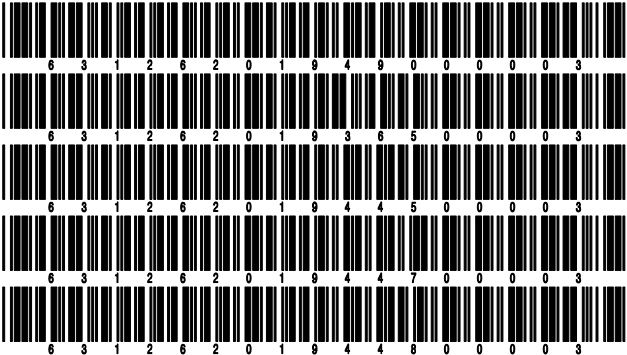
	Response
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement?	NO
2. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?	NO
3. Will the Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV be filed with the state of domicile and electronically with the NAIC?	NO
4. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXV be filed with the state of domicile and electronically with the NAIC?	YES
5. Will the Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI be filed with the state of domicile and electronically with the NAIC?	NO
6. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value) be filed with the state of domicile and electronically with the NAIC?	NO
7. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value) be filed with the state of domicile and electronically with the NAIC?	YES
8. Will the Life PBR Statement of Exemption be filed with the state of domicile by July 1st and electronically with the NAIC with the second quarterly filing per the Valuation Manual (by August 15)? (2nd Quarter Only) The response for 1st and 3rd quarters should be N/A. A NO response resulting with a bar code is only appropriate in the 2nd quarter.	N/A

Explanation:

1.
2.
3.
5.
6.

Bar Code:

1. Trusteed Surplus Statement [Document Identifier 490]
2. Medicare Part D Coverage Supplement [Document Identifier 365]
3. Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV [Document Identifier 445]
5. Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI [Document Identifier 447]
6. Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI [Document Identifier 448]



STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

OVERFLOW PAGE FOR WRITE-INS

Additional Write-ins for Assets Line 25

		Current Statement Date			4 December 31 Prior Year Net Admitted Assets
		1	2	3	
		Assets	Nonadmitted Assets	Net Admitted Assets (Cols. 1 - 2)	
2504.	Prepaid expenses	136,804	136,804	0	0
2505.	Overfunded postretirement plan asset	41,133	41,133	0	0
2506.	Overfunded pension plan asset	(2,824,828)	(2,824,828)	0	0
2597.	Summary of remaining write-ins for Line 25 from overflow page	(2,646,891)	(2,646,891)	0	0

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	7,546,398	5,560,103
2. Cost of acquired:		
2.1 Actual cost at time of acquisition		1,940,150
2.2 Additional investment made after acquisition	309,827	728,154
3. Current year change in encumbrances		0
4. Total gain (loss) on disposals	(155,968)	
5. Deduct amounts received on disposals	1,752,703	
6. Total foreign exchange change in book/adjusted carrying value		0
7. Deduct current year's other than temporary impairment recognized		0
8. Deduct current year's depreciation	431,035	682,009
9. Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8)	5,516,520	7,546,398
10. Deduct total nonadmitted amounts		0
11. Statement value at end of current period (Line 9 minus Line 10)	5,516,520	7,546,398

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	349,712,567	216,598,313
2. Cost of acquired:		
2.1 Actual cost at time of acquisition	68,976,198	144,734,853
2.2 Additional investment made after acquisition	6,600,078	2,119,663
3. Capitalized deferred interest and other	0	0
4. Accrual of discount	0	0
5. Unrealized valuation increase (decrease)	0	509,458
6. Total gain (loss) on disposals	0	(509,458)
7. Deduct amounts received on disposals	24,117,368	13,964,588
8. Deduct amortization of premium and mortgage interest points and commitment fees	(641,621)	(224,326)
9. Total foreign exchange change in book value/recorded investment excluding accrued interest		0
10. Deduct current year's other than temporary impairment recognized		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)	401,813,097	349,712,567
12. Total valuation allowance		
13. Subtotal (Line 11 plus Line 12)	401,813,097	349,712,567
14. Deduct total nonadmitted amounts		0
15. Statement value at end of current period (Line 13 minus Line 14)	401,813,097	349,712,567

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	9,477,241	4,717,318
2. Cost of acquired:		
2.1 Actual cost at time of acquisition	7,275,186	4,791,356
2.2 Additional investment made after acquisition	7,831,081	0
3. Capitalized deferred interest and other		0
4. Accrual of discount	29,500	36,294
5. Unrealized valuation increase (decrease)	43,117	(67,727)
6. Total gain (loss) on disposals		
7. Deduct amounts received on disposals	2,445,630	
8. Deduct amortization of premium and depreciation		
9. Total foreign exchange change in book/adjusted carrying value		0
10. Deduct current year's other than temporary impairment recognized		0
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10)	22,210,495	9,477,241
12. Deduct total nonadmitted amounts		
13. Statement value at end of current period (Line 11 minus Line 12)	22,210,495	9,477,241

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	1,912,642,525	1,866,677,107
2. Cost of bonds and stocks acquired	386,106,574	220,096,770
3. Accrual of discount	1,799,420	2,275,797
4. Unrealized valuation increase (decrease)	4,243,749	(17,611,929)
5. Total gain (loss) on disposals	14,847,027	6,834,682
6. Deduct consideration for bonds and stocks disposed of	96,812,778	163,199,465
7. Deduct amortization of premium	3,200,794	3,206,856
8. Total foreign exchange change in book/adjusted carrying value		
9. Deduct current year's other than temporary impairment recognized	616,988	150,447
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees	1,402,623	926,866
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10)	2,220,411,358	1,912,642,525
12. Deduct total nonadmitted amounts		
13. Statement value at end of current period (Line 11 minus Line 12)	2,220,411,358	1,912,642,525

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)	1,010,784,414	346,914,188	363,049,543	(17,727,718)	932,869,951	1,010,784,414	976,921,341	814,175,531
2. NAIC 2 (a)	999,995,966	94,642,787	21,126,848	16,796,306	936,940,182	999,995,966	1,090,308,211	911,112,640
3. NAIC 3 (a)	52,357,435	0	0	574,339	54,866,461	52,357,435	52,931,774	61,490,402
4. NAIC 4 (a)	6,866,968	0	1,439,564	(2,017,981)	7,173,052	6,866,968	3,409,423	7,173,267
5. NAIC 5 (a)	501,750	0	2,945	2,021,738	1,279,893	501,750	2,520,543	548,727
6. NAIC 6 (a)	2,186,060	0	159,025	0	2,290,378	2,186,060	2,027,035	2,362,915
7. Total Bonds	2,072,692,593	441,556,975	385,777,925	(353,316)	1,935,419,917	2,072,692,593	2,128,118,327	1,796,863,482
PREFERRED STOCK								
8. NAIC 1	0				0	0	0	0
9. NAIC 2	2,601,988				4,101,988	2,601,988	2,601,988	4,101,988
10. NAIC 3	1,500,000				0	1,500,000	1,500,000	0
11. NAIC 4	0				0	0	0	0
12. NAIC 5	0				0	0	0	0
13. NAIC 6	0				0	0	0	0
14. Total Preferred Stock	4,101,988	0	0	0	4,101,988	4,101,988	4,101,988	4,101,988
15. Total Bonds and Preferred Stock	2,076,794,581	441,556,975	385,777,925	(353,316)	1,939,521,905	2,076,794,581	2,132,220,315	1,800,965,470

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

NAIC 1 \$23,255,093 ; NAIC 2 \$0 ; NAIC 3 \$0 NAIC 4 \$0 ; NAIC 5 \$0 ; NAIC 6 \$0

Schedule DA - Part 1 - Short-Term Investments

N O N E

Schedule DA - Verification - Short-Term Investments

N O N E

SCHEDULE DB - PART A - VERIFICATION

Options, Caps, Floors, Collars, Swaps and Forwards

1.	Book/Adjusted Carrying Value, December 31, prior year (Line 9, prior year)	1,884,167
2.	Cost Paid/(Consideration Received) on additions	5,425,180
3.	Unrealized Valuation increase/(decrease)	7,550,719
4.	Total gain (loss) on termination recognized	(1,105,573)
5.	Considerations received/(paid) on terminations	4,151,162
6.	Amortization	
7.	Adjustment to the Book/Adjusted Carrying Value of hedged item	
8.	Total foreign exchange change in Book/Adjusted Carrying Value	
9.	Book/Adjusted Carrying Value at End of Current Period (Lines 1+2+3+4-5+6+7+8)	9,603,331
10.	Deduct nonadmitted assets	
11.	Statement value at end of current period (Line 9 minus Line 10)	9,603,331

SCHEDULE DB - PART B - VERIFICATION

Futures Contracts

1.	Book/Adjusted carrying value, December 31 of prior year (Line 6, prior year)	
2.	Cumulative cash change (Section 1, Broker Name/Net Cash Deposits Footnote - Cumulative Cash Change column)	
3.1	Add:	
	Change in variation margin on open contracts - Highly Effective Hedges	
3.11	Section 1, Column 15, current year to date minus	
3.12	Section 1, Column 15, prior year	
	Change in variation margin on open contracts - All Other	
3.13	Section 1, Column 18, current year to date minus	
3.14	Section 1, Column 18, prior year	
3.2	Add:	
	Change in adjustment to basis of hedged item	
3.21	Section 1, Column 17, current year to date minus	
3.22	Section 1, Column 17, prior year	
	Change in amount recognized	
3.23	Section 1, Column 19, current year to date minus	
3.24	Section 1, Column 19, prior year	
3.3	Subtotal (Line 3.1 minus Line 3.2)	
4.1	Cumulative variation margin on terminated contracts during the year	
4.2	Less:	
	4.21 Amount used to adjust basis of hedged item	
	4.22 Amount recognized	
4.3	Subtotal (Line 4.1 minus Line 4.2)	
5.	Dispositions gains (losses) on contracts terminated in prior year:	
	5.1 Total gain (loss) recognized for terminations in prior year	
	5.2 Total gain (loss) adjusted into the hedged item(s) for terminations in prior year	
6.	Book/Adjusted carrying value at end of current period (Lines 1+2+3.3-4.3-5.1-5.2)	
7.	Deduct total nonadmitted amounts	
8.	Statement value at end of current period (Line 6 minus Line 7)	

NONE

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

N O N E

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

N O N E

SCHEDULE DB - VERIFICATION

Verification of Book/Adjusted Carrying Value, Fair Value and Potential Exposure of all Open Derivative Contracts

		Book/Adjusted Carrying Value Check
1.	Part A, Section 1, Column 14.....	9,603,331
2.	Part B, Section 1, Column 15 plus Part B, Section 1 Footnote - Total Ending Cash Balance.....	0
3.	Total (Line 1 plus Line 2)	9,603,331
4.	Part D, Section 1, Column 5	9,603,331
5.	Part D, Section 1, Column 6	0
6.	Total (Line 3 minus Line 4 minus Line 5)	0
		Fair Value Check
7.	Part A, Section 1, Column 16	9,603,331
8.	Part B, Section 1, Column 13	
9.	Total (Line 7 plus Line 8)	9,603,331
10.	Part D, Section 1, Column 8	9,603,331
11.	Part D, Section 1, Column 9	0
12.	Total (Line 9 minus Line 10 minus Line 11)	0
		Potential Exposure Check
13.	Part A, Section 1, Column 21	0
14.	Part B, Section 1, Column 20	
15.	Part D, Section 1, Column 11	0
16.	Total (Line 13 plus Line 14 minus Line 15)	0

SCHEDULE E - PART 2 - VERIFICATION

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year	9,174,064	22,745,096
2. Cost of cash equivalents acquired	2,007,994,557	327,913,928
3. Accrual of discount	832,478	0
4. Unrealized valuation increase (decrease)		0
5. Total gain (loss) on disposals		0
6. Deduct consideration received on disposals	1,979,111,273	341,484,960
7. Deduct amortization of premium		0
8. Total foreign exchange change in book/adjusted carrying value		0
9. Deduct current year's other than temporary impairment recognized		0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	38,889,826	9,174,064
11. Deduct total nonadmitted amounts		0
12. Statement value at end of current period (Line 10 minus Line 11)	38,889,826	9,174,064

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE A - PART 2

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

1 Description of Property	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
	2 City	3 State						
Home Office Building	Glenmont	NV	01/01/1985					(10,292)
0199999. Acquired by Purchase					0	0	0	(10,292)
0399999 - Totals					0	0	0	(10,292)

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	Location		4 Disposal Date	5 Name of Purchaser	6 Actual Cost	7 Expended for Additions, Permanent Improvements and Changes in Encum- brances	8 Book/ Adjusted Carrying Value Less Encum- brances Prior Year	Change in Book/Adjusted Carrying Value Less Encumbrances					14 Book/ Adjusted Carrying Value Less Encum- brances 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 Encum- brances	20 Taxes, Repairs and Expenses Incurred
	2 City	3 State						9 Current Year's Depre- ciation	10 Current Year's Other Than Temporary Impairment Recognized	11 Current Year's Change in Encum- brances	12 Total Change in Book/ Adjusted Carrying Value (11-9-10)	13 Total Foreign Exchange Change in Book/ Adjusted Carrying Value							
0399999 - Totals																			

SCHEDULE B - PART 2

[illegible]

SCHEDULE B - PART 3

1	Location		4	5	6	7	Change in Book Value/Recorded Investment						14	15	16	17	18
	2	3					8	9	10	11	12	13					
Loan Number	City	State	Loan Type	Date Acquired	Disposal Date	Book Value/Recorded Investment Excluding Accrued Interest Prior Year	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) /Accretion	Current Year's Other Than Temporary Impairment Recognized	Capitalized Deferred Interest and Other	Total Change in Book Value (8+9-10+11)	Total Foreign Exchange Change in Book Value	Book Value/Recorded Investment Excluding Accrued Interest on Disposal	Consid-eration	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal
162801	KATY	TX		11/20/2009	09/13/2019	865,271		352			352		827,398	840,505			0
163601	PORT ORANGE	FL		12/10/2012	09/10/2019	1,806,309		3,478			3,478		1,775,481	1,785,052			0
802201	COLLEGE STATION	TX		06/28/2017	07/26/2019	1,882,503		3,975			3,975		1,864,612	1,864,612			0
804501	CRANBERRY	PA		11/01/2018	08/26/2019	12,276,714		221,240			221,240		12,523,000	12,523,000			0
01999999. Mortgages closed by repayment						16,830,797	0	229,045	0	0	229,045	0	16,990,491	17,013,169	0	0	0
160101	LONG BEACH	CA		05/26/2004		1,827,064		125			125		14,784	14,784			0
161701	FORT WORTH	TX		04/30/2008		2,038,473		1,341			1,341		14,665	14,665			0
163501	ALBANY	GA		11/29/2012		1,851,343		224			224		45,216	45,216			0
163801	THE WOODLANDS	TX		12/17/2013		2,328,980		828			828		26,890	26,890			0
163901	OMAHA	NE		06/26/2014		4,267,864		430			430		20,635	20,635			0
164201	HOUSTON	TX		11/06/2014		2,716,074		378			378		19,174	19,174			0
164301	SUWANEE	GA		12/16/2014		5,709,493		1,038			1,038		40,773	40,773			0
164401	SPRING	TX		12/17/2014		3,713,750		506			506		17,498	17,498			0
164501	NOVI	MI		02/02/2015		4,720,978		324			324		34,400	34,400			0
164601	WILMINGTON	NC		02/10/2015		3,020,624		312			312		53,302	53,302			0
164701	HOUSTON	TX		06/01/2015		2,740,348		268			268		20,537	20,537			0
164702	HOUSTON	TX		05/11/2017		479,076		246			246		3,074	3,074			0
164801	MATTHEWS	NC		10/01/2015		3,227,579		218			218		23,091	23,091			0
164901	VERNON HILLS	IL		12/16/2015		4,764,225		325			325		39,723	39,723			0
165001	PHOENIX	AZ		03/01/2016		4,085,385		280			280		40,401	40,401			0
165201	DENVER	CO		04/04/2016		4,506,422		300			300		30,020	30,020			0
165301	ANNAPOLIS	MD		05/26/2016		6,585,430		900			900		63,919	63,919			0
165401	BRIGHTON	NY		05/26/2016		5,723,419		362			362		34,173	34,173			0

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE B - PART 3

Showing All Mortgage Loans DISPOSED, Transferred or Repaid During the Current Quarter

1	Location		4	5	6	7	Change in Book Value/Recorded Investment						14	15	16	17	18
	2	3					8	9	10	11	12	13					
Loan Number	City	State	Loan Type	Date Acquired	Disposal Date	Book Value/Recorded Investment Excluding Accrued Interest Prior Year	Unrealized Valuation Increase (Decrease)	Current Year's (Amortization) /Accretion	Current Year's Other Than Temporary Impairment Recognized	Capitalized Deferred Interest and Other	Total Change in Book Value (8+9-10+11)	Total Foreign Exchange Change in Book Value	Book Value/Recorded Investment Excluding Accrued Interest on Disposal	Consid-eration	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal
165501	CORTLANDVILLE	NY		05/26/2016		4,933,982		312			312		29,459	29,459			0
165601	NORFOLK	VA		10/05/2016		5,176,035		1,291			1,291		35,453	35,453			0
165701	BUFORD	GA		12/08/2016		10,239,713		2,583			2,583		65,051	65,051			0
165801	COTTONWOOD HEIGHTS	UT		06/12/2017		12,084,678		9,162			9,162		45,080	45,080			0
165901	GLENDALE	AZ		08/29/2017		5,806,658		750			750		35,344	35,344			0
166001	MISSION VIEJO	CA		08/29/2017		1,844,773		119			119		10,836	10,836			0
166101	NORTH RICHLAND HILLS	TX		11/16/2017		7,189,606		5,588			5,588		44,835	44,835			0
800301	GREENVILLE	SC		10/30/2003		757,599		65			65		14,467	14,467			0
800401	MISSOURI CITY	TX		12/11/2014		1,720,112		125			125		12,856	12,856			0
800501	NORTHVILLE	MI		06/10/2015		2,815,715		188			188		18,948	18,948			0
800601	DAYTONA BEACH	FL		08/20/2015		2,195,625		1,891			1,891		15,914	15,914			0
800801	BEAUMONT	TX		09/17/2015		1,674,890		117			117		17,152	17,152			0
800901	VERNON HILLS	IL		01/12/2016		2,727,949		188			188		25,405	25,405			0
801001	PLAINFIELD	IN		04/19/2016		2,918,368		392			392		20,660	20,660			0
801101	HOUSTON	TX		04/25/2016		2,810,353		188			188		12,532	12,532			0
801301	CLEVELAND	OH		06/29/2016		2,950,708		392			392		19,467	19,467			0
801401	CLEVELAND	OH		10/27/2016		5,038,799		332			332		32,411	32,411			0
801601	DE PERE	WI		12/08/2016		4,860,875		319			319		31,910	31,910			0
801701	WILMINGTON	NC		12/19/2016		1,912,205		125			125		11,773	11,773			0
801801	CARMEL-BY-THE-SEA	CA		12/06/2016		5,659,780		363			363		33,784	33,784			0
801901	SAN FRANCISCO	CA		01/24/2017		2,483,760		235			235		16,210	16,210			0
802101	BOURBONNAIS	IL		06/07/2017		4,639,171		611			611		28,488	28,488			0
802301	CYPRESS	TX		07/11/2017		3,627,418		477			477		22,889	22,889			0
802401	SANTA CLARA	CA		09/07/2017		5,001,369		328			328		42,440	42,440			0
802601	ALBUQUERQUE	NM		09/15/2017		6,145,470		808			808		53,606	53,606			0
802901	ALBUQUERQUE	NM		09/15/2017		4,702,573		611			611		28,463	28,463			0
803001	ALBUQUERQUE	NM		09/15/2017		4,107,237		534			534		24,859	24,859			0
803101	ALBUQUERQUE	NM		09/15/2017		3,199,689		416			416		19,366	19,366			0
803201	SOMERSET	NJ		12/01/2017		6,271,488		4,958			4,958		39,118	39,118			0
803401	LAS VEGAS	NV		04/24/2018		2,699,291		344			344		19,755	19,755			0
803501	SAN DIEGO	CA		06/07/2018		1,975,754		188			188		10,665	10,665			0
803601	ARVADA	CO		06/26/2018		16,681,500		4,500			4,500		60,874	60,874			0
803701	DICKINSON	TX		07/16/2018		5,128,363		1,300			1,300		29,396	29,396			0
804301	PROVO	UT		10/16/2018		8,046,736		1,013			1,013		40,702	40,702			0
804601	CHICAGO	IL		11/13/2018		9,677,625		7,369			7,369		54,716	54,716			0
805101	LOGAN	UT		03/19/2019		0		156			156		17,454	17,454			0
805201	SAN DIEGO	CA		03/26/2019		0		137			137		10,816	10,816			0
805301	ARLINGTON HEIGHTS	IL		04/11/2019		0		11,175			11,175		78,523	78,523			0
02999999. Mortgages with partial repayments						234,012,395	0	68,053	0	0	68,053	0	1,673,950	1,673,950	0	0	0
05999999 - Totals						250,843,192	0	297,099	0	0	297,099	0	18,664,441	18,687,119	0	0	0

SCHEDULE BA - PART 2

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

1	2	Location		5	6	7	8	9	10	11	12	13
		3	4									
CUSIP Identification	Name or Description	City	State	Name of Vendor or General Partner	NAIC Designation and Administrative Symbol/Market Indicator	Date Originally Acquired	Type and Strategy	Actual Cost at Time of Acquisition	Additional Investment Made After Acquisition	Amount of Encumbrances	Commitment for Additional Investment	Percentage of Ownership
	Equity Fund 7069 – Centre Lane Partners Credit Fund II	New York	NY	Centre Lane Credit Partners II-A GP		10/31/2018			337,838		1,230,658	6.757
	Equity Fund 7075 – Maranon Senior Credit Strategies Fund	Chicago	IL	Maranon Capital		01/18/2018			600,000		2,500,000	6.227
	Equity Fund 7081 – Metropolitan Partners fund VI, LP	New York	NY	Metropolitan Partners Fund VI, GP		08/14/2019		2,000,000			8,000,000	6.569
	Equity Fund 7083 – First Eagle Direct Lending Fund I	New York	NY	First Eagle Direct Lending I GP, LLC		08/26/2019		4,025,186			974,814	4.617
2199999. Joint Venture Interests - Other - Unaffiliated								6,025,186	937,838	0	12,705,472	XXX
4499999. Total - Unaffiliated								6,025,186	937,838	0	12,705,472	XXX
4599999. Total - Affiliated								0	0	0	0	XXX
4699999 - Totals								6,025,186	937,838	0	12,705,472	XXX

SCHEDULE BA - PART 3

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

1	2	Location		5	6	7	8	Change in Book/Adjusted Carrying Value						15	16	17	18	19	20
		3	4					9	10	11	12	13	14						
CUSIP Identification	Name or Description	City	State	Name of Purchaser or Nature of Disposal	Date Originally Acquired	Disposal Date	Book/Adjusted Carrying Value Less Encumbrances, Prior Year	Unrealized Valuation Increase (Decrease)	Current Year's (Depreciation) or (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Capitalized Deferred Interest and Other	Total Change in Book/Adjusted Carrying Value (9+10-11+12)	Total Foreign Exchange Change in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value Less Encumbrances on Disposal	Consideration	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Investment Income
	Equity Fund 7069 – Centre Lane Partners Credit Fund II	New York	NY	Return of Capital	10/31/2018	07/09/2019	78,827					0		78,827	78,827			0	
	Equity Fund 7072 – Metropolitan Partners Fund V	New York	NY	Return of Capital	12/12/2018	09/30/2019	102,459					0		102,459	102,459			0	
	Equity Fund 7074 – Maranon Senior Credit Strategies Fund	Chicago	IL	Return of Capital	01/18/2018	09/30/2019	45,178					0		45,178	45,178			0	
2199999. Joint Venture Interests - Other - Unaffiliated							226,464	0	0	0	0	0	0	226,464	226,464	0	0	0	0
4499999. Total - Unaffiliated							226,464	0	0	0	0	0	0	226,464	226,464	0	0	0	0

SCHEDULE BA - PART 3

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

1	2	Location		5	6	7	8	Change in Book/Adjusted Carrying Value						15	16	17	18	19	20
		3	4					9	10	11	12	13	14						
CUSIP Identification	Name or Description	City	State	Name of Purchaser or Nature of Disposal	Date Originally Acquired	Disposal Date	Book/ Adjusted Carrying Value Less Encum- brances, Prior Year	Unrealized Valuation Increase (De- crease)	Current Year's (Depre- ciation) or (Amorti- zation)/ Accretion	Current Year's Other Than Temporary Impair- ment Recog- nized	Capital- ized Deferred Interest and Other	Total Change in Book/ Adjusted Carrying Value (9+10- 11+12)	Total Foreign Exchange Change in Book/ Adjusted Carrying Value	Book/ Adjusted Carrying Value Less Encum- brances on Disposal	Consid- eration	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Invest- ment Income
4599999. Total - Affiliated								0	0	0	0	0	0	0	0	0	0	0	0
4699999 - Totals								226,464	0	0	0	0	0	226,464	226,464	0	0	0	0

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE D - PART 3

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

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation and Administrative Symbol/Market Indicator (a)
036752-AG-8	Anthem Inc Bd 4.101% 03/01/28		.09/05/2019	J.P. Morgan		5,425,800	5,000,000	4,557	2FE
036752-AG-8	Anthem Inc Bd 4.101% 03/01/28		.09/16/2019	FTN Financial		2,121,999	1,975,000	3,825	2FE
04621W-AC-4	Assured Guaranty US Hldg Bd 5.000% 07/01/24		.09/23/2019	Stifel, Nicolaus & Co		1,101,760	1,000,000	11,667	2FE
04621X-AM-0	Assurant Inc Bd 3.700% 02/22/30		.09/09/2019	Morgan Stanley Dean Witter		5,020,350	5,000,000	9,764	2FE
05526D-BH-7	Bat Capital Corp Bd 3.462% 09/06/29		.09/09/2019	Morgan Stanley Dean Witter		4,936,750	5,000,000	2,404	2FE
05526D-BH-7	Bat Capital Corp Bd 3.462% 09/06/29		.09/26/2019	Bank of America Merrill Lynch		1,727,704	1,760,000	4,062	2FE
05541T-AL-5	BGC Partners Inc 144A 3.750% 10/01/24		.09/25/2019	Cantor Fitzgerald & Co.		2,986,830	3,000,000	0	2
17288X-AB-0	Citadel Lp 144A 4.875% 01/15/27		.09/12/2019	Raymond James & Assoc.		4,999,000	5,000,000	0	2
233851-DF-8	Daimler Finance NA LLC 144A 3.750% 08/22/28		.09/05/2019	Citigroup Global Markets Inc		2,015,807	1,887,000	3,342	1FE
233851-DW-1	Daimler Finance NA LLC 144A 3.100% 08/15/29		.09/30/2019	First Tennessee		5,073,574	5,000,000	20,236	1
38150A-DS-1	Goldman Sachs Group Inc. Step up 3.000% 07/31/29		.07/29/2019	Hilltop Securities Inc.		5,000,000	5,000,000	0	2
406216-BG-5	Halliburton Co Bd 3.800% 11/15/25		.09/04/2019	Cantor Fitzgerald & Co.		3,144,681	2,955,000	34,623	2FE
48203R-AM-6	Juniper Networks Inc BD 3.750% 08/15/29		.08/20/2019	Oppenheimer & Co., Inc.		3,008,160	3,000,000	0	2FE
48203R-AM-6	Juniper Networks Inc BD 3.750% 08/15/29		.09/04/2019	FTN Financial		2,035,740	2,000,000	2,083	2FE
521865-AY-1	Lear Corp Bd 3.800% 09/15/27		.07/17/2019	FTN Financial		3,968,520	4,000,000	52,356	2FE
55336V-AR-1	MPLX LP BD 4.000% 03/15/28		.09/13/2019	Morgan Stanley Dean Witter		3,104,100	3,000,000	667	2FE
628530-BK-2	Mylan Laboratories Inc Bd 4.550% 04/15/28		.09/05/2019	FTN Financial		4,318,080	4,000,000	72,800	2FE
651639-AT-3	Newmont Goldcorp Corp Bd 3.700% 03/15/23		.08/06/2019	Tax Free Exchange		952,623	1,000,000	14,800	2FE
654894-AF-1	Noble Energy Inc Bd 8.000% 04/01/27		.08/30/2019	FTN Financial		1,295,580	1,000,000	34,000	2FE
674599-DA-0	Occidental Petroleum Corp Bd 3.450% 07/15/24		.09/13/2019	Tax Free Exchange		1,313,926	1,500,000	9,200	2
74348Y-R6-0	Prospect Capital Corp Step 5.000% 07/15/29		.07/01/2019	Cantor Fitzgerald & Co.		3,000,000	3,000,000	1,667	2
74348Y-U6-6	Prospect Capital Corp Step up 4.000% 08/15/29		.08/12/2019	BOSC Inc.		2,000,000	2,000,000	0	2
74348Y-V8-1	Prospect Capital Corp Bd 4.000% 09/15/26		.09/23/2019	BOSC Inc.		1,999,500	2,000,000	0	2
743674-BD-4	Protective Life Corp 144A 4.300% 09/30/28		.09/06/2019	Wells Fargo Advisors		4,089,266	3,702,000	70,749	2FE
759351-AN-9	Reinsurance Group of America Bd 3.900% 05/15/29		.07/17/2019	FTN Financial		526,678	507,000	3,513	2FE
79588T-AC-4	Sammons Financial Group 144A 4.450% 05/12/27		.08/15/2019	Oppenheimer & Co., Inc.		3,159,060	3,000,000	35,971	2FE
814120-AC-5	Security Benefit Life Bd 7.450% 10/01/33		.07/09/2019	Hilltop Securities Inc.		1,282,800	1,000,000	20,694	2
814120-AC-5	Security Benefit Life Bd 7.450% 10/01/33		.08/14/2019	Hilltop Securities Inc.		3,978,840	3,000,000	83,813	2
858155-AE-4	Steelcase Inc Bd 5.125% 01/18/29		.07/16/2019	Oppenheimer & Co., Inc.		5,442,850	5,000,000	0	2FE
891027-AS-3	Globe Life Inc Bd 4.550% 09/15/28		.09/04/2019	Oppenheimer & Co., Inc.		2,266,700	2,000,000	43,225	2FE
920253-AF-8	Valmont Industries Inc Bd 5.000% 10/01/44		.09/27/2019	Hilltop Securities Inc.		5,274,650	5,000,000	0	2FE
78014R-AX-8	Royal Bank of Canada Step up 3.000% 07/15/31	A	.07/11/2019	RBC Capital Markets		3,000,000	3,000,000	0	1
06747N-7J-7	Barclays Bank PLC Step up 3.000% 08/01/31	D	.07/29/2019	Cantor Fitzgerald & Co.		5,000,000	5,000,000	0	1
22533A-B6-1	Credit Agricole CIB Step 3.000% 07/08/31	D	.07/02/2019	Hilltop Securities Inc.		5,000,000	5,000,000	0	1
29359U-AB-5	Enstar Group Ltd Bd 4.950% 06/01/29	D	.07/15/2019	Stifel, Nicolaus & Co		3,044,460	3,000,000	20,213	2FE
29359U-AB-5	Enstar Group Ltd Bd 4.950% 06/01/29	D	.08/20/2019	Stifel, Nicolaus & Co		2,116,380	2,000,000	23,100	2FE
3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						114,732,168	110,286,000	583,331	XXX
8399997. Total - Bonds - Part 3						114,732,168	110,286,000	583,331	XXX
8399998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX
8399999. Total - Bonds						114,732,168	110,286,000	583,331	XXX
8999997. Total - Preferred Stocks - Part 3						0	XXX	0	XXX
8999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks						0	XXX	0	XXX
674599-10-5	Occidental Petroleum Corp CS		.08/09/2019	Taxable Exchange		2,552,580	118,184	0	L
9099999. Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated)						118,184	XXX	0	XXX
9799997. Total - Common Stocks - Part 3						118,184	XXX	0	XXX
9799998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX
9799999. Total - Common Stocks						118,184	XXX	0	XXX
9899999. Total - Preferred and Common Stocks						118,184	XXX	0	XXX
9999999 - Totals						114,850,352	XXX	583,331	XXX

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

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident-ification	Description	For-foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog-nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con-tractual Maturity Date	NAIC Desig-nation and Admini-strative Symbol /Market Indicator (a)
312926-6L-5	FHLMC C00875 7.500% 10/01/29		07/01/2019	Paydown		590	590	591	590	.0	.0	.0	.0	.0	590	.0	.0	.0	26	10/01/2029	1
312926-6L-5	FHLMC C00875 7.500% 10/01/29		08/01/2019	Paydown		84	84	84	84	.0	.0	.0	.0	.0	.84	.0	.0	.0	.4	10/01/2029	1
312926-6L-5	FHLMC C00875 7.500% 10/01/29		09/01/2019	Paydown		88	88	89	88	.0	.0	.0	.0	.0	.88	.0	.0	.0	.5	10/01/2029	1
31293X-W6-1	FHLMC C32469 7.500% 11/01/29		07/01/2019	Paydown		68	68	68	68	.0	.0	.0	.0	.0	.68	.0	.0	.0	.3	11/01/2029	1
31293X-W6-1	FHLMC C32469 7.500% 11/01/29		08/01/2019	Paydown		68	68	68	68	.0	.0	.0	.0	.0	.68	.0	.0	.0	.3	11/01/2029	1
31293X-W6-1	FHLMC C32469 7.500% 11/01/29		09/01/2019	Paydown		68	68	69	68	.0	.0	.0	.0	.0	.68	.0	.0	.0	.4	11/01/2029	1
31371J-6Z-2	FNMA 253888 (15) 6.000% 07/01/31		07/01/2019	Paydown		580	580	563	570	.0	.10	.0	.10	.0	580	.0	.0	.0	.20	07/01/2031	1
31371J-6Z-2	FNMA 253888 (15) 6.000% 07/01/31		08/01/2019	Paydown		72	72	70	71	.0	.1	.0	.1	.0	72	.0	.0	.0	.3	07/01/2031	1
31371J-6Z-2	FNMA 253888 (15) 6.000% 07/01/31		09/01/2019	Paydown		77	77	75	76	.0	.1	.0	.1	.0	77	.0	.0	.0	.4	07/01/2031	1
3137A3-AF-6	FHR 3754 MB (15) 4.000% 01/15/39		07/01/2019	Paydown		53,758	53,758	51,725	51,981	.0	1,776	.0	1,776	.0	53,758	.0	.0	.0	1,254	01/15/2039	1
3137A3-AF-6	FHR 3754 MB (15) 4.000% 01/15/39		08/01/2019	Paydown		46,840	46,840	45,069	45,292	.0	1,548	.0	1,548	.0	46,840	.0	.0	.0	1,249	01/15/2039	1
3137A3-AF-6	FHR 3754 MB (15) 4.000% 01/15/39		09/01/2019	Paydown		44,099	44,099	42,431	42,641	.0	1,457	.0	1,457	.0	44,099	.0	.0	.0	1,323	01/15/2039	1
31387V-U8-0	FNMA 595607 6.500% 07/01/31		07/01/2019	Paydown		152	152	150	150	.0	.1	.0	.1	.0	152	.0	.0	.0	.6	07/01/2031	1
31387V-U8-0	FNMA 595607 6.500% 07/01/31		08/01/2019	Paydown		155	155	154	154	.0	.1	.0	.1	.0	155	.0	.0	.0	.7	07/01/2031	1
31387V-U8-0	FNMA 595607 6.500% 07/01/31		09/01/2019	Paydown		156	156	154	155	.0	.1	.0	.1	.0	156	.0	.0	.0	.8	07/01/2031	1
31392F-XU-6	FNMR 2002 88 AL (25) 5.500% 12/25/22		07/01/2019	Paydown		11,969	11,969	12,045	11,969	.0	.3	.0	.3	.0	11,969	.0	.0	.0	.384	12/25/2022	1
31392F-XU-6	FNMR 2002 88 AL (25) 5.500% 12/25/22		08/01/2019	Paydown		13,914	13,914	14,003	13,911	.0	.3	.0	.3	.0	13,914	.0	.0	.0	.510	12/25/2022	1
31392F-XU-6	FNMR 2002 88 AL (25) 5.500% 12/25/22		09/01/2019	Paydown		11,448	11,448	11,521	11,446	.0	.2	.0	.2	.0	11,448	.0	.0	.0	.472	12/25/2022	1
31393N-QT-9	FHR 2599 VB (15) 5.500% 02/15/23		07/01/2019	Paydown		2,379	2,379	2,401	2,384	.0	(.5)	.0	(.5)	.0	2,379	.0	.0	.0	.76	02/15/2023	1
31393N-QT-9	FHR 2599 VB (15) 5.500% 02/15/23		08/01/2019	Paydown		1,746	1,746	1,762	1,750	.0	(.4)	.0	(.4)	.0	1,746	.0	.0	.0	.64	02/15/2023	1
31393N-QT-9	FHR 2599 VB (15) 5.500% 02/15/23		09/01/2019	Paydown		1,831	1,831	1,848	1,835	.0	(.4)	.0	(.4)	.0	1,831	.0	.0	.0	.76	02/15/2023	1
31393V-F9-7	FHR 2629 DC 5.000% 06/15/23		07/01/2019	Paydown		18,870	18,870	19,106	18,923	.0	(53)	.0	(53)	.0	18,870	.0	.0	.0	.550	06/15/2023	1
31393V-F9-7	FHR 2629 DC 5.000% 06/15/23		08/01/2019	Paydown		32,348	32,348	32,753	32,439	.0	(91)	.0	(91)	.0	32,348	.0	.0	.0	1,078	06/15/2023	1
31393V-F9-7	FHR 2629 DC 5.000% 06/15/23		09/01/2019	Paydown		30,771	30,771	31,156	30,858	.0	(87)	.0	(87)	.0	30,771	.0	.0	.0	1,154	06/15/2023	1
38377F-MF-5	GNMA 2010 56 MD (20) 5.000% 03/20/39		07/01/2019	Paydown		23,141	23,141	24,049	24,049	.0	(909)	.0	(909)	.0	23,141	.0	.0	.0	.675	03/20/2039	1
38377F-MF-5	GNMA 2010 56 MD (20) 5.000% 03/20/39		08/01/2019	Paydown		26,102	26,102	27,317	27,127	.0	(1,025)	.0	(1,025)	.0	26,102	.0	.0	.0	.870	03/20/2039	1
38377F-MF-5	GNMA 2010 56 MD (20) 5.000% 03/20/39		09/01/2019	Paydown		23,307	23,307	24,392	24,222	.0	(915)	.0	(915)	.0	23,307	.0	.0	.0	.874	03/20/2039	1
38378D-AH-8	GNR 2012-17 KX (20) 3.500% 07/20/39		07/20/2019	Paydown		65,807	65,807	70,969	70,450	.0	(4,643)	.0	(4,643)	.0	65,807	.0	.0	.0	1,344	07/20/2039	1
38378D-AH-8	GNR 2012-17 KX (20) 3.500% 07/20/39		08/20/2019	Paydown		74,980	74,980	80,861	80,269	.0	(5,290)	.0	(5,290)	.0	74,980	.0	.0	.0	1,750	07/20/2039	1
38378D-AH-8	GNR 2012-17 KX (20) 3.500% 07/20/39		09/20/2019	Paydown		80,102	80,102	86,385	85,753	.0	(5,651)	.0	(5,651)	.0	80,102	.0	.0	.0	2,103	07/20/2039	1
770047-AG-3	Roanoke TX Economic & Indl De Rev 5.230% 08/15/21		08/15/2019	Call	100.0000	245,000	245,000	245,000	245,000	.0	.0	.0	.0	.0	245,000	.0	.0	.0	12,814	08/15/2021	1FE
928172-NY-8	Virginia St Pub Bldg Auth Rev 3.800% 08/01/19		08/01/2019	Maturity		2,000,000	2,000,000	1,975,660	1,998,105	.0	1,895	.0	1,895	.0	2,000,000	.0	.0	.0	76,000	08/01/2019	1FE
3199999	Subtotal - Bonds - U.S. Special Revenues					2,810,570	2,810,570	2,802,757	2,822,543	0	(11,978)	0	(11,978)	0	2,810,570	0	0	0	104,713	XXX	XXX
00846U-AG-6	Agilent Technologies Inc Bd 5.000% 07/15/20		09/17/2019	Call	102.3154	1,023,154	1,000,000	1,078,650	1,019,719	.0	(8,986)	.0	(8,986)	.0	1,010,733	.0	(10,733)	(10,733)	81,765	07/15/2020	2FE
009158-AP-1	Air Products & Chemicals Inc Bd 4.375% 08/21/19		08/21/2019	Maturity		200,000	200,000	194,510	199,547	.0	453	.0	453	.0	200,000	.0	.0	.0	8,750	08/21/2019	1FE
03215P-DP-1	Amresco Res Secs Mtg Ln Tr 1998-1 MIF 7.000% 01/25/28		09/01/2019	Paydown		.0	(111)	(111)	(111)	.0	.0	.0	.0	.0	(111)	.0	.111	.111	.5	01/25/2028	1FM
032511-BJ-5	Anadarko Petroleum Corp Bd 3.450% 07/15/24		09/13/2019	Tax Free Exchange		1,313,926	1,500,000	1,206,525	1,290,793	.0	23,133	.0	23,133	.0	1,313,926	.0	.0	.0	62,450	07/15/2024	2FE
10112R-AR-5	Boston Properties LP Bd 5.625% 11/15/20		09/18/2019	Call	103.8947	1,298,684	1,250,000	1,347,550	1,272,364	.0	(8,310)	.0	(8,310)	.0	1,264,054	.0	(14,054)	(14,054)	107,863	11/15/2020	2FE
12563L-AL-1	CLI Funding LLC 19-1A 3.710% 05/18/44		07/18/2019	Paydown		32,200	32,200	32,542	.0	.0	(342)	.0	(342)	.0	32,200	.0	.0	.0	196	05/18/2044	1FE
12563L-AL-1	CLI Funding LLC 19-1A 3.710% 05/18/44		08/18/2019	Paydown		31,733	31,733	32,071	.0	.0	(337)	.0	(337)	.0	31,733	.0	.0	.0	291	05/18/2044	1FE
12563L-AL-1	CLI Funding LLC 19-1A 3.710% 05/18/44		09/18/2019	Paydown		29,867	29,867	30,184	.0	.0	(317)	.0	(317)	.0	29,867	.0	.0	.0	366	05/18/2044	1FE
12665U-AA-2	CVS Pass-Through Trust 144A 4.704% 01/10/36		07/10/2019	Redemption	100.0000	13,650	13,650	14,538	14,483	.0	(24)	.0	(24)	.0	14,460	.0	(810)	(810)	375	01/10/2036	2FE
12665U-AA-2	CVS Pass-Through Trust 144A 4.704% 01/10/36		08/10/2019	Redemption	100.0000	13,704	13,704	14,595	14,540	.0	(27)	.0	(27)	.0	14,513	.0	(809)	(809)	430	01/10/2036	2FE
12665U-AA-2	CVS Pass-Through Trust 144A 4.704% 01/10/36		09/10/2019	Redemption	100.0000	13,757	13,757	14,652	14,597	.0	(31)	.0	(31)	.0	14,566	.0	(809)	(809)	485	01/10/2036	2FE
233851-AR-5	Daimler Finance NA LLC 144A 2.250% 07/31/19		07/31/2019	Maturity		1,750,000	1,750,000	1,739,885	1,749,098	.0	902	.0	902	.0	1,750,000	.0	.0	.0	39,375	07/31/2019	1FE
25179M-AP-8	Devon Energy Corp BD 3.250% 05/15/22		07/27/2019	Call	103.2871	4,647,919	4,500,000	4,334,760	4,409,092	.0	14,614	.0	14,614	.0	4,423,706	.0	76,294	76,294	250,294	05/15/2022	2FE

SCHEDULE D - PART 4

E05.1

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
										11	12	13	14	15								
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog- nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Design- ation and Admini- strative Symbol /Market Indicator (a)	
25389J-AJ-5	Digital Realty Trust LP Bd 5.250% 03/15/21		07/17/2019	Call 104.0626 Redemption 100.0000		312,188	300,000	304,245	301,151	0	(272)	0	(272)	0	300,878	0	(878)	(878)	25,400	03/15/2021	2FE	
28932M-AA-3	Elm Rd Generating Station 144A 5.209% 02/11/30		08/11/2019			71,212	71,212	71,212	71,212	0	0	0	0	0	71,212	0	0	0	3,709	02/11/2030	1FE	
393505-XH-0	Green Tree Financial Corp 1997-6 M1 7.210% 01/15/29		07/15/2019	Paydown		40,097	40,097	31,177	32,042	0	0	0	0	0	32,042	0	8,055	8,055	1,688	01/15/2029	6FE	
393505-XH-0	Green Tree Financial Corp 1997-6 M1 7.210% 01/15/29		08/15/2019	Paydown		41,298	41,298	32,110	33,002	0	0	0	0	0	33,002	0	8,296	8,296	1,987	01/15/2029	6FE	
393505-XH-0	Green Tree Financial Corp 1997-6 M1 7.210% 01/15/29		09/15/2019	Paydown		34,828	117,607	91,442	93,981	0	0	0	0	0	93,981	0	(59,153)	(59,153)	6,367	01/15/2029	6FE	
48203R-AF-1	Juniper Networks Inc Sr Nt 4.600% 03/15/21		09/25/2019	Call 103.7780 Redemption 100.0000		5,188,900	5,000,000	5,325,540	5,096,127	0	(31,086)	0	(31,086)	0	5,065,041	0	(65,041)	(65,041)	425,289	03/15/2021	2FE	
577778-AS-2	May Department Stores Co Deb 9.750% 02/15/21		08/15/2019			25,000	25,000	25,125	25,010	0	0	0	0	0	25,010	0	(10)	(10)	2,438	02/15/2021	2FE	
585055-AX-4	Medtronic Inc Sr Nt 3.125% 03/15/22 Newmont Goldcorp Corp 144A 3.700% 03/15/23		08/09/2019	Call 103.7040		2,074,080	2,000,000	2,004,320	2,001,532	0	(278)	0	(278)	0	2,001,254	0	(1,254)	(1,254)	130,330	03/15/2022	1FE	
651639-AS-5	Niagara Mohawk Power 144A 4.881% 08/15/19		08/06/2019	Tax Free Exchange		952,623	1,000,000	949,049	0	0	3,575	0	3,575	0	952,623	0	0	0	14,800	03/15/2023	2FE	
65364U-AA-4	Omnicom Group Inc Bd 4.450% 08/15/20		08/15/2019	Maturity		2,000,000	2,000,000	2,042,100	2,003,304	0	(3,304)	0	(3,304)	0	2,000,000	0	0	0	97,620	08/15/2019	1FE	
682134-AC-5	Prospect Capital Corp Bd 5.250% 02/15/22		08/01/2019	Call 102.2470		1,513,256	1,480,000	1,441,402	1,472,125	0	2,761	0	2,761	0	1,474,886	0	5,114	5,114	96,554	08/15/2020	2FE	
74348Y-RQ-6	Prospect Capital Corp Bd 5.250% 02/15/22		08/15/2019	Call 100.0000		1,000,000	1,000,000	1,000,000	1,000,000	0	0	0	0	0	1,000,000	0	0	0	52,500	02/15/2022	2FE	
74348Y-RU-7	Prospect Capital Corp Bd 5.250% 03/15/22		09/16/2019	Call 100.0000		2,000,000	2,000,000	2,000,000	2,000,000	0	0	0	0	0	2,000,000	0	0	0	105,000	03/15/2022	2FE	
79548K-ZL-5	Salomon Bros Mtg Secs VII 1998-AQ1 B1 7.000% 06/25/28		07/01/2019	Paydown		237	237	223	229	0	0	0	0	0	229	0	7	7	10	06/25/2028	5FIM	
79548K-ZL-5	Salomon Bros Mtg Secs VII 1998-AQ1 B1 7.000% 06/25/28		08/01/2019	Paydown		1,528	1,528	1,440	1,479	0	2	0	2	0	1,481	0	47	47	71	06/25/2028	5FIM	
79548K-ZL-5	Salomon Bros Mtg Secs VII 1998-AQ1 B1 7.000% 06/25/28		09/01/2019	Paydown		1,274	1,274	1,201	1,233	0	2	0	2	0	1,235	0	39	39	67	06/25/2028	5FIM	
874074-AA-5	TAL Advantage LLC 2017 1A A 4.500% 04/20/42		07/18/2019	Paydown		41,352	41,352	42,412	0	0	(1,060)	0	(1,060)	0	41,352	0	0	0	465	04/20/2042	1FE	
874074-AA-5	TAL Advantage LLC 2017 1A A 4.500% 04/20/42		08/18/2019	Paydown		43,043	43,043	44,146	0	0	(1,103)	0	(1,103)	0	43,043	0	0	0	646	04/20/2042	1FE	
874074-AA-5	TAL Advantage LLC 2017 1A A 4.500% 04/20/42		09/18/2019	Paydown		42,972	42,972	44,073	0	0	(1,101)	0	(1,101)	0	42,972	0	0	0	806	04/20/2042	1FE	
88315L-AA-6	Textainer Marine Containers Li 18-1A 4.110% 07/20/43		07/20/2019	Paydown		60,000	60,000	60,684	0	0	(684)	0	(684)	0	60,000	0	0	0	925	07/20/2043	1FE	
88315L-AA-6	Textainer Marine Containers Li 18-1A 4.110% 07/20/43		08/20/2019	Paydown		60,000	60,000	60,684	0	0	(683)	0	(683)	0	60,000	0	0	0	1,130	07/20/2043	1FE	
88315L-AA-6	Textainer Marine Containers Li 18-1A 4.110% 07/20/43		09/20/2019	Paydown		60,000	60,000	60,684	0	0	(680)	0	(680)	0	60,000	0	0	0	1,336	07/20/2043	1FE	
883556-BC-5	Thermo Fisher Scientific Inc Sr Nt 3.150% 01/15/23		09/27/2019	Call 104.3180		260,795	250,000	257,193	253,013	0	(563)	0	(563)	0	252,451	0	(2,451)	(2,451)	20,245	01/15/2023	2FE	
92348M-AF-8	Verizon Communication Bd 3.750% 06/15/29		08/15/2019	Call 100.0000		2,000,000	2,000,000	2,000,000	2,000,000	0	0	0	0	0	2,000,000	0	0	0	50,000	06/15/2029	2FE	
293580-AG-4	Enasco PLC Bd 8.000% 01/31/24	D	07/09/2019	Tender Offer		1,442,450	1,697,000	1,438,208	1,748,662	0	(3,180)	305,919	(309,099)	0	1,439,564	0	2,886	2,886	128,972	01/31/2024	4FE	
37956A-AA-1	Global SC Finance SRL 2017 1A A 3.850% 04/15/37	D	07/17/2019	Paydown		37,432	37,432	37,300	0	0	132	0	132	0	37,432	0	0	0	600	04/15/2037	1FE	
37956A-AA-1	Global SC Finance SRL 2017 1A A 3.850% 04/15/37	D	08/17/2019	Paydown		39,299	39,299	39,161	0	0	138	0	138	0	39,299	0	0	0	757	04/15/2037	1FE	
37956A-AA-1	Global SC Finance SRL 2017 1A A 3.850% 04/15/37	D	09/17/2019	Paydown		39,720	39,720	39,580	0	0	140	0	140	0	39,720	0	0	0	892	04/15/2037	1FE	
83999999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						29,752,178	29,783,871	29,485,062	28,118,224	0	(16,516)	305,919	(322,435)	0	29,268,354	0	(55,153)	(55,153)	1,723,249	XXX	XXX	
83999997. Total - Bonds - Part 4						32,562,748	32,594,441	32,287,819	30,940,767	0	(28,494)	305,919	(334,413)	0	32,078,924	0	(55,153)	(55,153)	1,827,962	XXX	XXX	
83999998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
83999999. Total - Bonds						32,562,748	32,594,441	32,287,819	30,940,767	0	(28,494)	305,919	(334,413)	0	32,078,924	0	(55,153)	(55,153)	1,827,962	XXX	XXX	
89999997. Total - Preferred Stocks - Part 4						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
89999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog- nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol /Market Indicator (a)
8999999. Total - Preferred Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
032511-10-7	Anadarko Petroleum Corp CS		08/09/2019	Taxable Exchange	8,700,000	631,484		268,724	381,408	(112,684)	0	0	(112,684)	0	268,724	0	362,761	362,761	5,220		
10922N-10-3	Brighthouse Financial Inc CS		08/08/2019	Barclays Capital, Inc	1,340,000	47,785		60,414	40,843	19,570	0	0	19,570	0	60,414	0	(12,628)	(12,628)	0		
22052L-10-4	Corteva Cs		06/18/2019	Sale of Fractional Shares	0,000	33		1	0	0	0	0	0	0	1	0	32	32	0		
237194-10-5	Darden Restaurants Inc CS		08/08/2019	Barclays Capital, Inc	6,525,000	791,638		266,374	651,587	(385,213)	0	0	(385,213)	0	266,374	0	525,264	525,264	15,530		
26614N-10-2	Dupont De Nemours CS		08/01/2019	Sale of Fractional Shares	0,000	(33)		(2)	0	31	0	0	31	0	(2)	0	(31)	(31)	0		
26614N-10-2	Dupont De Nemours CS		08/30/2019	Sale of Fractional Shares	0,000	0		2	0	0	0	0	0	0	2	0	(2)	(2)	0		
548661-10-7	Lowes Companies Inc CS		08/08/2019	Barclays Capital, Inc	3,600,000	360,306		75,188	332,496	(257,308)	0	0	(257,308)	0	75,188	0	285,118	285,118	5,436		
571903-20-2	Marriott International CS		08/08/2019	Barclays Capital, Inc	6,050,000	787,677		96,740	656,788	(560,049)	0	0	(560,049)	0	96,740	0	690,937	690,937	5,385		
60871R-20-9	Molson Coors Brewing Co CS		08/08/2019	Barclays Capital, Inc	9,200,000	482,927		400,562	516,672	(116,104)	0	0	(116,104)	0	400,568	0	82,359	82,359	7,544		
674599-10-5	Occidental Petroleum Corp CS		08/20/2019	Sale of Fractional Shares	1,000	26		27	0	0	0	0	0	0	27	0	(1)	(1)	0		
744320-10-2	Prudential Financial Inc CS		08/08/2019	Barclays Capital, Inc	6,030,000	518,302		210,761	491,748	(280,985)	0	0	(280,985)	0	210,760	0	307,542	307,542	12,059		
9099999. Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated)						3,620,145	XXX	1,378,791	3,071,542	(1,692,742)	0	0	(1,692,742)	0	1,378,796	0	2,241,351	2,241,351	51,174	XXX	XXX
9799997. Total - Common Stocks - Part 4						3,620,145	XXX	1,378,791	3,071,542	(1,692,742)	0	0	(1,692,742)	0	1,378,796	0	2,241,351	2,241,351	51,174	XXX	XXX
9799998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999. Total - Common Stocks						3,620,145	XXX	1,378,791	3,071,542	(1,692,742)	0	0	(1,692,742)	0	1,378,796	0	2,241,351	2,241,351	51,174	XXX	XXX
9899999. Total - Preferred and Common Stocks						3,620,145	XXX	1,378,791	3,071,542	(1,692,742)	0	0	(1,692,742)	0	1,378,796	0	2,241,351	2,241,351	51,174	XXX	XXX
9999999 - Totals						36,182,893	XXX	33,666,610	34,012,309	(1,692,742)	(28,494)	305,919	(2,027,155)	0	33,457,720	0	2,186,198	2,186,198	1,879,136	XXX	XXX

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

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE American National Life Insurance Company of New York

SCHEDULE DB - PART A - SECTION 1

Showing all Options, Caps, Floors, Collars, Swaps and Forwards Open as of Current Statement Date

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s) (a)	Exchange, Counterparty or Central Clearinghouse	Trade Date	Date of Maturity or Expiration	Number of Contracts	Notional Amount	Strike Price, Rate or Index Received (Paid)	Cumulative Prior Year(s) Initial Cost of Un-discounted Premium (Received) Paid	Current Year Initial Cost of Un-discounted Premium (Received) Paid	Current Year Income	Book/ Adjusted Carrying Value	Code	Fair Value	Unrealized Valuation Increase/ (Decrease)	Total Foreign Exchange Change in B./A.C.V.	Current Year's (Amortization)/ Accretion	Adjustment to Carrying Value of Hedged Item	Potential Exposure	Credit Quality of Reference Entity	Hedge Effectiveness at Inception and at Quarter-end (b)
0079999999. Subtotal - Purchased Options - Hedging Effective										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
S&P 500 INDEX DIGITAL_1YR 853SPA658	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/01/2018	10/01/2019		1,000,000	2,953.84	19,200		0	22,280		22,280	18,923						A
S&P 500 INDEX CALLSPREAD_1YR 853SPA659	Multiple	N/A	EQ/IDX	Wells Fargo ... KB1H1DSPRFMYMCJFXT09	10/01/2018	10/01/2019		1,000,000	2,953.840/3048.890	19,000		0	8,379		8,379	8,379						A
S&P 500 INDEX CALLSPREAD_1YR 853SPA660	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/01/2018	10/01/2019		1,400,000	2,983.080/3281.970	57,400		0	2,258		2,258	2,258						A
S&P 500 INDEX CALLSPREAD_1YR 853SPA667	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/08/2018	10/08/2019		2,300,000	2,913.270/3007.020	44,390		0	49,909		49,909	40,769						A
S&P 500 INDEX CALLSPREAD_1YR 853SPA668	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/08/2018	10/08/2019		3,900,000	2,942.120/3226.810	166,920		0	63,576		63,576	38,633						A
S&P 500 INDEX CLIQUET_1YR 853SPA669	Multiple	N/A	EQ/IDX	Wells Fargo ... KB1H1DSPRFMYMCJFXT09	10/08/2018	10/08/2019		1,000,000	2,913.27	15,700								0	0			A
S&P 500 INDEX CALLSPREAD_1YR 853SPA675	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/16/2018	10/16/2019		1,600,000	2,838.020/2929.340	30,400			44,815		44,815	35,700			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA676	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/16/2018	10/16/2019		2,200,000	2,866.120/3147.390	93,940			95,065		95,065	72,488			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA683	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/24/2018	10/24/2019		2,100,000	2,682.660/2768.980	39,060			65,248		65,248	42,965			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA684	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	10/24/2018	10/24/2019		3,400,000	2,709.220/2981.740	153,000			297,872		297,872	222,684			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA691	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	11/01/2018	11/01/2019		1,600,000	2,767.770/2856.840	29,600			46,451		46,451	33,924						
S&P 500 INDEX CALLSPREAD_1YR 853SPA692	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	11/01/2018	11/01/2019		2,400,000	2,795.180/3074.420	104,400			166,313		166,313	129,386			0	0		
S&P 500 INDEX CLIQUET_1YR 853SPA693	Multiple	N/A	EQ/IDX	Wells Fargo ... KB1H1DSPRFMYMCJFXT09	11/01/2018	11/01/2019		1,000,000	2,767.77	13,600								0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA698	Multiple	N/A	EQ/IDX	Wells Fargo ... KB1H1DSPRFMYMCJFXT09	11/08/2018	11/08/2019		1,000,000	2,834.900/2926.120	19,000			26,240		26,240	20,207			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA699	Multiple	N/A	EQ/IDX	Wells Fargo ... KB1H1DSPRFMYMCJFXT09	11/08/2018	11/08/2019		3,800,000	2,862.970/3152.350	165,680			190,112		190,112	146,676			0	0		
S&P 500 INDEX DIGITAL_1YR 853SPA705	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	11/16/2018	11/15/2019		1,000,000	2,763.63	19,000			16,446		16,446	11,109			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA706	Multiple	N/A	EQ/IDX	Wells Fargo ... KB1H1DSPRFMYMCJFXT09	11/16/2018	11/15/2019		1,100,000	2,763.630/2852.560	20,460			31,066		31,066	22,178			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA707	Multiple	N/A	EQ/IDX	Wells Fargo ... KB1H1DSPRFMYMCJFXT09	11/16/2018	11/15/2019		2,000,000	2,791.000/3070.920	88,800			139,645		139,645	107,216			0	0		
S&P 500 INDEX CALLSPREAD_1YR 853SPA713	Multiple	N/A	EQ/IDX	SunTrust Capital ... IYDOJBGJWY9T8KCSX06	11/26/2018	11/26/2019		2,300,000	2,700.180/2787.070	41,860			66,870		66,870	43,311			0	0		

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Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s) (a)	Exchange, Counterparty or Central Clearinghouse	Trade Date	Date of Maturity or Expiration	Number of Contracts	Notional Amount	Strike Price, Rate or Index Received (Paid)	Cumulative Prior Year(s) Initial Cost of Un-discounted Premium (Received) Paid	Current Year Initial Cost of Un-discounted Premium (Received) Paid	Current Year Income	Book/ Adjusted Carrying Value	Code	Fair Value	Unrealized Valuation Increase/ (Decrease)	Total Foreign Exchange Change in B./A.C.V.	Current Year's (Amortization)/ Accretion	Adjustment to Carrying Value of Hedged Item	Potential Exposure	Credit Quality of Reference Entity	Hedge Effectiveness at Inception and at Quarter-end (b)
S&P 500 INDEX CALLSPREAD_1YR 853SPA714	Multiple	N/A	EQ/IDX	SunTrust Capital	11/26/2018	11/26/2019		3,700,000	2726.920/2997.470	162,060			293,187		293,187	213,650		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA715	Multiple	N/A	EQ/IDX	Wells Fargo	11/26/2018	11/26/2019		1,300,000	2,700.18	17,550						(10)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA723	Multiple	N/A	EQ/IDX	SunTrust Capital	11/30/2018	11/29/2019		1,800,000	2787.770/2877.480	32,940			48,416		48,416	34,869		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA724	Multiple	N/A	EQ/IDX	SunTrust Capital	11/30/2018	11/29/2019		2,900,000	2815.370/3092.220	123,540			185,428		185,428	142,307		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA731	Multiple	N/A	EQ/IDX	Wells Fargo	12/07/2018	12/06/2019		1,700,000	2659.410/2744.990	31,450			49,809		49,809	29,871		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA732	Multiple	N/A	EQ/IDX	SunTrust Capital	12/07/2018	12/06/2019		1,800,000	2685.740/2952.210	79,740			148,899		148,899	103,227		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA738	Multiple	N/A	EQ/IDX	SunTrust Capital	12/14/2018	12/13/2019		1,000,000	2625.950/2710.450	17,800			29,485		29,485	16,555		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA739	Multiple	N/A	EQ/IDX	Wells Fargo	12/14/2018	12/13/2019		3,800,000	2651.950/2918.960	167,580			326,767		326,767	216,617		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA740	Multiple	N/A	EQ/IDX	Wells Fargo	12/14/2018	12/13/2019		1,000,000	2,625.95	12,500			214		214	(1,964)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA746	Multiple	N/A	EQ/IDX	Wells Fargo	12/21/2018	12/20/2019		1,000,000	2440.790/2519.330	17,700			30,917		30,917	12,159		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA747	Multiple	N/A	EQ/IDX	SunTrust Capital	12/21/2018	12/20/2019		2,200,000	2464.950/2698.160	91,520			196,666		196,666	93,973		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA752	Multiple	N/A	EQ/IDX	Wells Fargo	12/28/2018	12/27/2019		1,000,000	2,510.60	13,100						(4,874)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA753	Multiple	N/A	EQ/IDX	Wells Fargo	12/28/2018	12/27/2019		2,900,000	2535.450/2796.710	124,700			271,594		271,594	149,322		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA757	Multiple	N/A	EQ/IDX	SunTrust Capital	01/02/2019	01/02/2020		1,000,000	2535.130/2616.710	17,600			29,882		29,882	12,282		0	0			
S&P 500 INDEX DIGITAL_1YR 853SPA763	Multiple	N/A	EQ/IDX	SunTrust Capital	01/08/2019	01/08/2020		1,000,000	2,600.15	17,500			25,619		25,619	8,119		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA764	Multiple	N/A	EQ/IDX	SunTrust Capital	01/08/2019	01/08/2020		2,700,000	2625.900/2889.520	114,480			230,362		230,362	115,882		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA765	Multiple	N/A	EQ/IDX	Wells Fargo	01/08/2019	01/08/2020		1,400,000	2,600.15	18,620			18,031		18,031	(589)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA772	Multiple	N/A	EQ/IDX	SunTrust Capital	01/16/2019	01/16/2020		2,300,000	2642.260/2733.040	44,160			69,453		69,453	25,293		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA773	Multiple	N/A	EQ/IDX	SunTrust Capital	01/16/2019	01/16/2020		3,200,000	2668.420/2938.140	136,640			262,179		262,179	125,539		0	0			

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S&P 500 INDEX CALLSPREAD_1YR 853SPA778	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	01/24/2019	01/24/2020		1,800,000	2668.750/2757.010		33,840		51,237		51,237	17,397		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA779	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	01/24/2019	01/24/2020		4,300,000	2695.180/2967.870		184,040		340,258		340,258	156,218		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA780	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	01/24/2019	01/24/2020		1,000,000	2,668.75		13,500					(13,500)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA789	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	02/01/2019	01/31/2020		1,000,000	2733.600/2835.090		20,500		30,211		30,211	9,711		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA790	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	02/01/2019	01/31/2020		3,500,000	2760.660/3038.350		145,600		251,044		251,044	105,444		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA795	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	02/08/2019	02/07/2020		1,600,000	2734.960/2836.500		32,800		48,018		48,018	15,218		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA796	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	02/08/2019	02/07/2020		2,800,000	2762.040/3039.600		117,040		199,630		199,630	82,590		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA797	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	02/08/2019	02/07/2020		1,000,000	2,734.96		14,000		2,534		2,534	(11,466)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA803	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	02/15/2019	02/14/2020		2,500,000	2803.360/2907.440		51,250		69,694		69,694	18,444		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA804	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	02/15/2019	02/14/2020		3,000,000	2831.110/3120.880		123,300		190,002		190,002	66,702		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA805	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	02/15/2019	02/14/2020		1,000,000	2,803.36		13,800					(13,800)		0	0			
S&P 500 INDEX DIGITAL_1YR 853SPA810	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	02/22/2019	02/21/2020		1,000,000	2,820.60		18,200		13,905		13,905	(4,295)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA811	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	02/22/2019	02/21/2020		1,000,000	2820.600/2925.320		20,800		27,213		27,213	6,413		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA812	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	02/22/2019	02/21/2020		3,000,000	2848.520/3140.920		122,400		183,163		183,163	60,763		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA819	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	03/01/2019	02/28/2020		1,000,000	2831.730/2925.650		19,300		24,071		24,071	4,771		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA820	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	03/01/2019	02/28/2020		2,300,000	2859.760/3100.040		84,870		119,645		119,645	34,775		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA827	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	03/08/2019	03/06/2020		1,000,000	2770.500/2859.650		18,700		24,896		24,896	6,196		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA828	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	03/08/2019	03/06/2020		2,900,000	2797.930/3037.680		111,650		171,035		171,035	59,385		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA834	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	03/15/2019	03/13/2020		1,700,000	2850.700/2943.850		31,960		39,187		39,187	7,227		0	0			

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S&P 500 INDEX CALLSPREAD_1YR 853SPA835	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	03/15/2019	03/13/2020		3,100,000	2878.930/3123.920		114,390		156,674		156,674	42,284		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA836	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	03/15/2019	03/13/2020		1,000,000	2,850.70		13,900		362		362	(13,538)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA842	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	03/22/2019	03/20/2020		1,500,000	2828.720/2922.260		28,500		35,828		35,828	7,328		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA843	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	03/22/2019	03/20/2020		3,800,000	2856.720/3107.390		145,920		205,934		205,934	60,014		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA852	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	04/01/2019	04/01/2020		1,000,000	2895.860/2988.470		18,600		21,138		21,138	2,538		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA853	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	04/01/2019	04/01/2020		2,800,000	2924.530/3172.260		102,200		127,553		127,553	25,353		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA860	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	04/08/2019	04/08/2020		1,500,000	2924.730/3015.950		27,000		29,531		29,531	2,531		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA861	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	04/08/2019	04/08/2020		5,100,000	2953.690/3205.040		188,190		216,157		216,157	27,967		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA862	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	04/08/2019	04/08/2020		1,000,000	2,924.73		14,700		6,571		6,571	(8,129)		0	0			
S&P 500 INDEX DIGITAL_1YR 853SPA868	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	04/16/2019	04/16/2020		1,000,000	2,936.13		18,600		11,833		11,833	(6,767)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA869	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	04/16/2019	04/16/2020		1,100,000	2936.130/3030.030		20,460		21,717		21,717	1,257		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA870	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	04/16/2019	04/16/2020		3,600,000	2965.200/3215.790		131,040		147,754		147,754	16,714		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA871	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	04/24/2019	04/24/2020		1,000,000	2956.520/3048.730		18,400		18,585		18,585	185		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA872	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	04/24/2019	04/24/2020		3,900,000	2985.800/3235.200		141,570		150,171		150,171	8,601		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA887	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	05/01/2019	05/01/2020		1,600,000	2952.970/3045.360		29,280		30,015		30,015	735		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA888	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	05/01/2019	05/01/2020		3,200,000	2982.200/3233.940		117,760		126,151		126,151	8,391		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA889	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	05/01/2019	05/01/2020		1,000,000	2,952.97		15,100		167		167	(14,933)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA895	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	05/08/2019	05/08/2020		1,400,000	2908.210/3001.220		26,320		28,770		28,770	2,450		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA896	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	05/08/2019	05/08/2020		3,900,000	2937.010/3186.940		151,710		175,279		175,279	23,569		0	0			

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S&P 500 INDEX CALLSPREAD_1YR 853SPA904	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	05/16/2019	05/15/2020		2,300,000	2905.080/2992.810		40,940		44,946		44,946	4,006		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA905	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	05/16/2019	05/15/2020		5,400,000	2933.850/3182.070		203,580		244,133		244,133	40,553		0	0			
S&P 500 INDEX DIGITAL_1YR 853SPA909	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	05/24/2019	05/22/2020		1,000,000	2,854.32		18,000		12,468		12,468	(5,532)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA910	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	05/24/2019	05/22/2020		1,500,000	2854.320/2945.880		28,050		33,003		33,003	4,953		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA911	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	05/24/2019	05/22/2020		4,800,000	2882.580/3129.300		183,840		243,554		243,554	59,714		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA912	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	05/24/2019	05/22/2020		1,000,000	2,854.32		13,900		8,568		8,568	(5,332)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA921	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	05/31/2019	05/29/2020		1,000,000	2779.580/2866.820		17,700		23,168		23,168	5,468		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA922	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	05/31/2019	05/29/2020		3,400,000	2807.100/3017.630		118,320		173,124		173,124	54,804		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA928	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	06/07/2019	06/05/2020		1,000,000	2902.070/2990.000		17,300		19,610		19,610	2,310		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA929	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	06/07/2019	06/05/2020		2,700,000	2930.810/3150.330		91,260		112,974		112,974	21,714		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA935	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	06/14/2019	06/12/2020		1,000,000	2915.850/3004.770		17,400		19,338		19,338	1,938		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA936	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	06/14/2019	06/12/2020		3,600,000	2944.720/3170.190		122,400		149,062		149,062	26,662		0	0			
S&P 500 INDEX DIGITAL_1YR 853SPA943	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	06/24/2019	06/24/2020		1,000,000	2,974.80		17,400		16,984		16,984	(416)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA944	Multiple	N/A	EQ/IDX	SunTrust Capital IYDOJBGJWY9T8XKCSX06	06/24/2019	06/24/2020		1,800,000	2974.800/3067.290		31,680		32,347		32,347	667		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA945	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	06/24/2019	06/24/2020		3,300,000	3004.260/3228.990		110,550		117,446		117,446	6,896		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA946	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	06/24/2019	06/24/2020		1,000,000	2,974.80		15,600		1,925		1,925	(13,675)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA954	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	07/01/2019	07/01/2020		2,400,000	2993.970/3087.940		43,440		42,131		42,131	(1,309)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA955	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	07/01/2019	07/01/2020		4,000,000	3023.620/3254.240		136,400		137,645		137,645	1,245		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA956	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYJLN8C3868	07/01/2019	07/01/2020		1,000,000	2,993.97		15,400		6,006		6,006	(9,394)		0	0			

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SCHEDULE DB - PART A - SECTION 1

Showing all Options, Caps, Floors, Collars, Swaps and Forwards Open as of Current Statement Date

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s) (a)	Exchange, Counterparty or Central Clearinghouse	Trade Date	Date of Maturity or Expiration	Number of Contracts	Notional Amount	Strike Price, Rate or Index Received (Paid)	Cumulative Prior Year(s) Initial Cost of Un-discounted Premium (Received) Paid	Current Year Initial Cost of Un-discounted Premium (Received) Paid	Current Year Income	Book/ Adjusted Carrying Value	Code	Fair Value	Unrealized Valuation Increase/ (Decrease)	Total Foreign Exchange Change in B./A.C.V.	Current Year's (Amortization)/ Accretion	Adjustment to Carrying Value of Hedged Item	Potential Exposure	Credit Quality of Reference Entity	Hedge Effectiveness at Inception and at Quarter-end (b)
S&P 500 INDEX CALLSPREAD_1YR 853SPA962	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	07/08/2019	07/08/2020		1,300,000	3005.710/3092.010		21,840		20,602		20,602	(1,238)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA963	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	07/08/2019	07/08/2020		2,100,000	3035.470/3262.830		70,560		69,428		69,428	(1,132)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA968	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	07/16/2019	07/16/2020		1,600,000	3034.080/3129.610		29,120		26,119		26,119	(3,001)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA969	Multiple	N/A	EQ/IDX	SunTrust Capital IYDQJBGJWY9T8XKCSX06	07/16/2019	07/16/2020		2,300,000	3064.120/3293.030		77,050		70,331		70,331	(6,719)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA975	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	07/24/2019	07/24/2020		1,500,000	3049.760/3143.660		27,300		23,273		23,273	(4,027)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA976	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	07/24/2019	07/24/2020		3,200,000	3079.950/3299.780		106,240		91,217		91,217	(15,023)		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPA977	Multiple	N/A	EQ/IDX	Wells Fargo KB1H1DSPRFMYMCUFXT09	07/24/2019	07/24/2020		1,000,000	3,049.76		14,600		331		331	(14,269)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA987	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	08/05/2019	08/05/2020		1,300,000	2901.630/2952.560		13,650		15,059		15,059	1,409		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA988	Multiple	N/A	EQ/IDX	SunTrust Capital IYDQJBGJWY9T8XKCSX06	08/05/2019	08/05/2020		2,600,000	2930.080/3120.960		79,040		98,799		98,799	19,759		0	0			
S&P 500 INDEX DIGITAL_1YR 853SPA993	Multiple	N/A	EQ/IDX	SunTrust Capital IYDQJBGJWY9T8XKCSX06	08/08/2019	08/07/2020		1,000,000	2,967.47		17,200		10,793		10,793	(6,407)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA994	Multiple	N/A	EQ/IDX	SunTrust Capital IYDQJBGJWY9T8XKCSX06	08/08/2019	08/07/2020		1,600,000	2967.470/3059.730		28,640		29,047		29,047	407		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPA995	Multiple	N/A	EQ/IDX	SunTrust Capital IYDQJBGJWY9T8XKCSX06	08/08/2019	08/07/2020		2,400,000	2996.850/3214.270		81,360		86,785		86,785	5,425		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB002	Multiple	N/A	EQ/IDX	SunTrust Capital IYDQJBGJWY9T8XKCSX06	08/16/2019	08/14/2020		1,500,000	2917.570/3008.270		27,000		29,148		29,148	2,148		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB003	Multiple	N/A	EQ/IDX	SunTrust Capital IYDQJBGJWY9T8XKCSX06	08/16/2019	08/14/2020		2,700,000	2946.450/3160.790		93,150		108,230		108,230	15,080		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPB004	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	08/16/2019	08/14/2020		1,000,000	2,917.57		14,600		7,926		7,926	(6,674)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB010	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	08/23/2019	08/21/2020		1,200,000	2875.580/2963.840		21,360		24,153		24,153	2,793		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB011	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	08/23/2019	08/21/2020		2,900,000	2904.050/3120.150		104,690		126,973		126,973	22,283		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPB012	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	08/23/2019	08/21/2020		1,000,000	2,875.58		12,500		2,558		2,558	(9,942)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB021	Multiple	N/A	EQ/IDX	Credit Suisse E58DKGMJYYYYJLN8C3868	08/30/2019	08/28/2020		1,200,000	2955.720/3050.830		22,080		22,857		22,857	777		0	0			

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SCHEDULE DB - PART A - SECTION 1

Showing all Options, Caps, Floors, Collars, Swaps and Forwards Open as of Current Statement Date

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s) (a)	Exchange, Counterparty or Central Clearinghouse	Trade Date	Date of Maturity or Expiration	Number of Contracts	Notional Amount	Strike Price, Rate or Index Received (Paid)	Cumulative Prior Year(s) Initial Cost of Un-discounted Premium (Received) Paid	Current Year Initial Cost of Un-discounted Premium (Received) Paid	Current Year Income	Book/ Adjusted Carrying Value	Code	Fair Value	Unrealized Valuation Increase/ (Decrease)	Total Foreign Exchange Change in B./A.C.V.	Current Year's (Amortization)/ Accretion	Adjustment to Carrying Value of Hedged Item	Potential Exposure	Credit Quality of Reference Entity	Hedge Effectiveness at Inception and at Quarter-end (b)
S&P 500 INDEX CALLSPREAD_1YR 853SPB022	Multiple	N/A	EQ/IDX	SunTrust Capital	08/30/2019	08/28/2020		3,000,000	2984.990/3202.430		103,500		112,236		112,236	8,736		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB027	Multiple	N/A	EQ/IDX	Wells Fargo	09/06/2019	09/04/2020		1,100,000	3008.500/3104.710		20,570		19,247		19,247	(1,323)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB028	Multiple	N/A	EQ/IDX	Wells Fargo	09/06/2019	09/04/2020		3,100,000	3038.280/3243.220		101,060		97,849		97,849	(3,211)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB034	Multiple	N/A	EQ/IDX	Credit Suisse	09/16/2019	09/16/2020		1,000,000	3027.940/3121.180		18,200		16,383		16,383	(1,817)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB035	Multiple	N/A	EQ/IDX	Wells Fargo	09/16/2019	09/16/2020		3,000,000	3057.920/3276.770		103,500		95,223		95,223	(8,277)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB041	Multiple	N/A	EQ/IDX	SunTrust Capital	09/24/2019	09/24/2020		1,700,000	2996.270/3076.660		27,200		25,757		25,757	(1,443)		0	0			
S&P 500 INDEX CALLSPREAD_1YR 853SPB042	Multiple	N/A	EQ/IDX	SunTrust Capital	09/24/2019	09/24/2020		2,400,000	3025.930/3243.380		83,520		82,482		82,482	(1,038)		0	0			
S&P 500 INDEX CLIQUET_1YR 853SPB043	Multiple	N/A	EQ/IDX	Wells Fargo	09/24/2019	09/24/2020		1,000,000	2,996.27		12,300		6,707		6,707	(5,594)		0	0			
0089999999. Subtotal - Purchased Options - Hedging Other - Call Options and Warrants										2,033,590	5,425,180	0	9,603,331	XXX	9,603,331	3,266,731	0	0	0	0	XXX	XXX
0149999999. Subtotal - Purchased Options - Hedging Other										2,033,590	5,425,180	0	9,603,331	XXX	9,603,331	3,266,731	0	0	0	0	XXX	XXX
0219999999. Subtotal - Purchased Options - Replications										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0289999999. Subtotal - Purchased Options - Income Generation										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0359999999. Subtotal - Purchased Options - Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0369999999. Total Purchased Options - Call Options and Warrants										2,033,590	5,425,180	0	9,603,331	XXX	9,603,331	3,266,731	0	0	0	0	XXX	XXX
0379999999. Total Purchased Options - Put Options										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0389999999. Total Purchased Options - Caps										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0399999999. Total Purchased Options - Floors										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0409999999. Total Purchased Options - Collars										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0419999999. Total Purchased Options - Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0429999999. Total Purchased Options										2,033,590	5,425,180	0	9,603,331	XXX	9,603,331	3,266,731	0	0	0	0	XXX	XXX
0499999999. Subtotal - Written Options - Hedging Effective										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0569999999. Subtotal - Written Options - Hedging Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0639999999. Subtotal - Written Options - Replications										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0709999999. Subtotal - Written Options - Income Generation										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0779999999. Subtotal - Written Options - Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0789999999. Total Written Options - Call Options and Warrants										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0799999999. Total Written Options - Put Options										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0809999999. Total Written Options - Caps										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0819999999. Total Written Options - Floors										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0829999999. Total Written Options - Collars										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0839999999. Total Written Options - Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0849999999. Total Written Options										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0909999999. Subtotal - Swaps - Hedging Effective										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
0969999999. Subtotal - Swaps - Hedging Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1029999999. Subtotal - Swaps - Replication										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1089999999. Subtotal - Swaps - Income Generation										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1149999999. Subtotal - Swaps - Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1159999999. Total Swaps - Interest Rate										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX

SCHEDULE DB - PART A - SECTION 1

Showing all Options, Caps, Floors, Collars, Swaps and Forwards Open as of Current Statement Date

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Description	Description of Item(s) Hedged, Used for Income Generation or Replicated	Schedule/ Exhibit Identifier	Type(s) of Risk(s) (a)	Exchange, Counterparty or Central Clearinghouse	Trade Date	Date of Maturity or Expiration	Number of Contracts	Notional Amount	Strike Price, Rate or Index Received (Paid)	Cumulative Prior Year(s) Initial Cost of Un-discounted Premium (Received) Paid	Current Year Initial Cost of Un-discounted Premium (Received) Paid	Current Year Income	Book/ Adjusted Carrying Value	Code	Fair Value	Unrealized Valuation Increase/ (Decrease)	Total Foreign Exchange Change in B./A.C.V.	Current Year's (Amorti-zation)/ Accretion	Adjustment to Carrying Value of Hedged Item	Potential Exposure	Credit Quality of Reference Entity	Hedge Effectiveness at Inception and at Quarter-end (b)
1169999999. Total Swaps - Credit Default										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1179999999. Total Swaps - Foreign Exchange										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1189999999. Total Swaps - Total Return										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1199999999. Total Swaps - Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1209999999. Total Swaps										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1269999999. Subtotal - Forwards										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1399999999. Subtotal - Hedging Effective										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1409999999. Subtotal - Hedging Other										2,033,590	5,425,180	0	9,603,331	XXX	9,603,331	3,266,731	0	0	0	0	XXX	XXX
1419999999. Subtotal - Replication										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1429999999. Subtotal - Income Generation										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1439999999. Subtotal - Other										0	0	0	0	XXX	0	0	0	0	0	0	XXX	XXX
1449999999 - Totals										2,033,590	5,425,180	0	9,603,331	XXX	9,603,331	3,266,731	0	0	0	0	XXX	XXX

(a)	Code	Description of Hedged Risk(s)
(b)	Code	Financial or Economic Impact of the Hedge at the End of the Reporting Period

Schedule DB - Part B - Section 1 - Futures Contracts Open

N O N E

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made

N O N E

SCHEDULE DB - PART D - SECTION 1

[illegible]

Collateral for Derivative Instruments Open as of Current Statement Date

Collateral Pledged by Reporting Entity

1	2	3	4	5	6	7	8	9
Exchange, Counterparty or Central Clearinghouse	Type of Asset Pledged	CUSIP Identification	Description	Fair Value	Par Value	Book/Adjusted Carrying Value	Maturity Date	Type of Margin (I, V or IV)
			NONE					
0199999999 - Total							XXX	XXX

Collateral Pledged to Reporting Entity

1	2	3	4	5	6	7	8	9
Exchange, Counterparty or Central Clearinghouse	Type of Asset Pledged	CUSIP Identification	Description	Fair Value	Par Value	Book/Adjusted Carrying Value	Maturity Date	Type of Margin (I, V or IV)
CREDIT SUISSE	E58DK6MYYYYJLN8C3868	Other	Money Market Fund	1,590,000	1,590,000	XXX	01/01/2020	V
SUNTRUST CAPITAL	IYDQJBGJWY9T8KCSX06	Other	Money Market Fund	5,080,000	5,080,000	XXX	01/01/2020	V
WELLS FARGO	KB1H1DSPRFMYMCUFXT09	Other	Money Market Fund	3,040,000	3,040,000	XXX	01/01/2020	V

Schedule DL - Part 1 - Reinvested Collateral Assets Owned

N O N E

Schedule DL - Part 2 - Reinvested Collateral Assets Owned

N O N E

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1	2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
					6	7	8	
					First Month	Second Month	Third Month	
Depository	Code	Rate of Interest	Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date				*
Key Bank, NA Albany, NY					329,861	435,953	517,045	XXX
Moody National Bank Galveston, TX					1,061,766	683,127	1,587,737	XXX
Wells Fargo Houston, TX					(3,439,260)	(5,908,683)	(6,172,734)	XXX
0199998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX						XXX
0199999. Totals - Open Depositories	XXX	XXX	0	0	(2,047,633)	(4,789,603)	(4,067,952)	XXX
0299998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Suspended Depositories	XXX	XXX						XXX
0299999. Totals - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0399999. Total Cash on Deposit	XXX	XXX	0	0	(2,047,633)	(4,789,603)	(4,067,952)	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX				XXX
0599999. Total - Cash	XXX	XXX	0	0	(2,047,633)	(4,789,603)	(4,067,952)	XXX

SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1	2	3	4	5	6	7	8	9
CUSIP	Description	Code	Date Acquired	Rate of Interest	Maturity Date	Book/Adjusted Carrying Value	Amount of Interest Due and Accrued	Amount Received During Year
0599999. Total - U.S. Government Bonds						0	0	0
1099999. Total - All Other Government Bonds						0	0	0
1799999. Total - U.S. States, Territories and Possessions Bonds						0	0	0
2499999. Total - U.S. Political Subdivisions Bonds						0	0	0
3199999. Total - U.S. Special Revenues Bonds						0	0	0
.....	American Electric Power Co CP09/24/2019	2.260	10/24/2019	2,997,6640	1,317
.....	FMC Technologies CP09/16/2019	2.300	10/01/2019	7,885,0000	7,556
.....	FMC Technologies CP09/24/2019	2.200	10/10/2019	3,498,0740	1,496
.....	FMC Technologies CP09/24/2019	2.230	10/11/2019	2,748,2960	1,192
.....	General Mills Inc CP09/24/2019	2.250	10/04/2019	1,499,7190	656
.....	Orange & Rockland Utilities CP09/25/2019	2.150	10/07/2019	4,626,3400	1,659
3299999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated) - Issuer Obligations						23,255,093	0	13,876
3899999. Total - Industrial and Miscellaneous (Unaffiliated) Bonds						23,255,093	0	13,876
4899999. Total - Hybrid Securities						0	0	0
5599999. Total - Parent, Subsidiaries and Affiliates Bonds						0	0	0
6099999. Subtotal - SVO Identified Funds						0	0	0
6599999. Subtotal - Bank Loans						0	0	0
7799999. Total - Issuer Obligations						23,255,093	0	13,876
7899999. Total - Residential Mortgage-Backed Securities						0	0	0
7999999. Total - Commercial Mortgage-Backed Securities						0	0	0
8099999. Total - Other Loan-Backed and Structured Securities						0	0	0
8199999. Total - SVO Identified Funds						0	0	0
8299999. Total - Bank Loans						0	0	0
8399999. Total Bonds						23,255,093	0	13,876
61747C-70-7	Morgan Stanley Liq MM09/30/2019	0.000	11,240,6480	5,569
.....	Morgan Stanley Institutional MM09/30/2019	0.000	4,393,6360	0
8599999. Subtotal - Exempt Money Market Mutual Funds - as Identified by the SVO						15,634,284	0	5,569
99C001-55-1	BONY Cash Reserve Fund MM09/30/2019	0.000	4490	53
8699999. Subtotal - All Other Money Market Mutual Funds						449	0	53
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8899999 - Total Cash Equivalents						38,889,826	0	19,498