



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

QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2020

OF THE CONDITION AND AFFAIRS OF THE

American Equity Investment Life Insurance Company

NAIC Group Code 2658 (Current) 2658 (Prior) NAIC Company Code 92738 Employer's ID Number 42-1153896

Organized under the Laws of Iowa, State of Domicile or Port of Entry IA

Country of Domicile United States of America

Licensed as business type: Life, Accident and Health [X] Fraternal Benefit Societies []

Incorporated/Organized 12/19/1980 Commenced Business 01/01/1981

Statutory Home Office 6000 Westown Parkway, West Des Moines, IA, US 50266-5921 (Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 6000 Westown Parkway, West Des Moines, IA, US 50266-5921 (Street and Number) (City or Town, State, Country and Zip Code) 515-221-0002 (Area Code) (Telephone Number)

Mail Address PO Box 71216, Des Moines, IA, US 50325 (Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 6000 Westown Parkway, West Des Moines, IA, US 50266-5921 (Street and Number) (City or Town, State, Country and Zip Code) 515-221-0002 (Area Code) (Telephone Number)

Internet Website Address www.american-equity.com

Statutory Statement Contact Scott Anthony Samuelson, 515-457-1718 (Name) (Area Code) (Telephone Number) ssamuelson@american-equity.com, 515-440-2715 (E-mail Address) (FAX Number)

OFFICERS

President Ronald James Grensteiner Chief Financial Officer & Treasurer Ted Morris Johnson
Executive Vice President, General Counsel & Secretary Renee Denise Montz Senior Vice President & Chief Corporate Actuary Christopher Alan Plucar #

OTHER

Anant Bhalla #

DIRECTORS OR TRUSTEES

Anant Bhalla # Ronald James Grensteiner Ted Morris Johnson
Jeff David Lorenzen Renee Denise Montz

State of Iowa County of Polk SS:

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.

Ronald James Grensteiner President

Renee Denise Montz Executive Vice President & Secretary

Ted Morris Johnson Chief Financial Officer & Treasurer

Subscribed and sworn to before me this 6th day of November 2020

- 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.....

Rebecca S Modlin

March 3, 2023

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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	47,947,718,404		47,947,718,404	49,336,080,911
2. Stocks:				
2.1 Preferred stocks	18,167,818		18,167,818	18,628,368
2.2 Common stocks	248,967,244		248,967,244	248,256,427
3. Mortgage loans on real estate:				
3.1 First liens	4,343,490,697		4,343,490,697	3,873,433,951
3.2 Other than first liens.....				
4. Real estate:				
4.1 Properties occupied by the company (less \$ encumbrances)				
4.2 Properties held for the production of income (less \$ encumbrances)				
4.3 Properties held for sale (less \$ encumbrances)				
5. Cash (\$(21,427,504)), cash equivalents (\$2,017,782,016) and short-term investments (\$41,105,874)	2,037,460,386		2,037,460,386	1,437,047,768
6. Contract loans (including \$ premium notes)	801,916		801,916	745,283
7. Derivatives	349,041,445		349,041,445	394,697,120
8. Other invested assets	966,322,876	316,878	966,005,998	900,634,943
9. Receivables for securities	12,143,071		12,143,071	18,988,080
10. Securities lending reinvested collateral assets	732,725		732,725	495,100,995
11. Aggregate write-ins for invested assets				
12. Subtotals, cash and invested assets (Lines 1 to 11)	55,924,846,582	316,878	55,924,529,704	56,723,613,846
13. Title plants less \$ charged off (for Title insurers only)				
14. Investment income due and accrued	459,907,711		459,907,711	484,470,534
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection	1,116,592	693,590	423,002	577,542
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ earned but unbilled premiums)	1,135,369		1,135,369	1,178,546
15.3 Accrued retrospective premiums (\$) and contracts subject to redetermination (\$)				
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers				
16.2 Funds held by or deposited with reinsured companies				
16.3 Other amounts receivable under reinsurance contracts	13,202,750		13,202,750	6,414,706
17. Amounts receivable relating to uninsured plans				
18.1 Current federal and foreign income tax recoverable and interest thereon	50,517,087		50,517,087	
18.2 Net deferred tax asset	73,425,507		73,425,507	92,633,092
19. Guaranty funds receivable or on deposit				
20. Electronic data processing equipment and software	4,661,935	2,965,021	1,696,914	2,236,512
21. Furniture and equipment, including health care delivery assets (\$)	2,277,459	2,277,459		
22. Net adjustment in assets and liabilities due to foreign exchange rates				
23. Receivables from parent, subsidiaries and affiliates	804,616		804,616	193,580
24. Health care (\$) and other amounts receivable				
25. Aggregate write-ins for other than invested assets	376,282,929	4,071,319	372,211,610	361,861,847
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25)	56,908,178,537	10,324,267	56,897,854,270	57,673,180,205
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts				
28. Total (Lines 26 and 27)	56,908,178,537	10,324,267	56,897,854,270	57,673,180,205
DETAILS OF WRITE-INS				
1101.				
1102.				
1103.				
1198. Summary of remaining write-ins for Line 11 from overflow page				
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)				
2501. COLI	370,949,924		370,949,924	361,469,580
2502. PREPAID ASSETS	4,003,255	4,003,255		
2503. MISCELLANEOUS RECEIVABLES	1,299,461	68,064	1,231,397	16,908
2598. Summary of remaining write-ins for Line 25 from overflow page	30,289		30,289	375,359
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	376,282,929	4,071,319	372,211,610	361,861,847

LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31 Prior Year
1. Aggregate reserve for life contracts \$ 50,539,407,906 less \$ included in Line 6.3 (including \$ 3,228,489,161 Modco Reserve)	50,539,407,906	50,501,387,086
2. Aggregate reserve for accident and health contracts (including \$ Modco Reserve)	567,257	623,337
3. Liability for deposit-type contracts (including \$ 378,179 Modco Reserve).....	225,929,039	237,059,160
4. Contract claims:		
4.1 Life	147,369,804	121,806,048
4.2 Accident and health	7,500	5,000
5. Policyholders' dividends/refunds to members \$ and coupons \$ due and unpaid		
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)		
6.2 Policyholders' dividends and refunds to members not yet apportioned (including \$ Modco)		
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 \$ 2,187 accident and health premiums	21,466	21,191
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 \$ is for medical loss ratio rebate per the Public Health Service Act		
9.3 Other amounts payable on reinsurance, including \$ assumed and \$ ceded		
9.4 Interest Maintenance Reserve	45,590,794	33,556,163
10. Commissions to agents due or accrued-life and annuity contracts \$ 5,947,999 , accident and health \$ and deposit-type contract funds \$	5,947,999	23,484,384
11. Commissions and expense allowances payable on reinsurance assumed		
12. General expenses due or accrued	11,465,879	13,603,092
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	275,037	352,949
15.1 Current federal and foreign income taxes, including \$ on realized capital gains (losses)		
15.2 Net deferred tax liability		
16. Unearned investment income		
17. Amounts withheld or retained by reporting entity as agent or trustee	5,877,872	8,406,709
18. Amounts held for agents' account, including \$ agents' credit balances		
19. Remittances and items not allocated	23,073,184	26,854,375
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	303,532,213	326,158,432
24.02 Reinsurance in unauthorized and certified (\$) companies		
24.03 Funds held under reinsurance treaties with unauthorized and certified (\$) reinsurers	894,038,539	979,027,800
24.04 Payable to parent, subsidiaries and affiliates	148,967	1,116,108
24.05 Drafts outstanding		
24.06 Liability for amounts held under uninsured plans		
24.07 Funds held under coinsurance		
24.08 Derivatives		
24.09 Payable for securities	20,456,519	29,516,193
24.10 Payable for securities lending	732,725	495,100,995
24.11 Capital notes \$ and interest thereon \$		
25. Aggregate write-ins for liabilities	950,109,765	1,384,905,363
26. Total liabilities excluding Separate Accounts business (Lines 1 to 25)	53,174,552,465	54,182,984,385
27. From Separate Accounts Statement		
28. Total liabilities (Lines 26 and 27)	53,174,552,465	54,182,984,385
29. Common capital stock	2,500,000	2,500,000
30. Preferred capital stock		
31. Aggregate write-ins for other than special surplus funds		
32. Surplus notes	51,000,000	51,000,000
33. Gross paid in and contributed surplus	1,570,599,514	1,365,505,549
34. Aggregate write-ins for special surplus funds		
35. Unassigned funds (surplus)	2,099,202,291	2,071,190,271
36. Less treasury stock, at cost:		
36.1 shares common (value included in Line 29 \$)		
36.2 shares preferred (value included in Line 30 \$)		
37. Surplus (Total Lines 31+32+33+34+35-36) (including \$ in Separate Accounts Statement)	3,720,801,805	3,487,695,820
38. Totals of Lines 29, 30 and 37	3,723,301,805	3,490,195,820
39. Totals of Lines 28 and 38 (Page 2, Line 28, Col. 3)	56,897,854,270	57,673,180,205
DETAILS OF WRITE-INS		
2501. INTEREST RATE DERIVATIVE COLLATERAL	841,571,886	1,348,306,812
2502. AMOUNT DUE REINSURERS	106,599,777	34,356,551
2503. SETTLEMENT - SC	1,870,000	900,000
2598. Summary of remaining write-ins for Line 25 from overflow page	68,102	1,342,000
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	950,109,765	1,384,905,363
3101.		
3102.		
3103.		
3198. Summary of remaining write-ins for Line 31 from overflow page		
3199. Totals (Lines 3101 through 3103 plus 3198)(Line 31 above)		
3401.		
3402.		
3403.		
3498. Summary of remaining write-ins for Line 34 from overflow page		
3499. Totals (Lines 3401 through 3403 plus 3498)(Line 34 above)		

SUMMARY OF OPERATIONS

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Premiums and annuity considerations for life and accident and health contracts	1,370,712,946	3,255,028,081	4,015,838,158
2. Considerations for supplementary contracts with life contingencies	8,099,838	8,727,222	12,157,762
3. Net investment income	1,727,102,658	1,507,888,603	2,215,862,864
4. Amortization of Interest Maintenance Reserve (IMR)	(1,858,941)	(2,625,257)	(4,430,686)
5. Separate Accounts net gain from operations excluding unrealized gains or losses			
6. Commissions and expense allowances on reinsurance ceded	22,711,426	29,290,701	40,134,941
7. Reserve adjustments on reinsurance ceded	(150,800,407)	14,706,692	50,581,527
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	18,090	112,446	123,115
9. Totals (Lines 1 to 8.3)	2,975,985,610	4,813,128,488	6,330,267,681
10. Death benefits	1,437,365	1,495,096	1,963,177
11. Matured endowments (excluding guaranteed annual pure endowments)			
12. Annuity benefits	814,222,932	666,658,415	911,947,873
13. Disability benefits and benefits under accident and health contracts	82,427	84,925	108,026
14. Coupons, guaranteed annual pure endowments and similar benefits			
15. Surrender benefits and withdrawals for life contracts	1,718,239,850	1,588,517,739	2,187,907,125
16. Group conversions			
17. Interest and adjustments on contract or deposit-type contract funds	7,425,291	7,242,867	9,789,660
18. Payments on supplementary contracts with life contingencies	13,873,395	27,256,564	18,392,541
19. Increase in aggregate reserves for life and accident and health contracts	37,964,740	1,992,916,585	2,464,871,227
20. Totals (Lines 10 to 19)	2,593,246,000	4,284,172,191	5,594,979,629
21. Commissions on premiums, annuity considerations, and deposit-type contract funds (direct business only)	168,602,145	318,637,050	394,476,819
22. Commissions and expense allowances on reinsurance assumed	4,537,342	15,157,212	20,891,909
23. General insurance expenses and fraternal expenses	78,899,595	74,636,975	100,296,334
24. Insurance taxes, licenses and fees, excluding federal income taxes	10,964,810	9,574,651	12,487,062
25. Increase in loading on deferred and uncollected premiums	(5,591)	(12,857)	(7,177)
26. Net transfers to or (from) Separate Accounts net of reinsurance			
27. Aggregate write-ins for deductions	44,355,566	35,065,307	24,069,923
28. Totals (Lines 20 to 27)	2,900,599,867	4,737,230,529	6,147,194,499
29. Net gain from operations before dividends to policyholders and federal income taxes (Line 9 minus Line 28)	75,385,743	75,897,959	183,073,182
30. Dividends to policyholders and refunds to members			
31. Net gain from operations after dividends to policyholders, refunds to members and before federal income taxes (Line 29 minus Line 30)	75,385,743	75,897,959	183,073,182
32. Federal and foreign income taxes incurred (excluding tax on capital gains)	(39,705,089)	11,114,402	15,934,403
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)	115,090,832	64,783,557	167,138,779
34. Net realized capital gains (losses) (excluding gains (losses) transferred to the IMR) less capital gains tax of \$ (18,984,906) (excluding taxes of \$ 2,704,930 transferred to the IMR)	(71,419,408)	(9,229,629)	(23,829,625)
35. Net income (Line 33 plus Line 34)	43,671,424	55,553,928	143,309,154
CAPITAL AND SURPLUS ACCOUNT			
36. Capital and surplus, December 31, prior year	3,490,195,820	3,251,880,895	3,251,880,895
37. Net income (Line 35)	43,671,424	55,553,928	143,309,154
38. Change in net unrealized capital gains (losses) less capital gains tax of \$ (3,103,082)	(11,933,088)	19,780,961	20,036,502
39. Change in net unrealized foreign exchange capital gain (loss)			
40. Change in net deferred income tax	(22,310,667)	(23,768,155)	(40,254,715)
41. Change in nonadmitted assets	1,929,496	9,323,851	8,787,334
42. Change in liability for reinsurance in unauthorized and certified companies			
43. Change in reserve on account of change in valuation basis, (increase) or decrease			
44. Change in asset valuation reserve	22,626,219	(47,164,774)	(41,450,597)
45. Change in treasury stock			
46. Surplus (contributed to) withdrawn from Separate Accounts during period			
47. Other changes in surplus in Separate Accounts Statement			
48. Change in surplus notes			
49. Cumulative effect of changes in accounting principles			
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	200,000,000	50,000,000	50,000,000
51.2 Transferred to capital (Stock Dividend)			
51.3 Transferred from capital			
51.4 Change in surplus as a result of reinsurance	(5,971,364)	91,560,919	89,570,465
52. Dividends to stockholders			
53. Aggregate write-ins for gains and losses in surplus	5,093,965	7,060,600	8,316,782
54. Net change in capital and surplus for the year (Lines 37 through 53)	233,105,985	162,347,330	238,314,925
55. Capital and surplus, as of statement date (Lines 36 + 54)	3,723,301,805	3,414,228,225	3,490,195,820
DETAILS OF WRITE-INS			
08.301. MISCELLANEOUS INCOME	18,090	112,446	123,115
08.302.			
08.303.			
08.398. Summary of remaining write-ins for Line 8.3 from overflow page			
08.399. Totals (Lines 08.301 through 08.303 plus 08.398) (Line 8.3 above)	18,090	112,446	123,115
2701. INCOME ON FUNDS HELD UNDER REINSURANCE TREATIES WITH UNAUTHORIZED REINSURERS	41,069,121	31,988,137	48,492,068
2702. INTEREST ON SURPLUS NOTES	3,060,000	3,060,000	4,080,000
2703. SETTLEMENT - SC	954,426		(28,519,315)
2798. Summary of remaining write-ins for Line 27 from overflow page	(727,981)	17,170	17,170
2799. Totals (Lines 2701 through 2703 plus 2798)(Line 27 above)	44,355,566	35,065,307	24,069,923
5301. STOCK-BASED COMPENSATION	5,072,894	7,042,673	8,298,855
5302. ACQUISITION OF PARENT COMPANY COMMON STOCK	21,071	17,927	17,927
5303.			
5398. Summary of remaining write-ins for Line 53 from overflow page			
5399. Totals (Lines 5301 through 5303 plus 5398)(Line 53 above)	5,093,965	7,060,600	8,316,782

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

CASH FLOW

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
Cash from Operations			
1. Premiums collected net of reinsurance	1,378,856,194	3,263,811,205	4,028,062,296
2. Net investment income	2,311,019,775	2,131,102,732	3,041,608,725
3. Miscellaneous income	16,758,152	25,422,238	34,286,691
4. Total (Lines 1 to 3)	3,706,634,121	5,420,336,175	7,103,957,712
5. Benefit and loss related payments	2,522,274,140	2,285,596,521	3,127,522,477
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts			
7. Commissions, expenses paid and aggregate write-ins for deductions	279,522,082	414,880,231	520,132,675
8. Dividends paid to policyholders			
9. Federal and foreign income taxes paid (recovered) net of \$ tax on capital gains (losses)	(5,467,949)	27,500,000	(29,999,101)
10. Total (Lines 5 through 9)	2,796,328,273	2,727,976,752	3,617,656,051
11. Net cash from operations (Line 4 minus Line 10)	910,305,848	2,692,359,423	3,486,301,661
Cash from Investments			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds	4,138,419,097	2,921,234,973	4,374,511,113
12.2 Stocks	300,385,570	179,083,975	581,110,851
12.3 Mortgage loans	260,030,178	321,981,502	439,689,128
12.4 Real estate			
12.5 Other invested assets	36,538,527	208,125,514	246,625,802
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments	(259,011)	12,500	(58,000)
12.7 Miscellaneous proceeds			
12.8 Total investment proceeds (Lines 12.1 to 12.7)	4,735,114,361	3,630,438,464	5,641,878,894
13. Cost of investments acquired (long-term only):			
13.1 Bonds	2,817,101,313	4,576,004,896	6,283,751,060
13.2 Stocks	301,094,000	541,475,822	579,961,982
13.3 Mortgage loans	740,558,930	567,737,585	841,194,801
13.4 Real estate			
13.5 Other invested assets	117,488,305	184,773,571	241,859,629
13.6 Miscellaneous applications	518,506,962	954,551,920	780,394,424
13.7 Total investments acquired (Lines 13.1 to 13.6)	4,494,749,510	6,824,543,794	8,727,161,896
14. Net increase (or decrease) in contract loans and premium notes	56,633	22,824	19,382
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14)	240,308,218	(3,194,128,154)	(3,085,302,384)
Cash from Financing and Miscellaneous Sources			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes			
16.2 Capital and paid in surplus, less treasury stock	200,000,000	50,000,000	50,000,000
16.3 Borrowed funds			
16.4 Net deposits on deposit-type contracts and other insurance liabilities	(18,555,412)	(15,155,149)	(21,000,200)
16.5 Dividends to stockholders			
16.6 Other cash provided (applied)	(731,646,036)	967,668,320	740,997,628
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6)	(550,201,448)	1,002,513,171	769,997,428
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)	600,412,618	500,744,440	1,170,996,705
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year	1,437,047,768	266,051,061	266,051,061
19.2 End of period (Line 18 plus Line 19.1)	2,037,460,386	766,795,501	1,437,047,766
Note: Supplemental disclosures of cash flow information for non-cash transactions:			
20.0001. Mortgage Refinances	38,949,929	15,115,819	19,689,662
20.0002. Stock Based Compensation	5,093,965	7,060,600	8,316,782
20.0003. Unrealized valuation increase (decrease) of Short Term Cash Equivalents	69,000	(15,500)	(76,000)

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			
2. Ordinary life insurance	2,190,016	2,259,082	2,986,087
3. Ordinary individual annuities	1,517,488,603	3,306,261,577	4,077,828,247
4. Credit life (group and individual)			
5. Group life insurance			
6. Group annuities			
7. A & H - group			
8. A & H - credit (group and individual)			
9. A & H - other			
10. Aggregate of all other lines of business			
11. Subtotal (Lines 1 through 10)	1,519,678,619	3,308,520,659	4,080,814,334
12. Fraternal (Fraternal Benefit Societies Only)			
13. Subtotal (Lines 11 through 12)	1,519,678,619	3,308,520,659	4,080,814,334
14. Deposit-type contracts	6,936,807	3,672,894	4,047,197
15. Total (Lines 13 and 14)	1,526,615,426	3,312,193,553	4,084,861,531
DETAILS OF WRITE-INS			
1001.			
1002.			
1003.			
1098. Summary of remaining write-ins for Line 10 from overflow page			
1099. Totals (Lines 1001 through 1003 plus 1098)(Line 10 above)			

NOTES TO FINANCIAL STATEMENTS

1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

A. Accounting Practices

The financial statements of the Company are presented on the basis of accounting practices prescribed or permitted by the Iowa Department of Commerce, Insurance Division (the "Insurance Division").

The Insurance Division recognizes only statutory accounting practices prescribed or permitted by the State of Iowa for determining and reporting the financial condition and results of operations of an insurance company and for determining its solvency under Iowa 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 Insurance Division. The Company differs from NAIC SAP under Iowa Administrative Code 191 - Chapter 97, *Accounting for Certain Derivative Instruments Used to Hedge the Growth in Interest Credited for Indexed Insurance Products and Accounting for the Indexed Insurance Products Reserve* ("IAC 191-97"), a prescribed practice issued by the Insurance Division. Under this prescribed practice, call option derivative instruments that hedge the growth in interest credited on index products are accounted for at amortized cost with the corresponding amortization recorded as a decrease to net investment income and indexed annuity reserves are calculated based on Standard Valuation Law and Guideline 35 assuming the market value of the call options associated with the current index term is zero regardless of the observable market value for such options.

The Company also has a prescribed practice under Iowa Administrative Code 191 - Chapter 43 "*Annuity Mortality Tables For Use In Determining Reserve Liabilities for Annuities*" ("IAC 191-43") which allows the use of the Annuity 2000 Mortality Table for determining the minimum standard of valuation for annuities issued during 2015. The Company began using the 2012 IAR Mortality Table for annuities issued on or after January 1, 2016. NAIC SAP requires the use of the 2012 IAR Mortality Table for determining the minimum standard of valuation for annuities issued on or after January 1, 2015.

A reconciliation of the Company's net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the Insurance Division is shown below:

<u>NET INCOME</u>	<u>SSAP #</u>	<u>F/S page</u>	<u>F/S Line #</u>	<u>September 30, 2020</u>	<u>December 31, 2019</u>
Net income, Iowa basis				\$ 43,671,424	\$ 143,309,154
(1) State Prescribed Practices that increase/(decrease) NAIC SAP:					
IAC 191-97					
(a) Net investment income - derivatives	86	4	3	19,943,236	21,593,090
(b) Change in reserves, net	51	4	19	(119,667,396)	210,738,305
IAC 191-43					
(c) Change in reserves	51	4	19	14,516,301	(93,240,706)
(2) Net income, NAIC SAP (1-a-b=2)				<u>\$ 128,879,283</u>	<u>\$ 4,218,465</u>
 <u>SURPLUS</u>					
Statutory surplus, Iowa basis				\$ 3,723,301,805	\$ 3,490,195,820
(3) State Prescribed Practices that increase/(decrease) NAIC SAP:					
IAC 191-97					
(a) Derivative instruments	86	2, 4	7, 3	(390,572,073)	(811,958,226)
(b) Reserves for indexed annuities	51	3, 4	1, 19	171,113,667	290,781,063
(c) Tax impact	101	2	18.2	46,086,265	109,447,204
IAC 191-43					
(d) Reserves for indexed annuities	51	3, 4	1, 19	105,336,719	90,820,418
(e) Tax impact	101	2	18.2	(22,120,711)	(19,072,288)
(4) Statutory surplus, NAIC SAP (3-a-b-c=4)				<u>\$ 3,813,457,938</u>	<u>\$ 3,830,177,649</u>

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

No significant changes have occurred in disclosure from December 31, 2019.

C. Accounting Policy

1. No significant changes have occurred in disclosure from December 31, 2019.

NOTES TO FINANCIAL STATEMENTS

2. Investments in bonds rated NAIC 1-5 (including loan-backed securities) are reported at cost adjusted for amortization of premiums or discounts. Bonds with NAIC 6 ratings are reported at the lower of amortized cost or fair value. Amortization is computed using methods which result in a level yield over the life of the security. The Company reviews its prepayment assumptions on mortgage and other asset-backed securities at regular intervals and adjusts amortization rates retrospectively when such assumptions are changed due to experience and/or expected future patterns.

Realized capital gains and losses are recorded on the trade date and determined on the basis of specific identification and are recorded net of related federal income taxes and amounts transferred to the Interest Maintenance Reserve (“IMR”). Under a formula prescribed by the NAIC, the Company defers, in the IMR, the portion of realized gains and losses on sales of fixed income investments, principally bonds, attributable to changes in the general level of interest rates and amortizes those deferrals over the remaining period to maturity of the security. The Asset Valuation Reserve (“AVR”) is established by the Company to provide for anticipated losses in the event of default by issuers of certain invested assets. The AVR is determined using a formula that is intended to establish a reserve to offset potential credit-related investment losses.

The carrying values of all investments are reviewed on an ongoing basis for credit deterioration. An other than temporary impairment shall be considered to have occurred if it is probable that the reporting entity will be unable to collect all amounts due according to the contractual terms of a debt security in effect at the date of acquisition. If this review indicates a decline in fair value that is other than temporary, the carrying amount of the investment, other than loan-backed and structured securities, is reduced to its fair value and a specific other than temporary impairment is taken. A decline in fair value which is other than temporary includes situations where the Company has made a decision to sell a security prior to its maturity at an amount below its carrying value. Such reductions in carrying values are recognized as realized losses on investments.

3. No significant changes have occurred in disclosure from December 31, 2019.
4. No significant changes have occurred in disclosure from December 31, 2019.
5. No significant changes have occurred in disclosure from December 31, 2019.
6. If the fair value of a loan-backed or structured security is less than its amortized cost at the reporting date, the Company assesses whether the impairment is other than temporary. If the Company intends to sell the loan-backed or structured security, an other than temporary impairment is considered to have occurred and a loss is recognized through earnings in an amount equal to the excess of amortized cost over fair value at the reporting date.

If the Company does not intend to sell the loan-backed or structured security, the Company assesses whether it has the intent and ability to retain the investment in the security for a period of time sufficient to recover the amortized cost. If the Company does not have the intent and ability to retain the investment for the time sufficient to recover the amortized cost, an other than temporary impairment is considered to have occurred and a loss is recognized through earnings in an amount equal to the excess of amortized cost over fair value at the reporting date.

If the Company does not expect to recover the amortized cost basis of the security, it is unable to assert that it will recover its amortized cost even if it does not intend to sell the security and the entity has the intent and ability hold such security. Therefore, in those situations, an other than temporary impairment is considered to have occurred and a loss is recognized in an amount equal to the excess of amortized cost over the present value of cash flows expected to be collected, discounted at the loan-backed or structured security’s effective interest rate.

Interest income is recognized on an accrual basis. Dividend income is recognized when declared. The Company does not accrue income on bonds in default which are delinquent more than twelve months. Further, income is not accrued when collection is uncertain.

7. No significant changes have occurred in disclosure from December 31, 2019.
8. No significant changes have occurred in disclosure from December 31, 2019.
9. No significant changes have occurred in disclosure from December 31, 2019.
10. No significant changes have occurred in disclosure from December 31, 2019.
11. No significant changes have occurred in disclosure from December 31, 2019.
12. No significant changes have occurred in disclosure from December 31, 2019.
13. No significant changes have occurred in disclosure from December 31, 2019.

D. Going Concern

The Company's management has evaluated its ability to continue as a going concern and does not have substantial doubt the entity will continue as a going concern.

NOTES TO FINANCIAL STATEMENTS

2 - ACCOUNTING CHANGES AND CORRECTIONS OF ERRORS:

No significant changes have occurred in disclosure from December 31, 2019.

3 - BUSINESS COMBINATIONS AND GOODWILL:

No significant changes have occurred in disclosure from December 31, 2019.

4 - DISCONTINUED OPERATIONS:

No significant changes have occurred in disclosure from December 31, 2019.

5 - INVESTMENTS:

A. Mortgage Loans, including Mezzanine Real Estate Loans

No significant changes have occurred in disclosure from December 31, 2019.

B. Debt Restructuring

No significant changes have occurred in disclosure from December 31, 2019.

C. Reverse Mortgages

No significant changes have occurred in disclosure from December 31, 2019.

D. Loan-Backed Securities

1. Prepayment assumptions for loan-backed securities were obtained from third party rating agencies and/or third party loan servicers.
2. For the nine months ended September 30, 2020, the Company recognized other than temporary impairments ("OTTI") on its loan-backed securities on the basis of the intent to sell and on the basis of the inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis.

	Amortized cost basis before other-than- temporary impairment	(2a) Interest	(2b) Non-interest	Fair Value 1-(2a+2b)
OTTI recognized 1st Quarter				
a. Intent to sell	\$ 22,436,257	\$ —	\$ 2,491,090	\$ 19,945,167
b. Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis	977,250	—	547,260	\$ 429,990
c. Total 1st Quarter	<u>\$ 23,413,507</u>	<u>\$ —</u>	<u>\$ 3,038,350</u>	<u>\$ 20,375,157</u>
OTTI recognized 2nd Quarter				
a. Intent to sell	\$ 8,979,910	\$ —	\$ 3,187,620	\$ 5,792,290
b. Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis	—	—	—	—
c. Total 2nd Quarter	<u>\$ 8,979,910</u>	<u>\$ —</u>	<u>\$ 3,187,620</u>	<u>\$ 5,792,290</u>
OTTI recognized 3rd Quarter				
a. Intent to sell	\$ 53,832,552	\$ —	\$ 14,248,286	\$ 39,584,266
b. Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis	—	—	—	—
c. Total 3rd Quarter	<u>\$ 53,832,552</u>	<u>\$ —</u>	<u>\$ 14,248,286</u>	<u>\$ 39,584,266</u>
Aggregate total	<u><u>\$ 86,225,969</u></u>	<u><u>\$ —</u></u>	<u><u>\$ 20,474,256</u></u>	<u><u>\$ 65,751,713</u></u>

NOTES TO FINANCIAL STATEMENTS

3. The following table lists the loan-backed securities for which the present value of cash flows expected to be collected was less than amortized cost, and as a result, OTTI was recorded during the nine months ended September 30, 2020:

CUSIP	Amortized Cost Prior to OTTI	Present Value of Projected Cash Flows	OTTI Recognized in Earnings	Amortized Cost After OTTI	Fair Value	Financial Statement Reporting Period
126379AH9	\$ 1,145,869	\$ 1,056,855	\$ 89,014	\$ 1,056,855	\$ 1,093,219	6/30/2020
126694GU6	2,953,902	2,816,864	137,038	2,816,864	2,786,641	6/30/2020
126694JT6	1,781,668	1,592,169	189,500	1,592,169	1,593,835	6/30/2020
17312FAL7	1,086,479	1,034,698	51,781	1,034,698	1,029,547	6/30/2020
45660L2V0	3,502,021	3,236,522	265,499	3,236,522	3,428,608	6/30/2020
45660L4G1	3,587,652	3,333,541	254,111	3,333,541	3,429,435	6/30/2020
74162JAB3	5,819,444	5,684,935	134,509	5,684,935	5,649,387	6/30/2020
95000GBE3	13,491,247	11,381,850	2,109,400	11,381,850	10,991,700	6/30/2020
12624NAN0	4,454,272	1,412,374	438,410	4,015,862	4,015,862	6/30/2020
126379AH9	1,034,710	1,017,991	16,719	1,017,991	1,047,810	9/30/2020
126694GU6	2,596,649	2,544,657	51,993	2,544,656	2,536,667	9/30/2020
126694JT6	1,404,153	1,328,631	75,523	1,328,630	1,358,199	9/30/2020
17312FAL7	965,258	960,855	4,403	960,855	959,365	9/30/2020
45660L2V0	3,111,122	3,054,673	56,449	3,054,673	3,213,640	9/30/2020
45660L4G1	3,270,488	3,216,603	53,884	3,216,604	3,318,430	9/30/2020
74162JAB3	5,680,962	5,605,275	75,688	5,605,274	5,623,001	9/30/2020
161631AX4	4,355,241	4,194,894	160,347	4,194,894	4,252,932	9/30/2020
17025TAV3	2,949,939	2,928,724	21,215	2,928,724	2,828,272	9/30/2020
878048AD9	741,367	683,879	57,488	683,879	600,472	9/30/2020
12624BAL0	8,627,333	7,323,600	1,303,733	7,323,600	4,657,486	9/30/2020
12624PAS4	6,920,395	6,060,195	860,200	6,060,195	5,148,178	9/30/2020
61690KAL6	3,847,092	3,643,600	203,492	3,643,600	2,541,573	9/30/2020
61762TAK2	18,791,332	16,476,075	2,315,257	16,476,075	15,371,233	9/30/2020
12624NAN0	4,062,700	1,367,045	2,695,655	1,367,045	4,062,508	9/30/2020
	<u>\$106,181,295</u>	<u>\$ 91,956,505</u>	<u>\$ 11,621,308</u>	<u>\$ 94,559,991</u>	<u>\$ 91,538,000</u>	

Total OTTI recognized under SSAP 43R for the nine months ended September 30, 2020: \$11,621,308.

4. For loan-backed and structured securities with unrealized losses as of September 30, 2020, the gross unrealized losses and fair value, aggregated by length of time that individual securities have been in a continuous unrealized loss position, are summarized as follows:
- a. Aggregate amount of unrealized loss:

Less than 12 months	\$ 260,122,953
12 months or longer	\$ 305,513,673

 - b. Aggregate related fair value of securities with unrealized losses:

Less than 12 months	\$ 3,939,322,521
12 months or longer	\$ 2,882,552,136
5. The process for evaluating loan-backed securities is based on a number of factors. The primary consideration in the evaluation process is the issuer's ability to meet current and future interest and principal payments as contractually stated at the time of purchase. The review of these securities includes an analysis of the cash flow modeling under various default scenarios considering independent third party benchmarks, the seniority of the specific tranche within the structure of the security, the composition of the collateral and the actual default, loss severity and prepayment experience exhibited. With the input of third party assumptions for default projections, loss severity and prepayment expectations, the Company evaluates the cash flow projections to determine whether the security is performing in accordance with its contractual obligations.

At September 30, 2020 the Company had no exposure to subprime loan-backed securities. Substantially all of the owned securities are in the highest rated tranche of the pool in which they are structured and are not subordinated to any other tranche.

NOTES TO FINANCIAL STATEMENTS

E. Dollar Repurchase Agreements and/or Securities Lending Transactions

1. Securities Lending - The Company participates in a securities lending program whereby it loans certain securities to approved borrowers. Securities are lent to borrowers, through a lending agent, on an overnight or, with the Company's prior approval, a term basis. Borrowers post cash collateral in an amount equal to or greater than 102% of the security's market value which is invested by the lending agent in money market funds or repurchase agreements meeting investment guidelines approved by it. The Company retains control of all loaned securities and receives all principal and interest payments that would normally be paid to the Company if it did not lend the securities. The fair value of the loaned securities is monitored on a daily basis with additional collateral obtained or refunded as the fair value of the loaned securities fluctuates.
2. The Company has not pledged any of its assets as collateral that are not reclassified and separately reported in the statement of financial position.
3. Collateral Received
 - a. The aggregate amount of collateral received as of September 30, 2020 is as follows:

	Fair Value
Securities Lending	
a. Open	\$ 732,725
b. 30 days or less	—
c. 31 to 60 days	—
d. 61 to 90 days	—
e. Greater than 90 days	—
f. Sub-Total	\$ 732,725
g. Securities Received	—
h. Total Collateral Received	\$ 732,725

- b. The fair value of that collateral and of the portion of that collateral that it has sold or repledged: \$732,725.
 - c. The Company uses cash collateral received for income generation. At the end of the loan term, the Company will take back its securities, and the counterparty will receive the amount loaned, together with the agreed upon interest.
4. There are no securities lending transactions administered by an affiliated agent.

NOTES TO FINANCIAL STATEMENTS

5. Collateral Reinvestment

- a. The aggregate amount of collateral reinvested as of September 30, 2020 is as follows:

	Amortized Cost		Fair Value
Securities Lending			
a. Open	\$ 732,725		\$ 732,725
b. 30 days or less	—		—
c. 31 to 60 days	—		—
d. 61 to 90 days	—		—
e. 91 to 120 days	—		—
f. 121 to 180 days	—		—
g. 181 to 365 days	—		—
h. 1 to 2 years	—		—
i. 2 to 3 years	—		—
j. Greater than 3 years	—		—
k. Sub-Total	\$ 732,725		\$ 732,725
l. Securities received	—		—
m. Total collateral reinvested	\$ 732,725		\$ 732,725

- b. The maturity dates of the liabilities appropriately match the invested assets in the securities lending program.

6. The Company participates in a securities lending program whereby it loans certain securities to approved borrowers. Securities are lent to borrowers, through a lending agent, on an overnight or, with the Company's prior approval, a term basis. Borrowers post cash collateral in an amount equal to or greater than 102% of the security's market value which is invested by the lending agent in money market funds or repurchase agreements meeting investment guidelines approved by it. The Company retains control of all loaned securities and receives all principal and interest payments that would normally be paid to the Company if it did not lend the securities.

The Company's securities lending program exposes it to certain counterparty and spread risks. Counterparty risk is mitigated by over-collateralization requirements, daily mark to market, and indemnification by the lending agent for shortfalls in collateral in event of borrower default. The lending agent monitors spread risk to ensure that the interest rate paid by us to borrowers does not exceed the rate of return on cash collateral investments. The Company regularly monitors the overall securities lending program, including the lending agent, borrowers, and the appropriateness of cash collateral investments.

7. The Company does not have any collateral for transactions that extend beyond one year from September 30, 2020.

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing

1. As part of its investment strategy, the Company enters into securities repurchase agreements (short-term collateralized borrowings). When cash is borrowed as part of these repurchase agreements, the Company pledges collateral in the form of debt securities with fair values approximately equal to the amount due. The Company uses the cash to purchase debt securities ahead of the time the cash is collected from selling annuity policies to avoid a lag between the investment of funds and the obligations to credit interest to policyholders. The Company earns investment income on the securities purchased with these borrowings.

2. Type of Repo Trades used

	1 First Quarter	2 Second Quarter	3 Third Quarter
a. Bilateral (YES/NO)	YES	YES	NO
b. Tri-Party (YES/NO)	NO	NO	NO

NOTES TO FINANCIAL STATEMENTS

3. Original (Flow) & Residual Maturity

	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER
a. Maximum amount	(in millions)		
1. Open - No Maturity	\$ —	\$ —	\$ —
2. Overnight	—	—	—
3. 2 Days to 1 Week	—	—	—
4. > 1 Week to 1 Month	186.1	186.1	—
5. > 1 Month to 3 Months	—	—	—
6. > 3 Months to 1 Year	—	—	—
7. > 1 Year	—	—	—

	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER
b. Ending balance	(in millions)		
1. Open - No Maturity	\$ —	\$ —	\$ —
2. Overnight	—	—	—
3. 2 Days to 1 Week	—	—	—
4. > 1 Week to 1 Month	186.1	—	—
5. > 1 Month to 3 Months	—	—	—
6. > 3 Months to 1 Year	—	—	—
7. > 1 Year	—	—	—

4. As of September 30, 2020, the Company did not have any securities sold that resulted in default.
5. As of September 30, 2020, the Company did not have any securities sold under repo.
6. As of September 30, 2020, the Company did not have any securities sold under repo.
7. As of September 30, 2020, the Company did not have any collateral received.
8. As of September 30, 2020, the Company did not have any cash & non-cash collateral received.
9. As of September 30, 2020, the Company did not have any aggregate collateral.
10. As of September 30, 2020, the Company did not have any aggregate collateral reinvested.
11. As of September 30, 2020, the Company did not have any liability to return collateral.

G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing

The Company did not have any reverse repurchase agreements transactions accounted for as secured borrowing as of September 30, 2020.

H. Repurchase Agreements Transactions Accounted for as a Sale

The Company did not have any repurchase agreements transactions accounted for as a sale as of September 30, 2020.

I. Reverse Repurchase Agreements Transactions Accounted for as a Sale

The Company did not have any reverse repurchase agreements transactions accounted for as a sale as of September 30, 2020.

J. Real Estate

No significant changes have occurred in disclosure from December 31, 2019.

K. Low Income Housing Credits

No significant changes have occurred in disclosure from December 31, 2019.

NOTES TO FINANCIAL STATEMENTS

L. Restricted Assets

1. Restricted Assets (including pledged)

Restricted Asset Category		Gross Restricted				
		Current Year				
		1	2	3	4	5
		Total General Account (G/A)	G/A Supporting S/A Activity (a)	Total Separate Account (S/A) Restricted Assets	S/A Assets Supporting G/A Activity (b)	Total (1 plus 3)
a.	Subject to contractual obligation for which liability is not shown	\$ —	\$ —	\$ —	\$ —	\$ —
b.	Collateral held under security lending agreements	732,725	—	—	—	732,725
c.	Subject to repurchase agreements	—	—	—	—	—
d.	Subject to reverse repurchase agreement	—	—	—	—	—
e.	Subject to dollar repurchase agreements	—	—	—	—	—
f.	Subject to dollar reverse repurchase agreements	—	—	—	—	—
g.	Placed under option contracts	—	—	—	—	—
h.	Letter stock or securities restricted as to sale	—	—	—	—	—
i.	FHLB capital stock	—	—	—	—	—
j.	On deposit with states	2,453,433	—	—	—	2,453,433
k.	On deposit with other regulatory bodies	—	—	—	—	—
l.	Pledged collateral to FHLB	—	—	—	—	—
m.	Pledged as collateral not captured in other categories	—	—	—	—	—
n.	Other restricted assets	4,104,677,903	—	—	—	4,104,677,903
o.	Total Restricted Assets	\$ 4,107,864,061	\$ —	\$ —	\$ —	\$ 4,107,864,061

Restricted Asset Category		Gross Restricted		9	Percentage	
		6	7		10	11
		Total From Prior Year	Increase / (Decrease) (5-6)		Total Admitted Restricted	Gross Restricted to Total Assets
a.	Subject to contractual obligation for which liability is not shown	—	—	—	— %	— %
b.	Collateral held under security lending agreements	495,100,995	(494,368,270)	732,725	— %	— %
c.	Subject to repurchase agreements	—	—	—	— %	— %
d.	Subject to reverse repurchase agreement	—	—	—	— %	— %
e.	Subject to dollar repurchase agreements	—	—	—	— %	— %
f.	Subject to dollar reverse repurchase agreements	—	—	—	— %	— %
g.	Placed under option contracts	—	—	—	— %	— %
h.	Letter stock or securities restricted as to sale	—	—	—	— %	— %
i.	FHLB capital stock	—	—	—	— %	— %
j.	On deposit with states	2,455,126	(1,693)	2,453,433	— %	— %
k.	On deposit with other regulatory bodies	—	—	—	— %	— %
l.	Pledged collateral to FHLB	—	—	—	— %	— %
m.	Pledged as collateral not captured in other categories	—	—	—	— %	— %
n.	Other restricted assets	4,211,213,054	(106,535,151)	4,104,677,903	7.2 %	7.2 %
o.	Total Restricted Assets	4,708,769,175	(600,905,114)	4,107,864,061	7.2 %	7.2 %

2. No significant changes have occurred in disclosure from December 31, 2019.

NOTES TO FINANCIAL STATEMENTS

3. Detail of Other Restricted Assets (Contracts that Share Similar Characteristics, such as Reinsurance and Derivatives, are Reported in the Aggregate)

Gross Restricted				
Current Year				
1	2	3	4	5
Total General Account (G/A)	G/A Supporting S/A Activity (a)	Total Separate Account (S/A) Restricted Assets	S/A Assets Supporting G/A Activity (b)	Total (1 plus 3)
Funds withheld assets	880,714,615	—	—	880,714,615
Mod-co assets	3,223,963,288	—	—	3,223,963,288
Total	\$ 4,104,677,903	\$ —	\$ —	\$ 4,104,677,903

Gross Restricted		8	Percentage		
6	7		9	10	
Total From Prior Year	Increase / (Decrease) (5-6)	Total Current Year Admitted Restricted	Gross (Admitted & Nonadmitted) Restricted to Total Assets	Admitted Restricted to Total Admitted Assets	
Funds withheld assets	\$ 969,343,580	\$ (88,628,965)	\$ 880,714,615	1.5 %	1.5 %
Mod-co assets	\$ 3,241,869,474	\$ (17,906,186)	\$ 3,223,963,288	5.7 %	5.7 %
Total	\$ 4,211,213,054	\$ (106,535,151)	\$ 4,104,677,903	7.2 %	7.2 %

M. Working Capital Finance Investments

The Company did not have any working capital finance investments as of September 30, 2020.

N. Offsetting and Netting of Assets and Liabilities

The Company did not have any offsetting and netting of assets and liabilities as of September 30, 2020.

O. 5GI Securities

No significant changes have occurred in disclosure from December 31, 2019.

P. Short Sales

The Company did not have unsettled and settled short sale transactions outstanding as of September 30, 2020.

Q. Prepayment Penalty and Acceleration Fees:

	General Account	Separate Accounts
(1) Number of CUSIPS	126	—
(2) Aggregate Amount of Investment Income	\$ 20,494,126	\$ —

6 - JOINT VENTURES, PARTNERSHIPS AND LIMITED LIABILITY COMPANIES:

During the nine months ended September 30, 2020, the Company recognized an impairment of \$4,093,258 on an investment in a limited liability partnership due to continued deterioration in the Fund's fair value and operating performance.

7 - INVESTMENT INCOME:

No significant changes have occurred in disclosure from December 31, 2019.

8 - DERIVATIVE INSTRUMENTS:

The Company uses call options to pay the benefit provided for in the Company's indexed annuity insurance products. The financial characteristics of the call options purchased by the Company generally provide for the Company to be paid the average one-year appreciation of various published indices. The term of the call options is generally one year. The Company pays cash to the counterparty based upon an agreed to price at the outset of the contract. The counterparty usually pays a single payment at each due date.

The Company is exposed to risk of loss in the event of nonperformance by the counterparties and, accordingly, the Company purchases its option contracts from multiple counterparties and evaluates the creditworthiness of all counterparties prior to purchase of the contracts. All options had been purchased from nationally recognized investment banking institutions (See Note 16 of our annual statement for more information).

NOTES TO FINANCIAL STATEMENTS

In accordance with IAC 191-97, call option derivative instruments that hedge the growth in interest credited on index products are accounted for at amortized cost with the corresponding amortization recorded as a decrease to net investment income.

For the nine months ended September 30, 2020, proceeds received upon expiration of options and amortization of options included as components of net investment income were as follows:

	9/30/2020
Proceeds received upon expiration	\$ 584,660,632
Amortization	(564,162,631)
	20,498,001
Less ceded options	12,271,971
	\$ 8,226,030

9 - INCOME TAXES:

A.-B.No significant changes have occurred in disclosure from December 31, 2019.

C. Current income taxes incurred consist of the following major components:

1. Current Income Tax

	9/30/2020	12/31/2019	Change
(a) Federal	\$ (39,705,089)	\$ 15,934,403	\$ (55,639,492)
(b) Foreign	—	—	—
(c) Subtotal	(39,705,089)	15,934,403	(55,639,492)
(d) Tax benefit on realized capital losses	(16,279,976)	(4,568,677)	(11,711,299)
(e) Utilization of capital loss carry-forwards	—	—	—
(f) Other - Stock based compensation	—	—	—
(g) Federal & Foreign income tax incurred	\$ (55,985,065)	\$ 11,365,726	\$ (67,350,791)

2.-4. The only significant change in deferred tax items during the nine months ended September 30, 2020 was a result of the passage of the CARES Act which allows net operating losses to be carried back to prior years. This resulted in a reduction of the deferred tax asset related to net operating losses and an increase in current tax receivables as compared to December 31, 2019, along with the recognition of a current tax benefit for the nine months ended September 30, 2020. In addition, the carryback of net operating losses to prior years when a 35% tax rate was in effect resulted in a current tax benefit of approximately \$30.0 million being recognized during the nine months ended September 30, 2020 which is reflected in the table below as a rate differential on net operating loss carryback.

D. Analysis of Actual Income Tax Expense

As of September 30, 2020, the income tax expense and change in deferred taxes differs from the amount obtained by applying the federal statutory rate of 21% to pretax net income for the following reasons:

	Amounts	Effective Tax Rate (%)
Provisions computed at statutory rate	\$ (448,970)	21.00 %
Tax exempt income deducted	(1,541,490)	72.10 %
Dividends received deduction	(11,938)	0.56 %
Nondeductible Expenses	421,175	(19.70)%
IMR	390,378	(18.26)%
Nonadmitted Assets	405,194	(18.95)%
Stock compensation	(472,778)	22.11 %
Change in surplus as a result of reinsurance	(1,253,986)	58.65 %
Company owned life insurance	(1,990,872)	93.12 %
Income inclusion of disregarded subsidiary	(5,923)	0.28 %
Other	875,330	(40.94)%
Rate differential on net operating loss carryback	(30,040,518)	1,405.11 %
Total	\$ (33,674,398)	1,575.08 %
Federal income tax incurred	\$ (55,985,065)	
Change in net deferred income taxes	22,310,667	
Other	—	
Total statutory income tax	\$ (33,674,398)	1,575.08 %

NOTES TO FINANCIAL STATEMENTS

E. Operating Loss and Tax Credit Carryforwards and Protective Tax Deposits

1. The Company had no net operating loss carryforwards as of September 30, 2020.
2. No significant changes have occurred in disclosure from December 31, 2019.

F. Consolidated Federal Income Tax Return

No significant changes have occurred in disclosure from December 31, 2019.

G. Federal or Foreign Federal Income Tax Loss Contingencies

No significant changes have occurred in disclosure from December 31, 2019.

H. Repatriation Transition Tax (RTT)

No significant changes have occurred in disclosure from December 31, 2019.

I. Alternative Minimum Tax (AMT) Credit

No significant changes have occurred in disclosure from December 31, 2019.

10 - INFORMATION CONCERNING PARENT, SUBSIDIARIES, AFFILIATES AND OTHER RELATED PARTIES:

American Equity Investment Life Holding Company redeemed and dissolved eight Trusts with funds raised from its 2019 Preferred Stock issuance.

On May 4, 2020, the Company received a capital contribution of \$200 million from its parent.

On June 5, 2020 the Company established a new, wholly owned Trust with the purpose of holding investments in residential mortgages.

During August 2020, Eagle Life, a wholly owned subsidiary, established a trust for the purpose of holding investments in residential mortgages.

11 - DEBT:

- A. No significant changes have occurred in disclosure from December 31, 2019.
- B. The Company does not have any FHLB agreements for the nine months ended September 30, 2020.

12 - RETIREMENT PLANS, DEFERRED COMPENSATION, POSTEMPLOYMENT BENEFITS AND COMPENSATED ABSENCES AND OTHER POSTRETIREMENT BENEFIT PLANS:

- A. The Company does not participate in a defined benefit plan.
- B-I. No significant changes have occurred in disclosure from December 31, 2019.

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

- 1.-9. No significant changes have occurred in disclosure from December 31, 2019.
10. Unassigned surplus was decreased by \$11,933,088 due to changes in unrealized gains and losses net of tax.
- 11.-13. No significant changes have occurred in disclosure from December 31, 2019.

14 - CONTINGENCIES:

- A.-E. No significant changes have occurred in disclosure from December 31, 2019.
- F. All Other Contingencies

The Company is occasionally involved in litigation, both as a defendant and as a plaintiff. In addition, state regulatory bodies, such as state insurance departments, the Securities and Exchange Commission, the Department of Labor, and other regulatory bodies regularly make inquiries and conduct examinations or investigations concerning our compliance with, among other things, insurance laws, securities laws, and the Employee Retirement Income Security Act of 1974, as amended.

In accordance with applicable accounting guidelines, the Company establishes an accrued liability for litigation and regulatory matters when those matters present loss contingencies that are both probable and estimable. As a litigation or regulatory matter is developing the Company, in conjunction with outside counsel, evaluates on an ongoing basis

NOTES TO FINANCIAL STATEMENTS

whether the matter presents a loss contingency that meets conditions indicating the need for accrual and/or disclosure, and if not the matter will continue to be monitored for further developments. If and when the loss contingency related to litigation or regulatory matters is deemed to be both probable and estimable, the Company will establish an accrued liability with respect to that matter and will continue to monitor the matter for further developments that may affect the amount of the accrued liability.

There can be no assurance that any pending or future litigation will not have a material adverse effect on its business, financial condition, or results of operations.

15 - LEASES:

No significant changes have occurred in disclosure from December 31, 2019.

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

- The table below summarizes the face amount of the Company's financial instruments with off-balance sheet risk as of the period indicated:

	Assets		Liabilities	
	9/30/2020	12/31/2019	9/30/2020	12/31/2019
Swaps	\$ —	\$ —	\$ —	\$ —
Futures	—	—	—	—
Options	349,041,445	394,697,120	—	—
Total	<u>\$ 349,041,445</u>	<u>\$ 394,697,120</u>	<u>\$ —</u>	<u>\$ —</u>

- 3. No significant changes have occurred in disclosure from December 31, 2019.

- As of September 30, 2020, the Company held \$841,571,886 of cash and cash equivalents received from counterparties for derivative collateral, which is included in other liabilities in the financial statements.

17 - SALE, TRANSFER AND SERVICING OF FINANCIAL ASSETS AND EXTINGUISHMENTS OF LIABILITIES:

- No significant changes have occurred in disclosure from December 31, 2019.
- Please refer to Note 5E for information surrounding repurchase agreement transactions.
- In the course of the Company's asset management, securities are sold and reacquired within 30 days of the sale date. During the nine months ended September 30, 2020, the Company did not have any transactions qualifying as wash sales.

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

No significant changes have occurred in disclosure from December 31, 2019.

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

No significant changes have occurred in disclosure from December 31, 2019.

20 - FAIR VALUE MEASUREMENTS:

A.-C.

The Company's financial assets measured at fair value on the reporting date of September 30, 2020 are as follows:

Description for each class of asset or liability	Level 1	Level 2	Level 3	Total
Bonds - Industrial & Miscellaneous	\$ —	\$ 2,821,330	\$ —	\$ 2,821,330
Bonds - Other ABS	—	204,924	—	204,924
Bonds - Special Revenue	—	12,467,000	—	12,467,000
Common Stock	—	908,916	—	908,916
Preferred stock	3,804,476	—	—	3,804,476
Other invested assets	—	10,981,442	—	10,981,442
Total assets at fair value	<u>\$ 3,804,476</u>	<u>\$ 27,383,612</u>	<u>\$ —</u>	<u>\$ 31,188,088</u>

There were no financial liabilities measured at fair value at the reporting date of September 30, 2020.

NOTES TO FINANCIAL STATEMENTS

Transfers of securities among the level occur at time and depend on the type of inputs used to determine fair value of each security. There were no transfers between levels during the nine months ended September 30, 2020.

The following table represents the fair values and admitted values of all admitted assets and liabilities that are financial instruments excluding those accounted for under the equity method (subsidiaries and joint ventures). The fair values are also categorized into the three level fair value hierarchy.

Type of Financial Instrument	Fair Value	Admitted Value	Level 1	Level 2	Level 3	Not Practicable (Carrying Value)	NAV
Assets:							
Bonds	\$52,599,388,029	\$47,947,718,404	\$ 29,061,533	\$52,570,326,496	\$ —	\$ —	\$ —
Preferred stock	18,910,531	18,167,818	15,456,005	3,454,526	—	—	—
Common stock - unaffiliated	908,916	908,916	—	908,916	—	—	—
Mortgage loans on real-estate	4,466,885,318	4,343,490,697	—	—	4,466,885,318	—	—
Derivatives instruments	799,732,130	349,041,445	—	799,732,130	—	—	—
Policy loans	801,916	801,916	—	—	—	801,916	—
Other invested assets	1,019,117,102	966,005,998	—	316,501,359	702,615,743	—	—
Cash and cash equivalents	1,996,354,511	1,996,354,511	1,996,354,511	—	—	—	—
Short-term investments	41,105,874	41,105,874	—	41,105,874	—	—	—
Securities lending reinvested collateral	732,725	732,725	732,725	—	—	—	—
Liabilities:							
Policy benefit reserves	\$45,810,637,128	\$50,426,611,929	\$ —	\$ —	\$45,810,637,128	\$ —	\$ —

- D. The Company has not attempted to determine the fair values associated with policy loans as the Company believes any differences between carrying values and fair values are immaterial to the Company's financial position and, accordingly, the cost to provide such disclosure does not justify the benefit to be derived. As a result, the Company also has not determined an effective interest rate or maturity date.

Type or Class of Financial Instrument	Carrying Value	Effective Interest Rate	Maturity Date
Policy loans	801,916	NA	NA

- E. The Company does not have any assets measured using the NAV practical expedient as of September 30, 2020 .

21 - OTHER ITEMS:

No significant changes have occurred in disclosure from December 31, 2019.

22 - EVENTS SUBSEQUENT:

Subsequent events have been considered through November 6, 2020 for the statutory statement issued on November 6, 2020.

23 - REINSURANCE:

No significant changes have occurred in disclosure from December 31, 2019.

24 - RETROSPECTIVELY RATED CONTRACTS & CONTRACTS SUBJECT TO REDETERMINATION:

A-D. No significant changes have occurred in disclosure from December 31, 2019.

- E. The Company did not have any risk-sharing provisions of the Affordable Care Act for the nine months ended September 30, 2020.

25 - CHANGE IN INCURRED LOSSES AND LOSS ADJUSTMENT EXPENSES:

The Company did not have any changes in incurred losses attributable to insured events of prior years as of September 30, 2020.

26 - INTERCOMPANY POOLING ARRANGEMENTS:

No significant changes have occurred in disclosure from December 31, 2019.

NOTES TO FINANCIAL STATEMENTS

27 - STRUCTURED SETTLEMENTS:

No significant changes have occurred in disclosure from December 31, 2019.

28 - HEALTH CARE RECEIVABLES:

No significant changes have occurred in disclosure from December 31, 2019.

29 - PARTICIPATING POLICIES:

No significant changes have occurred in disclosure from December 31, 2019.

30 - PREMIUM DEFICIENCY RESERVES:

No significant changes have occurred in disclosure from December 31, 2019.

31 - RESERVES FOR LIFE CONTRACTS AND ANNUITY CONTRACTS:

No significant changes have occurred in disclosure from December 31, 2019.

32 - ANALYSIS OF ANNUITY ACTUARIAL RESERVES AND DEPOSIT TYPE LIABILITIES BY WITHDRAWAL CHARACTERISTICS:

A. INDIVIDUAL ANNUITIES:

	General Account	Separate Account with Guarantees	Separate Account Non-guarantee	Total	% of Total
	(Dollars in thousands)				
1. Subject to discretionary withdrawal					
a. With fair value adjustment	\$ 8,824,025,045	\$ —	\$ —	\$ 8,824,025,045	16.5 %
b. At book value less current surrender charge of 5% or more	34,297,085,094	—	—	34,297,085,094	64.4 %
c. At fair value	—	—	—	—	— %
d. Total with adjustment or at market value (total of a-c)	43,121,110,139	—	—	43,121,110,139	80.9 %
e. At book value without adjustment (minimal charge or no adjustment)	9,855,246,736	—	—	9,855,246,736	18.5 %
2. Not subject to discretionary withdrawal	316,317,781	—	—	316,317,781	0.6 %
3. Total (gross)	53,292,674,656	—	—	53,292,674,656	100.0 %
4. Reinsurance ceded	2,778,672,318	—	—	2,778,672,318	
5. Total (net)	<u>\$ 50,514,002,338</u>	<u>\$ —</u>	<u>\$ —</u>	<u>\$ 50,514,002,338</u>	
6. Amount included in (1)b above that will move to (1)e in the year after the statement date	\$ 5,855,352,731	\$ —	\$ —	\$ 5,855,352,731	

B. GROUP ANNUITIES:

The Company did not have any group annuities as of September 30, 2020.

NOTES TO FINANCIAL STATEMENTS

C. DEPOSIT-TYPE CONTRACTS (NO LIFE CONTINGENCIES):

	<u>General Account</u>	<u>Separate Account with Guarantees</u>	<u>Separate Account Non-guarantee</u>	<u>Total</u>	<u>% of Total</u>
	(Dollars in thousands)				
1. Subject to discretionary withdrawal					
a. With fair value adjustment	\$ —	\$ —	\$ —	\$ —	— %
b. At book value less current surrender charge of 5% or more	—	—	—	—	— %
c. At fair value	—	—	—	—	— %
d. Total with adjustment or at market value (total of a-c)	—	—	—	—	— %
e. At book value without adjustment (minimal charge or no adjustment)	—	—	—	—	— %
2. Not subject to discretionary withdrawal	230,711,319	—	—	230,711,319	100.0 %
3. Total (gross)	230,711,319	—	—	230,711,319	100.0 %
4. Reinsurance ceded	4,782,280	—	—	4,782,280	
5. Total (net)	<u>\$ 225,929,039</u>	<u>\$ —</u>	<u>\$ —</u>	<u>\$ 225,929,039</u>	
6. Amount included in (1)b above that will move to (1)e in the year after the statement date	\$ —	\$ —	\$ —	\$ —	

D.

Life, Accident and Health Annual Statement:	Amount
(1) Exhibit 5 - Annuities Section, Total (net)	50,374,224,793
(2) Exhibit 5 - Supplementary Contracts with Life Contingencies Section, Total (net)	139,777,545
(3) Exhibit 7 - Deposit-Type Contracts, Line 14, Column 1	225,929,039
(4) Subtotal	<u>50,739,931,377</u>

Separate Accounts Annual Statement:	Amount
(5) Exhibit 3, Line 299999, Column 2	—
(6) Exhibit 3, Line 399999, Column 2	—
(7) Policyholder dividend and coupon accumulations	—
(8) Policyholder premiums	—
(9) Guaranteed interest contracts	—
(10) Other contract deposit funds	—
(11) Subtotal	—
(12) Combined Total	<u>\$ 50,739,931,377</u>

NOTES TO FINANCIAL STATEMENTS

33 - ANALYSIS OF LIFE ACTUARIAL RESERVES BY WITHDRAWAL CHARACTERISTICS:

	General Account			Separate Account - Nonguaranteed		
	Account Value	Cash Value	Reserve	Account Value	Cash Value	Reserve
A.						
Subject to discretionary withdrawal, surrender values, or policy loans:						
(1) Term policies with Cash Value	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —
(2) Universal Life	2,272,372	2,256,953	2,264,662	—	—	—
(3) Universal Life with Secondary Guarantees	—	—	—	—	—	—
(4) Indexed Universal Life	—	—	—	—	—	—
(5) Indexed Universal Life with Secondary Guarantees	—	—	—	—	—	—
(6) Indexed Life	—	—	—	—	—	—
(7) Other Permanent Cash Value Life Insurance	—	20,875,194	22,895,653	—	—	—
(8) Variable Life	—	—	—	—	—	—
(9) Variable Universal Life	—	—	—	—	—	—
(10) Miscellaneous Reserves	—	761,881	835,622	—	—	—
B. Not subject to discretionary withdrawal or no cash values						
(1) Term Policies without Cash Value	XXX	XXX	58,792	XXX	XXX	—
(2) Accidental Death Benefits	XXX	XXX	325	XXX	XXX	—
(3) Disability - Active Lives	XXX	XXX	541	XXX	XXX	—
(4) Disability - Disabled Lives	XXX	XXX	95,641	XXX	XXX	—
(5) Miscellaneous Reserves	XXX	XXX	—	XXX	XXX	—
C. Total (gross: direct + assumed)	2,272,372	23,894,028	26,151,236	—	—	—
D. Reinsurance Ceded	—	624,126	745,670	—	—	—
E. Total (net) (C) - (D)	<u>\$ 2,272,372</u>	<u>\$ 23,269,902</u>	<u>\$ 25,405,566</u>	<u>\$ —</u>	<u>\$ —</u>	<u>\$ —</u>

F. Amount

Life & Accident & Health Annual Statement:

(1) Exhibit 5, Life Insurance Section, Total (net)	\$ 24,473,762
(2) Exhibit 5, Accidental Death Benefits Section, Total (net)	—
(3) Exhibit 5, Disability - Active Lives Section, Total (net)	541
(4) Exhibit 5, Disability - Disabled Lives Section, Total (net)	95,641
(5) Exhibit 5, Miscellaneous Reserves Section, Total (net)	835,622
(6) Subtotal	<u>25,405,566</u>

Separate Accounts Annual Statement:

(7) Exhibit 3, Line 0199999, Column 2	—
(8) Exhibit 3, Line 0499999, Column 2	—
(9) Exhibit 3, Line 0599999, Column 2	—
(10) Subtotal (Lines 7 through 9)	<u>—</u>
(11) Combined Total (6 and 10)	<u>\$ 25,405,566</u>

34 - PREMIUMS AND ANNUITY CONSIDERATIONS DEFERRED AND UNCOLLECTED:

No significant changes have occurred in disclosure from December 31, 2019.

35 - SEPARATE ACCOUNTS:

No significant changes have occurred in disclosure from December 31, 2019.

36 - LOSS/CLAIM ADJUSTMENT EXPENSES:

No significant changes have occurred in disclosure from December 31, 2019.

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY
GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? Yes [] No [X]
- 1.2 If yes, has the report been filed with the domiciliary state? Yes [] No []
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes [] No [X]
- 2.2 If yes, date of change:
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes [X] No []
 If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes [X] No []
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.
 Eagle Life Insurance Company established a new Trust for the purpose of purchasing residential loans.
- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? Yes [X] No []
- 3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group. 0001039828
- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? Yes [] No [X]
 If yes, complete and file the merger history data file with the NAIC.
- 4.2 If yes, provide the name of the entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? Yes [] No [X] N/A []
 If yes, attach an explanation.
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2018
- 6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. 12/31/2018
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). 06/25/2020
- 6.4 By what department or departments?
 DEPARTMENT OF COMMERCE, DIVISION OF INSURANCE, STATE OF IOWA
- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes [] No [] N/A [X]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [] No [] N/A [X]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [] No [X]
- 7.2 If yes, give full information:
- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? Yes [] No [X]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? Yes [] No [X]
- 8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

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

GENERAL INTERROGATORIES

- 9.1 Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards? Yes No
 (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;
 (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;
 (c) Compliance with applicable governmental laws, rules and regulations;
 (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and
 (e) Accountability for adherence to the code.
- 9.11 If the response to 9.1 is No, please explain:
- 9.2 Has the code of ethics for senior managers been amended? Yes No
- 9.21 If the response to 9.2 is Yes, provide information related to amendment(s).
- 9.3 Have any provisions of the code of ethics been waived for any of the specified officers? Yes No
- 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

FINANCIAL

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes No
- 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ 504,620

INVESTMENT

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes No
- 11.2 If yes, give full and complete information relating thereto:
12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ 505,388
13. Amount of real estate and mortgages held in short-term investments: \$
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes No
- 14.2 If yes, please complete the following:
- | | 1
Prior Year-End
Book/Adjusted
Carrying Value | 2
Current Quarter
Book/Adjusted
Carrying Value |
|---|--|---|
| 14.21 Bonds | \$ | \$ |
| 14.22 Preferred Stock | \$ | \$ |
| 14.23 Common Stock | \$ 248,256,427 | \$ 248,058,328 |
| 14.24 Short-Term Investments | \$ | \$ |
| 14.25 Mortgage Loans on Real Estate | \$ | \$ |
| 14.26 All Other | \$ 533,594 | \$ 505,388 |
| 14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) | \$ 248,790,021 | \$ 248,563,716 |
| 14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above | \$ | \$ |
- 15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes No
- 15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes No N/A
 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. \$ 732,725
- 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 \$ 732,725
- 16.3 Total payable for securities lending reported on the liability page. \$ 732,725

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY
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
STATE STREET BANK & TRUST	225 LIBERTY STREET, 2 WORLD FINANCIAL CENTER, NEW YORK, NY 10281

- 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
AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	A.....
ARES CAPITAL MANAGEMENT III LLC	U.....
BARINGS LLC	U.....
BLACKROCK	U.....
CONTERRA	U.....
GSO CAPITAL PARTNERS	U.....
KINDUR	U.....
METLIFE INVESTMENT MANAGEMENT, LLC	U.....
PRETIUM MORTGAGE CREDIT MANAGEMENT, LLC	U.....
VOYA INVESTMENT MANAGEMENT CO. LLC	U.....

- 17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") manage more than 10% of the reporting entity's invested assets?..... Yes [] 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 invested 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 Central Registration Depository Number	2 Name of Firm or Individual	3 Legal Entity Identifier (LEI)	4 Registered With	5 Investment Management Agreement (IMA) Filed
168076	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	549300RK5RZQ740FPL83	SEC #801-78341	DS.....
106006	ARES CAPITAL MANAGEMENT III LLC	549300N5FJT73X2E7715	SEC #801-241	NO.....
	BARINGS LLC	ANDKRHKQPRR402KLR05	SEC #001-33099	NO.....
	BLACKROCK	549300LR1F3NWCJ26A80	SEC #801-70830	NO.....
	CONTERRA		SEC #801-113451	NO.....
152294	GSO CAPITAL PARTNERS	549300MW2E5JWLBVNR92	SEC #801-67314	NO.....
296585	KINDUR		SEC #801-79924	NO.....
142463	METLIFE INVESTMENT MANAGEMENT, LLC	EAU072Q8FCR1S0XGYJ21	SEC #801-9046	NO.....
171026	PRETIUM MORTGAGE CREDIT MANAGEMENT, LLC	549300E8PSWPKEDX975		
106494	VOYA INVESTMENT MANAGEMENT CO. LLC	L1XJE5NM4QE6WXS12J24		

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

- 18.2 If no, list exceptions:

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:
a. Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.
b. Issuer or obligor is current on all contracted interest and principal payments.
c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.
Has the reporting entity self-designated 5GI securities? Yes [] No [X]

20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:
a. The security was purchased prior to January 1, 2018.
b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
c. The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.
Has the reporting entity self-designated PLGI securities? Yes [] No [X]

21. By assigning FE to a Schedule BA non-registered private fund, the reporting entity is certifying the following elements of each self-designated FE fund:
a. The shares were purchased prior to January 1, 2019.
b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
c. The security had a public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO prior to January 1, 2019.
d. The fund only or predominantly holds bonds in its portfolio.
e. The current reported NAIC Designation was derived from the public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO.
f. The public credit rating(s) with annual surveillance assigned by an NAIC CRP has not lapsed.
Has the reporting entity assigned FE to Schedule BA non-registered private funds that complied with the above criteria? Yes [] No [X]

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY
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	\$ 198,827,892
1.12 Residential Mortgages	\$ 219,016,610
1.13 Commercial Mortgages	\$ 3,925,646,195
1.14 Total Mortgages in Good Standing	\$ 4,343,490,697
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	\$ _____
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	\$ _____
1.5 Total Mortgage Loans (Lines 1.14 + 1.21 + 1.34 + 1.44) (Page 2, Column 3, Lines 3.1 + 3.2)	\$ 4,343,490,697
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	\$ _____

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 []
- 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 []
- 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 [] 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
.....

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

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

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY
SCHEDULE T - PREMIUMS AND ANNUITY CONSIDERATIONS

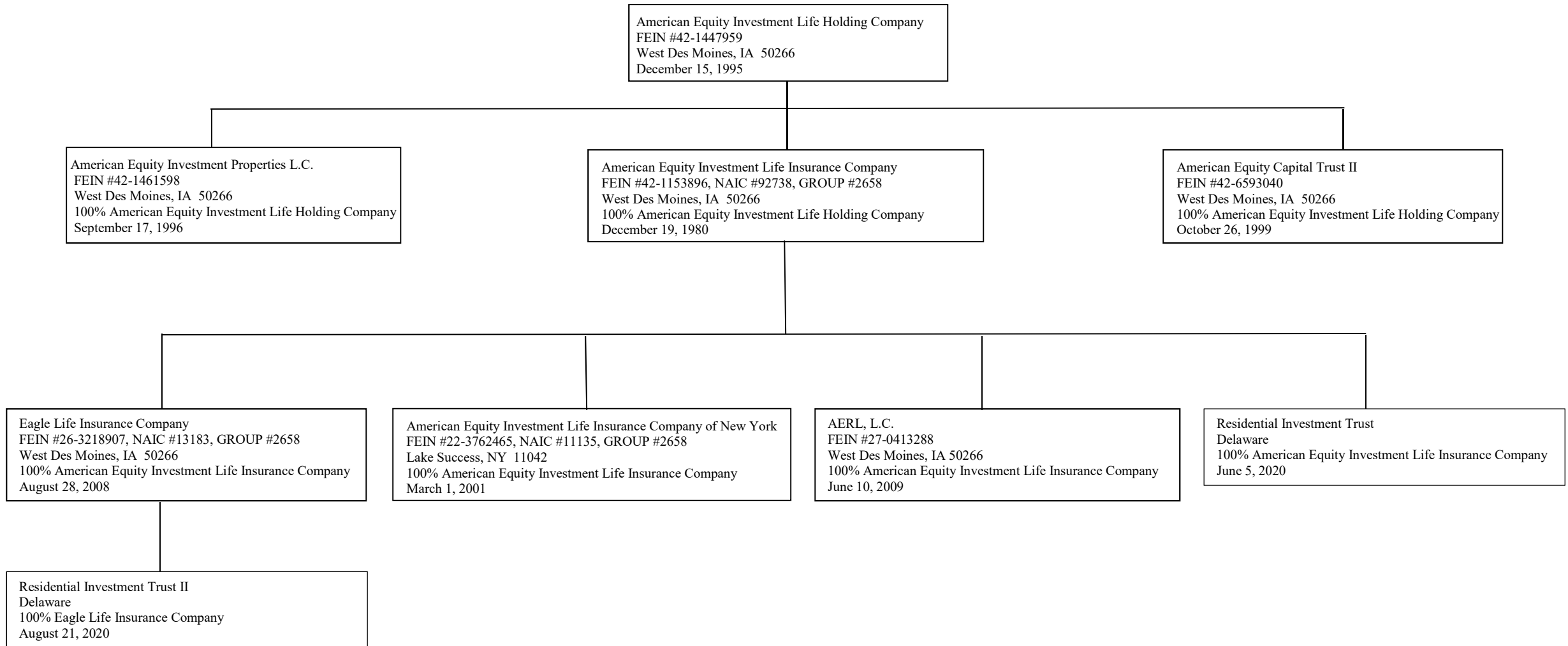
Current Year To Date - Allocated by States and Territories

States, Etc.	1	Life Contracts		Direct Business Only			
		2	3	4	5	6	7
	Active Status (a)	Life Insurance Premiums	Annuity Considerations	Accident and Health Insurance Premiums, Including Policy, Membership and Other Fees	Other Considerations	Total Columns 2 Through 5	Deposit-Type Contracts
1. Alabama	AL	L	204,965	10,213,527		10,418,492	
2. Alaska	AK	L		376,704		376,704	
3. Arizona	AZ	L	17,020	41,483,227		41,500,247	400,000
4. Arkansas	AR	L	191,678	4,989,823		5,181,501	
5. California	CA	L	10,522	97,685,366		97,695,888	520,896
6. Colorado	CO	L	9,883	48,349,614		48,359,497	
7. Connecticut	CT	L	432	23,503,624		23,504,056	201,383
8. Delaware	DE	L	832	22,414,288		22,415,120	
9. District of Columbia	DC	L	915	1,264,018		1,264,933	
10. Florida	FL	L	197,418	121,429,016		121,626,434	229,151
11. Georgia	GA	L	246,369	29,078,057		29,324,426	
12. Hawaii	HI	L	906	5,050,132		5,051,038	
13. Idaho	ID	L	492	13,523,215		13,523,708	
14. Illinois	IL	L	17,033	83,207,037		83,224,071	45,000
15. Indiana	IN	L	23,218	49,093,216		49,116,434	
16. Iowa	IA	L	6,733	24,512,865		24,519,598	245,993
17. Kansas	KS	L	40,813	14,176,241		14,217,054	
18. Kentucky	KY	L	34,033	34,833,437		34,867,470	666,665
19. Louisiana	LA	L	71,820	14,905,504		14,977,324	
20. Maine	ME	L		5,847,722		5,847,722	250,000
21. Maryland	MD	L	334	34,472,678		34,473,011	58,008
22. Massachusetts	MA	L	2,959	33,775,417		33,778,376	
23. Michigan	MI	L	13,677	68,281,631		68,295,307	99,965
24. Minnesota	MN	L	6,713	24,857,947		24,864,661	
25. Mississippi	MS	L	14,911	7,257,316		7,272,227	
26. Missouri	MO	L	35,326	65,799,851		65,835,177	
27. Montana	MT	L	9,108	1,893,404		1,902,512	
28. Nebraska	NE	L	2,952	8,459,337		8,462,289	
29. Nevada	NV	L	3,818	5,312,129		5,315,947	185,000
30. New Hampshire	NH	L	523	11,705,382		11,705,904	
31. New Jersey	NJ	L	19,689	43,959,258		43,978,947	172,657
32. New Mexico	NM	L	3,029	1,407,767		1,410,796	
33. New York	NY	N	3,174	315,002		318,175	
34. North Carolina	NC	L	223,555	51,218,389		51,441,944	
35. North Dakota	ND	L	314	5,736,934		5,737,248	
36. Ohio	OH	L	61,521	69,888,894		69,950,415	1,084,361
37. Oklahoma	OK	L	11,232	11,415,467		11,426,699	
38. Oregon	OR	L	504	9,272,915		9,273,419	548,600
39. Pennsylvania	PA	L	6,424	83,472,547		83,478,971	1,246,897
40. Rhode Island	RI	L		5,914,874		5,914,874	
41. South Carolina	SC	L	10,984	51,878,874		51,889,858	420,959
42. South Dakota	SD	L	5,432	10,896,435		10,901,867	
43. Tennessee	TN	L	189,224	41,489,794		41,679,017	89,149
44. Texas	TX	L	460,399	89,834,468		90,294,867	115,000
45. Utah	UT	L		6,279,397		6,279,397	
46. Vermont	VT	L		1,755,834		1,755,834	
47. Virginia	VA	L	14,661	28,609,653		28,624,314	87,224
48. Washington	WA	L	4,460	68,999,612		69,004,072	116,266
49. West Virginia	WV	L	9,908	3,323,099		3,333,008	153,631
50. Wisconsin	WI	L	1,375	22,541,021		22,542,395	
51. Wyoming	WY	L		1,279,141		1,279,141	
52. American Samoa	AS	N					
53. Guam	GU	N					
54. Puerto Rico	PR	N					
55. U.S. Virgin Islands	VI	N					
56. Northern Mariana Islands	MP	N					
57. Canada	CAN	N					
58. Aggregate Other Aliens	OT	XXX	1,493	247,503		248,996	
59. Subtotal	XXX		2,192,780	1,517,488,603		1,519,681,383	6,936,807
90. Reporting entity contributions for employee benefits plans	XXX						
91. Dividends or refunds applied to purchase paid-up additions and annuities	XXX						
92. Dividends or refunds applied to shorten endowment or premium paying period	XXX						
93. Premium or annuity considerations waived under disability or other contract provisions	XXX						
94. Aggregate or other amounts not allocable by State	XXX						
95. Totals (Direct Business)	XXX		2,192,780	1,517,488,603		1,519,681,383	6,936,807
96. Plus Reinsurance Assumed	XXX		157,843	28,690,658	46,082	28,894,583	
97. Totals (All Business)	XXX		2,350,623	1,546,179,261	46,082	1,548,575,966	6,936,807
98. Less Reinsurance Ceded	XXX		106,281	177,713,328		177,819,609	
99. Totals (All Business) less Reinsurance Ceded	XXX		2,244,342	1,368,465,933	46,082	1,370,756,357	6,936,807
DETAILS OF WRITE-INS							
58001. BULGARIA	XXX			9,454		9,454	
58002. CHINA	XXX			200,000		200,000	
58003. GERMANY	XXX		1,493			1,493	
58998. Summary of remaining write-ins for Line 58 from overflow page	XXX			38,049		38,049	
58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)	XXX		1,493	247,503		248,996	
9401.	XXX						
9402.	XXX						
9403.	XXX						
9498. Summary of remaining write-ins for Line 94 from overflow page	XXX						
9499. Totals (Lines 9401 through 9403 plus 9498)(Line 94 above)	XXX						

(a) Active Status Counts:

- L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG..... 50
- E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....
- N - None of the above - Not allowed to write business in the state..... 7
- R - Registered - Non-domiciled RRGs.....
- Q - Qualified - Qualified or accredited reinsurer.....

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



STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE 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	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Required? (Y/N)	*
			42-1447959	3981379	0001039828	NEW YORK STOCK EXCHANGE	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	IA	UDP	SHAREHOLDERS	Ownership	100.000	SHAREHOLDERS	N	
2658	AMERICAN EQUITY INVESTMENT GROUP	92738	42-1153896				AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY	IA	RE	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	N	
2658	AMERICAN EQUITY INVESTMENT GROUP	11135	22-3762465				AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY OF NEW YORK	NY	IA	AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	N	
2658	AMERICAN EQUITY INVESTMENT GROUP	13183	26-3218907				EAGLE LIFE INSURANCE COMPANY	IA	IA	AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	N	
							RESIDENTIAL INVESTMENT TRUST	DE	DS	AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	N	
							RESIDENTIAL INVESTMENT TRUST II	DE	NIA	EAGLE LIFE INSURANCE COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	N	
			27-0413288				AERL, LC	IA	DS	AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	Y	
			42-1461598				AMERICAN EQUITY INVESTMENT PROPERTIES, LC	IA	NIA	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	N	
			42-6593040				AMERICAN EQUITY CAPITAL TRUST II	IA	NIA	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	Ownership	100.000	AMERICAN EQUITY INVESTMENT LIFE HOLDING COMPANY	N	

Asterisk	Explanation

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY
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.

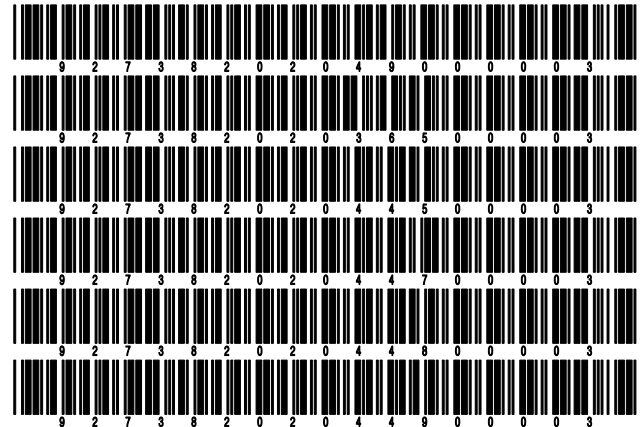
	Response
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement?	NO
2. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?	NO
3. Will the Reasonableness of Assumptions Certification required 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?	NO
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. NOT REQUIRED TO BE FILED BY THE COMPANY
2. NOT REQUIRED TO BE FILED BY THE COMPANY
3. NOT REQUIRED TO BE FILED BY THE COMPANY
5. NOT REQUIRED TO BE FILED BY THE COMPANY
6. NOT REQUIRED TO BE FILED BY THE COMPANY
7. NOT REQUIRED TO BE FILED BY THE COMPANY

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]
7. Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value) [Document Identifier 449]



STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY
OVERFLOW PAGE FOR WRITE-INS

Additional Write-ins for Assets Line 25

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
2504. OTHER ASSETS	30,289		30,289	375,359
2597. Summary of remaining write-ins for Line 25 from overflow page	30,289		30,289	375,359

Additional Write-ins for Liabilities Line 25

	1 Current Statement Date	2 December 31 Prior Year
2504. INT EXP DUE & ACCRUED INVESTMENTS	68,102	
2505. LAWSUIT SETTLEMENT - MCCORMACK		1,342,000
2597. Summary of remaining write-ins for Line 25 from overflow page	68,102	1,342,000

Additional Write-ins for Summary of Operations Line 27

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
2704. INTEREST EXPENSE - HANNOVER	614,019		
2705. LAWSUIT SETTLEMENT - MCCORMACK	(1,342,000)	17,170	17,170
2797. Summary of remaining write-ins for Line 27 from overflow page	(727,981)	17,170	17,170

Additional Write-ins for Schedule T Line 58

	1	Direct Business Only					
		Life Contracts		4 Accident and Health Insurance Premiums, Including Policy, Membership and Other Fees	5 Other Considerations	6 Total Columns 2 Through 5	7 Deposit-Type Contracts
States, Etc.	Active Status	2 Life Insurance Premiums	3 Annuity Considerations				
58004. JAPAN	XXX		20,000			20,000	
58005. MILITARY	XXX		18,049			18,049	
58997. Summary of remaining write-ins for Line 58 from overflow page	XXX		38,049			38,049	

SCHEDULE A - VERIFICATION

Real Estate

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

NONE**SCHEDULE B - VERIFICATION**

Mortgage Loans

	1 Year to Date	2 Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year	3,873,433,951	3,472,037,890
2. Cost of acquired:		
2.1 Actual cost at time of acquisition	741,141,638	831,743,232
2.2 Additional investment made after acquisition	38,367,221	29,141,231
3. Capitalized deferred interest and other		
4. Accrual of discount	389,759	493,918
5. Unrealized valuation increase (decrease)	(2,600,000)	(600,000)
6. Total gain (loss) on disposals	711,593	
7. Deduct amounts received on disposals	298,980,105	459,378,790
8. Deduct amortization of premium and mortgage interest points and commitment fees	2,444	3,530
9. Total foreign exchange change in book value/recorded investment excluding accrued interest		
10. Deduct current year's other than temporary impairment recognized	8,970,916	
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10)	4,343,490,697	3,873,433,951
12. Total valuation allowance		
13. Subtotal (Line 11 plus Line 12)	4,343,490,697	3,873,433,951
14. Deduct total nonadmitted amounts		
15. Statement value at end of current period (Line 13 minus Line 14)	4,343,490,697	3,873,433,951

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year	900,982,405	936,534,367
2. Cost of acquired:		
2.1 Actual cost at time of acquisition	6,596,433	36,715,140
2.2 Additional investment made after acquisition	110,891,868	205,144,489
3. Capitalized deferred interest and other		
4. Accrual of discount	70,853	3,247,097
5. Unrealized valuation increase (decrease)	(9,180,894)	(1,014,351)
6. Total gain (loss) on disposals	29,468	(13,696,500)
7. Deduct amounts received on disposals	36,538,527	246,625,803
8. Deduct amortization of premium and depreciation	2,435,472	3,133,473
9. Total foreign exchange change in book/adjusted carrying value		
10. Deduct current year's other than temporary impairment recognized	4,093,258	16,188,561
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10)	966,322,876	900,982,405
12. Deduct total nonadmitted amounts	316,878	347,462
13. Statement value at end of current period (Line 11 minus Line 12)	966,005,998	900,634,943

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year	49,602,965,704	47,681,795,467
2. Cost of bonds and stocks acquired	3,118,195,311	6,863,713,042
3. Accrual of discount	49,008,392	64,942,867
4. Unrealized valuation increase (decrease)	(5,918,100)	17,837,271
5. Total gain (loss) on disposals	23,302,235	16,603,595
6. Deduct consideration for bonds and stocks disposed of	4,438,771,394	4,955,560,985
7. Deduct amortization of premium	65,120,603	86,353,844
8. Total foreign exchange change in book/adjusted carrying value		
9. Deduct current year's other than temporary impairment recognized	89,302,215	21,680,718
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees	20,494,126	21,669,009
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10)	48,214,853,456	49,602,965,704
12. Deduct total nonadmitted amounts		
13. Statement value at end of current period (Line 11 minus Line 12)	48,214,853,456	49,602,965,704

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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)	26,056,545,576	1,089,980,336	656,319,476	(144,018,394)	26,839,759,859	26,056,545,576	26,346,188,042	28,562,020,474
2. NAIC 2 (a)	19,719,902,449	236,160,419	317,651,725	(388,275,708)	19,873,242,323	19,719,902,449	19,250,135,435	19,629,584,956
3. NAIC 3 (a)	1,698,758,481	14,023,122	93,957,143	344,335,844	1,298,916,700	1,698,758,481	1,963,160,304	1,150,311,096
4. NAIC 4 (a)	212,398,459	4,139,236	13,889,542	131,389,221	145,920,750	212,398,459	334,037,374	148,170,248
5. NAIC 5 (a)	37,770,443	84,832	5,700,730	41,068,108	21,152,075	37,770,443	73,222,653	60,454,612
6. NAIC 6 (a)	26,061,062	4,431,427	5,364,118	(3,047,903)	5,543,772	26,061,062	22,080,468	5,894,321
7. Total Bonds	47,751,436,470	1,348,819,372	1,092,882,734	(18,548,831)	48,184,535,479	47,751,436,470	47,988,824,277	49,556,435,707
PREFERRED STOCK								
8. NAIC 1	8,272,705				8,272,705	8,272,705	8,272,705	8,272,705
9. NAIC 2	3,000,000				3,000,000	3,000,000	3,000,000	3,000,000
10. NAIC 3	3,090,238				3,090,238	3,090,238	3,090,238	3,090,238
11. NAIC 4								
12. NAIC 5	3,804,475		83,127	83,127	3,742,033	3,804,475	3,804,475	4,265,025
13. NAIC 6	400				400	400	400	400
14. Total Preferred Stock	18,167,818		83,127	83,127	18,105,376	18,167,818	18,167,818	18,628,368
15. Total Bonds and Preferred Stock	47,769,604,288	1,348,819,372	1,092,965,861	(18,465,704)	48,202,640,855	47,769,604,288	48,006,992,095	49,575,064,075

(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 \$ 5,318,325 ; NAIC 2 \$ 35,787,550 ; NAIC 3 \$; NAIC 4 \$; NAIC 5 \$; NAIC 6 \$

SCHEDULE DA - PART 1

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Par Value	Actual Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals	41,105,874	xxx	41,113,945	1,547,037	19,256

SCHEDULE DA - VERIFICATION

Short-Term Investments

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year	57,801,914	
2. Cost of short-term investments acquired	12,849,346	57,831,217
3. Accrual of discount		
4. Unrealized valuation increase (decrease)		
5. Total gain (loss) on disposals		
6. Deduct consideration received on disposals	29,513,868	
7. Deduct amortization of premium	31,518	29,303
8. Total foreign exchange change in book/adjusted carrying value		
9. Deduct current year's other than temporary impairment recognized		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	41,105,874	57,801,914
11. Deduct total nonadmitted amounts		
12. Statement value at end of current period (Line 10 minus Line 11)	41,105,874	57,801,914

SCHEDULE DB - PART A - VERIFICATION

Options, Caps, Floors, Collars, Swaps and Forwards

1.	Book/Adjusted Carrying Value, December 31, prior year (Line 10, prior year)	394,697,121
2.	Cost Paid/(Consideration Received) on additions	518,506,961
3.	Unrealized Valuation increase/(decrease)	
4.	SSAP No. 108 adjustments	
5.	Total gain (loss) on termination recognized	584,660,632
6.	Considerations received/(paid) on terminations	584,660,632
7.	Amortization	(564,162,631)
8.	Adjustment to the Book/Adjusted Carrying Value of hedged item	
9.	Total foreign exchange change in Book/Adjusted Carrying Value	
10.	Book/Adjusted Carrying Value at End of Current Period (Lines 1+2+3+4+5-6+7+8+9)	349,041,451
11.	Deduct nonadmitted assets	
12.	Statement value at end of current period (Line 10 minus Line 11)	349,041,451

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	
	3.25 SSAP No. 108 adjustments	
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	
	4.23 SSAP No. 108 adjustments	
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.....	349,041,451
2.	Part B, Section 1, Column 15 plus Part B, Section 1 Footnote - Total Ending Cash Balance.....	
3.	Total (Line 1 plus Line 2)	349,041,451
4.	Part D, Section 1, Column 5	372,495,344
5.	Part D, Section 1, Column 6	(23,453,893)
6.	Total (Line 3 minus Line 4 minus Line 5)	
		Fair Value Check
7.	Part A, Section 1, Column 16	799,732,130
8.	Part B, Section 1, Column 13	
9.	Total (Line 7 plus Line 8)	799,732,130
10.	Part D, Section 1, Column 8	874,851,975
11.	Part D, Section 1, Column 9	(75,119,845)
12.	Total (Line 9 minus Line 10 minus Line 11)	
		Potential Exposure Check
13.	Part A, Section 1, Column 21	
14.	Part B, Section 1, Column 20	
15.	Part D, Section 1, Column 11	
16.	Total (Line 13 plus Line 14 minus Line 15)	

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	1,413,484,962	332,161,306
2. Cost of cash equivalents acquired	18,183,941,917	17,447,242,381
3. Accrual of discount	661,369	3,403,839
4. Unrealized valuation increase (decrease)	69,000	(76,000)
5. Total gain (loss) on disposals	(328,010)	18,000
6. Deduct consideration received on disposals	17,580,041,170	16,369,264,564
7. Deduct amortization of premium	6,052	
8. Total foreign exchange change in book/adjusted carrying value		
9. Deduct current year's other than temporary impairment recognized		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	2,017,782,016	1,413,484,962
11. Deduct total nonadmitted amounts		
12. Statement value at end of current period (Line 10 minus Line 11)	2,017,782,016	1,413,484,962

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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						
NONE								
0399999 - Totals								

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 Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances Prior Year	Change in Book/Adjusted Carrying Value Less Encumbrances					14 Book/Adjusted Carrying Value Less Encumbrances on Disposal	15 Amounts Received During Year	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal	19 Gross Income Earned Less Interest Incurred on Encumbrances	20 Taxes, Repairs and Expenses Incurred
	2 City	3 State						9 Current Year's Depreciation	10 Current Year's Other-Than-Temporary Impairment Recognized	11 Current Year's Change in Encumbrances	12 Total Change in Book/Adjusted Carrying Value (11-9-10)	13 Total Foreign Exchange Change in Book/Adjusted Carrying Value							
NONE																			
0399999 - Totals																			

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE B - PART 2

Showing All Mortgage Loans ACQUIRED AND ADDITIONS MADE During the Current Quarter

1 Loan Number	Location		4 Loan Type	5 Date Acquired	6 Rate of Interest	7 Actual Cost at Time of Acquisition	8 Additional Investment Made After Acquisition	9 Value of Land and Buildings
	2 City	3 State						
OAG1003	OTHELLO	WA		01/03/2019	6.520		1,788	7,500,000
OAG1015	KINGMAN	AZ		04/30/2020	3.160		3,450,000	26,120,000
OAG1020	METTLER	CA		07/21/2020	3.750	3,300,000		5,500,000
OAG1021	METTLER	CA		07/21/2020	3.750	4,050,000		6,750,000
OAG1022	BAKERSFIELD	CA		07/21/2020	3.750	288,000		480,000
OAG1023	BAKERSFIELD	CA		07/21/2020	3.750	1,812,000		3,020,000
OAG1024	BAKERSFIELD	CA		07/29/2020	3.720	1,310,840		9,250,000
OAG1025	UMATILLA	OR		07/30/2020	7.000	6,500,000		16,331,250
OAG1026	HARTLEY	TX		09/14/2020	4.970	2,300,000		26,254,717
OAG1029	JACKSONVILLE	IL		09/03/2020	5.000	475,000		767,500
OAG1030	FRESNO	CA		08/20/2020	4.380	410,301		3,200,000
OAG1032	FULTON	IN		09/16/2020	4.000	250,000		510,204
0199999. Mortgages in good standing - Farm Mortgages						20,696,141	3,451,788	105,683,671
2008802559	Carmel	CA		08/14/2020	4.375	1,676,100		3,000,000
2008802562	La Habra Heights	CA		08/14/2020	3.990	511,369		780,000
2008802557	Huntington Beach	CA		08/14/2020	4.990	1,034,500		1,240,000
2008802560	Pemngrove	CA		08/14/2020	4.990	623,900		1,040,000
2008802566	Newport Coast	CA		08/14/2020	4.500	1,015,220		2,100,000
2008802564	Canyon Country	CA		08/14/2020	5.375	602,990		670,000
2008802563	Castle Rock	CO		08/14/2020	4.990	840,000		1,050,000
2008802567	Rancho Santa Margarita	CA		08/14/2020	4.500	988,723		1,250,000
2008802565	Agoura Hills	CA		08/14/2020	4.500	1,498,800		2,000,000
2008802561	Sherman Oaks	CA		08/14/2020	4.125	846,395		1,675,000
2008802558	Mill Valley	CA		08/14/2020	4.500	698,153		1,210,000
2002802518	Palm Springs	CA		06/25/2020	6.500		16,500	
0299999. Mortgages in good standing - Residential mortgages-insured or guaranteed						10,336,150	16,500	16,015,000
0902490	PROVO	UT		07/14/2020	3.550	6,500,000		9,750,000
0902492	PLANTATION	FL		08/06/2020	3.900	1,525,000		8,500,000
9903E42	NEW YORK	NY		02/19/2020	3.660		211,199	17,366,136
990DOLL	BERKELEY	MO		08/05/2020	3.750	617,761	44,482	823,682
990HOW1	SAN FRANCISCO	CA		07/09/2019	6.737		2,027,310	28,521,360
990L7A1	SAN FRANCISCO	CA		09/30/2020	3.000	5,000,000		9,038,756
990LANE	NEW YORK	NY		04/15/2020	4.570		262,753	26,909,543
990LUM1	LOS ANGELES	CA		12/20/2019	4.500		236,748	26,441,036
990NCAP	WASHINGTON	DC		12/20/2019	3.756		10,014	9,074,410
990NJ3P	LINDEN	NJ		02/11/2020	6.000		741,095	25,062,656
990OCS1	LONG ISLAND CITY	NY		01/03/2020	4.809		517,715	30,425,963
990OPP1	NEWNAN	GA		07/27/2020	3.750	153,197		271,503
990PLH1	NEW YORK	NY		06/26/2019	5.483		131,377	13,457,557
990REN1	PHOENIX	AZ		08/01/2018	5.031		89,258	15,571,545
990RPK1	BROOKLYN	NY		07/18/2018	7.592		171,042	6,953,555
990USB1	LOS ANGELES	CA		09/15/2020	3.586	3,788,858		8,384,900
990VER1	SAN FRANCISCO	CA		07/24/2019	4.487		47,117	29,761,905
990W561	NEW YORK	NY		04/11/2018	8.050		539,902	15,873,016
V029750	BENBROOK	TX		06/20/2018	5.150		485,979	18,124,133
V029761	LEWISVILLE	TX		08/07/2018	4.850		104,217	20,580,000
V029777	BENBOOK	TX		11/22/2019	4.500		257,229	18,604,338
V029816	HOUSTON	TX		03/21/2019	5.350		687,294	31,843,438
V029851	IRVING	TX		06/21/2019	5.050		835,910	27,192,096
V029854	CORPUS CHRISTI	TX		07/30/2019	4.950		49,168	20,349,909
V029874	DALLAS	TX		09/09/2019	4.450		806,411	27,760,656
V029881	DALLAS	TX		09/09/2019	4.450		591,064	19,132,344
V029900	INDIANAPOLIS	IN		11/06/2019	4.970		573,339	49,615,185
V029955	HOUSTON	TX		02/26/2020	4.450		73,203	10,493,997
0599999. Mortgages in good standing - Commercial mortgages-all other						17,584,816	9,493,826	525,883,619

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE B - PART 2

Showing All Mortgage Loans ACQUIRED AND ADDITIONS MADE During the Current Quarter

1 Loan Number	2 Location		3 State	4 Loan Type	5 Date Acquired	6 Rate of Interest	7 Actual Cost at Time of Acquisition	8 Additional Investment Made After Acquisition	9 Value of Land and Buildings
	City								
990PLH2	NEW YORK		NY		06/26/2019	7.163		201,226	16,920,473
990SIWAN	LAKE BUENA VISTA		FL		11/02/2018	6.294		1,454,174	99,622,500
0699999. Mortgages in good standing - Mezzanine Loans								1,655,400	116,542,973
0899999. Total Mortgages in good standing								48,617,107	14,617,514
1699999. Total - Restructured Mortgages									
2499999. Total - Mortgages with overdue interest over 90 days									
3299999. Total - Mortgages in the process of foreclosure									
3399999 - Totals								48,617,107	14,617,514

SCHEDULE B - PART 3

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

1 Loan Number	2 Location		4 Loan Type	5 Date Acquired	6 Disposal Date	7 Book Value/Recorded Investment Excluding Accrued Interest Prior Year	8 Change in Book Value/Recorded Investment					14 Book Value/Recorded Investment Excluding Accrued Interest on Disposal	15 Consid-eration	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal
	City	State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other-Than-Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0900189	SPOKANE	WA		08/01/2003	07/27/2020	81,169						25,507	25,507			
0901114	WIXOM	MI		12/17/2008	08/27/2020	1,780,088						1,708,926	1,708,926			
0901293	JACKSONVILLE	FL		08/12/2010	08/12/2020	1,838,574						1,772,501	1,772,501			
0901294	INDIANAPOLIS	IN		07/01/2010	09/11/2020	1,605,873						1,563,087	1,563,087			
0901314	PHOENIX	AZ		09/08/2010	09/02/2020	2,114,757						2,027,315	2,027,315			
0901326	SPARKS	NV		10/19/2010	07/01/2020	1,647,114						1,617,811	1,617,811			
0901395	EUGENE	OR		02/22/2011	09/30/2020	4,031,231						3,923,259	3,923,259			
0901432	MONROE	NC		04/12/2011	09/28/2020	1,075,336						972,720	972,720			
0901611	PENNSAUKEN	NJ		05/18/2012	08/12/2020	1,214,141						1,185,889	1,185,889			
0901622	MINNEAPOLIS	MN		07/10/2012	09/10/2020	1,241,735						1,209,701	1,209,701			
0901633	DULUTH	GA		10/04/2012	09/04/2020	2,330,754						2,284,538	2,284,538			
0901674	LEXINGTON	KY		11/19/2012	08/18/2020	3,211,786						3,134,717	3,134,717			
0901700	FRANKLIN	TN		02/19/2013	08/07/2020	1,070,954						1,015,277	1,015,277			
0901710	ROCK HALL	MD		01/29/2013	07/22/2020	79,057						11,887	11,887			
0901752	LEE'S SUMMIT	MO		04/23/2013	07/24/2020	3,792,902						3,710,620	3,710,620			
0901783	PLANTATION	FL		08/06/2013	08/05/2020	1,430,121						1,397,025	1,397,025			
0901845	ORANGE	CA		11/06/2013	09/28/2020	3,724,814						3,634,278	3,634,278			
0901856	MURRELLS INLET	SC		01/08/2014	07/01/2020	6,991,315						6,881,658	6,881,658			
0901870	ST. PETER	MN		02/07/2014	09/25/2020	2,300,777						2,247,798	2,247,798			
0902021	NEWARK	DE		10/01/2015	07/22/2020	5,087,334						5,023,678	5,023,678			
990GV51	HOUSTON	TX		12/03/2018	07/27/2020	5,000,000						5,000,000	5,000,000			
990RIV3	GRESHAM	OR		06/28/2018	09/22/2020	67,575						67,575	67,575			
V029754	TAMPA	FL		08/01/2018	08/18/2020	14,806,982						15,000,000	15,000,000			
1912016855	Seattle	WA		06/25/2020	07/15/2020	742,483		2			2	757,625	757,625			
1912016876	Caldwell	ID		06/25/2020	08/14/2020	324,205		(17)			(17)	330,819	330,819			
1911015911	Daphne	AL		06/25/2020	09/15/2020	198,939		(9)			(9)	202,998	202,998			
2002802508	East Wenatchee	WA		06/25/2020	09/15/2020	287,919		(251)			(251)	293,521	293,521			
1912016909	San Jose	CA		06/25/2020	09/15/2020	1,346,187		(1,098)			(1,098)	1,373,735	1,373,735			
4191209448	Orange	CA		06/25/2020	09/15/2020	526,219		(503)			(503)	537,000	537,000			
2001017017	Las Vegas	NV		06/25/2020	09/15/2020	306,475		(7)			(7)	312,727	312,727			
1910015043	Davie	FL		06/25/2020	09/15/2020	600,206		45			45	612,447	612,447			

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
2001017533	Mesa	AZ		06/25/2020	08/14/2020	146,559		(6)				(6)		149,549		
4200110049	Raleigh	NC		06/25/2020	09/15/2020	244,486		25				25		249,261		
0199999. Mortgages closed by repayment						71,248,067		(1,819)			(1,819)		65,415,767	70,235,449		
0900189	SPokane	WA		08/01/2003		81,169								8,070		
0900208	DUBLIN	OH		10/07/2003		88,743								20,324		
0900209	COLUMBUS	OH		10/07/2003		177,487								40,648		
0900249	ALICE	TX		04/15/2004		356,444								54,193		
0900292	AMMON	ID		05/27/2004		367,324								54,123		
0900447	MEMPHIS	TN		05/10/2005		457,990								40,926		
0900509	ALBUQUERQUE	NM		09/15/2005		411,307								22,154		
0900510	ALBUQUERQUE	NM		09/15/2005		191,363								10,308		
0900561	SOUTHFIELD	MI		12/15/2005		5,069,889								38,094		
0900588	CAREFREE	AZ		02/21/2006		177,500								31,593		
0900589	SCOTTSDALE	AZ		04/13/2006		152,001								24,050		
0900678	FOUNTAIN HILL	AZ		05/11/2006		999,668								6,257		
0900755	TUALATIN	OR		10/11/2006		419,357								23,057		
0900767	ANN ARBOR	MI		04/30/2007		869,432								108,408		
0900783	GARDENDALE	AL		02/16/2007		319,358								16,113		
0900863	MADISON HEIGHTS	MI		09/12/2007		523,068								30,359		
0900864	BRIGHTON	MI		09/12/2007		1,004,290								58,290		
0900869	BAKERSFIELD	CA		10/03/2007		482,509								25,200		
0900932	DALLAS	TX		12/13/2007		597,801								24,787		
0900984	MARTINSBURG	WV		03/17/2008		831,531								56,284		
0901094	PINEVILLE	NC		08/28/2008		619,590								22,132		
0901114	WIXOM	MI		12/17/2008		1,780,088								18,082		
0901172	BETHESDA	MD		07/30/2009		1,713,761								52,721		
0901180	JONESBORO	AR		12/02/2009		1,898,830								16,482		
0901187	DALLAS	TX		08/17/2009		691,494								13,245		
0901195	MARTINSBURG	WV		11/09/2009		1,862,069								51,755		
0901205	AUSTIN	TX		10/30/2009		1,602,632								49,974		
0901207	HICKORY	NC		10/29/2009		700,802								85,556		
0901228	BEACHWOOD	OH		12/15/2009		534,520								59,188		
0901233	OVERLAND PARK	KS		02/01/2010		2,140,612								90,521		
0901246	CHARLOTTE	NC		03/15/2010		834,552								24,319		
0901261	HELENA	MT		05/06/2010		172,040								6,584		
0901262	BETHANY	OK		05/06/2010		199,075								7,619		
0901290	VANDALIA	OH		08/05/2010		1,163,433								43,467		
0901293	JACKSONVILLE	FL		08/12/2010		1,838,574								9,744		
0901294	INDIANAPOLIS	IN		07/01/2010		1,605,873								14,404		
0901305	OREM	UT		07/01/2010		3,179,009								86,581		
0901314	PHOENIX	AZ		09/08/2010		2,114,757								22,224		
0901322	JACKSON	MS		10/29/2010		2,498,221								22,355		
0901325	BEAUMONT	TX		12/02/2010		326,583								11,274		
0901331	CARROLLTON	TX		10/08/2010		734,053								18,139		
0901334	CLEVELAND	OH		12/09/2010		993,965								34,058		
0901345	RANCHO SANTA MARGARITA	CA		12/20/2010		971,160								23,495		
0901356	MONTCLAIR	CA		03/01/2011		1,123,749								13,864		
0901361	LINCOLN	NE		02/01/2011		1,341,189								43,304		
0901366	EL PASO	TX		11/22/2010		721,719								25,207		
0901368	HOUSTON	TX		01/13/2011		1,039,619								24,842		
0901386	CONROE	TX		02/22/2011		935,210								8,535		

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0901395	EUGENE	OR		02/22/2011		4,031,231							36,314			
0901398	STROUDSBURG	PA		01/31/2011		2,280,840							29,207			
0901403	TEMPE	AZ		02/28/2011		1,099,867							37,722			
0901417	CINCINNATI	OH		04/04/2011		1,007,546							41,515			
0901432	MONROE	NC		04/12/2011		1,075,336							34,866			
0901436	LOGAN TOWNSHIP	NJ		04/07/2011		893,287							7,878			
0901437	LOGAN TOWNSHIP	NJ		03/30/2011		2,105,024							18,721			
0901444	NATIONAL CITY	CA		06/13/2011		722,925							22,590			
0901445	HEBRON	KY		05/11/2011		542,290							17,758			
0901458	RIVERSIDE	CA		06/23/2011		2,204,431							19,161			
0901472	MAYFIELD HEIGHTS	OH		07/28/2011		899,173							124,373			
0901474	MONTCLAIR	CA		08/11/2011		4,124,366							3,157,038			
0901475	HUNTSVILLE	AL		06/30/2011		821,803							18,554			
0901480	MILWAUKEE	WI		07/12/2011		1,851,691							17,420			
0901482	JACKSON	MS		07/21/2011		555,153							17,296			
0901484	WEST ALLIS	WI		07/19/2011		481,085							20,907			
0901486	BOULDER	CO		12/06/2011		1,484,167							12,664			
0901514	GLENDALE	WI		09/23/2011		2,348,816							21,761			
0901521	TAYLORSVILLE	UT		09/30/2011		1,358,963							41,118			
0901523	KNOXVILLE	TN		09/30/2011		477,632							64,052			
0901528	EDEN PRAIRIE	MN		09/26/2011		1,501,632							48,712			
0901534	SAN ANTONIO	TX		09/12/2011		1,104,174							29,951			
0901535	SALT LAKE CITY	UT		10/18/2011		758,059							17,693			
0901542	DRAPER	UT		12/15/2011		1,838,719							15,689			
0901557	CHARLOTTE	NC		02/06/2012		856,842							7,401			
0901559	TACOMA	WA		02/15/2012		3,617,395							17,022			
0901560	TACOMA	WA		02/15/2012		1,919,433							9,032			
0901571	HARRISON CITY	PA		04/30/2012		7,595,034							69,940			
0901575	ABERDEEN	NC		04/26/2012		6,813,428							60,288			
0901579	JACKSON	MS		04/17/2012		5,220,132							52,502			
0901585	DRAPER	UT		03/30/2012		404,096							16,753			
0901602	TIGARD	OR		06/13/2012		1,383,775							38,711			
0901603	ALISA VIEJO	CA		05/31/2012		3,270,770							29,542			
0901606	ATLANTA	GA		06/13/2012		1,325,715							19,653			
0901608	BRENTWOOD	TN		05/31/2012		2,549,713							24,084			
0901610	SPRINGFIELD	MO		06/27/2012		1,343,196							28,066			
0901611	PENNSAUKEN	NJ		05/18/2012		1,214,141							7,153			
0901616	ANDERSON	IN		07/12/2012		4,084,776							38,049			
0901618	ORANGE	CA		06/27/2012		1,027,944							9,117			
0901622	MINNEAPOLIS	MN		07/10/2012		1,241,735							10,759			
0901625	RIVERVIEW	FL		08/28/2012		2,941,485							78,581			
0901632	SOMERSET	KY		09/07/2012		2,471,690							35,457			
0901633	DULUTH	GA		10/04/2012		2,330,754							13,299			
0901636	PASADENA	CA		09/04/2012		3,376,534							91,492			
0901641	JOHNSON CITY	TN		09/10/2012		5,775,677							51,300			
0901642	LOGAN	UT		09/11/2012		4,826,816							42,872			
0901643	SNELVILLE	GA		10/01/2012		867,495							17,379			
0901644	KALAMAZOO	MI		09/20/2012		1,477,455							83,071			
0901645	WEST SENeca	NY		10/18/2012		1,973,877							39,405			
0901646	BENICIA	CA		09/05/2012		613,767							16,363			
0901651	MILL VALLEY	CA		09/25/2012		1,787,206							47,322			

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0901654	CAMARILLO	CA		09/28/2012		1,175,306							10,612			
0901655	CITY OF LEON VALLEY	TX		10/10/2012		887,465							17,621			
0901661	PINSON	AL		11/20/2012		2,805,832							74,811			
0901664	LEXINGTON	KY		11/01/2012		2,599,218							38,174			
0901665	ATLANTA	GA		11/13/2012		1,897,660							38,035			
0901668	FOLSOM	PA		12/18/2012		1,225,274							24,156			
0901673	DRAPER	UT		11/21/2012		930,227							24,374			
0901674	LEXINGTON	KY		11/19/2012		3,211,786							19,482			
0901676	STERLING HEIGHTS	MI		12/21/2012		2,442,448							63,096			
0901678	BROKEN ARROW	OK		12/12/2012		1,283,912							17,957			
0901679	PHENIX CITY	AL		12/14/2012		2,099,694							41,170			
0901682	MARYVILLE	TN		12/13/2012		1,773,353							35,750			
0901686	REDMOND	WA		12/20/2012		1,734,343							15,606			
0901687	LYNNWOOD	WA		12/20/2012		949,759							8,546			
0901688	NEW HOPE	IN		12/27/2012		1,240,957							24,265			
0901689	SOMERSET	NJ		01/07/2013		1,662,617							14,620			
0901691	ST CLOUD	MN		12/20/2012		2,194,120							19,527			
0901693	CINCINNATI	OH		12/27/2012		565,684							131,966			
0901695	BENSALEM	PA		01/08/2013		6,714,664							94,551			
0901697	DURHAM	NC		02/25/2013		1,470,950							27,998			
0901699	FLORENCE	KY		01/24/2013		1,018,632							44,650			
0901700	FRANKLIN	TN		02/19/2013		1,070,954							14,076			
0901701	SNYDER	TX		02/20/2013		1,690,761							22,707			
0901703	PACE	FL		02/01/2013		2,577,056							22,661			
0901704	TOWN OF PERINTON	NY		01/28/2013		1,160,280							22,523			
0901705	KENNESAW	GA		01/09/2013		1,734,231							15,384			
0901707	TUCSON	AZ		03/28/2013		4,631,491							88,026			
0901708	ORANGE	CA		01/30/2013		2,271,860							20,536			
0901709	MINNEAPOLIS	MN		02/12/2013		3,916,811							35,136			
0901710	ROCK HALL	MD		01/29/2013		79,057							9,703			
0901711	COMMERCE TOWNSHIP	MI		02/28/2013		1,080,333							12,887			
0901713	CRESTVIEW HILLS	KY		02/26/2013		1,373,124							50,451			
0901716	KENNESAW	GA		02/28/2013		1,038,812							20,221			
0901717	WEST PALM BEACH	FL		03/05/2013		2,658,667							37,076			
0901718	WOODSIDE	NY		03/25/2013		5,680,275							51,198			
0901719	GLENDALE	WI		03/28/2013		2,078,242							18,525			
0901720	WASHINGTON	DC		03/11/2013		3,408,317							30,382			
0901721	TAKOMA PARK	MD		03/11/2013		1,246,945							11,115			
0901722	CHICAGO	IL		05/17/2013		1,416,861							26,546			
0901725	MINNETONKA	MN		04/01/2013		3,434,668							68,068			
0901726	MINNETONKA	MN		04/01/2013		3,434,668							68,068			
0901730	BLAINE	MN		04/01/2013		2,747,735							54,455			
0901731	SAN ANTONIO	TX		04/18/2013		1,282,258							10,914			
0901734	ROMEVILLE	IL		04/30/2013		1,035,559							19,984			
0901735	FOUNTAIN VALLEY	CA		04/10/2013		1,322,216							16,363			
0901736	PLANTATION	FL		04/11/2013		2,106,611							18,698			
0901738	HIGHLAND PARK	IL		04/16/2013		2,911,116							26,064			
0901743	EAGAN	MN		04/01/2013		1,368,349							26,458			
0901744	ROSWELL	GA		04/30/2013		5,368,973							87,060			
0901745	MANSFIELD	TX		05/16/2013		988,009							18,728			
0901746	MOBILE	AL		05/24/2013		791,548							19,418			

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0901748	SOUTH JORDAN	UT		05/22/2013		2,493,151							22,555			
0901749	SAN DIEGO	CA		06/25/2013		2,467,939							21,813			
0901751	HAMBURG	NY		05/09/2013		820,658							15,420			
0901752	LEE'S SUMMIT	MO		04/23/2013		3,792,902							11,872			
0901753	KIRKLAND	WA		04/30/2013		1,151,400							29,204			
0901754	NOVI	MI		05/15/2013		878,364							11,868			
0901755	DEERFIELD	IL		05/22/2013		2,001,833							17,811			
0901757	WOODBIDGE	VA		05/31/2013		874,366							7,667			
0901760	SPRING	TX		05/30/2013		2,399,642							21,113			
0901764	MOBILE	AL		06/18/2013		1,246,103							24,913			
0901766	LA PUENTE	CA		06/03/2013		652,025							42,901			
0901767	MILL VALLEY	CA		06/10/2013		759,762							18,378			
0901771	INDIANAPOLIS	IN		06/25/2013		960,255							18,173			
0901772	TORRANCE	CA		06/27/2013		1,662,331							14,984			
0901773	SOUTHAVEN	MS		07/08/2013		754,833							29,834			
0901775	PHOENIX	AZ		07/10/2013		3,229,192							13,098			
0901777	ROCKY MOUNT	NC		06/26/2013		1,890,366							35,571			
0901778	ALPHARETTA	GA		06/27/2013		1,086,423							9,443			
0901780	ORANGE	CA		06/28/2013		920,248							8,134			
0901781	CHARLOTTE	NC		07/19/2013		1,419,577							40,900			
0901782	AGOURA HILLS	CA		08/14/2013		1,705,859							32,045			
0901783	PLANTATION	FL		08/06/2013		1,430,121							8,362			
0901785	TUCSON	AZ		07/03/2013		2,191,412							18,818			
0901788	FERGUSON	MO		08/13/2013		4,390,724							52,953			
0901792	NEW BERLIN	WI		08/07/2013		2,490,786							34,414			
0901797	ELLSVILLE	MO		08/13/2013		6,690,627							80,691			
0901801	STONE MOUNTAIN	GA		08/14/2013		4,829,395							36,626			
0901802	NEWPORT NEWS	VA		08/01/2013		5,277,326							32,769			
0901803	HAMBURG	NY		08/15/2013		3,029,895							26,389			
0901805	BIRMINGHAM	AL		09/03/2013		6,601,073							85,658			
0901808	ANN ARBOR	MI		08/29/2013		1,560,399							28,725			
0901809	PERRY	GA		07/31/2013		1,675,260							22,095			
0901814	TUSCON	AZ		09/26/2013		566,388							75,051			
0901815	ATLANTA	GA		09/10/2013		1,826,074							15,090			
0901818	SYRACUSE	NY		09/17/2013		2,165,709							23,081			
0901819	LAWRENCEVILLE	NJ		10/09/2013		1,881,868							15,309			
0901820	CARROLLTON	GA		09/26/2013		1,042,633							18,419			
0901821	ATHENS	GA		09/26/2013		1,829,181							32,314			
0901822	MIAMI	FL		09/25/2013		2,737,420							22,098			
0901823	EL PASO	TX		10/17/2013		2,372,097							55,000			
0901824	SPRING HILL	KS		10/03/2013		1,129,206							37,733			
0901826	BELLEVUE	WA		09/30/2013		983,498							17,551			
0901828	INDIANAPOLIS	IN		09/19/2013		2,882,257							68,252			
0901829	ADDISON	IL		10/10/2013		7,507,903							99,847			
0901830	BREA	CA		10/30/2013		2,131,075							17,662			
0901831	REDMOND	WA		10/07/2013		3,499,538							28,803			
0901835	LORTON	VA		11/21/2013		6,626,931							52,535			
0901836	SAINT JOHNS	FL		10/03/2013		684,096							15,448			
0901837	SCOTTSDALE	AZ		10/24/2013		939,919							7,691			
0901838	SCOTTSDALE	AZ		10/24/2013		1,281,708							10,488			
0901839	SCOTTSDALE	AZ		10/24/2013		1,708,944							13,983			

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0901844	HOUSTON	TX		11/12/2013		1,118,706								19,005		
0901845	ORANGE	CA		11/06/2013		3,724,814								30,378		
0901846	MEMPHIS	TN		01/15/2014		8,009,416								65,414		
0901847	KENNESAW	GA		11/01/2013		1,617,132								19,980		
0901849	SHERWOOD	OR		12/18/2013		1,859,845								40,912		
0901850	RIVERVIEW	FL		12/04/2013		831,267								21,079		
0901855	WICHITA FALLS	TX		11/19/2013		1,394,366								12,676		
0901857	NEW YORK	NY		11/22/2013		2,554,300								44,196		
0901862	FORT WORTH	TX		01/02/2014		1,180,239								41,614		
0901863	CHITTENANGO	NY		12/19/2013		2,235,978								38,205		
0901866	GERMANTOWN	WI		01/07/2014		1,518,277								34,273		
0901870	ST. PETER	MN		02/07/2014		2,300,777								17,778		
0901871	CHANHASSEN	MN		01/21/2014		4,114,720								42,314		
0901872	ARDMORE	PA		01/07/2014		1,100,934								8,699		
0901873	BROOKFIELD	WI		01/17/2014		8,829,345								74,687		
0901875	CHARLOTTE	NC		01/16/2014		1,252,554								9,874		
0901878	STONE MOUNTAIN	GA		01/22/2014		5,185,318								41,365		
0901881	VIRGINIA BEACH	VA		01/31/2014		1,424,103								24,089		
0901882	EXTON	PA		01/23/2014		639,588								14,078		
0901883	LOGAN	UT		04/14/2014		8,624,953								45,301		
0901887	FORT WAYNE	IN		03/17/2014		6,528,619								141,965		
0901888	COLORADO SPRINGS	CO		05/16/2014		3,795,683								28,126		
0901889	CORPUS CHRISTI	TX		03/20/2014		1,945,934								31,674		
0901891	KANNAPOLIS	NC		04/01/2014		2,623,127								19,556		
0901892	CHARLOTTE	NC		03/27/2014		1,746,055								13,146		
0901893	MIDLOTHIAN	VA		03/27/2014		1,944,756								14,949		
0901894	MARIETTA	GA		04/10/2014		3,624,549								42,979		
0901896	TUCSON	AZ		03/27/2014		1,623,744								19,499		
0901897	SNELLVILLE	GA		05/02/2014		1,744,262								13,460		
0901898	ODESSA	TX		04/30/2014		2,121,909								35,773		
0901899	ODESSA	TX		04/30/2014		2,425,039								40,883		
0901900	GAINESVILLE	FL		04/15/2014		3,624,652								27,468		
0901901	VICTORIA	TX		05/14/2014		1,742,607								26,451		
0901902	MEBANE	NC		05/01/2014		6,710,946								51,545		
0901903	INDIANAPOLIS	IN		06/27/2014		4,356,836								49,164		
0901906	WICHITA FALLS	TX		05/01/2014		6,537,290								44,497		
0901907	SOUTHAVEN	MS		05/14/2014		1,661,039								20,636		
0901911	NEW HUDSON	MI		06/02/2014		3,075,784								49,809		
0901912	BLOOMFIELD HILLS	MI		06/02/2014		3,236,685								52,077		
0901913	HOUSTON	TX		06/05/2014		3,241,415								24,540		
0901914	DENVER	CO		05/01/2014		2,749,503								46,197		
0901915	GAINESVILLE	FL		06/25/2014		4,729,180								56,671		
0901916	CRANBURY	NJ		09/09/2014		835,947								39,817		
0901917	RIALTO	CA		06/16/2014		3,820,279								20,131		
0901919	KATY	TX		07/21/2014		3,286,256								38,777		
0901920	FORT WORTH	TX		10/01/2014		6,828,211								108,154		
0901921	CHESAPEAKE	MD		06/30/2014		6,278,877								48,952		
0901922	WINCHESTER	KY		07/30/2014		3,889,840								31,291		
0901923	DOTHAN	AL		10/01/2014		1,914,075								14,480		
0901926	MINNETONKA	MN		07/29/2014		4,530,420								41,481		
0901927	LONG BEACH	CA		08/18/2014		2,104,726								16,128		

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0901928	ANNADALE	VA		09/02/2014		3,077,326							23,424			
0901930	CHICAGO	IL		07/31/2014		2,270,330							17,719			
0901931	AMES	IA		09/18/2014		2,825,409							44,768			
0901932	KENNESAW	GA		09/17/2014		1,938,681							31,203			
0901933	CRANBURY	NJ		12/02/2014		1,968,952							39,693			
0901934	AUSTIN	TX		10/21/2014		2,469,928							18,570			
0901936	AUSTELL	GA		10/30/2014		2,244,227							25,736			
0901937	LOUISVILLE	KY		10/31/2014		2,213,644							27,306			
0901938	URBANDALE	IA		11/03/2014		11,856,662							98,739			
0901939	RIVERSIDE	CA		12/01/2014		1,751,346							13,993			
0901942	READINGTON	NJ		12/23/2014		9,249,825							190,057			
0901943	LOPATONG TOWNSHIP/PHILLIPSBURG	NJ		12/23/2014		9,393,970							161,580			
0901944	SEATTLE	WA		02/09/2015		3,103,484							17,386			
0901945	BRENTWOOD	CA		12/01/2014		3,962,040							30,520			
0901946	MADISON	TN		01/06/2015		988,183							32,617			
0901947	CHICAGO	IL		12/12/2014		2,939,737							60,805			
0901948	CHICAGO	IL		12/12/2014		2,542,873							52,597			
0901951	ROUND ROCK	TX		02/25/2015		1,857,865							14,232			
0901954	SARTELL	MINN.		12/17/2014		4,823,998							38,548			
0901955	AUSTIN	TX		01/08/2015		1,878,359							15,153			
0901956	KENNESAW	GA		12/17/2014		1,789,041							19,126			
0901957	FOREST GROVE	OR		12/23/2014		2,623,869							15,807			
0901958	FOREST GROVE	OR		12/23/2014		1,764,326							10,629			
0901959	TUCSON	AZ		12/23/2014		1,539,938							30,878			
0901960	WEST VALLEY CITY	UT		03/02/2015		5,737,555							44,986			
0901961	VALENCIA	CA		12/30/2014		3,893,310							63,253			
0901963	GRAND FORKS	ND		12/30/2014		2,196,688							17,342			
0901964	LEXINGTON	KY		02/02/2015		5,195,118							41,437			
0901965	THOUSAND OAKS	CA		07/14/2015		3,223,622							17,596			
0901968	ORO VALLEY	AZ		01/28/2015		1,672,759							13,176			
0901969	MUKILTEO	WA		01/30/2015		1,116,876							22,351			
0901970	SAINT JOHNS	FL		02/19/2015		1,834,159							21,651			
0901972	JACKSON	MS		02/11/2015		4,144,268							33,163			
0901973	TUCSON	AZ		02/10/2015		4,397,319							34,890			
0901974	TUSTIN	CA		03/24/2015		2,109,636							17,430			
0901975	FULLERTON	CA		03/26/2015		5,889,398							48,660			
0901977	GREECE	NY		03/11/2015		1,524,620							53,148			
0901978	HAMBURG	NY		03/13/2015		877,110							13,513			
0901979	ROCK TAVERN	NY		12/23/2014		1,448,280							29,758			
0901980	AMELIA	OH		03/31/2015		3,739,281							45,665			
0901981	GAHANNA	OH		03/10/2015		5,559,869							32,626			
0901982	OAK CREEK	WI		03/11/2015		3,741,985							30,584			
0901983	MONTICELLO	MINN.		04/28/2015		1,401,180							21,470			
0901984	CHARLESTON	SC		02/26/2015		1,500,591							11,766			
0901985	BRIDGEFORD	MO		03/16/2015		3,445,132							27,186			
0901986	LOUISVILLE	KY		04/29/2015		3,222,437							31,061			
0901987	BIRMINGHAM	AL		03/02/2015		3,097,696							48,373			
0901989	STERLING HEIGHTS	MI		06/17/2015		4,168,776							64,191			
0901990	DURHAM	NC		03/24/2015		1,289,445							20,203			
0901991	BRONX	NY		04/30/2015		7,294,815							58,622			
0901992	OCFEE	FL		04/28/2015		4,157,928							31,678			

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0901994	HILLSBORO	OR		04/30/2015		3,193,952							24,741			
0901995	BROOKFIELD	WI		04/13/2015		4,575,649							37,993			
0901996	BROOKFIELD	WI		04/10/2015		1,627,875							13,517			
0901997	WILMINGTON	CA		07/24/2015		13,417,753							198,919			
0901998	OMAHA	NE		05/15/2015		4,449,212							71,215			
0901999	MIDDLEBURG HEIGHTS	OH		04/23/2015		3,316,133							40,207			
0902000	FULLERTON	CA		04/30/2015		6,387,904							49,483			
0902001	ALBUQUERQUE	NM		04/28/2015		5,553,034							59,133			
0902002	WEBSTER	TX		04/28/2015		4,342,128							57,535			
0902004	LAS VEGAS	NV		05/14/2015		2,473,703							48,086			
0902005	HOLDEN	MA		07/01/2015		9,152,251							69,299			
0902006	GRESHAM	OR		04/30/2015		4,664,939							26,282			
0902007	MENDOTA HEIGHTS	IL		06/11/2015		3,477,575							26,616			
0902008	SAN JOSE	CA		05/21/2015		1,661,700							25,682			
0902009	SAN JOSE	CA		05/28/2015		3,211,552							17,743			
0902010	TUALATIN	OR		05/21/2015		3,988,918							31,488			
0902012	FARMERS BRANCH	TX		06/01/2015		2,720,210							42,184			
0902013	FULLERTON	CA		06/04/2015		2,296,896							12,703			
0902014	MIDLAND	TX		05/14/2015		15,080,993							112,805			
0902015	HUNTINGTON BEACH	CA		09/01/2015		6,904,575							38,430			
0902016	AUSTIN	TX		06/19/2015		1,630,923							31,222			
0902017	SAN JOSE	CA		07/06/2015		6,856,499							105,272			
0902018	OCONOMOWOC	WI		08/27/2015		16,077,510							124,709			
0902019	ORANGE	CA		06/18/2015		1,773,522							14,317			
0902020	SALEM	OR		06/16/2015		1,898,140							41,154			
0902021	NEWARK	DE		10/01/2015		5,087,334							9,430			
0902022	WARREN	MI		06/17/2015		2,476,474							47,995			
0902023	NEWPORT NEWS	VA		07/09/2015		1,340,767							10,202			
0902024	FLORENCE	KY		06/18/2015		2,248,603							17,643			
0902025	ANNAPOLIS	MD		07/01/2015		6,654,782							52,861			
0902027	COLLEVILLE	TX		06/26/2015		3,293,875							25,526			
0902029	SAN ANTONIO	TX		06/24/2015		2,298,249							34,974			
0902030	AUBURN	WA		06/25/2015		1,358,939							26,015			
0902031	TACOMA	WA		06/25/2015		2,847,300							54,508			
0902034	LAWRENCEVILLE	GA		07/23/2015		3,200,696							31,821			
0902035	ST PAUL	MN		07/15/2015		4,212,541							65,693			
0902036	ST. LOUIS PARK	MINN		06/18/2015		9,465,464							74,266			
0902037	MISSION VIEJO	CA		09/17/2015		5,829,874							44,389			
0902038	IRVINE	CA		06/30/2015		3,118,369							24,016			
0902039	CORPUS CHRISTI	TX		08/13/2015		1,799,448							26,932			
0902040	PORT ARANSAS	TX		08/13/2015		2,271,701							34,000			
0902041	SALEM	OR		07/30/2015		3,749,834							28,415			
0902042	SOUTH BEND	IN		08/12/2015		1,317,378							51,194			
0902043	OCFEE	FL		09/15/2015		1,099,310							20,162			
0902044	ORLANDO	FL		09/15/2015		1,727,487							31,684			
0902045	MECHANICSVILLE	VA		08/06/2015		8,794,949							67,038			
0902046	VISTA	CA		07/08/2015		5,340,038							29,267			
0902047	POMPANO BEACH	FL		08/14/2015		2,574,965							28,074			
0902048	PEARLAND	TX		08/04/2015		3,686,007							27,119			
0902050	ALBUQUERQUE	NM		08/13/2015		5,503,767							55,197			
0902051	GREENFIELD	WI		09/09/2015		8,537,501							63,947			

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0902052	MIDDLETON	WI		08/13/2015		4,047,458							29,665			
0902053	ALPHARETTA	GA		01/05/2016		3,641,095							30,702			
0902054	NASHVILLE	TN		12/01/2015		2,526,384							18,842			
0902055	JACKSONVILLE	FL		10/07/2015		2,451,792							27,074			
0902056	JACKSONVILLE	FL		10/01/2015		3,514,707							39,086			
0902057	SAN JOSE	CA		11/03/2015		3,253,063							16,960			
0902058	ROCKVILLE	MD		12/14/2015		3,279,968							22,707			
0902059	SCOTTSDALE	AZ		10/01/2015		2,571,737							28,600			
0902060	CHARLOTTE	NC		10/15/2015		4,299,852							31,253			
0902061	STAFFORD	TX		09/29/2015		4,096,962							60,457			
0902062	FLOWOOD	MS		10/27/2015		2,416,475							26,201			
0902063	BELLEVUE	WA		10/26/2015		6,657,065							98,120			
0902064	EARTH CITY	MO		11/17/2015		3,074,876							22,468			
0902065	EXTON	PA		10/30/2015		4,729,265							35,218			
0902066	SERLING HEIGHTS	MI		01/14/2016		2,231,991							58,313			
0902067	WEST CHESTER	OH		01/11/2016		2,940,426							21,459			
0902068	AUSTIN	TX		12/10/2015		4,825,628							69,109			
0902069	WATAUGA	TX		11/19/2015		3,654,233							27,254			
0902070	SAN ANTONIO	TX		11/12/2015		2,116,049							30,292			
0902071	SHOREWOOD	MIN		11/04/2015		5,423,906							39,786			
0902072	PORTLAND	OR		11/30/2015		1,991,054							14,456			
0902073	CHULA VISTA	CA		11/19/2015		2,754,579							17,119			
0902074	TUCSON	AZ		12/03/2015		5,809,469							41,663			
0902075	SOUTH JORDAN	UT		11/17/2015		2,991,687							21,386			
0902076	OAKLAND	CA		02/01/2016		10,908,441							78,383			
0902078	ST CLOUD	MIN		01/29/2016		7,623,327							55,633			
0902079	BOULDER	CO		12/31/2015		2,116,480							30,639			
0902080	GAINESVILLE	FL		12/30/2015		2,491,994							35,946			
0902081	GAINESVILLE	FL		12/30/2015		2,491,994							35,946			
0902082	ADDISON	TX		12/30/2015		2,991,359							43,087			
0902083	ELK RIVER	MIN		01/19/2016		3,825,731							26,958			
0902084	JACKSON	MS		12/21/2015		1,997,713							21,427			
0902085	OWINGS MILLS	MD		01/29/2016		6,953,335							50,816			
0902086	ELLIOTT CITY	MD		01/29/2016		15,997,215							116,911			
0902088	SEATTLE	WA		01/27/2016		5,087,121							36,791			
0902089	LAKE ZURICH	IL		02/11/2016		5,096,301							52,309			
0902091	SURPRISE	AZ		03/01/2016		4,568,398							31,808			
0902093	KIRKWOOD	MO		02/16/2016		9,129,560							64,070			
0902094	WEBSTER	NY		04/15/2016		1,322,760							38,821			
0902095	PITTSFORD	NY		03/08/2016		826,219							24,566			
0902096	BRIGHTON	CO		03/24/2016		676,731							20,118			
0902097	HAMBURG	NY		03/08/2016		509,318							15,142			
0902098	WESTMINSTER	CO		03/09/2016		2,496,442							74,121			
0902099	WILSONVILLE	OR		03/17/2016		2,810,643							14,106			
0902101	SAN DIEGO	CA		03/30/2016		19,697,830							104,906			
0902102	MILWAUKEE	WI		02/24/2016		7,286,981							77,597			
0902103	MILWAUKEE	WI		02/24/2016		4,718,189							50,243			
0902104	MADISON	WI		04/26/2016		5,295,659							38,948			
0902105	CANON CITY	CO		04/27/2016		3,080,095							32,275			
0902106	ALBANY	NY		05/13/2016		8,323,546							61,213			
0902107	CORPUS CHRISTI	TX		05/02/2016		3,759,075							26,607			

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0902108	PORTLAND	OR		05/02/2016		2,764,702							38,133			
0902109	KINGSTON BOROUGH	PA		05/02/2016		3,759,075							26,607			
0902110	MINNETONKA	MN		11/01/2016		8,640,843							53,132			
0902111	DALLAS	TX		05/06/2016		10,182,565							143,448			
0902112	ST. LOUIS	MO		05/24/2016		5,095,255							70,906			
0902113	VANCOUVER	WA		06/01/2016		6,184,834							44,065			
0902114	CHARLOTTE	NC		06/09/2016		1,884,017							13,254			
0902115	NORCO	CA		07/01/2016		3,903,492							27,643			
0902116	EARTH CITY	MO		06/28/2016		10,096,928							71,974			
0902117	TUCSON	AZ		05/19/2016		1,529,218							26,022			
0902118	FLORA	MS		06/13/2016		1,732,864							42,611			
0902119	DEERFIELD	IL		07/12/2016		2,761,576							19,446			
0902120	KENNESAW	GA		10/07/2016		4,082,322							27,875			
0902121	KENNESAW	GA		06/22/2016		8,835,362							168,015			
0902122	ROSWELL	GA		06/23/2016		3,894,831							73,029			
0902123	CONYERS	GA		06/23/2016		2,868,089							53,778			
0902124	SMYRNA	GA		06/23/2016		4,072,341							77,484			
0902125	SMYRNA	GA		06/15/2016		5,215,889							99,282			
0902126	NORCROSS	GA		06/23/2016		3,080,226							57,755			
0902127	CARTERSVILLE	GA		06/15/2016		3,761,796							71,438			
0902128	MARIETTA	GA		06/17/2016		3,273,359							62,687			
0902129	CONYERS	GA		07/07/2016		2,408,088							44,789			
0902130	PANAMA CITY	FL		06/17/2016		4,504,148							85,599			
0902131	CHARLOTTE	NC		06/27/2016		4,693,477							64,687			
0902132	BIRMINGHAM	AL		06/13/2016		5,510,813							39,025			
0902133	HERNANDO	MS		06/30/2016		12,470,725							94,426			
0902134	EAGAN	MN		07/01/2016		1,239,259							20,958			
0902135	TUCSON	AZ		08/08/2016		2,772,526							19,028			
0902136	NEWINGTON	VA		11/01/2016		15,806,714							105,051			
0902137	EDINA	MN		08/09/2016		4,336,102							458,428			
0902138	ALPHARETTA	GA		08/10/2016		3,780,194							51,870			
0902139	CORONA	CA		08/02/2016		5,419,831							40,336			
0902140	AUSTIN	TX		08/19/2016		1,291,605							9,043			
0902141	MENTOR	OH		08/22/2016		2,306,437							16,149			
0902142	ARLINGTON	VA		09/01/2016		1,103,833							7,988			
0902143	LAS VEGAS	NV		09/01/2016		2,909,479							20,102			
0902145	WARREN	MI		09/22/2016		2,149,603							21,592			
0902146	BLACKLICK	OH		10/03/2016		926,272							6,453			
0902147	BLACKLICK (COLUMBUS)	OH		10/03/2016		3,126,169							21,780			
0902148	HARRISBURG	PA		09/30/2016		1,882,091							9,973			
0902149	YORBA LINDA	CA		10/31/2016		1,848,407							13,224			
0902150	JACKSONVILLE	FL		10/25/2016		9,095,552							123,329			
0902151	CHESAPEAKE	VA		11/07/2016		2,153,938							15,320			
0902152	BROWNSVILLE	TX		10/19/2016		7,267,235							100,084			
0902153	RACINE	WI		09/15/2016		3,276,922							45,171			
0902154	CHARLOTTE	NC		10/05/2016		1,987,733							14,367			
0902155	COLORADO SPRINGS	CO		11/09/2016		3,158,405							21,727			
0902156	OREM	UT		10/11/2016		4,168,225							29,040			
0902157	GIG HARBOR	WA		11/22/2016		6,147,175							28,954			
0902158	PANAMA CITY	FL		11/01/2016		3,778,375							19,258			
0902159	SNELLVILLE	GA		11/29/2016		2,311,919							17,016			

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1 Loan Number	2 Location		4 Loan Type	5 Date Acquired	6 Disposal Date	7 Book Value/ Recorded Investment Excluding Accrued Interest Prior Year	8 Change in Book Value/Recorded Investment					14 Book Value/ Recorded Investment Excluding Accrued Interest on Disposal	15 Consid- eration	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal
	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0902160	LITTLETON	CO		12/01/2016		12,734,976								67,961		
0902161	SAN ANTONIO	TX		12/08/2016		16,695,424								119,675		
0902162	HOUSTON	TX		12/06/2016		1,201,279								27,554		
0902163	GLEN BURNIE	MD		11/29/2016		6,951,757								48,093		
0902164	SPOKANE VALLEY	WA		12/01/2016		2,040,365								14,321		
0902165	OAKWOOD VILLAGE	OH		12/21/2016		2,885,987								19,742		
0902166	INDEPENDENCE	OH		12/21/2016		1,722,283								11,781		
0902167	SUGAR LAND	TX		01/18/2017		3,030,169								31,420		
0902168	SAN ANTONIO	TX		12/19/2016		2,420,505								16,558		
0902169	CRESTVIEW	FL		03/02/2017		6,442,799								64,403		
0902170	EDEN PRAIRIE	MIN		12/01/2016		3,709,754								26,038		
0902171	SAN DIEGO	CA		02/15/2017		3,809,762								25,919		
0902172	MIDVALE	UT		04/06/2017		7,435,581								48,314		
0902173	SAN DIEGO	CA		04/11/2017		5,862,943								56,103		
0902174	CYPRESS	CA		01/31/2017		10,477,382								49,297		
0902175	CUMMING	GA		02/01/2017		3,076,362								40,721		
0902176	SAVANNAH	GA		02/01/2017		4,131,115								54,683		
0902177	SAVANNAH	GA		02/01/2017		5,713,245								75,625		
0902178	NORCROSS	GA		02/01/2017		1,608,498								21,291		
0902179	CULVER CITY	CA		02/23/2017		1,432,368								9,121		
0902180	WILMINGTON	DE		02/09/2017		3,916,556								37,806		
0902181	COCOA	FL		01/27/2017		1,844,043								32,809		
0902182	LAS VEGAS	NV		01/18/2017		9,256,610								90,141		
0902183	NOTTINGHAM	MD		02/23/2017		6,077,817								40,297		
0902184	NEWPORT NEWS	VA		03/13/2017		8,772,518								83,942		
0902186	ROCHESTER	NY		03/07/2017		3,671,309								33,587		
0902187	COLUMBUS	OH		01/25/2017		2,813,779								17,771		
0902189	WESTMINSTER	CA		03/23/2017		4,259,824								29,522		
0902190	GAHANNA	OH		02/28/2017		5,216,097								33,354		
0902191	MORAGA	CA		04/13/2017		3,773,269								23,674		
0902192	MANKATO	MIN		03/30/2017		5,087,205								31,713		
0902194	CINCINNATI	OH		03/31/2017		3,861,462								24,174		
0902195	SOUTH JORDAN	UT		05/01/2017		11,382,476								74,578		
0902196	SOUTH JORDAN	UT		05/01/2017		15,145,278								99,232		
0902197	PALANTINE	IL		05/04/2017		1,987,051								12,168		
0902198	CINCINNATI	OH		04/03/2017		2,442,976								15,349		
0902199	TUCSON	AZ		05/04/2017		4,239,576								38,997		
0902201	BASKING RIDGE	NJ		05/11/2017		2,484,718								23,235		
0902202	TUCSON	AZ		06/22/2017		5,540,493								33,379		
0902203	CENTENNIAL	CO		05/30/2017		3,445,983								18,666		
0902204	DURHAM	OR		06/14/2017		4,148,032								39,566		
0902205	MILWAUKEE	WI		04/28/2017		9,372,662								118,839		
0902206	MINNETONKA	MIN		06/13/2017		13,707,682								1,443,183		
0902207	CHARLESTON	SC		06/01/2017		4,763,722								44,409		
0902208	DALLAS	TX		07/12/2017		2,812,660								15,669		
0902209	SCOTTSDALE	AZ		05/16/2017		16,054,252								101,569		
0902210	LINCOLN	NE		06/28/2017		4,917,099								31,357		
0902211	LINCOLN	NE		06/28/2017		2,647,669								16,885		
0902212	LINCOLN	NE		06/28/2017		7,091,970								45,227		
0902214	MILWAUKEE	WI		05/25/2017		6,144,881								71,100		
0902215	SPOKANE VALLEY	WA		07/31/2017		8,484,319								47,413		

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0902216	FAYETTEVILLE	NC		07/11/2017		10,327,756							100,795			
0902217	SPRINGFIELD	OR		08/01/2017		4,428,470							28,201			
0902218	HAWAIIAN GARDENS	CA		06/29/2017		10,805,362							49,017			
0902219	OMAHA	NE		07/27/2017		4,610,977							21,466			
0902220	ORLANDO	FL		08/08/2017		14,124,790							128,194			
0902221	ST. LOUIS	MO		06/22/2017		2,939,493							28,809			
0902222	MESA	AZ		08/10/2017		5,223,666							32,706			
0902223	LIVERPOOL	NY		08/18/2017		3,850,852							17,518			
0902224	LOS ANGELES	CA		09/07/2017		8,081,518							51,303			
0902225	VANCOUVER	WA		08/24/2017		4,177,315							26,341			
0902226	LAKEWOOD	CO		07/25/2017		1,657,447							10,585			
0902227	COSTA MESA	CA		10/04/2017		1,861,677							17,809			
0902228	SEATTLE	WA		11/14/2017		2,861,899							18,243			
0902229	PASADENA	CA		08/30/2017		2,448,596							16,731			
0902230	MESQUITE	TX		09/21/2017		8,729,167							82,438			
0902231	NOTTINGHAM	MD		10/02/2017		16,374,402							76,141			
0902232	WEST DES MOINES	IA		09/28/2017		18,404,656							105,100			
0902233	WILSONVILLE	OR		09/20/2017		2,263,025							10,799			
0902234	ALEXANDRIA	VA		10/02/2017		3,352,337							31,552			
0902235	HALFMOON	NY		09/01/2017		20,542,496							91,419			
0902236	BOISE	ID		10/31/2017		2,315,074							10,712			
0902237	ONTARIO	CA		10/05/2017		2,193,195							13,591			
0902238	FORT WORTH	TX		10/17/2017		2,381,351							21,588			
0902239	VERNON	CA		11/02/2017		2,975,493							36,394			
0902240	LONG BEACH	CA		11/02/2017		4,587,718							54,868			
0902241	WOODLAND HILLS	CA		09/27/2017		3,851,208							18,103			
0902242	ALPHARETTA	GA		10/24/2017		7,995,453							100,054			
0902243	ALPHARETTA	GA		10/24/2017		3,398,637							42,530			
0902244	MARIETTA	GA		10/19/2017		5,931,668							37,267			
0902245	WESTLAKE VILLAGE	CA		10/30/2017		11,523,656							54,598			
0902246	ALPHARETTA	GA		10/31/2017		3,810,849							37,112			
0902247	JACKSONVILLE BEACH	FL		11/28/2017		3,195,787							20,371			
0902248	SAN ANTONIO	TX		10/30/2017		3,574,837							22,281			
0902249	CHARLOTTE	NC		10/12/2017		2,783,313							17,973			
0902250	CHATSWORTH	CA		10/25/2017		3,809,885							18,326			
0902255	JACKSONVILLE BEACH	FL		11/28/2017		3,434,279							21,892			
0902256	JACKSONVILLE	FL		11/28/2017		7,822,524							49,864			
0902257	SACRAMENTO	CA		11/30/2017		3,741,691							34,722			
0902258	PORTSMOUTH	VA		10/31/2017		4,530,393							27,955			
0902259	EVERETT	WA		12/27/2017		3,397,026							21,049			
0902260	ESCONDIDO	CA		01/30/2018		2,153,677							13,773			
0902261	GAINESVILLE	GA		01/30/2018		12,731,053							75,242			
0902262	MEMPHIS	TN		02/08/2018		4,997,076							30,629			
0902263	OREM	UT		03/29/2018		6,627,027							59,124			
0902264	WEST GOSHEN TOWNSHIP	PA		03/13/2018		4,541,648							40,911			
0902265	COLLIERVILLE	TN		02/06/2018		9,609,176							58,984			
0902266	SYRACUSE	NY		02/22/2018		2,020,361							12,045			
0902268	MADISON	WI		01/17/2018		1,880,544							17,193			
0902269	SANTA ANA	CA		01/25/2018		23,158,670							105,370			
0902272	HUNTSVILLE	AL		03/06/2018		3,060,097							19,331			
0902273	FREDERICK	MD		05/16/2018		7,123,980							39,674			

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)						13 Total Foreign Exchange Change in Book Value
0902274	BRADENTON	FL		04/05/2018		2,813,954											31,217
0902275	RACINE	WI		02/22/2018		6,546,411											69,451
0902276	FLOWOOD	MS		03/15/2018		1,493,526											13,102
0902277	FLOWOOD	MS		03/15/2018		2,062,488											18,093
0902278	HILLIARD	OH		04/12/2018		2,507,137											14,749
0902279	VIRGINIA BEACH	VA		03/28/2018		3,101,466											19,015
0902280	LAS VEGAS	NV		03/27/2018		8,491,798											42,107
0902281	Corona	CA		04/26/2018		2,921,128											13,252
0902282	Hazelwood	MO		05/17/2018		8,956,230											16,639
0902283	BROOK PARK	OH		05/03/2018		12,562,479											77,541
0902284	MIDLAND	TX		05/10/2018		3,777,675											21,827
0902285	JACKSONVILLE	FL		05/17/2018		2,864,608											23,879
0902286	SALT LAKE CITY	UT		05/10/2018		2,638,487											10,711
0902287	SALT LAKE CITY	UT		06/26/2018		4,796,100											19,173
0902289	NORTH OLMSTED	OH		05/09/2018		2,735,338											11,255
0902290	NILES	OH		05/31/2018		3,335,753											28,864
0902291	NILES	OH		06/07/2018		5,354,031											45,762
0902292	MILWAUKEE	WI		04/19/2018		3,756,259											32,397
0902293	CLINTON	MS		05/24/2018		3,519,877											13,960
0902294	MOUNT PLEASANT	SC		04/30/2018		3,092,759											17,877
0902295	WILLOWICK	OH		05/24/2018		3,613,892											14,984
0902296	HOMEWOOD	AL		05/24/2018		3,142,977											18,847
0902297	MILWAUKEE	WI		06/07/2018		15,129,721											69,182
0902298	CORONA	CA		06/14/2018		2,442,168											10,641
0902299	CLINTON	MS		07/02/2018		1,119,640											5,975
0902300	SAN ANTONIO	TX		07/09/2018		12,635,394											71,559
0902301	RENTON	WA		06/19/2018		2,442,499											10,583
0902302	TUCSON	AZ		06/27/2018		5,970,655											23,868
0902303	AMERICAN FORK	UT		07/05/2018		9,617,190											55,455
0902304	TWINSBURG	OH		07/19/2018		3,068,495											26,223
0902305	SIGNAL HILLS	CA		07/11/2018		4,409,163											17,708
0902306	ALPHARETTA	GA		06/21/2018		2,036,013											11,236
0902307	TWINSBURG	OH		07/23/2018		2,368,370											26,245
0902308	ALBUQUERQUE	NM		07/18/2018		8,472,965											48,801
0902309	ALBUQUERQUE	NM		07/18/2018		4,535,741											26,129
0902310	MONTCLAIR	CA		06/15/2018		6,753,990											28,632
0902312	LITTLETON	CO		06/28/2018		2,426,802											13,595
0902313	MENLO PARK	CA		07/19/2018		2,621,687											15,345
0902314	CORPUS CHRISTI	TX		07/26/2018		4,863,184											26,991
0902315	RIDGELAND	MS		07/19/2018		2,712,567											27,130
0902316	PITTSBURGH	PA		08/30/2018		2,574,726											27,934
0902317	HENDERSON	NV		08/07/2018		2,347,862											10,846
0902318	LOS GATOS	CA		08/08/2018		4,311,004											37,176
0902319	LIVERPOOL	NY		08/30/2018		5,103,280											19,998
0902320	LAS VEGAS	NV		08/30/2018		3,676,381											15,212
0902321	SAN ANTONIO	TX		09/13/2018		22,896,262											250,369
0902322	WESTMONT	IL		07/25/2018		6,600,274											27,482
0902323	FORT WORTH	TX		10/01/2018		4,175,156											16,591
0902324	TIMONIUM	MD		07/31/2018		2,428,910											13,943
0902325	ROSEVILLE	MI		09/13/2018		1,413,372											8,166
0902326	MILWAUKEE	WI		09/11/2018		9,476,507											35,829

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0902328	PORTLAND	OR		10/03/2018		6,857,636							33,923			
0902329	PEWaukee	WI		08/30/2018		7,295,230							43,389			
0902330	CHARLOTTE	NC		09/13/2018		2,257,759							9,574			
0902331	SANTA CLARITA	CA		10/17/2018		2,706,152							22,557			
0902332	COLLEGE STATION	TX		09/28/2018		4,005,041							15,513			
0902333	ATLANTA	GA		08/29/2018		4,179,990							20,698			
0902334	MURRAY	UT		10/09/2018		3,419,898							19,151			
0902335	MURRAY	UT		09/26/2018		3,901,553							21,971			
0902336	MILWAUKEE	WI		08/30/2018		8,956,902							51,657			
0902337	CHICAGO	IL		10/24/2018		4,978,648							27,003			
0902338	FREDERICK	MD		11/09/2018		14,657,597							82,295			
0902339	MCALLEN	TX		10/25/2018		13,763,700							56,034			
0902340	MILWAUKEE	WI		10/24/2018		6,838,739							39,349			
0902342	TWINSBURG	OH		01/02/2019		6,975,479							39,277			
0902344	PORTLAND	OR		12/05/2018		2,600,429							13,935			
0902345	ST CLOUD	MN		12/20/2018		2,837,217							10,517			
0902346	CHARLOTTE	NC		12/20/2018		13,761,525							61,476			
0902347	MARIETTA	GA		01/09/2019		2,261,833							11,717			
0902348	MARIETTA	GA		02/07/2019		2,265,831							11,875			
0902350	TUKWILA	WA		02/28/2019		3,910,865							31,012			
0902351	ABINGDON	MD		12/14/2018		8,932,917							46,984			
0902352	HOUSTON	TX		12/17/2018		7,370,682							36,391			
0902353	MOORESTOWN	NJ		02/11/2019		8,687,858							47,565			
0902354	KENNESAW	GA		01/30/2019		4,275,103							22,993			
0902356	ALBUQUERQUE	NM		02/01/2019		2,630,025							22,020			
0902357	ALBUQUERQUE	NM		02/01/2019		4,578,192							38,330			
0902358	CEDAR PARK	TX		02/28/2019		2,462,133							13,149			
0902359	SOUTH SALT LAKE	UT		03/05/2019		4,128,844							15,884			
0902360	NEWPORT BEACH	CA		03/12/2019		15,342,368							60,810			
0902361	MIDDLETOWN	NJ		03/08/2019		21,778,481							115,990			
0902362	PASADENA	TX		02/27/2019		6,852,336							72,159			
0902363	DULUTH	GA		03/12/2019		8,330,395							46,347			
0902364	ST CLOUD	MN		03/07/2019		3,637,626							14,418			
0902366	COLUMBUS	OH		03/04/2019		4,336,061							25,045			
0902367	INDIANAPOLIS	IN		04/22/2019		2,814,953							15,569			
0902368	ADDISON	TX		05/01/2019		6,521,403							34,965			
0902369	HALFMOON	NY		05/06/2019		15,287,829							57,497			
0902370	GARDNER	KS		05/09/2019		3,161,655							13,272			
0902371	MOUNT PROSPECT	IL		04/17/2019		2,568,434							14,031			
0902372	KNOXVILLE	TN		05/24/2019		3,117,213							16,882			
0902373	LOS ANGELES	CA		05/29/2019		10,500,000							39,012			
0902376	OCEANSIDE	CA		07/01/2019		5,300,000							11,690			
0902377	BROOKLYN	NY		08/02/2019		15,915,928							85,018			
0902378	PHILADELPHIA	PA		07/15/2019		2,586,617							10,244			
0902379	RACINE	WI		06/13/2019		6,885,353							71,453			
0902381	CHICAGO	IL		08/14/2019		6,176,099							23,956			
0902382	HOUSTON	TX		07/25/2019		3,081,874							13,900			
0902383	PORTLAND	OR		08/26/2019		9,328,706							73,847			
0902384	NASHVILLE	TN		08/02/2019		2,976,827							23,597			
0902385	TUKWILA	WA		07/24/2019		1,027,498							5,765			
0902387	PEACHTREE CORNERS	GA		08/29/2019		7,385,192							40,262			

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
0902388	HIGHLAND PARK	MI		10/03/2019		3,581,308							28,705			
0902389	BENSALEM	PA		09/04/2019		2,366,080							13,646			
0902390	MIDDLE RIVER	MD		08/28/2019		16,176,169							95,019			
0902391	BENSALEM	PA		09/18/2019		1,793,345							10,185			
0902392	BLAINE	MIN.		09/05/2019		1,992,605							11,316			
0902394	Creve Coeur	MO		09/05/2019		1,793,187							10,421			
0902395	MIDDLETON	WI		10/01/2019		3,290,590							14,340			
0902396	FORT WORTH	TX		10/29/2019		2,391,820							24,676			
0902397	JACKSONVILLE	FL		10/11/2019		10,460,189							60,680			
0902398	COVINGTON	WA		09/12/2019		11,966,505							51,053			
0902399	ARDEN HILLS	MIN.		09/26/2019		4,187,217							19,684			
0902401	SACRAMENTO	CA		10/15/2019		14,178,232							64,023			
0902402	ELMA	NY		10/03/2019		3,640,215							29,340			
0902403	WALDORF	MD		09/25/2019		4,573,343							27,455			
0902405	PHILADELPHIA	PA		10/16/2019		3,344,954							14,819			
0902406	NORTHGLENN	CO		10/10/2019		7,189,440							30,947			
0902410	ALBUQUERQUE	NM		11/13/2019		2,750,000							22,677			
0902412	SAN ANTONIO	TX		11/14/2019		6,800,000							83,360			
0902413	DOWNINGTON	PA		09/30/2019		3,983,649							24,964			
0902414	COLORADO SPRINGS	CO		02/20/2020									12,803			
0902415	LANSDALE	PA		09/30/2019		1,493,868							9,361			
0902416	DENVER	CO		10/31/2019		16,973,710							77,375			
0902417	INDIO	CA		11/21/2019		9,000,000							43,602			
0902419	HOMEWOOD	AL		11/07/2019		6,800,000							34,888			
0902420	LEAGUE CITY	TX		12/06/2019		2,100,000							12,414			
0902421	BROOKLYN	NY		11/26/2019		2,100,000							16,623			
0902422	ONTARIO	CA		12/12/2019		1,800,000							8,604			
0902423	PLEASANTON	CA		12/12/2019		3,500,000							15,532			
0902424	SAN ANTONIO	TX		01/15/2020									58,447			
0902425	COLUMBUS	OH		12/10/2019		1,700,000							7,690			
0902426	SPOKANE	WA		12/11/2019		1,880,000							8,585			
0902428	ATLANTA	GA		12/20/2019		5,000,000							22,617			
0902429	STILLWATER	NY		12/24/2019		25,500,000							105,722			
0902430	CHICAGO	IL		12/19/2019		1,725,000							10,510			
0902431	LAKEWOOD	NJ		12/19/2019		5,000,000							21,765			
0902432	LAS VEGAS	NV		12/18/2019		1,400,000							8,401			
0902433	CHICAGO	IL		12/13/2019		5,000,000							30,249			
0902434	LEXINGTON	KY		02/06/2020									30,375			
0902436	ASHBURN	VA		12/30/2019		3,500,000							14,943			
0902437	CHULA VISTA	CA		01/09/2020									9,575			
0902438	GARLAND	TX		01/23/2020									100,296			
0902439	DOUGLASSVILLE	GA		12/24/2019		6,000,000							49,027			
0902441	LEXINGTON	KY		02/06/2020									32,943			
0902442	SAN JUAN CAPISTRANO	CA		12/23/2019		5,700,000							26,030			
0902443	HUNTINGTON BEACH	CA		12/23/2019		3,200,000							14,613			
0902444	RANCHO DOMINGUEZ	CA		12/23/2019		3,000,000							13,700			
0902446	BLOOMINGTON	IN		01/30/2020									86,550			
0902447	LA HABRA	CA		01/30/2020									64,814			
0902449	CHARLOTTE	NC		12/20/2019		6,900,000							41,074			
0902450	RIVERSIDE	CA		01/29/2020									12,890			
0902451	WHITTIER	CA		01/30/2020									45,900			

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)						13 Total Foreign Exchange Change in Book Value
0902452	TAMPA	FL		01/29/2020													14,431
0902453	LUTHERVILLE-TIMONIUM	MD		01/31/2020													28,847
0902454	NEW ALBANY	IN		01/21/2020													61,853
0902455	MEMPHIS	TN		01/29/2020													9,545
0902456	LAKEWOOD	CO		02/05/2020													12,029
0902457	AURORA	CO		02/14/2020													17,448
0902458	SACRAMENTO	CA		01/27/2020													15,336
0902459	NEW BERLIN	WI		02/13/2020													60,654
0902460	MIDDLETON	WI		02/13/2020													40,878
0902461	AUBURN	WA		02/04/2020													12,108
0902462	KING OF PRUSSIA	PA		03/12/2020													33,263
0902463	ROWLETT	TX		02/13/2020													11,469
0902464	PLAINVILLE	MA		04/08/2020													62,046
0902465	West Des Moines	IA		02/26/2020													14,796
0902466	WIXOM	MI		02/26/2020													54,292
0902467	VISTA	CA		03/23/2020													36,510
0902469	DARIEN	CT		03/19/2020													7,043
0902470	WINTER GARDEN	FL		03/18/2020													37,242
0902471	WILLOW GROVE	PA		03/30/2020													24,478
0902473	ROCKLIN	CA		04/09/2020													17,012
0902474	LOUISVILLE	KY		04/07/2020													38,906
0902475	TUALATIN	OR		02/26/2020													26,894
0902476	LAKE OSWEGO	OR		02/27/2020													15,010
0902477	AUBURN	WA		02/26/2020													12,508
0902479	CENTENNIAL	CO		04/01/2020													17,555
0902482	ST PETERSBURG	FL		05/12/2020													24,661
0902483	FOSTER CITY	CA		05/05/2020													47,618
0902485	STERLING HEIGHTS	MI		04/30/2020													30,408
0902486	EL PASO	TX		05/12/2020													31,743
0902490	PROVO	UT		07/14/2020													9,498
0902491	SAN CLEMENTE	CA		05/28/2020													9,444
0902494	CENTENNIAL	CO		05/20/2020													10,898
0902498	HOMESTEAD	FL		05/21/2020													54,770
0902499	MIAMI	FL		05/21/2020													57,992
0902500	SANTA FE	NM		06/02/2020													20,890
0902501	ST LOUIS PARK	MN		06/10/2020													6,792
0902502	MELBOURNE	FL		03/19/2020													81,367
0AG1003	OTHELLO	WA		01/03/2019		3,801,921											1,971,914
0AG1007	JEFFERSON	OR		04/26/2019		3,525,345											22,855
0AG1009	FRESNO	CA		02/10/2020													332,959
0AG1013	ST JOHN	KS		12/30/2019		10,733,249											88,853
0AG1014	WINNEMUCA	NV		04/17/2020													211,859
0AG1019	ROCHESTER	IN		06/30/2020													24,756
9905ST1	CHARLOTTESVILLE	VA		05/21/2018		9,300,000											939,181
990CON1	CINCINNATI	OH		03/02/2018		9,288,299											25,744
990CSFR	FORT MYERS	FL		08/16/2018		6,600,142											2,266
990GEN1	PHILADELPHIA	PA		11/17/2016		15,494,536											6,165,069
990HAR1	ST. HELENA	CA		06/05/2019		4,954,928											23,123
990HPA1	VARIOUS	CA		07/25/2018		4,740,016											54,056
990HPA2	ORLANDO	FL		05/16/2019		4,895,240											10,602
990NMA1	CHICAGO	IL		10/26/2017		5,000,000											24,226

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)						13 Total Foreign Exchange Change in Book Value
990NEN1	ROCHESTER	NY		11/07/2017		4,880,126											
VC29790	TAMPA	FL		02/28/2019		8,057,964											
VC29904	CHARLESTON	SC		01/02/2020													
VC29921	ORLANDO	FL		01/16/2020													
VC29946	ORLANDO	FL		01/16/2020													
VC29947	ORLANDO	FL		01/16/2020													
VC29948	ORLANDO	FL		01/16/2020													
VC29949	ORLANDO	FL		01/16/2020													
VC29950	ORLANDO	FL		01/16/2020													
VC29951	ORLANDO	FL		01/16/2020													
VC29952	ORLANDO	FL		01/16/2020													
4200210929	Novato	CA		06/25/2020		439		9			9						66,402
2001017362	Round Rock	TX		06/25/2020		483		9			9						64,966
4191209483	Newton Square	PA		06/25/2020		275		6			6						100,477
4200110158	Sacramento	CA		06/25/2020		320		7			7						41,436
2002017871	Greenfield	WI		06/25/2020		289		6			6						8,567
1912016633	Lutz	FL		06/25/2020		303		6			6						4,253
1912016919	San Jose	CA		06/25/2020		1,533		32			32						15,776
2001017071	Mill Spring	NC		06/25/2020		155		4			4						6,298
1911016023	Mesa	AZ		06/25/2020		367		8			8						9,134
19120167414	Brick	NJ		06/25/2020		646		14			14						16,182
4200109932	Peachtree Corners	GA		06/25/2020		636		13			13						5,691
2001017008	Garden Grove	CA		06/25/2020		597		12			12						448
4200211038	Peoria	AZ		06/25/2020		1,162		16			16						448
1911015720	Englewood	NJ		06/25/2020		790		16			16						493
2001017429	Los Angeles	CA		06/25/2020		753		15			15						281
2001017357	Folly Beach	SC		06/25/2020		885		18			18						326
1912016282	Chesapeake Beach	MD		06/25/2020		699		14			14						295
2002017896	Star	ID		06/25/2020		1,002		20			20						309
1910015438	Moraga	CA		06/25/2020		1,610		32			32						1,565
1912016892	Atlanta	GA		06/25/2020		760		16			16						158
2001017282	Atlanta	GA		06/25/2020		355		8			8						375
2001017274	Monroe	NC		06/25/2020		1,308		27			27						660
2002802501	Livermore	CA		06/25/2020		3,151		62			62						609
4200110334	Chatsworth	CA		06/25/2020		1,242		26			26						1,185
1912016757	Eugene	OR		06/25/2020		3,491		73			73						806
4200110015	Houston	TX		06/25/2020		615		12			12						768
2001017507	Savannah	GA		06/25/2020		923		18			18						903
1911015919	Alhambra	CA		06/25/2020		1,035		21			21						714
4191209693	Tacoma	WA		06/25/2020		296		6			6						1,022
2001017437	Pearland	TX		06/25/2020		2,440		50			50						1,644
2001017152	Nashville	TN		06/25/2020		200		4			4						776
4200109952	Valparaiso	IN		06/25/2020		658		13			13						362
4200110272	Kennesaw	GA		06/25/2020		956		20			20						1,335
1912016866	Green Valley	AZ		06/25/2020		631		13			13						3,212
4191209617	Coral Springs	FL		06/25/2020		825		18			18						1,267
4200110339	Philadelphia	PA		06/25/2020		212		4			4						1,267
1912016653	Dallas	TX		06/25/2020		1,191		24			24						3,560
1912016663	Oklahoma City	OK		06/25/2020		243		4			4						627
4191209704	Bartlett	IL		06/25/2020		428		8			8						942
1912016385	Oxnard	CA		06/25/2020		689		14			14						1,056

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)						13 Total Foreign Exchange Change in Book Value
2002017876	Woodbridge	VA		.06/25/2020		272		.6			.6			277			
2002017754	Las Vegas	NV		.06/25/2020		1,158		.24			.24			1,181			
4191007911	Weslaco	TX		.06/25/2020		1,424		.30			.30			1,453			
4200110287	Atlanta	GA		.06/25/2020		821		.16			.16			837			
1911015883	Central Islip	NY		.06/25/2020		158		.3			.3			161			
4200110351	Canyon Lake	CA		.06/25/2020		779		.16			.16			794			
2001017525	San Diego	CA		.06/25/2020		2,543		.51			.51			2,595			
4191108993	Pittsburgh	PA		.06/25/2020		627		.12			.12			640			
1912016765	Forsyth	GA		.06/25/2020		629		.12			.12			642			
1910015085	Snowflake	AZ		.06/25/2020		467		.10			.10			477			
4191209626	Hesperia	CA		.06/25/2020		203		.4			.4			207			
1911016092	Dawson	GA		.06/25/2020		1,429		.30			.30			1,457			
2001017441	Culver City	CA		.06/25/2020		2,073		.42			.42			2,115			
4200110254	Anaheim	CA		.06/25/2020		1,708		.34			.34			1,743			
1911015951	Sarasota	FL		.06/25/2020		1,518		.31			.31			1,548			
2001802471	Santa Clarita	CA		.06/25/2020		1,225		.25			.25			1,250			
2001017158	Las Vegas	NV		.06/25/2020		381		.8			.8			389			
1911015945	Henderson	NV		.06/25/2020		339		.6			.6			345			
1912016405	McKinney	TX		.06/25/2020		330		.6			.6			337			
4200110270	Newtown	PA		.06/25/2020		1,250		.26			.26			1,276			
1912016876	Caldwell	ID		.06/25/2020		292		.6			.6			298			
2001017051	Destin	FL		.06/25/2020		657		.14			.14			670			
2002018014	Holton	MI		.06/25/2020		164		.4			.4			167			
4200210619	Las Vegas	NV		.06/25/2020		1,447		.30			.30			1,477			
2002017867	Sun City Center	FL		.06/25/2020		386		.9			.9			394			
1911015966	Las Vegas	NV		.06/25/2020		160		.4			.4			163			
4200110484	Doral	FL		.06/25/2020		1,107		.22			.22			1,129			
2001017577	Pacoima	CA		.06/25/2020		776		.16			.16			792			
4200110372	Logandale	NV		.06/25/2020		464		.10			.10			473			
2001017064	Coral Springs	FL		.06/25/2020		165		.4			.4			168			
2002017797	Carson City	NV		.06/25/2020		272		.6			.6			277			
1911015669	Mission Viejo	CA		.06/25/2020		1,433		.30			.30			1,461			
1912016882	Canyon Lake	TX		.06/25/2020		348		.6			.6			356			
1912016435	Porter Ranch	CA		.06/25/2020		2,148		.44			.44			2,193			
1912016800	Chicago	IL		.06/25/2020		412		.8			.8			421			
4190706220	Millsboro	DE		.06/25/2020		1,400		.29			.29			1,429			
1910015484	Ellensburg	WA		.06/25/2020		1,163		.22			.22			1,189			
4200110273	Sandy Springs	GA		.06/25/2020		1,569		.32			.32			1,602			
1912016246	Salisbury	MA		.06/25/2020		824		.16			.16			840			
4200210823	Merritt Island	FL		.06/25/2020		470		.10			.10			479			
1911016090	Marietta	GA		.06/25/2020		129,201		2,525			2,525			131,726			
4200110349	St. Cloud	FL		.06/25/2020		459		.10			.10			469			
1912016925	Woodland	CA		.06/25/2020		1,672		.33			.33			1,706			
2001017503	Lombard	IL		.06/25/2020		545		.12			.12			557			
2002017784	Brentwood	TN		.06/25/2020		826		.16			.16			843			
4200109866	Oakley	CA		.06/25/2020		1,015		.21			.21			1,033			
1911015992	Bethany	CT		.06/25/2020		4,659		.95			.95			4,754			
2001017495	Puyallup	WA		.06/25/2020		531		.10			.10			541			
4200110137	Manassas	VA		.06/25/2020		221		.4			.4			225			
1912016817	Addison	TX		.06/25/2020		280		.6			.6			285			
1912016712	Waukegan	IL		.06/25/2020		207		.4			.4			211			

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SCHEDULE B - PART 3

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

1 Loan Number	2 Location		4 Loan Type	5 Date Acquired	6 Disposal Date	7 Book Value/ Recorded Investment Excluding Accrued Interest Prior Year	8 Change in Book Value/Recorded Investment					13 Total Foreign Exchange Change in Book Value	14 Book Value/ Recorded Investment Excluding Accrued Interest on Disposal	15 Consid- eration	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal
	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)						
2001017268	Orlando	FL		06/25/2020		325		6				6			332		
2001017117	Punta Gorda	FL		06/25/2020		439		10				10			448		
4200110088	San Diego	CA		06/25/2020		392		8				8			400		
1912016721	San Jose	CA		06/25/2020		1,815		38				38			1,852		
4200110395	Cape Coral	FL		06/25/2020		363		8				8			369		
1911015884	Rocklin	CA		06/25/2020		1,558		32				32			1,591		
1912016907	Hollywood	MD		06/25/2020		864		18				18			882		
1911015907	Edmond	OK		06/25/2020		843		16				16			858		
2001017364	Irvine	CA		06/25/2020		1,830		37				37			1,867		
4190706262	Riverview	FL		06/25/2020		389		8				8			397		
4191108967	Houston	TX		06/25/2020		3,113		64				64			3,176		
4200210621	Santa Ana	CA		06/25/2020		1,295		26				26			1,319		
2001017566	Lake Havasu City	AZ		06/25/2020		345		8				8			353		
4191109039	Costa Mesa	CA		06/25/2020		3,594		73				73			3,667		
4191209569	Irvine	CA		06/25/2020		2,396		49				49			2,445		
2001017055	Los Angeles	CA		06/25/2020		3,340		68				68			3,408		
2002017918	Waxhaw	NC		06/25/2020		219		4				4			223		
2001017424	Flower Mound	TX		06/25/2020		774		15				15			790		
4200210641	St George	UT		06/25/2020		856		18				18			874		
4191109097	Castle Rock	CO		06/25/2020		810		16				16			826		
1911016079	Canyon Country	CA		06/25/2020		989		20				20			1,010		
4200110022	Great Meadows	NJ		06/25/2020		313		6				6			320		
2001017029	Orland Park	IL		06/25/2020		397		8				8			405		
2001017587	Marathon	FL		06/25/2020		1,852		36				36			1,887		
4200210687	Jacksonville	FL		06/25/2020		800		16				16			817		
2002017630	Washougal	WA		06/25/2020		656		14				14			668		
1912016869	Raymore	MO		06/25/2020		430		8				8			439		
1910015023	Josephine	TX		06/25/2020		239		4				4			244		
2001017132	Fayetteville	GA		06/25/2020		1,455		30				30			1,485		
4200109858	Homestead	FL		06/25/2020		1,009		20				20			1,030		
1912016657	Defiance	MO		06/25/2020		1,242		26				26			1,267		
4200110065	Charleston	SC		06/25/2020		593		12				12			605		
2002017624	Santa Barbara	CA		06/25/2020		1,653		34				34			1,687		
4200110145	Annandale	VA		06/25/2020		963		21				21			981		
1908013481	Mesa	AZ		06/25/2020		1,021		21				21			1,041		
2001017189	Dinuba	CA		06/25/2020		599		12				12			612		
4200110363	Royal Oaks	CA		06/25/2020		1,143		24				24			1,165		
2001017061	Fairfield	CA		06/25/2020		582		12				12			594		
4200109821	Gilbert	AZ		06/25/2020		1,485		30				30			1,516		
1912016331	Lake Worth	FL		06/25/2020		1,972		40				40			2,012		
1912016777	Modesto	CA		06/25/2020		4,290		83				83			4,374		
4200210989	Parkland	FL		06/25/2020		2,391		48				48			2,439		
1912016773	Northridge	CA		06/25/2020		1,674		34				34			1,708		
4200109846	Bolingbrook	IL		06/25/2020		902		18				18			920		
4191108841	North Miami Beach	FL		06/25/2020		554		12				12			565		
4200109926	Folsom	CA		06/25/2020		1,864		39				39			1,901		
2001017290	Waller	TX		06/25/2020		505		10				10			515		
4191007952	New Smyrna Beach	FL		06/25/2020		469		10				10			479		
4191109054	Lakewood	NJ		06/25/2020		583		12				12			595		
2001017140	Tampa	FL		06/25/2020		582		12				12			594		
1911015911	Daphne	AL		06/25/2020		285		6				6			291		

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
2001017494	Homestead	FL		.06/25/2020		197		4			4			201		
4200109785	Charlotte	NC		.06/25/2020		3,775		75			75			3,852		
1910015244	Houston	TX		.06/25/2020		563		10			10			576		
1910015124	Boynton Beach	FL		.06/25/2020		1,570		32			32			1,602		
2001017370	Simi Valley	CA		.06/25/2020		1,082		22			22			1,104		
4200110153	Belmont	NC		.06/25/2020		756		16			16			772		
1911015633	Las Vegas	NV		.06/25/2020		989		20			20			1,009		
4200210853	Hollywood	FL		.06/25/2020		1,935		39			39			1,974		
2002017906	Miami	FL		.06/25/2020		1,029		21			21			1,050		
1912016514	Riverside	CA		.06/25/2020		938		20			20			957		
2001017319	Apple Valley	CA		.06/25/2020		363		6			6			371		
1912016953	Capistrano Beach	CA		.06/25/2020		2,588		53			53			2,641		
2002017872	Milwaukee	WI		.06/25/2020		309		6			6			315		
2001017595	West Bloomfield	MI		.06/25/2020		1,045		20			20			1,065		
4200110047	Paso Robles	CA		.06/25/2020		1,643		34			34			1,677		
1911015697	Stuart	FL		.06/25/2020		744		16			16			758		
4191108643	Orchard Lake	MI		.06/25/2020		854		16			16			871		
2002017936	Paterson	NJ		.06/25/2020		1,431		28			28			1,458		
2001017125	Hampshire	IL		.06/25/2020		599		12			12			611		
1912016789	West Palm Beach	FL		.06/25/2020		419		8			8			427		
4200210589	Minneapolis	MN		.06/25/2020		1,203		24			24			1,227		
2002802508	East Wenatchee	WA		.06/25/2020		561		11			11			572		
2002017907	Davie	FL		.06/25/2020		942		20			20			960		
2001017182	Phoenix	AZ		.06/25/2020		565		12			12			577		
2002017901	Huntington Beach	CA		.06/25/2020		2,443		50			50			2,492		
2001017358	Muskegon	MI		.06/25/2020		219		4			4			223		
4191209615	Colorado Springs	CO		.06/25/2020		1,128		23			23			1,151		
1912016726	Phoenix	AZ		.06/25/2020		225		4			4			230		
4191209377	Travelers Rest	SC		.06/25/2020		482		11			11			490		
2001017256	Hillsboro Beach	FL		.06/25/2020		2,322		44			44			2,366		
1912016921	Chino	CA		.06/25/2020		942		20			20			962		
4200109958	Bailey	CO		.06/25/2020		367		8			8			374		
1912016915	Lake Wales	FL		.06/25/2020		203		3			3			207		
1912016596	Aloha	OR		.06/25/2020		235		5			5			240		
1912016665	Shaver Lake	CA		.06/25/2020		262		6			6			267		
1912016827	Farmers Branch	TX		.06/25/2020		297		6			6			304		
4191108921	Greer	SC		.06/25/2020		404		9			9			413		
2002017647	Corona	CA		.06/25/2020		1,792		36			36			1,828		
1912016566	Clermont	FL		.06/25/2020		1,667		34			34			1,701		
1912016905	Orlando	FL		.06/25/2020		896		18			18			914		
4200110034	Huntsville	UT		.06/25/2020		182		4			4			186		
1912016613	Ashville	OH		.06/25/2020		323		6			6			329		
4191109143	Fort Lupton	CO		.06/25/2020		1,050		22			22			1,072		
4200210519	Tyler	TX		.06/25/2020		5,676		116			116			5,792		
4191108904	Greer	SC		.06/25/2020		388		9			9			396		
2002802507	Oxnard	CA		.06/25/2020		1,052		21			21			1,074		
2001017461	Paterson	NJ		.06/25/2020		659		14			14			672		
4200210524	Coral Springs	FL		.06/25/2020		1,188		24			24			1,212		
1912016305	Chandler	AZ		.06/25/2020		863		18			18			881		
4191209523	West Palm Beach	FL		.06/25/2020		726		14			14			741		
2001017485	Sacramento	CA		.06/25/2020		1,309		27			27			1,337		

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)						13 Total Foreign Exchange Change in Book Value
4200109907	Wichita	KS		.06/25/2020		442		.10				.10				.452	
4200110331	Minneapolis	MIN.		.06/25/2020		632		.13				.13				.645	
2001017467	Hanford	CA		.06/25/2020		1,001		.21				.21				1,021	
4200210600	Davenport	FL		.06/25/2020		872		.18				.18				890	
4200109949	Califon	NJ		.06/25/2020		1,280		.26				.26				1,306	
4200110377	North Las Vegas	NV		.06/25/2020		667		.14				.14				680	
2001017307	Big Bear City	CA		.06/25/2020		327		.6				.6				333	
1911015923	Alhambra	CA		.06/25/2020		1,003		.20				.20				1,024	
1912016729	Chandler	AZ		.06/25/2020		1,156		.25				.25				1,181	
4200210665	Southwest Ranches	FL		.06/25/2020		2,615		.54				.54				2,669	
1909014241	Phillipsburg	NJ		.06/25/2020		1,955		.40				.40				1,995	
4200210901	Overland Park	KS		.06/25/2020		297		.6				.6				303	
1908013340	Irvine	CA		.06/25/2020		1,136		.21				.21				1,159	
1912016715	Altadena Area	CA		.06/25/2020		2,493		.50				.50				2,543	
4200109834	Richmond	TX		.06/25/2020		202		.4				.4				207	
1912016909	San Jose	CA		.06/25/2020		2,891		.60				.60				2,949	
4191209357	Gilbert	AZ		.06/25/2020		1,199		.24				.24				1,223	
2001802485	Wadsworth	OH		.06/25/2020		383		.7				.7				391	
4200110097	Willcox	AZ		.06/25/2020		471		.9				.9				480	
2002017986	Yorba Linda	CA		.06/25/2020		3,726		.75				.75				3,802	
4200210952	Johns Island	SC		.06/25/2020		519		.11				.11				530	
2001017237	Moorpark	CA		.06/25/2020		1,966		.41				.41				2,007	
1909014726	Henniker	NH		.06/25/2020		852		.18				.18				870	
2001017316	Leander	TX		.06/25/2020		526		.10				.10				536	
2002017725	Moreno Valley	CA		.06/25/2020		343		.7				.7				349	
2001017276	Griffin	GA		.06/25/2020		303		.6				.6				309	
2001017118	Riverview	FL		.06/25/2020		444		.9				.9				453	
4200210809	Sparks	NV		.06/25/2020		932		.20				.20				952	
1912016619	Queen Creek	AZ		.06/25/2020		546		.12				.12				558	
2001702367	Alsip	IL		.06/25/2020		520		.11				.11				531	
2002018021	Sunnyvale	CA		.06/25/2020		3,012		.62				.62				3,073	
2002018015	Clarendon Hills	IL		.06/25/2020		1,663		.34				.34				1,697	
1912016931	San Diego	CA		.06/25/2020		1,263		.26				.26				1,288	
1911015549	Garden Ridge	TX		.06/25/2020		4,285		.87				.87				4,372	
2002802503	Santa Monica	CA		.06/25/2020		2,285		.46				.46				2,333	
2002017990	La Puente	CA		.06/25/2020		980		.20				.20				1,000	
2001017081	Kissimmee	FL		.06/25/2020		291		.6				.6				297	
2001017596	Austin	TX		.06/25/2020		13,052		.268				.268				13,319	
1912016281	Winfield	IL		.06/25/2020		657		.14				.14				671	
2002017634	Orlando	FL		.06/25/2020		455		.10				.10				465	
1912016911	Castle Rock	CO		.06/25/2020		821		.16				.16				838	
2001017263	Los Angeles	CA		.06/25/2020		329		.6				.6				335	
4200210699	Landing	NJ		.06/25/2020		682		.14				.14				696	
4200210627	Santa Ana	CA		.06/25/2020		1,307		.26				.26				1,333	
1911015920	Alhambra	CA		.06/25/2020		1,036		.21				.21				1,057	
2001017339	Wesley Chapel	FL		.06/25/2020		510		.10				.10				520	
4191108926	Simpsonville	SC		.06/25/2020		399		.9				.9				408	
2001017459	Temple City	CA		.06/25/2020		1,707		.36				.36				1,743	
1912016390	Clovis	CA		.06/25/2020		697		.14				.14				711	
2001017092	Mooreville	IN		.06/25/2020		88,628		1,808				1,808				90,435	
2001017434	Hackensack	NJ		.06/25/2020		602		.12				.12				614	

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	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
1911015921	Alhambra	CA		.06/25/2020		1,729		.36				.36				1,764
2001017123	Los Alamitos	CA		.06/25/2020		810		.16				.16				826
2002802520	Pomona	CA		.06/25/2020		656		.14				.14				670
2001017372	San Diego	CA		.06/25/2020		2,031		.42				.42				2,073
1912016641	Dracut	MA		.06/25/2020		242		.4				.4				247
1912016824	Santa Clarita	CA		.06/25/2020		475		.10				.10				485
1910015275	Newark	NJ		.06/25/2020		236		.5				.5				241
2001702363	Hawthorn Woods	IL		.06/25/2020		498		.10				.10				509
1908013748	Dublin	OH		.06/25/2020		1,352		.28				.28				1,379
4200110242	Fountain Hills	AZ		.06/25/2020		1,557		.30				.30				1,587
2001017551	Raleigh	NC		.06/25/2020		894		.18				.18				912
4200110249	Encinitas	CA		.06/25/2020		1,390		.28				.28				1,419
4200210777	Wellington	FL		.06/25/2020		329		.7				.7				337
2001017017	Las Vegas	NV		.06/25/2020		618		.12				.12				630
2002018000	Mammoth Lakes	CA		.06/25/2020		1,328		.26				.26				1,357
4200110027	Lake Worth	FL		.06/25/2020		367		.8				.8				374
4200110058	Discovery Bay	CA		.06/25/2020		291		.6				.6				297
1910015140	Seattle	WA		.06/25/2020		793		.16				.16				810
4200110496	Litchfield Park	AZ		.06/25/2020		600		.12				.12				613
1912016979	Norco	CA		.06/25/2020		1,643		.34				.34				1,676
2001017374	Gresham	OR		.06/25/2020		597		.12				.12				609
2001017359	Roxbury	CT		.06/25/2020		1,135		.24				.24				1,159
4200110369	Poway	CA		.06/25/2020		3,421		.70				.70				3,490
1910015043	Davie	FL		.06/25/2020		588		.12				.12				600
2002802518	Palm Springs	CA		.06/25/2020		1,831		.169				.169				2,000
1912016880	Danville	CA		.06/25/2020		1,129		.23				.23				1,152
4200210948	Atlanta	GA		.06/25/2020		717		.15				.15				732
2002017684	Aurora	CO		.06/25/2020		413		.8				.8				422
1912016939	Destin	FL		.06/25/2020		1,185		.24				.24				1,209
2002017680	Flagstaff	AZ		.06/25/2020		573		.12				.12				585
1912016954	Lake Havasu City	AZ		.06/25/2020		673		.13				.13				687
1912016782	Oakville	CT		.06/25/2020		2,621		.54				.54				2,674
1911015833	Beach City	TX		.06/25/2020		1,041		.21				.21				1,063
4200110233	San Juan Capistrano	CA		.06/25/2020		842		.18				.18				860
2002017645	West Hills	CA		.06/25/2020		1,576		.32				.32				1,608
1911016128	Saint Augustine	FL		.06/25/2020		299		.6				.6				305
4191209247	Woodland Hills	CA		.06/25/2020		2,310		.48				.48				2,358
2002017825	Edmond	OK		.06/25/2020		618		.12				.12				630
1912016770	Greentown	PA		.06/25/2020		405		.8				.8				415
1912016634	Houston	TX		.06/25/2020		1,494		.30				.30				1,524
2001017220	Las Vegas	NV		.06/25/2020		1,169		.24				.24				1,193
4191209707	Palmdale	CA		.06/25/2020		605		.12				.12				618
2001017135	San Diego	CA		.06/25/2020		2,597		.54				.54				2,650
2001017478	Oakland	CA		.06/25/2020		215		.4				.4				220
2001017149	Salem	OR		.06/25/2020		100		.2				.2				102
2001017027	Livingston	NJ		.06/25/2020		1,226		.25				.25				1,252
4200109799	Annandale	VA		.06/25/2020		972		.20				.20				992
1912016573	Rio Rancho	NM		.06/25/2020		545		.12				.12				556
1911015918	Alhambra	CA		.06/25/2020		1,926		.40				.40				1,966
2001017193	Oklahoma City	OK		.06/25/2020		1,143		.23				.23				1,167
4200210886	Woodlawn	TN		.06/25/2020		150		.4				.4				153

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE B - PART 3

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

1 Loan Number	Location		4 Loan Type	5 Date Acquired	6 Disposal Date	7 Book Value/ Recorded Investment Excluding Accrued Interest Prior Year	Change in Book Value/Recorded Investment					14 Book Value/ Recorded Investment Excluding Accrued Interest on Disposal	15 Consid- eration	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal
	2 City	3 State					8 Unrealized Valuation Increase (Decrease)	9 Current Year's (Amortization) /Accretion	10 Current Year's Other- Than- Temporary Impairment Recognized	11 Capitalized Deferred Interest and Other	12 Total Change in Book Value (8+9-10+11)					
4200110049	Raleigh	NC06/25/2020		7521515		766			
2001017054	Salt Lake City	UT06/25/2020		8631818		881			
0299999. Mortgages with partial repayments						2,890,495,376		10,848			10,848		43,174,416			
0599999 - Totals						2,961,743,443		9,029			9,029		65,415,767	113,409,865		

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE BA - PART 2

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

1 CUSIP Identification	2 Name or Description	3 Location		5 Name of Vendor or General Partner	6 NAIC Designation and Administrative Symbol	7 Date Originally Acquired	8 Type and Strategy	9 Actual Cost at Time of Acquisition	10 Additional Investment Made After Acquisition	11 Amount of Encumbrances	12 Commitment for Additional Investment	13 Percentage of Ownership
		City	State									
63046#-RC-2	NAPIER PARK RAILCAR Investments II LLC	New York	NV		Z	12/18/2015			214,619			0.000
63046#-RC-1	NAPIER PARK RAILCAR LEASE FUND, LLC	New York	NV		Z	05/02/2013			289,082			0.000
0399999. Transportation Equipment - Unaffiliated												
1BAN0Z-NY-N	A-AC Net Lease Opportunity LLC A-AC Net Lease Opportunity LLC					07/21/2020		3,841	503,701			XXX
1BAN0D-LV-8	APOLLO USREF APOLLO USREF II HP COINVEST					06/30/2016			2,317,498			0.000
BANOJF-RS-8	ATHENE MOMENTUM INVESTOR ATHENE MOMENTUM INVESTORS					09/28/2017			97,236			0.000
BANOJF-RS-8	ATHENE MOMENTUM INVESTOR ATHENE MOMENTUM INVESTORS					06/30/2020			97,236			0.000
BANOXV-VH-6	Apollo Principal Holdings IV A-A SPN-8 (AIOFII-AELIFW), LP					08/11/2020		1,291,096				0.000
00MOG#-AA-1	Blue Ocean Income Fund II LP Blue Ocean Income Fund II LP					09/22/2020		31,623				0.000
1BAN0H-XT-A	LEVINE LEICHTMAN CAPITAL PART					05/31/2017			1,722,529			0.000
1BAN0F-SH-L	MEZZANINE PARTNERS III MEZZANINE PARTNERS III					02/27/2017			286,846			0.000
BAN0SJ-WJ-4	NNN INVESTOR 3 LP NNN INVESTOR 3 LP					01/17/2019		272,866				0.000
BAN0KF-BP-9	Rockbridge C-III RECOVERY FUND III LP					09/24/2018			532,269			0.000
2599999. Joint Venture Interests - Other - Unaffiliated								1,599,426	5,053,614			XXX
BANOIII-F3-4	PK AIR FINANCE 2019					12/11/2019			(5,372,101)			XXX
4699999. Any Other Class of Assets - Unaffiliated									(5,372,101)			XXX
4899999. Total - Unaffiliated								1,599,426	185,214			XXX
4999999. Total - Affiliated												XXX
5099999 - Totals								1,599,426	185,214			XXX

SCHEDULE BA - PART 3

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

1 CUSIP Identification	2 Name or Description	3 Location		5 Name of Purchaser or Nature of Disposal	6 Date Originally Acquired	7 Disposal Date	8 Book/Adjusted Carrying Value Less Encumbrances, Prior Year	9 Change in Book/Adjusted Carrying Value						15 Book/Adjusted Carrying Value Less Encumbrances on Disposal	16 Consid-eration	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Investment Income
		City	State					9 Unrealized Valuation Increase (Decrease)	10 Current Year's (Depreciation) or (Amortization)/Accretion	11 Current Year's Other Than Temporary Impairment Recognized	12 Capitalized Deferred Interest and Other	13 Total Change in Book/Adjusted Carrying Value (9+10-11+12)	14 Total Foreign Exchange Change in Book/Adjusted Carrying Value						
BANOPE-FS-7	ACE CREDIT FUND LP ACE CREDIT FUND LP			Capital Distribution	08/10/2018	07/20/2020	731,639							731,639				731,639	
BAN0N8-DC-9	APOLLO HYBRID VALUE FUND APOLLO HYBRID VALUE FUND			Capital Distribution	07/05/2018	09/30/2020	5,280,269							5,280,269	2,580,357			2,699,912	
BAN0KX-RF-5	APOLLO STRUCTURED RECOVERY FUN			Capital Distribution	12/11/2017	07/23/2020	1,834,652							1,834,652	1,834,652				
BAN0R5-QS-2	APOLLO STRUCTURED RECOVERY FUN Apollo Infra Equity US Fund LP			Capital Distribution	12/12/2018	08/17/2020	18,069,726							18,069,726	1,123,572			16,946,154	
1BAN0D-LV-8	APOLLO USREF APOLLO USREF II HP COINVEST		US	Capital Distribution	06/30/2016	08/07/2020	6,763,682							6,763,682	4,278,164			2,485,518	
BANOJH-KP-7	GRANITE COINVEST			Capital Distribution	08/21/2017	09/01/2020	2,317,498							2,317,498				2,317,498	
BANOXV-VH-6	Apollo Principal Holdings IV A-A SPN-8 (AIOFII-AELIFW), LP			Capital Distribution	08/11/2020	09/03/2020	574,894							574,894	574,894				
1BAN0B-IH-0	BLUEWATER INVESTMENT HOLDINGS			Capital Distribution	11/21/2017	07/01/2020	10,800,000							10,800,000	9,767,924			1,032,076	
18064#-10-3	CCSD II, LP	DOVER	DE	Capital Distribution	06/28/2012	07/20/2020	129,221							129,221				129,221	
18064#-10-3	CLARITAS CAP SPEC DEBT FUND LP	DOVER	DE	Capital Distribution	02/03/2011	07/17/2020	60,446							60,446				60,446	
G3435*-10-3	FINANCIAL CREDIT INVESTMENT			Capital Distribution	07/18/2017	07/02/2020	1,274,754							1,274,754				1,274,754	

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE BA - PART 3

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

1 CUSIP Identification	2 Name or Description	Location		5 Name of Purchaser or Nature of Disposal	6 Date Originally Acquired	7 Disposal Date	8 Book/ Adjusted Carrying Value Less Encum- brances, Prior Year	Change in Book/Adjusted Carrying Value						15 Book/ Adjusted Carrying Value Less Encum- brances on Disposal	16 Consid- eration	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Invest- ment Income	
		3 City	4 State					9 Unrealized Valuation Increase (De- crease)	10 Current Year's (Depre- ciation) or (Amorti- zation)/ Accretion	11 Current Year's Other Than Temporary Impair- ment Recog- nized	12 Capital- ized Deferred Interest and Other	13 Total Change in Book/ Adjusted Carrying Value (9+10- 11+12)	14 Total Foreign Exchange Change in Book/ Adjusted Carrying Value							
BANKP-ET-6	JCR INCOME PLUS FUND	JCR INCOME PLUS FUND IV		Capital Distribution	05/04/2018	08/10/2020	79,398							79,398					79,398	
1BANOH-XT-A	LEVINE LEICHTMAN CAPITAL PART	MEZZANINE PARTNERS III MEZZANINE PARTNERS		Capital Distribution	05/31/2017	07/31/2020	22,066							22,066					22,066	
1BANOF-SH-L	III	US		Capital Distribution	02/27/2017	07/20/2020	967,945							967,945	550,529				417,416	
BANONL-H7-7	NNN INVESTOR I			Capital Distribution	06/07/2018	07/30/2020	363,254							363,254	363,254					
BANOQA-CQ-6	NNN INVESTOR II			Capital Distribution	07/11/2019	07/30/2020	406,540							406,540	406,540					
466993-50-8	PEG SECONDARY PRIVATE EQUITY			Capital Distribution	08/12/2016	07/02/2020	225,179							225,179	225,179					
00163H-AD-7	ALM LOAN FUNDING 2012-7A SUB 144A MIX-CORP	LOAN		Paydown	10/05/2016	07/15/2020														
2599999. Joint Venture Interests - Other - Unaffiliated							49,901,163							49,901,163	21,705,065				28,196,098	
BANOW-F3-4	PK AIR FINANCE 2019				12/11/2019	07/28/2020	1,472,752	(2,945,504)			(2,945,504)		(1,472,752)	(1,472,752)						
4699999. Any Other Class of Assets - Unaffiliated							1,472,752	(2,945,504)			(2,945,504)		(1,472,752)	(1,472,752)						
4899999. Total - Unaffiliated							51,373,915	(2,945,504)			(2,945,504)		48,428,411	20,232,313					28,196,098	
4999999. Total - Affiliated																				
5099999 - Totals							51,373,915	(2,945,504)				(2,945,504)		48,428,411	20,232,313					28,196,098

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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
8999997. Total - Preferred Stocks - Part 3							XXX		XXX
8999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks							XXX		XXX
BANDZM-EU-4	ADNOC INFRASTRUCTURE LLC CAYMAN UNIVERSE HOLDINGS LLC	D	09/24/2020	DEFAULT ATHENE BROKER	7,000.000	896,000			
9199999. Subtotal - Common Stocks - Industrial and Miscellaneous (Unaffiliated) Other						896,000	XXX		XXX
9799997. Total - Common Stocks - Part 3						896,000	XXX		XXX
9799998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX
9799999. Total - Common Stocks						896,000	XXX		XXX
9899999. Total - Preferred and Common Stocks						896,000	XXX		XXX
9999999 - Totals						1,342,220,635	XXX	1,737,602	XXX

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..38376R-RV-0	GNMA GNMA 2016-H07 1.529% 03/20/66		09/01/2020	Paydown				168,947	146,804				(146,804)						16,753	03/20/2066	1
..46613P-R5-7	JEA FL WTR & SWR REVENUE SER B 3.700% 10/01/34		08/13/2020	Call 100.0000		8,095,000	8,095,000	8,099,048	8,095,140			(140)	(140)		8,095,000				259,580	10/01/2034	1FE
..544495-WB-6	LOS ANGELES CA DEPT WTR & PWR BUILD AMERICA BONDS 7.003% 07/01/41		07/01/2020	Call 100.0000		1,500,000	1,500,000	1,710,270	1,514,723			(14,723)	(14,723)		1,500,000				105,045	07/01/2041	1FE
..57419R-D7-7	MARYLAND ST CMNTY DEV ADMIN DE MULTIFAMILY HSG 3.797% 03/01/39		08/31/2020	Redemption 100.0000		200,000	200,000	196,261	196,476			3,524	3,524		200,000				7,594	03/01/2039	1FE
..57582R-YN-0	MASSACHUSETTS ST GENERAL OBLIGATION 2.663% 09/01/39		09/01/2020	Redemption 100.0000		155,000	155,000	155,000	155,000						155,000				4,002	09/01/2039	1FE
..59259Y-DK-2	MET TRANSPRTN AUTH NY REVENUE BUILD AMERICA BONDS-TAXABLE-TR 6.200% 11/15/26		07/13/2020	PIPER SANDLER & CO		11,000,000	10,000,000	10,000,000	10,000,000						10,000,000		1,000,000	1,000,000	413,333	11/15/2026	1FE
..64469D-B4-2	NEW HAMPSHIRE ST HSG FIN AUTHS TXBL-REF-AQ-SER A SER A 3.611% 07/01/28		08/03/2020	Redemption 100.0000		15,000	15,000	15,000	15,000						15,000				550	07/01/2028	1Z
..64469D-B5-9	NEW HAMPSHIRE ST HSG FIN AUTHS TXBL-REF-AQ-SER A SER A 4.077% 01/01/34		08/03/2020	Redemption 100.0000		95,000	95,000	95,000	95,000						95,000				3,901	01/01/2034	1Z
..64469D-E7-2	NEW HAMPSHIRE ST HSG FIN AUTHS SINGLE FAMILY HSG 3.736% 01/01/33		08/03/2020	Redemption 100.0000		30,000	30,000	30,000	30,000						30,000				1,127	01/01/2033	1FE
..677555-YE-8	OHIO ST ECON DEV REVENUE TAXABLE-OHIO ENTERPRISE-SER 2 8.000% 03/01/29		09/01/2020	Redemption 100.0000		105,000	105,000	105,000	105,000						105,000				6,300	03/01/2029	1FE
..917435-AA-7	UTAH ST HSG CORP MILITARY HSG TAXABLE-BOYER HILL-SER A CL I 5.392% 07/01/50		07/01/2020	Redemption 100.0000		36,486	36,486	36,353	36,373			114	114		36,486				1,967	07/01/2050	1FE
..917435-AB-5	UTAH ST HSG CORP MILITARY HSG TAXABLE-BOYER HILL-SER A-CL II 5.442% 07/01/50		07/01/2020	Redemption 100.0000		25,000	25,000	23,818	23,976			1,024	1,024		25,000				1,361	07/01/2050	1FE
..983220-ML-8	WYOMING ST CMNTY DEV AUTH HSGR HSG REVENUE BONDS 2017-SER 2 3.750% 12/01/38		09/01/2020	Call 100.0000		1,910,000	1,910,000	1,910,000	1,910,000						1,910,000				40,983	12/01/2038	1FE
Subtotal - Bonds - U.S. Special Revenues						180,947,112	179,947,112	178,003,201	179,069,833		877,277		877,277		179,947,112		1,000,000	1,000,000	6,010,658	XXX	XXX
..BAN0JQ-MC-4	CRG ISSUER CRG-17-1 CRG 2017-1 A 4.500% 01/10/24		07/28/2020	Redemption 100.0000		768,408	768,408	768,408	768,408						768,408				18,058	01/10/2024	1Z
..BAN0XQ-9P-4	STONE RIDGE FACILITY STONE RIDGE FACILITY 0.000% 12/21/30		07/31/2020	Redemption 100.0000		840,000	840,000	840,000	840,000						840,000				8,623	12/21/2030	1Z
..00164T-AA-6	AMC EAST COMMUNITIES LLC 2007 SERIES A CLASS I 5.740% 01/15/28		07/15/2020	Redemption 100.0000		332,873	332,873	348,385	339,777			(6,904)	(6,904)		332,873				19,107	01/15/2028	1FE
..00192J-AD-8	APS RESECURITIZATION TRUST APS RESECURITIZATION TRUST 14.991% 09/30/55		09/25/2020	Paydown		88,252	88,252	53,834	35,511			52,741	52,741		88,252				5,356	09/30/2055	1FM
..00287Y-BJ-7	ABBVIE INC BASIC 0.268% 11/19/21		08/11/2020	DEFAULT ATHENE BROKER		1,001,684	1,000,000	1,002,596				(765)	(765)		1,001,831		(147)	(147)	13,230	11/19/2021	2FE
..00432C-DK-4	Access Group Inc 2007-A Class B 0.800% 02/25/37		08/25/2020	Paydown		210,779	210,779	178,635	185,626			25,152	25,152		210,779				2,997	02/25/2037	2FE
..006346-AS-9	ADAMS OUTDOOR ADVERTISING SERIES 20181 CLASS A 4.810% 11/15/48		09/15/2020	Paydown		15,635	15,635	15,634	15,634						15,635				501	11/15/2048	1FE
..007036-PG-5	ADJUSTABLE RATE MORTGAGE TRUST ARMT 2005-6A 2A1 0.795% 11/25/35		09/25/2020	Paydown		72,081	72,081	60,345	57,220			14,862	14,862		72,081				776	11/25/2035	1FM
..007036-VG-8	ADJUSTABLE RATE MORTGAGE TRUST Adj Rate Mtge Trust 2005-11 4A 3.153% 02/01/56		09/01/2020	Paydown		256,219	253,026	180,779	173,328			82,891	82,891		256,219				6,714	02/01/2056	1FM
..00751Y-AC-0	ADVANCE AUTO PARTS AAP 4 1/2 12/01/23		09/29/2020	Call 111.8870		16,783,050	15,000,000	14,953,500	14,979,247			3,672	3,672		14,982,920		17,080	17,080	2,341,800	12/01/2023	2FE
..00764M-CF-2	ALASKA VENTURES LLC ALASKA VENTURES LLC 4.670% 06/30/33		09/25/2020	Redemption 100.0000		317,530	317,530	317,530	317,530						317,530				11,121	06/30/2033	2PL
..01185*-AA-3	ALASKA VENTURES LLC ALASKA VENTURES LLC 4.670% 06/30/33		09/30/2020	Redemption 100.0000		317,530	317,530	317,530	317,530						317,530				11,121	06/30/2033	2PL
..01185*-AB-1	ALASKA VENTURES LLC ALASKA VENTURES LLC 4.670% 06/30/33		09/30/2020	Redemption 100.0000		51,330	51,330	51,330	51,330						51,330				1,798	06/30/2033	2PL
..020908-AH-2	COUNTRYWIDE ALTERNATIVE LN TR CIALT 2007-J2 2A5 6.000% 07/25/37		09/01/2020	Paydown		22,686	22,963	17,987	16,925			5,761	5,761		22,686				922	07/25/2037	1FM
..02146T-AY-3	COUNTRYWIDE ALT LOAN TRUST 2006-24CB A23 6.000% 06/25/36		09/01/2020	Paydown		24,251	24,041	17,310	15,710			8,541	8,541		24,251				979	06/25/2036	1FM

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..02147G-AF-1	COUNTRYWIDE ALTERNATIVE LN TR 2006-21CB A6 5.425% 07/25/36		09/25/2020	Paydown				28,544	10,312		(10,312)		(10,312)						5,604	07/25/2036	6FE
..02147R-AG-5	COUNTRYWIDE ALT LOAN TRUST 2006-23CB 1A7 6.000% 08/25/36		09/01/2020	Paydown		27,404	27,288	20,982	21,849		5,554		5,554		27,404				1,106	08/25/2036	1FM
..02147R-AJ-9	COUNTRYWIDE ALT LOAN TRUST CVALT 2006-23CB 1A9 6.000% 08/25/36		09/01/2020	Paydown		35,027	34,879	30,494	31,180		3,846		3,846		35,027				1,413	08/25/2036	1FM
..02147V-AA-9	COUNTRYWIDE ALTERNATIVE LN TR 2006-25C A1 6.000% 05/25/42		09/01/2020	Paydown		22,773	22,218	14,216	11,782		10,992		10,992		22,773				970	05/25/2042	1FM
..02149M-AQ-2	COUNTRYWIDE ALTERNATIVE LN TR 2007-J1 2A2 5.625% 03/25/37		08/25/2020	Paydown				455	583	119	(701)		(582)						74	03/25/2037	6Z
..02149V-AJ-8	COUNTRYWIDE ALTERNATIVE LN TR CVALT 2007-3T1 1A9 6.000% 04/25/37		09/01/2020	Paydown		45,914	73,367	53,619	35,659		10,255		10,255		45,914				3,166	04/25/2037	1FM
..02150E-BG-7	COUNTRYWIDE ALT LOAN TRUST CVALT 2007-5CB 1A31 5.500% 04/25/37		09/01/2020	Paydown		29,396	33,295	27,156	25,240		4,156		4,156		29,396				1,190	04/25/2037	1FM
..02150V-AD-7	COUNTRYWIDE ALT LOAN TRUST COUNTRYWIDE ALT LOANTRUST 0.378% 08/25/37		08/25/2020	Paydown		33,512	33,187	29,977	33,257		255		255		33,512				248	08/25/2037	1FM
..02150V-AD-7	COUNTRYWIDE ALT LOAN TRUST COUNTRYWIDE ALT LOANTRUST 0.378% 08/25/37		09/25/2020	Paydown		25,589	20,994	18,963	21,038		4,551		4,551		25,589				233	08/25/2037	2FM
..02151B-BX-5	COUNTRYWIDE ALTERNATIVE LN TR CVALT 2007-22 1A17 6.250% 09/25/37		09/01/2020	Paydown		145,492	167,289	141,865	117,189		28,304		28,304		145,492				7,648	09/25/2037	1FM
..02151C-AX-4	COUNTRYWIDE ALTERNATIVE LN TR CVALT 2007-15CB A13 5.750% 07/25/37		09/01/2020	Paydown		195,635	210,269	163,254	124,207		71,428		71,428		195,635				8,348	07/25/2037	1FM
..023767-AA-4	AMERICAN AIRLINES AAL 5 1/4 01/31/21 5.250% 01/31/21		07/31/2020	Redemption	100.0000	231,354	231,354	231,354	231,354						231,354				12,146	01/31/2021	3FE
..02377B-AA-4	AMER AIRLN 15-2 A PASS T AAL 4 09/22/27 4.000% 09/22/27		09/22/2020	Redemption	100.0000	592,220	592,220	592,220	592,220						592,220				23,689	09/22/2027	2FE
..02378A-AA-5	AMER AIRLINE 17-1 A PTT AAL 4 02/15/29 4.000% 02/15/29		08/15/2020	Redemption	100.0000	95,000	95,000	95,000	95,000						95,000				3,800	02/15/2029	2FE
..02378L-AA-1	AMERICAN AIRLINES AMERICAN AIRLINES 2017-1C ETC 5.180% 08/15/23		08/15/2020	Redemption	100.0000	503,148	503,148	503,148	503,148						503,148				26,063	08/15/2023	2PL
..02660T-DJ-9	AMERICAN HOME MTG INV TRUST 2005-1 7A1 2.325% 06/25/45		08/01/2020	Paydown		69,754	69,754	63,204	69,775		(22)		(22)		69,754				1,343	06/25/2045	1FM
..02660T-FJ-7	AMERICAN HOME MTG INV TRUST AHM 2005-2 5A4C 5.908% 09/25/35		09/01/2020	Paydown		82,359	82,359	63,661	61,672		20,687		20,687		82,359				2,065	09/25/2035	1FM
..03066D-AG-1	AMERICREDIT AUTO RECEIVABLES AMERICREDIT AUTO REC 3.650% 05/09/22		09/08/2020	Paydown		244,760	244,760	244,689	244,736		24		24		244,760				6,432	05/09/2022	1FE
..037411-BD-6	APACHE CORP APA 2 5/8 01/15/23 2.625% 01/15/23		08/18/2020	Call	100.0000	2,000,000	2,000,000	1,973,140	1,986,644		13,356		13,356		2,000,000				57,313	01/15/2023	3FE
..038779-AB-0	ARBYS FUNDING SERIES 20201A CLASS A2 3.237% 07/30/50		07/29/2020	ROBERT W. BAIRD		6,312,500	6,250,000	6,250,000							6,250,000		62,500	62,500		07/30/2050	2FE
..04542B-FW-7	Asset Backed Funding Certifica SERIES 2004OPT2 CLASS M1 0.973% 08/25/33		09/25/2020	Paydown		18,127	18,127	17,929	17,931		197		197		18,127				214	08/25/2033	1FM
..05178T-AA-9	AURORA MILITARY HOUSING III AURMIL 5.82 07/15/34 5.820% 07/15/34		07/15/2020	Redemption	100.0000	260,899	260,899	260,899	260,899						260,899				15,184	07/15/2034	1FE
..05377R-CB-8	AESOP FUNDING II LLC AESOP 2015-2A B 3.420% 12/20/21		07/20/2020	Paydown		3,982,833	3,982,833	3,981,965	3,982,658		175		175		3,982,833				79,458	12/20/2021	1FE
..05377R-CB-8	AESOP FUNDING II LLC AESOP 2015-2A B 3.420% 12/20/21		09/20/2020	Paydown		7,965,667	7,965,667	7,963,930	7,965,317		350		350		7,965,667				192,968	12/20/2021	2FE
..05377R-CZ-5	AESOP FUNDING II LLC SERIES 20181A CLASS B 4.000% 09/20/24		08/13/2020	CANTOR FITZGERALD SECURITIES C		13,564,688	13,000,000	12,999,706	12,999,938		17		17		12,999,954		564,733	564,733	342,333	09/20/2024	1FE
..05377R-DD-3	AESOP FUNDING II LLC SERIES 20182A CLASS B 4.270% 03/20/25		08/13/2020	CANTOR FITZGERALD SECURITIES C		3,958,594	3,750,000	3,749,861	3,749,877		18		18		3,749,894		208,700	208,700	105,416	03/20/2025	1FE
..05523U-AM-2	BAE SYSTEMS HOLDINGS INC BAE SYSTEMS HOLDINGS INC 2.850% 12/15/20		08/06/2020	DEFAULT ATHENE BROKER		1,407,986	1,400,000	1,422,918	1,406,348		(4,330)		(4,330)		1,402,018		5,968	5,968	25,603	12/15/2020	2Z
..05531U-AD-2	BCAP LLC TRUST BCAP LLC TRUST 6.000% 02/26/37		09/01/2020	Paydown		172,857	180,461	143,692	135,062		37,795		37,795		172,857				7,594	02/26/2037	1FM

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol
..05531X-AG-9	BCAP LLC TRUST BCAP LLC TRUST 6.000% 07/28/37		09/01/2020	Paydown		68,454	93,902	75,906	77,467		(9,013)		(9,013)		68,454				3,684	07/28/2037	1FM
..05531Y-AB-8	BCAP LLC TRUST BCAP 2009-RR6 1A2 Mtge 2.987% 10/26/35		09/01/2020	Paydown		228,733	228,733	208,004	215,546		13,187		13,187		228,733				6,427	10/26/2035	1FM
..05532E-AD-7	BCAP LLC TRUST BCAP LLC TRUST 3.147% 08/26/35		09/01/2020	Paydown		91,074	90,972	76,475	78,698		12,376		12,376		91,074				2,525	08/26/2035	1FM
..05532E-AP-0	BCAP LLC TRUST BCAP 2009-RR10 7A2 MTGE 4.050% 10/26/35		09/01/2020	Paydown		303,909	303,909	275,038	281,202		22,707		22,707		303,909				8,450	10/26/2035	1FM
..05532U-AL-3	BCAP LLC TRUST BCAP LLC TRUST 6.100% 04/28/37		09/01/2020	Paydown		290,354	290,354	289,265	289,153		1,200		1,200		290,354				2,549	04/28/2037	1FM
..05532V-BB-2	BCAP LLC TRUST BCAP LLC TRUST 0.748% 08/26/37		07/25/2020	Paydown		29,143	29,143	21,967	22,823		6,320		6,320		29,143				269	08/26/2037	1FM
..05532V-BB-2	BCAP LLC TRUST BCAP LLC TRUST 0.748% 08/26/37		09/25/2020	Paydown		133,192	133,192	100,393	104,309		28,882		28,882		133,192				1,346	08/26/2037	2FM
..05536L-AD-7	BCAP LLC TRUST BCAP 2011-RR8 1A4 1.867% 07/26/36		08/01/2020	Paydown			64	50	51		(51)		(51)						1	07/26/2036	1FM
..05537L-AA-2	BCAP BCAP 2011-RR10 1A1 5.000% 03/26/37 BTMJU CAP CORP BNSF RAILWAY CORP SERIES A 6.550% 02/26/21		09/01/2020	Paydown		27,867	27,867	27,972	27,907		(39)		(39)		27,867				959	03/26/2037	1FM
..05577@-AG-5	BTMJU CAP CORP BNSF RAILWAY CORP SERIES A 6.550% 02/26/21		08/26/2020	Redemption	100.0000	111,490	111,490	111,490	111,490						111,490				7,303	02/26/2021	1FE
..05577@-AH-3	BTMJU CAP CORP BNSF RAILWAY CORP SERIES B 6.550% 02/26/21		08/26/2020	Redemption	100.0000	107,302	107,302	107,302	107,302						107,302				7,028	02/26/2021	1FE
..05577@-AJ-9	BTMJU CAP CORP BNSF RAILWAY CORP SERIES C 6.550% 02/26/21		08/26/2020	Redemption	100.0000	32,565	32,565	32,565	32,565						32,565				2,133	02/26/2021	1FE
..05577@-AK-6	BTMJU CAP CORP BNSF RAILWAY CORP SERIES D 6.550% 02/26/21		08/26/2020	Redemption	100.0000	33,513	33,513	33,513	33,513						33,513				2,195	02/26/2021	1FE
..05577@-AM-2	BTMJU CAP CORP BNSF RAILWAY CORP SERIES E 6.550% 02/26/21		08/26/2020	Redemption	100.0000	13,286	13,286	13,286	13,286						13,286				870	02/26/2021	1FE
..059469-AE-6	BANC OF AMERICA ALT LOAN BANC OF AMERICA ALT LOAN 6.226% 01/01/56		09/01/2020	Paydown		93,978	93,978	59,881	49,275		44,703		44,703		93,978				1,768	01/01/2056	1FM
..05946X-XH-1	BANC OF AMERICA MORTGAGE SEC BAFC 2005-E 1A1 0.738% 05/20/35		09/21/2020	Paydown		27,726	36,596	25,022	32,509		(4,782)		(4,782)		27,726				382	05/20/2035	1FM
..059475-AB-9	BANC OF AMERICA ALT LN TR BOAA 2007-2 1A2 5.500% 06/25/37		09/01/2020	Paydown		56,773	65,544	50,988	46,834		9,940		9,940		56,773				2,413	06/25/2037	1FM
..059487-AC-2	BANC AMERICA ALT LOAN BOAA 2006-6CB3 6.000% 07/25/46		09/01/2020	Paydown		36,874	48,802	40,262	40,876		(4,001)		(4,001)		36,874				1,930	07/25/2046	1FM
..05948K-Y3-7	BANC OF AMERICA ALT LOAN TRUST 2005-12 1CB5 5.750% 01/25/36		09/01/2020	Paydown		50,561	52,127	46,849	47,587		2,975		2,975		50,561				1,913	01/25/2036	1FM
..05949A-6J-4	BANK OF AMERICA MTG SECURITIES 2005-E 2A7 3.212% 06/25/35		09/01/2020	Paydown		228,985	230,362	166,581	194,901		34,084		34,084		228,985				5,828	06/25/2035	1FM
..05949C-PL-4	BANC OF AMERICA MORTGAGE 2005-L 2A5 3.910% 01/25/36		09/01/2020	Paydown		25,351	25,649	20,171	24,244		1,107		1,107		25,351				645	01/25/2036	1FM
..05949T-BF-5	BANC OF AMERICA FUNDING CORP BAFC 2006-1 3A1 5.500% 01/25/36		09/01/2020	Paydown		47,611	48,511	43,134	42,297		5,315		5,315		47,611				1,700	01/25/2036	1FM
..05950M-AF-7	Banc of America Funding Corpor SERIES 2006G CLASS 2A5 0.716% 07/20/36		09/21/2020	Paydown		363,543	363,543	358,584	358,619		4,925		4,925		363,543				3,564	07/20/2036	1FM
..05951F-AK-0	BANC AMERICA FUNDING CORP BANC AMERICA FUNDING CORP 5.847% 07/01/55		09/01/2020	Paydown		25,407	25,726	20,505	22,272		3,135		3,135		25,407				1,256	07/01/2055	1FM
..05951G-AC-6	BANC AMERICA FUNDING CORP 0.278% 03/25/37 BANC OF AMERICA FUNDING CORP BANC OF AMERICA FUNDING CORP 3.878% 05/20/36		09/25/2020	Paydown		113,335	113,181	78,236	77,547		35,788		35,788		113,335				768	03/25/2037	1FM
..059522-BE-1	BANC OF AMERICA FUNDING CORP BAFC 2007-7 3A2 4.844% 09/25/37		09/01/2020	Paydown		37,907	39,225	38,831	38,944		(1,037)		(1,037)		37,907				1,110	05/20/2036	1FM
..059529-AJ-6	BANC OF AMERICA MORTGAGE SEC BOAMS 2007-2 A10 5.850% 05/25/37		09/01/2020	Paydown		114,721	182,408	140,983	125,159		(10,438)		(10,438)		114,721				6,334	09/25/2037	1FM
..05952F-AK-9			09/01/2020	Paydown		23,140	33,264	27,132	28,469		(5,328)		(5,328)		23,140				1,300	05/25/2037	1FM

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..05952X-AE-4	BANC OF AMERICA FUNDING BANC OF AMERICA FUNDING CORP 6.000% 07/26/36		09/01/2020	Paydown	328,172	344,051	266,639	284,386	43,786	43,786			328,172					12,385	07/26/2036	1FM	
..05963S-AE-2	BANC OF AMERICA FUNDING BACF 14 -R7 0.690% 09/26/36		09/25/2020	Paydown	38,951	22,933	29,043	29,043	(29,043)	(29,043)								1,063	09/26/2036	4FM	
..07325V-AF-1	Bayview Financial Acquisition SERIES 2007A CLASS 1A5 6.101% 05/28/37		09/01/2020	Paydown	55,781	55,781	56,402	56,394	(613)	(613)			55,781					2,352	05/28/2037	1FM	
..07335C-AK-0	BARCLAYS COMMERCIAL MORTGAGE S SERIES 2019C4 CLASS XA 1.745% 08/15/52		09/01/2020	Paydown	89,955	11,118	11,711	11,711	(11,711)	(11,711)								1,003	08/15/2052	1FE	
..07386H-XN-6	BEAR STEARNS ALT A TRUST BEAR STEARNS ALTA TRUST 0.668% 11/25/35		09/25/2020	Paydown	447,366	446,010	408,962	342,346	105,020	105,020			447,366					4,170	11/25/2035	1FM	
..07386H-ZE-4	BEAR STEARNS ALT A TRUST BEAR STEARNS ALT A TRUST 3.456% 01/25/36		09/01/2020	Paydown	117,592	117,665	94,643	78,050	39,541	39,541			117,592					2,873	01/25/2036	1FM	
..073871-BL-8	Bear Stearns Alt-A Trust SERIES 20064 CLASS 31A1 0.000% 07/25/36		09/01/2020	Paydown	542	542	473	68	68	68			542					93	07/25/2036	5FE	
..073875-AK-2	BEAR STEARNS ALT A TRUST BEAR STEARNS ALT A TRUST 3.682% 12/25/46		08/01/2020	Paydown	46,299	45,872	32,197	24,609	21,690	21,690			46,299					1,220	12/25/2046	1FM	
..073879-PS-1	BEAR STEARNS ASSET BACKED SEC 2005-HE1 M2 1.393% 01/25/35		09/25/2020	Paydown	99,260	99,260	77,252	89,697	9,564	9,564			99,260					1,389	01/25/2035	1FM	
..07387A-BR-5	BEAR STEARNS ADJ RATE MTGE BEAR STEARNS ADJ RATE MTGE 3.259% 08/25/35		09/01/2020	Paydown	85,302	85,636	77,504	62,888	14,282	14,282			85,302					2,352	08/25/2035	1FM	
..07389K-AA-9	BEAR STEARNS ALT A TRUST II SER 07-1 CLASS 1A1 3.333% 09/25/47		09/01/2020	Paydown	123,376	120,782	82,880	60,353	63,023	63,023			123,376					2,780	09/25/2047	1FM	
..07401A-AA-5	BEAR STEARNS MTGE FUNDING BEAR STEARNS MTGE FUNDING 0.348% 09/25/46		09/25/2020	Paydown	1,365,640	1,295,621	1,059,575	986,315	379,324	379,324			1,365,640					11,935	09/25/2046	1FM	
..075896-AB-6	BED BATH & BEYOND INC BBBY 4.915 08/01/34 4.915% 08/01/34		08/28/2020	Call	77,3686	8,044,790	10,398,000	6,966,660	7,076,189	76,799			7,152,988			891,802	891,802	511,062	08/01/2034	4FE	
..084423-AR-3	BERKLEY (WR) CORPORATION WRB 5 3/8 09/15/20 5.375% 09/15/20		09/15/2020	Maturity	12,500,000	12,500,000	12,548,010	12,504,231	(4,231)	(4,231)			12,500,000					671,875	09/15/2020	2FE	
..110122-BL-1	BRISTOL-MYERS SQUIBB CO BMY 4 08/15/23 4.000% 08/15/23		07/17/2020	Tax Free Exchange	24,953,083	25,000,000	24,942,596	24,944,701	8,381	8,381			24,953,083					922,222	08/15/2023	1FE	
..110122-BQ-0	BRISTOL-MYERS SQUIBB CO BRISTOL MYERS 3.90 2/20/28 3.900% 02/20/28		07/17/2020	Tax Free Exchange	964,768	1,000,000	962,228	962,633	2,136	2,136			964,768					35,425	02/20/2028	1FE	
..110122-CC-0	BRISTOL-MYERS SQUIBB CO BMY 4 1/8 06/15/39 4.125% 06/15/39		07/17/2020	Tax Free Exchange	3,249,504	3,000,000	3,258,960	3,254,724	(5,220)	(5,220)			3,249,504					72,875	06/15/2039	1FE	
..11043H-AA-6	BRITISH AIR 18-1 A PTT IAGLN 4 1/8 09/20/31 4.125% 09/20/31		09/20/2020	Redemption	100.0000	173,439	173,439	173,439	173,439	173,439			173,439					5,366	09/20/2031	2FE	
..11133T-AB-9	BROADRIDGE FINANCIAL SOL BR 3.95 09/01/20 3.950% 09/01/20		09/01/2020	Maturity	30,380,000	30,380,000	30,329,388	30,374,605	5,395	5,395			30,380,000					1,200,010	09/01/2020	2FE	
..11135F-AH-4	BROADCOM INC BASIC 5.000% 04/15/30 Business Jet Securities, LLC SERIES 20181		08/10/2020	Tax Free Exchange	995,671	1,000,000	995,550	121	121	121			995,671					16,806	04/15/2030	2FE	
..123262-AN-7	CLASS A 4.335% 02/15/33 Business Jet Securities, LLC BUSINESS JET SECURITIES LLC 6.048% 02/15/33		09/15/2020	Paydown	114,371	114,371	114,369	114,371					114,371					3,427	02/15/2033	1FE	
..123262-AQ-0	Business Jet Securities, LLC BUSINESS JET SECURITIES LLC 6.048% 02/15/33		09/15/2020	Paydown	12,130	12,130	12,130	12,130					12,130					504	02/15/2033	2FE	
..123262-AQ-0	Business Jet Securities, LLC BUSINESS JET SECURITIES LLC 6.048% 02/15/33		08/15/2020	Paydown	4,579	4,579	4,579	4,579					4,579					185	02/15/2033	2Z	
..12326Q-AA-2	Business Jet Securities, LLC SERIES 20191 CLASS A 4.212% 07/15/34		09/15/2020	Paydown	4,566,222	4,566,222	4,570,227	3,980,100	(4,001)	(4,001)			4,566,222					124,296	07/15/2034	1FE	
..12326R-AA-0	Business Jet Securities, LLC SERIES 20182 CLASS A 4.447% 06/15/33		09/15/2020	Paydown	228,110	228,110	228,106	228,109					228,110					6,742	06/15/2033	1FE	
..12527G-AC-7	CF INDUSTRIES INC CF 3.45 06/01/23 3.450% 06/01/23		07/17/2020	STIFEL NICOLAUS	15,320,498	15,057,000	14,578,436	14,862,791	29,750	29,750			14,892,541			427,956	427,956	329,625	06/01/2023	3FE	
..125284-AL-3	CGDB Commercial Mortgage Trust SERIES 2019MOB CLASS F 2.702% 11/15/36		07/27/2020	DEFAULT ATHENE BROKER	818,180	1,000,000	795,000		2,329	2,329			797,329			20,851	20,851	11,147	11/15/2036	1FM	
..125284-AN-9	CGDB Commercial Mortgage Trust SERIES 2019MOB CLASS G 3.144% 11/15/36		07/27/2020	DEFAULT ATHENE BROKER	818,180	1,000,000	743,125		2,705	2,705			745,830			72,350	72,350	12,644	11/15/2036	4FE	

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SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol
..12543R-AT-6	COUNTRYWIDE HOME LOANS CWHL 2007-3 A18 6.000% 04/25/37		09/01/2020	Paydown		121,869	126,852	106,901	92,758		29,111		29,111		121,869				5,126	04/25/2037	1FM
..12543R-BJ-7	COUNTRYWIDE HOME LOANS CWHL 2007-3 A33 6.000% 04/25/37		09/01/2020	Paydown		132,026	137,425	111,749	96,876		35,150		35,150		132,026				5,554	04/25/2037	1FM
..12543T-AB-1	COUNTRYWIDE HOME LOANS CWHL 2006-13 1A2 6.250% 09/25/36		09/01/2020	Paydown		64,626	95,440	78,034	63,547		1,079		1,079		64,626				4,139	09/25/2036	1FM
..12543U-AE-2	COUNTRYWIDE HOME LOANS CWHL 2006-15 A5 6.250% 10/25/36		09/01/2020	Paydown		368,006	420,143	342,099	277,482		90,524		90,524		368,006				18,525	10/25/2036	1FM
..12544D-AW-9	COUNTRYWIDE HOME LOANS CWHL 2007-14 A21 6.250% 09/25/37		09/01/2020	Paydown		28,487	28,510	24,918	21,881		6,606		6,606		28,487				1,190	09/25/2037	1FM
..12544L-AQ-4	COUNTRYWIDE HOME LOANS CWHL 2007-11 A15 6.000% 08/25/37		09/01/2020	Paydown		83,072	100,098	87,174	71,581		11,491		11,491		83,072				4,334	08/25/2037	1FM
..12545A-AX-2	COUNTRYWIDE HOME LOANS CWHL 2007-8 1A22 6.000% 01/25/38		09/01/2020	Paydown		140,896	139,557	123,807	100,602		40,294		40,294		140,896				6,560	01/25/2038	1FM
..12545B-AC-6	COUNTRYWIDE HOME LOANS CWHL 2008-3R 2A1 6.000% 08/25/37		09/01/2020	Paydown		20,581	21,258	19,376	16,664		3,918		3,918		20,581				947	08/25/2037	1FM
..125523-AW-0	CIGNA CORP CI 7 7/8 05/15/27 7.875% 05/15/27		07/14/2020	Tax Free Exchange		623,941	630,000	623,372	623,590		351		351		623,941				32,937	05/15/2027	2FE
..125523-BC-3	CIGNA CORP CI 6.15 11/15/36 6.150% 11/15/36		07/14/2020	Tax Free Exchange		17,117,190	16,130,000	17,144,389	17,137,247		(20,057)		(20,057)		17,117,190				658,574	11/15/2036	2FE
..125523-BQ-2	CIGNA CORP CI 3.9 02/15/22 3.900% 02/15/22		07/14/2020	Tax Free Exchange		8,408,264	8,300,000	8,458,007	8,443,625		(35,361)		(35,361)		8,408,264				295,826	02/15/2022	2FE
..125523-BY-5	CIGNA CORP CI 4 1/2 02/25/26 4.500% 02/25/26		07/14/2020	Tax Free Exchange		7,974,077	8,000,000	7,970,662	7,971,771		2,306		2,306		7,974,077				319,000	02/25/2026	2FE
..12556M-AB-0	CIM Trust SERIES 2019J1 CLASS 1A2 3.500% 08/25/49		09/01/2020	Paydown		3,833,087	3,833,087	3,884,594	3,884,187		(51,101)		(51,101)		3,833,087				87,923	08/25/2049	1FM
..12558T-AA-5	CIM Trust SERIES 2019J2 CLASS A1 3.500% 10/25/49		09/01/2020	Paydown		412,131	412,131	422,434		(10,303)		(10,303)		412,131					7,425	10/25/2049	1FE
..125634-AN-5	CLIF FUNDING LLC CLI FUNDING LLC 3.290% 06/18/29		09/18/2020	Paydown		300,474	300,474	280,028	290,974		9,501		9,501		300,474				6,054	06/18/2029	1FE
..125634-AQ-8	CLIF FUNDING LLC CLI FUNDING LLC 3.380% 10/18/29		09/18/2020	Paydown		100,222	100,222	93,985	96,859		3,363		3,363		100,222				2,137	10/18/2029	1FE
..12566V-AE-2	CITIMORTGAGE ALT LTN TR CMALT 2007-A4 1A5 5.750% 04/25/37		09/01/2020	Paydown		43,543	64,659	50,091	50,316		(6,773)		(6,773)		43,543				2,437	04/25/2037	1FM
..12624P-AF-2	COMM MORTGAGE TRUST COMM 2012-CR3 XA 2.008% 11/15/45		09/01/2020	Paydown				36,769	9,794		(9,794)		(9,794)						3,253	11/15/2045	1FE
..12624Q-AS-2	COMMERCIAL MORTGAGE TRUST COMM 2012-CR4 XA 1.843% 10/15/45		09/01/2020	Paydown				45,463	13,255		(13,255)		(13,255)						3,996	10/15/2045	1FE
..12625F-AF-3	COMMERCIAL MORTGAGE TRUST COMM 2013-CR7 XA 1.365% 03/10/46		09/01/2020	Paydown				31,896	10,690		(10,690)		(10,690)						3,772	03/10/2046	1FE
..12625U-BC-6	COMM MORTGAGE TRUST COMM 2013-CR9 XA 0.140% 07/10/45		09/01/2020	Paydown				24,673	4,281		(4,281)		(4,281)						1,069	07/10/2045	1FE
..126379-AH-9	CREDIT SUISSE MORTGAGE CAP CER CSMC 2007-4 2A3 6.000% 06/25/37		09/01/2020	Paydown		29,638	29,855	24,771	26,841		4,884	2,086	2,798		29,638				1,338	06/25/2037	2FM
..12638P-BT-5	CREDIT SUISSE MORTGAGE CAP CER CSMC 2007-3 4A4 5.500% 04/25/37		09/01/2020	Paydown		164,982	149,371	124,725	134,721		30,261		30,261		164,982				7,318	04/25/2037	1FM
..12639G-DD-7	CREDIT SUISSE MTGE TRUST CREDIT SUISSE MORTGAGE TRUST 3.585% 10/26/35		09/01/2020	Paydown		354,508	354,508	300,446	333,746		20,762		20,762		354,508				10,225	10/26/2035	1FM
..12641R-AS-9	CREDIT SUISSE MTGE TRUST Credit suisse mtge trust 5.500% 10/26/35		09/01/2020	Paydown		309,399	307,492	242,918	249,641		59,758		59,758		309,399				10,844	10/26/2035	1FM
..12641T-AS-5	CREDIT SUISSE MTGE CAPITAL CREDIT SUISSE MTGE TRUST 3.127% 07/26/49		09/01/2020	Paydown		181,193	188,941	153,161	161,148		20,045		20,045		181,193				4,526	07/26/2049	1FM
..12643G-AQ-5	CREDIT SUISSE MTGE TRUST CREDIT SUISSE MTGE TRUST 3.440% 10/26/36		09/01/2020	Paydown		559,819	559,819	437,359	533,943		25,876		25,876		559,819				15,351	10/26/2036	1FM
..12645Q-AC-2	CREDIT SUISSE MTGE TRST CREDIT SUISSE MTGE TRST 3.583% 12/01/55		09/01/2020	Paydown		115,422	115,422	75,800	82,649		32,773		32,773		115,422				3,339	12/01/2055	1FM

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..12645Q-CN-6	CREDIT SUISSE MTGE TRST CREDIT SUISSE MTGE CAPITAL 3.395% 07/28/36		09/01/2020	Paydown		88,025	88,025	59,417	52,238		35,788		35,788		88,025				2,028	07/28/2036	1FM
..12645V-AY-3	CREDIT SUISSE MTGE TRUST CREDIT SUISSE MTGE TRUST 3.508% 02/27/37		09/01/2020	Paydown		396,395	418,553	287,232	336,828		59,567		59,567		396,395				10,870	02/27/2037	1FM
..12646P-AE-9	CREDIT SUISSE MTGE TRUST 3.476% 05/28/36		09/01/2020	Paydown		358,118	357,589	285,401	312,160		45,959		45,959		358,118				8,195	05/28/2036	1FM
..12646P-CW-7	CREDIT SUISSE MTGE TRUST CREDIT SUISSE MTGE TRUST 3.276% 03/27/36		09/01/2020	Paydown		125,168	125,764	93,694	99,480		25,687		25,687		125,168				2,893	03/27/2036	1FM
..12646T-CE-9	CREDIT SUISSE MTGE TRUST CREDIT SUISSE MORTGAGE TRST 3.281% 10/27/36		09/01/2020	Paydown Redemption 100.0000		98,285	100,137	83,301	82,114		16,171		16,171		98,285				2,461	10/27/2036	1FM
..126650-BS-8	CYS HEALTH CORP 144A 7.507% 01/10/32		09/10/2020			989	989	989	989						989				50	01/10/2032	2FE
..126671-YC-4	CIVIL RESIDENTIAL ASSET SEC TR 1.198% 03/25/33		09/25/2020	Paydown		54,630	54,630	48,484	54,818		(187)		(187)		54,630				681	03/25/2033	1FM
..126673-DQ-2	COUNTRYWIDE ASSET BACKED CERT SERIES 20047 CLASS MF1 4.552% 12/25/34		09/01/2020	Paydown		344,780	344,780	347,038	347,003		(2,223)		(2,223)		344,780				10,642	12/25/2034	1FM
..12667F-2R-5	COUNTRYWIDE ALT LN TR CIVALT 2005-1CB 2A2 5.500% 03/25/35		08/01/2020	Paydown		50,051	46,188	35,455	29,127		20,924		20,924		50,051				1,835	03/25/2035	1FM
..12667F-AA-7	COUNTRYWIDE ALT LN TR 2004-33 3A1 3.689% 12/25/34		09/01/2020	Paydown		187	187	176	191		(4)		(4)		187				5	12/25/2034	1FM
..12667F-R6-4	COUNTRYWIDE ALT LN TR COUNTRYWIDE ALT LOAN TRST 5.500% 03/01/36		09/01/2020	Paydown		59,115	73,873	68,475	70,876		(11,761)		(11,761)		59,115				2,809	03/01/2036	1FM
..12668A-AG-0	COUNTRYWIDE ALT LOAN TRUST 2005-47CB A7 5.500% 10/25/35		09/01/2020	Paydown		79,303	76,375	59,428	57,077		22,226		22,226		79,303				2,946	10/25/2035	1FM
..12668A-Q2-4	COUNTRYWIDE ALT LOAN TRUST 2005-J14 A3 5.500% 12/25/35		09/01/2020	Paydown		154,544	151,522	117,655	113,772		40,772		40,772		154,544				5,541	12/25/2035	1FM
..12668A-X9-1	COUNTRYWIDE ALT LOAN TRUST 2005-65CB 1A7 5.500% 01/25/36		09/01/2020	Paydown		8,878	8,673	7,416	6,711		2,167		2,167		8,878				331	01/25/2036	1FM
..12668B-VB-6	COUNTRYWIDE ALT LN TR CIVALT 2006-9T1 A2 5.750% 05/25/36		09/01/2020	Paydown		73,818	74,191	57,119	39,631		34,188		34,188		73,818				2,773	05/25/2036	1FM
..12668B-XC-2	COUNTRYWIDE ALT LN TR CIVALT 2006-12CB A7 6.000% 05/25/36		09/01/2020	Paydown		32,593	33,183	26,049	24,020		8,573		8,573		32,593				1,379	05/25/2036	1FM
..126694-GU-6	COUNTRYWIDE HOME LOANS COWL 2005-23 A1 5.500% 11/25/35		09/01/2020	Paydown		262,152	262,152	202,386	216,655		55,343	9,846	45,497		262,152				10,155	11/25/2035	1FM
..126694-JG-4	COUNTRYWIDE HOME LOANS COWL 2005-R3 AF MTGE 0.575% 09/25/35		09/25/2020	Paydown		153,841	153,841	136,965	139,972		13,869		13,869		153,841				1,302	09/25/2035	1FM
..126694-JH-2	COUNTRYWIDE HOME LOANS COUNTRYWIDE HOME LOAN 5.863% 09/25/35		09/01/2020	Paydown				44,530	30,894		(30,894)		(30,894)						9,898	09/25/2035	5FE
..126694-JT-6	COUNTRYWIDE HOME LOANS COWL 2005-24 A3 5.500% 11/25/35		09/01/2020	Paydown		242,251	240,848	194,306	217,146		48,232	23,126	25,106		242,251				8,879	11/25/2035	1FM
..126694-K3-1	COUNTRYWIDE HOME LOANS COWL 2006-6 A1 6.000% 04/25/36		09/01/2020	Paydown		23,923	25,262	23,948	20,594		3,329		3,329		23,923				938	04/25/2036	1FM
..126694-NV-6	COUNTRYWIDE HOME LOANS 2005-27 2A1 5.500% 12/25/35		09/01/2020	Paydown		48,522	48,522	42,341	34,661		13,861		13,861		48,522				1,572	12/25/2035	1FM
..126694-TD-0	COUNTRYWIDE HOME LOANS COWL 2005-29 A1 5.750% 12/25/35		09/01/2020	Paydown		491,301	485,492	426,305	338,537		152,764		152,764		491,301				18,411	12/25/2035	1FM
..126694-TS-7	COUNTRYWIDE HOME LOANS COWL 2005-30 A3 5.500% 01/25/36		09/01/2020	Paydown		322,839	323,221	282,157	260,043		62,796		62,796		322,839				11,992	01/25/2036	1FM
..126694-VM-7	COUNTRYWIDE HOME LOANS 2005-HY10 CLASS 3A1A 3.580% 02/20/36		09/01/2020	Paydown		31,351	41,816	30,735	34,820		(3,469)		(3,469)		31,351				1,097	02/20/2036	1FM
..12669D-6H-6	COUNTRYWIDE HOME LOANS COWL 2003-J3 1A10 5.750% 05/25/33		09/01/2020	Paydown		263,322	263,322	244,889	250,627		12,695		12,695		263,322				9,987	05/25/2033	1FM
..12669F-RG-0	COUNTRYWIDE HOME LOANS COWL 2004-4 A5 5.250% 05/25/34		09/01/2020	Paydown		108,265	108,265	109,077	108,360		(94)		(94)		108,265				3,781	05/25/2034	1FM
..12669G-K6-7	COUNTRYWIDE ALT LN TR COWL 2005-14 A2 5.500% 07/25/35		09/01/2020	Paydown		27,074	27,074	22,099	23,317		3,757		3,757		27,074				925	07/25/2035	1FM

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SCHEDULE D - PART 4

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										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..12701#-AB-9	CRG ISSUER 2017-1 CRG ISSUER 2017-1 5.300% 01/10/24		07/15/2020	Redemption 100.0000		1,704,832	1,704,832	1,704,832	1,704,832						1,704,832				87,329	01/10/2024	1PL
..12702*-AA-4	CVS LSE BACKD PT PP TR SER 201 CVS LSE BCKD PT PP TR SERIES 2 3.901% 10/10/39		09/10/2020	Redemption 100.0000		26,093	26,093	26,093	26,093						26,093				679	10/10/2039	2
..12702*-AA-4	CVS LSE BACKD PT PP TR SER 201 CVS LSE BCKD PT PP TR SERIES 2 3.901% 10/10/39		08/10/2020	Redemption 100.0000		13,047	13,047	13,047	13,047						13,047				339	10/10/2039	2Z
..12803P-AB-4	CAJUN GLOBAL LLC CAJUN GLOBAL LLC 6.500% 08/20/47		08/20/2020	Paydown Redemption 100.0000		30,000	30,000	29,767	30,562		(562)		(562)		30,000				1,463	08/20/2047	2Z
..12806*-AH-4	CAITHNESS LONG ISLAND LLC 5.710% 01/15/32 CAPMARK MILITARY HSG CPMRK 2007-AETC A1		07/15/2020	Paydown		228,099	228,099	228,099	228,099						228,099				13,024	01/15/2032	2PL
..14069B-AA-2	5.746% 02/10/52 CAPMARK MILITARY HOUSING TRUST CPMRK 2007-ACC		09/10/2020	Paydown		32,160	32,160	29,105	29,431		2,729		2,729		32,160				1,232	02/10/2052	2
..14069E-AA-6	A1 6.084% 07/10/52 CARESOURCE DMANAGEMENT GRP CO CARESOURCE MANAGEMENT GROUP CO 4.670% 03/15/44		09/10/2020	Paydown Redemption 100.0000		82,176	82,176	90,355	89,819		(7,643)		(7,643)		82,176				3,335	07/10/2052	1FE
..14173#-AA-6	CARPENTER TECHNOLOGY CRS 5.2 07/15/21		09/15/2020	Call 104.1960		21,798,845	20,921,000	21,483,847	21,018,649		(48,979)		(48,979)		20,969,669		(48,669)	(48,669)	2,083,592	07/15/2021	3FE
..144285-AJ-2	CARRINGTON MTGE LOAN TRUST CARRINGTON MTGE LOAN TRUST 1.048% 05/25/34		09/25/2020	Paydown		8,017	8,017	7,536	7,604		413		413		8,017				98	05/25/2034	1FM
..144531-AE-0	CASTLE LAKE CASTLE LAKE AIRCRAFT 4.450% 08/15/41		09/15/2020	Paydown		80,590	80,590	80,567	81,040		(450)		(450)		80,590				2,588	08/15/2041	1FE
..14856C-AA-7	CASTLELAKE AIRCRAFT SEC TRUST CASTLELAKE AIRCRAFT SEC TRST 4.125% 06/15/43		09/15/2020	Paydown		24,869	24,869	25,490			(622)		(622)		24,869				667	06/15/2043	1FE
..14856C-AA-7	CASTLELAKE AIRCRAFT SEC TRST 4.125% 06/15/43		08/15/2020	Paydown		439	439	450			(11)		(11)		439				11	06/15/2043	1Z
..14856E-AA-3	CASTLELAKE AIRCRAFT SECURITIZA SERIES 20151A CLASS AR 4.750% 03/15/34		09/15/2020	Paydown		34,083	34,083	33,931	33,945		139		139		34,083				1,214	03/15/2034	1PL
..161631-AX-4	CHASE MORTGAGE FINANCE CORP CHASE 2007-S5 1A22 6.000% 07/25/37		09/01/2020	Paydown		348,447	348,447	292,031	244,543		103,905		103,905		348,447				13,857	07/25/2037	1FM
..16163B-AW-4	CHASE MORTGAGE FINANCE CORP CHASE 2006-S2 2A1 6.000% 10/25/36		09/01/2020	Paydown		303,580	307,515	250,915	205,232		98,348		98,348		303,580				13,482	10/25/2036	1FM
..16165L-AF-7	CHASEFLEX TRUST CHASEFLEX TRUST 4.539% 06/25/36		09/01/2020	Paydown		231,619	260,626	220,066	227,504		4,115		4,115		231,619				7,939	06/25/2036	1FM
..16165Y-AC-6	CHASEFLEX TRUST 2007-IM 1A3 0.488% 08/25/37		09/25/2020	Paydown		64,556	64,434	48,567	37,751		26,805		26,805		64,556				385	08/25/2037	1FM
..162665-AN-3	CHC COMMERCIAL MORTGAGE TRUST SERIES 2019CHC CLASS E 2.502% 06/15/34		07/27/2020	DEFAULT ATHENE BROKER		824,801	995,703	771,670			3,872		3,872		775,542		49,259	49,259	13,686	06/15/2034	1FM
..162665-AQ-6	CHC COMMERCIAL MORTGAGE TRUST SERIES 2019CHC CLASS F 2.761% 06/15/34		07/27/2020	DEFAULT ATHENE BROKER		1,577,919	1,991,407	1,454,887			7,569		7,569		1,462,456		115,463	115,463	27,516	06/15/2034	1FM
..16678#-AA-4	CHEVY CHASE MTGE CHEVY CHASE MOTGAGE 0.278% 04/25/47		09/25/2020	Paydown		79,138	80,668	69,677	70,021		9,116		9,116		79,138				619	04/25/2047	1FM
..17025T-AV-3	COUNTRYWIDE HOME LOANS CWHL 2007-15 1A20 6.250% 09/25/37		09/01/2020	Paydown		170,107	185,623	170,864	153,400		16,706		16,706		170,107				7,526	09/25/2037	1FM
..172967-FF-3	CITIGROUP INC C 5 3/8 08/09/20 5.375% 08/09/20		08/09/2020	Maturity		15,000,000	15,000,000	16,121,400	15,096,841		(96,841)		(96,841)		15,000,000				806,250	08/09/2020	2FE
..172973-W8-8	CITICORP MORTGAGE SECURITIES CMSI 2005-4 2A1 5.000% 09/25/20		09/01/2020	Paydown		2,174	2,174	2,076	2,159		15		15		2,174				73	09/25/2020	1FM
..17307G-FQ-6	CITIGROUP MORTGAGE LOAN TRUST CMLT1 2004-NCM1 1A2 6.500% 07/25/34		09/01/2020	Paydown		214,694	214,694	209,595	210,865		3,829		3,829		214,694				9,397	07/25/2034	1FM
..17307G-T4-0	CITIGROUP MORTGAGE LOAN TRUST 2005-10 1A1A 3.611% 12/25/35		09/01/2020	Paydown		100,196	105,487	56,136	62,464		37,732		37,732		100,196				2,596	12/25/2035	1FM
..17307G-VM-7	CITIGROUP MORTGAGE LOAN TRUST CITIGROUP MTGE LN TRUST INC 5.106% 03/01/47		09/01/2020	Paydown		350,289	350,289	340,677	338,706		11,583		11,583		350,289				12,330	03/01/2047	1FM
..17309Y-AE-7	CITIGROUP MTGE LOAN TRUST CITIGROUP MTGE LOAN TRST INC 6.255% 10/25/36		09/01/2020	Paydown		59,256	59,256	45,849	42,435		16,821		16,821		59,256				1,787	10/25/2036	1FM

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..17311L-AA-9	CITIGROUP MTGE LN TRUST INC CITIGROUP MTGE LN TRUST 3.940% 04/25/37		09/01/2020	Paydown		313,352	315,544	262,660	263,750		49,603		49,603		313,352				8,705	04/25/2037	1FM.....
..17312F-AL-7	CITICORP MORTGAGE SEC INC CMSI 2007-3 1A11 6.000% 04/25/37		09/01/2020	Paydown		47,896	49,826	45,589	47,787		2,391	2,281	110		47,896				2,010	04/25/2037	1FM.....
..17312F-AL-7	CITICORP MORTGAGE SEC INC CMSI 2007-3 1A11 6.000% 04/25/37		07/01/2020	Paydown		25,665	26,896	24,609	25,795		1,101	1,232	(131)		25,665				941	04/25/2037	3FM.....
..17315A-AB-7	CITI MTGE LN TRUST INC CMLTI 2009-2 1A2 Mtge 3.541% 04/25/36		09/01/2020	Paydown		142,745	142,745	122,675	120,177		22,568		22,568		142,745				3,567	04/25/2036	1FM.....
..17316Y-AH-1	CITIGROUP MORTGAGE LOAN TRUST CITIGROUP MTGE LOAN TRUST INC 5.750% 12/25/36		09/01/2020	Paydown		91,470	101,430	78,292	89,884		1,586		1,586		91,470				3,560	12/25/2036	1FM.....
..17318V-AB-8	CITIGROUP MTGE LOAN TRUST INC CITIGROUP MTGE LOAN TRST 3.969% 04/25/37		09/01/2020	Paydown		201,255	209,518	156,419	172,675		28,579		28,579		201,255				6,212	04/25/2037	1FM.....
..17319G-AJ-3	CITIGROUP MTGE LOAN TRUST CITIGROUP MTGE LOAN TRUST 3.990% 03/25/36		09/01/2020	Paydown		139,210	142,114	121,564	127,498		11,712		11,712		139,210				3,758	03/25/2036	1FM.....
..17322J-AB-9	CITIGROUP MTGE LOAN TRUST INC CITIGROUP MTGE LOAN TRUST INC 3.357% 02/20/36		09/01/2020	Paydown		307,415	358,107	276,671	306,326		1,089		1,089		307,415				8,460	02/20/2036	1FM.....
..17323X-AP-6	CITIGROUP MTGE LOAN TRUST CITIGROUP MTGE LOAN TRUST INC 0.648% 01/25/36		09/25/2020	Paydown			(27,968)	(18,843)	(21,357)		21,357		21,357						243	01/25/2036	1FM.....
..178566-AC-9	RBC USA HOLDCO CORP RY 5 1/4 09/15/20 5.250% 09/15/20		09/15/2020	Maturity		10,000,000	10,000,000	9,996,800	9,999,723		277		277		10,000,000				525,000	09/15/2020	1FE.....
..18976G-AN-6	CITIMORTGAGE ALTERNATIVE LN TR CMLT 2007-A6 1A13 6.000% 06/25/37		09/01/2020	Paydown	100.0000	126,636	153,280	119,903	121,418		5,218		5,218		126,636				6,180	06/25/2037	1FM.....
..212168-AA-6	CONTINENTAL WIND EXC 6 02/28/33 6.000% 02/28/33		08/31/2020	Redemption	100.0000	545,740	545,740	545,740	545,740						545,740				32,744	02/28/2033	2FE.....
..22541Q-7L-0	CREDIT SUISSE FIRST BOSTON CREDIT SUISSE FIRST BOSTON MTG 3.508% 03/25/34		09/01/2020	Paydown		45,779	45,779	37,539	41,931		3,848		3,848		45,779				1,210	03/25/2034	1FM.....
..22541S-G3-6	CREDIT SUISSE FIRST BOSTON 2004-AA1 M3 1.273% 02/25/35		09/25/2020	Paydown		3,940	3,940	3,198	3,882		58		58		3,940				54	02/25/2035	1FM.....
..225458-2N-7	CREDIT SUISSE FIRST BOSTON MTG CSFB MTGE SEC 05-08 CLS 9A4 5.500% 09/25/35		09/01/2020	Paydown		54,549	57,682	50,616	51,355		3,194		3,194		54,549				2,286	09/25/2035	1FM.....
..225458-XX-1	CREDIT SUISSE FIRST BOSTON MTG CSFB 2005-6 6A1 6.000% 07/25/35		09/01/2020	Paydown		71,873	71,267	59,371	58,096		13,777		13,777		71,873				2,952	07/25/2035	3FM.....
..225458-YA-0	CREDIT SUISSE FIRST BOSTON MTG CSFB 2005-6 8A1 4.500% 12/25/38		09/01/2020	Paydown		6,272	6,272	6,014	6,071		201		201		6,272				191	12/25/2038	1FM.....
..22822V-AA-9	CROWN CASTLE INTL CORP BASIC 3.400% 02/15/21		07/06/2020	Call	101.5570	5,077,850	5,000,000	5,002,900	5,001,369		76,481		76,481		5,077,850				151,583	02/15/2021	2FE.....
..22943Y-RM-3	CSMC CSMC 2009-3R 22A1 6.500% 10/27/36		09/01/2020	Paydown		22,377	22,377	21,342	21,743		633		633		22,377				1,091	10/27/2036	1FM.....
..22976#-AA-8	CTL 2016-05 TR (DOW CHEMICAL) CTL 2016-05 TR (DOW CHEMICAL) 4.010% 10/15/36		09/15/2020	Redemption	100.0000	22,581	22,581	22,581	22,581						22,581				604	10/15/2036	2.....
..22976#-AA-8	CTL 2016-05 TR (DOW CHEMICAL) CTL 2016-05 TR (DOW CHEMICAL) 4.010% 10/15/36		08/15/2020	Redemption	100.0000	11,290	11,290	11,290	11,290						11,290				302	10/15/2036	2FE.....
..22977@-AA-9	PENNSYLVANIA MANUFACTURERS PENNSYLVANIA MAN ASSOC 3.870% 12/15/38		09/15/2020	Redemption	100.0000	90,120	90,120	90,120	90,120						90,120				2,326	12/15/2038	1.....
..22977@-AA-9	PENNSYLVANIA MANUFACTURERS PENNSYLVANIA MAN ASSOC 3.870% 12/15/38		08/15/2020	Redemption	100.0000	45,060	45,060	45,060	45,060						45,060				1,163	12/15/2038	1FE.....
..23332U-CM-4	DELL INC DELL 5.4 09/10/40 5.400% 09/10/40		09/21/2020	Paydown		261,969	261,969	253,235	253,273		8,696		8,696		261,969				2,482	02/19/2045	1FM.....
..24702R-AM-3	DELOITTE LLP SERIES A NOTES 6.730% 08/20/23		08/11/2020	STIFEL NICOLAUS Redemption	100.0000	20,188,563	19,001,000	20,012,233	19,861,199		(15,334)		(15,334)		19,845,865		342,698	342,698	949,100	09/10/2040	3FE.....
..24715@-AA-2	DELTA AIR LINES DAL 6.821 08/10/22 6.821%		08/20/2020	Redemption	100.0000	363,636	363,636	363,636	363,636						363,636				24,473	08/20/2023	1.....
..247367-BH-7	DELTA AIR LINES DAL 6.821 08/10/22 6.821%		07/20/2020	DEFAULT ATHENE BROKER ... Redemption	100.0000	115,739	118,937	122,802	120,212		(266)		(266)		119,946		(4,207)	(4,207)	7,263	08/10/2022	2FE.....
..247367-BH-7	DELTA AIR LINES DAL 6.821 08/10/22 6.821%		08/10/2020	Redemption	100.0000	419,175	419,175	415,732	417,991		1,184		1,184		419,175				28,592	08/10/2022	2FE.....

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SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..24736X-AA-6	DELTA AIR LINES 2015-1AA DAL 3 5/8 07/30/27 3.625% 07/30/27		07/30/2020	Redemption	100.0000	109,578	109,578	109,578	109,578						109,578				3,972	07/30/2027	1FE
..24736Y-AA-4	DELTA AIR LINES 2015-1A DAL 3 7/8 07/30/27 3.875% 07/30/27		07/30/2020	Redemption	100.0000	109,579	109,579	109,579	109,579						109,579				4,246	07/30/2027	2FE
..25272K-AD-5	DIAMOND 1 FINANCE DIAMOND 1 FINANCE 4.420% 06/15/21		09/17/2020	Call	102.6811	2,311,352	2,251,000	2,250,347	2,250,810		60,541		60,541		2,311,352				70,303	06/15/2021	2FE
..25755T-AH-3	DOMINOS PIZZA MASTER ISSUER DPABS 2017-1A A23 4.118% 07/25/47		07/25/2020	Paydown	60,000	60,000	60,000	60,000	60,000						60,000				1,853	07/25/2047	2FE
..26208A-AG-7	DRIVE AUTO RECEIVABLES TRUST DRIVE 2016-BA D 4.530% 08/15/23		09/15/2020	Paydown		1,478,903	1,478,903	1,478,680	1,465,265		13,637		13,637		1,478,903				44,592	08/15/2023	1FE
..26208B-AN-0	DRIVE AUTO REC TRUST DRIVE 2016-CA D 4.180% 03/15/24		09/15/2020	Paydown		1,947,896	1,947,896	1,960,726	1,176,322		(12,930)		(12,930)		1,947,896				48,874	03/15/2024	1FE
..26208C-AN-8	DRIVE AUTO RECEIVABLES TRUST DRIVE 2017-AA D 4.160% 05/15/24		09/15/2020	Paydown		2,469,612	2,469,612	2,475,581	2,164,348		(5,986)		(5,986)		2,469,612				66,135	05/15/2024	1FE
..26208D-AF-3	DRIVE AUTO RECEIVABLES TRUST DRIVE 2017-BA D 3.720% 10/17/22		09/15/2020	Paydown		1,144,805	1,144,805	1,144,775	1,144,803		2		2		1,144,805				28,322	10/17/2022	1FE
..26208E-AG-9	DRIVE AUTO RECEIVABLES TRUST DRIVE AUTO RECEIVABLES TRUST 3.840% 03/15/23		09/15/2020	Paydown		1,226,473	1,226,473	1,226,435	1,226,449		25		25		1,226,473				31,446	03/15/2023	1FE
..26208L-AA-6	DRIVEN BRANDS FUNDING LLC 5.216% 07/20/22 DRIVEN BRANDS FUNDING LLC DRIVEN BRANDS FUNDING LLC 6.125% 07/20/46		07/20/2020	Paydown		37,500	37,500	37,500	37,500						37,500				1,467	07/20/2022	2FE
..26208L-AB-4	DRIVEN BRANDS FUNDING LLC SERIES 20192A CLASS A2 3.981% 10/20/49		07/20/2020	Paydown		2,500	2,500	2,517	2,517		(17)		(17)		2,500				75	10/20/2049	2FE
..26208L-AE-8	ELM TRUST MDCP ELM TRUST MDCP 5.535% 06/20/25		07/20/2020	Paydown		700,000	700,000	699,983	699,930		70		70		700,000				22,601	06/20/2025	2
..278865-AL-4	ECOLAB INC ECL 4.35 12/08/21 4.350% 12/08/21		09/14/2020	Call	104.7544	8,547,955	8,160,000	8,154,778	8,158,806		422		422		8,159,229		771	771	658,119	12/08/2021	2FE
..278865-C*-9	ECOLAB INC 4.320% 11/21/23		09/14/2020	Call	111.4526	10,030,735	9,000,000	9,000,000	9,000,000						9,000,000				1,347,175	11/21/2023	1
..28932M-AG-0	ELM RD GENERATING STAT WEC 4.673 01/19/31 4.673% 01/19/31		07/19/2020	Redemption	100.0000	240,049	240,049	272,165	260,061		(20,012)		(20,012)		240,049				11,217	01/19/2031	1FE
..29359U-AB-5	ENSTAR GROUP LTD ESGR 4.95 06/01/29 4.950% 06/01/29		08/25/2020	DEFAULT ATHENE BROKER		3,984,400	4,000,000	3,984,400	3,985,144		819		819		3,985,963		(1,563)	(1,563)	99,000	06/01/2029	2FE
..29379V-AP-8	ENTERPRISE PRODUCTS OPER ENTERPRISE PRODUCTS 5.200% 09/01/20		08/06/2020	DEFAULT ATHENE BROKER		1,982,363	1,976,000	2,136,566	2,014,886		(34,824)		(34,824)		1,980,062		2,302	2,302	95,616	09/01/2020	2FE
..29717P-AD-9	ESSEX PORTFOLIO LP ESS 3 5/8 08/15/22 3.625% 08/15/22		09/14/2020	Call	105.9698	16,690,239	15,750,000	15,691,330	15,731,590		4,763		4,763		15,736,353		13,647	13,647	1,557,169	08/15/2022	2FE
..30605Y-AB-7	FLOON 2017-1A FLOON 2017-1 A 4.581% 02/15/42		09/15/2020	Paydown		42,913	42,913	42,913	43,020		(107)		(107)		42,913				1,357	02/15/2042	1Z
..30711X-AK-0	CONNECTICUT AVENUE SECURITIES 3.148% 07/25/24		09/25/2020	Paydown		534,599	534,599	515,047	546,100		(11,500)		(11,500)		534,599				14,254	07/25/2024	1
..30711X-AK-0	CONNECTICUT AVENUE SECURITIES 3.148% 07/25/24		08/25/2020	Paydown		289,117	289,117	278,543	295,336		(6,220)		(6,220)		289,117				7,573	07/25/2024	1Z
..32051G-T2-1	FIRST HORIZON ALTERNATIVE MTG FIRST HORIZON ALT MTGE 5.750% 04/25/36		09/01/2020	Paydown		52,486	57,061	37,090	36,716		15,770		15,770		52,486				2,255	04/25/2036	1FM
..33972P-AA-7	FLNG LIQUEFACTION 2 LLC FLIQ1 4 1/8 03/31/38 4.125% 03/31/38		09/30/2020	Redemption	100.0000	164,000	164,000	164,000	164,000						164,000				6,765	03/31/2038	2FE
..34417M-AA-5	FOCUS 2017-1A A21 FOCUS 2017-1A A21 3.857% 04/30/47		07/31/2020	Paydown		25,000	25,000	25,000	25,000						25,000				723	04/30/2047	2Z
..34417Q-AA-6	Focus Brands Funding LLC SERIES 20181 CLASS A2 5.184% 10/30/48		07/30/2020	Paydown		2,500	2,500	2,500	2,500						2,500				97	10/30/2048	2FE
..34750B-AB-9	FORT KNOX MILITARY HOUSING 1-B 144A 0.492% 02/15/52		09/15/2020	Paydown		19,001	19,001	11,685	15,339		3,662		3,662		19,001				158	02/15/2052	2FE
..36185M-AM-4	GMAC MTG CORP LOAN TRUST GMACM 2005-AF1 A5 5.750% 07/25/35		09/01/2020	Paydown		135,974	135,974	126,601	123,317		12,657		12,657		135,974				5,045	07/25/2035	1FM
..36185M-BJ-0	GMAC MTG CORP LOAN TRUST 3.864% 11/19/35 09/01/2020		09/01/2020	Paydown		20,964	21,625	19,898	20,130		834		834		20,964				533	11/19/2035	1FM

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1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident-ification	Description	For-eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn-ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con-tractual Maturity Date	NAIC Desig-nation and Admin-istrative Symbol
..361863-AA-1	GMACN 2004-BUCK A1 GMACN 2004-BUCK A1		09/10/2020	Paydown			78,328	78,328	80,690	80,630		(2,302)	(2,302)		78,328				3,152	08/10/2042	1.....
..36186V-AA-9	GMACN 2003-CAMP A GMACN 2003-CAMP A		09/10/2020	Paydown			159,473	159,473	182,659	180,955		(21,482)	(21,482)		159,473				6,434	12/10/2043	1Z.....
..36186X-AD-9	GMAC COMMI MTG ASSET CORP GMACN 2012-BLIS A		08/10/2020	Paydown			39,742	39,742	39,737	39,738		5	5		39,742				1,371	07/10/2050	1FE.....
..36186X-AD-9	GMAC COMMI MTG ASSET CORP GMACN 2012-BLIS A		09/10/2020	Paydown			79,486	79,486	79,475	79,476		10	10		79,486				2,743	07/10/2050	2FE.....
..36186X-AE-7	GMAC COMMI MTG ASSET CORP GMACN 2012-BLIS A		09/10/2020	Paydown				15,220		13,133		(13,133)	(13,133)						807	07/10/2050	2FE.....
..3622E8-AC-9	GSAA HOME EQUITY TRUST GSAA 2006-15 AF3A		09/01/2020	Paydown			281,351		179,361	143,368		137,982	137,982		281,351				3,780	09/25/2036	1FM.....
..362334-JV-7	GSR MORTGAGE LOAN TRUST GSR 2006-3F 2A7		09/01/2020	Paydown			130,870	135,303	123,610	124,769		6,100	6,100		130,870				5,326	03/25/2036	1FM.....
..362334-NB-6	GSR MORTGAGE LOAN TRUST 5.995% 03/25/46		09/01/2020	Paydown			23,477	23,477	17,697	15,454		8,022	8,022		23,477				493	03/25/2046	1FM.....
..36242D-5W-9	GSR MORTGAGE LOAN TRUST GSR 2005-5F 2A2		09/01/2020	Paydown			10,210	10,210	10,242	10,223		(12)	(12)		10,210				370	06/25/2035	1FM.....
..36248E-AG-0	GS MTGE SEC TRUST GSMS 2010-C2 D		09/14/2020	Call	100.0000		5,000,000	5,000,000	5,214,844	5,025,170		(17,770)	(17,770)		5,007,400		(7,400)	(7,400)	197,912	12/10/2043	1FM.....
..36251E-AH-2	GSMS RESECURITIZATION GSMS RESECURITIZATION		09/01/2020	Paydown			531,491	505,484	328,880	343,471		188,020	188,020		531,491				13,904	01/26/2036	1FM.....
..36258F-AA-7	GS Mortgage-Backed Securities SERIES 2020PJ1		09/01/2020	Paydown			642,763	642,763	658,129			(15,366)	(15,366)		642,763				11,495	05/25/2050	1FE.....
..362611-AC-9	GSR MORTGAGE LOAN TRUST GSR 2006-8F 2A1		07/01/2020	Paydown			84,210					84,210	84,210		84,210				73	09/25/2036	1FM.....
..36262D-AA-6	GS Mortgage-Backed Securities SERIES 2020PJ2		09/01/2020	Paydown			4,136,343	4,136,343	4,231,996			(95,653)	(95,653)		4,136,343				72,738	07/25/2050	1FE.....
..36297T-AG-7	GSR MTGE LOAN TRUST 3.495% 04/25/36		09/01/2020	Paydown			12,451	10,822	9,635	9,225		3,226	3,226		12,451				318	04/25/2036	1FM.....
..37956A-AC-7	GLOBAL SC FINANCE SRL GLOBAL SC FINANCE SRL		09/11/2020	Call	100.0000		652,750	652,750	652,742	652,741		9	9		652,750				24,411	05/17/2038	2FE.....
..37956A-AC-7	GLOBAL SC FINANCE SRL GLOBAL SC FINANCE SRL		07/17/2020	Paydown			11,400	11,400	11,400	11,400					11,400				339	05/17/2038	2FE.....
..37956A-AC-7	GLOBAL SC FINANCE SRL GLOBAL SC FINANCE SRL		08/17/2020	Paydown			12,000	12,000	12,000	12,000					12,000				408	05/17/2038	2Z.....
..38012L-AA-7	GMACN GMACN 2006-NELL A		09/10/2020	Paydown			14,302	14,302	14,302	14,302					14,302				512	05/10/2051	1.....
..38013A-AB-8	GMACN GMACN 2011-DRUM A		09/10/2020	Paydown			58,194	58,194	58,190	58,190		4	4		58,194				2,169	05/10/2050	1FE.....
..38013A-AC-6	GMACN GMACN 2011-DRUM A IO		09/10/2020	Paydown					21,403	17,599		(17,599)	(17,599)						1,162	05/10/2050	1FE.....
..38081E-AA-9	GOLDEN BEAR 2016-1A A GLDN 2016-1A A		09/20/2020	Paydown			541,341	541,341	541,341	541,341					541,341				20,300	09/20/2047	1FE.....
..39121J-AE-0	GREAT RIVER ENERGY GRRIVE 6.254 07/01/38		07/01/2020	Redemption	100.0000		2,738,466	2,738,466	2,856,384	2,045,408		(127,510)	(127,510)		2,738,466				149,856	07/01/2038	1FE.....
..39538W-EE-4	GREENPOINT MORTGAGE FUNDING TR GREENPOINT		09/25/2020	Paydown			171,530	190,735	50,128	55,220		116,310	116,310		171,530				1,903	11/25/2045	1FM.....
..39538W-FH-6	MTGE FUND TRST 0.735% 11/25/45		09/25/2020	Paydown			18,738	18,738	13,814	11,797		6,941	6,941		18,738				184	02/25/2036	1FM.....
..39538W-GF-9	GREENPOINT MORTGAGE FUNDING TR GPMM 2006-1AR1		09/25/2020	Paydown			2,235,946	2,235,946	1,880,291	2,019,558		216,388	216,388		2,235,946				15,319	03/25/2036	1FM.....
..40433J-AA-9	GS1 0.288% 03/25/36		08/20/2020	Paydown			7,500	7,500	6,834	7,219		281	281		7,500				273	08/20/2044	3Z.....
..40867#-AD-6	HAMPAC LLC HAMPAC LLC		09/10/2020	Redemption	100.0000		20,187	20,187	20,187	20,187					20,187				575	08/10/2042	1.....
..40867#-AD-6	HAMPAC LLC HAMPAC LLC		08/10/2020	Redemption	100.0000		9,542	9,542	9,542	9,542					9,542				270	08/10/2042	1Z.....

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SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol
..41161P-VJ-9	HARBORVIEW MTG LN TRUST HVMLT 2005-12 2A11 3.657% 08/19/50		09/01/2020	Paydown		143,122	143,122	124,696	120,771		22,352		22,352		143,122				3,441	08/19/2050	1FM
..41161U-AE-2	HARBORVIEW MTGE LN TRUST HARBORVIEW MTGE LN TRUST 3.744% 03/01/56		09/01/2020	Paydown		139,651	133,534	106,284	110,444		29,207		29,207		139,651				4,206	03/01/2056	1FM
..411707-AF-9	CKE RESTAURANT'S HOLDINGS INC. HARDEES FUNDING 5.710% 06/20/48		09/20/2020	Paydown		25,000	25,000	25,000	25,000						25,000				1,071	06/20/2048	2FE
..419838-AA-5	HAWAIIAN AIRLINES 13-1A HA 3.9 01/15/26 3.900% 01/15/26		07/15/2020	Redemption 100.0000		581,659	581,659	536,676	543,890		37,770		37,770		581,659				20,832	01/15/2026	3FE
..422088-AA-8	HD SALEM OR LANDLORD LLC 6.250% 11/30/30		09/30/2020	Redemption 100.0000		36,383	36,383	36,383	36,383						36,383				1,611	11/30/2030	1
..422088-AA-8	HD SALEM OR LANDLORD LLC 6.250% 11/30/30 HEALTHCARE TRUST OF AMER HTA 3.7 04/15/23		07/31/2020			18,050	18,050	18,050	18,050						18,050				658	11/30/2030	1FE
..42225U-AB-0	HERO 2014-2A HERO 2014-2A A 3.990% 09/21/40 HERO 2014-2A HERO 2014-2A A		09/28/2020	Call 108.2378		7,576,644	7,000,000	6,861,960	6,941,634		12,502		12,502		6,954,136		45,864	45,864	823,413	04/15/2023	2FE
..42770Q-AA-0	HERO FUNDING TRUST HERO 2016-2A A 3.750% HERO FUNDING TRUST HERO 2016-2A A		09/20/2020	Paydown		464,514	464,514	464,198	464,235		279		279		464,514				18,534	09/21/2040	1FE
..42770W-AA-7	HP INC HPQ 4.3 06/01/21 4.300% 06/01/21		09/20/2020	Call 103.3934		20,678,679	20,000,000	20,346,800	20,059,955		(23,246)		(23,246)		20,036,709		(36,709)	(36,709)	1,230,512	06/01/2021	2FE
..428236-BM-4	I 595 EXPRESS I 595 EXPRESS 3.310% 12/31/31		09/30/2020	Redemption 100.0000		83,611	83,611	83,611	83,611						83,611				2,072	12/31/2031	1PL
..44919*-AC-2	ICONX ICONX 2012-1A A 4.229% 01/25/43		07/25/2020	Paydown		124,277	124,277	124,277	124,277						124,277				3,942	01/25/2043	4FE
..45112A-AA-5	RESIDENTIAL ASSET SEC TR RAST 2005-A16 A3		08/01/2020	Paydown		38,518	38,518	25,844	28,358		12,281	2,120	10,161		38,518				1,356	02/25/2036	1FM
..45660L-2V-0	RESIDENTIAL ASSET SEC TR RAST 2005-A16 A3		07/01/2020	Paydown		127,402	127,402	85,479	93,795		40,618	7,012	33,606		127,402				3,849	02/25/2036	2FM
..45660L-2V-0	RESIDENTIAL ASSET SEC TR RESIDENTIAL ASSET SEC TRST 5.750% 02/25/36		09/01/2020	Paydown		95,936	88,324	82,244	82,358		13,578		13,578		95,936				3,799	02/25/2036	2FM
..45660L-4E-6	RESIDENTIAL ASSET SEC TR RAST 2005-A15 5A1		09/01/2020	Paydown		45,493	45,557	29,068	31,800		15,909	2,216	13,693		45,493				1,859	02/25/2036	1FM
..45660L-4G-1	RESIDENTIAL ASSET SEC TR RAST 2005-A15 5A1		07/01/2020	Paydown		19,159	19,159	12,225	13,374		6,718	932	5,786		19,159				643	02/25/2036	3FM
..45660L-KE-8	RESIDENTIAL ASSET SEC TR RAST 2005-A5 A8 RESIDENTIAL ASSET SEC TR INDX 2005-AR7		09/01/2020	Paydown		533,236	533,236	491,491	487,057		46,180		46,180		533,236				17,857	05/25/2035	2FM
..45660L-LR-8	RESIDENTIAL ASSET SEC TR 3.141% 06/25/35		09/01/2020	Paydown		2,781	2,781	2,161	2,150		631		631		2,781				68	06/25/2035	1FM
..45660L-S7-5	RESIDENTIAL ASSET SEC TR 3.267% 12/25/35 RESIDENTIAL ASSET SEC TR SER 05-AR18 CLASS		09/01/2020	Paydown		2,543	2,543	2,073	2,197		345		345		2,543				57	12/25/2035	1FM
..45660L-WIE-5	2A1B 1.708% 10/25/36		09/25/2020	Paydown		83,936	83,936	58,650	56,167		27,769		27,769		83,936				1,335	10/25/2036	1FM
..45661E-GH-1	INDYMAC INDX MORTGAGE LN TRUST INDYMAC INDX 2006-AR9 0.498% 06/25/36		09/25/2020	Paydown		124,197	124,197	106,012	116,396		7,801		7,801		124,197				1,038	06/25/2036	1FM
..45661L-AG-3	INDYMAC INDX MTGE LOAN TRUST 0.348% 10/25/36		09/25/2020	Paydown		69,857	69,857	58,484	60,442		9,415		9,415		69,857				497	10/25/2036	1FM
..456681-AE-5	INVMAC INDX MTGE LN TRST INDYMAC INDX MTGE LOAN TRUST 3.032% 07/25/37		09/01/2020	Paydown		13,863	13,526	9,238	9,401		4,463		4,463		13,863				347	07/25/2037	1FM
..45668R-AB-4	INDYMAC INDYMAC INDX MORTGAGE LOAN TRU 0.288% 04/25/37		09/25/2020	Paydown		170,678	170,678	154,997	169,915		762		762		170,678				1,176	04/25/2037	1FM
..45905U-XK-5	INTL BK RECON & DEVELOP IBRD 2 3/4 07/27/46 2.750% 07/27/46		07/27/2020	Call 100.0000		50,000,000	50,000,000	50,000,000	50,000,000						50,000,000				1,375,000	07/27/2046	1FE
..46033#-AA-8	INTERNATIONAL SPEEDWAY LEASE BACKED TRUST 2008 6.250% 10/01/34		09/01/2020	Redemption 100.0000		98,864	98,864	98,864	98,864						98,864				4,121	10/01/2034	2
..464338-AA-6	ISKANDAR VENTURES LLC ISKANDER VENTURES LLC 3.410% 07/15/40		09/15/2020	Redemption 100.0000		69,456	69,456	69,456							69,456				1,158	06/15/2039	1PL
..46591F-AC-8	JP MORGAN MORTGAGE TRUST SERIES 2019S CLASS A3 4.000% 11/25/49		09/01/2020	Paydown		797,567	797,567	815,512	815,363		(17,796)		(17,796)		797,567				20,772	11/25/2049	1FM

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1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol
..46591K-AC-7	JP MORGAN MORTGAGE TRUST SERIES 20198 CLASS A3 3.500% 03/25/50	09/01/2020	Paydown		4,365,562	4,365,562	4,422,178	4,422,356		(56,794)		(56,794)		4,365,562				101,880	03/25/2050	1FM
..46591T-AC-8	JP MORGAN MORTGAGE TRUST SERIES 20202 CLASS A3 3.500% 07/25/50	09/01/2020	Paydown		5,276,424	5,276,424	5,400,915			(124,491)		(124,491)		5,276,424				94,172	07/25/2050	1FE
..466247-B2-8	JP MORGAN MORTGAGE TRUST JPMIT 2005-S3 1A21 5.500% 01/25/36	09/01/2020	Paydown		60,716	50,292	43,530	39,221		21,495		21,495		60,716				2,829	01/25/2036	1FM
..466247-B6-9	JP MORGAN MORTGAGE TRUST JPMIT 2005-S3 2A3 6.000% 01/25/21	09/01/2020	Paydown		7,015	7,015	6,832	6,909		106		106		7,015				276	01/25/2021	1FM
..466247-WS-8	JP MORGAN MORTGAGE TRUST JP MORGAN MTGE TRUST 3.460% 10/25/35	09/01/2020	Paydown		118,109	118,109	108,955	108,911		9,198		9,198		118,109				3,175	10/25/2035	1FM
..46627M-AV-9	JP MORGAN ALT LN TRUST JPALT 2005-S1 2A10 6.000% 12/25/35	09/01/2020	Paydown		84,822	81,377	68,013	69,038		15,783		15,783		84,822				3,595	12/25/2035	1FM
..46627M-EJ-2	JP MORGAN ALT LN TRUST 2006-S1 1A12 6.000% 03/25/36	09/01/2020	Paydown		33,930	34,096	27,085	22,251		11,679		11,679		33,930				1,385	03/25/2036	1FM
..46627M-FU-6	JP MORGAN ALT LN TRUST SERIES 2006S1 CLASS 3A3 6.030% 03/25/36	09/01/2020	Paydown		86,997	86,997	78,841			8,156		8,156		86,997				597	03/25/2036	1FM
..46627M-FV-4	JP MORGAN ALT LN TRUST JPALT 2006-S1 3A 6.180% 03/25/36	09/01/2020	Paydown		17,687		11,353	12,853		(12,853)		(12,853)						449	03/25/2036	1FM
..46628K-AA-8	JP MORGAN MORTGAGE TRUST JP MORGAN MTGE TRUST 3.797% 05/25/36	09/01/2020	Paydown		137,035	137,035	123,175	128,787		8,248		8,248		137,035				2,798	05/25/2036	1FM
..46628S-AG-8	JP MORGAN MTGE JPMORGAN MTGE ACQUISITION 6.630% 07/25/36	09/01/2020	Paydown		22,900	22,900	12,652	10,361		12,539		12,539		22,900				320	07/25/2036	1FM
..46628S-AH-6	JP MORGAN MTGE JP MORGAN MORTGAGE 6.910% 07/25/36	09/01/2020	Paydown		39,502	39,502	22,220	18,255		21,247		21,247		39,502				552	07/25/2036	1FM
..46628Y-BF-6	JP MORGAN MORTGAGE TRUST JPMIT 2006-S2 3A4 6.250% 07/25/36	09/01/2020	Paydown		183,162	182,737	139,037	115,669		67,493		67,493		183,162				7,754	07/25/2036	1FM
..46629A-AK-7	JP MORGAN MORTGAGE TRUST JPMIT 2006-S3 1A10 6.500% 08/25/36	09/01/2020	Paydown		253,892	248,143	207,813	167,968		85,923		85,923		253,892				11,130	08/25/2036	1FM
..46629A-AL-5	JP MORGAN MORTGAGE TRUST JPMIT 2006-S3 1A11 6.500% 08/25/36	09/01/2020	Paydown		737,320	720,683	599,254	464,642		272,678		272,678		737,320				32,319	08/25/2036	1FM
..46629A-BT-7	JP MORGAN MORTGAGE TRUST JPMIT 2006-S3 2A3 5.000% 08/25/21	08/01/2020	Paydown		82	1,810	1,593	1,794		(1,713)		(1,713)		82				53	08/25/2021	1FM
..46629Q-AE-6	JP MORGAN MTGE ACQUISITION JP MORGAN MTGE ACQUISITION 4.771% 08/25/46	09/01/2020	Paydown		154,843	154,843	118,068	108,694		46,149		46,149		154,843				3,352	08/25/2046	1FM
..46630G-AH-5	JP MORGAN MTGE TRUST JPMORGAN MTGE TRUST 3.604% 07/25/35	09/01/2020	Paydown		25,162	25,162	22,262	24,714		449		449		25,162				713	07/25/2035	1FM
..46630M-AE-2	JPM MTGE ACQUISITION JPM MTGE ACQUISITION 4.577% 01/25/37	09/01/2020	Paydown		48,297	48,297	33,506	30,080		18,217		18,217		48,297				1,043	01/25/2037	1FM
..46635B-AN-1	JP MORGAN REPERMIC JP MORGAN REPERMIC 4.500% 06/26/40	09/01/2020	Paydown		176,420	204,740	152,815	161,106		15,314		15,314		176,420				6,175	06/26/2040	1FM
..46649K-AA-3	JP MORGAN MORTGAGE TRUST SERIES 20185 CLASS A1 3.500% 10/25/48	09/01/2020	Paydown		208,879	208,879	210,869	210,842		(1,964)		(1,964)		208,879				4,797	10/25/2048	1FM
..46650H-AC-2	JP MORGAN MORTGAGE TRUST SERIES 20191 CLASS A3 4.000% 05/25/49	09/01/2020	Paydown		388,716	388,716	399,102	398,901		(10,185)		(10,185)		388,716				10,112	05/25/2049	1FM
..46651A-AT-9	JP MORGAN MORTGAGE TRUST SERIES 2019LTV2 CLASS A18 4.000% 12/25/49	09/01/2020	Paydown		4,307,780	4,307,780	4,404,705	4,403,991		(96,211)		(96,211)		4,307,780				113,221	12/25/2049	1FM
..46651B-AC-4	JP MORGAN MORTGAGE TRUST SERIES 20196 CLASS A3 3.500% 12/25/49	09/01/2020	Paydown		4,675,655	4,675,655	4,748,712	4,748,199		(72,544)		(72,544)		4,675,655				104,898	12/25/2049	1FM
..46651G-AC-3	JP MORGAN MORTGAGE TRUST SERIES 20197 CLASS A3 3.500% 02/25/50	09/01/2020	Paydown		2,612,288	2,612,288	2,644,942	2,644,684		(32,396)		(32,396)		2,612,288				59,342	02/25/2050	1FM
..46651Y-AC-4	JP MORGAN MORTGAGE TRUST SERIES 20199 CLASS A3 3.500% 05/25/50	09/01/2020	Paydown		2,952,799	2,952,799	3,016,055	790,545		(63,220)		(63,220)		2,952,799				57,703	05/25/2050	1FM
..46658#-AA-2	JLL CTL PT TR(CITY OF DALLAS) JLL CTL PT TR (CITY OF DALLAS) 4.433% 12/15/45	09/15/2020	Redemption 100.0000		20,245	20,245	20,777	20,743		(497)		(497)		20,245				597	12/15/2045	1
..46658#-AA-2	JLL CTL PT TR(CITY OF DALLAS) JLL CTL PT TR (CITY OF DALLAS) 4.433% 12/15/45	08/15/2020	Redemption 100.0000		10,123	10,123	10,388	10,371		(249)		(249)		10,123				298	12/15/2045	1FE

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										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..47232X-AA-6	JEFFERIES MILITARY HOUSING JMHT 2010-SILL A 6.730% 06/10/55		09/10/2020	Paydown		30,923	30,923	32,827	32,741		(1,818)		(1,818)		30,923				1,388	06/10/2055	1FE
..47760Q-AA-1	JIMMY 2017-1A 2AI JIMMY 2017-1A A2I 3.610% 07/30/47		07/30/2020	Paydown		20,000	20,000	20,000	20,000						20,000				542	07/30/2047	2FE
..478045-AA-5	JOHN SEVIER COMB CYCLE JSOCGL 4.626 01/15/42 4.626% 01/15/42		07/15/2020	Redemption	100.0000	365,237	365,237	374,419	372,468		(7,230)		(7,230)		365,237				16,893	01/15/2042	1FE
..48239@-AC-4	KBCM CTL PASS THRU TR /ERIE MEDICAL/ST. VINCENT HOSP 6.000% 03/15/32		09/15/2020	Redemption	100.0000	32,833	32,833	32,833	32,833						32,833				1,314	03/15/2032	3
..48239@-AC-4	KBCM CTL PASS THRU TR /ERIE MEDICAL/ST. VINCENT HOSP 6.000% 03/15/32		08/15/2020	Redemption	100.0000	16,416	16,416	16,416	16,416						16,416				657	03/15/2032	3FE
..48239@-AE-0	KBCM CTL PASS THRU TR /RIVERSIDE HEALTH SYSTEMS LN 1 6.320% 10/15/32		09/15/2020	Redemption	100.0000	45,800	45,800	45,800	45,800						45,800				1,941	10/15/2032	1
..48239@-AF-7	KBCM CTL PASS THRU TR /RIVERSIDE HEALTH SYSTEM LN 3 6.260% 10/15/32		09/15/2020	Redemption	100.0000	39,390	39,390	39,390	39,390						39,390				1,645	10/15/2032	1
..48239@-AG-5	KBCM CTL PASS THRU TR /RIVERSIDE CAMPUS MOB LLC 6.970% 06/15/34		09/15/2020	Redemption	100.0000	17,839	17,839	17,839	17,839						17,839				834	06/15/2034	1
..48239@-AK-6	KBCM CTL PASS THRU TR /RIVERSIDE WILLIAMSBURG MOB 8.250% 03/10/34		09/10/2020	Redemption	100.0000	25,700	25,700	25,700	25,700						25,700				1,414	03/10/2034	1
..50076Q-AE-6	KRAFT HEINZ FOODS CO KHC 5.000% 06/04/42		07/16/2020	STIFEL NICOLAUS		21,302,280	20,144,000	21,476,021	21,295,121		(17,067)		(17,067)		21,278,054		24,226	24,226	632,711	06/04/2042	3FE
..50543L-AA-0	LABRADOR AVIATION FINANCE LTD LABRADOR AVIATION FINANCE LTD 4.300% 01/15/42		09/15/2020	Paydown		153,471	153,471	150,493	151,838		1,632		1,632		153,471				4,306	01/15/2042	1FE
..50987*-AA-0	LAKE HEALTH 2016 CTL PT TR LAKE HEALTH 2016 CTL PT 3.750% 11/15/35		09/15/2020	Redemption	100.0000	27,178	27,178	27,178	27,178						27,178				680	11/15/2035	1
..50987*-AA-0	LAKE HEALTH 2016 CTL PT TR LAKE HEALTH 2016 CTL PT 3.750% 11/15/35		08/15/2020	Redemption	100.0000	13,589	13,589	13,589	13,589						13,589				340	11/15/2035	1FE
..52521R-AD-3	LEHMAN MORTGAGE TRUST LMT 2007-5 1A2 5.750% 06/25/37		09/01/2020	Paydown		235,666	248,128	192,593	200,487		35,180		35,180		235,666				10,454	06/25/2037	1FM
..52521R-AY-7	LEHMAN MORTGAGE TRUST LMT 2007-5 3A3 5.000% 12/25/35		09/01/2020	Paydown		273,472	275,919	223,533	232,873		40,599		40,599		273,472				9,619	12/25/2035	1FM
..55336V-AM-2	MPLX LP MPLX 4 1/2 04/15/38 4.500% 04/15/38		09/23/2020	DEFAULT ATHENE BROKER		3,145,123	3,000,000	3,137,100	3,135,410		(3,818)		(3,818)		3,131,592		13,531	13,531	126,750	04/15/2038	2FE
..553530-Q@-3	BISHOP HILL ENERGY LLC BISHOP HILL ENERGY LLC 3.280% 06/30/37		09/30/2020	Redemption	100.0000	26,487	26,487	26,487	26,487						26,487				551	06/30/2037	2
..56127@-AA-6	MALON D MIMMS FAMILY LP 6.560% 09/05/33		09/01/2020	MATR ALTERNATE LOAN TRUST MALT 2005-6 1A5		21,725	21,725	21,725	21,725						21,725				959	09/05/2033	2FE
..576434-V@-2	MASTR ALTERNATE LOAN TRUST MALT 2005-6 1A5 5.500% 12/25/35		09/01/2020	Paydown		76,022	77,808	66,934	63,187		12,836		12,836		76,022				2,713	12/25/2035	1FM
..590214-AC-6	MIMI 2006 MERRILL LYNCH MTGE INVESTORS 4.060% 07/25/36		08/01/2020	Paydown		29	29	25	25		(25)		(25)		29				1	07/25/2036	1FM
..59524E-AB-8	MID-ATLANTIC MILITARY CO MIDATL 5.24 08/01/50 5.240% 08/01/50		08/01/2020	Redemption	100.0000	110,903	110,903	103,844	105,297		5,606		5,606		110,903				5,811	08/01/2050	1FE
..59748T-AA-7	MIDLAND COGEN VENTURE MIDCOG 6 03/15/25 6.000% 03/15/25		09/15/2020	Redemption	100.0000	400,000	400,000	400,000	400,000						400,000				24,000	03/15/2025	3FE
..61748H-QW-4	MORGAN STANLEY MORTGAGE LN TR MORGAN STANLEY MTGE LN TRST 0.438% 12/25/35		09/25/2020	Paydown		201,640	201,777	152,846	167,720		33,920		33,920		201,640				1,581	12/25/2035	1FM
..61748J-AE-7	MORGAN STANLEY MTGE LN TRUST MORGAN STANLEY MTGE LOAN TRUST 0.668% 08/25/36		09/25/2020	Paydown		99,340	99,340	52,960	42,797		56,543		56,543		99,340				748	08/25/2036	1FM
..61749W-AH-0	MORGAN STANLEY MTGE LN TRUST MSM 2006-11 1A2 6.354% 08/25/36		09/01/2020	Paydown		193,524	193,524	92,166	71,631		121,893		121,893		193,524				2,102	08/25/2036	1FM
..61752R-AH-5	MORGAN STANLEY MTGE LOAN TRST 5.704% 01/25/47		09/01/2020	Paydown		61,174	61,174	37,354	32,329		28,844		28,844		61,174				881	01/25/2047	1FM
..61752R-AJ-1	MORGAN STANLEY MTGE LOAN TRST MORGAN STANLEY MTG LN 5.858% 01/25/47		09/01/2020	Paydown		89,245	89,245	51,559	48,284		40,961		40,961		89,245				1,286	01/25/2047	1FM

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

Table with 22 columns: 1. CUSIP Identification, 2. Description, 3. Foreign, 4. Disposal Date, 5. Name of Purchaser, 6. Number of Shares of Stock, 7. Consideration, 8. Par Value, 9. Actual Cost, 10. Prior Year Book/Adjusted Carrying Value, 11-15. Change In Book/Adjusted Carrying Value (Unrealized Valuation Increase/Decrease, Current Year's (Amortization)/Accretion, Current Year's Other Than Temporary Impairment Recognized, Total Change in Book/Adjusted Carrying Value (11 + 12 - 13), Total Foreign Exchange Change in Book/Adjusted Carrying Value), 16. Book/Adjusted Carrying Value at Disposal Date, 17. Foreign Exchange Gain (Loss) on Disposal, 18. Realized Gain (Loss) on Disposal, 19. Total Gain (Loss) on Disposal, 20. Bond Interest/Stock Dividends Received During Year, 21. Stated Contractual Maturity Date, 22. NAIC Designation and Administrative Symbol.

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SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value				Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol		
..67575N-BU-6	Owen Master Advance Receivable SERIES 2019T2 CLASS DT2 3.042% 08/15/51		08/17/2020	Call	100.0000	4,000,000	4,000,000	3,999,995	3,999,992												
..68268G-AB-4	ONEMAIN FINANCIAL ISSUANCE ONEMAIN FINANCIAL ISSUANCE TRT 4.570% 02/20/29		08/18/2020	Paydown		740,522	740,522	740,398	740,303												
..68504U-AC-5	Orange Lake Timeshare Trust SERIES 2019A CLASS C 3.610% 04/09/38		09/09/2020	Paydown		77,864	77,864	77,863	77,863												
..69374K-AM-0	Psmc 2018-1 Trust SERIES 20184 CLASS A12 4.000% 11/25/48		09/01/2020	Paydown		1,575,247	1,575,247	1,523,500	1,524,984												
..694308-GM-3	PACIFIC GAS & ELECTRIC BASIC 6.350% 02/15/38		07/02/2020	Tax Free Exchange		932,691	880,000	933,507	933,482												
..694E3C-AE-4	PACIFIC GAS & ELECTRIC BASIC 6.350% 02/15/38		07/02/2020	Tax Free Exchange		932,691	880,000	932,691													
..724060-AA-6	PIPELINE FUNDING CO PIPFD7 1/2 01/15/30 7.500% 01/15/30		07/15/2020	Redemption	100.0000	75,000	75,000	83,765	80,516												
..74162J-AB-3	PRIME MORTGAGE TRUST PRIME 2007-2 A2 6.000% 04/25/37		09/01/2020	Paydown		56,139	56,139	45,742	45,987												
..74922G-AF-1	RESIDENTIAL ACCREDIT LOANS INC RALI 2006-QS14 A6 6.500% 11/25/36		09/01/2020	Paydown		239,675	296,809	213,300	170,753												
..74922G-AM-6	RESIDENTIAL ACCREDIT LOANS INC RALI 2006-QS14 A12 6.250% 11/25/36		09/01/2020	Paydown		345,939	428,404	301,626	240,428												
..74924D-AA-7	RESIDENTIAL ACCREDIT LOANS INC RALI 2007-QS10 A1 6.500% 09/25/37		09/01/2020	Paydown		352,347	541,703	381,446	302,885												
..74925G-AA-9	RESIDENTIAL ACCREDIT LOANS INC RALI 2007-QS11 A1 7.000% 10/25/37		09/01/2020	Paydown		310,178	527,966	380,896	379,793												
..74927X-AE-2	RBSGC MTGE PASS THROUGH RBSGC MTGE PASS THROUGH 6.000% 01/25/37		09/01/2020	Paydown		22,192	22,230	19,215	18,689												
..74927X-AE-2	RBSGC MTGE PASS THROUGH RBSGC MTGE PASS THROUGH 6.000% 01/25/37		08/01/2020	Paydown		37,420	37,350	32,285	31,400												
..74928R-AC-8	RBSP RESECURITIZATION TRUST 2009-10 2A1 144A 17.948% 01/26/37		09/01/2020	Paydown		99,930	99,930	112,921	119,527												
..74928U-BT-3	RBSP RESECURITIZATION TRST 2.802% 10/25/35		09/25/2020	Paydown		1,619,828	1,619,828	1,382,753	1,474,282												
..74928X-BB-6	RBSP RESECURITIZATION TRUST RBSP RESECURITIZATION TRUST RBSP 3.542% 01/26/36		09/25/2020	Paydown		629,821	629,821	537,020	545,684												
..74929X-BZ-2	RESECURITIZATION TRST 6.500% 07/26/36		09/01/2020	Paydown		46,023	87,537	64,942	63,725												
..749580-AG-1	RESIDENTIAL FUNDING MTG SEC I RFMSI 2007-S5 A7 6.000% 05/25/37		09/01/2020	Paydown		203,972	247,148	216,302	207,357												
..749583-AE-0	RESIDENTIAL FUNDING MTG SEC I RFMSI 2007-S2 A5 6.000% 02/25/37		09/01/2020	Paydown		28,699	38,173	33,937	33,245												
..750731-AA-9	RAIDERS FC SR NT LEASED BACK RAIDERS FC SR NT PASS THRU TRU 3.744% 02/10/49		09/10/2020	Redemption	100.0000	16,920	16,920	16,920													
..75114H-AD-9	RESIDENTIAL ACCREDIT LOANS INC RESIDENTIAL ACCREDIT LOANS INC 0.338% 05/25/46		09/25/2020	Paydown		36,596	34,971	30,490	29,256												
..75114T-AJ-0	RESIDENTIAL ACCREDIT LOANS INC RESIDENTIAL ACCREDIT LNS INC 6.000% 05/25/36		09/01/2020	Paydown		42,680	58,678	48,996	50,827												
..751151-AD-3	RESIDENTIAL ACCREDIT LOANS INC 2006-QS12 1A4 6.000% 09/25/36		09/01/2020	Paydown		3,809	7,311	4,286	3,759												
..759468-AB-7	RELANCE HOLDINGS USA RILIN 6 1/4 10/19/40 6.250% 10/19/40		08/21/2020	Tax Free Exchange		4,958,737	5,000,000	4,951,200	4,958,096												
..759468-AC-5	RELANCE HOLDINGS USA RILIN 5.4 02/14/22 5.400% 02/14/22		08/21/2020	Tax Free Exchange		10,188,778	10,000,000	10,857,210	10,266,758												
..75974@-AA-0	RENEWABLE POWER GENERATION LLC RENEWABLE POWER GENERATION LLC 4.110% 03/31/35		09/30/2020	Redemption	100.0000	403,473	403,473	403,473	403,473												
..76110H-T7-4	RESIDENTIAL ACCREDIT LNS INC RESIDENTIAL ACCREDIT LOANS 3.811% 02/25/35		09/01/2020	Paydown		79,778	79,778	68,310	69,553												

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..761118-MC-9	RESIDENTIAL ACCREDIT LOANS INC RESIDENTIAL ACCREDIT LOANS 5.750% 11/25/35	09/01/2020	Paydown	97,935	97,935	107,849	94,436	96,352	1,583	1,583	97,935	4,115	11/25/2035	1FM.....
..76111X-NB-2	RESIDENTIAL FUNDING MTG SEC I RFMSI 2006-S3 A2 5.500% 03/25/36	09/01/2020	Paydown	134,266	134,266	151,780	119,097	117,178	17,088	17,088	134,266	5,204	03/25/2036	1FM.....
..76111X-VG-5	RESIDENTIAL FUNDING MTG SEC I 2005-SA2 2A2 3.720% 06/25/35	09/01/2020	Paydown	89,450	89,450	89,450	70,366	76,305	13,145	13,145	89,450	2,301	06/25/2035	1FM.....
..761120-AE-4	RESIDENTIAL ASSET SEC TRUST RAST 2007-A2 1A5 6.000% 04/25/37	08/01/2020	Paydown	45,781	45,781	85,668	69,303	68,180	(22,399)	(22,399)	45,781	3,137	04/25/2037	1FM.....
..761120-AH-7	RESIDENTIAL ASSET SEC TRUST RAST 2007-A2 1A8 6.000% 04/25/37	08/01/2020	Paydown	44,418	44,418	79,650	64,434	63,391	(18,973)	(18,973)	44,418	2,923	04/25/2037	1FM.....
..76112H-AC-1	RESIDENTIAL ASSET SECUR TRUST 2006-A9CB A3 6.982% 03/25/37	09/25/2020	Paydown	28,689	9,057	(9,057)	(9,057)	7,802	03/25/2037	6FE.....
..76112H-AL-1	RESIDENTIAL ASSET SECUR TRUST 2006-A9CB A11 0.578% 09/25/36	09/25/2020	Paydown	86,498	86,498	78,565	27,094	25,223	61,275	61,275	86,498	859	09/25/2036	4FM.....
..76113N-AC-7	RESIDENTIAL ASSET SEC RESIDENTIAL ASSET SEC 6.250% 07/25/36	09/01/2020	Paydown	46,105	46,105	40,760	38,620	38,866	7,239	7,239	46,105	2,127	07/25/2036	2FM.....
..76114H-AM-7	RAST RESIDENTIAL ASSET SEC TRUST 6.000% 05/25/37	09/01/2020	Paydown	94,812	94,812	114,708	99,079	92,593	2,218	2,218	94,812	4,627	05/25/2037	1FM.....
..78347@-AB-2	RUTTENBERG FAMILY LP /WALGREENS 6.520% 02/15/29	09/15/2020	Redemption 100.0000	38,615	38,615	38,615	38,615	38,615	38,615	1,707	02/15/2029	2FE.....
..78409V-AK-0	S&P GLOBAL INC SPGI 4.4 02/15/26 4.400% 02/15/26	08/17/2020	Call 119.8500	2,397,000	2,397,000	2,000,000	1,992,524	1,994,880	463	463	1,995,343	4,657	485,489	02/15/2026	1FE.....
..78443C-CV-4	SLM STUDENT LOAN TRUST SLM STUDENT LOAN TRUST 0.540% 12/15/39	09/15/2020	Paydown	137,102	137,102	137,102	99,399	98,170	38,932	38,932	137,102	1,325	12/15/2039	1FE.....
..78512*-AA-5	S&E REPLACEMENT POWER S&E REPLACEMENT POWER LLC 4.120% 05/31/29	09/30/2020	Redemption 100.0000	198,629	198,629	198,629	198,629	198,629	198,629	5,807	05/31/2029	1PL.....
..78512*-AA-5	S&E REPLACEMENT POWER S&E REPLACEMENT POWER LLC 4.120% 05/31/29	07/31/2020	Redemption 100.0000	98,805	98,805	98,805	98,805	98,805	98,805	2,380	05/31/2029	1Z.....
..78662M-AB-2	Saganaw Receivables, LLC SERIES 20191A CLASS A 5.125% 12/01/23	09/01/2020	Paydown	219,974	219,974	219,974	219,974	219,974	219,974	7,621	12/01/2023	2PL.....
..80306A-AA-8	SAPPHIRE AVIATION 4.250% 03/15/40	09/15/2020	Paydown	25,974	25,974	25,974	25,962	25,965	8	8	25,974	657	03/15/2040	2FE.....
..80306A-AA-8	SAPPHIRE AVIATION 4.250% 03/15/40	08/15/2020	Paydown	4,653	4,653	4,653	4,650	4,651	1	1	4,653	132	03/15/2040	2Z.....
..81744U-AC-8	SEQUOIA MORTGAGE TRUST SEMT 2012-2 A3 3.500% 04/25/42	09/01/2020	Paydown	1,404,317	1,404,317	1,404,317	1,312,218	1,339,730	64,587	64,587	1,404,317	31,018	04/25/2042	1FM.....
..81747A-AA-3	SEQUOIA MORTGAGE TRUST SERIES 20191 CLASS A1 4.000% 02/25/49	09/01/2020	Paydown	416,966	416,966	416,966	427,184	427,025	(10,058)	(10,058)	416,966	11,135	02/25/2049	1FM.....
..81748A-AA-2	SEQUOIA MORTGAGE TRUST SERIES 20203 CLASS A1 3.000% 04/25/50	09/01/2020	Paydown	1,897,284	1,897,284	1,897,284	1,936,415	(39,131)	(39,131)	1,897,284	23,596	04/25/2050	1FE.....
..81748K-AA-0	SEQUOIA MORTGAGE TRUST SERIES 20202 CLASS A1 3.500% 03/25/50	09/01/2020	Paydown	1,674,642	1,674,642	1,674,642	1,715,985	(41,343)	(41,343)	1,674,642	30,476	03/25/2050	1FE.....
..82281E-AA-5	Shellpoint Co-Originator Trust SERIES 20161 CLASS 1A1 3.500% 11/25/46	09/01/2020	Paydown	677,164	677,164	677,164	658,648	659,431	17,733	17,733	677,164	15,394	11/25/2046	1FM.....
..82652N-AC-2	SIERRA RECEIVABLES FUNDING CO SERIES 20193A CLASS C 3.000% 07/15/38	09/23/2020	Paydown	456,383	456,383	456,383	456,339	456,339	43	43	456,383	9,160	07/15/2038	2FE.....
..82652X-AB-2	SRFC -2016-1A B SRFC 2016-1A B 3.670% 03/21/33	09/21/2020	Paydown	171,368	171,368	171,368	171,329	171,622	(254)	(254)	171,368	4,191	03/21/2033	2FE.....
..82653G-AC-6	SIERRA RECEIVABLES FUNDING CO SERIES 20183A CLASS C 4.170% 03/20/26	09/20/2020	Paydown	133,337	133,337	133,337	133,335	133,334	3	3	133,337	3,722	03/20/2026	2FE.....
..83546D-AF-5	SONIC CAPITAL LLC SONIC 2018-1A A2 4.026% 02/20/48	09/01/2020	Paydown	12,500	12,500	12,500	12,500	12,500	12,500	336	02/20/2048	2FE.....
..84055*-AE-8	SOUTH TEXAS ELEC COOP INC SOUTH TEXAS ELEC COOP INC 4.160% 08/15/48	08/15/2020	Redemption 100.0000	33,333	33,333	33,333	33,333	33,333	33,333	1,387	08/15/2048	1.....
..841215-AA-4	SOUTHAVEN CIMD CYCLE GEN SCSGLL 3.846 08/15/33 3.846% 08/15/33	08/15/2020	Redemption 100.0000	482,705	482,705	482,705	482,705	482,705	482,705	18,565	08/15/2033	1FE.....

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SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol
..85045@-AA-4	SPRINGFIELD CLINIC LLP 6.090% 12/21/26		09/21/2020	Redemption 100.0000		58,643	58,643	58,643	58,643						58,643				2,382	12/21/2026	2
..85236#-AA-1	SUNNOVA RAYS 1 SUNNOVA 4.95 3/16/2044		07/31/2020	Redemption 100.0000		89,089	89,089	89,089	89,089						89,089				3,053	01/31/2031	1PL
..855244-AL-3	STARBUCKS CORP BASIC 2.200% 11/22/20		08/11/2020	DEFAULT ATHENE BROKER		2,010,796	2,000,000	2,002,480	2,001,937		(1,325)		(1,325)		2,000,612		10,183	10,183	31,656	11/22/2020	2FE
..863579-RT-7	STRUCTURED ADJ RATE MTG LOAN STRUCTURED ADJ RATE MTGE 3.574% 05/25/35		09/01/2020	Paydown		259,898	264,078	242,978	242,386		17,512		17,512		259,898				5,232	05/25/2035	1FM
..863579-YU-6	STRUCTURED ADJ RATE MTG LOAN SERIES 200519XS CLASS 2A1 0.448% 10/25/35		09/25/2020	Paydown		74,895	74,895	73,868	73,876		1,019		1,019		74,895				.607	10/25/2035	1FM
..86361W-AA-9	STRUCTURED ASSET MTGE INVEST STRUCTURED ASSET MTGE INVEST 0.348% 10/25/36		09/25/2020	Paydown		210,376	210,376	173,561	177,279		33,098		33,098		210,376				1,730	10/25/2036	1FM
..86364C-AF-9	STRUCTURED ADJ RATE MTGE SARM 2007-6 3A1 3.480% 07/25/37		09/01/2020	Paydown		123,442	124,294	91,246	80,586		42,856		42,856		123,442				3,102	07/25/2037	1FM
..86789M-AQ-0	SUNTRUST ALT LOAN TRUST 2005-1F 2A5 5.750% 12/25/35		09/01/2020	Paydown		49,767	52,184	46,623	48,455		1,312		1,312		49,767				2,061	12/25/2035	2FM
..87342R-AC-8	BELL 2016-1A BELL 2016-1A A23 4.970% 05/25/46		08/25/2020	Paydown		93,950	93,950	93,950	93,950						93,950				3,502	05/25/2046	2FE
..87407P-AR-1	TAL ADVANTAGE LLC TAL ADVANTAGE LLC 3.270% 11/21/39		09/20/2020	Paydown		990,438	990,438	961,808	978,475		11,963		11,963		990,438				24,138	11/21/2039	1FE
..87407P-AT-7	TAL ADVANTAGE LLC TAL ADVANTAGE LLC 4.150% 11/21/39		09/20/2020	Paydown		883,333	883,333	833,991	857,969		25,364		25,364		883,333				27,321	11/21/2039	2FE
..87804B-AD-9	TBW MRTG BK PASS THRU CERT TBW 2006-2 1A4 6.000% 07/25/36		08/01/2020	Paydown		31,321	31,321	24,070	19,754		11,566		11,566		31,321				1,292	07/25/2036	2FM
..88031V-AA-7	TENASKA GATEWAY PARTNERS BASIC 6.052% 12/30/23		09/30/2020	Redemption 100.0000		119,081	119,081	125,630			(6,549)		(6,549)		119,081				5,405	12/30/2023	2FE
..88581#-AA-6	301 NORTH FEDERAL WAY LLC 4.350% 07/18/38		09/01/2020	Redemption 100.0000		18,094	18,094	18,094	18,094						18,094				.529	07/18/2038	2FE
..88606W-AA-0	THUNDERBOLT AIRCRAFT LEASE LTD THUNDERBOLT AIRCRAFT LEASE LTD 4.212% 05/17/32		09/15/2020	Paydown		12,139	12,139	12,139	12,152		(13)		(13)		12,139				.372	05/17/2032	1FE
..88606W-AA-0	THUNDERBOLT AIRCRAFT LEASE LTD THUNDERBOLT AIRCRAFT LEASE LTD 4.212% 05/17/32		08/15/2020	Paydown		5,896	5,896	5,895	5,902		(6)		(6)		5,896				.166	05/17/2032	1Z
..88708L-AA-1	TIMBERLAKE FINANCIAL LLC TIMBR A A 144A 0.435% 06/30/36		08/28/2020	Paydown		922,675	922,675	740,181	869,197		53,478		53,478		922,675				7,180	06/30/2036	3FE
..89679H-AA-3	TRITON CONTAINER FINANCE LLC TRITON CONTAINER FINANCE LLC 3.520% 06/20/42		09/20/2020	Paydown		2,809,580	2,809,580	2,809,067	2,817,933		(8,353)		(8,353)		2,809,580				73,879	06/20/2042	1FE
..89916#-AA-0	TULAROSA HOLDINGS LLC 6.480% 09/15/28		09/15/2020	Redemption 100.0000		15,414	15,414	15,414	15,414						15,414				.666	09/15/2028	2FE
..90349D-AJ-1	UBS-BARCLAYS COMMERCIAL MTG TR UBSBB 2012-C3 XA 1.983% 08/10/49		09/01/2020	Paydown				80,757	23,043		(23,043)		(23,043)						7,177	08/10/2049	1FE
..90931B-AA-5	UNITED AIR 2018-1 AA PTT BASIC 3.500% 03/01/30		09/01/2020	Redemption 100.0000		99,130	99,130	99,130	99,130						99,130				3,470	03/01/2030	1FE
..90931C-AA-6	UNITED AIR 2019-1 AA PTT BASIC 4.150% 08/25/31		07/01/2020	Redemption 100.0000		165	165	2,078			(1,913)		(1,913)		165				.358	08/25/2031	
..90931C-AA-6	UNITED AIR 2019-1 AA PTT BASIC 4.150% 08/25/31		08/25/2020	Redemption 100.0000		23,125	23,125	25,280			(2,156)		(2,156)		23,125				.915	08/25/2031	1FE
..90931E-AA-2	UNITED AIR 2019-1 A PTT UAL 4.55 08/25/31		08/25/2020	Redemption 100.0000		28,065	28,065	28,065	28,065						28,065				3,149	08/25/2031	2FE
..90931V-AA-4	UNITED AIR 2018-1 A PTT UAL 3.7 03/01/30		09/01/2020	Redemption 100.0000		371,739	371,739	371,739	371,739						371,739				13,754	03/01/2030	2FE
..90983V-AA-1	MCQUIRE AIR FORCE BASE MCGAFB 5.611 09/15/51		09/15/2020	Redemption 100.0000		217,397	217,397	206,213	207,656		9,741		9,741		217,397				12,173	09/15/2051	2FE
..91679R-AA-7	UPSTART PASS-THROUGH TRUST SERIES 2020ST3 CLASS A 3.350% 04/20/28		09/20/2020	Paydown		64,447	64,447	64,447							64,447				.985	04/20/2028	2FE

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..91927#-AA-3	VALLEY HEALTH VALLEY HEALTH 4.000% 01/15/43		09/15/2020	Redemption 100.0000		26,257	26,257	26,257	26,257						26,257				700	01/15/2043	1
..92211M-AC-7	VANTAGE DATA CENTERS ISSUER, L SERIES 20181A CLASS A2 4.072% 02/16/43		09/16/2020	Paydown		15,000	15,000	15,000	15,000						15,000				407	02/16/2043	1FE
..92211M-AE-3	VANTAGE DATA CENTERS ISSUER, L SERIES 20182A CLASS A2 4.196% 11/16/43		09/15/2020	Paydown		26,875	26,875	26,875	26,875						26,875				752	11/16/2043	1FE
..92212K-AA-4	Vantage Data Centers LLC SERIES 20191A CLASS A2 3.160% 07/15/44		09/15/2020	Paydown		8,750	8,750	8,750	8,750						8,750				186	07/15/2044	1FE
..92535V-AA-0	VERTICAL BRIDGE CC LLC VERTICAL BRIDGE CC LLC 5.193% 10/15/46		09/24/2020	Call 100.2555		4,604,707	4,592,974	4,592,810	4,594,262		10,445		10,445		4,604,707				184,848	10/15/2046	2FE
..92535V-AA-0	VERTICAL BRIDGE CC LLC VERTICAL BRIDGE CC LLC 5.193% 10/15/46		09/15/2020	Paydown		13,502	13,502	13,501	13,506		(4)		(4)		13,502				468	10/15/2046	2FE
..9264VW-11-3	BNFS LEASE BACKED SECURITY 4.070% 05/15/34		09/15/2020	Redemption 100.0000		68,102	68,102	68,102	68,102						68,102				1,848	05/15/2034	1FE
..92783#-AA-4	VIRGINIA INTERNATIONAL GATEWAY 3.930% 06/30/30		09/30/2020	Redemption 100.0000		34,311	34,311	34,311	34,311						34,311				1,011	06/30/2030	1PL
..929227-2G-0	WASHINGTON MUTUAL PASS THRU CE WAMU 2003-S5 1A4 5.500% 06/25/33		09/01/2020	Paydown		6,999	6,999	5,853	6,214		785		785		6,999				257	06/25/2033	1FM
..92922F-4D-7	WAMU MORTGAGE PASS THRU CTF5 2005-AR14 1A4 3.684% 12/25/35		09/01/2020	Paydown		18,803	18,803	17,251	18,352		451		451		18,803				458	12/25/2035	1FM
..92922F-TJ-7	WAMU MORTGAGE PASS THRU CTF5 1.028% 06/25/44		09/25/2020	Paydown		51,442	51,442	47,713	48,681		2,761		2,761		51,442				576	06/25/2044	1FM
..92930R-AF-9	WF-RBS COMMERCIAL MTG TRUST WFRBS 2012-C9 XA 2.043% 11/15/45		09/01/2020	Paydown				59,701	17,261		(17,261)		(17,261)						5,400	11/15/2045	1FE
..92936Y-AK-7	WF-RBS COMMERCIAL MTG TRUST WFRBS 2012-C8 XA 1.956% 08/15/45		09/01/2020	Paydown				362,179	106,452		(106,452)		(106,452)						36,309	08/15/2045	1FE
..92938C-AG-2	WF-RBS COMM MORTGAGE TRUST WFRBS 2013-C15 XA 0.565% 08/15/46		09/01/2020	Paydown				156,556	47,582		(47,582)		(47,582)						11,435	08/15/2046	1FE
..92959#-AA-2	WEC 2008B - DMB- 2 LLC /CVS #8292 7.750% 01/15/23		09/15/2020	Redemption 100.0000		47,325	47,325	47,457	47,359		(34)		(34)		47,325				2,486	01/15/2023	2FE
..92959*-AA-6	WEC 2008B - DMB- 2 LLC /CVS #8296 7.750% 01/15/23		09/15/2020	Redemption 100.0000		46,438	46,438	46,568	46,472		(34)		(34)		46,438				2,439	01/15/2023	2FE
..92961#-AA-8	WEC 2008B - DMB- 2 LLC /CVS #6086 7.750% 01/15/23		09/15/2020	Redemption 100.0000		54,495	54,495	54,647	54,523		(29)		(29)		54,495				2,863	01/15/2023	2FE
..933634-AJ-6	WAMU MORTGAGE PASS THRU CERT 2007-HY3 4A1 3.468% 03/25/37		09/01/2020	Paydown		17,475	17,353	13,521	14,957		2,519		2,519		17,475				442	03/25/2037	1FM
..933635-AA-2	WAMU MORTGAGE PASS THRU CERT 2007-OA2 1A 1.719% 03/25/47		09/01/2020	Paydown		87,981	83,625	40,290	45,760		42,221		42,221		87,981				1,389	03/25/2047	1FM
..93363C-AB-5	WAMU MTGE PASS THRU CERT WAMU 2006-AR7 2A 2.151% 07/25/46		09/01/2020	Paydown		48,959	49,785	41,882	43,825		5,134		5,134		48,959				921	07/25/2046	1FM
..939336-T2-9	WASHINGTON MUTUAL MSC MORT WAMMS 2004-RA3 2A 6.017% 08/25/38		09/01/2020	Paydown		72,548	72,548	67,878	69,000		3,548		3,548		72,548				3,102	08/25/2038	1FM
..93934F-BC-5	WASHINGTON MUTUAL MTG SEC CORP WAMALT 2005-7 1A1 5.500% 09/25/35		09/01/2020	Paydown		119,936	127,234	115,133	109,994		9,942		9,942		119,936				4,925	09/25/2035	1FM
..93934F-JQ-6	WASHINGTON MUTUAL MTG SEC CORP WASHINGTON MUTUAL MTGE PASS TH 0.648% 02/25/36		09/25/2020	Paydown		40,687	42,254	36,312	36,335		4,351		4,351		40,687				405	02/25/2036	1FM
..93934F-MN-9	WASHINGTON MUTUAL MTG SEC CORP WASHINGTON MUTUAL MTGE PASS TH 1.959% 04/25/46		09/01/2020	Paydown		48,327	56,022	47,338	47,724		603		603		48,327				1,055	04/25/2046	1FM
..93935L-AB-4	WASHINGTON MUTUAL MTG WASHINGTON MUTUAL MORTGAGE 2.021% 10/25/46		09/01/2020	Paydown		77,747	77,334	67,474	68,893		8,854		8,854		77,747				1,415	10/25/2046	1FM
..94684#-AA-2	WELLS DAIRY COMPANY 6.420% 01/18/27		07/31/2020	Redemption 100.0000		48,709	48,709	48,709	48,709						48,709				1,824	01/18/2027	3Z
..94684#-AA-2	WELLS DAIRY COMPANY 6.420% 01/18/27		09/30/2020	Redemption 100.0000		98,206	98,206	98,206	98,206						98,206				4,466	01/18/2027	4

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..949831-AA-9	Wells Fargo Mortgage Backed Se SERIES 20193 CLASS A1 3.500% 10/25/49		09/01/2020	Paydown		3,390,249	3,390,249	3,437,924	3,437,496		(47,247)		(47,247)		3,390,249				76,101	10/25/2049	1FM
..94985J-BQ-2	WELLS FARGO MTG BK SEC WFMBS 2007-7 A39 6.000% 06/25/37		09/01/2020	Paydown		150,075	160,245	142,210	152,795		(2,720)		(2,720)		150,075				6,446	06/25/2037	1FM
..94987F-AJ-5	WELLS FARGO MTGE LOAN TRUST WELLS FARGO MTGE LOAN TRUST 2.990% 08/27/35		09/01/2020	Paydown		189,117	189,117	187,718	188,878		239		239		189,117				5,864	08/27/2035	1FM
..95001R-AY-5	WELLS FARGO COMMERCIAL MORTGAG SERIES 2018C48 CLASS XA 1.119% 01/15/52		09/01/2020	Paydown				6,289	6,227		(6,227)		(6,227)						598	01/15/2052	1FE
..95001T-AA-3	Wells Fargo Mortgage Backed Se SERIES 20191 CLASS A1 4.000% 11/25/48		09/01/2020	Paydown		930,100	930,100	952,520	952,164		(22,065)		(22,065)		930,100				24,469	11/25/2048	1FM
..95002M-AY-5	WELLS FARGO COMMERCIAL MORTGAG SERIES 2019C52 CLASS XA 1.765% 08/15/52		09/01/2020	Paydown			79,558	9,693	10,276		(10,276)		(10,276)						898	08/15/2052	1FE
..95058X-AC-2	WENDYS FUNDING WENDYS FUNDING LLC 4.497% 06/15/45		09/15/2020	Paydown		7,813	7,813	7,812	7,818		(5)		(5)		7,813				263	06/15/2045	2FE
..95058X-AE-8	WENDYS FUNDING WENDYS FUNDING LLC 3.884% 03/15/48		09/15/2020	Paydown		2,500	2,500	2,500	2,500						2,500				73	03/15/2048	2FE
..95058X-AH-1	WENDYS FUNDING SERIES 20191A CLASS A211 4.080% 06/15/49		09/16/2020	Paydown		3,750	3,750	3,750	3,750						3,750				115	06/15/2049	2FE
..96928*-FV-4	WILLIAM BLAIR & COMPANY CTL 4.090% 09/15/44		09/15/2020	Redemption	100.0000	55,774	55,774	55,774	55,774						55,774				1,521	09/15/2044	1
..96928*-FV-4	WILLIAM BLAIR & COMPANY CTL 4.090% 09/15/44		08/15/2020	Redemption	100.0000	27,887	27,887	27,887	27,887						27,887				760	09/15/2044	1FE
..97651L-AC-5	Winwater Mortgage Loan Trust SERIES 20154 CLASS A3 3.500% 06/20/45		09/01/2020	Paydown		1,770,247	1,770,247	1,725,422	1,727,502		42,744		42,744		1,770,247				41,001	06/20/2045	1FM
..BCC2CS-Q4-5	PROP LIMITED ELIX AVIATION 5.300% 03/15/42		08/01/2020	Paydown		7,259	7,259	7,271	7,257		2		2		7,259				240	03/15/2042	1Z
..BCC2CS-Q6-0	PROP LIMITED ELIX AVIATION 6.900% 03/15/42		09/01/2020	Paydown																03/15/2042	2Z
..BL3219-12-0	TELESAT LLC LOAN 2.904% 11/22/26		09/30/2020	Redemption	100.0000	9,750	9,750	9,750	9,750						9,750				10,551	11/22/2026	3FE
..009090-AA-9	AIR CANADA 2015-1A PTT ACACN 3.6 03/15/27	A	09/15/2020	Redemption	100.0000	241,245	241,245	241,245	241,245						241,245				8,685	03/15/2027	1FE
..BANOUJ-2C-0	CERBERUS CLO 2.252% 05/09/25	D	09/15/2020	Redemption	100.0000	39,458	39,458	39,458	39,458						39,458				778	05/09/2025	1Z
..00279V-CD-5	SANTANDER UK PLC SANUK 5 08/26/30 5.000% 08/26/30	D	08/26/2020	Call	100.0000	20,000,000	20,000,000	20,000,000	20,000,000						20,000,000				1,000,000	08/26/2030	1FE
..01273P-AA-0	ALBEMARLE WOD PTY LTD ALB 3.45 11/15/29 3.450% 11/15/29	D	07/23/2020	Tax Free Exchange		14,965,261	15,000,000	14,963,310	14,963,597		1,665		1,665		14,965,261				342,125	11/15/2029	2FE
..04363U-AB-2	ASCIANO FINANCE LTD PNHU 4 5/8 09/23/20 4.625% 09/23/20	D	09/23/2020	Maturity		15,000,000	15,000,000	14,536,900	14,955,484		44,516		44,516		15,000,000				693,750	09/23/2020	2FE
..04941G-AS-7	ATLAS SENIOR LOAN FUND LTD ATCLO 2013-1A DR 2.880% 11/17/27	D	08/17/2020	Paydown		72,958	72,958	72,958	72,958						72,958				1,390	11/17/2027	2FE
..05954T-AF-8	BANCO DE CREDITO DEL PER BCP 5 3/8 09/16/20 5.375% 09/16/20	D	09/16/2020	Maturity		7,000,000	7,000,000	6,983,410	6,998,515		1,485		1,485		7,000,000				376,250	09/16/2020	2FE
..06740P-GY-6	BARCLAYS BANK PLC BACR 5.6 07/26/30 5.600% 07/26/30	D	07/27/2020	Call	100.0000	10,000,000	10,000,000	10,000,000	10,000,000						10,000,000				560,000	07/26/2030	1FE
..09203H-AY-1	BLACK DIAMOND CLO LTD BLACK 2016-1A A2BR 4.577% 04/26/31	D	09/16/2020	Call	100.0000	9,500,000	9,500,000	9,500,000	9,500,000						9,500,000				386,468	04/26/2031	1FE
..10010Y-AA-0	TURKISH AIRL 15-1 A PTT THYAO 4.2 03/15/27 4.200% 03/15/27	D	09/15/2020	Redemption	100.0000	274,161	274,161	274,161	274,161						274,161				11,515	03/15/2027	4FE
..10552T-AA-5	BRF SA BRFSAZ 5 7/8 06/06/22 5.875% 06/06/22	D	07/27/2020	Call	105.0000	7,350,000	7,000,000	6,934,900	6,980,485		4,352		4,352		6,984,836		15,164	15,164	613,885	06/06/2022	3FE
..11042A-AA-2	BRITISH AIRWAYS PLC IAGLN 4 5/8 06/20/24 4.625% 06/20/24	D	09/20/2020	Redemption	100.0000	1,040,401	1,040,401	1,040,401	1,040,401						1,040,401				36,089	06/20/2024	1FE

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..12805P-AA-4	CAL FUNDING III LTD CAL FUNDING III LTD 3.620% 06/25/42	D	09/25/2020	Paydown		691,667	691,667	691,589	692,340		(673)		(673)		691,667				18,728	06/25/2042	1FE
..12805P-AA-4	CAL FUNDING III LTD CAL FUNDING III LTD 3.620% 06/25/42	D	08/25/2020	Paydown		8,333	8,333	8,332	8,341		(8)		(8)		8,333				201	06/25/2042	1Z
..12805P-AJ-5	CAL FUNDING III LTD SERIES 20182A CLASS A 4.340% 09/25/43	D	09/25/2020	Paydown		25,000	25,000	24,997	24,846		154		154		25,000				723	09/25/2043	1FE
..15672A-AA-0	CERBERUS LOAN FUNDING XVIII LP SERIES 20171A CLASS A 2.025% 04/15/27	D	07/15/2020	Paydown		44,205	44,205	42,393			1,812		1,812		44,205				332	04/15/2027	1FE
..2027A0-EX-3	COMMONWEALTH BANK AUST CBAAU 5 07/26/32	D	07/27/2020	Call 100.0000		25,000,000	25,000,000	25,000,000	25,000,000						25,000,000				1,250,000	07/26/2032	1Z
..34961P-AE-0	FORTRESS CREDIT BSL LTD SERIES 20172A CLASS B2 3.950% 07/11/30	D	09/22/2020	Call 100.0000		1,000,000	1,000,000	1,003,000	1,002,927		(2,927)		(2,927)		1,000,000				37,415	07/11/2030	1FE
..36118E-AA-0	FUTURE RETAIL LTD BASIC 5.600% 01/22/25	D	07/22/2020	DEFAULT ATHENE BROKER		642,188	1,000,000	1,000,000							1,000,000		(357,813)	(357,813)	28,156	01/22/2025	5FE
..38137P-BA-7	GOLDENTREE LOAN OPPORTUNITIES GLD10 2015-10A C2R 5.100% 07/20/31	D	09/17/2020	Call 100.0000		10,000,000	10,000,000	10,000,000	10,000,000						10,000,000				463,250	07/20/2031	1FE
..45082F-AA-0	IBERIA AIRLINES IBERIA AIRLINES 3.87 5/20/33	D	09/20/2020	Redemption 100.0000		104,310	104,310	104,310	104,310						104,310				4,037	05/20/2033	1PL
..45950V-JM-9	INTL FINANCE CORP IFC 2.9 07/27/46 2.900%	D	07/27/2020	Call 100.0000		50,000,000	50,000,000	50,000,000	50,000,000						50,000,000				1,450,000	07/27/2046	1Z
..46137N-AB-4	INVERSIONES LATIN AMERICA POWE INVERSIONES LATIN AMERICA PWR 5.350% 03/31/33	D	09/30/2020	Redemption 100.0000		370,660	370,660	370,660	370,660						370,660				19,830	03/31/2033	3FE
..532522-AB-5	LIMA METRO LINE 2 FIN LT BASIC 4.350% 04/05/36	D	08/04/2020	DEFAULT ATHENE BROKER		2,220,000	2,000,000	2,015,008	2,014,737		(384)		(384)		2,014,353		205,647	205,647	72,742	04/05/2036	2FE
..53566T-AA-9	LINE ONE PERU METRO EXPA BASIC 4.737% 01/10/33	D	07/10/2020	Redemption 100.0000		326,821	326,821	326,821	326,821						326,821				11,611	01/10/2033	2FE
..53566T-AB-7	LINE ONE PERU METRO EXPA BASIC 4.737% 04/10/33	D	07/10/2020	Redemption 100.0000		244,176	244,176	244,176	244,176						244,176				8,675	04/10/2033	2FE
..55283L-AA-3	MAPS LTD SERIES 20191A CLASS A 4.458% 03/15/44	D	09/15/2020	Paydown		9,072	9,072	7,167			1,905		1,905		9,072				146	03/15/2044	1
..55283L-AA-3	MAPS LTD SERIES 20191A CLASS A 4.458% 03/15/44	D	08/15/2020	Paydown		5,367	5,367	4,240			1,127		1,127		5,367				80	03/15/2044	1FE
..628788-AA-9	NORWEGIAN AIR 16-1 A PTT NASNO 4 7/8 05/10/28 4.875% 05/10/28	D	07/10/2020	Redemption 100.0000		729,242	729,242	701,987	704,707		24,535		24,535		729,242				(4,014)	05/10/2028	4FE
..63859U-AZ-6	NATIONWIDE BLDG SOCIETY NWIDE 5.6 08/19/30 5.600% 08/19/30	D	08/19/2020	Redemption 100.0000		20,000,000	20,000,000	20,000,000	20,000,000						20,000,000				1,120,000	08/19/2030	1FE
..66934F-AA-6	LARVIKSFJORDEN LTD NORWEGIAN AIR 4.750% 01/22/28	D	07/22/2020	Redemption 100.0000		575,886	575,886	448,800	575,886		127,087		127,087		575,886				27,293	01/22/2028	2PL
..67102Q-AM-0	OAK HILL CREDIT PARTNERS OAK 2012-7A B2R 4.000% 11/20/27	D	09/03/2020	Call 100.0000		6,500,000	6,500,000	6,500,000	6,500,000						6,500,000				204,389	11/20/2027	1FE
..75405T-AA-7	RAS LAFFAN LNG II RASGAS 5.298 09/30/20 5.298% 09/30/20	D	09/30/2020	Redemption 100.0000		282,500	282,500	269,788	281,268		1,232		1,232		282,500				14,967	09/30/2020	1FE
..82321U-AA-1	SHENTON AIRCRAFT INVESTMENT SHENTON AIRCRAFT INV LTD 4.750% 10/15/42	D	09/15/2020	Paydown		35,480	35,480	35,139	35,757		(278)		(278)		35,480				1,241	10/15/2042	1FE
..893830-AT-6	TRANSOCEAN INC RIG 6.8 03/15/38 6.800% 03/15/38	C	09/11/2020	Tax Free Exchange		3,498,736	15,903,000	3,498,660	16,420,146		(3,703)	12,917,707	(12,921,410)		3,498,736				540,702	03/15/2038	6FE
..90261T-MJ-7	UBS AG JERSEY BRANCH UBS 5.43 08/03/30 5.430% 08/03/30	D	08/03/2020	Redemption 100.0000		20,000,000	20,000,000	20,000,000	20,000,000						20,000,000				1,086,000	08/03/2030	1FE
..9612E0-BK-2	WESTPAC BANKING CORP WSTP 5 07/29/30 5.000% 07/29/30	D	07/29/2020	Call 100.0000		15,000,000	15,000,000	15,000,000	15,000,000						15,000,000				750,000	07/29/2030	1FE
..G5814F-AA-2	MARI BOYLE LTD MARI BOYLE LTD 5.580% 06/30/31	D	09/30/2020	Redemption 100.0000		131,608	131,608	131,608	131,608						131,608				5,508	06/30/2031	3PL
..G5814F-AB-0	MARI BOYLE LTD MARI JONE LTD 5.580% 06/30/31	D	09/30/2020	Redemption 100.0000		131,608	131,608	131,608	131,608						131,608				5,508	06/30/2031	3PL

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book/Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol
..L8038*-AA-4	SBM BALEIA AZUL S A R L SENIOR SECURED NOTES 5.500% 09/15/27	D	09/15/2020	Redemption 100.0000		288,000	288,000	288,000	288,000						288,000				11,880	09/15/2027	3
..P0606*-AA-9	AES MEXICO GENERATION HLDG AES MEXICO GEN HLD 5.62 11/27 5.620% 11/26/27	D	09/30/2020	Redemption 100.0000		53,736	53,736	53,736	53,736						53,736				1,855	11/26/2027	2PL
..P7003*-AA-3	LA BUFA WIND SAPO DE CV 5.770% 09/30/37	D	09/30/2020	Redemption 100.0000		84,967	84,967	84,967	84,967						84,967				3,853	09/30/2037	2PL
..00458*-AF-6	AQUASURE FINANCE PTY LTD AQUASURE FINANCE PTY LTD 4.320% 01/12/34	D	07/12/2020	Redemption 100.0000		167,556	167,556	167,556	167,556						167,556				7,238	01/12/2034	1FE
..R9836*-AA-6	WELCO ECO SHIP WELCO ECO SHIP AS 5.300% 04/30/31	D	09/30/2020	Redemption 100.0000		71,661	71,661	70,945	71,078		584		584		71,661				2,664	04/30/2031	3PL
..R9836*-AB-4	WELCO ECO SHIP WELCO ECO SHIP 5.360% 04/30/31	D	09/30/2020	Redemption 100.0000		71,661	71,661	70,945	71,076		586		586		71,661				2,692	04/30/2031	3PL
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					856,369,720	857,286,480	840,468,621	816,462,369	119	4,682,597	13,096,727	(8,414,011)		842,428,260		2,761,962	2,761,962	43,034,854	XXX	XXX
..L72598-YY-2	LENDMARK LENDMARK FUNDING TRUST 2018 A 2.806% 01/29/21		09/21/2020	Redemption 100.0000		296,004	296,004	296,004	233,139						296,004				18,394	01/29/2021	1Z
..L72598-ZZ-8	LENDMARK LENDMARK FUNDING TRUST 2018-A 3.706% 01/29/21		09/21/2020	Redemption 100.0000		156,753	156,753	156,753	123,462						156,753				12,021	01/29/2021	2Z
..BAN0ML-05-0	ALPHASOURCE ALPHA SOURCE INC 6.625% 11/17/23		09/17/2020	Redemption 100.0000		25,000	25,000	24,813	24,865		136		136		25,000				1,424	11/17/2023	1Z
..LX1847-66-9	ARM FUNDING 2019-1 LLC ARM FUNDING 2019-1 LLC 2/24 2.851% 02/29/24		09/30/2020	Redemption 100.0000		5,778,556	5,778,556	5,778,556	66,921						5,778,556				60,582	02/29/2024	1Z
..BAN0W6-BJ-0	NEW MEDIA INVESTMENT GROUP NEW MEDIA INV GRP 11.5 12/24 11.500% 12/31/24		09/25/2020	Redemption 100.0000		67,452	67,452	64,079	64,080		3,372		3,372		67,452				5,154	12/31/2024	4Z
..LX1794-91-1	NF FUNDING I LLC CLASS A 3/19 2.907% 03/29/26		09/01/2020	Redemption 100.0000		2,645,714	2,645,714	2,645,714	2,491,765						2,645,714				73,870	03/29/2026	1Z
..BL2955-14-6	TERRIER MEDIA BUYER INC LOAN 0.152% 12/17/26		09/16/2020	DIRECT		1,990,000	1,990,000	1,990,000							1,990,000				44,371	12/17/2026	4FE
..032657-A*-9	ANALOGIC CORPORATION ANALOGIC CORP BANK LOAN 8.340% 06/22/24		07/31/2020	Redemption 100.0000		8,333	8,333	8,250	8,267		66		66		8,333				293	06/22/2024	4
..04327#-YY-4	ASCENTUM EQUIPMENT REC ASCENTUM EQUIP REC 2.057% 03/20/29		09/10/2020	Redemption 100.0000		82,249	82,249	82,249	60,129						82,249				6,106	03/20/2029	2Z
..04327#-ZZ-0	ASCENTUM EQUIPMENT REC ASCENTUM EQUIPMENT REC 1.506% 03/20/29		09/10/2020	Redemption 100.0000		1,809,467	1,809,467	1,809,467	1,322,835						1,809,467				113,313	03/20/2029	1Z
..04649V-AV-2	ASURION LLC ASURION TL B6 1L ASSIGN 2.999% 11/03/23		09/30/2020	Redemption 100.0000		20,652	20,652	20,652	20,652						20,652				11,390	11/03/2023	4FE
..20903E-AX-3	CONSOLIDATED COMMUNICATIONS CONSOLIDATED COMM INC 2016 TLB 3.249% 10/05/23		09/30/2020	Redemption 100.0000		10,100	10,100	10,100	10,100						10,100				14,544	10/05/2023	4FE
..24702#-ZZ-3	DELL FINANCIAL SERVICES DELL FINANCIAL SERVICES 1.798% 08/22/22		09/22/2020	Redemption 100.0000		5,730,132	5,730,132	5,730,132	1,327,235						5,730,132				65,492	08/22/2022	2Z
..39303N-AB-7	GREEN ENERGY PARTNERS GREEN ENERGY PTNR TL B1 5.746% 11/13/21		09/29/2020	Redemption 100.0000		5,268	5,268	5,170	5,225		43		43		5,268				279	11/13/2021	4FE
..41151P-AM-7	HARBOR FREIGHT HARBOR FREIGHT TOOLS 2.770% 08/16/23		07/31/2020	Redemption 100.0000		9,235	9,235	9,235	9,235						9,235				10,186	08/16/2023	3Z
..55282G-AA-5	ME 2019-1 A2 MASSAGE ENVY 2019-1 A2 6.448% 07/30/49		07/30/2020	Redemption 100.0000		80,000	80,000	80,000	80,000						80,000				3,869	07/30/2049	2FE
..74166Y-AA-8	Primrose Schools SERIES 20191A CLASS A2 4.475% 07/30/49		07/30/2020	Redemption 100.0000		40,080	40,080	40,080	40,080						40,080				1,345	07/30/2049	2FE
..817743-AA-5	SERVPRO MASTER ISSUER, LLC SERIES 20191A CLASS A2 3.882% 10/25/49		07/27/2020	Redemption 100.0000		65,000	65,000	65,000	65,000						65,000				2,061	10/25/2049	2FE
..83218#-XX-3	SOFI FUNDING PL XII LLC CLASS A TRANCHE 2.397% 10/18/21		09/18/2020	Redemption 100.0000		13,284,521	13,284,521	13,284,521	10,332						13,284,521				153,428	10/18/2021	1Z
..83218#-YY-0	SOFI FUNDING PL XII LLC CLASS B TRANCHE 3.300% 10/18/21		09/08/2020	Redemption 100.0000		3,081,933	3,081,933	3,081,933	2,397						3,081,933				54,407	10/18/2021	2Z

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22		
										11	12	13	14	15									
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in Book/Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol		
..87247E-AQ-2	TI GROUP AUTOMOTIVE 3.648% 06/30/22		09/10/2020	DIRECT		1,565,930	1,565,930	1,561,017	1,563,948				574		1,564,522		1,408	1,408	43,924	06/30/2022	4FE		
..87305V-AH-3	TTM TECHNOLOGIES TTM TECHNOLOGIES INC 2.720% 09/28/24		07/29/2020	Redemption 100.0000		246,770	246,770	246,770	246,770						246,770				5,855	09/28/2024	3FE		
..BAN0DS-6G-5	ARRPAD SOLAR BORROWER LLC ARPAD SOLAR BORROWER LLC 5.250% 07/15/34		07/15/2020	Redemption 100.0000		47,893	47,893	47,893	47,893						47,893				1,836	07/15/2034	2Z		
..C5184A-AK-7	LIONS GATE ENTERTAINMENT CORP LIONS GATE ENT CORP 2018 TL B 2.483% 03/24/25	A	09/30/2020	Redemption 100.0000		430	430	430	430						430				298	03/24/2025	4FE		
..C7052B-AF-1	GFL ENVIRONMENTAL GFL ENVIRONMENTAL TL B 1L 2.991% 05/31/25	A	08/20/2020	DIRECT		1,570,080	1,571,128	1,571,128	1,571,128						1,571,128		(1,047)	(1,047)	31,502	05/31/2025	3FE		
..N0805E-AL-5	AVAST SOFTWARE BV 2017 TL B AVAST SOFTWARE BV 2018 TL B ASN 2.734% 09/30/23	D	09/03/2020	DIRECT		500,000	500,000	500,000	500,000						500,000					09/30/2023	3Z		
..N0805E-AL-5	AVAST SOFTWARE BV 2017 TL B AVAST SOFTWARE BV 2018 TL B ASN 2.734% 09/30/23	D	09/30/2020	Redemption 100.0000		200,661	200,661	200,661	200,661						200,661				6,485	09/30/2023	3Z		
8299999. Subtotal - Bonds - Unaffiliated Bank Loans						39,318,213	39,319,261	39,310,607	10,096,549		4,191		4,191		39,317,853		361	361	742,429	XXX	XXX		
8399997. Total - Bonds - Part 4						1,080,476,334	1,081,835,853	1,060,831,364	1,009,423,037	119	5,611,061	13,096,727	(7,485,547)		1,065,534,507		3,762,330	3,762,330	49,883,399	XXX	XXX		
8399998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	
8399999. Total - Bonds						1,080,476,334	1,081,835,853	1,060,831,364	1,009,423,037	119	5,611,061	13,096,727	(7,485,547)		1,065,534,507		3,762,330	3,762,330	49,883,399	XXX	XXX		
..G2950*-12-5	AA Infrastructure Fund LTD AA Infrastructure Debt Fund 1		08/03/2020	Capital Distribution		83,127		83,127	79,468						83,127								
8499999. Subtotal - Preferred Stocks - Industrial and Miscellaneous (Unaffiliated) Perpetual Preferred						83,127	XXX	83,127	79,468						83,127						XXX	XXX	
8999997. Total - Preferred Stocks - Part 4						83,127	XXX	83,127	79,468						83,127						XXX	XXX	
8999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks						83,127	XXX	83,127	79,468						83,127						XXX	XXX	
..26968*-10-5	EAGLE LIFE INSURANCE COMPANY		09/30/2020	BASIS ADJUSTMENT		(13,856)		(13,856)	(13,856)						(13,856)								
9399999. Subtotal - Common Stocks - Parent, Subsidiaries and Affiliates Other						(13,856)	XXX	(13,856)	(13,856)						(13,856)						XXX	XXX	
9799997. Total - Common Stocks - Part 4						(13,856)	XXX	(13,856)	(13,856)						(13,856)						XXX	XXX	
9799998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999. Total - Common Stocks						(13,856)	XXX	(13,856)	(13,856)						(13,856)						XXX	XXX	
9899999. Total - Preferred and Common Stocks						69,271	XXX	69,271	65,612						69,271							XXX	XXX
9999999 - Totals						1,080,545,605	XXX	1,060,900,635	1,009,488,649	119	5,611,061	13,096,727	(7,485,547)		1,065,603,778		3,762,330	3,762,330	49,883,399	XXX	XXX		

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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)														
007999999. Subtotal - Purchased Options - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108														XXX																			XXX	XXX		
014999999. Subtotal - Purchased Options - Hedging Effective Variable Annuity Guarantees Under SSAP No.108														XXX																						
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/04/2019	10/02/2020	28,084	82,176,251	2952.01			97,169	XXX	4,421,747								(1,749,037)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/04/2019	10/05/2020	13,356	39,428,098	2952.01			43,203	XXX	1,880,257								(777,661)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/04/2019	10/06/2020	11,571	34,156,595	2952.01			38,157	XXX	1,660,524								(686,825)													
UST 1.625% 08/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/09/2019	10/09/2020	287,465	118,382,150	98			119,524	XXX	5,184,616								(2,151,428)													
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/11/2019	10/11/2020	5,498	16,331,566	2970.27			14,243	XXX	603,369								(256,366)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/11/2019	10/12/2020	17,914	53,209,011	2970.27			59,677	XXX	2,546,072								(1,074,190)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/11/2019	10/13/2020	15,243	45,274,504	2970.27			46,398	XXX	1,948,043								(835,166)													
S&P 500 Indx Opt			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/16/2019	10/16/2020	14,295	42,736,346	2989.69			25,355	XXX	316,672								(456,399)													
Dow Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/22/2019	10/22/2020	11,651	39,153,036	26788.1			39,204	XXX	1,531,328								(705,666)													
UST 1.625% 08/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/23/2019	10/23/2020	239,976	37,835,032	98			24,989	XXX	889,079								(449,804)													
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/24/2019	10/24/2020	3,012	9,065,508	3010.29			6,839	XXX	258,015								(123,109)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/25/2019	10/25/2020	119	3,218,874	26958.06			2,586	XXX	72,807								(46,542)													
MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/25/2019	10/26/2020	226	6,079,671	26958.06			4,623	XXX	73,048								(83,215)													
Dow Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/25/2019	10/27/2020	186	5,016,183	26958.06			4,390	XXX	73,048								(79,012)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/29/2019	10/29/2020	3,224	9,791,585	3036.89			7,504	XXX	276,614								(135,078)													
UST 1.625% 08/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/30/2019	10/30/2020	256,363	25,444,000	98			13,917	XXX	523,321								(250,500)													
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	10/31/2019	10/31/2020	2,919	8,868,115	3037.56			6,895	XXX	249,424								(124,115)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/04/2019	11/04/2020	10,946	33,694,507	3078.27			101,913	XXX	1,203,053								(611,479)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/08/2019	11/06/2020	21,650	69,769,014	3093.08			238,012	XXX	2,728,492								(1,428,071)													
Dow Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/07/2019	11/07/2020	2,076	6,780,873	27674.8			14,146	XXX	142,210								(84,875)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/08/2019	11/08/2020	3,465	10,717,533	3093.08			24,105	XXX	267,031								(144,629)													
MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/08/2019	11/09/2020	16,607	51,365,302	3093.08			165,258	XXX	1,813,102								(991,548)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/08/2019	11/10/2020	16,955	52,444,681	3093.08			161,262	XXX	1,815,627								(967,571)													
UST 1.625% 08/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/13/2019	11/13/2020	262,002	65,211,327	98			177,953	XXX	1,935,608								(1,067,715)													
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/15/2019	11/15/2020	119	3,321,547	28004.89			6,950	XXX	148,749								(41,701)													
Dow Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/15/2019	11/16/2020	12,739	44,111,208	28004.89			148,749	XXX	1,540,499								(892,494)													
Dow Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/15/2019	11/17/2020	13,302	47,015,095	28004.89			149,346	XXX	1,523,428								(896,074)													
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/18/2019	11/18/2020	12,136	37,888,431	3122.03			114,955	XXX	1,246,093								(689,728)													
UST 1.75% 11/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/20/2019	11/20/2020	305,812	66,728,779	98			157,041	XXX	1,743,841								(942,249)													
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573																															

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART A - SECTION 1

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Dow Index Option MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/22/2019	4,103	15,862,521	27875.62	302,834			37,854		155,935			(227,125)				
Dow Index Option PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/22/2019	14,381	49,228,989	27875.62	1,190,965			148,871		1,337,977			(893,224)				
Dow Index Option PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/22/2019	14,922	49,471,920	27875.62	1,237,886			154,736		1,487,279			(928,414)				
UST 1.75% 11/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/27/2019	267,543	59,136,576	98	1,229,615			153,702		1,739,568			(922,211)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/29/2019	15,679	49,248,184	3140.98	1,352,562			169,070		1,782,231			(1,014,421)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	11/29/2019	16,338	51,316,954	3140.98	1,394,501			174,313		1,830,189			(1,045,876)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/02/2019	11,294	35,167,863	3113.87	829,266			172,764		1,110,996			(621,949)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/06/2019	17,809	55,905,728	3145.91	1,540,382			320,913		1,985,937			(1,155,286)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/06/2019	3,988	12,546,790	3145.91	246,279			51,308		197,199			(184,709)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/06/2019	17,473	54,968,446	3145.91	1,445,363			301,117		1,743,086			(1,084,022)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/06/2019	16,129	50,741,765	3145.91	1,173,561			244,492		1,445,382			(880,171)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/10/2019	12,280	38,467,671	3132.52	955,026			198,964		1,272,047			(716,269)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/11/2019	298,234	67,244,992	98	1,400,276			291,724		1,890,643			(1,050,207)				
UST 1.75% 11/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/12/2019	92	2,581,558	28132.05	46,547			9,697		16			(34,910)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/17/2019	4,161	17,611,895	28267.16	317,507			66,147		101,550			(238,130)				
Dow Index Option MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/18/2019	320,149	137,944,022	98	3,233,165			673,576		3,829,935			(2,424,874)				
Dow Index Option PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/19/2019	3,056	9,794,992	3205.37	167,358			34,866		27,185			(125,518)				
UST 1.75% 11/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/20/2019	75	2,140,790	28455.09	29,606			6,168					(22,205)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/20/2019	12,988	47,810,991	28455.09	1,357,404			282,792		1,522,142			(1,018,053)				
Dow Index Option MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/20/2019	15,045	53,082,499	28455.09	1,417,388			295,289		1,617,659			(1,063,041)				
Dow Index Option PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/23/2019	4,200	13,539,384	3224.01	251,017			52,295		8,209			(188,263)				
UST 1.75% 11/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/26/2019	230,934	45,888,604	98	924,973			192,703		1,137,702			(693,730)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	12/26/2019	1,880	7,333,529	28621.39	130,782			27,246		4,306			(98,087)				
Dow Index Option MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	01/03/2020	8,554	27,672,207	3234.85		860,877		251,089		1,042,136			(609,788)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	01/03/2020	16,635	53,812,729	3234.85		1,421,447		414,589		1,672,662			(1,006,859)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	01/03/2020	11,493	37,178,319	3234.85		924,376		269,610		1,086,339			(654,766)				
UST 1.75% 11/15/29			Equity/Index	BAR	G5GSEF7VJP5170UK5573	01/08/2020	192,838	32,912,791	98		480,830		140,242		439,616			(340,588)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	01/10/2020	87	2,494,835	28823.77		41,313		12,050		46			(29,264)				
Dow Index Option MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	01/10/2020	143	4,109,754	28823.77		73,646		21,480		34,822			(52,166)				
Dow Index Option PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	01/10/2020	141	4,056,676	28823.77		65,544		19,117		28,254			(46,427)				

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S&P 500 Index Option PTPT			Equity/Index	BAR	01/21/2020	01/21/2021	7,023	23,322,137	3320.79		577,342		168,391		604,677			(408,950)					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	BAR	01/22/2020	01/22/2021	194,956	106,716,037	98		3,078,570		897,916		3,427,527			(2,180,654)					
S&P 500 Index Option PTPT			Equity/Index	BAR	01/24/2020	01/25/2021	10,849	35,752,422	3295.47		1,018,303		297,005		1,118,062			(721,298)					
S&P 500 Index Option PTPT			Equity/Index	BAR	01/24/2020	01/26/2021	10,180	33,549,165	3295.47		933,907		272,389		1,023,519			(661,517)					
S&P 500 Index Option PTPT			Equity/Index	BAR	01/27/2020	01/27/2021	8,055	26,128,208	3243.63		678,731		197,963		801,343			(480,768)					
S&P 500 Index Option PTPT			Equity/Index	BAR	01/29/2020	01/29/2021	11,630	38,068,409	3273.4		1,164,913		339,766		1,373,551			(825,147)					
Dow Index Option PTPT			Equity/Index	BAR	02/03/2020	02/03/2021	127	3,604,266	28399.81		65,682		24,631		33,995			(41,051)					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	BAR	02/05/2020	02/05/2021	187,769	49,642,205	98		1,108,420		415,658		1,320,496			(692,763)					
S&P 500 Index Option PTPT			Equity/Index	BAR	02/07/2020	02/08/2021	10,194	33,921,057	3327.71		995,325		373,247		1,065,364			(622,078)					
S&P 500 Index Option PTPT			Equity/Index	BAR	02/07/2020	02/09/2021	8,850	29,448,849	3327.71		752,182		282,068		796,094			(470,114)					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	BAR	02/12/2020	02/12/2021	206,205	77,990,377	98		1,979,069		742,151		2,043,302			(1,236,918)					
Dow Index Option MAV			Equity/Index	BAR	02/13/2020	02/13/2021	41	1,198,550	29423.31		19,498		7,312		37			(12,186)					
S&P 500 Index Option MAV			Equity/Index	BAR	02/14/2020	02/14/2021	2,286	7,727,307	3380.16		121,318		45,494		2,751			(75,824)					
S&P 500 Index Option MAV			Equity/Index	BAR	02/14/2020	02/15/2021	1,850	6,253,537	3380.16		120,647		45,243		3,033			(75,405)					
S&P 500 Index Option PTPT			Equity/Index	BAR	02/14/2020	02/16/2021	12,723	43,006,792	3380.16		1,069,283		400,981		847,862			(668,302)					
S&P 500 Index Option PTPT			Equity/Index	BAR	02/14/2020	02/17/2021	10,438	35,280,627	3380.16		730,685		274,007		569,672			(456,678)					
Dow Index Option MAV			Equity/Index	BAR	02/20/2020	02/19/2021	34	985,367	29219.98		17,206		6,452		10,697			(10,754)					
Dow Index Option PTPT			Equity/Index	BAR	02/20/2020	02/20/2021	50	1,459,326	29219.98		20,922		7,846		14			(13,076)					
Dow Index Option PTPT			Equity/Index	BAR	02/25/2020	02/25/2021	132	3,588,124	27081.36		59,604		22,352		46,433			(37,253)					
S&P 500 Index Option PTPT			Equity/Index	BAR	02/28/2020	02/26/2021	12,373	36,552,732	2954.22		1,287,710		482,891		2,188,540			(804,819)					
S&P 500 Index Option MAV			Equity/Index	BAR	02/27/2020	02/27/2021	2,529	7,532,405	2978.76		150,801		56,551		224,028			(94,251)					
S&P 500 Index Option PTPT			Equity/Index	BAR	02/28/2020	03/01/2021	15,854	46,836,052	2954.22		1,567,359		587,760		2,615,820			(979,599)					
S&P 500 Index Option PTPT			Equity/Index	BAR	03/02/2020	03/02/2021	10,355	31,998,922	3090.23		935,973		428,988		1,327,257			(506,985)					
S&P 500 Index Option PTPT			Equity/Index	BAR	03/04/2020	03/04/2021	10,615	33,225,219	3130.12		969,457		444,334		1,374,717			(525,122)					
S&P 500 Index Option PTPT			Equity/Index	BAR	03/09/2020	03/09/2021	13,632	37,440,225	2746.56		1,189,261		545,078		2,266,304			(644,183)					
S&P 500 Index Option PTPT			Equity/Index	BAR	03/11/2020	03/11/2021	17,692	48,501,425	2741.38		1,696,651		777,632		3,335,395			(919,019)					
UST 1.50% 02/15/30 Total Return Options			Equity/Index	BAR	03/11/2020	03/12/2021	238,044	102,711,657	98		3,925,425		1,799,153		7,159,239			(2,126,272)					
S&P 500 Index Option PTPT			Equity/Index	BAR	03/13/2020	03/15/2021	14,980	40,610,296	2711.02		1,784,971		818,112		3,252,502			(966,859)					
S&P 500 Index Option PTPT			Equity/Index	BAR	03/16/2020	03/16/2021	14,741	35,173,474	2386.13		1,568,803		719,035		3,808,888			(849,768)					

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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 Option MAV			Equity/Index	BAR	03/17/2020	03/17/2021	3,581	9,055,967	2529.19		248,386		113,844		493,606			(134,543)				
S&P 500 Index Option PTPT			Equity/Index	BAR	03/18/2020	03/18/2021	18,317	43,926,207	2398.1		2,305,260		1,056,577		4,832,128			(1,248,682)				
UST 1.50% 02/15/30 Total Return Options			Equity/Index	BAR	03/18/2020	03/19/2021	221,208	27,199,353	.98		387,233		177,482		540,753			(209,751)				
S&P 500 Index Option MAV			Equity/Index	BAR	03/20/2019	03/20/2021	45	125,762	2824.23		2,327		533		7,028			(872)				
S&P 500 Index Option MAV			Equity/Index	BAR	03/22/2019	03/23/2021	174	487,757	2800.71		7,048		1,615		30,167			(2,643)				
S&P 500 Index Option MAV			Equity/Index	BAR	03/24/2020	03/24/2021	4,923	12,048,952	2447.33		286,639		131,376		672,340			(155,263)				
S&P 500 Index Option PTPT			Equity/Index	BAR	03/25/2020	03/25/2021	13,658	33,811,504	2475.56		1,370,198		628,008		3,614,145			(742,191)				
UST 1.50% 02/15/30 Total Return Options			Equity/Index	BAR	03/25/2020	03/26/2021	205,398	28,607,480	.98		437,731		200,627		531,764			(237,104)				
Dow Index Option MAV			Equity/Index	BAR	03/27/2020	03/27/2021	130	2,805,530	21636.78		48,686		22,315		81,938			(26,372)				
Dow Index Option MAV			Equity/Index	BAR	03/27/2020	03/28/2021	120	2,593,002	21636.78		51,555		23,629		88,812			(27,926)				
Dow Index Option PTPT			Equity/Index	BAR	03/27/2020	03/29/2021	144	3,106,973	21636.78		65,551		30,044		102,090			(35,507)				
S&P 500 Index Option PTPT			Equity/Index	BAR	03/30/2020	03/30/2021	12,915	33,922,220	2626.65		1,152,437		528,200		2,347,749			(624,237)				
S&P 500 Index Option PTPT			Equity/Index	BAR	03/31/2020	03/31/2021	14,384	37,177,641	2584.59		1,260,403		577,685		2,588,043			(682,718)				
S&P 500 Index Option PTPT			Equity/Index	BAR	04/03/2020	04/01/2021	29,528	78,697,519	2488.65		3,480,871		1,885,472		8,522,519			(1,595,399)				
S&P 500 Index Option PTPT			Equity/Index	BAR	04/03/2020	04/05/2021	20,327	50,586,911	2488.65		2,381,814		1,290,149		5,840,029			(1,091,665)				
S&P 500 Index Option MAV			Equity/Index	BAR	04/06/2020	04/06/2021	2,945	7,844,715	2663.68		192,069		104,038		406,735			(88,032)				
UST 1.50% 02/15/30 Total Return Options			Equity/Index	BAR	04/08/2020	04/09/2021	271,706	157,121,453	.98		5,178,262		2,804,892		9,536,216			(2,373,370)				
S&P 500 Index Option MAV			Equity/Index	BAR	04/09/2020	04/10/2021	2,946	10,877,019	2789.82		229,832		124,492		418,006			(105,340)				
S&P 500 Index Option MAV			Equity/Index	BAR	04/09/2020	04/11/2021	3,714	11,319,873	2789.82		253,721		137,432		468,970			(116,289)				
S&P 500 Index Option PTPT			Equity/Index	BAR	04/09/2020	04/12/2021	18,194	53,959,707	2789.82		1,996,015		1,081,175		3,773,365			(914,840)				
S&P 500 Index Option PTPT			Equity/Index	BAR	04/13/2020	04/13/2021	19,519	58,654,576	2761.63		1,795,638		972,637		3,326,410			(823,001)				
S&P 500 Index Option PTPT			Equity/Index	BAR	04/14/2020	04/14/2021	9,972	28,379,938	2846.06		776,594		420,655		1,295,621			(355,939)				
S&P 500 Index Option PTPT			Equity/Index	BAR	04/15/2020	04/15/2021	15,121	47,247,310	2783.36		1,653,202		895,484		3,041,756			(757,717)				
UST 1.50% 02/15/30 Total Return Options			Equity/Index	BAR	04/15/2020	04/16/2021	286,992	28,538,000	.98		369,000		199,875		363,325			(169,125)				
S&P Digital			Equity/Index	BAR	04/20/2020	04/20/2021	508	1,434,678	2823.16		20,372		11,035		25,893			(9,337)				
UST 1.50% 02/15/30 Total Return Options			Equity/Index	BAR	04/22/2020	04/23/2021	267,854	106,810,530	.98		3,860,135		2,090,906		6,357,506			(1,769,228)				
S&P Digital			Equity/Index	BAR	04/24/2020	04/26/2021	14,568	41,324,974	2836.74		1,803,895		977,110		3,084,933			(826,785)				
S&P Digital			Equity/Index	BAR	04/27/2020	04/27/2021	892	7,796,363	2878.48		157,445		85,283		210,046			(72,162)				
S&P Digital			Equity/Index	BAR	04/28/2020	04/28/2021	14,053	40,240,164	2863.39		1,242,780		673,173		2,053,208			(569,608)				
S&P Digital			Equity/Index	BAR	04/29/2020	04/29/2021	14,287	41,996,772	2939.51		1,355,734		734,356		2,123,509			(621,378)				
S&P 500 Index Option PTPT			Equity/Index	BAR	05/01/2020	04/30/2021	27,057	76,590,619	2830.71		3,176,159		1,985,099		5,649,465			(1,191,060)				
S&P 500 Index Option PTPT			Equity/Index	BAR	05/01/2020	05/03/2021	14,785	41,853,234	2830.71		1,635,544		1,022,215		2,853,293			(613,329)				

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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 Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/06/2020	13,959	39,760,781	2848.42		1,292,624		807,890		2,201,867			(484,734)				
UST 0.625% 05/15/30			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/06/2020	155,998	18,836,091	100		264,585		165,366		326,791			(99,220)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/08/2020	3,655	10,708,743	2929.8		206,599		129,124		353,408			(77,475)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/08/2020	3,527	10,333,513	2929.8		248,029		155,018		435,838			(93,011)				
MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/08/2020	3,629	10,632,406	2929.8		210,976		131,860		345,907			(79,116)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/11/2020	260	6,304,987	24221.99		124,457		77,785		169,025			(46,671)				
MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/12/2020	700	2,008,035	2870.12		28,715		17,947		35,248			(10,768)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/13/2020	280	6,514,111	23247.97		130,097		81,311		190,134			(48,786)				
Dow Index Option PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/13/2020	244,286	24,265,000	98		307,000		191,875		298,050			(115,125)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/18/2020	4,573	13,509,263	2953.91		270,661		169,163		425,890			(101,498)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/19/2020	12,719	37,176,069	2922.94		1,075,257		672,035		1,680,180			(403,221)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/20/2020	243,388	37,607,688	98		563,685		352,303		664,019			(211,382)				
UST 0.625% 05/15/30			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/22/2020	896	2,646,663	2955.45		38,112		23,820		44,673			(14,292)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/26/2020	585	1,751,487	2991.77		25,397		15,873		29,088			(9,524)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/27/2020	878	2,665,826	3036.13		38,654		24,159		43,395			(14,495)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	05/27/2020	232,703	57,502,188	98		1,125,460		703,413		1,422,853			(422,048)				
UST 0.625% 05/15/30			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/02/2020	12,238	37,701,882	3080.82		1,011,475		716,461		1,344,750			(295,014)				
Total Return Options			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/03/2020	573	1,789,036	3122.87		25,941		18,375		27,831			(7,566)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/03/2020	206,931	23,422,218	98		301,677		213,688		276,975			(87,989)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/05/2020	3,317	10,594,917	3193.93		203,708		144,293		263,796			(59,415)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/05/2020	2,644	8,444,890	3193.93		181,232		128,373		232,820			(52,859)				
MAV			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/05/2020	2,761	8,817,950	3193.93		167,390		118,568		204,283			(48,822)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/08/2020	2,840	9,178,631	3232.39		183,380		129,894		213,037			(53,486)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/09/2020	15,718	50,410,227	3207.18		1,304,696		924,160		1,551,796			(380,536)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/10/2020	15,270	48,714,881	3190.14		1,249,373		884,973		1,541,418			(364,400)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/10/2020	265,210	100,964,673	98		3,058,059		2,166,125		4,007,412			(891,934)				
UST .625% 05/28/21			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/12/2020	12,181	37,045,843	3041.31		1,369,563		970,107		1,857,575			(399,456)				
Total Return Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/15/2020	11,242	34,474,148	3066.59		1,020,360		722,755		1,363,730			(297,605)				
S&P 500 Index Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/16/2020	11,363	35,507,032	3124.74		843,035		597,150		1,014,523			(245,885)				
PTPT			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/17/2020	271,064	26,928,000	98		329,000		233,042		298,433			(95,958)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/23/2020	11,333	35,486,036	3131.29		837,382		593,146		1,002,582			(244,237)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/24/2020	13,444	46,436,214	3050.33		1,236,404		875,786		1,623,209			(360,618)				
UST .625% 05/28/21			Equity/Index	BAR	G5GSEF7VJP5170UK5573	06/24/2020	170,810	17,081,000	100		227,000		160,792		213,144			(66,208)				
Total Return Option			Equity/Index	BAR	G5GSEF7VJP5170UK5573	07/01/2020	758	7,805,733	3115.86		139,297		110,277		168,899			(29,020)				
S&P Digital			Equity/Index	BAR	G5GSEF7VJP5170UK5573	07/01/2020																

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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 Digital	UST 0.625% 05/28/21		Equity/Index	BAR	08/18/2020	08/18/2021	713	2,416,502	389.78		35,039		30,659		32,342				(4,380)				
Total Return Option	Dow Index Option		Equity/Index	BAR	08/19/2020	08/20/2021	258,300	60,822,960	98		1,138,812		996,461		1,062,500				(142,352)				
S&P Digital	S&P 500 Index Option		Equity/Index	BAR	08/25/2020	08/25/2021	11,217	42,590,339	28248.44		949,098		830,461		798,779				(118,637)				
S&P 500 Index Option	MAV		Equity/Index	BAR	08/28/2020	08/27/2021	897	3,145,283	3508.01		45,607		39,906		34,594				(5,701)				
S&P 500 Index Option	MAV		Equity/Index	BAR	08/28/2020	08/28/2021	2,996	10,508,524	3508.01		208,310		182,271		128,741				(26,039)				
S&P Digital	UST 0.625% 08/15/30		Equity/Index	BAR	08/28/2020	08/29/2021	2,394	8,398,611	3508.01		188,760		165,165		113,312				(23,595)				
Total Return Options	S&P 500 Index Option		Equity/Index	BAR	08/28/2020	08/30/2021	3,373	11,832,098	3508.01		258,293		226,007		161,444				(32,287)				
S&P Digital	UST 0.625% 08/15/30		Equity/Index	BAR	09/02/2020	09/03/2021	240,167	23,849,000	98		283,000		271,208		249,211				(11,792)				
Total Return Options	S&P 500 Index Option		Equity/Index	BAR	09/09/2020	09/10/2021	261,797	26,001,000	98		311,000		298,042		285,480				(12,958)				
S&P Digital	UST 0.625% 08/15/30		Equity/Index	BAR	09/16/2020	09/16/2021	12,260	41,505,356	3385.49		952,505		912,817		910,556				(39,688)				
Total Return Options	S&P 500 Index Option		Equity/Index	BAR	09/16/2020	09/17/2021	274,821	27,319,000	98		319,000		305,708		294,163				(13,292)				
S&P 500 Index Option	MAV		Equity/Index	BAR	09/18/2019	09/18/2021	65	196,389	3006.73		5,430		2,602		8,926				(2,036)				
S&P 500 Index Option	PTPT		Equity/Index	BAR	09/22/2020	09/22/2021	10,511	34,849,589	3315.57		887,170		850,205		923,371				(36,965)				
Dow Index Option	PTPT		Equity/Index	BAR	09/23/2020	09/23/2021	207	5,545,726	26763.13		105,966		101,551		113,342				(4,415)				
UST 0.625% 08/15/30	Total Return Options		Equity/Index	BAR	09/23/2020	09/24/2021	87,316	8,557,000	98		77,000		73,792		65,941				(3,208)				
S&P 500 Index Option	PTPT		Equity/Index	BAR	09/28/2020	09/28/2021	14,713	49,311,089	3351.6		1,250,304		1,198,208		1,253,061				(52,096)				
S&P 500 Index Option	PTPT		Equity/Index	BOA	10/02/2019	10/02/2020	12,732	36,765,331	2887.61		1,099,704		45,821		2,207,364				(824,778)				
Dow Index Option	PTPT		Equity/Index	BOA	10/08/2019	10/08/2020	12,715	41,210,530	26164.04		519,174		21,632		135,438				(389,381)				
S&P 500 Index Option	MAV		Equity/Index	BOA	10/09/2018	10/09/2020	174	500,141	2880.34		13,659		285		1				(5,122)				
S&P 500 Index Option	PTPT		Equity/Index	BOA	10/21/2019	10/21/2020	12,547	37,724,846	3006.72		905,389		37,725		1,502,891				(679,042)				
S&P 500 Index Option	PTPT		Equity/Index	BOA	10/24/2019	10/23/2020	11,159	33,591,945	3010.29		935,843		38,993		1,582,335				(701,883)				
S&P 500 Index Option	NXT		Equity/Index	BOA	10/30/2019	10/30/2020	308	938,257	3046.77		23,832		993						(17,874)				
S&P 500 Index Opt	MOPTPT		Equity/Index	BOA	11/07/2019	11/07/2020	9,626	29,699,354	3085.18		359,882		44,985						(269,911)				
S&P 500 Index Option	NXT		Equity/Index	BOA	11/13/2019	11/13/2020	409	1,264,599	3094.04		32,627		4,078		9,129				(24,470)				
S&P 500 Index Opt	MOPTPT		Equity/Index	BOA	11/19/2019	11/19/2020	8,569	26,737,029	3120.18		326,354		40,794						(244,766)				
S&P Digital	S&P 500 Index Option		Equity/Index	BOA	11/26/2019	11/25/2020	356	1,117,139	3140.52		16,087		2,011		19,301				(12,065)				
S&P 500 Index Option	NXT		Equity/Index	BOA	11/27/2019	11/27/2020	680	2,143,977	3153.63		45,320		5,665						(33,990)				
Dow Index Option	PTPT		Equity/Index	BOA	12/02/2019	12/02/2020	225	6,241,606	27783.04		114,921		23,942		65,947				(86,191)				
S&P 500 Index Opt	MOPTPT		Equity/Index	BOA	12/03/2019	12/03/2020	10,163	31,436,446	3093.2		368,785		76,826						(276,574)				
S&P Digital	S&P 500 Index Opt		Equity/Index	BOA	12/06/2019	12/04/2020	492	1,547,918	3145.91		22,290		4,644		26,183				(16,718)				
S&P 500 Index Opt	MOPTPT		Equity/Index	BOA	12/05/2019	12/05/2020	8,126	25,331,326	3117.43		327,667		68,264						(245,750)				

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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
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S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/06/2019	467	1,468,796	3145.91	21,151			4,406		24,732			(15,863)				
S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/06/2019	735	2,312,764	3145.91	33,304			6,938		38,886			(24,978)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/10/2019	10,938	34,264,733	3132.52	421,734			87,861					(316,301)				
Dow Index Option PTPPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/13/2019	129	3,629,861	28135.38	73,761			15,367		52,690			(55,321)				
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/13/2019	506	3,759,697	28135.38	71,818			14,962		3,454			(53,864)				
Dow Index Option PTPPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/13/2019	189	5,328,569	28135.38	100,938			21,029		48,683			(75,703)				
S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/13/2019	229	6,443,578	28135.38	117,481			24,475		52,492			(88,111)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/16/2019	625	1,995,645	3191.45	28,937			6,029		32,133			(21,703)				
S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/17/2019	11,010	35,148,507	3192.52	460,803			96,001					(345,602)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/18/2019	847	2,703,867	3191.14	43,890			9,144		29,012			(32,918)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/24/2019	7,172	23,118,695	3223.38	626,089			130,435		751,569			(469,567)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	12/31/2019	14,091	45,524,530	3230.78	1,227,631			255,756		1,425,536			(920,723)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/02/2020	7,329	23,876,152	3257.85	314,436			91,711					(222,726)				
S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/07/2020	10,911	35,319,662	3237.18	474,927			138,520					(336,406)				
S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/10/2020	11,720	38,133,863	3265.35	502,472			146,554		25,958			(355,918)				
S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/11/2020	371	1,211,561	3265.35	17,689			5,159		18,078			(12,530)				
S&P Digital			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/10/2020	588	1,921,614	3265.35	28,056			8,183		28,658			(19,873)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/14/2020	11,068	36,339,272	3283.15	479,531			139,863					(339,668)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/17/2020	9,416	31,351,074	3329.62	478,229			139,483					(338,745)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/17/2020	8,905	29,649,743	3329.62	425,271			124,037					(301,233)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/17/2020	11,363	37,835,810	3329.62	533,221			155,523					(377,698)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/17/2020	11,272	37,531,415	3329.62	491,635			143,394					(348,242)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/22/2020	248	822,809	3321.75	15,798			4,608		23			(11,190)				
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/29/2020	10,392	34,017,105	3273.4	451,987			131,830					(320,158)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	01/31/2020	283	913,578	3225.52	17,906			5,223		487			(12,684)				
Dow Index Option PTPPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/04/2020	9,821	36,282,317	28807.63	483,179			181,192		33,634			(301,987)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/15/2019	788	1,327,045	1684.191	40,608			7,614		17,329			(15,228)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/18/2020	451	1,519,329	3370.29	29,323			10,996		82			(18,327)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/21/2020	7,520	25,100,392	3337.75	669,425			251,034		695,925			(418,391)				
S&P 500 Index Option			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/21/2020	10,694	35,692,515	3337.75	1,028,413			385,655		1,065,686			(642,758)				

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SCHEDULE DB - PART A - SECTION 1

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S&P 500 Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/21/2020	9,489	31,671,712	337.75		902,931		338,599		936,906			(564,332)					
S&P 500 Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/24/2020	9,438	30,446,236	3225.89		679,863		254,949		806,844			(424,915)					
S&P 500 Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	02/27/2020	11,657	34,773,351	2978.76		1,154,946		433,105		2,087,970			(721,841)					
S&P 500 Indx Opt MOPTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/03/2020	1,079	3,335,332	3090.23		111,871		51,274		196,666			(60,597)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/04/2019	802	1,351,064	1685.224	42,829			9,815		18,378			(16,061)					
S&P 500 Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/06/2020	25,003	78,790,570	2972.37		2,864,001		1,312,667		4,531,232			(1,551,334)					
S&P 500 Index Option NXT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/06/2020	320	951,955	2972.37		24,084		11,039		15,388			(13,046)					
S&P 500 Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/06/2020	13,036	38,746,955	2972.37		1,439,003		659,543		2,288,658			(779,460)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/09/2020	1,341	2,229,444	1662.32		51,946		23,809		49,291			(28,137)					
S&P 500 Index Option NXT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/11/2020	518	1,420,585	2741.38		29,264		13,413		121,881			(15,851)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	03/17/2020	3,445	6,246,958	1647.119		133,152		61,028		248,527			(72,124)					
S&P 500 Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/02/2020	15,134	38,240,887	2526.9		1,810,235		980,544		4,274,851			(829,691)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/08/2020	234	5,474,141	23433.57		110,220		59,703		166,650			(50,518)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/14/2020	216	5,165,804	23949.76		101,788		55,135		159,287			(46,653)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/16/2020	169	3,987,372	23537.68		76,955		41,684		108,200			(35,271)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/24/2020	272	6,462,847	23775.27		118,203		64,026		155,236			(54,176)					
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/24/2020	125	2,965,424	23775.27		45,716		24,763		69,766			(20,953)					
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/24/2020	112	2,663,759	23775.27		56,996		30,873		92,691			(26,123)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	04/24/2020	171	4,069,521	23775.27		78,133		42,322		109,700			(35,811)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/05/2020	222	5,304,934	23883.09		114,152		71,345		165,971			(42,807)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/08/2020	303	7,384,192	24331.32		136,881		85,551		177,247			(51,331)					
Nasdaq 100 Indx Opt MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/08/2020	12,362	38,959,221	2929.8		388,363		242,727		531,948			(145,636)					
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/08/2020	9,528	29,729,220	24331.32		295,747		184,842		486,380			(110,905)					
Dow Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/08/2020	9,445	29,903,362	24331.32		302,925		189,328		555,584			(113,597)					
S&P 500 Indx Opt MOPTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/12/2020	11,235	32,245,503	2870.12		309,731		193,582		677,097			(116,149)					
S&P 500 Index Option PTPT			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/13/2020	13,786	38,876,988	2820		1,239,273		774,546		2,141,798			(464,727)					

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Dow Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/15/2020	05/14/2021	250	5,922,274	23685.42	108,177		67,611		141,842			(40,566)					
Nasdaq 100 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/15/2020	05/15/2021	463	3,054,434	2863.7	69,524		43,452		136,673			(26,071)					
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/15/2020	05/16/2021	142	3,352,982	23685.42	61,912		38,695		97,901			(23,217)					
Dow Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/15/2020	05/17/2021	167	3,955,432	23685.42	71,004		44,378		100,078			(26,627)					
S&P 500 Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/18/2020	05/18/2021	11,384	33,626,419	2953.91	1,138,632		711,645		1,823,831			(426,987)					
Nasdaq 100 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/20/2020	05/20/2021	10,026	29,791,908	2971.61	289,495		180,935		561,242			(108,561)					
S&P 500 Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/21/2020	05/21/2021	12,839	37,855,962	2948.51	1,424,496		890,310		2,346,551			(534,186)					
Nasdaq 100 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/27/2020	05/27/2021	421	1,278,094	3036.13	31,058		19,411		28,871			(11,647)					
S&P 500 Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/29/2020	05/28/2021	33,401	108,784,920	3044.31	4,211,243		2,632,027		6,296,235			(1,579,216)					
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/29/2020	05/29/2021	62	1,573,074	25383.11	29,267		18,292		39,425			(10,975)					
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/29/2020	05/30/2021	135	3,436,607	25383.11	56,042		35,026		74,434			(21,016)					
Dow Index Option MAV			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	05/29/2020	05/31/2021	20	506,738	25383.11	6,922		4,326		9,120			(2,596)					
S&P 500 Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/04/2020	06/04/2021	12,984	40,409,592	3112.35	1,243,197		880,598		1,702,583			(362,599)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/08/2020	06/08/2021	10,220	33,036,530	3232.39	359,836		254,883		311,523			(104,952)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/10/2020	06/10/2021	9,939	31,705,767	3190.14	299,381		212,062		401,613			(87,319)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/16/2020	06/16/2021	11,627	36,329,926	3124.74	335,393		237,570		683,756			(97,823)					
S&P 500 Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/19/2020	06/18/2021	24,492	75,869,906	3097.74	2,150,754		1,523,451		2,754,817			(627,303)					
S&P 500 Index Option PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/19/2020	06/21/2021	13,027	40,353,838	3097.74	1,251,865		886,738		1,612,019			(365,127)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/23/2020	06/23/2021	818	1,365,464	1670.248	25,006		17,713		24,542			(7,294)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	06/25/2020	06/25/2021	3,444	5,737,630	1666.176	113,907		80,684		120,460			(33,223)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/01/2020	07/01/2021	9,504	29,613,961	3115.86	269,952		213,712		186,573			(56,240)					
Destinations PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/08/2020	07/08/2021	8,141	23,443,172	235.24	213,497		169,019		327,604			(44,479)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/10/2020	07/10/2021	10,600	33,760,714	3185.04	325,719		257,861		479,841			(67,858)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/10/2020	07/11/2021	6,901	21,979,714	3185.04	210,111		166,338		358,895			(43,773)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/10/2020	07/12/2021	8,721	27,777,240	3185.04	268,146		212,283		380,167			(55,864)					
Nasdaq 100 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/14/2020	07/14/2021	512	1,637,489	3197.52	41,265		32,668		52,647			(8,597)					
Destinations PTP			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/15/2020	07/15/2021	1,856	437,448	235.71	10,105		8,000		9,140			(2,105)					
S&P 500 Indx Opt			Equity/Index	BOA	B4TYDEB6GKMZ0031MB27	07/16/2020	07/16/2021	9,067	29,155,183	3215.57	246,612		195,235		423,368			(51,378)					

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Nasdaq 100 Indx Opt MAV			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/17/2020	07/17/2021	326	1,051,394	324.73		28,808		22,806		34,650			(6,002)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/21/2020	07/21/2021	10,686	33,140,028	1680.67		363,780		287,993		270,998			(75,788)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/22/2020	07/22/2021	2,281	540,076	236.75		12,481		9,881		10,124			(2,600)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/28/2020	07/28/2021	713	1,199,879	1681.718		27,597		21,848		23,783			(5,749)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/29/2020	07/29/2021	3,232	2,056,797	237.89		53,216		42,129		37,631			(11,087)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/31/2020	07/30/2021	5,491	9,231,574	1681.218		192,726		152,575		166,499			(40,151)					
S&P 500 Indx Opt MOPTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/31/2020	08/02/2021	1,899	3,192,998	1681.218		62,938		49,826		54,007			(13,112)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/03/2020	08/03/2021	8,120	26,751,186	3294.61		271,223		237,320		238,716			(33,903)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/04/2020	08/04/2021	2,576	616,520	239.37		14,248		12,467		8,626			(1,781)					
S&P 500 Indx Opt MOPTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/05/2020	08/05/2021	2,328	3,922,883	1684.826		83,462		73,029		68,503			(10,433)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/10/2020	08/10/2021	1,772	423,320	238.89		9,783		8,560		6,362			(1,223)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/12/2020	08/12/2021	14,162	34,479,988	236.82		347,695		304,234		346,970			(43,462)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/14/2020	08/13/2021	12,664	13,479,304	236.72		280,615		245,539		208,792			(35,077)					
Nasdaq 100 Indx Opt MAV			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/14/2020	08/14/2021	344	1,161,095	3372.85		32,162		28,142		30,661			(4,020)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/14/2020	08/16/2021	1,121	1,897,678	1692.215		44,216		38,689		32,651			(5,527)					
S&P 500 Indx Opt MOPTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/17/2020	08/17/2021	7,838	26,506,880	3381.99		265,987		232,738		272,322			(33,248)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/19/2020	08/19/2021	3,667	3,345,794	237.3		77,869		68,135		60,070			(9,734)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/21/2020	08/20/2021	9,868	26,621,395	237.35		252,280		220,745		213,548			(31,535)					
Nasdaq 100 Indx Opt MAV			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/21/2020	08/21/2021	310	1,054,359	3397.16		30,049		26,293		19,112			(3,756)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/25/2020	08/25/2021	1,430	2,419,590	1692.044		57,344		50,176		42,378			(7,168)					
S&P 500 Indx Opt MOPTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/26/2020	08/26/2021	12,580	26,115,974	3478.73		267,520		234,080		80,610			(33,440)					
Nasdaq 100 Indx Opt MAV			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/28/2020	08/28/2021	205	717,576	3508.01		20,164		17,643		9,469			(2,520)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/31/2020	08/31/2021	2,418	574,489	237.59		13,276		11,617		10,437			(1,660)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/01/2020	09/01/2021	2,345	1,336,015	237.87		32,453		31,100		16,971			(1,352)					

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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)	
Destinations PTPT S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/02/2020	09/02/2021	1,797	427,649	238.02		9,870		9,459		7,423			(411)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/03/2020	09/03/2021	2,619	4,435,099	1693.71		96,888		92,851		71,344			(4,037)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/04/2020	09/04/2021	8,347	28,606,548	3426.96		245,275		235,055		210,753			(10,220)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/04/2020	09/05/2021	5,889	20,182,097	3426.96		175,373		168,066		153,256			(7,307)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/04/2020	09/06/2021	6,365	21,812,119	3426.96		215,545		206,564		191,659			(8,981)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/04/2020	09/07/2021	5,753	19,713,757	3426.96		180,434		172,916		172,399			(7,518)					
Dow Index Option PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/09/2020	09/09/2021	6,192	7,516,808	27940.47		144,588		138,563		124,254			(6,024)					
Nasdaq 100 Indx Opt MAV			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/10/2020	09/10/2021	2,793	1,671,454	3339.19		43,287		41,484		42,756			(1,804)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/14/2020	09/14/2021	10,987	30,603,363	3383.54		292,467		280,280		357,999			(12,186)					
Destinations PTPT S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/15/2020	09/15/2021	1,909	453,339	237.52		10,477		10,040		8,496			(437)					
Destinations PTPT Nasdaq 100 Indx Opt MAV			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/16/2020	09/16/2021	7,425	18,850,237	1695.908		219,777		210,620		129,709			(9,157)					
Destinations PTPT Nasdaq 100 Indx Opt MAV			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/18/2020	09/17/2021	13,775	30,050,985	237.07		288,116		276,112		368,560			(12,005)					
Destinations PTPT S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/21/2020	09/21/2021	289	949,227	3281.06		22,971		22,014		24,850			(957)					
Destinations PTPT S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/22/2020	09/22/2021	4,440	1,052,338	237.03		24,320		23,306		21,015			(1,013)					
Destinations PTPT S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/23/2020	09/23/2021	1,577	372,437	236.13		8,607		8,248		8,190			(359)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/25/2020	09/24/2021	10,225	10,917,515	1681.762		231,522		221,875		208,975			(9,647)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/25/2020	09/25/2021	8,037	26,508,256	3298.46		213,335		204,446		348,751			(8,889)					
S&P 500 Indx Opt MOPPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/25/2020	09/26/2021	6,760	22,296,969	3298.46		178,617		171,175		282,975			(7,442)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/25/2020	09/27/2021	7,924	23,817,299	1681.762		229,383		219,825		337,999			(9,558)					
Destinations PTPT S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/29/2020	09/29/2021	6,548	1,554,716	237.42		35,929		34,432		30,072			(1,497)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/30/2020	09/30/2021	5,861	5,430,280	1687.208		125,760		120,520		109,060			(5,240)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	03/09/2020	03/09/2022	323	536,952	1662.32		17,719		12,920		17,354			(4,799)					

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	03/17/2020	03/17/2022	1,081	1,781,143	1647.119		58,600		42,729		68,520			(15,871)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	06/23/2020	06/23/2022	294	491,581	1670.248		15,731		13,437		15,604			(2,294)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	06/25/2020	06/24/2022	695	1,157,983	1666.176		37,055		31,652		38,443			(5,404)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/08/2020	07/08/2022	1,052	247,520	235.24		8,044		7,206		7,667			(838)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/15/2020	07/15/2022	2,590	610,533	235.71		19,842		17,775		18,325			(2,067)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/21/2020	07/21/2022	365	613,273	1680.67		19,563		17,526		17,686			(2,038)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/22/2020	07/22/2022	2,032	481,164	236.75		15,643		14,013		13,382			(1,629)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/28/2020	07/28/2022	419	704,060	1681.718		22,741		20,372		20,169			(2,369)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/29/2020	07/29/2022	1,888	1,613,994	237.89		52,457		46,993		45,679			(5,464)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	07/31/2020	08/01/2022	296	497,115	1681.218		16,305		14,607		14,360			(1,698)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/04/2020	08/04/2022	5,765	1,380,075	239.37		44,866		42,062		31,385			(2,804)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/05/2020	08/05/2022	741	1,248,252	1684.826		40,693		38,150		34,742			(2,543)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/10/2020	08/10/2022	4,497	1,074,172	238.89		34,911		32,729		25,545			(2,182)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/14/2020	08/12/2022	6,024	3,600,653	236.72		117,747		110,388		95,532			(7,359)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/14/2020	08/16/2022	252	426,299	1692.215		14,068		13,189		11,010			(879)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/21/2020	08/19/2022	5,620	2,450,105	237.35		80,124		75,117		65,662			(5,008)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/25/2020	08/25/2022	245	414,395	1692.044		14,048		13,170		10,797			(878)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	08/27/2020	08/26/2022	7,179	1,700,261	236.3		55,236		51,784		48,154			(3,452)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/01/2020	09/01/2022	2,946	700,746	237.87		22,767		22,293		18,405			(474)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/04/2020	09/02/2022	5,919	1,877,512	236.4		61,128		59,855		51,528			(1,274)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/11/2020	09/09/2022	18,634	4,422,084	237.36		143,521		140,531		121,976			(2,990)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/15/2020	09/15/2022	2,762	655,941	237.52		21,312		20,868		17,890			(444)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/18/2020	09/16/2022	6,257	1,811,198	237.07		59,047		57,817		49,590			(1,230)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/22/2020	09/22/2022	15,508	3,675,881	237.03		119,429		116,941		104,607			(2,488)					

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/25/2020	09/23/2022	4,857	1,946,962	1681.762		63,718		62,390		58,273			(1,327)					
Destinations PTPT			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/29/2020	09/29/2022	3,479	826,055	237.42		26,839		26,279		22,933			(559)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	BOA B4TYDEB6GKMZ0031MB27	09/30/2020	09/30/2022	328	553,639	1687.208		18,768		18,377		15,615			(391)					
S&P Digital			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/01/2019	10/01/2020	4,240	12,465,194	2940.25	263,134			10,964		443,518			(197,351)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/03/2019	10/03/2020	3,232	9,405,908	2910.63	196,643			8,193		350,305			(147,482)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/07/2019	10/07/2020	4,758	13,981,327	2938.79	290,729			12,114		547,112			(218,047)					
S&P Digital			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/08/2019	10/08/2020	4,611	13,340,875	2893.06	242,075			10,086		455,729			(181,556)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/10/2018	10/10/2020	2,648	7,773,943	2785.68	160,130			6,589		296,165			(118,601)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/17/2019	10/17/2020	2,786	8,352,396	2997.95	165,229			6,885		292,730			(123,922)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/18/2019	10/18/2020	4,758	14,207,971	2986.2	292,104			12,171		531,855			(219,078)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/18/2019	10/19/2020	4,261	12,724,858	2986.2	264,145			11,006		476,772			(198,109)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/18/2019	10/20/2020	3,447	10,294,270	2986.2	210,794			8,783		370,873			(158,096)					
Dow Index Option PTPT			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/21/2019	10/21/2020	934	7,117,044	26827.64	132,405			5,517		114,994			(99,304)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/22/2019	10/22/2020	3,180	9,527,711	2995.99	180,847			7,535		319,825			(135,635)					
S&P 500 Index Option PTPT			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/25/2019	10/23/2020	16,341	49,392,196	3022.55	1,267,670			52,820		2,083,246			(950,753)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/25/2019	10/25/2020	4,906	14,828,573	3022.55	290,638			12,110		428,494			(217,978)					
S&P 500 Index Option PTPT			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/25/2019	10/26/2020	17,015	51,427,944	3022.55	1,349,815			56,242		2,234,614			(1,012,361)					
S&P 500 Index Option PTPT			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/25/2019	10/27/2020	18,386	55,572,990	3022.55	1,409,126			58,714		2,281,759			(1,056,844)					
S&P Digital			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/28/2019	10/28/2020	4,262	12,953,928	3039.42	235,620			9,817		310,598			(176,715)					
S&P 500 Index Option PTPT			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	10/29/2019	10/29/2020	12,047	36,585,354	3036.89	940,906			39,204		1,508,075			(705,680)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/01/2019	11/01/2020	3,823	11,724,592	3066.91	210,928			26,366		230,788			(158,196)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/01/2019	11/02/2020	4,897	15,018,390	3066.91	281,137			35,142		380,760			(210,853)					
S&P Digital			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/01/2019	11/03/2020	4,421	13,559,815	3066.91	256,420			32,052		292,110			(192,315)					
S&P 500 Index Option PTPT			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/04/2019	11/04/2020	4,460	13,730,473	3078.27	245,180			30,648		279,897			(183,885)					
S&P Digital			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/05/2019	11/05/2020	15,514	47,700,144	3074.62	1,100,003			137,500		1,586,853			(825,002)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/07/2019	11/06/2020	635	1,960,089	3085.18	28,421			3,553		37,574			(21,316)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/12/2019	11/12/2020	3,774	11,670,081	3091.84	219,016			27,377		168,562			(164,262)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/14/2018	11/14/2020	38	101,310	2701.58	3,505			219		6,506			(1,314)					
S&P 500 Index Option MAV			Equity/Index	CIBC 21GI19DL770XOHC3ZE78	11/20/2019	11/20/2020	3,396	10,556,827	3108.46	197,396			24,675		148,117			(148,047)					

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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 Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	11/21/2019	11/21/2020	2,775	8,613,030	3103.54	151,589			18,949		100,772			(113,692)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	11/26/2019	11/25/2020	8,688	27,263,891	3140.52	567,077			70,885		579,469			(425,308)				
S&P 500 Index Option MOPPTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	11/26/2019	11/26/2020	6,302	19,791,947	3140.52	249,725			31,216		28,381			(187,293)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	11/27/2019	11/27/2020	16,489	51,999,049	3153.63	1,628,178			203,522		2,166,063			(1,221,134)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/02/2019	12/02/2020	4,560	14,199,031	3113.87	259,574			54,078		260,763			(194,681)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/03/2019	12/03/2020	4,113	12,720,878	3093.2	235,466			49,056		244,506			(176,600)				
Dow Index Option PTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/06/2019	12/04/2020	13,583	45,048,905	28015.06	1,297,486			270,310		1,793,325			(973,114)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/05/2019	12/05/2020	2,615	8,152,586	3117.43	141,740			29,529		140,760			(106,305)				
Dow Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/06/2019	12/06/2020	118	3,297,947	28015.06	59,799			12,458		44			(44,849)				
Dow Index Option PTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/06/2019	12/07/2020	265	7,435,053	28015.06	149,697			31,187		72,566			(112,273)				
Dow Index Option PTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/06/2019	12/08/2020	215	6,034,236	28015.06	109,787			22,872		51,361			(82,340)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/10/2019	12/10/2020	3,736	11,703,254	3132.52	232,717			48,483		230,727			(174,538)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/13/2019	12/11/2020	27,807	87,699,804	3168.8	2,387,582			497,413		3,040,880			(1,790,686)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/12/2019	12/12/2020	3,506	11,081,971	3168.57	200,036			41,166		60,362			(148,197)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/13/2019	12/13/2020	5,179	16,411,146	3168.8	314,328			65,485		96,328			(235,746)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/13/2019	12/14/2020	17,712	56,125,565	3168.8	1,418,898			295,604		1,622,915			(1,064,173)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/13/2019	12/15/2020	19,421	61,539,934	3168.8	1,529,978			318,745		1,716,224			(1,147,483)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/16/2019	12/16/2020	4,489	14,325,361	3191.45	255,302			53,188		46,037			(191,477)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/20/2019	12/18/2020	10,650	34,145,372	3221.22	992,910			206,856		1,228,226			(744,683)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/20/2019	12/21/2020	451	1,453,882	3221.22	21,372			4,453		22,782			(16,029)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/20/2019	12/22/2020	609	1,962,920	3221.22	28,855			6,011		30,736			(21,641)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/24/2019	12/24/2020	1,610	5,188,096	3223.38	87,584			18,247		3,855			(65,688)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/27/2019	12/27/2020	3,439	11,140,927	3240.02	202,720			42,233		4,453			(152,040)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/27/2019	12/28/2020	5,412	17,533,948	3240.02	325,998			67,916		9,043			(244,499)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/27/2019	12/29/2020	4,180	13,544,462	3240.02	264,221			55,046		12,505			(198,166)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	12/31/2019	12/31/2020	707	2,284,608	3230.78	33,584			6,997		35,301			(25,188)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	01/02/2020	01/02/2021	2,163	7,003,294	3257.85	5,463	123,279		36,753		32,021			(89,371)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	01/06/2020	01/06/2021	2,527	8,203,732	3246.28		145,662		42,485		29,988			(103,177)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	01/07/2020	01/07/2021	3,445	11,153,468	3237.18		201,106		58,656		70,543			(142,450)				
S&P Digital			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	01/08/2020	01/08/2021	421	1,369,344	3253.05		19,719		5,751		20,682			(13,967)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	01/09/2020	01/09/2021	1,670	5,467,147	3274.7		95,091		27,735		7,985			(67,356)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG1 19DL770XOHC3ZE78	01/13/2020	01/13/2021	2,747	9,031,449	3288.13		161,866		47,211		4,485			(114,655)				

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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 Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/14/2020	01/14/2021	2,621	8,606,279	3283.15		148,119		43,201		8,279								
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/16/2020	01/15/2021	11,219	37,119,702	3316.81		1,081,762		315,514		989,919								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/16/2020	01/16/2021	1,214	4,025,037	3316.81		73,348		21,393		910								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/24/2020	01/22/2021	2,900	9,621,763	3295.47		162,255		47,324		21,440								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/23/2020	01/23/2021	1,569	5,184,039	3325.54		4,205		25,723		15,154								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/24/2020	01/24/2021	2,296	7,565,070	3295.47		123,481		36,015		3,514								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/24/2020	01/25/2021	3,574	11,778,316	3295.47		215,078		62,731		27,566								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/24/2020	01/26/2021	3,726	12,277,541	3295.47		215,983		62,995		33,504								
Dow Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/27/2020	01/27/2021	126	3,594,691	28535.8		59,810		17,444		25,373								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/29/2020	01/29/2021	19,727	64,279,067	3273.4		1,904,150		555,377		2,122,493								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/30/2020	01/30/2021	2,039	6,694,663	3283.66		112,716		32,876		10,959								
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/31/2020	02/01/2021	11,940	38,511,958	3225.52		1,193,840		348,203		1,522,511								
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	01/31/2020	02/02/2021	9,846	31,757,951	3225.52		902,220		263,148		1,120,116								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/03/2020	02/03/2021	3,255	10,576,813	3248.92		184,217		69,081		50,232								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/04/2020	02/04/2021	3,189	10,517,626	3297.59		176,806		66,302		33,659								
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/05/2020	02/05/2021	18,332	61,219,046	3334.69		1,873,548		702,580		1,962,278								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/06/2020	02/06/2021	2,239	7,491,642	3345.78		119,726		44,897		5,443								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/07/2020	02/07/2021	3,143	10,460,422	3327.71		189,559		71,084		12,761								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/07/2020	02/08/2021	3,110	10,348,533	3327.71		195,304		73,239		16,854								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/07/2020	02/09/2021	3,179	10,579,979	3327.71		190,650		71,494		12,775								
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/10/2020	02/10/2021	10,867	36,425,858	3352.09		817,793		306,672		667,969								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/11/2020	02/11/2021	8,890	29,851,477	3357.75		802,248		300,843		805,433								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/14/2020	02/12/2021	4,521	15,277,212	3380.16		251,566		94,337		49,221								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/13/2020	02/13/2021	2,059	6,946,465	3373.94		114,394		42,898		2,375								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/14/2020	02/16/2021	376	1,272,280	3380.16		18,448		6,918		16,800								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/14/2020	02/17/2021	338	1,143,495	3380.16		16,581		6,218		15,102								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/18/2020	02/18/2021	2,851	9,609,478	3370.29		156,154		58,558		13,904								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/21/2020	02/19/2021	3,623	12,244,158	3337.75		193,936		72,726		48,271								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/20/2020	02/20/2021	1,434	4,836,550	3373.23		89,786		33,670		2,075								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/21/2020	02/22/2021	188	626,855	3337.75		8,964		3,362		8,642								
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/21/2020	02/23/2021	329	1,096,711	3337.75		15,683		5,881		15,118								
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/25/2020	02/25/2021	12,792	40,014,699	3128.21		1,138,711		427,017		1,544,555								
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/28/2020	02/28/2021	3,021	8,925,450	2954.22		203,916		76,468		305,020								

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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 Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	02/28/2020	03/01/2021	3,476	10,269,917	2954.22		194,830		73,061		289,786			(121,769)				
S&P 500 Index Option PTP			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/03/2020	03/03/2021	10,291	30,907,927	3003.37		977,126		447,850		1,639,428			(529,277)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/04/2020	03/04/2021	2,586	8,096,055	3130.12		174,130		79,809		172,915			(94,320)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/05/2020	03/05/2021	3,379	10,219,141	3023.94		223,024		102,219		295,841			(120,805)				
Dow Index Option PTP			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/09/2020	03/09/2021	146	3,490,282	23851.02		68,202		31,259		108,662			(36,943)				
S&P 500 Index Option PTP			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/12/2020	03/12/2021	12,734	31,589,350	2480.64		1,248,035		572,016		3,022,563			(676,019)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/13/2019	03/13/2021	87	244,936	2810.92	6,295			1,443		14,504			(2,361)				
Dow Index Option PTP			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/17/2020	03/17/2021	994	7,606,371	21237.38		139,754		64,054		217,406			(75,700)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/19/2020	03/19/2021	20,120	48,477,807	2409.39		2,346,457		1,075,459		5,720,419			(1,270,997)				
Dow Index Option PTP			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/23/2020	03/23/2021	14,774	36,286,432	18591.93		1,671,365		766,042		5,197,109			(905,323)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/27/2020	03/26/2021	14,834	38,908,340	2541.47		1,530,651		701,548		3,413,926			(829,102)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/27/2019	03/27/2021	89	249,646	2805.37	6,815			1,562		15,454			(2,556)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/27/2020	03/29/2021	608	1,546,478	2541.47		21,651		9,923		29,153			(11,727)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	03/31/2020	03/31/2021	4,558	11,781,850	2584.59		286,918		131,504		602,627			(155,414)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/03/2020	04/01/2021	19,041	47,058,060	2488.65		1,932,825		1,046,947		4,573,665			(885,878)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/03/2020	04/03/2021	3,491	8,687,898	2488.65		210,835		114,202		481,621			(96,633)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/03/2020	04/04/2021	4,399	10,947,762	2488.65		241,449		130,785		556,212			(110,664)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/03/2020	04/05/2021	5,744	14,294,132	2488.65		301,929		163,545		653,924			(138,384)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/08/2020	04/08/2021	4,215	11,592,470	2749.98		282,491		153,016		544,744			(129,475)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/13/2020	04/13/2021	560	1,546,628	2761.63		21,575		11,687		28,612			(9,889)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/14/2020	04/14/2021	4,122	11,732,149	2846.06		252,632		136,843		460,391			(115,790)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/15/2020	04/15/2021	5,724	15,931,122	2783.36		350,978		190,113		649,092			(160,865)				
S&P 500 Index Option PTP			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/16/2020	04/16/2021	43,925	125,003,751	2799.55		5,145,274		2,787,023		9,146,264			(2,358,251)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/17/2020	04/17/2021	3,870	11,127,622	2874.56	8,527	228,486		126,072		402,871			(107,920)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/17/2020	04/18/2021	3,205	9,212,410	2874.56		225,520		122,157		391,543			(103,363)				
S&P 500 Index Option PTP			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/17/2020	04/19/2021	15,282	43,929,985	2874.56		1,551,947		840,638		2,628,789			(711,309)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/22/2020	04/22/2021	3,506	9,813,859	2799.31		221,583		120,024		408,075			(101,559)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/23/2020	04/23/2021	3,772	10,553,211	2797.8		250,830		135,866		461,842			(114,964)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/24/2020	04/24/2021	3,795	10,765,118	2836.74		224,786		121,759		388,901			(103,027)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/24/2020	04/25/2021	3,428	9,725,645	2836.74		227,275		123,107		395,860			(104,168)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/24/2020	04/26/2021	3,537	10,032,255	2836.74		240,022		130,012		416,693			(110,010)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/27/2020	04/27/2021	3,086	8,881,924	2878.48		192,866		104,469		339,527			(88,397)				

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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 Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/29/2020	04/29/2021	3,361	9,881,152	2939.51		230,969		125,108		418,751			(105,861)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	04/30/2020	04/30/2021	14,349	41,789,840	2912.43		1,585,170		858,634		2,661,461			(726,536)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/07/2020	05/07/2021	3,497	10,075,047	2881.19		213,847		133,654		388,383			(80,192)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/11/2020	05/11/2021	12,004	35,174,889	2930.32		1,145,249		715,780		1,863,987			(429,468)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/13/2020	05/13/2021	5,374	15,155,348	2820		331,579		207,237		617,578			(124,342)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/15/2020	05/14/2021	25,498	73,018,182	2863.7		2,864,560		1,790,350		5,059,984			(1,074,210)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/15/2020	05/15/2021	4,677	13,393,593	2863.7		285,691		178,557		524,606			(107,134)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/15/2020	05/16/2021	2,890	8,277,232	2863.7		191,526		119,704		355,028			(71,822)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/15/2020	05/17/2021	17,772	50,895,020	2863.7		1,905,207		1,190,754		3,399,522			(714,453)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/19/2020	05/19/2021	3,882	11,347,529	2922.94		262,053		163,783		473,181			(98,270)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/26/2020	05/26/2021	11,057	33,078,987	2991.77		973,936		608,710		1,469,025			(365,226)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/29/2020	05/29/2021	2,918	8,883,744	3044.31		176,249		110,156		260,146			(66,093)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/29/2020	05/30/2021	2,120	6,454,526	3044.31		138,414		86,509		221,901			(51,905)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	05/29/2020	05/31/2021	2,370	7,213,549	3044.31		138,514		86,571		206,954			(51,943)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/01/2020	06/01/2021	690	2,109,829	3055.73		30,171		21,371		33,965			(8,800)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/03/2020	06/03/2021	3,460	10,806,385	3122.87		232,037		164,360		335,119			(67,678)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/05/2020	06/04/2021	23,231	74,197,620	3193.93		2,313,311		1,638,595		2,941,835			(674,716)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/05/2019	06/05/2021	54	151,937	2826.15		4,102		1,453		11,584			(1,538)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/05/2020	06/07/2021	10,485	33,488,214	3193.93		1,095,285		775,827		1,391,861			(319,458)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/08/2020	06/08/2021	11,883	38,411,864	3232.39		1,148,298		813,378		1,356,445			(334,920)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/12/2020	06/11/2021	17,605	52,894,710	3041.31		1,822,612		1,291,017		2,712,479			(531,595)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/12/2020	06/12/2021	4,261	12,959,987	3041.31		314,133		222,511		456,719			(91,622)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/12/2020	06/13/2021	2,620	7,968,249	3041.31		173,817		123,120		249,719			(50,697)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/12/2020	06/14/2021	3,494	10,626,584	3041.31		218,086		154,478		306,954			(63,609)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/15/2020	06/15/2021	2,760	8,464,243	3066.59		189,834		134,466		272,259			(55,368)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/17/2020	06/17/2021	4,304	13,400,228	3113.49		269,288		190,746		369,934			(78,542)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/18/2020	06/18/2021	4,881	15,187,764	3115.34		262,373		185,848		338,070			(76,526)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/19/2020	06/21/2021	491	1,520,757	3097.74		21,291		15,081		23,810			(6,210)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/25/2020	06/25/2021	18,056	55,591,044	3083.76		1,513,916		1,072,357		2,001,341			(441,559)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/26/2020	06/26/2021	3,148	9,471,187	3009.05		185,356		131,294		285,499			(54,062)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/26/2020	06/27/2021	3,343	10,058,230	3009.05		217,231		153,872		346,384			(63,359)				
S&P Digital			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/26/2020	06/28/2021	3,899	11,731,598	3009.05		239,526		169,664		364,507			(69,862)				
S&P 500 Index Option MAV			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/29/2020	06/29/2021	2,533	7,734,878	3053.24		197,901		140,180		306,627			(57,721)				
S&P 500 Index Option PTPT			Equity/Index	CIBC 2IG119DL770XOHC3ZE78	06/30/2020	06/30/2021	15,400	47,744,689	3100.29		1,160,948		822,338		1,479,739			(338,610)				

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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 Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/02/2020	28,946	90,601,183	3130.01		2,806,392		2,221,727		3,674,492								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/06/2020	5,098	16,208,665	3179.72		309,370		244,918		384,713								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/07/2020	767	2,411,498	3145.32		33,761		26,727		36,648								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/08/2020	13,988	44,340,289	3169.94		1,114,214		882,086		1,344,859								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/10/2020	986	3,141,855	3185.04		45,557		36,066		46,685								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/10/2020	330	1,049,518	3185.04		15,218		12,048		15,582								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/13/2020	12,416	39,176,038	3155.22		1,044,218		826,672		1,265,274								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/14/2020	15,136	48,399,058	3197.52		1,160,305		918,575		1,321,211								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/15/2020	15,181	48,981,148	3226.56		1,195,601		946,517		1,353,185								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/16/2020	26,979	86,972,839	3215.57		2,197,840		1,739,957		2,535,555								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/17/2020	12,977	41,846,397	3224.73		1,168,595		925,138		1,336,731								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/21/2020	14,748	48,040,268	3257.3		1,154,267		913,795		1,274,881								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/22/2020	2,973	9,739,946	3276.02		212,765		168,439		241,031								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/24/2019	36	107,382	3019.56	2,459			973		2,994								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/27/2020	2,962	9,594,227	3239.41		188,501		149,230		223,810								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/28/2020	12,422	39,977,909	3218.44		918,860		727,431		1,021,116								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	07/29/2020	4,331	14,113,485	3258.44		294,559		233,193		350,312								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/03/2020	12,776	42,093,052	3294.61		1,096,880		959,770		1,157,573								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/04/2020	14,894	49,248,117	3306.51		1,132,889		991,278		1,185,349								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/05/2020	3,925	13,062,875	3327.77		259,181		226,783		275,174								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/06/2020	13,645	45,699,196	3349.16		1,196,048		1,046,542		1,200,423								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/07/2020	2,819	9,445,866	3351.28		183,413		160,487		178,481								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/07/2020	3,119	10,451,381	3351.28		235,667		206,208		234,366								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/07/2020	2,435	8,159,487	3351.28		170,068		148,809		162,992								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/11/2020	17,343	57,817,254	3333.69		1,253,596		1,096,897		1,282,729								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/12/2020	4,702	15,893,688	3380.35		314,930		275,564		288,217								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/14/2020	2,784	9,389,904	3372.85		207,065		181,182		193,241								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/14/2020	2,393	8,072,428	3372.85		166,441		145,636		150,962								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/14/2020	2,197	7,408,613	3372.85		171,375		149,953		158,513								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/17/2020	14,772	49,959,221	3381.99		1,198,382		1,048,584		1,129,540								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/18/2020	3,528	11,957,604	3389.78		241,356		211,186		215,315								
S&P Digital			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/19/2020	3,568	12,042,178	3374.85		223,320		195,405		211,256								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/21/2020	3,375	11,429,581	3397.16	6,058	223,097		197,860		204,215								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/21/2020	3,026	10,280,655	3397.16		200,826		175,723		173,214								
S&P 500 Index Option			Equity/Index	CIBC	21GI19DL770XOHC3ZE78	08/21/2020	3,311	11,246,979	3397.16		243,980		213,483		208,982								

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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 Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	08/24/2020	10,609	36,401,820	3431.28		970,812		849,461		838,380			(121,352)					
S&P 500 Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	08/25/2020	3,279	11,291,553	3443.62		238,806		208,955		183,224			(29,851)					
S&P 500 Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	08/26/2020	11,068	38,503,957	3478.73		919,588		804,640		731,861			(114,949)					
S&P 500 Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	08/28/2020	34,683	121,361,307	3508.01		3,099,720		2,712,255		2,289,905			(387,465)					
S&P 500 Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	08/28/2020	10,547	36,997,983	3508.01		1,043,631		913,177		770,200			(130,454)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	08/31/2020	14,712	51,496,154	3500.31		1,298,441		1,136,136		962,584			(162,305)					
S&P 500 Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/01/2020	9,147	32,257,003	3526.65		786,006		753,256		571,966			(32,750)					
S&P 500 Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/02/2020	2,793	10,000,417	3580.84		200,349		192,001		90,032			(8,348)					
Dow Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/04/2020	42,676	153,419,687	28133.31		3,871,491		3,710,179		3,125,989			(161,312)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/04/2020	2,725	10,530,003	28133.31		201,926		193,512		160,708			(8,414)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/04/2020	2,118	9,763,184	28133.31		203,657		195,172		160,766			(8,486)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/04/2020	2,434	9,774,688	28133.31		200,522		192,167		157,671			(8,355)					
Dow Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/04/2020	12,025	43,631,731	28133.31		1,077,073		1,032,195		895,553			(44,878)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/08/2020	3,197	10,651,469	3331.84		223,073		213,778		216,570			(9,295)					
S&P 500 Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/09/2020	11,939	40,581,633	3398.96		905,881		868,136		841,022			(37,745)					
Dow Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/11/2020	14,215	57,242,867	27665.64		1,223,894		1,172,898		1,211,630			(50,996)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/11/2020	102	2,819,974	27665.64		45,654		43,752		44,510			(1,902)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/11/2020	64	1,777,035	27665.64		25,946		24,865		24,819			(1,081)					
Dow Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/11/2020	680	4,847,434	27665.64		84,908		81,370		78,834			(3,538)					
Dow Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/14/2020	12,767	47,295,327	27993.33		1,151,339		1,103,367		1,092,382			(47,972)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/15/2020	11,463	38,989,530	3401.2		848,539		813,183		790,151			(35,356)					
Dow Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/16/2020	3,649	17,450,034	28032.38		336,813		322,779		308,073			(14,034)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/18/2020	38,680	134,249,884	27657.42		3,471,668		3,327,015		3,521,213			(144,653)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/18/2020	3,498	13,926,482	27657.42		261,826		250,917		270,259			(10,909)					
Dow Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/18/2020	2,712	10,122,396	27657.42		198,096		189,842		205,739			(8,254)					
Dow Index Option PTPT			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/18/2020	17,313	63,329,230	27657.42		1,481,406		1,419,681		1,521,981			(61,725)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/21/2020	12,079	39,631,005	3281.06		992,565		951,208		1,063,322			(41,357)					
S&P 500 Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/22/2020	3,163	10,487,657	3315.57		220,006		210,839		232,373			(9,167)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/23/2020	12,142	39,303,620	3236.92		900,683		863,155		991,754			(37,528)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/25/2020	15,777	51,270,814	3298.46		1,160,504		1,112,150		1,317,417			(48,354)					
S&P 500 Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/25/2020	3,340	11,017,265	3298.46		230,366		220,767		251,920			(9,599)					
S&P 500 Index Option MAV			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/25/2020	2,569	8,473,360	3298.46		188,667		180,806		203,570			(7,861)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/25/2020	4,193	13,831,545	3298.46		283,290		271,486		299,913			(11,804)					
S&P Digital			Equity/Index	CIBC	2IGI19DL770XOHC3ZE78	09/29/2020	4,701	15,679,371	3335.47		290,938		278,815		295,155			(12,122)					

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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 Option MAV			Equity/Index	CIBC 21G119DL770XOHC3ZE78	02/19/2020	02/19/2022	31	106,109	3386.15		2,356		1,619		1,015			(736)				
S&P 500 Index Option MAV			Equity/Index	CIBC 21G119DL770XOHC3ZE78	06/03/2020	06/03/2022	42	131,367	3122.87		5,123		4,376		8,748			(747)				
S&P 500 Index Option MAV			Equity/Index	CIBC 21G119DL770XOHC3ZE78	07/08/2020	07/08/2022	38	121,885	3169.94		5,009		4,488		7,931			(522)				
S&P 500 Index Option MAV			Equity/Index	CIBC 21G119DL770XOHC3ZE78	07/22/2020	07/22/2022	52	170,396	3276.02		6,254		5,602		8,103			(651)				
S&P 500 Index Option MAV			Equity/Index	CIBC 21G119DL770XOHC3ZE78	08/19/2020	08/19/2022	34	114,653	3374.85		4,185		3,923		4,125			(262)				
Dow Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/02/2019	10/02/2020	11,278	36,756,467	26078.62	469,178			19,549		123,787			(351,883)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/04/2019	10/04/2020	12,666	37,389,827	2952.01	475,292			19,804					(356,469)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/04/2019	10/05/2020	12,056	35,588,115	2952.01	456,218			19,009					(342,164)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/04/2019	10/06/2020	11,416	33,700,985	2952.01	398,400			16,600					(298,800)				
Dow Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/10/2019	10/09/2020	139	3,694,468	26496.67	72,925			3,039		100,878			(54,694)				
Dow Index Option MAV			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/10/2019	10/10/2020	68	1,809,295	26496.67	30,512			1,271		28,109			(22,884)				
Dow Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/14/2019	10/14/2020	246	6,579,662	26787.36	128,220			5,343		98,841			(96,165)				
Dow Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/15/2019	10/15/2020	152	4,095,178	27024.8	71,318			2,972		47,663			(53,489)				
Dow Index Option MAV			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/17/2019	10/16/2020	308	8,326,883	27025.88	160,115			6,671		124,818			(120,086)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/17/2019	10/17/2020	70	1,880,692	27025.88	30,083			1,253		1			(22,562)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/18/2019	10/18/2020	11,629	34,725,235	2986.2	456,127			19,005					(342,096)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/18/2019	10/19/2020	9,827	29,345,721	2986.2	368,112			15,338					(276,084)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/18/2019	10/20/2020	10,378	30,990,858	2986.2	380,558			15,857					(285,419)				
Dow Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/24/2019	10/23/2020	9,728	37,686,505	26805.53	521,029			21,710		136,665			(390,772)				
Dow Index Option MAV			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/24/2019	10/24/2020	100	2,692,802	26805.53	38,284			1,595		3			(28,713)				
Dow Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/28/2019	10/28/2020	200	5,405,006	27090.72	104,119			4,338		79,859			(78,089)				
Dow Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/29/2019	10/29/2020	197	5,346,039	27071.46	89,547			3,731		54,467			(67,160)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/30/2019	10/30/2020	11,740	37,052,290	3046.77	489,678			19,639		68,347			(353,493)				
Dow Index Option MAV			Equity/Index	CITI E570DZIZ7FF32WFEA76	10/31/2019	10/31/2020	8,066	24,991,627	27046.23	309,897			12,912					(232,423)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	11/01/2019	11/01/2020	9,682	29,694,536	3066.91	372,931			46,616					(279,698)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	11/01/2019	11/02/2020	9,166	28,110,894	3066.91	384,760			48,095					(288,570)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WFEA76	11/01/2019	11/03/2020	8,987	27,563,310	3066.91	355,159			44,395					(266,369)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WFEA76	11/05/2018	11/05/2020	269	451,151	1675.843	14,617			914		4,624			(5,481)				

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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 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/06/2019	11/06/2020	10,094	31,055,828	3076.78	381,290			47,661					(285,967)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/12/2019	11/12/2020	8,610	26,621,875	3091.84	327,660			40,957					(245,745)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/13/2019	11/13/2020	10,472	32,400,809	3094.04	398,364			49,796					(298,773)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/14/2019	11/14/2020	8,237	25,508,128	3096.63	326,550			40,819					(244,912)				
S&P 500 Index Option PTP			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/19/2019	11/19/2020	12,661	39,505,156	3120.18	1,029,320			128,665		1,418,148			(771,990)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/21/2018	11/20/2020	288	481,709	1671.866	15,656			978		6,241			(5,871)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/21/2019	11/21/2020	9,222	28,622,287	3103.54	372,640			46,580					(279,480)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/22/2019	11/22/2020	9,438	29,354,769	3110.29	384,511			48,064					(288,383)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/22/2019	11/23/2020	8,446	26,270,045	3110.29	340,442			42,555					(255,332)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/22/2019	11/24/2020	7,303	22,715,064	3110.29	279,326			34,916					(209,495)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	11/30/2018	11/30/2020	425	718,352	1691.193	23,418			1,464		5,043			(8,782)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/06/2018	12/04/2020	2,537	4,255,924	1676.289	138,916			14,470		49,775			(52,094)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/06/2019	12/06/2020	12,389	38,974,476	3145.91	529,493			110,311					(397,119)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/06/2019	12/07/2020	11,044	32,459,489	3145.91	468,871			89,008		42,141			(320,428)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/06/2019	12/08/2020	11,804	37,133,845	3145.91	469,879			97,891					(352,409)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/10/2018	12/10/2020	643	1,071,834	1666.244	34,727			3,617		17,717			(13,023)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/11/2018	12/11/2020	542	903,208	1666.512	29,174			3,039		14,872			(10,940)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/12/2019	12/12/2020	10,759	34,090,122	3168.57	439,960			91,658					(329,970)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/14/2018	12/14/2020	898	1,492,435	1661.393	48,653			5,068		28,225			(18,245)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/18/2018	12/18/2020	900	1,484,413	1649.673	48,392			5,041		36,871			(18,147)				
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	12/20/2019	12/20/2020	13,600	43,807,692	3221.22	633,406			131,960					(475,055)				

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SCHEDULE DB - PART A - SECTION 1

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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 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	12/20/2019	12/21/2020	11,811	38,046,726	3221.22	564,257		117,554										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	12/20/2019	12/22/2020	13,867	44,668,325	3221.22	614,285		127,976										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	12/27/2019	12/27/2020	10,522	34,091,461	3240.02	498,574		103,870										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	12/27/2019	12/28/2020	18,657	60,049,786	3240.02	881,319		182,213		11,953								
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	12/27/2019	12/29/2020	10,844	35,133,202	3240.02	494,389		102,998										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/10/2020	01/10/2021	11,994	39,164,484	3265.35	606,956		177,029										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/10/2020	01/11/2021	10,165	33,193,346	3265.35	471,672		137,571		258								
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/10/2020	01/12/2021	11,722	38,276,454	3265.35	521,779		152,186										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/21/2020	01/21/2021	7,674	25,484,544	3320.79	328,525		95,820										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/24/2020	01/24/2021	8,827	29,089,894	3295.47	422,833		123,326										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/24/2020	01/25/2021	9,864	32,505,464	3295.47	448,465		130,802										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/24/2020	01/26/2021	10,200	33,613,024	3295.47	468,541		136,658										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/31/2020	01/31/2021	10,813	34,877,989	3225.52	468,723		136,711										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/31/2020	02/01/2021	9,467	30,535,284	3225.52	395,596		115,382										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	01/31/2020	02/02/2021	8,173	26,363,148	3225.52	350,915		102,350										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/14/2020	02/14/2021	8,423	28,469,524	3380.16	401,665		150,624										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/14/2020	02/15/2021	6,689	22,608,557	3380.16	299,976		112,491										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/14/2020	02/16/2021	8,557	28,922,580	3380.16	394,943		148,104										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/14/2020	02/17/2021	9,808	33,151,798	3380.16	452,601		169,726										
MOPTPT																							
S&P 500 Index Option			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/18/2020	02/18/2021	6,526	21,994,465	3370.29	529,302		198,488		518,018								
PTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/21/2020	02/21/2021	9,674	32,290,360	3337.75	448,578		168,217										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/21/2020	02/22/2021	9,752	32,549,232	3337.75	426,427		159,910										
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/21/2020	02/23/2021	9,256	30,895,167	3337.75	411,808		154,428										
MOPTPT																							
SPXDSUN Index Option			Equity/Index	CITI	E570DZIZ7FF32WEFA76	02/26/2020	02/26/2021	4,289	12,321,799	2872.69	159,058		59,647		29,193								
PTPT																							
SPXDSUN Index Option			Equity/Index	CITI	E570DZIZ7FF32WEFA76	03/02/2020	03/02/2021	4,155	11,855,453	2853.62	125,986		57,743		37,175								
PTPT																							
S&P 500 Index Option			Equity/Index	CITI	E570DZIZ7FF32WEFA76	03/05/2020	03/05/2021	10,587	32,014,939	3023.94	1,023,020		468,884		1,614,346								
PTPT																							
S&P 500 Index Option			Equity/Index	CITI	E570DZIZ7FF32WEFA76	03/10/2020	03/10/2021	11,535	33,247,874	2882.23	1,025,317		469,937		1,714,235								
PTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	03/12/2020	03/12/2021	12,198	30,258,013	2480.64	202,594		92,856		860,502								
MOPTPT																							
S&P 500 Indx Opt			Equity/Index	CITI	E570DZIZ7FF32WEFA76	03/13/2020	03/13/2021	12,443	33,731,976	2711.02	264,396		121,182		1,032,065								
MOPTPT																							

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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 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	03/13/2020	03/14/2021	12,248	33,204,299	2711.02		261,506		119,857		972,696			(141,649)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	03/13/2020	03/15/2021	9,312	25,245,913	2711.02		196,310		89,976		883,373			(106,335)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	03/17/2020	03/17/2021	13,484	34,102,657	2529.19		252,171		115,578		801,451			(136,593)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	03/25/2020	03/25/2021	3,636	5,961,323	1639.534		115,435		52,908		177,993			(62,527)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/01/2020	04/01/2021	14,755	36,453,028	2470.5		283,589		153,611		521,219			(129,978)						
S&P 500 Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/06/2020	04/06/2021	12,479	33,241,087	2663.68		1,342,498		727,187		2,797,265			(615,312)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/09/2020	04/09/2021	12,859	35,873,650	2789.82		308,590		167,153		658,260			(141,437)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/09/2020	04/10/2021	10,798	30,123,189	2789.82		253,136		137,115		619,663			(116,021)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/09/2020	04/11/2021	10,686	29,811,585	2789.82		261,336		141,557		942,774			(119,779)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/09/2020	04/12/2021	12,065	33,660,178	2789.82		307,366		166,490		882,457			(140,876)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/16/2020	04/16/2021	11,682	32,703,084	2799.55		268,640		145,513		912,875			(123,127)						
S&P 500 Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/22/2020	04/22/2021	22,373	62,629,178	2799.31		1,733,951		939,223		3,255,138			(794,728)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/24/2020	04/24/2021	11,995	34,026,000	2836.74		270,558		146,552		405,607			(124,006)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/24/2020	04/25/2021	10,359	29,385,427	2836.74		236,759		128,245		435,119			(108,515)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/24/2020	04/26/2021	8,718	24,731,160	2836.74		201,299		109,037		243,403			(92,262)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	04/30/2020	04/30/2021	11,800	34,367,077	2912.43		289,151		156,623		455,267			(132,527)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/01/2020	05/01/2021	11,526	32,626,058	2830.71		275,964		172,478		407,158			(103,487)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/01/2020	05/02/2021	10,664	30,187,846	2830.71		256,342		160,214		261,092			(96,128)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/01/2020	05/03/2021	9,709	27,482,877	2830.71		227,859		142,412		440,915			(85,447)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/04/2020	05/04/2021	11,033	31,362,663	2842.74		266,229		166,393		623,152			(99,836)						
S&P 500 Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/08/2020	05/07/2021	35,181	102,553,191	2929.8		3,197,179		1,998,237		5,285,720			(1,198,942)						
S&P 500 Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/08/2020	05/10/2021	13,831	40,522,867	2929.8		1,581,275		988,297		2,601,740			(592,978)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/15/2020	05/15/2021	13,726	39,307,059	2863.7		344,325		215,203		953,040			(129,122)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/15/2020	05/16/2021	9,857	28,226,565	2863.7		258,087		161,305		691,064			(96,783)						
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/15/2020	05/17/2021	11,481	32,878,508	2863.7		292,901		183,063		707,533			(109,838)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/18/2020	05/18/2021	1,364	2,263,601	1659.311		36,698		22,936		51,984			(13,762)						

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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)	
SPXDSUN Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/19/2020	05/19/2021	5,978	16,850,260	2818.91		158,235		98,897		167,910			(59,338)					
SPXDSUN Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/21/2020	05/21/2021	16,171	47,093,342	2823.13		424,809		265,506		584,866			(159,303)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/29/2020	05/29/2021	9,390	28,585,474	3044.31		256,599		160,374		153,649			(96,224)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/29/2020	05/30/2021	7,712	23,477,902	3044.31		230,867		144,292		246,953			(86,575)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	05/29/2020	05/31/2021	8,125	24,735,247	3044.31		238,100		148,812		264,951			(89,287)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/02/2020	06/02/2021	11,086	34,154,143	3080.82		350,685		248,402		223,598			(102,283)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/05/2020	06/05/2021	9,684	30,931,080	3193.93		316,920		224,485		284,918			(92,435)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/05/2020	06/06/2021	8,942	28,558,922	3193.93		288,668		204,473		378,748			(84,195)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/05/2020	06/07/2021	9,019	28,804,618	3193.93		293,609		207,973		315,488			(85,636)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/12/2020	06/12/2021	12,271	37,319,673	3041.31		332,924		235,821		583,070			(97,103)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/12/2020	06/13/2021	10,275	31,249,875	3041.31		281,267		199,231		536,113			(82,036)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/12/2020	06/14/2021	11,543	35,106,014	3041.31		325,694		230,700		698,049			(94,994)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/19/2020	06/19/2021	12,270	38,009,573	3097.74		340,950		241,506		575,474			(99,444)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/19/2020	06/20/2021	9,279	28,744,017	3097.74		262,263		185,770		428,015			(76,493)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/19/2020	06/21/2021	8,760	27,135,476	3097.74		243,765		172,667		276,826			(71,098)					
S&P 500 Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/26/2020	06/25/2021	25,911	77,968,656	3009.05		2,361,913		1,673,022		3,368,761			(688,891)					
S&P 500 Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/26/2020	06/28/2021	12,567	37,815,363	3009.05		1,161,914		823,022		1,645,859			(338,892)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	06/29/2020	06/29/2021	9,136	27,893,280	3053.24		261,056		184,915		172,512			(76,141)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	07/07/2020	07/07/2021	11,590	36,453,819	3145.32		371,582		294,169		561,077			(77,413)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	07/22/2020	07/22/2021	9,745	31,925,015	3276.02		290,980		230,359		276,399			(60,621)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	07/24/2020	07/24/2021	10,553	33,935,754	3215.63		321,810		254,766		125,227			(67,044)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	07/24/2020	07/25/2021	7,548	24,272,330	3215.63		232,211		183,834		144,529			(48,377)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	07/24/2020	07/26/2021	8,513	27,375,922	3215.63		250,373		198,212		95,409			(52,161)					
S&P 500 Index Option PTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	08/13/2020	08/13/2021	12,051	40,651,521	3373.43		1,018,582		891,259		985,316			(127,323)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	08/18/2020	08/18/2021	9,110	30,882,469	3389.78		304,016		266,014		252,112			(38,002)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	08/24/2020	08/24/2021	7,331	25,153,517	3431.28		259,727		227,261		64,461			(32,466)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	09/11/2020	09/11/2021	7,430	24,822,705	3340.97		221,157		211,942		316,819			(9,215)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	09/11/2020	09/12/2021	6,620	22,115,914	3340.97		189,442		181,548		263,433			(7,893)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CITI E570DZIZ7FF32WEFA76	09/11/2020	09/13/2021	7,791	26,028,397	3340.97		243,463		233,319		347,802			(10,144)					

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SCHEDULE DB - PART A - SECTION 1

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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 Indx Opt			Equity/Index	CITI E570DZIZ7FF32TWEFA76	09/29/2020	09/29/2021	8,361	27,887,494	3335.47		231,165		221,533		354,960			(9,632)					
MOPTPT																							
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32TWEFA76	03/25/2020	03/25/2022	769	1,260,261	1639.534		42,597		31,060		52,746			(11,537)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CITI E570DZIZ7FF32TWEFA76	05/18/2020	05/18/2022	519	861,782	1659.311		29,731		24,157		30,123			(5,575)					
S&P 500 Index Option			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/02/2019	10/02/2020	227	656,620	2887.61	16,941			706					(12,706)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/03/2019	10/03/2020	12,089	35,185,975	2910.63	417,466			17,394					(313,099)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/11/2019	10/09/2020	11,117	32,471,337	2970.27	393,186			16,383		64,691			(294,889)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/11/2019	10/11/2020	10,566	31,383,333	2970.27	405,094			16,879					(303,821)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/11/2019	10/12/2020	10,449	31,035,209	2970.27	421,122			17,547		40,803			(315,841)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/11/2019	10/13/2020	10,695	31,766,206	2970.27	412,421			17,184		39,733			(309,316)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/14/2019	10/14/2020	10,809	32,062,151	2966.15	405,217			16,884		34,137			(303,913)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/15/2019	10/15/2020	3,328	6,185,155	1712.384	118,734			4,947		26,497			(89,050)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/18/2019	10/16/2020	1,904	5,694,494	2986.2	98,586			4,108		92,027			(73,939)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/17/2019	10/17/2020	10,188	30,543,712	2997.95	390,860			16,286					(293,145)					
MOPTPT																							
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/19/2018	10/19/2020	738	1,893,475	1671.411	34,661			1,175		36,718			(21,153)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/18/2019	10/20/2020	638	1,905,865	2986.2	27,635			1,151		41,136			(20,726)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/22/2019	10/22/2020	435	1,302,856	2995.99	18,891			787		27,843			(14,169)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/25/2019	10/23/2020	1,786	5,377,436	3022.55	89,440			3,727		92,677			(67,080)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/24/2019	10/24/2020	8,580	25,827,290	3010.29	319,334			13,306					(239,501)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/25/2019	10/25/2020	9,780	29,560,279	3022.55	385,625			16,068					(289,219)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/25/2019	10/26/2020	10,952	33,103,833	3022.55	444,681			18,528		22,841			(333,511)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/25/2019	10/27/2020	10,302	31,136,803	3022.55	392,117			16,338		32,448			(294,088)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/29/2019	10/29/2020	11,825	35,910,724	3036.89	417,516			17,396		24,063			(313,137)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/30/2019	10/30/2020	12,309	35,638,508	2898.79	565,131			23,547		2,884			(423,848)					
PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/05/2019	11/05/2020	10,875	33,436,481	3074.62	409,273			51,159		25,443			(306,954)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/08/2019	11/06/2020	2,239	5,457,489	3093.08	110,075			10,241		82,283			(61,448)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/08/2019	11/08/2020	9,905	30,638,110	3093.08	386,421			48,303					(289,816)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/08/2019	11/09/2020	9,530	28,827,826	3093.08	422,652			51,259		36,874			(307,552)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/08/2019	11/10/2020	10,612	32,823,990	3093.08	405,414			50,677		37,810			(304,061)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/11/2019	11/11/2020	417	1,286,080	3087.01	18,648			2,331		24,133			(13,986)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/12/2019	11/12/2020	472	1,459,301	3091.84	21,160			2,645		27,187			(15,870)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/15/2019	11/13/2020	9,630	25,190,423	3120.46	428,266			53,533		45,194			(321,200)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/15/2019	11/16/2020	633	1,975,560	3120.46	28,646			3,581		35,528			(21,484)					

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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 Option NXT			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/05/2020	02/05/2021	3,105	6,079,257	3334.69	136,405	35,457		38,872		88,600			(73,313)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/07/2020	02/08/2021	299	994,489	3327.71		14,321		5,370		13,867			(8,950)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/07/2020	02/09/2021	493	1,639,533	3327.71		23,609		8,853		22,857			(14,756)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/10/2020	02/10/2021	985	1,728,069	1753.649		31,210		11,704		2,261			(19,506)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/11/2020	02/11/2021	8,650	20,562,050	1755.722	35,466	319,293		126,385		33,921			(212,858)					
SPXDSUN Index Option PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/12/2020	02/12/2021	5,420	16,109,769	2972.23		226,884		85,081		2,763			(141,802)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/24/2020	02/24/2021	11,563	35,951,507	1732.271		451,840		169,440		5,582			(282,400)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/25/2020	02/25/2021	10,872	34,008,949	3128.21		354,803		133,051		21,378			(221,752)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/27/2020	02/26/2021	21,177	64,463,991	2978.76		709,726		286,147		21,941			(443,578)					
S&P 500 Index Option NXT			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/28/2020	02/28/2021	13,173	38,917,264	2954.22		430,677		161,504		6,387			(269,173)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	02/28/2020	03/01/2021	13,354	39,450,686	2954.22		406,719		152,520		31,098			(254,199)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/02/2020	03/02/2021	10,801	33,378,174	3090.23		380,050		174,189		36,712			(205,860)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/03/2020	03/03/2021	10,285	30,889,747	3003.37		318,042		145,769					(172,273)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/06/2020	03/05/2021	10,359	31,275,530	2972.37		311,372		142,712		50,618			(168,660)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/06/2020	03/06/2021	10,451	31,065,384	2972.37		268,202		122,926		5,249			(145,276)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/06/2020	03/07/2021	11,109	33,019,991	2972.37		283,418		129,900		3,679			(153,518)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/06/2020	03/08/2021	11,867	35,274,264	2972.37		298,519		136,821		31,163			(161,698)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/10/2020	03/10/2021	14,675	42,296,370	2882.23		330,399		151,433		388,389			(178,966)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/11/2020	03/11/2021	12,708	34,836,933	2741.38		246,745		113,091		1,261,901			(133,653)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/16/2020	03/16/2021	13,529	32,280,779	2386.13		229,806		105,328		1,109,527			(124,478)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/18/2020	03/18/2021	16,421	38,284,439	2398.1	83,162	233,898		126,261		894,299			(157,880)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/20/2020	03/19/2021	13,441	32,241,895	2304.92		250,187		114,669		865,600			(135,518)					
S&P 500 Index Option NXT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/20/2020	03/20/2021	15,224	35,089,315	2304.92		295,793		135,572		1,107,310			(160,221)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/20/2020	03/21/2021	13,404	30,894,048	2304.92		228,300		104,638		666,211			(123,663)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/20/2020	03/22/2021	13,834	31,887,056	2304.92		244,135		111,895		770,894			(132,240)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/23/2020	03/23/2021	13,295	29,745,421	2237.4		229,417		105,149		503,412			(124,268)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/24/2020	03/24/2021	1,165	2,849,980	2447.33		50,044		22,937		156,938			(27,107)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/25/2020	03/25/2021	12,689	31,413,454	2475.56		251,092		115,084		530,382			(136,008)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/26/2020	03/26/2021	424	1,116,221	2630.07		15,962		7,316		20,182			(8,646)					
S&P 500 Index Option NXT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/27/2020	03/27/2021	12,791	32,508,963	2541.47		283,528		129,950		302,401			(153,578)					
S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/27/2020	03/28/2021	11,919	30,292,206	2541.47		257,507		118,024		306,393			(139,483)					

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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 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/27/2020	03/29/2021	10,691	27,171,325	2541.47		224,701		102,988		302,041			(121,713)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	03/31/2020	03/31/2021	712	1,840,340	2584.59		26,317		12,062		33,916			(14,255)					
Nasdaq 100 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/01/2020	04/01/2021	1,311	3,239,604	2470.5		55,694		30,168		123,646			(25,527)					
MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/06/2020	04/06/2021	9,166	24,415,457	2663.68		234,319		126,923		527,394			(107,396)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/07/2020	04/07/2021	1,443	3,837,982	2659.41		69,500		37,646		123,160			(31,854)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/09/2020	04/09/2021	1,581	4,409,686	2789.82		63,059		34,157		80,967			(28,902)					
Nasdaq 100 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/09/2020	04/12/2021	469	1,308,155	2789.82		18,707		10,133		23,983			(8,574)					
MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/13/2020	04/13/2021	1,982	3,671,651	2761.63		86,640		46,930		150,306			(39,710)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/15/2020	04/15/2021	12,798	35,620,089	2783.36		308,827		167,281		1,042,505			(141,546)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/17/2020	04/16/2021	1,381	3,970,282	2874.56		55,584		30,108		70,450			(25,476)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/17/2020	04/17/2021	13,869	39,866,237	2874.56		343,793		186,221		771,206			(157,572)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/17/2020	04/18/2021	9,124	26,228,243	2874.56		236,485		128,096		606,292			(108,389)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/17/2020	04/19/2021	9,664	27,780,777	2874.56		254,709		137,967		650,623			(116,742)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/21/2020	04/21/2021	2,072	4,252,447	1650.374		69,072		37,414		89,874			(31,658)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/22/2020	04/22/2021	8,270	17,951,970	1652.233		248,110		134,393		300,690			(113,717)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/23/2020	04/23/2021	12,646	34,042,323	2797.8	66,730	261,599		159,772		445,368			(144,923)					
Nasdaq 100 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/24/2020	04/24/2021	369	1,047,880	2836.74		29,445		15,950		71,565			(13,496)					
MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/28/2020	04/28/2021	1,567	2,599,547	1658.547		52,342		28,352		61,364			(23,990)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	04/29/2020	04/29/2021	3,286	5,885,213	2939.51		120,919		65,498		147,714			(55,421)					
Nasdaq 100 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	05/01/2020	04/30/2021	5,385	8,900,445	1652.924		171,049		106,906		221,450			(64,143)					
MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	05/01/2020	05/03/2021	1,344	2,221,298	1652.924		41,984		26,240		54,061			(15,744)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	05/04/2020	05/04/2021	1,493	2,467,545	1653.149		47,736		29,835		61,517			(17,901)					
Nasdaq 100 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	05/06/2020	05/06/2021	369	1,052,145	2848.42		29,776		18,610		50,419			(11,166)					
MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	05/06/2020	05/06/2021	369	1,052,145	2848.42		29,776		18,610		50,419			(11,166)					

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S&P 500 Indx Opt MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/13/2020	.05/13/2021	10,856	30,613,338	2820		270,984		169,365		647,716			(101,619)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/15/2020	.05/14/2021	17,654	42,696,309	1651.574	70,096	434,900		293,717		1,022,229			(189,373)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/15/2020	.05/17/2021	1,210	1,998,526	1651.574		37,902		23,689		48,263			(14,213)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/20/2019	.05/20/2021	494	832,118	1683.695	26,545			8,295		14,132			(9,954)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/21/2020	.05/21/2021	4,541	7,554,704	1658.911	42,157	129,094		93,858		171,024			(64,219)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/27/2020	.05/27/2021	2,139	3,566,059	1667.171		68,097		42,561		69,296			(25,537)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/28/2020	.05/28/2021	2,498	4,168,070	1666.564	40,034	64,466		52,802		93,271			(39,187)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	.05/29/2020	.05/29/2021	321	978,063	3044.31		25,332		15,832		27,020			(9,499)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.06/03/2019	.06/03/2021	1,164	1,946,483	1672.443	62,287			22,060		41,337			(23,358)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.06/04/2020	.06/04/2021	8,052	13,509,546	1674.71	276,970			196,187		244,582			(80,783)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.06/05/2020	.06/07/2021	1,044	1,754,799	1680.652	35,529			25,166		30,025			(10,363)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	.06/10/2020	.06/10/2021	365	1,164,027	3190.14	31,080			22,015		37,058			(9,065)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.06/12/2020	.06/11/2021	7,367	12,354,592	1667.203	114,896	178,578		167,185		235,348			(95,171)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	.06/12/2020	.06/12/2021	457	1,389,019	3041.31	39,309			27,844		64,614			(11,465)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	.06/12/2020	.06/14/2021	2,377	3,963,026	1667.203	78,055			55,289		82,382			(22,766)					

E06.29

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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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	06/17/2020	06/17/2021	3,010	5,031,727	1671.732		103,302		73,172		101,744			(30,130)					
S&P 500 Indx Opt MOPPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	06/18/2020	06/18/2021	10,002	30,171,051	3115.34	38,098	250,389		190,852		395,922			(87,317)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	06/23/2020	06/23/2021	5,881	16,826,027	3131.29		159,226		112,785		141,010			(46,441)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	06/24/2019	06/24/2021	1,032	1,766,296	1711.268	56,345			19,955		19,128			(21,129)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	06/26/2020	06/25/2021	5,090	8,462,316	1662.432		174,525		123,622		198,029			(50,903)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	06/26/2020	06/28/2021	2,866	4,764,257	1662.432		98,647		69,875		111,853			(28,772)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	06/30/2020	06/30/2021	606	1,879,038	3100.29		26,870		19,033		29,291			(7,837)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/06/2020	07/06/2021	12,902	39,878,517	1672.873		417,684		330,666		615,515			(87,017)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/07/2020	07/07/2021	361	1,136,683	3145.32		29,667		23,487		39,621			(6,181)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/08/2019	07/08/2021	652	1,119,424	1717.995	35,934			14,224		11,011			(13,475)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/09/2020	07/09/2021	4,414	8,253,475	1667.183		156,495		123,892		165,796			(32,603)					
S&P 500 Indx Opt MOPPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/14/2020	07/14/2021	9,804	31,347,864	3197.52		304,481		241,047		490,061			(63,433)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/17/2020	07/16/2021	8,835	16,459,071	1680.448		315,241		249,566		285,830			(65,675)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/17/2020	07/19/2021	2,802	5,396,495	1680.448		103,068		81,595		94,398			(21,472)					
SPXDSUN Index Option PTP			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/20/2020	07/20/2021	5,565	16,102,327	2858.24		156,761		124,103		126,687			(32,659)					
SPXDSUN Index Option PTP			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/21/2020	07/21/2021	8,059	23,317,333	2863.18		228,765		181,105		172,002			(47,659)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	07/22/2020	07/22/2021	4,111	8,184,720	1682.712		155,747		123,300		137,871			(32,447)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	07/23/2020	07/23/2021	18,132	51,573,208	1682.967		553,348		438,067		354,325			(115,281)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	07/24/2020	07/26/2021	542	1,743,974	3215.63		25,113		19,881		25,346			(5,232)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	07/27/2020	07/27/2021	9,119	27,368,280	1683.204		288,059		228,047		132,530			(60,012)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	07/30/2020	07/30/2021	18,966	52,652,196	1681.982		37,446		468,473		418,137			(133,013)					
S&P 500 Indx Opt MOPTPT			Equity/Index	E58DKGMJYYYJLN8C3868	07/31/2020	07/31/2021	9,555	31,255,837	3271.12		298,655		236,435		183,142			(62,220)					
S&P 500 Indx Opt MOPTPT			Equity/Index	E58DKGMJYYYJLN8C3868	07/31/2020	08/01/2021	7,456	24,390,011	3271.12		239,078		189,270		104,007			(49,808)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	07/31/2020	08/02/2021	8,089	26,459,551	3271.12		261,470		206,997		85,696			(54,473)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/03/2020	08/03/2021	691	2,277,631	3294.61		32,798		28,698		31,473			(4,100)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/04/2020	08/04/2021	7,271	19,860,616	1682.532		226,902		198,539		171,984			(28,363)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/07/2020	08/06/2021	957	3,207,229	3351.28		46,505		40,692		43,393			(5,813)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/07/2020	08/09/2021	470	1,575,606	3351.28		22,846		19,991		21,316			(2,856)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/10/2020	08/10/2021	6,384	16,516,629	1691.193		191,884		167,898		117,877			(23,985)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/14/2020	08/13/2021	6,795	17,961,161	3372.85		108,441		164,891		166,297			(61,277)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/14/2020	08/16/2021	489	1,650,792	3372.85		23,936		20,944		22,271			(2,992)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/17/2020	08/17/2021	5,640	15,416,427	1692.431		171,056		149,674		100,999			(21,382)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/21/2020	08/20/2021	15,217	38,304,179	1688.885		528,212		462,185		370,162			(66,026)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/21/2020	08/23/2021	6,289	15,805,114	1688.885		217,756		190,536		157,804			(27,219)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/24/2020	08/24/2021	466	1,599,843	3431.28		23,038		20,158		20,371			(2,880)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/26/2020	08/26/2021	781	2,717,955	3478.73		50,174		43,902		32,410			(6,272)					
S&P Digital			Equity/Index	E58DKGMJYYYJLN8C3868	08/27/2020	08/27/2021	8,952	31,192,810	3484.55		289,070		252,936		77,589			(36,134)					
S&P 500 Indx Opt MOPTPT			Equity/Index	E58DKGMJYYYJLN8C3868	08/28/2020	08/28/2021	7,376	25,875,889	3508.01		249,775		218,553		76,348			(31,222)					
S&P 500 Indx Opt MOPTPT			Equity/Index	E58DKGMJYYYJLN8C3868	08/28/2020	08/29/2021	6,358	22,305,221	3508.01		211,230		184,826		51,013			(26,404)					
S&P 500 Indx Opt MOPTPT			Equity/Index	E58DKGMJYYYJLN8C3868	08/28/2020	08/30/2021	6,431	22,561,346	3508.01		214,003		187,253		76,093			(26,750)					

EO6.31

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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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	08/31/2020	08/31/2021	12,663	40,411,154	1692.896		439,251		384,345		211,669			(54,906)					
SPXDSUN Index Option PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/02/2020	09/02/2021	5,283	15,661,767	2900.87		171,601		164,451		86,010			(7,150)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/05/2019	09/03/2021	557	952,208	1708.974	30,852			14,783		12,736			(11,569)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/04/2020	09/04/2021	252	862,105	3426.96		24,829		23,794		18,637			(1,035)					
SPXDSUN Index Option PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/08/2020	09/08/2021	3,896	11,198,187	2874.54		110,932		106,310		70,575			(4,622)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/09/2020	09/09/2021	1,233	3,595,822	3398.96	19,467	42,802		50,346		47,661			(9,084)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/10/2020	09/10/2021	9,257	19,350,670	1686.882	111,799	230,598		274,560		216,978			(51,533)					
SPXDSUN Index Option PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/14/2020	09/14/2021	4,646	13,419,115	2888.01		143,906		137,910		82,361			(5,996)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/15/2020	09/15/2021	270	918,266	3401.2		25,069		24,024		23,107			(1,045)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/18/2020	09/17/2021	8,524	21,342,288	3319.47		286,166		274,243		194,749			(11,924)					
S&P 500 Indx Opt			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/18/2020	09/18/2021	10,330	34,291,392	3319.47		293,608		281,374		453,650			(12,234)					
MOPTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/18/2020	09/19/2021	8,664	28,759,569	3319.47		250,672		240,228		384,724			(10,445)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/18/2020	09/20/2021	8,978	29,802,848	3319.47		270,349		259,084		370,799			(11,265)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/22/2020	09/22/2021	488	1,617,436	3315.57		22,644		21,701		21,997			(944)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/23/2020	09/23/2021	10,726	30,692,041	1676.433		308,613		295,754		457,830			(12,859)					
SPXDSUN Index Option PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/25/2020	09/24/2021	13,826	35,659,511	2867.24		17,804		425,363		353,652			(24,800)					
Nasdaq 100 Indx Opt MAV			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/25/2020	09/25/2021	285	941,326	3298.46		26,545		25,439		30,011			(1,106)					
SPXDSUN Index Option PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/25/2020	09/27/2021	3,323	9,527,195	2867.24		100,515		96,327		74,578			(4,188)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/28/2020	09/28/2021	558	1,871,744	3351.6		26,017		24,933		25,313			(1,084)					
SPXDSUN Index Option PTPT			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/29/2020	09/29/2021	7,158	20,554,581	2871.59		219,906		210,744		155,347			(9,163)					
S&P Digital			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/30/2020	09/30/2021	596	2,005,096	3363		27,871		26,710		27,141			(1,161)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	10/15/2019	10/15/2021	1,213	2,076,283	1712.384	67,272			35,037		28,435			(25,227)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	11/13/2019	11/12/2021	431	748,900	1735.817	24,414			13,733		7,279			(9,155)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	12/02/2019	12/02/2021	968	1,680,172	1736.243	55,278			33,397		16,942			(20,729)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	02/10/2020	02/10/2022	575	1,008,660	1753.649		32,781		22,537		8,808			(10,244)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	02/11/2020	02/11/2022	736	1,292,650	1755.722		42,140		28,972		10,929			(13,169)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	04/13/2020	04/13/2022	624	1,030,414	1652.453		33,488		25,814		37,997			(7,674)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	04/21/2020	04/21/2022	617	1,018,542	1650.374		32,593		25,124		38,577			(7,469)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	04/22/2020	04/22/2022	580	958,948	1652.233		30,686		23,654		35,627			(7,032)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	04/28/2020	04/28/2022	667	1,106,255	1658.547		35,400		27,288		38,524			(8,113)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	05/01/2020	04/29/2022	947	1,570,163	1652.924		50,314		39,710		55,530			(10,604)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	05/01/2020	05/03/2022	598	989,138	1652.924		31,751		25,798		36,704			(5,953)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	05/04/2020	05/04/2022	440	727,994	1653.149		23,514		19,105		26,964			(4,409)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	05/15/2020	05/13/2022	840	1,388,122	1651.574		45,530		36,993		52,539			(8,537)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	05/21/2020	05/20/2022	348	577,116	1658.911		19,103		15,521		20,284			(3,582)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	05/27/2020	05/27/2022	455	758,175	1667.171		25,020		20,329		24,461			(4,691)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	06/04/2020	06/03/2022	398	666,045	1674.71		21,780		18,603		19,849			(3,176)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	06/05/2020	06/06/2022	442	743,118	1680.652		24,523		20,947		20,744			(3,576)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	06/12/2020	06/10/2022	628	1,047,577	1667.203		34,675		29,618		34,092			(5,057)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	06/17/2020	06/17/2022	457	763,148	1671.732		25,260		21,576		23,739			(3,684)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	06/26/2020	06/24/2022	723	1,201,559	1662.432		40,132		34,279		41,521			(5,853)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	07/09/2020	07/08/2022	359	598,112	1667.183		20,037		17,950		19,813			(2,087)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	07/17/2020	07/15/2022	895	1,504,131	1680.448		50,325		45,083		43,426			(5,242)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	07/17/2020	07/18/2022	444	746,192	1680.448		24,997		22,394		21,527			(2,604)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	07/22/2020	07/22/2022	910	1,532,094	1682.712		51,325		45,979		43,222			(5,346)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/04/2020	08/04/2022	317	533,199	1682.532		17,969		16,846		15,212			(1,123)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/10/2020	08/10/2022	282	476,131	1691.193		15,998		14,998		12,383			(1,000)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/17/2020	08/17/2022	561	949,228	1692.431		32,084		30,079		24,474			(2,005)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	E58DKGMJYYYJLN8C3868	08/21/2020	08/19/2022	640	1,081,661	1688.885		36,668		34,377		29,068			(2,292)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	08/21/2020	08/23/2022	247	417,173	1688.885		14,184		13,297		11,244			(886)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	08/31/2020	08/31/2022	240	405,683	1692.896		13,915		13,045		10,517			(870)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/10/2020	09/09/2022	566	955,507	1686.882		32,774		32,091		26,653			(683)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/17/2020	09/16/2022	331	562,080	1696.22		19,111		18,713		14,210			(398)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	CS E58DKGMJYYYJLN8C3868	09/24/2020	09/23/2022	583	977,728	1678.158		33,573		32,873		30,440			(699)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/01/2018	10/01/2020	3,145	5,378,674	1734.665	115,609			4,528					(81,510)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/04/2019	10/02/2020	15,432	38,928,104	1707.474	640,550			26,690		2,610			(480,412)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/04/2019	10/05/2020	6,597	17,891,850	1707.474	293,890			12,245		844			(220,418)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/04/2019	10/06/2020	7,667	21,940,269	2861.83	342,432			14,268		784			(256,824)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/08/2018	10/08/2020	8,938	20,573,689	1726.741	362,805			14,303		12,229			(257,462)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/11/2018	10/09/2020	8,602	21,551,871	1660.423	385,059			15,178		14,410			(273,201)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/11/2019	10/12/2020	7,600	21,503,282	1711.267	357,205			14,884		2,897			(267,904)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/11/2019	10/13/2020	6,690	19,198,221	2869.74	306,134			12,756		1,504			(229,600)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/14/2019	10/14/2020	6,610	18,945,661	2866.26	279,199			11,633		605			(209,400)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/18/2019	10/16/2020	11,765	33,877,304	2880.65	525,590			21,900		1,865			(394,192)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/18/2019	10/19/2020	7,671	22,098,690	2880.65	366,089			15,254		2,427			(274,567)					

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SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/18/2019	10/20/2020	6,444	18,564,170	2880.65	291,708			12,154		1,274			(218,781)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/21/2019	10/21/2020	7,556	19,673,832	1718.769	298,217			12,426		1,060			(223,662)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/23/2018	10/23/2020	20,474	53,787,241	1665.818	909,382			37,628		12,974			(677,296)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/25/2019	10/26/2020	8,694	23,159,806	2885.61	414,134			16,710		21,602			(300,781)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/25/2019	10/27/2020	6,926	19,987,023	2885.61	310,502			12,938		1,092			(232,876)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/28/2019	10/28/2020	1,377	2,368,810	1720.818	45,798			1,908		1,120			(34,348)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/29/2019	10/29/2020	9,706	23,234,133	2895.36	417,128			17,380		4,223			(312,846)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/01/2019	10/30/2020	14,539	32,266,628	1728.277	588,473			51,623		13,885			(435,070)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/01/2019	11/02/2020	5,712	15,637,340	1728.277	266,556			32,531		5,944			(195,186)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/01/2019	11/03/2020	7,045	20,448,688	2902.38	324,259			40,532		962			(243,195)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/04/2019	11/04/2020	1,186	2,052,355	1730.734	39,366			4,921		648			(29,525)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/05/2019	11/05/2020	8,913	21,697,391	1731.778	355,199			44,400		2,794			(266,399)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/08/2019	11/06/2020	13,951	30,504,321	1735.737	561,954			69,066		9,883			(414,398)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/08/2019	11/09/2020	7,289	19,883,152	1735.737	346,882			43,360		1,882			(260,162)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/08/2019	11/10/2020	6,821	19,891,670	2916.08	321,519			40,190		921			(241,139)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	11/11/2019	11/11/2020	1,193	2,068,888	1734.68	47,378			5,922		738			(35,533)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/12/2019	11/12/2020	8,352	20,474,987	1734.836	343,078			42,885		2,938			(257,309)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/15/2019	11/13/2020	11,676	30,109,399	1740.242	528,594			64,230		11,593			(385,382)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/15/2019	11/16/2020	6,612	17,902,350	1740.242	316,473			37,848		7,660			(227,090)					
SPXDSUN Index Option PTP			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/15/2019	11/17/2020	7,034	20,572,743	2924.81	336,900			42,113		1,334			(252,675)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/18/2019	11/18/2020	8,694	23,392,923	1738.528	388,258			48,532		2,539			(291,194)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/19/2019	11/19/2020	5,458	9,401,442	1736.626	207,576			21,269		24,997			(127,614)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/22/2019	11/20/2020	16,297	39,170,058	1736.153	678,922			84,865		9,337			(509,192)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/22/2019	11/23/2020	6,251	16,790,376	1736.153	288,991			36,124		3,041			(216,743)					
SPXDSUN Index Option PTP			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/22/2019	11/24/2020	5,459	15,935,247	2919.09	267,539			33,442		2,159			(200,655)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/26/2019	11/25/2020	4,170	8,993,763	1743.65	146,928			18,366		1,727			(110,196)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/05/2019	12/04/2020	10,741	30,579,665	1739.088	499,200			104,000		5,025			(374,400)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/10/2019	12/10/2020	7,108	17,434,742	1740.576	299,156			62,324		5,310			(224,367)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/13/2019	12/11/2020	15,615	33,309,658	1748.551	639,786			125,452		47,167			(451,628)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/13/2019	12/14/2020	8,216	22,145,454	1748.551	384,064			80,013		3,677			(288,048)					

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SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/13/2019	12/15/2020	7,151	21,051,093	2943.67	343,617			71,587		2,076			(257,712)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/20/2019	12/18/2020	7,199	12,565,390	1757.877	258,007			51,174		30,008			(184,226)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/20/2019	12/21/2020	1,348	2,310,035	1757.877	55,995			9,009		27,563			(32,431)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/26/2019	12/24/2020	8,928	21,249,947	1759.163	367,577			76,579		4,128			(275,683)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/30/2019	12/30/2020	3,436	6,037,248	1756.966	132,101			27,521		3,227			(99,075)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/03/2020	12/31/2020	12,094	24,827,940	1752.896	121,988	351,762		128,011		9,744			(340,656)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/03/2020	01/04/2021	9,992	25,951,830	1752.896	26,126	435,475		130,824		29,138			(318,259)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/03/2020	01/05/2021	7,477	22,092,347	2954.68		323,084		94,233		1,917			(228,851)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/06/2020	01/06/2021	1,390	2,436,892	1753.574		46,159		13,463		1,799			(32,696)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/07/2020	01/07/2021	3,218	5,626,187	1748.271		122,915		35,850		5,668			(87,065)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/10/2020	01/08/2021	14,241	32,368,055	1750.855		604,375		176,276		16,782			(428,099)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/10/2020	01/11/2021	5,936	16,464,228	1750.855		285,124		83,161		4,822			(201,963)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/10/2020	01/12/2021	7,565	22,336,644	2952.78		326,588		95,255		2,810			(231,333)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/13/2020	01/13/2021	7,270	19,749,664	1757.955		303,856		88,625		3,179			(215,231)					

E06.38

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/14/2020	.01/14/2021	8,906	21,325,826	1757.185		359,241		104,779		6,920			(254,462)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/17/2020	.01/15/2021	17,569	40,888,760	1770.033	97,730	687,869		214,881		84,767			(523,889)					
SPXDSUN Index Option PTP			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/17/2020	.01/19/2021	7,058	21,077,909	2986.41		338,488		98,726		1,705			(239,762)					
SPXDSUN Index Option PTP			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/17/2020	.01/20/2021	5,478	16,359,641	2986.41		230,405		67,201		479			(163,203)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/21/2020	.01/21/2021	2,255	3,982,415	1765.952		84,995		24,790		2,256			(60,205)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/24/2020	.01/22/2021	13,839	35,669,130	1756.989		612,079		178,523		10,065			(433,556)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/24/2020	.01/25/2021	6,907	18,104,673	1756.989	43,109	280,370		88,061		35,846			(214,761)					
SPXDSUN Index Option PTP			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/24/2020	.01/26/2021	6,910	20,493,318	2965.73		316,068		92,186		3,549			(223,881)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/27/2020	.01/27/2021	6,793	18,050,134	1743.539		274,437		80,044		8,904			(194,393)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/28/2020	.01/28/2021	7,813	18,991,167	1748.844		287,206		83,768		10,161			(203,437)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/29/2020	.01/29/2021	25,109	61,610,004	1743.477	27,948	1,003,263		296,694		75,216			(721,125)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/31/2020	.02/01/2021	6,244	16,522,474	1729.078	33,734	242,966		77,190		35,936			(184,751)					
SPXDSUN Index Option PTP			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.01/31/2020	.02/02/2021	5,641	16,470,756	2919.88		243,257		70,950		11,734			(172,307)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.02/03/2020	.02/03/2021	7,500	19,851,671	1733.223		300,852		112,819		16,073			(188,032)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.02/04/2020	.02/04/2021	4,086	7,072,559	1746.356	42,375	116,380		51,588		34,096			(88,628)					

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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

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/07/2020	02/05/2021	13,878	35,975,499	1751.089		594,636		222,988		17,646			(371,647)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/07/2020	02/08/2021	6,677	17,255,554	1751.089	43,361	252,416		102,786		32,692			(174,021)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/07/2020	02/09/2021	7,016	20,755,256	2958.3		285,343		107,004		3,870			(178,339)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/10/2020	02/10/2021	15,201	49,121,527	2963.08		633,495		237,561		1,730			(395,934)					
S&P 500 Indx Opt MOPTPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/11/2020	02/11/2021	11,447	38,437,331	3357.75		497,001		186,375					(310,625)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/14/2020	02/12/2021	22,941	57,344,554	1760.14	60,761	900,932		349,242		52,647			(585,868)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/14/2020	02/16/2021	6,665	18,882,855	1760.14		287,462		107,798		5,149			(179,664)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/14/2020	02/17/2021	4,834	14,380,192	2974.92		182,230		68,336		1,388			(113,894)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/18/2020	02/18/2021	6,690	15,712,065	1756.455		239,251		89,719		9,078			(149,532)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/21/2020	02/19/2021	25,282	71,863,655	1753.583	49,743	1,026,544		394,281		39,810			(660,244)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/21/2020	02/22/2021	6,071	15,520,215	1753.583	30,168	232,793		92,954		19,845			(156,809)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/21/2020	02/23/2021	6,843	20,287,516	2964.92		261,433		98,037		3,870			(163,396)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/24/2020	02/24/2021	4,703	13,777,986	2929.33		170,213		63,830		6,825			(106,383)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/25/2020	02/25/2021	5,076	13,940,604	2885.24	30,945	163,172		66,992		32,782			(113,587)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/27/2020	02/26/2021	14,219	36,189,425	2829.23	184,415	416,389		190,724		291,605			(329,399)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	02/28/2020	03/01/2021	6,805	19,166,782	2816.51		235,827		88,435		133,793			(147,392)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	03/03/2020	03/02/2021	1,896	3,197,390	1686.099		53,571		24,553		42,365			(29,018)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	03/03/2020	03/03/2021	5,540	15,743,238	2841.55		178,798		81,949		72,028			(96,849)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	03/04/2020	03/04/2021	3,060	5,179,222	1692.687		99,768		45,727		55,025			(54,041)					

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SCHEDULE DB - PART A - SECTION 1

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SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/06/2020	.03/05/202122,20255,948,3172846.76164,895598,262	311,992	367,151		(385,894)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/06/2020	.03/08/20216,01716,321,0872846.7636,391146,422	75,450	87,982		(92,958)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/09/2020	.03/09/20214,76013,414,7012817.94	138,417	63,441	96,137		(74,976)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/11/2020	.03/11/20212,4924,137,7781660.695	78,602	36,026	84,473		(42,576)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/12/2020	.03/12/202111,35024,160,3921641.976166,389250,321	152,861	404,989		(197,986)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/15/2019	.03/15/2021436735,3031687.83723,236		5,325	9,753		(8,713)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/16/2020	.03/16/20214,19311,639,0482776.02	112,573	51,596	156,119		(60,977)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/18/2020	.03/18/20215,50715,301,7682778.75	151,546	69,458	195,486		(82,087)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/20/2020	.03/19/202112,52825,502,5411632.707206,845261,284	167,157	472,646		(219,096)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/20/2020	.03/22/20212,2853,787,1821632.70760,38936,896	30,750	87,236		(42,631)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/23/2020	.03/23/20214,11911,355,5862756.89	115,316	52,853	202,685		(62,463)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/24/2020	.03/24/20212,0043,281,3951637.278	74,535	34,162	105,815		(40,373)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/25/2020	.03/25/20214,45512,376,9972778.49	106,986	49,035	153,850		(57,951)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/27/2020	.03/26/202115,24040,014,2082784.31118,074394,340	207,798	549,804		(257,879)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/27/2020	.03/29/20216,22115,684,4832784.3180,530124,166	75,364	191,140		(97,456)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.03/31/2020	.03/31/20217,85419,681,8521644.887	217,451	99,665	289,618		(117,786)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.04/01/2020	.04/01/202124,88056,256,6371640.814188,761625,728	390,059	951,561		(357,577)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	.04/03/2020	.04/05/20218,42419,734,4811641.26175,385219,227	139,165	331,847		(128,748)					

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SCHEDULE DB - PART A - SECTION 1

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/06/2020	04/06/2021	6,703	16,545,651	1648.238		185,763		100,622		235,343			(85,141)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/07/2020	04/07/2021	7,963	18,781,558	1648.723		243,052		131,653		297,703			(111,399)				
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/08/2020	04/08/2021	5,998	15,859,083	2802.48		46,296		94,044		168,880			(86,327)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/09/2020	04/09/2021	26,938	65,294,682	1654.926		160,900		419,315		817,878			(378,270)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/09/2020	04/12/2021	5,757	14,112,313	1654.926		39,643		92,438		176,143			(83,998)				
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/13/2020	04/13/2021	6,451	18,083,192	2803.29		159,394		86,339		179,856			(73,056)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/14/2020	04/14/2021	2,128	3,523,340	1655.748		78,689		42,623		83,331			(36,066)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/15/2019	04/15/2021	965	1,644,581	1704.836		51,640		13,986		16,425			(19,365)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/17/2020	04/16/2021	26,139	63,433,248	1656.443		136,476		416,472		796,340			(372,302)				
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/17/2020	04/19/2021	3,748	10,536,615	2811.14		101,287		54,864		106,206			(46,423)				
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/20/2020	04/20/2021	14,033	39,541,368	2806.96		379,220		205,411		765,970			(173,809)				
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/21/2020	04/21/2021	6,580	18,435,327	2801.6		156,839		84,954		185,371			(71,884)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/22/2019	04/22/2021	2,216	3,770,562	1701.541		119,150		32,270		41,535			(44,681)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/24/2020	04/23/2021	17,924	43,006,970	1653.825		71,324		287,243		586,690			(253,453)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/24/2020	04/26/2021	6,167	14,605,347	1653.825		37,034		102,425		205,055			(92,068)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/27/2020	04/27/2021	6,990	18,557,218	1657.04		200,751		108,740		209,565			(92,011)				
S&P 500 Indx Opt MOPTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	04/28/2020	04/28/2021	10,466	29,967,813	2863.39		281,996		152,748		234,677			(129,248)				

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SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.04/29/2020	.04/29/2021	6,793	18,158,317	2822.14	48,695	131,889		84,628		148,101			(78,709)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/01/2020	.04/30/2021	19,760	51,812,598	2810.57	183,245	429,547		311,157		546,039			(238,919)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/01/2020	.05/03/2021	6,650	17,646,690	2810.57	51,067	152,786		111,450		196,308			(76,445)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/06/2020	.05/06/2021	6,568	17,211,400	2809.28	60,293	129,416		99,726		172,362			(71,141)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/08/2020	.05/07/2021	14,607	37,734,931	2819.86	163,904	304,077		241,268		400,903			(175,493)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/08/2020	.05/10/2021	5,320	14,309,679	2819.86	33,000	136,361		95,538		159,078			(63,510)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/12/2020	.05/12/2021	6,931	19,490,134	2811.95		175,163		109,477		206,078			(65,686)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/14/2020	.05/14/2021	5,470	14,250,793	2808.74	53,798	102,941		81,150		149,837			(58,777)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/17/2019	.05/17/2021	869	1,465,047	1685.622	46,662			14,582		23,853			(17,498)				
S&P 500 Indx Opt MOPPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/18/2020	.05/18/2021	9,683	28,602,335	2953.91		269,572		168,483		495,743			(101,090)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/19/2020	.05/19/2021	1,186	1,964,069	1656.559		39,490		24,682		44,014			(14,809)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/20/2020	.05/20/2021	4,616	13,033,223	2823.49		105,997		66,248		108,583			(39,749)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/22/2020	.05/21/2021	13,322	35,313,815	2822.73	108,072	312,786		229,264		371,269			(157,822)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/22/2020	.05/24/2021	4,755	12,426,460	2822.73	46,191	101,500		77,872		131,085			(55,384)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/22/2020	.05/25/2021	2,607	7,359,792	2822.73		80,637		50,398		81,456			(30,239)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/26/2020	.05/26/2021	11,292	33,071,776	2830.96		326,330		203,956		253,323			(122,374)				
S&P 500 Indx Opt MOPPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/27/2020	.05/27/2021	9,475	28,767,388	3036.13		278,789		174,243		98,471			(104,546)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.05/29/2020	.05/28/2021	16,349	43,144,657	2837.4	145,566	366,761		274,715		416,221			(192,123)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.06/02/2020	.06/02/2021	6,005	17,068,119	2842.31		137,963		97,724		114,306			(40,239)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.06/03/2020	.06/03/2021	4,202	11,977,551	2850.37		104,925		74,322		75,696			(30,603)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.06/05/2020	.06/04/2021	13,758	36,439,207	2861.12	131,764	335,626		284,402		294,603			(147,302)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.06/05/2020	.06/07/2021	4,928	12,781,653	2861.12	60,546	97,287		90,355		89,798			(51,080)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.06/08/2020	.06/08/2021	1,568	2,638,864	1683.306		53,679		38,022		41,164			(15,656)				
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	.06/09/2020	.06/09/2021	6,100	17,443,635	2859.52		144,501		102,355		95,401			(42,146)				

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART A - SECTION 1

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

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/10/2020	06/10/2021	2,005	3,361,191	1676.188		72,569		51,403		63,048								(21,166)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/12/2020	06/11/2021	15,369	38,925,014	2838.51	221,891	306,373		295,600		362,253								(172,568)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/12/2020	06/14/2021	4,971	12,877,150	2838.51	57,850	123,781		108,167		132,485								(57,797)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/16/2020	06/16/2021	5,785	15,230,958	1673.01		150,326		106,481		125,747								(43,845)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/17/2019	06/17/2021	1,460	2,483,314	1700.806	77,976			27,617		32,461								(29,241)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/19/2020	06/18/2021	14,343	37,400,577	2843.9	159,134	318,147		281,714		339,265								(152,468)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/19/2020	06/21/2021	5,105	13,922,600	2843.9	28,250	135,339		105,870		127,763								(50,067)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/24/2020	06/24/2021	6,444	15,923,156	1664.462		189,853		134,479		185,647								(55,374)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/26/2020	06/25/2021	30,701	84,321,850	2830.9	253,467	697,231		583,641		777,914								(298,409)
S&P 500 Indx Opt MCOPTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/26/2020	06/26/2021	11,044	33,232,421	3009.05		320,928		227,324		211,573								(93,604)
S&P 500 Indx Opt MCOPTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/26/2020	06/27/2021	9,388	28,249,421	3009.05		233,006		165,046		158,751								(67,960)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/26/2020	06/28/2021	11,986	34,804,319	2830.9	27,040	333,269		245,642		283,386								(107,343)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/29/2020	06/29/2021	5,016	13,505,925	1666.93		133,421		94,507		128,386								(38,914)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/30/2020	06/30/2021	1,187	1,981,986	1669.491		41,843		29,639		39,925								(12,204)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/01/2019	07/01/2021	668	1,146,232	1715.916	36,565			14,474		11,525								(13,712)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/02/2020	07/02/2021	12,271	34,359,138	2845.05	26,947	327,626		270,037		294,537								(78,361)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/07/2020	07/07/2021	7,420	21,113,481	2845.51		181,993		144,078		159,418								(37,915)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/10/2020	07/09/2021	17,384	45,794,695	2846.36	177,484	381,768		372,487		405,064								(146,091)
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/10/2020	07/12/2021	4,940	13,013,245	2846.36	51,313	112,990		109,761		116,721								(42,782)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/13/2020	07/13/2021	638	1,065,478	1671.205		25,785		20,413		24,439								(5,372)

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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

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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)	
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/15/2020	.07/15/2021	5,147	13,586,633	2861.13	54,705	101,139		101,723		88,562			(41,585)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/18/2019	.07/16/2021	1,475	2,532,011	1717.851	80,837			31,998		26,111			(30,314)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/19/2019	.07/19/2021	933	1,598,916	1714.179	50,846			20,126		17,482			(19,067)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/20/2020	.07/20/2021	1,130	1,895,937	1677.845	39,764			31,480		34,220			(8,284)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/22/2020	.07/22/2021	6,313	17,099,054	2866.7	47,381	134,512		125,244		105,674			(45,791)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/23/2019	.07/23/2021	6,098	10,502,027	1722.026	338,461			133,974		98,850			(126,923)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/26/2019	.07/26/2021	644	1,111,740	1726.07	36,132			14,302		9,788			(13,549)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/29/2019	.07/29/2021	892	1,539,635	1725.122	49,884			19,746		13,940			(18,707)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.07/30/2019	.07/30/2021	2,428	4,192,427	1726.584	136,673			54,100		36,967			(51,252)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.08/02/2019	.08/02/2021	2,309	3,926,996	1700.669	128,805			56,352		56,964			(48,302)					
S&P 500 Indx Opt MOPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.08/04/2020	.08/04/2021	8,599	28,431,790	3306.51		294,452		257,645		320,257			(36,806)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.08/08/2019	.08/06/2021	2,805	4,753,258	1702.187	155,907			68,209		77,256			(58,465)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.08/09/2019	.08/09/2021	1,211	2,057,594	1698.922	66,460			29,076		31,201			(24,923)					
S&P 500 Indx Opt MOPPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.08/11/2020	.08/11/2021	10,114	33,717,318	3333.69		338,328		296,037		454,436			(42,291)					
SPXDSUN Index Option PTPT			Equity/Index	JPM 7H6GLXDRUGQFU57RNE97	.08/12/2020	.08/12/2021	4,199	12,118,640	2886.12		113,545		99,352		58,725			(14,193)					

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART A - SECTION 1

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

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/14/2019	08/13/2021	906	1,525,447	1683.762	49,424			21,623		29,972			(18,534)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/16/2019	08/16/2021	1,157	1,960,773	1694.351	63,137			27,622		32,557			(23,676)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/18/2020	08/18/2021	1,166	1,971,671	1691.319		38,115		33,350		26,754			(4,764)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/21/2019	08/20/2021	639	1,086,942	1699.923	35,217			15,407		16,542			(13,206)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/23/2019	08/23/2021	1,236	2,088,101	1688.826	67,237			29,416		38,409			(25,214)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/29/2019	08/27/2021	1,922	3,257,639	1700.145	105,750			46,266		54,480			(39,656)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/30/2019	08/30/2021	1,428	2,429,622	1701.116	78,720			34,440		36,912			(29,520)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/02/2020	09/02/2021	1,053	1,791,729	1701.983		36,792		35,259		22,115			(1,533)					
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/03/2020	09/03/2021	4,859	11,472,919	2886.8	119,443	70,041		124,356		91,212			(47,709)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/08/2020	09/08/2021	499	841,226	1686.401		21,115		20,235		16,471			(880)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/12/2019	09/10/2021	357	613,212	1719.532	19,500			9,344		6,902			(7,313)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/13/2019	09/13/2021	1,296	2,227,411	1718.629	70,609			33,833		25,654			(26,478)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/14/2020	09/14/2021	855	1,449,279	1694.198		30,817		29,533		21,123			(1,284)					
S&P 500 Indx Opt MOPTPT			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/16/2020	09/16/2021	9,877	32,373,938	3385.49	34,687	280,166		285,114		360,988			(24,681)					

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART A - SECTION 1

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/19/2019	09/17/2021	1,523	2,614,474	1715.875	82,879			39,713		31,686			(31,080)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/20/2019	09/20/2021	618	1,058,308	1713.787	33,686			16,141		13,490			(12,632)						
S&P 500 Indx Opt MOPTPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/22/2020	09/22/2021	8,434	27,964,404	3315.57		248,022		237,688		379,546			(10,334)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/23/2019	09/23/2021	757	1,296,677	1713.966	41,234			19,758		16,564			(15,463)						
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/24/2020	09/24/2021	5,830	14,351,831	2861.13	110,653	102,397		151,151		125,448			(45,762)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/27/2019	09/27/2021	794	1,360,290	1714.255	43,257			20,727		17,430			(16,221)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/28/2020	09/28/2021	2,069	3,490,340	1687.158		87,259		83,623		69,477			(3,636)						
SPXDSUN Index Option PTPPT			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	09/30/2020	09/30/2021	5,823	15,847,750	2876.71	42,954	142,741		157,375		110,735			(22,055)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/02/2019	10/01/2021	3,498	5,950,626	1695.382	192,583			100,304		96,000			(72,219)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/04/2019	10/04/2021	626	1,069,384	1707.474	34,434			17,934		15,570			(12,913)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/08/2019	10/08/2021	1,651	2,796,801	1693.963	89,498			46,613		50,877			(33,562)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/11/2019	10/11/2021	273	467,247	1711.267	14,765			7,690		6,471			(5,537)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/21/2019	10/21/2021	756	1,298,560	1718.769	41,294			21,507		16,163			(15,485)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	10/24/2019	10/22/2021	512	880,498	1718.296	28,088			14,629		11,069			(10,533)						

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART A - SECTION 1

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

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	10/25/2019	10/25/2021	1,309	2,250,246	1719.128	71,558			37,270		28,060			(26,834)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	10/28/2019	10/28/2021	1,178	2,026,980	1720.818	64,661			33,677		24,711			(24,248)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	10/30/2019	10/29/2021	3,904	6,730,501	1726.445	214,259			111,593		77,896			(80,347)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/01/2019	11/01/2021	494	853,660	1728.277	27,146			15,270		9,236			(10,180)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/04/2019	11/04/2021	570	987,070	1730.734	31,488			17,712		10,300			(11,808)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/07/2019	11/05/2021	4,326	7,499,620	1734.697	238,488			134,149		74,543			(89,433)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/08/2019	11/08/2021	566	982,070	1735.737	31,083			17,484		9,472			(11,656)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/11/2019	11/11/2021	764	1,325,258	1734.68	42,143			23,706		13,111			(15,804)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/12/2019	11/12/2021	1,400	2,429,484	1734.836	77,986			43,867		24,024			(29,245)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/15/2019	11/15/2021	413	718,438	1740.242	22,918			12,891		6,503			(8,594)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/18/2019	11/18/2021	323	562,257	1738.528	17,767			9,994		5,283			(6,663)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/21/2019	11/19/2021	1,461	2,535,450	1733.697	80,536			45,301		25,150			(30,201)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/22/2019	11/22/2021	389	675,465	1736.153	21,277			11,968		6,675			(7,979)					

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART A - SECTION 1

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

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	11/26/2019	11/26/2021	887	1,546,698	1743.65	49,649			27,928		13,526			(18,618)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/05/2019	12/03/2021	345	600,469	1739.088	19,395			11,718		5,779			(7,273)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/12/2019	12/10/2021	2,143	3,735,659	1751.851	118,794			71,771		34,229			(44,548)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/13/2019	12/13/2021	770	1,346,251	1748.551	43,080			26,028		11,241			(16,155)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/18/2019	12/17/2021	475	830,938	1749.316	26,756			16,165		6,910			(10,034)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/20/2019	12/20/2021	762	1,340,055	1757.877	42,748			25,827		9,641			(16,030)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/26/2019	12/23/2021	1,431	2,515,625	1759.163	80,649			48,726		18,215			(30,243)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	12/30/2019	12/30/2021	776	1,364,185	1756.966	43,654			26,374		10,229			(16,370)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/02/2020	12/31/2021	1,073	1,887,353	1759.44	44,566	16,157		37,360		13,680			(22,434)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/03/2020	01/03/2022	603	1,057,603	1752.896		33,949		21,925		8,599			(12,024)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/06/2020	01/06/2022	730	1,280,516	1753.574		41,873		27,043		10,361			(14,830)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/09/2020	01/07/2022	2,274	3,981,177	1754.345		129,899		83,893		34,019			(46,006)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	01/10/2020	01/10/2022	426	746,390	1750.855		24,407		15,763		6,387			(8,644)					

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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

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	01/13/2020	01/13/2022	299	525,754	1757.955		17,140		11,069		4,008			(6,070)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	01/17/2020	01/14/2022	3,365	5,919,809	1770.033		192,931		124,601		44,493			(68,330)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	01/23/2020	01/21/2022	1,981	3,498,146	1765.595		113,164		73,085		23,722			(40,079)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	01/27/2020	01/27/2022	424	739,134	1743.539		23,800		15,371		7,406			(8,429)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	01/29/2020	01/28/2022	3,218	5,608,139	1743.477		180,907		116,836		57,426			(64,071)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	02/03/2020	02/03/2022	625	1,082,832	1733.223		36,058		24,790		12,954			(11,268)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	02/04/2020	02/04/2022	457	798,065	1746.356		26,496		18,216		7,760			(8,280)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	02/07/2020	02/07/2022	487	852,403	1751.089		28,556		19,632		7,717			(8,924)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	02/12/2020	02/11/2022	675	1,186,367	1758.793		39,743		27,324		9,528			(12,420)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	02/14/2020	02/14/2022	540	950,710	1760.14		31,944		21,961		7,514			(9,982)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	02/21/2020	02/18/2022	1,955	3,432,889	1753.583		115,120		79,145		29,322			(35,975)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	03/03/2020	03/02/2022	334	563,680	1686.099		14,817		10,804		13,583			(4,013)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGOFU57RNE97	03/05/2020	03/04/2022	660	1,114,130	1683.068		40,219		29,326		26,004			(10,893)					

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SCHEDULE DB - PART A - SECTION 1

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	03/12/2020	03/11/2022	1,177	1,948,782	1641.976		64,956		47,364		68,658			(17,592)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	03/20/2020	03/18/2022	1,384	2,260,279	1632.707		72,329		52,740		101,133			(19,589)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	03/24/2020	03/24/2022	1,285	2,103,342	1637.278		60,997		44,477		90,065			(16,520)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	03/31/2020	03/31/2022	515	847,362	1644.887		24,065		17,547		33,634			(6,518)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	04/03/2020	04/01/2022	2,915	4,783,017	1641.261		136,126		104,930		197,856			(31,196)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	04/06/2020	04/06/2022	380	626,551	1648.238		18,107		13,958		24,078			(4,150)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	04/07/2020	04/07/2022	864	1,424,883	1648.723		41,179		31,742		54,504			(9,437)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	04/09/2020	04/08/2022	475	786,481	1654.926		23,044		17,763		28,152			(5,281)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	04/17/2020	04/14/2022	2,846	4,712,508	1656.443		132,824		102,386		167,273			(30,439)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	04/24/2020	04/22/2022	586	969,213	1653.825		26,460		20,396		35,398			(6,064)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	04/27/2020	04/27/2022	202	334,540	1657.04		9,467		7,298		11,835			(2,170)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	05/19/2020	05/19/2022	581	962,778	1656.559		27,150		22,060		34,682			(5,091)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/08/2020	06/08/2022	599	1,007,960	1683.306		28,424		24,279		27,330			(4,145)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/10/2020	06/10/2022	819	1,372,450	1676.188		38,566		32,942		40,426			(5,624)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/16/2020	06/16/2022	329	549,674	1673.01		15,501		13,240		16,847			(2,261)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/24/2020	06/24/2022	1,626	2,706,837	1664.462		76,874		65,663		91,532			(11,211)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/29/2020	06/29/2022	296	493,155	1666.93		14,499		12,384		16,290			(2,114)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	06/30/2020	06/30/2022	667	1,113,922	1669.491		32,415		27,688		35,813			(4,727)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/13/2020	07/13/2022	384	642,123	1671.205		18,686		16,739		20,434			(1,946)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	07/20/2020	07/20/2022	699	1,173,342	1677.845		34,144		30,588		34,888			(3,557)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	08/18/2020	08/18/2022	659	1,114,893	1691.319		34,896		32,715		29,131			(2,181)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/02/2020	09/02/2022	569	967,975	1701.983		29,523		28,908		22,665			(615)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/08/2020	09/08/2022	220	371,278	1686.401		11,287		11,052		10,404			(235)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/14/2020	09/14/2022	339	574,181	1694.198		17,398		17,035		14,826			(362)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	JPM 7H6GLXDRUGGFU57RNE97	09/28/2020	09/28/2022	530	893,913	1687.158		27,086		26,521		25,191			(564)					
S&P 500 Indx Opt MOPTPT			Equity/Index	MS 4PQUHNSJPFGFNF3BB653	10/01/2019	10/01/2020	10,092	29,673,706	2940.25	358,137		14,922						(268,603)					
S&P 500 Indx Opt MOPTPT			Equity/Index	MS 4PQUHNSJPFGFNF3BB653	10/10/2019	10/10/2020	11,346	33,335,542	2938.13	414,419		17,267						(310,814)					
S&P 500 Indx Opt MOPTPT			Equity/Index	MS 4PQUHNSJPFGFNF3BB653	11/04/2019	11/04/2020	10,469	32,225,312	3078.27	397,618		49,702						(298,213)					

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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

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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)	
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	02/18/2020	02/18/2021	323		292.32		52,018		19,507		21,732			(32,511)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	02/24/2020	02/24/2021	447		279.61		71,156		26,683		42,564			(44,472)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	02/27/2020	02/26/2021	(11,620)	(3,092,040)	268.62		(125,265)		(46,974)		(273,810)			78,291					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	02/27/2020	02/27/2021	12,178	3,092,040	257.67		204,271		76,602		371,379			(127,669)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	03/02/2020	03/02/2021	411		267.03		58,756		26,930		57,632			(31,826)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	03/03/2020	03/03/2021	788		259.17		107,725		49,374		133,735			(58,351)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	05/18/2020	05/18/2021	484		245.97		67,144		41,965		93,700			(25,179)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	05/19/2020	05/19/2021	735		242.07		107,975		67,485		147,116			(40,491)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	05/26/2020	05/26/2021	336		249.95		50,897		31,811		63,243			(19,086)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	06/09/2020	06/09/2021	681		272.72		104,958		74,346		97,848			(30,613)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	06/25/2020	06/25/2021	487		257.46		72,155		51,110		87,094			(21,045)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	07/22/2020	07/22/2021	638		270.06		95,647		75,720		99,032			(19,926)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	07/29/2020	07/29/2021	832		274.69		116,975		92,605		137,721			(24,370)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	08/05/2020	08/05/2021	855		281.54		122,968		107,597		126,209			(15,371)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	08/10/2020	08/10/2021	555		277.91		86,893		76,032		77,013			(10,862)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	08/11/2020	08/11/2021	544		276.87		86,454		75,647		76,038			(10,807)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	08/13/2020	08/13/2021	354		278.97		57,940		50,697		47,765			(7,242)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	08/20/2020	08/20/2021	378		283.64		60,585		53,012		53,976			(7,573)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	08/24/2020	08/24/2021	506		283.08		78,468		68,659		63,692			(9,808)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	08/27/2020	08/27/2021	432		284.92		70,054		61,298		52,607			(8,757)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	09/01/2020	09/01/2021	349		286.46		59,032		56,573		42,847			(2,460)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	09/02/2020	09/02/2021	679		301.2		104,234		99,891		66,005			(4,343)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	09/17/2020	09/17/2021	435		279.02		70,233		67,306		60,985			(2,926)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	09/21/2020	09/21/2021	361		271.48		54,555		52,282		53,571			(2,273)					
Dow Index Option PTPT			Equity/Index	OCC 549300CI I6SLYGKNHA04	09/22/2020	09/22/2021	584		272.88		91,092		87,297		87,863			(3,796)					
UST 1.625% 08/15/29 Total Return Options			Equity/Index	RBC ES71P3U9RH1GC71XBU11	10/02/2019	10/02/2020	298,013	30,225,888	98	420,661			17,055		643,798			(306,998)					

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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 Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/04/2019	10/04/2020	5,164	15,245,540	2952.01	323,340		13,473		580,833			(242,505)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/04/2019	10/05/2020	4,084	12,056,564	2952.01	253,548		10,565		453,646			(190,161)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/04/2019	10/06/2020	4,234	12,499,284	2952.01	258,576		10,774		467,329			(193,932)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/15/2019	10/15/2020	3,844	11,514,041	2995.68	206,070		8,586		358,187			(154,553)				
UST 1.625% 08/15/29 Total Return Options			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/16/2019	10/16/2020	222,848	22,552,949	98	314,861		12,810		473,741			(230,573)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/21/2019	10/21/2020	4,730	14,222,071	3006.72	263,784		10,991		417,977			(197,838)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/22/2018	10/22/2020	286	476,423	1668.617	15,350		320		5,896			(5,756)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	10/29/2018	10/29/2020	918	1,519,142	1654.033	48,901		1,019		31,247			(18,338)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/01/2019	10/30/2020	4,422	16,821,368	27347.36	310,596		19,289		405,376			(232,947)				
Dow Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/01/2019	11/01/2020	126	3,442,960	27347.36	66,926		8,366					(50,194)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/01/2019	11/02/2020	211	5,762,261	27347.36	106,047		13,256		59,922			(79,535)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/01/2019	11/03/2020	164	4,471,976	27347.36	84,155		10,519		41,580			(63,116)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/05/2019	11/05/2020	159	4,375,329	27492.63	75,594		9,449		44,904			(56,695)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/06/2019	11/06/2020	3,586	11,034,074	3076.78	197,065		24,633		277,138			(147,799)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/11/2019	11/11/2020	3,678	16,016,231	27691.49	293,777		36,722		256,390			(220,333)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/12/2019	11/12/2020	206	5,700,576	27691.49	102,024		12,753		48,383			(76,518)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/14/2019	11/13/2020	6,602	16,829,113	1736.295	320,467		38,213		204,797			(229,279)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/15/2019	11/15/2020	3,957	12,346,730	3120.46	225,264		28,158		182,424			(168,948)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/15/2019	11/16/2020	3,230	10,077,832	3120.46	194,469		24,309		100,896			(145,852)				
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/15/2019	11/17/2020	4,311	13,451,976	3120.46	260,480		32,560		195,618			(195,360)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/18/2019	11/18/2020	205	5,739,731	28036.22	103,194		12,899		54,495			(77,395)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/19/2019	11/19/2020	4,115	16,696,206	27934.02	308,826		38,603		191,554			(231,619)				
S&P 500 Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/21/2019	11/20/2020	10,295	31,951,905	3103.54	972,009		121,501		1,380,553			(729,007)				
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/29/2019	11/27/2020	3,192	21,370,870	28051.41	418,342		51,208		178,575			(307,251)				
Dow Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/27/2019	11/28/2020	1,576	5,825,810	28164	116,415		14,552		17,081			(87,311)				
Dow Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBUI1	11/29/2019	11/29/2020	3,401	12,796,257	28051.41	246,514		30,814		85,555			(184,885)				

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Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	11/29/2019	4,746	21,599,637	28051.41	419,975			52,497		212,321				(314,981)					
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	11/29/2019	4,760	19,965,681	28051.41	378,916			47,365		158,246				(284,187)					
S&P 500 Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/03/2019	14,247	42,560,980	3093.2	1,129,229			229,128		1,504,590				(824,860)					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/04/2019	252,268	25,042,000	98	325,000			67,708		496,494				(243,750)					
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/09/2019	4,052	12,705,640	3135.96	242,578			50,537		215,186				(181,934)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/13/2018	824	1,375,076	1668.685	44,016			4,585		21,365				(16,506)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/17/2018	802	1,324,478	1650.784	42,582			4,436		32,088				(15,968)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/19/2019	499	1,599,449	3205.37	23,512			4,898		25,438				(17,634)					
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/23/2019	12,624	45,799,558	28551.53	1,030,734			214,736		1,118,900				(773,050)					
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/24/2019	419	4,221,259	28515.45	59,786			12,455		32,860				(44,839)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	12/30/2019	16,906	54,459,239	3221.29	1,338,972			278,953		1,575,423				(1,004,229)					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/02/2020	212,071	31,376,541	98	126,743	316,999		118,863		480,771				(319,599)					
Dow Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/02/2020	82	2,380,572	28868.8		43,565		12,706						(30,858)					
Dow Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/07/2020	547	4,561,939	28583.68	21,399	71,151		23,873		50,177				(58,423)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/09/2019	206	340,564	1651.044	10,772			1,571		8,490				(4,040)					
S&P 500 Index Option PTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/13/2020	9,402	30,915,072	3288.13		747,641		218,062		810,080				(529,579)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/14/2020	343	1,127,000	3283.15		16,567		4,832		16,525				(11,735)					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/15/2020	194,493	48,573,130	98		641,043		186,971		345,411				(454,072)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/17/2020	660	2,198,177	3329.62		32,181		9,386		30,714				(22,795)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/17/2020	406	1,353,140	3329.62		19,810		5,778		18,902				(14,032)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/23/2020	689	2,290,687	3325.54		33,466		9,761		32,188				(23,705)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	01/28/2020	200	656,799	3276.24		9,583		2,795		9,634				(6,788)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	02/05/2020	3,001	10,008,464	3334.69		184,698		69,262		17,700				(115,436)					
S&P 500 Indx Opt			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	02/06/2020	8,772	29,348,129	3345.78		404,668		151,751						(252,918)					
MOPTPT			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	02/11/2020	285	958,037	3357.75		13,853		5,195		12,960				(8,658)					
S&P Digital			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	02/12/2020	11,512	38,902,960	3379.45		1,203,564		451,336		1,155,286				(752,227)					
UST 1.50% 02/15/30 Total Return Options			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	02/20/2020	175,035	17,411,000	100		225,000		84,375		377,738				(140,625)					
S&P 500 Index Option MAV			Equity/Index	RBC	ES71P3U3RHI GC71XBU11	02/20/2019	42	118,189	2784.7		3,105		582		7,379				(1,164)					

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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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	02/25/2020	02/25/2021	4,043	6,897,204	1705.977		149,926		56,222		52,591			(93,704)					
UST 1.50% 02/15/30 Total Return Options			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	02/26/2020	02/26/2021	174,213	17,294,000	98		220,000		82,500		345,707			(137,500)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/03/2020	03/03/2021	533	1,601,558	3003.37		22,390		10,262		27,483			(12,128)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/05/2020	03/05/2021	344	1,039,082	3023.94		14,609		6,696		17,639			(7,913)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/10/2020	03/10/2021	4,435	12,783,780	2882.23		273,044		125,145		438,880			(147,899)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/11/2019	03/11/2021	594	998,494	1682.361	31,313			7,176		14,775			(11,742)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/16/2020	03/16/2021	4,318	10,303,733	2386.13		254,279		116,545		571,018			(137,734)					
Dow Index Option PTPT			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/20/2020	03/19/2021	350	6,713,932	19173.98		118,651		54,382		196,906			(64,269)					
Dow Index Option MAV			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/20/2020	03/20/2021	3,702	11,704,503	19173.98		259,684		119,022		616,761			(140,662)					
Dow Index Option MAV			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/20/2020	03/21/2021	4,484	11,693,393	19173.98		293,938		134,722		695,417			(159,216)					
Dow Index Option PTPT			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/20/2020	03/22/2021	4,645	14,519,259	19173.98		350,402		160,601		800,407			(189,801)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/23/2020	03/23/2021	4,391	9,825,146	2237.4		242,853		111,308		673,381			(131,545)					
S&P 500 Index Option MAV			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/25/2020	03/25/2021	3,297	8,161,345	2475.56		220,244		100,945		536,445			(119,299)					
Dow Index Option PTPT			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	03/30/2020	03/30/2021	3,848	13,878,836	22327.48		306,333		140,402		584,821			(165,930)					
UST 1.50% 02/15/30 Total Return Options			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/01/2020	04/01/2021	241,065	27,120,360	98		368,077		199,375		335,314			(168,702)					
S&P 500 Index Option MAV			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/02/2020	04/02/2021	3,329	9,721,590	2526.9		201,980		109,406		441,405			(92,574)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/06/2020	04/06/2021	617	4,558,914	2663.68		85,649		46,393		126,749			(39,256)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/08/2020	04/08/2021	614	1,688,097	2749.98		22,958		12,436		31,427			(10,522)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/16/2020	04/16/2021	550	1,539,164	2799.55		21,025		11,389		28,067			(9,636)					
Dow Index Option PTPT			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/20/2020	04/20/2021	168	3,984,406	23650.44		80,085		43,380		112,131			(36,706)					
Dow Index Option PTPT			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/22/2020	04/22/2021	164	3,855,507	23475.82		83,168		45,049		127,976			(38,119)					
Dow Index Option PTPT			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	04/28/2020	04/28/2021	255	6,150,260	24101.55		125,169		67,800		171,324			(57,369)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/01/2020	04/30/2021	244,068	33,125,668	2830.71		458,221		252,480		479,770			(205,741)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/01/2020	05/03/2021	670	1,896,840	2830.71		26,575		16,609		33,928			(9,966)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/04/2020	05/04/2021	3,834	10,899,975	2842.74		240,575		150,360		421,568			(90,216)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/05/2020	05/05/2021	596	1,708,254	2868.44		23,950		14,969		30,103			(8,981)					
UST 0.625% 05/15/30 Total Return Options			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/06/2020	05/07/2021	73,253	12,472,601	98		150,811		94,257		151,606			(56,554)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/11/2020	05/11/2021	569	1,667,220	2930.32		23,541		14,713		28,598			(8,828)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/13/2020	05/13/2021	735	2,071,766	2820		29,025		18,141		37,026			(10,885)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/14/2020	05/14/2021	483	1,376,731	2852.5		19,302		12,064		24,304			(7,236)					
S&P 500 Index Option MAV			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/15/2019	05/15/2021	107	304,686	2850.96	8,086			2,527		19,388			(3,032)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/19/2020	05/19/2021	649	1,897,763	2922.94		26,967		16,855		32,531			(10,113)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/20/2020	05/20/2021	614	1,823,323	2971.61		26,019		16,262		30,622			(9,757)					
S&P Digital			Equity/Index	RBC ES7IP3U3RHI GC71XBU11	05/21/2020	05/21/2021	322	948,238	2948.51		13,503		8,439		16,072			(5,064)					

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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)
Dow Index Option PTPT			Equity/Index	RBC E71P3U3RHIGC71XBU11	.05/28/2020	.05/28/2021	176	4,464,942	25400.64		99,440		62,150		120,646			(37,290)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/01/2020	.06/01/2021	4,122	12,594,469	3055.73		284,522		201,537		427,630			(82,986)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/02/2020	.06/02/2021	767	2,362,935	3080.82		33,979		24,068		37,570			(9,911)				
S&P Digital			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/04/2020	.06/04/2021	405	1,260,903	3112.35		18,081		12,808		19,716			(5,274)				
S&P Digital			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/10/2020	.06/10/2021	551	1,758,221	3190.14		25,424		18,009		26,272			(7,415)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/19/2019	.06/19/2021	132	385,920	2926.46	9,100			3,223		18,103			(3,412)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/22/2020	.06/22/2021	3,349	10,442,682	3117.86		227,083		160,851		303,030			(66,233)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/23/2020	.06/23/2021	3,706	11,605,859	3131.29		255,297		180,835		339,888			(74,462)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/24/2020	.06/24/2021	3,032	9,247,595	3050.33		220,069		155,882		327,122			(64,187)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/24/2020	.06/25/2021	90,959	8,914,000		98			63,750		54,663			(26,250)				
UST .625% 05/28/21			Equity/Index	RBC E71P3U3RHIGC71XBU11	.06/29/2020	.06/29/2021	573	1,749,838	3053.24		25,058		17,749		27,905			(7,308)				
Total Return Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/09/2020	.07/09/2021	3,301	15,534,503	3152.05		272,602		215,810		354,153			(56,792)				
S&P Digital			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/13/2020	.07/13/2021	3,273	10,327,058	3155.22		213,333		168,889		276,365			(44,444)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/14/2020	.07/14/2021	230	6,125,615	26642.59		121,836		96,453		126,786			(25,382)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/23/2020	.07/23/2021	134	3,584,018	26652.33		50,809		40,224		50,213			(10,585)				
Dow Index Option PTPT			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/27/2020	.07/27/2021	159	4,217,858	26584.77		76,960		60,927		80,438			(16,033)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/28/2020	.07/28/2021	3,161	10,174,092	3218.44		206,030		163,107		263,624			(42,923)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/31/2020	.07/31/2021	2,966	9,701,535	3271.12		187,918		148,768		214,836			(39,150)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/31/2020	.08/01/2021	2,390	7,817,975	3271.12		171,568		135,824		197,406			(35,743)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.07/31/2020	.08/02/2021	2,460	8,047,964	3271.12		162,873		128,941		187,483			(33,932)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/03/2020	.08/03/2021	3,820	12,584,496	3294.61		257,790		225,567		277,814			(32,224)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/04/2020	.08/04/2021	655	2,167,251	3306.51		31,187		27,288		29,759			(3,898)				
S&P Digital			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/05/2020	.08/05/2021	1,428	3,272,813	3327.77	48,486		25,387		43,426		55,277		(21,356)				
S&P Digital			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/11/2020	.08/11/2021	838	2,792,732	3333.69		40,159		35,140		37,925			(5,020)				
UST .625% 05/28/21			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/12/2020	.08/13/2021	256,956	25,525,000	98		299,000		261,625		279,652			(37,375)				
Total Return Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/19/2019	.08/19/2021	1,332	2,263,657	1699.015	71,781			31,404		34,924			(26,918)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/20/2020	.08/20/2021	2,479	8,393,204	3385.51		158,048		138,292		142,258			(19,756)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/24/2020	.08/24/2021	2,538	8,708,919	3431.28		185,041		161,911		143,606			(23,130)				
S&P 500 Index Option			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/26/2020	.08/26/2021	4,152	14,442,983	3478.73		298,432		261,128		203,291			(37,304)				
MAV			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/26/2020	.08/27/2021	262,369	26,085,000	98		308,000		269,500		287,451			(38,500)				
UST 0.625% 08/15/30			Equity/Index	RBC E71P3U3RHIGC71XBU11	.08/31/2020	.08/31/2021	104	2,970,267	28430.05		55,434		48,504		42,557			(6,929)				

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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 Digital			Equity/Index	RBC	09/01/2020	09/01/2021	3,099	10,927,592	3526.65		217,069		208,025		132,400			(9,045)					
S&P 500 Index Option			Equity/Index	RBC	09/03/2020	09/03/2021	2,512	8,678,871	3455.06		192,575		184,551		137,547			(8,024)					
MAV			Equity/Index	RBC	09/14/2020	09/14/2021	3,599	12,178,232	3383.54		246,031		235,780		229,639			(10,251)					
S&P 500 Index Option			Equity/Index	RBC	09/15/2020	09/15/2021	3,799	12,921,329	3401.2		249,963		239,548		224,998			(10,415)					
MAV			Equity/Index	RBC	09/17/2019	09/17/2021	1,258	2,159,928	1716.425		68,664		32,902		26,100			(25,749)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	RBC	09/21/2020	09/21/2021	3,037	9,965,467	3281.06		211,386		202,578		233,388			(8,808)					
S&P 500 Index Option			Equity/Index	RBC	09/23/2020	09/23/2021	3,896	12,612,200	3236.92		260,329		249,482		309,809			(10,847)					
MAV			Equity/Index	RBC	09/23/2020	09/24/2021	228,754	26,175,752	100		336,228		322,218		337,196			(14,009)					
UST 0.625% 08/15/30			Equity/Index	RBC	09/29/2020	09/29/2021	218	5,973,423	27452.66		105,326		100,937		99,043			(4,389)					
Total Return Options			Equity/Index	RBC	09/30/2020	09/30/2021	3,609	12,136,395	3363		253,538		242,974		250,090			(10,564)					
Dow Index Option PTPT			Equity/Index	RBC	09/30/2020	10/01/2021	311,101	30,911,000	98		354,500		339,729		339,335			(14,771)					
S&P 500 Index Option			Equity/Index	RBC	11/14/2019	11/12/2021	460	798,500	1736.295		21,208		11,930		7,696			(7,953)					
MAV			Equity/Index	RBC	02/25/2020	02/25/2022	560	954,705	1705.977		30,847		21,207		17,587			(9,640)					
UST 0.625% 08/15/30			Equity/Index	RBC	06/24/2020	06/24/2022	37	113,247	3050.33		5,358		4,576		9,554			(781)					
Total Return Options			Equity/Index	RBC	09/23/2020	09/23/2022	40	129,266	3236.92		5,659		5,541		7,397			(118)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG	10/03/2018	10/02/2020	302	521,719	1729.586		17,321		361					(6,495)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG	10/07/2019	10/07/2020	998	1,699,563	1703.448		29,966		1,249		445			(22,475)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG	10/10/2019	10/09/2020	2,449	4,173,018	1703.64		73,591		3,066		1,703			(55,193)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG	10/14/2019	10/14/2020	1,400	2,392,501	1708.957		41,524		1,730		1,040			(31,143)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/15/2018	10/15/2020	10,069	29,765,031	1667.391	401,089			16,369		6,234			(294,645)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/18/2019	10/16/2020	4,647	7,975,134	1716.984	154,251			6,427		1,796			(115,688)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/18/2019	10/19/2020	919	1,577,619	1716.984	24,798			1,033		484			(18,599)					
S&P 500 Indx Opt MOPTPT			Equity/Index	02RNE81BXP4R0TD8PU41	10/21/2019	10/21/2020	10,759	32,350,536	3006.72	401,674			16,736					(301,256)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/22/2019	10/22/2020	18,411	50,556,079	1717.657	729,546			30,398		3,702			(547,160)					
S&P 500 Indx Opt MOPTPT			Equity/Index	02RNE81BXP4R0TD8PU41	10/28/2019	10/28/2020	10,710	32,552,106	3039.42	401,391			16,725					(301,043)					
SPXDSUN Index Option PTPPT			Equity/Index	02RNE81BXP4R0TD8PU41	11/04/2019	11/04/2020	5,575	16,206,796	2907.09	257,628			32,203		982			(193,221)					
UST 1.625% 08/15/29 Total Return Options			Equity/Index	02RNE81BXP4R0TD8PU41	11/06/2019	11/06/2020	267,008	56,135,363	98	835,212			104,401		552,825			(626,409)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	11/29/2019	11/27/2020	16,436	39,750,324	1742.905	726,070			90,759		7,171			(544,552)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	11/29/2019	11/30/2020	5,600	15,541,745	1742.905	281,089			35,136		2,187			(210,816)					
SPXDSUN Index Option PTPPT			Equity/Index	02RNE81BXP4R0TD8PU41	11/29/2019	12/01/2020	7,343	21,527,967	2931.64	373,200			46,650		2,967			(279,900)					
SPXDSUN Index Option PTPPT			Equity/Index	02RNE81BXP4R0TD8PU41	12/02/2019	12/02/2020	5,645	16,488,583	2921.01	271,630			56,590		2,913			(203,723)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	12/03/2019	12/03/2020	8,960	20,799,420	1730.884	355,346			74,030		10,210			(266,510)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	12/04/2019	12/04/2020	2,993	5,197,682	1736.72	100,452			20,927		4,113			(75,339)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	12/09/2019	12/09/2020	6,819	17,686,199	1744.504	280,325			58,401		2,607			(210,244)					
SPXDSUN Index Option PTPPT			Equity/Index	02RNE81BXP4R0TD8PU41	12/12/2019	12/11/2020	5,264	15,523,147	2949.1	244,778			50,995		807			(183,584)					
S&P 500 Indx Opt MOPTPT			Equity/Index	02RNE81BXP4R0TD8PU41	12/13/2019	12/13/2020	10,603	33,597,641	3168.8	474,346			98,822					(355,759)					
S&P 500 Indx Opt MOPTPT			Equity/Index	02RNE81BXP4R0TD8PU41	12/13/2019	12/14/2020	10,624	33,665,500	3168.8	455,602			94,917					(341,702)					

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SCHEDULE DB - PART A - SECTION 1

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S&P 500 Indx Opt MOPTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/13/2019	12/15/2020	11,309	35,835,031	3168.8	472,556			98,449					(354,417)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/19/2019	12/18/2020	6,511	16,510,523	1752.489	289,948			60,406		3,056			(217,461)				
S&P 500 Indx Opt MOPTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/19/2019	12/19/2020	11,113	35,621,604	3205.37	491,449			102,385					(368,587)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/23/2019	12/23/2020	21,809	66,098,839	1758.114	957,545			199,489		2,170			(718,159)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/27/2019	12/24/2020	2,942	5,179,828	1760.835	106,295			22,145		1,873			(79,721)				
S&P 500 Indx Opt MOPTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/26/2019	12/26/2020	5,979	19,371,249	3239.91	249,093			51,894					(186,820)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/27/2019	12/28/2020	770	1,355,355	1760.835	26,731			5,569		553			(20,049)				
SPXDSUN Index Option PTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	01/06/2020	01/06/2021	4,539	13,419,399	2956.52		197,058		57,475		1,378			(139,583)				
SPXDSUN Index Option PTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	01/08/2020	01/08/2021	5,435	16,046,561	2952.59		247,893		72,302		2,733			(175,591)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	01/16/2020	01/15/2021	10,657	27,463,042	1767.032		460,997		134,457		4,954			(326,539)				
SPXDSUN Index Option PTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	01/22/2020	01/22/2021	6,970	18,975,407	2981.17		73,159		84,994		52,689			(207,939)				
UST 1.75% 11/15/29			Equity/Index	SG 02RNE81BXP4R0TD8PU41	01/29/2020	01/29/2021	165,831	16,458,000	98		207,500		60,521		303,695			(146,979)				
Total Return Options S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/07/2019	02/05/2021	557	929,175	1668.638		30,105		5,645		16,969			(11,289)				
S&P 500 Index Option PTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/13/2020	02/12/2021	9,211	28,247,396	3373.94		89,853		303,860		788,610			(512,049)				
SPXDSUN Index Option PTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/19/2020	02/19/2021	16,167	50,787,001	2970.15		76,509		478,823		1,054,000			(802,820)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/27/2020	02/26/2021	7,779	16,870,399	1698.44		325,053		121,895		286,136			(203,158)				
Dow Index Option MAV			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/28/2020	02/28/2021	91	2,301,691	25409.36		43,205		16,202		52,686			(27,003)				
Dow Index Option PTPT			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/28/2020	03/01/2021	1,567	6,157,288	25409.36		20,151		40,532		126,590			(67,413)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/03/2020	03/03/2021	1,851	3,105,625	1678.038		63,559		29,131		45,379			(34,428)				

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UST 1.50% 02/15/30 Total Return Options S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/04/2020	03/04/2021	194,346	19,305,000	98		253,500		116,188		333,170			(137,313)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/06/2020	03/05/2021	4,568	7,674,553	1679.892		159,760		73,223		110,591			(86,536)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/06/2020	03/08/2021	934	1,568,976	1679.892		36,400		16,683		24,296			(19,717)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/10/2020	03/10/2021	1,604	2,683,339	1672.835		53,053		24,316		43,083			(28,737)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/13/2020	03/12/2021	3,501	5,798,842	1656.462		117,036		53,642		129,895			(63,395)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/13/2020	03/15/2021	1,318	2,183,387	1656.462		46,343		21,241		50,861			(25,102)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/16/2020	03/16/2021	1,439	2,355,805	1637.114		45,763		20,975		67,884			(24,788)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/19/2020	03/19/2021	3,805	6,236,023	1638.765		122,456		56,126		178,596			(66,330)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/23/2020	03/23/2021	1,863	3,030,611	1626.821		61,612		28,239		106,561			(33,373)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/27/2020	03/26/2021	3,920	6,442,299	1643.385		122,990		56,370		174,932			(66,620)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/27/2020	03/29/2021	1,781	2,926,278	1643.385		61,197		28,049		86,541			(33,148)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/30/2020	03/30/2021	2,131	3,508,824	1646.563		73,885		33,864		98,276			(40,021)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	04/02/2020	04/01/2021	2,982	4,898,625	1642.726		102,583		55,566		146,740			(47,017)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	04/15/2020	04/15/2021	2,681	4,428,307	1651.988		86,395		46,797		109,274			(39,598)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	04/20/2020	04/20/2021	1,634	2,702,183	1653.65		56,424		30,563		69,563			(25,861)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	04/23/2020	04/23/2021	3,418	5,645,129	1651.819		117,319		63,548		149,325			(53,771)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/05/2020	05/05/2021	7,915	20,742,683	1653.663		200,925		125,578		235,471			(75,347)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/06/2020	05/06/2021	1,626	2,685,254	1651.692		53,911		33,694		71,205			(20,216)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/08/2020	05/07/2021	9,486	15,719,172	1657.688		285,781		185,440		364,606			(115,360)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/08/2020	05/10/2021	1,664	2,758,830	1657.688		53,344		33,340		64,240			(20,004)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/11/2020	05/11/2021	1,547	2,563,573	1656.75		45,566		28,479		56,027			(17,087)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/12/2020	05/12/2021	1,743	2,880,478	1652.908		58,478		36,549		75,264			(21,929)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/13/2020	05/13/2021	2,883	4,753,434	1648.826		89,372		55,858		121,508			(33,515)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/14/2020	05/14/2021	4,514	7,452,000	1650.793		153,488		95,930		201,859			(57,558)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/20/2020	05/20/2021	2,192	3,637,017	1659.215		70,931		44,332		81,985			(26,599)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/22/2020	05/21/2021	3,421	5,674,015	1658.654		114,905		71,816		135,352			(43,089)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/22/2020	05/24/2021	1,959	3,249,533	1658.654		61,999		38,750		73,803			(23,250)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/29/2020	05/28/2021	7,503	12,507,831	1667.035		247,076		154,422		260,993			(92,653)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/02/2020	06/02/2021	1,353	2,258,363	1669.76		40,571		28,738		41,382			(11,833)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/03/2020	06/03/2021	2,371	3,970,385	1674.443		79,761		56,497		74,748			(23,264)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/05/2019	06/04/2021	869	1,470,720	1692.104		47,651		16,877		22,028			(17,869)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/09/2020	06/09/2021	1,545	2,594,413	1679.595		47,754		33,826		41,332			(13,928)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/10/2019	06/10/2021	915	1,557,237	1702.31		50,143		17,759		19,425			(18,804)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/11/2020	06/11/2021	8,810	20,384,029	1664.386		245,975		174,232		248,880			(71,743)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/07/2020	06/15/2021	7,152	17,962,914	1670.632		200,779		143,499		182,612			(57,280)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/18/2020	06/18/2021	9,298	15,535,409	1671.608		304,688		215,820		303,797			(88,867)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/19/2020	06/21/2021	1,379	2,302,913	1670.204		47,125		33,381		47,232			(13,745)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/22/2020	06/22/2021	7,508	19,953,902	1670.078		205,703		145,706		181,392			(59,997)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/01/2020	07/01/2021	2,503	4,176,277	1668.725		83,604		66,187		88,140			(17,418)					

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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

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/02/2020	07/02/2021	10,687	17,976,627	1670.568	139,685	274,524		272,623		320,040			(109,574)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/07/2020	07/07/2021	1,879	3,139,837	1670.632		60,046		47,536		60,948			(12,510)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/08/2020	07/08/2021	6,256	15,194,209	1670.623		178,373		141,212		164,765			(37,161)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/10/2020	07/09/2021	5,777	9,653,460	1671.036		193,278		153,012		194,391			(40,266)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/10/2020	07/12/2021	1,521	2,540,908	1671.036		53,133		42,064		53,472			(11,069)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/15/2020	07/15/2021	3,155	5,299,341	1679.639		97,167		76,924		86,979			(20,243)						
SPXDSUN Index Option PTP			Equity/Index	02RNE81BXP4R0TD8PU41	07/16/2020	07/16/2021	4,802	12,390,451	2861.48	67,128	86,785		95,276		79,618			(43,253)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/24/2020	07/23/2021	13,232	33,023,766	1682.052		415,278		328,762		316,374			(86,516)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/24/2020	07/26/2021	4,788	11,550,119	1682.052		150,353		119,029		116,381			(31,323)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	07/29/2020	07/29/2021	7,620	18,541,639	1685.33		226,217		179,089		162,478			(47,129)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/03/2020	08/03/2021	5,663	14,701,165	1681.61		161,046		140,915		118,796			(20,131)						
SPXDSUN Index Option PTP			Equity/Index	02RNE81BXP4R0TD8PU41	08/05/2020	08/05/2021	4,544	13,043,757	2870.78		125,721		110,006		82,424			(15,715)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/07/2020	08/06/2021	12,614	25,546,655	1687.656		404,817		354,214		314,333			(50,602)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/07/2020	08/09/2021	1,508	2,544,200	1687.656		59,534		52,092		46,648			(7,442)						

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/11/2020	08/11/2021	1,377	2,329,192	1691.587		44,612		39,036		33,374			(5,577)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/12/2020	08/12/2021	2,634	4,461,464	1693.745		85,615		74,914		61,300			(10,702)					
SPXDSUN Index Option PTP			Equity/Index	02RNE81BXP4R0TD8PU41	08/18/2020	08/18/2021	5,558	16,019,322	2882.1		153,067		133,934		86,365			(19,133)					
SPXDSUN Index Option PTP			Equity/Index	02RNE81BXP4R0TD8PU41	08/19/2020	08/19/2021	3,897	11,224,956	2880.3		107,950		94,456		62,230			(13,494)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/20/2020	08/20/2021	8,699	19,039,469	1689.004		260,393		227,844		183,574			(32,549)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/24/2020	08/24/2021	6,178	16,042,242	1693.166		188,134		164,617		109,276			(23,517)					
SPXDSUN Index Option PTP			Equity/Index	02RNE81BXP4R0TD8PU41	08/25/2020	08/25/2021	5,957	17,177,501	2883.79		181,000		158,375		100,939			(22,625)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/26/2020	08/26/2021	8,750	19,252,597	1691.987		75,959		240,634		195,205			(58,113)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/28/2020	08/27/2021	22,212	52,808,985	1696.045		62,815		624,291		439,868			(108,814)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	08/28/2020	08/30/2021	5,538	14,589,169	1696.045		190,407		166,606		106,663			(23,801)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/04/2020	09/03/2021	7,593	12,857,116	1693.288		258,793		248,010		191,748			(10,783)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/04/2020	09/07/2021	292	493,681	1693.288		11,750		11,260		8,654			(490)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/09/2020	09/09/2021	2,171	3,673,915	1692.116		83,015		79,556		61,562			(3,459)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/11/2020	09/10/2021	5,591	9,447,020	1689.593		188,909		181,038		149,245			(7,871)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/11/2020	09/13/2021	1,648	2,784,730	1689.593		66,277		63,515		52,252			(2,762)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/15/2020	09/15/2021	1,341	2,271,291	1693.734		44,727		42,863		32,733			(1,864)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/18/2020	09/17/2021	15,712	38,936,769	1692.706		528,803		506,770		341,740			(22,033)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/18/2020	09/20/2021	6,129	15,668,072	1692.706		212,478		203,624		136,077			(8,853)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/22/2020	09/22/2021	2,514	4,235,785	1684.774		92,368		88,520		77,362			(3,849)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/29/2020	09/29/2021	2,037	3,430,077	1684.199		66,047		63,295		57,079			(2,752)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/07/2019	10/07/2021	566	964,812	1703.448		32,128		16,733		15,082			(12,048)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/10/2019	10/08/2021	429	731,023	1703.64		24,343		12,679		11,411			(9,129)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/14/2019	10/14/2021	679	1,161,119	1708.957		38,665		20,138		16,797			(14,499)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/17/2019	10/15/2021	950	1,629,702	1715.847		54,106		28,180		21,062			(20,290)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/18/2019	10/18/2021	637	1,092,984	1716.984		36,396		18,956		13,938			(13,649)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	10/22/2019	10/22/2021	1,389	2,385,467	1717.657		78,959		41,124		30,313			(29,610)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	11/27/2019	11/26/2021	480	838,119	1746.619		27,742		15,605		6,952			(10,403)						

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/04/2019	12/03/2021	1,517	2,627,749	1736.72	87,504			52,867		28,330			(32,814)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/09/2019	12/09/2021	379	661,023	1744.504	21,483			12,979		5,870			(8,056)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	12/23/2019	12/23/2021	298	523,257	1758.114	17,267			10,432		3,777			(6,475)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	01/16/2020	01/14/2022	472	834,062	1767.032		27,691		17,884		5,428			(9,807)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/26/2020	02/25/2022	528	896,765	1698.44		30,131		20,715		18,300			(9,416)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	02/28/2020	02/28/2022	479	797,506	1664.838		26,876		18,477		24,874			(8,399)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/03/2020	03/03/2022	508	851,655	1678.038		28,871		21,052		22,721			(7,819)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/06/2020	03/04/2022	461	773,718	1679.892		26,384		19,238		20,192			(7,146)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/10/2020	03/10/2022	557	932,135	1672.835		31,786		23,177		26,645			(8,609)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/13/2020	03/11/2022	436	721,586	1656.462		24,534		17,889		24,961			(6,645)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/16/2020	03/16/2022	366	598,537	1637.114		20,590		15,013		25,576			(5,576)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/19/2020	03/18/2022	289	474,257	1638.765		16,267		11,861		19,940			(4,406)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	03/23/2020	03/23/2022	336	545,829	1626.821		18,667		13,612		25,958			(5,056)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	03/27/2020	03/25/2022	539	885,472	1643.385		28,512		20,790		35,597			(7,722)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	03/30/2020	03/30/2022	626	1,031,165	1646.563		33,513		24,436		40,188			(9,076)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	04/02/2020	04/01/2022	388	638,062	1642.726		20,673		15,936		25,921			(4,738)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	04/15/2020	04/14/2022	251	415,353	1651.988		13,416		10,341		15,402			(3,074)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	04/20/2020	04/20/2022	497	822,503	1653.65		26,567		20,479		30,062			(6,088)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	04/23/2020	04/22/2022	633	1,044,943	1651.819		33,752		26,017		38,994			(7,735)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	05/05/2020	05/05/2022	384	635,612	1653.663		20,276		16,474		23,427			(3,802)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	05/08/2020	05/06/2022	1,498	2,478,810	1657.688		80,066		65,053		90,478			(15,012)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	05/11/2020	05/11/2022	295	489,210	1656.75		15,850		12,878		17,505			(2,972)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	05/12/2020	05/12/2022	281	464,957	1652.908		15,111		12,278		17,343			(2,833)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	05/14/2020	05/13/2022	1,851	3,052,118	1650.793		99,229		80,623		118,611			(18,605)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	05/22/2020	05/20/2022	1,037	1,719,446	1658.654		56,054		45,544		60,600			(10,510)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	05/22/2020	05/24/2022	309	511,787	1658.654		16,684		13,556		18,080			(3,128)					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/29/2020	05/27/2022	392	653,618	1667.035		21,243		17,260		21,119			(3,983)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	05/29/2020	05/30/2022	367	611,941	1667.035		19,888		16,159		19,772			(3,729)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/02/2020	06/02/2022	432	721,983	1669.76		23,537		20,104		22,725			(3,432)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/03/2020	06/03/2022	474	793,360	1674.443		25,943		22,160		23,715			(3,783)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/09/2020	06/09/2022	201	337,838	1679.595		10,980		9,379		9,567			(1,601)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/11/2020	06/10/2022	451	749,891	1664.386		24,371		20,817		25,163			(3,554)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/15/2020	06/15/2022	220	366,796	1669.299		11,994		10,245		11,704			(1,749)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	06/19/2020	06/17/2022	976	1,631,159	1670.204		53,393		45,607		51,336			(7,786)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/01/2020	07/01/2022	1,545	2,579,839	1668.725		83,764		75,038		82,551			(8,725)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/02/2020	07/05/2022	517	864,368	1670.568		28,092		25,166		27,555			(2,926)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/07/2020	07/07/2022	336	561,924	1670.632		18,431		16,511		17,924			(1,920)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/10/2020	07/08/2022	966	1,614,204	1671.036		53,185		47,645		51,416			(5,540)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/10/2020	07/12/2022	332	555,083	1671.036		18,373		16,459		17,685			(1,914)					

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SCHEDULE DB - PART A - SECTION 1

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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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/15/2020	07/15/2022	803	1,347,971	1679.639		44,618		39,970		39,157				(4,648)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/24/2020	07/22/2022	807	1,358,037	1682.052		44,951		40,269		38,595				(4,682)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	07/29/2020	07/29/2022	248	418,388	1685.33		13,849		12,406		11,521				(1,443)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/07/2020	08/05/2022	793	1,337,182	1687.656		44,925		42,117		36,795				(2,808)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/07/2020	08/08/2022	330	556,556	1687.656		18,812		17,636		15,041				(1,176)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/07/2020	08/09/2022	288	486,811	1687.656		16,454		15,426		13,166				(1,028)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/11/2020	08/11/2022	293	495,685	1691.587		16,705		15,661		12,844				(1,044)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/20/2020	08/19/2022	343	580,148	1689.004		19,725		18,492		15,570				(1,233)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/24/2020	08/24/2022	634	1,072,626	1693.166		36,684		34,391		27,575				(2,293)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/28/2020	08/26/2022	1,181	2,000,215	1696.045		67,981		63,732		51,185				(4,249)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	08/28/2020	08/29/2022	618	1,048,044	1696.045		35,843		33,603		26,180				(2,240)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	09/04/2020	09/02/2022	1,190	2,014,991	1693.288		67,905		66,491		52,087				(1,415)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	SG 02RNE81BXP4R0TD8PU41	09/04/2020	09/06/2022	1,227	2,077,949	1693.288		70,027		68,568		53,877				(1,459)				

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/11/2020	09/09/2022	1,102	1,862,967	1689.593		63,109		61,794		49,952				(1,315)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/18/2020	09/16/2022	680	1,150,336	1692.706		39,457		38,635		30,245				(822)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/22/2020	09/22/2022	655	1,103,112	1684.774		37,947		37,156		31,767				(791)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	02RNE81BXP4R0TD8PU41	09/29/2020	09/29/2022	411	692,023	1684.199		23,806		23,310		20,146				(496)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/01/2019	10/01/2020	126	3,352,584	26573.04		67,112		2,796		41,449				(50,334)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/04/2019	10/02/2020	1,397	10,073,532	26573.72		184,673		7,695		282,789				(138,505)					
Dow Index Option MAV			Equity/Index	549300V8M85Q1SCSJ683	10/03/2019	10/03/2020	103	2,699,076	26201.04		54,296		2,262		25,794				(40,722)					
Dow Index Option MAV			Equity/Index	549300V8M85Q1SCSJ683	10/04/2019	10/04/2020	98	2,606,709	26573.72		48,835		2,035		3,837				(36,626)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/04/2019	10/05/2020	634	7,413,441	26573.72		142,745		5,948		116,129				(107,059)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/04/2019	10/06/2020	959	5,842,731	26573.72		105,239		4,385		136,931				(78,929)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/07/2019	10/07/2020	1,179	8,995,776	26478.02		172,227		7,176		206,224				(129,170)					
Dow Index Option MAV			Equity/Index	549300V8M85Q1SCSJ683	10/11/2019	10/09/2020	186	4,980,597	26816.59		103,061		4,294		123,766				(77,296)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/11/2019	10/11/2020	170	4,558,152	26816.59		90,551		3,773		28				(67,913)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/11/2019	10/12/2020	189	5,057,756	26816.59		94,173		3,924		71,312				(70,629)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/11/2019	10/13/2020	100	2,687,544	26816.59		59,182		2,466		42,729				(44,387)					
S&P 500 Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/14/2019	10/14/2020	11,514	34,152,108	2966.15		853,882		35,578		1,499,027				(640,411)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/18/2019	10/16/2020	195	5,224,219	26770.2		111,830		4,660		132,912				(83,873)					
Dow Index Option MAV			Equity/Index	549300V8M85Q1SCSJ683	10/18/2019	10/18/2020	152	4,070,439	26770.2		81,395		3,391		691				(61,046)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/18/2019	10/19/2020	237	6,353,516	26770.2		113,993		4,750		100,705				(85,495)					
Dow Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	10/18/2019	10/20/2020	168	4,495,213	26770.2		89,820		3,742		52,714				(67,365)					
S&P Digital			Equity/Index	549300V8M85Q1SCSJ683	11/01/2019	10/30/2020	15,052	46,164,365	3066.91		1,223,378		152,922		1,875,361				(917,533)					
S&P Digital			Equity/Index	549300V8M85Q1SCSJ683	11/01/2019	11/02/2020	13,578	41,641,752	3066.91		1,135,273		141,909		1,731,678				(851,455)					
S&P Digital			Equity/Index	549300V8M85Q1SCSJ683	11/01/2019	11/03/2020	12,343	37,853,404	3066.91		939,922		117,490		1,412,537				(704,941)					
S&P 500 Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	11/12/2019	11/12/2020	10,683	33,030,213	3091.84		825,682		103,210		1,175,453				(619,262)					
S&P 500 Index Option PTPT			Equity/Index	549300V8M85Q1SCSJ683	11/13/2019	11/13/2020	13,119	40,590,287	3094.04		1,122,974		140,372		1,611,020				(842,231)					
S&P Digital			Equity/Index	549300V8M85Q1SCSJ683	11/19/2019	11/19/2020	505	1,576,199	3120.18		22,855		2,857		28,098				(17,141)					
S&P Digital			Equity/Index	549300V8M85Q1SCSJ683	12/10/2019	12/10/2020	624	1,955,640	3132.52		28,357		5,908		33,103				(21,268)					

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Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	12/16/2019	12/16/2020	12,099	44,533,735	28235.89	987,737		205,779		1,119,930			(740,803)					
S&P Digital			Equity/Index	SUN	549300V8M85Q SCSJ683	12/17/2019	12/17/2020	12,963	41,365,675	3192.52	1,049,956		218,741		1,302,593			(787,467)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	12/19/2019	12/18/2020	332	9,378,496	28376.96	163,430		34,048		84,434			(122,573)					
Dow Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	12/19/2019	12/19/2020	53	1,511,152	28376.96	27,237		5,674					(20,428)					
S&P 500 Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	12/20/2019	12/20/2020	4,916	15,835,735	3221.22	276,936		57,695		19,193			(207,702)					
S&P 500 Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	12/20/2019	12/21/2020	4,270	13,754,327	3221.22	271,662		56,596		9,152			(203,747)					
S&P 500 Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	12/20/2019	12/22/2020	4,635	14,929,037	3221.22	278,780		58,079		17,833			(209,085)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	12/27/2019	12/24/2020	526	5,180,285	28645.26	94,004		19,584		69,706			(70,503)					
Dow Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	12/27/2019	12/27/2020	90	2,589,548	28645.26	44,243		9,217		10			(33,183)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	12/27/2019	12/28/2020	1,042	10,685,098	28645.26	182,818		38,087		98,234			(137,113)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	12/27/2019	12/29/2020	678	5,826,249	28645.26	98,495		20,520		58,152			(73,871)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	12/30/2019	12/30/2020	4,779	21,233,139	28462.14	388,457		80,929		97,406			(291,343)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/03/2020	12/31/2020	4,279	15,197,612	28634.88	250,071	35,198	62,364		46,474			(212,485)					
Dow Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/03/2020	01/03/2021	2,434	8,830,230	28634.88	139,092		40,569		11,789			(98,524)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/03/2020	01/04/2021	5,472	26,585,548	28634.88	477,665		139,319		108,389			(338,346)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/03/2020	01/05/2021	4,126	16,663,913	28634.88	289,777		84,518		67,575			(205,259)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/06/2020	01/06/2021	179	5,133,370	28703.38	91,267		26,619		41,496			(64,647)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/08/2020	01/08/2021	165	4,747,108	28745.09	69,812		20,362		24,410			(49,450)					
S&P 500 Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/10/2020	01/10/2021	3,263	10,653,343	3265.35	188,854		55,083		28,929			(133,772)					
S&P 500 Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/10/2020	01/11/2021	2,907	9,493,810	3265.35	170,390		49,697		11,681			(120,693)					
S&P 500 Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/10/2020	01/12/2021	3,493	11,404,579	3265.35	208,149		60,710		7,710			(147,439)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/17/2020	01/15/2021	408	11,920,045	29348.1	218,326		63,679		99,204			(154,648)					
Dow Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/17/2020	01/17/2021	2,319	9,635,526	29348.1	150,261		43,826		1,830			(106,435)					
Dow Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/17/2020	01/18/2021	3,311	12,711,277	29348.1	243,438		71,003		2,887			(172,435)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/17/2020	01/19/2021	3,527	15,272,317	29348.1	268,792		78,398		28,633			(190,395)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/17/2020	01/20/2021	2,547	11,507,563	29348.1	192,595		56,174		20,092			(136,422)					
S&P 500 Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/21/2020	01/21/2021	2,162	7,178,490	3320.79	127,134		37,081		1,556			(90,053)					
Dow Index Option PTPT			Equity/Index	SUN	549300V8M85Q SCSJ683	01/24/2020	01/22/2021	278	8,093,697	28989.73	131,394		38,323		63,340			(93,070)					
Dow Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/23/2020	01/23/2021	46	1,353,429	29160.09	19,737		5,757					(13,980)					
Dow Index Option MAV			Equity/Index	SUN	549300V8M85Q SCSJ683	01/24/2020	01/24/2021	64	1,844,105	28989.73	28,696		8,370		1			(20,327)					

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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)
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/24/2020	.01/25/2021	155	4,482,032	28989.73		84,301		24,588		32,914			(59,713)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/24/2020	.01/26/2021	112	3,254,720	28989.73		58,044		16,930		23,859			(41,115)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/27/2020	.01/27/2021	3,253	10,550,014	3243.63		205,930		60,063		24,881			(145,867)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/28/2020	.01/28/2021	2,714	8,891,655	3276.24		156,369		45,607		8,283			(110,761)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/29/2020	.01/29/2021	952	11,589,271	28734.45		198,452		57,882		130,081			(140,570)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/30/2020	.01/30/2021	21	618,376	28859.44		7,915		2,309		14			(5,607)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/31/2020	.01/31/2021	118	3,344,668	28256.03		52,955		15,445		252			(37,510)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/31/2020	.02/01/2021	456	6,304,747	28256.03		121,824		35,532		64,891			(86,292)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.01/31/2020	.02/02/2021	569	5,398,194	28256.03		96,376		28,110		57,899			(68,267)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/05/2020	.02/05/2021	629	8,281,770	29290.85		147,538		55,327		75,640			(92,211)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/07/2020	.02/07/2021	64	1,866,750	29102.51		33,148		12,431		64			(20,718)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/07/2020	.02/08/2021	137	3,995,915	29102.51		68,425		25,659		18,352			(42,765)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/07/2020	.02/09/2021	124	3,615,799	29102.51		65,479		24,555		27,797			(40,925)				
S&P Digital			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/10/2020	.02/10/2021	317	1,061,790	3352.09		15,290		5,734		14,447			(9,556)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/11/2020	.02/11/2021	2,879	9,665,828	3357.75		169,157		63,434		4,879			(105,723)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/14/2020	.02/12/2021	169	4,957,771	29398.08		95,521		35,820		52,960			(59,700)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/14/2020	.02/14/2021	72	2,113,778	29398.08		34,865		13,074		24			(21,791)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/14/2020	.02/15/2021	36	1,069,661	29398.08		17,451		6,544		3			(10,907)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/14/2020	.02/16/2021	76	2,239,362	29398.08		37,085		13,907		16,337			(23,178)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/14/2020	.02/17/2021	102	2,997,358	29398.08		52,545		19,704		15,425			(32,840)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/21/2020	.02/19/2021	268	7,821,194	28992.41		126,748		47,531		58,172			(79,218)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/21/2020	.02/21/2021	2,063	8,363,414	28992.41		138,571		51,964		4,296			(86,607)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/21/2020	.02/22/2021	2,856	11,586,284	28992.41		225,872		84,702		26,868			(141,170)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.02/21/2020	.02/23/2021	2,535	10,915,198	28992.41		201,816		75,681		27,755			(126,135)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.03/04/2020	.03/04/2021	616	7,550,945	27090.86		135,376		62,047		104,495			(73,329)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.03/06/2020	.03/05/2021	207	5,353,542	25864.78		96,825		44,378		116,068			(52,447)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.03/06/2020	.03/06/2021	2,255	7,913,160	25864.78		174,967		80,193		242,035			(94,774)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.03/06/2020	.03/07/2021	2,513	8,783,340	25864.78		193,430		88,656		268,187			(104,775)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.03/06/2020	.03/08/2021	2,532	10,097,380	25864.78		222,396		101,931		307,165			(120,464)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.03/10/2020	.03/10/2021	244	6,098,970	25018.16		113,375		51,964		155,809			(61,412)				

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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)
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/11/2020	03/11/2021	244	5,738,344	23553.22		123,874		56,776		194,992			(67,099)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/13/2020	03/12/2021	500	11,065,672	23185.62		184,386		84,510		287,000			(99,876)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	03/13/2020	03/13/2021	3,311	10,489,719	23185.62		235,810		108,080		412,310			(127,730)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	03/13/2020	03/14/2021	3,021	10,318,047	23185.62		262,805		120,452		467,928			(142,353)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/13/2020	03/15/2021	3,863	14,869,437	23185.62		367,872		168,608		637,605			(199,264)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/16/2020	03/16/2021	170	3,433,083	20188.52		71,109		32,592		116,568			(38,517)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/24/2020	03/24/2021	310	6,426,411	20704.91		134,281		61,545		222,230			(72,735)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/25/2020	03/25/2021	258	5,465,689	21200.55		110,314		50,560		184,372			(59,753)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/27/2020	03/26/2021	38,279	101,907,749	2541.47		3,876,557		1,776,755		8,949,381			(2,099,802)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	03/27/2020	03/27/2021	5,074	12,895,162	2541.47		310,645		142,379		678,581			(168,266)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	03/27/2020	03/28/2021	3,164	8,042,093	2541.47		198,814		91,123		466,691			(107,691)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/27/2020	03/29/2021	17,899	45,490,769	2541.47		1,996,679		915,145		4,735,827			(1,081,535)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	03/31/2020	03/31/2021	293	6,422,950	21917.16		130,397		59,765		202,560			(70,632)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/03/2020	04/01/2021	274	5,770,818	21052.53		117,753		63,783		171,858			(53,970)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	04/03/2020	04/03/2021	134	2,822,281	21052.53		46,416		25,142		79,885			(21,274)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	04/03/2020	04/04/2021	99	2,086,779	21052.53		43,991		23,828		77,433			(20,162)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/03/2020	04/05/2021	288	6,073,012	21052.53		122,566		66,390		187,473			(56,176)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/07/2020	04/07/2021	15,178	43,563,386	2659.41		1,359,651		736,478		2,714,540			(623,174)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/17/2020	04/16/2021	238	5,776,500	24242.49		109,836		59,494		138,137			(50,341)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	04/17/2020	04/17/2021	153	3,709,834	24242.49		61,720		33,432		91,936			(28,288)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	04/17/2020	04/18/2021	82	1,983,843	24242.49		43,069		23,329		66,684			(19,740)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/17/2020	04/19/2021	205	4,970,617	24242.49		98,258		53,223		128,304			(45,035)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	04/20/2020	04/20/2021	3,517	9,928,733	2823.16		242,904		131,573		436,405			(111,331)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/21/2020	04/21/2021	16,751	51,792,847	2736.56		1,507,749		816,698		2,675,261			(691,052)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/23/2020	04/23/2021	214	5,026,638	23515.26		95,691		51,833		134,328			(43,858)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	04/28/2020	04/28/2021	3,443	9,857,801	2863.39		241,393		130,754		455,735			(110,638)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	04/29/2020	04/29/2021	218	5,367,912	24633.86		112,988		61,202		149,241			(51,786)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	05/01/2020	04/30/2021	3,654	16,029,060	23723.69		325,915		187,178		504,594			(138,737)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	05/01/2020	05/01/2021	3,491	12,799,097	2830.71		298,484		186,552		537,655			(111,931)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	05/01/2020	05/02/2021	4,071	13,814,437	2830.71		305,605		191,003		551,881			(114,602)				

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SCHEDULE DB - PART A - SECTION 1

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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 Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/01/2020	.05/03/2021	3,463	12,964,915	2830.71		282,776		176,735		478,577			(106,041)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/05/2020	.05/05/2021	3,767	10,804,516	2868.44		250,875		156,797		454,461			(94,078)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/06/2020	.05/06/2021	4,695	19,382,858	2848.42		427,785		267,365		769,860			(160,419)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/07/2020	.05/07/2021	12,514	36,055,382	2881.19		1,278,211		798,882		2,200,954			(479,329)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/12/2020	.05/12/2021	16,248	50,506,666	2870.12		1,332,274		832,672		2,204,569			(499,603)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/14/2020	.05/14/2021	226	5,346,356	23625.34		90,816		56,760		127,321			(34,056)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/20/2020	.05/20/2021	189	4,653,381	24575.9		99,946		62,466		127,226			(37,480)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/22/2020	.05/21/2021	511	12,492,223	24465.16		219,913		137,446		283,682			(82,467)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/22/2020	.05/22/2021	3,674	13,059,533	2955.45		261,020		163,137		432,144			(97,882)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/22/2020	.05/23/2021	2,848	10,998,746	2955.45		224,830		140,519		380,552			(84,311)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/22/2020	.05/24/2021	3,987	17,562,667	2955.45		375,537		234,711		579,479			(140,826)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/22/2020	.05/25/2021	2,389	9,379,224	2955.45		218,977		136,860		345,286			(82,116)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/27/2020	.05/27/2021	4,136	12,556,923	3036.13		279,816		174,885		422,434			(104,931)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.05/28/2020	.05/28/2021	3,531	10,698,044	3029.73		216,648		135,405		342,026			(81,243)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/01/2020	.06/01/2021	221	5,626,049	25475.02		114,227		80,911		138,756			(33,316)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/02/2020	.06/02/2021	4,074	17,493,917	3080.82		364,549		258,222		504,072			(106,327)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/03/2020	.06/03/2021	212	5,579,887	26269.89		114,378		81,018		126,573			(33,360)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/04/2020	.06/04/2021	3,593	11,182,185	3112.35		210,020		148,764		292,256			(61,256)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/16/2020	.06/16/2021	3,829	17,079,608	3124.74		355,848		252,059		447,417			(103,789)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/19/2020	.06/18/2021	289	7,471,888	25871.46		139,242		98,630		154,980			(40,612)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/19/2020	.06/19/2021	4,241	16,383,434	3097.74		305,617		216,479		406,575			(89,138)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/19/2020	.06/20/2021	2,520	9,248,202	3097.74		186,486		132,095		253,535			(54,392)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/19/2020	.06/21/2021	3,605	16,078,571	3097.74		331,607		234,888		441,217			(96,719)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/26/2020	.06/25/2021	289	7,238,238	25015.55		136,964		97,016		165,382			(39,948)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/26/2020	.06/26/2021	111	2,768,195	25015.55		54,880		38,873		78,637			(16,007)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/26/2020	.06/27/2021	87	2,178,558	25015.55		44,230		31,330		62,943			(12,900)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/26/2020	.06/28/2021	171	4,286,552	25015.55		74,706		52,916		97,172			(21,789)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.06/30/2020	.06/30/2021	185	4,778,162	25812.88		87,598		62,048		102,459			(25,549)				

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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 Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/01/2020	.07/01/2021	3,603	11,227,593	3115.86		252,562		199,945		366,014			(52,617)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/02/2020	.07/02/2021	311	8,040,716	25827.36		130,653		103,434		150,407			(27,219)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/02/2020	.07/03/2021	61	1,583,818	25827.36		38,995		30,871		52,331			(8,124)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/02/2020	.07/05/2021	21	530,343	25827.36		6,311		4,996		7,909			(1,315)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/06/2020	.07/06/2021	196	5,157,129	26287.03		101,763		80,562		115,055			(21,201)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/07/2020	.07/07/2021	3,559	15,820,708	3145.32		341,158		270,084		451,072			(71,075)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/08/2020	.07/08/2021	231	6,033,986	26067.28		121,528		96,210		140,220			(25,318)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/10/2020	.07/09/2021	219	5,722,458	26075.3		101,311		80,205		109,536			(21,106)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/10/2020	.07/10/2021	87	2,273,796	26075.3		44,459		35,197		55,633			(9,262)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/10/2020	.07/11/2021	64	1,681,466	26075.3		26,691		21,131		32,593			(5,561)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/10/2020	.07/12/2021	114	2,982,813	26075.3		56,114		44,424		64,065			(11,690)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/15/2020	.07/15/2021	215	5,788,514	26870.1		115,383		91,345		120,058			(24,038)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/16/2020	.07/16/2021	343	9,161,033	26734.71		153,869		121,813		154,222			(32,056)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/17/2020	.07/17/2021	95	2,544,068	26671.95		45,039		35,656		50,561			(9,383)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/17/2020	.07/18/2021	37	985,743	26671.95		16,875		13,359		18,697			(3,516)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/17/2020	.07/19/2021	125	3,344,308	26671.95		67,174		53,179		70,240			(13,994)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/24/2020	.07/23/2021	25,262	81,281,336	3215.63		2,162,768		1,712,191		2,517,666			(450,577)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/24/2020	.07/24/2021	2,685	8,634,043	3215.63		187,151		148,161		228,360			(38,990)				
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/24/2020	.07/25/2021	3,187	10,248,809	3215.63		212,230		168,015		256,645			(44,215)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/24/2020	.07/26/2021	15,079	48,488,599	3215.63		1,311,536		1,038,299		1,530,321			(273,237)				
S&P Digital			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/30/2020	.07/30/2021	26,657	89,364,347	3246.22		2,559,021		2,025,892		2,761,275			(533,129)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.07/31/2020	.08/02/2021	10,946	35,805,115	3271.12		1,042,179		825,058		1,123,496			(217,121)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/06/2020	.08/06/2021	105	2,865,938	27386.98		43,314		37,899		39,358			(5,414)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/12/2020	.08/12/2021	211	5,901,039	27976.84		112,601		98,526		93,767			(14,075)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/14/2020	.08/13/2021	246	6,867,773	27931.02		122,645		107,314		105,547			(15,331)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/14/2020	.08/14/2021	126	3,518,189	27931.02		57,937		50,695		48,855			(7,242)				
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/14/2020	.08/15/2021	59	1,661,517	27931.02		28,095		24,583		23,600			(3,512)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/14/2020	.08/16/2021	145	4,061,822	27931.02		82,751		72,407		71,109			(10,344)				
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/17/2020	.08/17/2021	128	3,556,753	27844.91		67,050		58,669		57,820			(8,381)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/18/2020	.08/18/2021	13,529	45,861,340	3389.78		979,166		856,770		924,786			(122,396)				
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	.08/19/2020	.08/19/2021	11,359	38,335,043	3374.85		892,652		781,071		859,750			(111,582)				

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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)	
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	08/21/2020	08/20/2021	23,251	85,327,916	27930.33		2,168,295		1,897,258		1,987,796			(271,037)					
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	08/21/2020	08/21/2021	107	2,987,054	27930.33		55,459		48,526		45,006			(6,932)					
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	08/21/2020	08/22/2021	42	1,159,237	27930.33		15,302		13,389		12,661			(1,913)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	08/21/2020	08/23/2021	10,665	40,347,856	27930.33		1,067,509		934,071		976,677			(133,439)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	08/26/2020	08/26/2021	247	7,007,369	28331.92		131,280		114,870		100,626			(16,410)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	08/28/2020	08/27/2021	234	6,716,718	28653.87		118,874		104,015		89,849			(14,859)					
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	08/28/2020	08/28/2021	87	2,506,226	28653.87		44,137		38,620		29,382			(5,517)					
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	08/28/2020	08/29/2021	39	1,104,804	28653.87		25,442		22,262		16,369			(3,180)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	08/28/2020	08/30/2021	141	4,047,660	28653.87		76,433		66,879		55,469			(9,554)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/03/2020	09/03/2021	134	3,781,218	28292.73		66,946		64,156		52,568			(2,789)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/08/2020	09/08/2021	9,233	34,112,485	27500.89		829,479		794,917		824,923			(34,562)					
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	09/09/2020	09/09/2021	4,180	14,207,642	3398.96		278,253		266,659		249,972			(11,594)					
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/11/2020	09/10/2021	19,389	64,779,533	3340.97		1,742,533		1,669,928		1,765,375			(72,606)					
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	09/11/2020	09/11/2021	3,093	10,333,915	3340.97		192,279		184,267		193,643			(8,012)					
S&P 500 Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	09/11/2020	09/12/2021	2,260	7,548,948	3340.97		167,715		160,727		168,772			(6,988)					
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/11/2020	09/13/2021	13,040	43,564,628	3340.97		1,137,791		1,090,383		1,152,211			(47,408)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/15/2020	09/15/2021	154	4,308,454	27995.6		75,216		72,082		64,912			(3,134)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/25/2020	09/24/2021	232	6,314,019	27173.96		107,677		103,191		102,749			(4,487)					
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	09/25/2020	09/25/2021	70	1,904,560	27173.96		32,785		31,419		33,443			(1,366)					
Dow Index Option MAV			Equity/Index	SUN 549300V8M85Q SCSJ683	09/25/2020	09/26/2021	86	2,349,837	27173.96		47,252		45,283		48,940			(1,969)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/25/2020	09/27/2021	206	5,600,040	27173.96		113,326		108,604		116,836			(4,722)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/28/2020	09/28/2021	165	4,561,681	27584.06		85,984		82,401		78,964			(3,583)					
S&P 500 Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/29/2020	09/29/2021	11,793	39,335,381	3335.47		979,368		938,561		1,005,515			(40,807)					
Dow Index Option PTPT			Equity/Index	SUN 549300V8M85Q SCSJ683	09/30/2020	09/30/2021	12,126	47,188,153	27781.7		1,080,072		1,035,069		1,055,995			(45,003)					
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	10/01/2019	10/01/2020	15,372	44,856,658	2861.81	1,038,518		43,272		1,562,687			(778,888)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	10/03/2019	10/02/2020	9,710	25,900,509	1698.843	407,282		16,970		42,719			(305,462)						
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	10/07/2019	10/07/2020	30,544	89,268,811	2855.69	1,592,106		66,338		1,610,158			(1,194,079)						
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	10/08/2019	10/08/2020	12,174	35,219,259	2893.06	930,951		38,790		1,828,451			(698,213)						
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	10/10/2019	10/09/2020	25,293	71,191,530	2856.8	1,666,579		69,441		2,213,465			(1,249,934)						

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S&P 500 Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/14/2019	10/14/2020	3,387	10,045,109	2966.15	202,635			8,443		364,466			(151,976)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/15/2019	10/15/2020	15,844	46,883,790	2872.18	1,113,131			46,380		1,570,875			(834,848)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/18/2019	10/16/2020	50,713	147,332,925	2986.2	4,016,812			167,367		6,479,851			(3,012,609)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/18/2019	10/19/2020	13,152	39,275,557	2986.2	1,046,134			43,589		1,799,167			(784,601)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/18/2019	10/20/2020	12,117	36,183,261	2986.2	937,647			39,069		1,608,105			(703,235)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/23/2019	10/23/2020	17,249	46,724,593	3004.52	1,227,250			51,135		1,866,059			(920,437)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/28/2019	10/28/2020	17,158	51,163,272	2889	1,037,984			43,249		1,163,831			(778,488)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	10/30/2019	10/30/2020	25,187	81,327,170	3046.77	2,323,249			96,802		3,639,101			(1,742,437)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/08/2019	11/06/2020	13,753	45,799,428	27681.24	1,337,403			167,175		1,954,372			(1,003,052)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/08/2019	11/08/2020	147	4,062,345	27681.24	71,577			8,947					(53,683)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/08/2019	11/09/2020	222	6,138,543	27681.24	118,826			14,853		69,265			(89,120)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/08/2019	11/10/2020	202	5,604,096	27681.24	102,415			12,802		52,380			(76,811)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/11/2019	11/11/2020	16,962	51,560,898	2914.81	1,060,679			132,585		1,204,514			(795,510)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/14/2019	11/13/2020	9,465	35,630,204	27781.96	958,184			119,773		1,249,697			(718,638)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/14/2019	11/14/2020	2,870	10,202,676	27781.96	190,185			23,773		175,286			(142,639)				
S&P 500 Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/18/2019	11/18/2020	3,888	12,139,452	3122.03	233,708			29,213		146,237			(175,281)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/19/2019	11/19/2020	4,288	12,517,295	2919.46	191,033			23,879		608			(143,275)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/20/2019	11/20/2020	13,999	51,198,116	27821.09	1,496,224			187,028		1,954,844			(1,122,168)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	11/25/2019	11/25/2020	24,046	73,233,123	1739.748	1,277,283			159,660		886,736			(957,962)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	12/06/2019	12/04/2020	18,903	59,520,575	1745.743	1,282,769			267,244		1,050,152			(962,077)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	12/05/2019	12/05/2020	53	1,477,940	27677.79	24,592			5,123		22			(18,444)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	12/06/2019	12/07/2020	6,147	16,383,129	1745.743	281,562			58,659		2,413			(211,172)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	12/06/2019	12/08/2020	6,221	18,274,721	2937.82	302,989			63,123		2,043			(227,242)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCUFXT09	12/11/2019	12/11/2020	5,291	22,070,928	27911.3	376,786			78,497		51,100			(282,590)				

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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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/16/2019	12/16/2020	7,487	20,182,745	1752.148	331,381			69,038		2,069			(248,536)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/17/2019	12/17/2020	9,322	22,234,031	1751.727	384,515			80,107		4,883			(288,386)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/20/2019	12/18/2020	12,332	36,416,250	2960.33	595,289			124,019		3,026			(446,467)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/20/2019	12/21/2020	4,939	14,619,682	2960.33	260,367			54,243		1,396			(195,275)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/20/2019	12/22/2020	8,553	25,319,489	2960.33	416,435			86,757		1,183			(312,326)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/27/2019	12/24/2020	15,767	50,073,899	2966.36	1,386,359			288,825		1,415,356			(1,039,769)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/27/2019	12/28/2020	27,780	87,168,695	2966.36	2,139,482			445,725		1,866,414			(1,604,612)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	12/27/2019	12/29/2020	17,778	55,849,938	2966.36	1,259,192			262,332		1,086,155			(944,394)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/02/2020	12/31/2020	18,437	57,108,997	2965.47	342,971	958,170		350,919		943,629			(935,932)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/06/2020	01/06/2021	7,988	25,929,825	3246.28		591,380		172,486		678,240			(418,894)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/07/2020	01/07/2021	14,716	46,431,559	2947.77		1,025,883		299,216		1,021,425			(726,667)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/10/2020	01/08/2021	31,181	100,794,146	3265.35		2,676,567		780,665		2,954,789			(1,895,902)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/10/2020	01/11/2021	12,123	39,584,594	3265.35		1,057,755		308,512		1,215,393			(749,243)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/10/2020	01/12/2021	10,355	33,813,076	3265.35		870,300		253,838		999,459			(616,463)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/14/2020	01/14/2021	10,196	33,476,038	3283.15		874,934		255,189		983,966			(619,745)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/17/2020	01/15/2021	30,328	100,589,235	3329.62		2,734,428		797,542		2,901,328			(1,936,887)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/17/2020	01/19/2021	11,655	38,807,298	3329.62		1,040,736		303,548		1,067,965			(737,188)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/17/2020	01/20/2021	6,385	21,260,324	3329.62		488,431		142,459		497,863			(345,972)				
SPXDSUN Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/21/2020	01/21/2021	3,635	10,834,425	2980.21		151,433		44,168		374			(107,265)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/22/2020	01/22/2021	4,305	7,603,906	1766.377		156,364		45,606		4,338			(110,758)				
S&P 500 Indx Opt			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/28/2020	01/28/2021	17,216	56,404,659	3276.24		1,089,078		317,648		806,290			(771,430)				
S&P 500 Indx Opt			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/30/2020	01/30/2021	8,082	26,538,607	3283.66		361,008		105,294					(255,714)				
S&P 500 Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/31/2020	01/31/2021	2,836	9,146,658	3225.52		170,581		49,753		52,219			(120,828)				
S&P 500 Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/31/2020	02/01/2021	2,883	9,299,783	3225.52		179,221		52,273		44,654			(126,949)				
S&P 500 Index Option			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	01/31/2020	02/02/2021	3,145	10,144,016	3225.52		199,431		58,167		79,942			(141,264)				

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SCHEDULE DB - PART A - SECTION 1

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S&P 500 Indx Opt			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	02/03/2020	17,119	55,617,119	3248.92		1,059,485		397,307		839,358			(662,178)					
MOPTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	02/04/2020	16,035	51,048,836	2949.81		1,135,010		425,629		1,040,713			(709,381)					
SPXDSUN Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	02/05/2020	11,334	27,757,069	1757.088		454,016		170,256		12,998			(283,760)					
PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	02/10/2020	111	3,259,191	29276.82		53,350		20,006		17,944			(33,344)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	02/20/2020	13,867	37,324,022	3373.23		1,128,225		423,084		913,200			(705,141)					
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	02/24/2020	2,553	8,236,530	3225.89		156,836		58,813		54,918			(98,022)					
S&P 500 Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/02/2020	2,977	9,201,097	3090.23		195,588		89,644		227,121			(105,943)					
PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/03/2020	3,326	9,989,205	3003.37		237,778		108,981		330,937			(128,796)					
S&P 500 Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/04/2020	4,959	14,213,379	2866.02		162,125		74,307		42,626			(87,818)					
MAV			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/09/2020	574	1,577,678	2746.56		21,614		9,907		29,884			(11,708)					
S&P 500 Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/10/2020	7,615	21,601,000	2836.74		196,913		90,252		108,593			(106,661)					
MAV			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/11/2020	5,183	14,560,418	2816.1		119,021		54,551		104,175			(64,470)					
SPXDSUN Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/13/2020	12,763	35,611,639	2809.35		401,390		183,970		381,750			(217,419)					
PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/13/2020	4,947	13,849,503	2809.35		145,516		66,695		132,029			(78,821)					
S&P 500 Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/17/2020	19,134	50,007,971	2792.78		1,391,504		637,773		2,659,962			(753,731)					
PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/18/2020	3,207	10,071,824	19898.92		212,564		97,425		334,314			(115,139)					
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/20/2020	43,582	105,921,074	2766.57		3,873,453		1,775,333		10,927,815			(2,098,121)					
SPXDSUN Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/20/2020	23,023	55,245,700	2766.57		2,057,476		943,010		5,664,953			(1,114,466)					
PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/24/2020	21,880	55,665,742	2774.66		1,321,689		605,774		3,207,640			(715,915)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/25/2019	846	1,423,979	1682.432	45,710			10,475		21,838			(17,141)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/26/2020	8,955	21,430,250	1645.784		245,412		112,481		320,182			(132,932)					
SPXDSUN Index Option			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	03/30/2020	3,671	10,239,786	2789.64		89,776		41,148		114,004			(48,629)					
PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCMJCFXT09	04/02/2020	9,717	25,055,912	2783.7	30,897	384,954		216,884		757,274			(188,023)					

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SCHEDULE DB - PART A - SECTION 1

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/08/2020	04/08/2021	15,510	40,011,078	1652.797		1,423,385		771,000		2,666,855			(652,385)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/10/2019	04/09/2021	460	782,644	1699.773	25,201			6,825		8,594			(9,450)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/14/2020	04/14/2021	5,754	16,162,638	2809.01		141,924		76,876		150,005			(65,049)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/15/2020	04/15/2021	4,629	12,974,130	2803.06		121,515		65,821		138,516			(55,695)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/16/2020	04/16/2021	5,293	8,810,311	1652.086	70,143	136,914		93,159		196,090			(89,056)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/20/2020	04/20/2021	13,291	37,521,436	2823.16		1,407,018		762,135		2,440,359			(644,883)				
S&P 500 Indx Opt MOPPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/21/2020	04/21/2021	12,937	35,403,874	2736.56		280,224		151,788		631,288			(128,436)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/23/2020	04/23/2021	18,061	50,561,214	2804.82		1,711,117		926,855		3,041,780			(784,262)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/27/2020	04/27/2021	14,922	42,951,810	2878.48		1,412,118		764,897		2,284,469			(647,221)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/28/2020	04/28/2021	7,512	21,168,946	2817.95		191,379		103,664		192,764			(87,716)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	04/30/2020	04/30/2021	4,468	7,404,311	1657.312		150,763		81,663		180,190			(69,100)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/04/2020	05/04/2021	17,885	53,692,463	2811.19		1,570,796		981,747		2,579,435			(589,048)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/05/2020	05/05/2021	12,510	35,884,845	2868.44		1,027,529		642,206		1,622,074			(385,324)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/07/2020	05/07/2021	3,728	10,485,443	2812.92		75,371		47,107		85,201			(28,264)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/11/2020	05/11/2021	9,248	26,440,220	2818.42		364,093		227,558		539,182			(136,535)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/13/2020	05/13/2021	5,921	15,761,370	2805.13	41,091	121,050		88,497		176,386			(60,803)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/15/2020	05/14/2021	31,528	89,348,246	2810.17		2,052,578		1,282,861		3,381,281			(769,717)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/15/2020	05/17/2021	4,467	12,552,987	2810.17		114,698		71,686		137,233			(43,012)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/18/2020	05/18/2021	4,988	14,082,486	2823.52		128,909		80,568		128,225			(48,341)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/20/2020	05/20/2021	16,007	47,565,423	2971.61		1,312,206		820,129		2,014,339			(492,077)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/22/2020	05/21/2021	26,572	78,531,256	2955.45		3,003,591		1,877,245		4,923,886			(1,126,347)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/22/2020	05/24/2021	13,587	40,155,387	2955.45		1,563,136		976,960		2,540,816			(586,176)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSRPFMYMCJFXT09	05/22/2020	05/25/2021	9,874	29,183,239	2955.45		1,007,056		629,410		1,570,745			(377,646)				

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	05/26/2020	05/26/2021	908	1,509,786	1663.415		28,526		17,829		30,785			(10,697)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	05/27/2020	05/27/2021	19,963	65,945,488	2837.39		1,394,232		871,395		1,806,221			(522,837)				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	05/28/2020	05/28/2021	3,212	9,110,844	2836.47		74,380		46,487		65,557			(27,892)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/01/2020	06/01/2021	20,793	61,082,495	1667.902		1,435,258		1,016,641		1,908,915			(418,617)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/03/2020	06/03/2021	11,985	37,429,033	3122.87		1,049,863		743,653		1,392,520			(306,210)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/04/2020	06/04/2021	4,997	22,059,784	2850.9		30,533		192,861		238,757			(86,410)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/05/2020	06/05/2021	97	2,621,434	27110.98		45,472		32,209		44,685			(13,263)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/05/2020	06/06/2021	92	2,488,983	27110.98		40,542		28,717		40,237			(11,825)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/05/2020	06/07/2021	88	2,378,522	27110.98		49,520		35,077		47,203			(14,443)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/08/2020	06/08/2021	5,707	19,079,556	2865.78		214,127		151,673		144,199			(62,454)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/10/2020	06/10/2021	3,974	17,386,923	2853.72		207,155		146,735		179,677			(60,420)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/11/2020	06/11/2021	412	10,484,146	25128.17		191,365		135,550		226,157			(55,815)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/12/2020	06/12/2021	118	3,017,983	25605.54		61,403		43,494		82,536			(17,909)				
Dow Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/12/2020	06/13/2021	43	1,099,474	25605.54		19,361		13,714		25,020			(5,647)				
Dow Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/12/2020	06/14/2021	148	3,793,278	25605.54		72,258		51,183		88,539			(21,075)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/15/2020	06/15/2021	180	4,624,691	25763.16		88,582		62,746		104,286			(25,837)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/17/2020	06/17/2021	17,591	59,178,389	2846.43		1,383,089		979,688		1,688,954			(403,401)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/18/2020	06/18/2021	17,744	57,687,495	2846.19		1,352,135		957,762		1,654,952			(394,373)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/22/2020	06/22/2021	12,138	40,748,309	3117.86		1,237,928		876,866		1,555,026			(361,062)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/23/2020	06/23/2021	168	4,400,723	26156.1		84,833		60,090		93,866			(24,743)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/29/2020	06/29/2021	12,749	41,639,867	3053.24		1,128,593		799,420		1,467,934			(329,173)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	06/30/2020	06/30/2021	6,681	18,994,147	2843.15		159,416		112,920		142,296			(46,496)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	07/01/2020	07/01/2021	16,310	49,595,661	2841.85		1,071,304		848,115		1,309,131			(223,188)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	07/06/2020	07/06/2021	21,780	66,893,503	2849.1		1,463,368		1,158,500		1,655,586			(304,868)				
S&P 500 Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	07/09/2020	07/09/2021	11,711	36,914,651	3152.05		932,714		738,399		1,145,403			(194,315)				
SPXDSUN Index Option PTPT			Equity/Index	WAC KB1H1DSPRFMYMCJFXT09	07/13/2020	07/13/2021	5,596	15,930,960	2846.72		151,047		119,579		134,764			(31,468)				

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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

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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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/14/2020	6,959	18,727,464	1675.708		184,068		145,721		147,312								(38,348)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/17/2020	21,322	64,839,148	2862.57		1,265,429		1,001,798		1,329,156								(263,631)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/17/2020	4,257	12,186,877	2862.57		134,996		106,872		100,099								(28,124)
S&P 500 Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/20/2020	11,588	37,683,321	3251.84		946,317		749,167		1,050,926								(197,149)
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/21/2020	149	3,993,896	26840.4		71,324		56,465		70,895								(14,859)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/27/2020	16,636	52,167,332	2867.74		1,166,396		923,397		1,250,515								(242,999)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/28/2020	6,012	22,107,696	2865.08		258,823		204,901		224,906								(53,921)
S&P 500 Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/29/2020	13,759	44,832,491	3258.44		1,118,984		885,862		1,222,183								(233,122)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/31/2020	10,766	27,419,979	2864.46		168,641		252,230		223,518								(112,050)
S&P 500 Index Option MAV			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/31/2019	38	113,747	2980.38		2,821		1,117		4,731								(1,058)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	07/31/2020	4,038	11,565,444	2864.46		124,645		98,677		90,493								(25,968)
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/03/2020	156	4,157,804	26664.4		87,261		76,353		91,648								(10,908)
S&P 500 Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/05/2020	12,472	41,504,678	3327.77		1,072,037		938,032		1,110,951								(134,005)
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/07/2020	34,776	114,757,865	27433.48		113,499		2,417,300		2,164,793		2,382,908						(344,724)
Dow Index Option MAV			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/07/2020	81	2,227,935	27433.48		40,615		35,538		39,890								(5,077)
Dow Index Option MAV			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/07/2020	33	895,844	27433.48		11,467		10,033		10,736								(1,433)
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/07/2020	16,534	57,842,262	27433.48		1,307,085		1,143,699		1,259,947								(163,386)
S&P 500 Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/10/2020	12,890	43,315,754	3360.47		1,040,318		910,278		1,031,186								(130,040)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/11/2020	5,400	15,565,912	2882.39		152,012		133,011		84,119								(19,002)
S&P 500 Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/12/2020	13,660	43,621,337	3380.35		84,523		903,369		991,938								(155,466)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/14/2020	28,951	92,758,636	2883.39		28,610		1,972,898		1,738,802		1,818,846						(257,341)
S&P 500 Index Option MAV			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/14/2019	51	144,235	2840.6		4,515		1,975		12,767								(1,693)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/14/2020	15,094	48,979,899	2883.39		1,144,109		1,001,095		1,056,459								(143,014)
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/18/2020	171	4,742,049	27778.07		88,250		77,219		77,708								(11,031)
Dow Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/19/2020	234	6,481,479	27692.88		129,856		113,624		115,230								(16,232)
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	08/20/2019	2,245	3,808,720	1695.351		123,864		54,191		61,525								(46,449)
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSPRFMYMCJFXT09	09/01/2020	5,867	16,947,798	2888.61		162,040		155,288		87,420								(6,752)

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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

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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 Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/02/2020	09/02/2021	7,423	26,579,704	3580.84	625,019		598,976		407,277			(26,042)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/04/2020	09/03/2021	13,244	36,064,352	2886.13	101,706		383,608		247,525			(52,699)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/04/2020	09/07/2021	3,602	10,395,779	2886.13	118,020		113,103		66,947			(4,918)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/09/2020	09/09/2021	7,373	21,265,956	2884.3	223,329		214,024		130,918			(9,305)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/11/2020	09/10/2021	10,064	28,063,852	2880.07	44,234		296,274		196,195			(28,548)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/11/2020	09/13/2021	3,797	10,935,350	2880.07	122,668		117,557		76,497			(5,111)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/15/2020	09/15/2021	5,865	16,935,177	2887.34	163,981		157,148		90,607			(6,833)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/21/2020	09/21/2021	6,526	17,558,172	1682.587	211,417		202,608		157,281			(8,809)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/22/2020	09/22/2021	6,156	17,683,147	2872.37	175,964		168,632		116,646			(7,332)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/23/2020	09/23/2021	4,792	13,695,381	2858.18	145,189		139,140		117,541			(6,050)						
S&P 500 Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/25/2020	09/24/2021	22,747	75,031,104	3298.46	2,163,930		2,073,766		2,297,296			(90,164)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/25/2020	09/27/2021	11,176	36,864,068	3298.46	1,069,891		1,025,312		1,137,810			(44,579)						
SPXDSUN Index Option PTPT			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	09/28/2020	09/28/2021	5,860	16,856,781	2876.63	184,448		176,762		124,265			(7,685)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	10/03/2019	10/01/2021	493	837,008	1698.843	27,496		14,321		13,950			(10,311)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	10/09/2019	10/08/2021	964	1,638,068	1698.767	53,729		27,984		27,642			(20,148)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	10/16/2019	10/15/2021	382	653,416	1711.954	21,299		11,094		9,013			(7,988)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	10/23/2019	10/22/2021	508	872,390	1718.878	28,614		14,903		10,860			(10,730)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	11/25/2019	11/24/2021	588	1,023,392	1739.748	33,567		18,882		9,542			(12,588)						
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC	KB1H1DSRPFMYMCJFXT09	12/06/2019	12/06/2021	287	500,392	1745.743	16,263		9,825		4,318			(6,099)						

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	12/16/2019	12/16/2021	466	816,512	1752.148	26,455			15,983		6,444			(9,921)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	12/17/2019	12/17/2021	929	1,626,957	1751.727	52,795			31,897		12,967			(19,798)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	01/22/2020	01/21/2022	580	1,025,378	1766.377		33,940		21,920		6,874			(12,020)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	02/05/2020	02/04/2022	385	676,096	1757.088		22,108		15,199		5,502			(6,909)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	02/19/2020	02/18/2022	558	979,930	1756.894		33,024		22,704		8,248			(10,320)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	03/18/2020	03/18/2022	969	1,589,386	1639.444		53,562		39,056		66,356			(14,506)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	03/26/2020	03/25/2022	669	1,100,946	1645.784		36,772		26,813		43,149			(9,959)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	04/08/2020	04/08/2022	600	991,705	1652.797		33,222		25,609		36,330			(7,613)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	04/16/2020	04/14/2022	328	542,391	1652.086		17,899		13,797		20,092			(4,102)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	04/30/2020	04/29/2022	803	1,331,505	1657.312		43,407		33,460		47,023			(9,947)					
S&P 500 Index Option MAV			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	05/20/2020	05/20/2022	36	105,558	2971.61		4,624		3,750		10,162			(869)					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	WAC KB1H1DSPRFMYMCMJFXT09	05/26/2020	05/26/2022	488	811,452	1663.415		24,830		20,175		27,262			(4,656)					
0209999999. Subtotal - Purchased Options - Hedging Other - Other										211,913,529	554,919,053		372,495,344	XXX	874,851,975			(365,440,931)			XXX	XXX	
0219999999. Subtotal - Purchased Options - Hedging Other										211,913,529	554,919,053		372,495,344	XXX	874,851,975			(365,440,931)			XXX	XXX	
0289999999. Subtotal - Purchased Options - Replications														XXX							XXX	XXX	
0359999999. Subtotal - Purchased Options - Income Generation														XXX							XXX	XXX	
0429999999. Subtotal - Purchased Options - Other														XXX							XXX	XXX	
0439999999. Total Purchased Options - Call Options and Warrants														XXX							XXX	XXX	
0449999999. Total Purchased Options - Put Options														XXX							XXX	XXX	
0459999999. Total Purchased Options - Caps														XXX							XXX	XXX	
0469999999. Total Purchased Options - Floors														XXX							XXX	XXX	

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0479999999. Total Purchased Options - Collars														XXX					XXX	XXX	XXX																
0489999999. Total Purchased Options - Other														XXX	874,851,975						(365,440,931)						XXX	XXX									
0499999999. Total Purchased Options														XXX	874,851,975						(365,440,931)								XXX	XXX							
0569999999. Subtotal - Written Options - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108														XXX																			XXX	XXX			
0639999999. Subtotal - Written Options - Hedging Effective Variable Annuity Guarantees Under SSAP No.108														XXX																						XXX	XXX
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/01/2019	10/01/2020	874	2,371,682	1707.946	(118,617)			(4,942)		(219,990)								88,963														
SPXDSUN Index Option			Equity/Index	EGL	10/04/2019	10/02/2020	2,747	7,668,024	2861.83	(413,185)			(17,216)		(827,641)								309,888														
S&P 500 Indx Opt			Equity/Index	EGL	10/04/2019	10/04/2020	6	17,558	2952.01	(400)			(17)										300														
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/04/2019	10/05/2020	559	1,514,825	1707.474	(67,971)			(2,832)		(119,046)								50,978														
S&P 500 Index Option			Equity/Index	EGL	10/04/2019	10/06/2020	348	1,027,981	2952.01	(49,693)			(2,071)		(96,275)								37,270														
SPXDSUN Index Option			Equity/Index	EGL	10/07/2019	10/07/2020	263	769,399	2855.69	(34,321)			(1,430)		(62,939)								25,741														
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/08/2019	10/08/2020	723	1,952,425	1693.963	(107,532)			(4,481)		(235,899)								80,649														
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/11/2019	10/09/2020	2,655	7,342,788	1711.267	(365,490)			(15,229)		(689,740)								274,117														
SPXDSUN Index Option			Equity/Index	EGL	10/11/2019	10/12/2020	616	1,819,112	2869.74	(87,823)			(3,659)		(153,379)								65,867														
SPXDSUN Index Option			Equity/Index	EGL	10/11/2019	10/13/2020	389	1,152,711	2869.74	(58,835)			(2,451)		(108,392)								44,126														
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/14/2019	10/14/2020	508	1,437,390	1708.957	(70,324)			(2,930)		(130,158)								52,743														
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/15/2019	10/15/2020	532	1,502,966	1712.384	(71,823)			(2,993)		(129,035)								53,867														
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/18/2019	10/16/2020	3,763	10,245,292	1716.984	(480,705)			(20,029)		(826,674)								360,529														
SPXDSUN Index Option			Equity/Index	EGL	10/18/2019	10/19/2020	517	1,532,504	2880.65	(76,992)			(3,208)		(135,852)								57,744														
SPXDSUN Index Option			Equity/Index	EGL	10/18/2019	10/20/2020	407	1,212,498	2880.65	(62,160)			(2,590)		(115,841)								46,620														
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	10/21/2019	10/21/2020	287	818,583	1718.769	(35,843)			(1,493)		(61,606)								26,882														

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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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	10/22/2019	10/22/2020	531	1,508,876	1717.657	(65,230)			(2,718)		(111,291)			48,923				
UST 1.625% 08/15/29			Equity/Index	Equity/Index	10/23/2019	10/23/2020	2,510	6,939,837	98	(304,977)			(12,707)		(494,502)			228,733				
Total Return Options SPXDSUN Index Option			Equity/Index	Equity/Index	10/25/2019	10/26/2020	698	2,102,743	2885.61	(113,114)			(4,713)		(195,325)			84,836				
S&P 500 Index Option			Equity/Index	Equity/Index	10/25/2019	10/27/2020	417	1,259,144	3022.55	(65,805)			(2,742)		(116,567)			49,353				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	10/28/2019	10/28/2020	198	497,956	1720.818	(18,521)			(772)		(26,057)			13,891				
S&P 500 Index Option			Equity/Index	Equity/Index	10/29/2019	10/29/2020	567	1,509,329	3036.89	(67,821)			(2,826)		(102,133)			50,866				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	11/01/2019	10/30/2020	2,684	7,627,375	1728.277	(352,305)			(24,450)		(548,040)			264,229				
S&P 500 Index Option			Equity/Index	Equity/Index	11/01/2019	11/02/2020	525	1,566,176	3066.91	(82,736)			(10,342)		(132,477)			62,052				
SPXDSUN Index Option			Equity/Index	Equity/Index	11/01/2019	11/03/2020	506	1,538,891	2902.38	(61,591)			(7,699)		(88,282)			46,193				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	11/04/2019	11/04/2020	188	553,726	1730.734	(24,307)			(3,038)		(33,835)			18,230				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	11/05/2019	11/05/2020	399	1,156,527	1731.778	(49,513)			(6,189)		(70,653)			37,135				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	11/08/2019	11/06/2020	2,077	6,085,361	1735.737	(304,126)			(38,016)		(437,177)			228,095				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	11/08/2019	11/09/2020	547	1,588,425	1735.737	(76,670)			(9,584)		(105,188)			57,502				
SPXDSUN Index Option			Equity/Index	Equity/Index	11/08/2019	11/10/2020	408	1,255,683	2916.08	(57,342)			(7,168)		(80,485)			43,007				
SPXDSUN Index Option			Equity/Index	Equity/Index	11/11/2019	11/11/2020	326	1,004,721	2914.81	(36,403)			(4,550)		(52,296)			27,302				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	Equity/Index	11/12/2019	11/12/2020	386	1,019,436	1734.836	(48,718)			(6,090)		(66,251)			36,539				
S&P 500 Index Option			Equity/Index	Equity/Index	11/15/2019	11/13/2020	2,206	6,583,522	3120.46	(307,951)			(38,494)		(425,624)			230,963				
S&P 500 Index Option			Equity/Index	Equity/Index	11/15/2019	11/16/2020	393	1,225,674	3120.46	(70,266)			(8,783)		(101,195)			52,700				
SPXDSUN Index Option			Equity/Index	Equity/Index	11/15/2019	11/17/2020	389	1,207,995	2924.81	(58,529)			(7,316)		(80,499)			43,896				

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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)	
SPXDSUN Index Option PTPT			Equity/Index	EGE	11/18/2019	11/18/2020	253	786,890	2922.46	(33,758)			(4,220)		(45,504)			25,318					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	11/19/2019	11/19/2020	515	1,401,587	1736.626	(60,192)			(7,524)		(78,470)			45,144					
SPXDSUN Index Option PTPT			Equity/Index	EGE	11/22/2019	11/20/2020	2,637	7,637,959	2919.09	(352,058)			(44,007)		(486,831)			264,044					
S&P 500 Indx Opt MOPTPT			Equity/Index	EGE	11/21/2019	11/21/2020	9	27,605	3103.54	(654)			(82)					491					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	11/22/2019	11/23/2020	484	1,302,947	1736.153	(56,913)			(7,114)		(74,475)			42,685					
S&P 500 Index Option PTPT			Equity/Index	EGE	11/22/2019	11/24/2020	492	1,530,740	3110.29	(78,688)			(9,836)		(115,965)			59,016					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	11/26/2019	11/25/2020	610	1,790,849	1743.65	(77,988)			(9,749)		(104,227)			58,491					
S&P 500 Index Option PTPT			Equity/Index	EGE	11/29/2019	11/27/2020	1,413	4,345,813	3140.98	(230,212)			(28,776)		(315,074)			172,659					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	11/29/2019	11/30/2020	910	2,564,263	1742.905	(116,580)			(14,573)		(146,728)			87,435					
SPXDSUN Index Option PTPT			Equity/Index	EGE	11/29/2019	12/01/2020	747	2,341,336	2931.64	(106,051)			(13,256)		(145,136)			79,538					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	12/02/2019	12/02/2020	304	814,452	1736.243	(31,262)			(6,513)		(37,872)			23,447					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	12/03/2019	12/03/2020	520	1,556,897	1730.884	(81,370)			(16,952)		(122,279)			61,028					
SPXDSUN Index Option PTPT			Equity/Index	EGE	12/06/2019	12/04/2020	2,068	6,251,982	2937.82	(315,821)			(65,796)		(446,400)			236,866					
S&P 500 Indx Opt MOPTPT			Equity/Index	EGE	12/06/2019	12/06/2020	3	10,963	3145.91	(261)			(54)					196					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	12/06/2019	12/07/2020	673	1,829,796	1745.743	(80,099)			(16,687)		(97,721)			60,074					
SPXDSUN Index Option PTPT			Equity/Index	EGE	12/06/2019	12/08/2020	348	1,090,265	2937.82	(53,386)			(11,122)		(73,648)			40,040					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	12/09/2019	12/09/2020	212	636,807	1744.504	(28,307)			(5,897)		(39,126)			21,230					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	12/10/2019	12/10/2020	346	961,216	1740.576	(47,060)			(9,804)		(61,338)			35,295					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	12/13/2019	12/11/2020	2,312	6,403,298	1748.551	(305,917)			(63,733)		(383,153)			229,437					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	12/13/2019	12/14/2020	515	1,459,320	1748.551	(64,643)			(13,467)		(78,526)			48,482					
S&P 500 Index Option PTPT			Equity/Index	EGL	12/13/2019	12/15/2020	321	1,016,556	3168.8	(48,070)			(10,015)		(66,101)			36,053					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	12/16/2019	12/16/2020	394	927,854	1752.148	(31,764)			(6,618)		(28,402)			23,823					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	12/17/2019	12/17/2020	496	1,534,186	1751.727	(73,070)			(15,223)		(91,884)			54,802					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	12/20/2019	12/18/2020	2,854	8,070,939	1757.877	(351,855)			(73,303)		(404,611)			263,891					
SPXDSUN Index Option PTPT			Equity/Index	EGL	12/20/2019	12/21/2020	679	2,180,912	2960.33	(123,855)			(25,803)		(155,142)			92,891					
SPXDSUN Index Option PTPT			Equity/Index	EGL	12/20/2019	12/22/2020	635	2,038,188	2960.33	(96,051)			(20,011)		(116,695)			72,038					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	12/23/2019	12/23/2020	419	1,182,194	1758.114	(46,477)			(9,683)		(49,758)			34,858					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	EGL	12/26/2019	12/24/2020	2,384	6,470,429	98	(301,630)			(62,840)		(329,413)			226,222					
SPXDSUN Index Option PTPT			Equity/Index	EGL	12/27/2019	12/28/2020	965	3,076,069	2966.36	(150,166)			(31,285)		(168,910)			112,625					
S&P 500 Index Option PTPT			Equity/Index	EGL	12/27/2019	12/29/2020	304	986,296	3240.02	(49,376)			(10,287)		(60,576)			37,032					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	12/30/2019	12/30/2020	669	1,882,638	1756.966	(77,038)			(16,050)		(86,315)			57,778					
UST 1.75% 11/15/29 Total Return Options			Equity/Index	EGL	01/02/2020	12/31/2020	2,193	6,495,669	98	(74,683)	(252,333)		(89,156)		(389,600)			234,748					
SPXDSUN Index Option PTPT			Equity/Index	EGL	01/03/2020	01/04/2021	759	2,387,656	2954.68		(100,571)		(29,333)		(103,441)			71,238					
S&P Digital			Equity/Index	EGL	01/03/2020	01/05/2021	388	1,253,732	3234.85		(61,476)		(17,931)		(77,652)			43,546					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/06/2020	01/06/2021	104	319,780	1753.574		(16,758)		(4,888)		(19,665)			11,870					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/07/2020	01/07/2021	424	1,221,364	1748.271		(53,497)		(15,603)		(62,414)			37,894					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/10/2020	01/08/2021	2,047	6,092,942	1750.855		(270,154)		(78,795)		(288,121)			191,359				
S&P 500 Indx Opt MOPPT			Equity/Index	EGL	01/10/2020	01/10/2021	1	3,637	3265.35		(97)		(28)					69				
S&P 500 Index Option PTP			Equity/Index	EGL	01/10/2020	01/11/2021	563	1,837,958	3265.35		(93,639)		(27,312)		(114,868)			66,328				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/10/2020	01/12/2021	253	826,540	3265.35		(44,274)		(12,913)		(54,702)			31,361				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/13/2020	01/13/2021	271	871,935	1757.955		(36,410)		(10,620)		(40,388)			25,790				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/14/2020	01/14/2021	793	2,441,609	1757.185		(110,986)		(32,371)		(122,532)			78,615				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/17/2020	01/15/2021	3,273	9,594,990	1770.033		(442,772)		(129,142)		(446,943)			313,630				
SPXDSUN Index Option PTP			Equity/Index	EGL	01/17/2020	01/19/2021	302	996,192	2966.41		(46,339)		(13,516)		(45,900)			32,824				
S&P Digital			Equity/Index	EGL	01/17/2020	01/20/2021	217	723,174	3329.62		(27,221)		(7,940)		(28,151)			19,282				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/21/2020	01/21/2021	290	748,210	1765.952		(30,036)		(8,760)		(26,512)			21,275				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/23/2020	01/22/2021	3,012	9,014,812	1765.595		(424,061)		(123,684)		(429,273)			300,376				
SPXDSUN Index Option PTP			Equity/Index	EGL	01/24/2020	01/25/2021	734	2,358,956	2965.73		(112,158)		(32,713)		(114,177)			79,445				
S&P 500 Index Option PTP			Equity/Index	EGL	01/24/2020	01/26/2021	505	1,665,567	3295.47		(76,867)		(22,420)		(86,994)			54,448				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/27/2020	01/27/2021	504	1,418,771	1743.539		(58,480)		(17,057)		(65,661)			41,423				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	01/28/2020	01/28/2021	609	1,852,167	1748.844		(85,610)		(24,969)		(94,768)			60,640				
UST 1.75% 11/15/29			Equity/Index	EGL	01/29/2020	01/29/2021	3,807	10,201,564	98		(481,295)		(140,378)		(564,280)			340,917				
Total Return Options S&P 500 Indx Opt MOPPT			Equity/Index	EGL	01/30/2020	01/30/2021	17	56,217	3283.66		(1,484)		(433)					1,051				
SPXDSUN Index Option PTP			Equity/Index	EGL	01/31/2020	02/01/2021	854	2,734,427	2919.88		(152,582)		(44,503)		(204,162)			108,079				
SPXDSUN Index Option PTP			Equity/Index	EGL	01/31/2020	02/02/2021	450	1,444,818	2919.88		(64,215)		(18,729)		(81,852)			45,485				

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/03/2020	02/03/2021	813	2,014,656	1733.223		(77,499)		(29,062)		(78,175)			48,437					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/04/2020	02/04/2021	644	1,948,230	1746.356		(81,240)		(30,465)		(89,473)			50,775					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/05/2020	02/05/2021	3,097	8,936,267	1757.088		(395,410)		(148,279)		(383,256)			247,131					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/07/2020	02/08/2021	1,108	3,453,310	1751.089		(176,442)		(66,166)		(186,739)			110,276					
S&P Digital			Equity/Index	EGL	02/07/2020	02/09/2021	391	1,301,472	3327.71		(55,081)		(20,655)		(60,018)			34,426					
S&P 500 Index Option PTP			Equity/Index	EGL	02/10/2020	02/10/2021	280	937,288	3352.09		(39,751)		(14,907)		(40,984)			24,844					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/11/2020	02/11/2021	1,260	3,234,009	1755.722		(134,519)		(50,445)		(113,608)			84,074					
UST 1.75% 11/15/29			Equity/Index	EGL	02/12/2020	02/12/2021	3,707	11,681,553	98		(570,970)		(214,114)		(534,748)			356,856					
Total Return Options S&P 500 Indx Opt			Equity/Index	EGL	02/13/2020	02/13/2021	15	49,232	3373.94		(1,172)		(439)					732					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/14/2020	02/16/2021	448	1,405,798	1760.14		(57,357)		(21,509)		(49,181)			35,848					
S&P 500 Index Option PTP			Equity/Index	EGL	02/14/2020	02/17/2021	188	635,653	3380.16		(27,778)		(10,417)		(26,060)			17,362					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/18/2020	02/18/2021	369	1,166,644	1756.455		(52,717)		(19,769)		(51,285)			32,948					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/19/2020	02/19/2021	3,337	10,309,228	1756.894		(479,789)		(179,921)		(443,493)			299,868					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/21/2020	02/22/2021	678	2,204,125	1753.583		(107,677)		(40,379)		(108,261)			67,298					
SPXDSUN Index Option PTP			Equity/Index	EGL	02/21/2020	02/23/2021	576	1,893,576	2964.92		(80,657)		(30,246)		(79,558)			50,411					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/24/2020	02/24/2021	386	1,211,869	1732.271		(52,819)		(19,807)		(65,485)			33,012					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/25/2020	02/25/2021	1,591	3,829,018	1705.977		(188,394)		(70,648)		(264,431)			117,746					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/27/2020	02/26/2021	3,522	10,022,570	1672.57		(579,434)		(217,288)		(1,044,960)			362,146					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	02/28/2020	03/01/2021	1,230	3,530,475	1664.838		(234,351)		(87,882)		(442,267)			146,470					
S&P Digital			Equity/Index	EGL	03/02/2020	03/02/2021	954	2,591,736	3090.23		(128,599)		(58,941)		(215,965)			69,658					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/03/2020	03/03/2021	714	1,873,187	1678.038		(101,641)		(46,586)		(183,161)			55,056					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/04/2020	03/04/2021	1,543	4,127,237	1692.687		(208,313)		(95,477)		(302,793)			112,836					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/06/2020	03/05/2021	3,802	10,009,153	1679.892		(583,330)		(267,359)		(938,232)			315,970					
S&P 500 Indx Opt MOPTPT			Equity/Index	EGL	03/06/2020	03/06/2021	8	23,423	2972.37		(454)		(208)		(89)			246					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/06/2020	03/08/2021	1,072	2,962,401	1679.892		(225,951)		(103,561)		(382,574)			122,390					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/09/2020	03/09/2021	676	1,690,383	1662.32		(122,626)		(56,204)		(262,594)			66,423					
SPXDSUN Index Option PTPPT			Equity/Index	EGL	03/10/2020	03/10/2021	553	1,591,647	2836.74		(78,904)		(36,164)		(140,377)			42,740					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/11/2020	03/11/2021	959	2,559,643	1660.695		(225,718)		(103,454)		(497,502)			122,264					
UST 1.50% 02/15/30			Equity/Index	EGL	03/11/2020	03/12/2021	4,184	9,390,861	98		(783,043)		(358,895)		(1,704,499)			424,148					
Total Return Options S&P 500 Index Option PTPPT			Equity/Index	EGL	03/13/2020	03/15/2021	891	2,415,700	2711.02		(256,304)		(117,473)		(516,575)			138,831					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/16/2020	03/16/2021	1,130	2,513,071	1637.114		(202,120)		(92,638)		(545,413)			109,481					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	03/17/2020	03/17/2021	613	1,492,652	1647.119		(117,802)		(53,993)		(267,300)			63,809					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/18/2020	03/18/2021	1,198	2,602,417	1639.444		(275,928)		(126,467)		(616,068)			149,461				
UST 1.50% 02/15/30 Total Return Options SPXDSUN Index Option PTP			Equity/Index	EGE	03/18/2020	03/19/2021	5,658	12,184,861	98		(1,203,730)		(551,710)		(3,622,007)			652,021				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/20/2020	03/22/2021	1,620	3,778,005	2766.57		(350,859)		(160,811)		(1,152,305)			190,049				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/23/2020	03/23/2021	1,277	2,831,550	1626.821		(247,403)		(113,393)		(906,190)			134,010				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/24/2020	03/24/2021	1,440	3,387,295	1637.278		(181,642)		(83,253)		(581,177)			98,390				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/25/2020	03/25/2021	1,607	3,663,011	1639.534		(341,605)		(156,569)		(1,066,083)			185,036				
UST 1.50% 02/15/30 Total Return Options S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/25/2020	03/26/2021	4,285	10,416,035	98		(825,340)		(378,281)		(2,144,753)			447,059				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/27/2020	03/29/2021	1,773	4,262,760	1643.385		(395,111)		(181,093)		(1,082,300)			214,019				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/30/2020	03/30/2021	1,171	2,696,911	1646.563		(180,256)		(82,617)		(433,014)			97,639				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	03/31/2020	03/31/2021	871	2,138,247	1644.887		(140,486)		(64,390)		(340,525)			76,097				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/03/2020	04/01/2021	5,912	14,387,926	1641.261		(1,304,119)		(706,398)		(3,534,200)			597,721				
S&P 500 Indx Opt MOPTPT			Equity/Index	EGE	04/03/2020	04/04/2021	16	40,445	2488.65		(708)		(383)		(1,967)			324				
SPXDSUN Index Option PTP			Equity/Index	EGE	04/03/2020	04/05/2021	1,502	3,813,920	2781.79		(322,658)		(174,773)		(883,536)			147,885				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/06/2020	04/06/2021	774	1,746,373	1648.238		(121,931)		(66,046)		(284,972)			55,885				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/07/2020	04/07/2021	846	2,007,298	1648.723		(126,047)		(68,275)		(289,729)			57,771				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/08/2020	04/08/2021	1,144	3,029,560	1652.797		(229,571)		(124,351)		(492,368)			105,220				

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UST 1.50% 02/15/30 Total Return Options S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/08/2020	04/09/2021	3,423	8,591,647	98		(680,989)		(368,869)		(1,415,997)			312,120				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/09/2020	04/12/2021	1,014	2,753,015	1654.926		(242,137)		(131,157)		(511,962)			110,979				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/13/2020	04/13/2021	704	1,875,702	1652.453		(140,119)		(75,898)		(298,638)			64,221				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/14/2020	04/14/2021	429	1,012,251	1655.748		(46,704)		(25,298)		(83,117)			21,406				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/15/2020	04/15/2021	1,404	3,735,897	1651.988		(274,015)		(148,425)		(566,580)			125,590				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/17/2020	04/16/2021	5,124	12,039,472	1656.443		(812,280)		(439,985)		(1,524,519)			372,295				
SPXDSUN Index Option PTPT			Equity/Index	EGE	04/17/2020	04/19/2021	523	1,502,944	2811.14		(134,244)		(72,716)		(247,870)			61,529				
SPXDSUN Index Option PTPT			Equity/Index	EGE	04/20/2020	04/20/2021	712	2,010,769	2806.96		(142,110)		(76,976)		(269,237)			65,134				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/21/2020	04/21/2021	575	1,447,118	1650.374		(97,943)		(53,053)		(194,859)			44,891				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/22/2020	04/22/2021	1,015	2,598,246	1652.233		(199,317)		(107,963)		(379,353)			91,353				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/23/2020	04/23/2021	4,125	10,788,073	1651.819		(930,066)		(503,786)		(1,740,360)			426,280				
S&P 500 Index Option PTPT			Equity/Index	EGE	04/24/2020	04/26/2021	994	2,818,513	2836.74		(266,285)		(144,237)		(492,424)			122,047				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/27/2020	04/27/2021	715	2,024,221	1657.04		(139,412)		(75,515)		(253,495)			63,897				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/28/2020	04/28/2021	831	2,079,512	1658.547		(109,735)		(59,440)		(198,901)			50,295				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGE	04/29/2020	04/29/2021	874	2,348,837	1660.633		(149,951)		(81,224)		(258,630)			68,728				

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/01/2020	04/30/2021	3,334	9,225,870	1652.924		(736,646)		(444,017)		(1,392,006)			292,629					
S&P 500 Indx Opt MOPTPT			Equity/Index	EGL	05/01/2020	05/01/2021	1	3,711	2830.71		(59)		(37)		(121)			22					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/01/2020	05/03/2021	1,102	3,002,310	1652.924		(218,184)		(136,365)		(412,246)			81,819					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/04/2020	05/04/2021	735	2,059,483	1653.149		(139,390)		(87,119)		(260,562)			52,271					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/05/2020	05/05/2021	390	1,057,937	1653.663		(57,367)		(35,855)		(103,304)			21,513					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/06/2020	05/06/2021	445	1,226,576	1651.692		(81,220)		(50,763)		(155,556)			30,458					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/07/2020	05/07/2021	3,401	8,619,087	1653.695		(588,985)		(368,115)		(1,061,418)			220,869					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/08/2020	05/10/2021	1,332	3,741,190	1657.688		(258,784)		(161,740)		(460,921)			97,044					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/11/2020	05/11/2021	524	1,437,307	1656.75		(84,649)		(52,906)		(153,728)			31,743					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/12/2020	05/12/2021	758	1,864,349	1652.908		(84,734)		(52,959)		(156,620)			31,775					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/13/2020	05/13/2021	665	1,689,448	1648.826		(138,017)		(86,261)		(282,637)			51,756					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/15/2020	05/14/2021	3,128	8,168,334	1651.574		(599,432)		(374,645)		(1,163,780)			224,787					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/15/2020	05/17/2021	887	2,515,915	1651.574		(209,578)		(130,986)		(415,217)			78,592					

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/18/2020	05/18/2021	1,048	2,796,768	1659.311		(167,886)		(104,928)		(301,456)			62,957					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/19/2020	05/19/2021	416	1,105,374	1656.559		(55,791)		(34,869)		(99,335)			20,921					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/20/2020	05/20/2021	941	2,574,315	1659.215		(136,857)		(85,536)		(229,860)			51,321					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/21/2020	05/21/2021	3,392	9,587,251	1658.911		(683,524)		(427,202)		(1,219,639)			256,321					
SPXDSUN Index Option PTP			Equity/Index	EGL	05/22/2020	05/24/2021	1,107	3,270,190	2822.73		(249,971)		(156,232)		(448,725)			93,739					
SPXDSUN Index Option PTP			Equity/Index	EGL	05/22/2020	05/25/2021	470	1,388,323	2822.73		(91,668)		(57,293)		(160,291)			34,376					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/26/2020	05/26/2021	615	1,596,767	1663.415		(74,810)		(46,756)		(119,845)			28,054					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	05/27/2020	05/27/2021	421	1,170,388	1667.171		(41,150)		(25,719)		(59,253)			15,431					
UST .625% 05/28/21 Total Return Option			Equity/Index	EGL	05/27/2020	05/28/2021	4,671	13,216,508	98		(888,286)		(555,179)		(1,414,223)			333,107					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/01/2020	06/01/2021	887	2,540,538	1667.902		(118,162)		(83,698)		(177,139)			34,464					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/02/2020	06/02/2021	549	1,559,107	1669.76		(57,032)		(40,398)		(78,492)			16,634					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/03/2020	06/03/2021	607	1,661,840	1674.443		(88,006)		(62,338)		(124,084)			25,669					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/04/2020	06/04/2021	2,703	8,132,006	1674.71		(422,202)		(299,060)		(563,236)			123,142					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/05/2020	06/07/2021	792	2,321,113	1680.652		(138,077)		(97,805)		(185,583)			40,273					

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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	
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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/08/2020	06/08/2021	481	1,473,354	1683.306		(66,034)		(46,774)		(79,923)			19,260					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/09/2020	06/09/2021	708	2,129,660	1679.595		(96,013)		(68,010)		(117,606)			28,004					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/10/2020	06/10/2021	927	2,524,371	1676.188		(111,463)		(78,953)		(141,230)			32,510					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/11/2020	06/11/2021	2,636	7,222,796	1664.386		(443,187)		(313,924)		(636,940)			129,263					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/12/2020	06/14/2021	847	2,505,062	1667.203		(165,947)		(117,546)		(234,306)			48,401					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/07/2020	06/15/2021	1,154	2,795,032	1670.632		(155,205)		(110,962)		(222,647)			44,244					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/16/2020	06/16/2021	614	1,575,772	1673.01		(61,995)		(43,913)		(76,434)			18,082					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/17/2020	06/17/2021	797	2,226,657	1671.732		(109,179)		(77,335)		(144,899)			31,844					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/18/2020	06/18/2021	2,951	8,042,128	1671.608		(385,511)		(273,071)		(505,622)			112,441					
S&P 500 Indx Opt MOPTPT			Equity/Index	EGL	06/19/2020	06/20/2021	1	3,257	3097.74		(55)		(39)		(87)			16					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/19/2020	06/21/2021	844	2,586,317	1670.204		(145,527)		(103,082)		(199,376)			42,446					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/22/2020	06/22/2021	1,055	3,021,839	1670.078		(206,562)		(146,315)		(284,165)			60,247					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/23/2020	06/23/2021	330	1,015,508	1670.248		(43,375)		(30,724)		(56,167)			12,651					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/24/2020	06/24/2021	685	1,962,405	1664.462		(119,780)		(84,844)		(174,069)			34,936					

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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

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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)
UST 0.625% 05/15/30 Total Return Options			Equity/Index	EGL	06/24/2020	06/25/2021	3,508	8,108,994	100		(461,064)		(326,587)		(696,001)			134,477				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/26/2020	06/28/2021	1,312	2,983,419	1662.432		(132,091)		(93,565)		(194,735)			38,527				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/29/2020	06/29/2021	634	1,824,751	1666.93		(92,463)		(65,494)		(132,905)			26,968				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	06/30/2020	06/30/2021	549	1,455,606	1669.491		(53,670)		(38,016)		(69,403)			15,654				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/01/2020	07/01/2021	1,088	2,656,453	1668.725		(100,465)		(79,535)		(131,070)			20,930				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/02/2020	07/02/2021	2,590	7,850,715	1670.568		(405,506)		(321,026)		(567,617)			84,480				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/06/2020	07/06/2021	801	2,173,492	1672.873		(88,705)		(70,225)		(110,665)			18,480				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/07/2020	07/07/2021	607	1,534,120	1670.632		(63,089)		(49,945)		(81,004)			13,144				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/08/2020	07/08/2021	513	1,543,737	1670.623		(63,104)		(49,957)		(78,352)			13,147				
UST .625% 05/28/21 Total Return Option			Equity/Index	EGL	07/08/2020	07/09/2021	2,551	6,058,216	98		(292,512)		(231,572)		(373,514)			60,940				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/10/2020	07/12/2021	585	1,834,229	1671.036		(93,161)		(73,753)		(118,040)			19,409				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/13/2020	07/13/2021	482	1,431,994	1671.205		(75,235)		(59,561)		(100,650)			15,674				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/14/2020	07/14/2021	438	1,330,393	1675.708		(48,853)		(38,675)		(57,280)			10,178				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/15/2020	07/15/2021	714	1,942,558	1679.639		(82,291)		(65,147)		(93,066)			17,144				
UST 0.625% 05/15/30 Total Return Options			Equity/Index	EGL	07/15/2020	07/16/2021	2,763	7,463,886	98		(355,468)		(281,412)		(423,548)			74,056				

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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 Indx Opt MOPTPT			Equity/Index	EGL	07/17/2020	07/18/2021	3	8,730	3224.73		(189)		(149)		(180)			39				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/17/2020	07/19/2021	806	2,493,537	1680.448		(127,332)		(100,804)		(154,025)			26,527				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/20/2020	07/20/2021	543	1,507,643	1677.845		(61,794)		(48,920)		(71,254)			12,874				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/21/2020	07/21/2021	462	1,298,837	1680.67		(44,292)		(35,064)		(48,901)			9,227				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/22/2020	07/22/2021	603	1,840,051	1682.712		(70,537)		(55,842)		(77,201)			14,695				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/23/2020	07/23/2021	3,128	8,851,561	1682.967		(402,226)		(318,429)		(479,802)			83,797				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/24/2020	07/26/2021	857	2,534,059	1682.052		(128,658)		(101,854)		(158,232)			26,804				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/27/2020	07/27/2021	638	1,705,679	1683.204		(83,140)		(65,819)		(98,186)			17,321				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/28/2020	07/28/2021	716	1,935,650	1681.718		(62,368)		(49,375)		(70,107)			12,993				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/29/2020	07/29/2021	752	2,052,404	1685.33		(80,463)		(63,700)		(89,242)			16,763				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	07/31/2020	07/30/2021	3,704	10,364,191	1681.218		(506,731)		(401,162)		(561,208)			105,569				
SPXDSUN Index Option PPTPT			Equity/Index	EGL	07/31/2020	08/02/2021	770	2,501,356	2864.46		(147,662)		(116,899)		(165,059)			30,763				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/03/2020	08/03/2021	600	1,685,292	1681.61		(68,673)		(60,089)		(73,678)			8,584				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/04/2020	08/04/2021	450	1,431,158	1682.532		(52,122)		(45,606)		(55,143)			6,515				

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/05/2020	08/05/2021	784	2,443,576	1684.826		(101,385)		(88,712)		(105,635)			12,673				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/07/2020	08/06/2021	2,876	8,137,674	1687.656		(390,185)		(341,412)		(390,211)			48,773				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/07/2020	08/09/2021	570	1,796,165	1687.656		(97,189)		(85,041)		(99,010)			12,149				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/10/2020	08/10/2021	477	1,562,376	1691.193		(58,479)		(51,169)		(58,354)			7,310				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/11/2020	08/11/2021	457	1,364,116	1691.587		(42,048)		(36,792)		(42,254)			5,256				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/12/2020	08/12/2021	651	1,785,952	1693.745		(51,407)		(44,981)		(46,358)			6,426				
UST .625% 05/28/21 Total Return Option . S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/12/2020	08/13/2021	2,604	6,428,817	98		(269,654)		(235,948)		(255,988)			33,707				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/14/2020	08/16/2021	562	1,757,367	1692.215		(80,839)		(70,734)		(76,505)			10,105				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/17/2020	08/17/2021	424	1,368,131	1692.431		(51,687)		(45,226)		(47,940)			6,461				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/18/2020	08/18/2021	646	1,970,551	1691.319		(58,016)		(50,764)		(52,828)			7,252				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/19/2020	08/19/2021	509	1,335,965	1690.183		(48,896)		(42,784)		(45,747)			6,112				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/21/2020	08/20/2021	2,827	8,047,957	1688.885		(315,118)		(275,728)		(284,207)			39,390				
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/21/2020	08/23/2021	767	2,354,314	1688.885		(108,888)		(95,277)		(98,883)			13,611				

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S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/24/2020	08/24/2021	541	1,724,735	1693.166		(80,889)		(70,777)		(69,126)			10,111					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/25/2020	08/25/2021	515	1,587,051	1692.044		(46,986)		(41,113)		(39,010)			5,873					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/26/2020	08/26/2021	759	2,210,806	1691.987		(80,488)		(70,427)		(61,551)			10,061					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/28/2020	08/27/2021	2,094	6,525,459	1696.045		(262,249)		(229,468)		(189,226)			32,781					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/28/2020	08/30/2021	822	2,521,186	1696.045		(125,608)		(109,907)		(87,476)			15,701					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	08/31/2020	08/31/2021	587	1,852,582	1692.896		(81,924)		(71,683)		(59,412)			10,240					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/01/2020	09/01/2021	534	1,613,712	1694.762		(62,023)		(59,439)		(42,742)			2,584					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/02/2020	09/02/2021	229	746,561	1701.983		(23,548)		(22,567)		(14,525)			981					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/04/2020	09/03/2021	2,839	8,392,201	1693.288		(374,176)		(358,586)		(293,841)			15,591					
S&P 500 Indx Opt MOPTPT			Equity/Index	EGL	09/04/2020	09/06/2021	4	14,364	3426.96		(277)		(266)		(201)			12					
S&P 500 Index Option PTP			Equity/Index	EGL	09/04/2020	09/07/2021	166	567,277	3426.96		(34,123)		(32,701)		(26,644)			1,422					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/08/2020	09/08/2021	498	1,329,448	1686.401		(71,452)		(68,475)		(67,783)			2,977					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/09/2020	09/09/2021	722	1,941,339	1692.116		(55,797)		(53,472)		(47,662)			2,325					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/11/2020	09/10/2021	2,697	7,140,060	1689.593		(277,214)		(265,663)		(269,886)			11,551					

E06.105

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/11/2020	09/13/2021	736	2,210,198	1689.593		(93,989)		(90,073)		(93,756)			3,916					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/14/2020	09/14/2021	514	1,466,367	1694.198		(60,437)		(57,919)		(55,146)			2,518					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/15/2020	09/15/2021	520	1,558,384	1693.734		(44,370)		(42,521)		(39,944)			1,849					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/16/2020	09/16/2021	680	1,950,266	1695.908		(66,928)		(64,139)		(61,254)			2,789					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/18/2020	09/17/2021	3,100	8,976,496	1692.706		(400,678)		(383,983)		(398,543)			16,695					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/18/2020	09/20/2021	568	1,568,981	1692.706		(77,819)		(74,576)		(78,221)			3,242					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/21/2020	09/21/2021	736	2,248,808	1682.587		(92,432)		(88,581)		(98,859)			3,851					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/22/2020	09/22/2021	837	2,315,871	1684.774		(89,594)		(85,861)		(90,998)			3,733					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/23/2020	09/23/2021	844	2,177,896	1676.433		(86,616)		(83,007)		(97,242)			3,609					
UST 0.625% 08/15/30 Total Return Options			Equity/Index	EGL	09/23/2020	09/24/2021	3,819	9,687,677	98		(394,189)		(377,765)		(418,955)			16,425					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/25/2020	09/27/2021	920	2,432,030	1681.762		(135,107)		(129,478)		(142,728)			5,629					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/28/2020	09/28/2021	1,264	2,980,007	1687.158		(105,403)		(101,000)		(96,547)			4,392					
S&P 500 Dividend Aristocrats Daily Risk Control 5% Index			Equity/Index	EGL	09/29/2020	09/29/2021	1,282	3,199,880	1684.199		(103,141)		(98,843)		(101,115)			4,298					

E06.106

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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 Dividend Aristocrats Daily Risk Control 5% Index		Equity/Index	EGL	09/30/2020	09/30/2021	1,188	2,825,624	1687.208		(87,222)		(83,585)		(80,997)			3,634					
	S&P 500 Dividend Aristocrats Daily Risk Control 5% Index		Equity/Index	JPM	04/18/2019	02/05/2021	587	980,000	1670.046	(38,413)			(7,857)		(17,357)			15,714					
	S&P 500 Dividend Aristocrats Daily Risk Control 5% Index		Equity/Index	JPM	04/18/2019	02/08/2021	336	560,000	1669.035	(22,171)			(4,535)		(10,212)			9,070					
	S&P 500 Dividend Aristocrats Daily Risk Control 5% Index		Equity/Index	JPM	04/18/2019	02/12/2021	471	790,000	1678.074	(28,821)			(5,895)		(11,915)			11,794					
	S&P 500 Dividend Aristocrats Daily Risk Control 5% Index		Equity/Index	JPM	04/18/2019	03/05/2021	446	750,000	1680.529	(28,277)			(6,763)		(11,363)			11,065					
	069999999. Subtotal - Written Options - Hedging Other - Other									(7,930,576)	(37,936,512)		(23,453,893)	XXX	(75,119,845)			21,346,584				XXX	XXX
	070999999. Subtotal - Written Options - Hedging Other									(7,930,576)	(37,936,512)		(23,453,893)	XXX	(75,119,845)			21,346,584				XXX	XXX
	077999999. Subtotal - Written Options - Replications													XXX								XXX	XXX
	084999999. Subtotal - Written Options - Income Generation													XXX								XXX	XXX
	091999999. Subtotal - Written Options - Other													XXX								XXX	XXX
	092999999. Total Written Options - Call Options and Warrants													XXX								XXX	XXX
	093999999. Total Written Options - Put Options													XXX								XXX	XXX
	094999999. Total Written Options - Caps													XXX								XXX	XXX
	095999999. Total Written Options - Floors													XXX								XXX	XXX
	096999999. Total Written Options - Collars													XXX								XXX	XXX
	097999999. Total Written Options - Other									(7,930,576)	(37,936,512)		(23,453,893)	XXX	(75,119,845)			21,346,584				XXX	XXX
	098999999. Total Written Options									(7,930,576)	(37,936,512)		(23,453,893)	XXX	(75,119,845)			21,346,584				XXX	XXX
	104999999. Subtotal - Swaps - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108													XXX								XXX	XXX
	110999999. Subtotal - Swaps - Hedging Effective Variable Annuity Guarantees Under SSAP No.108													XXX								XXX	XXX
	116999999. Subtotal - Swaps - Hedging Other													XXX								XXX	XXX
	122999999. Subtotal - Swaps - Replication													XXX								XXX	XXX
	128999999. Subtotal - Swaps - Income Generation													XXX								XXX	XXX
	134999999. Subtotal - Swaps - Other													XXX								XXX	XXX
	135999999. Total Swaps - Interest Rate													XXX								XXX	XXX
	136999999. Total Swaps - Credit Default													XXX								XXX	XXX
	137999999. Total Swaps - Foreign Exchange													XXX								XXX	XXX
	138999999. Total Swaps - Total Return													XXX								XXX	XXX
	139999999. Total Swaps - Other													XXX								XXX	XXX
	140999999. Total Swaps													XXX								XXX	XXX
	147999999. Subtotal - Forwards													XXX								XXX	XXX
	150999999. Subtotal - SSAP No. 108 Adjustments													XXX								XXX	XXX
	168999999. Subtotal - Hedging Effective Excluding Variable Annuity Guarantees Under SSAP No.108													XXX								XXX	XXX
	169999999. Subtotal - Hedging Effective Variable Annuity Guarantees Under SSAP No.108													XXX								XXX	XXX
	170999999. Subtotal - Hedging Other									203,982,953	516,982,541		349,041,451	XXX	799,732,130			(344,094,347)				XXX	XXX
	171999999. Subtotal - Replication													XXX								XXX	XXX
	172999999. Subtotal - Income Generation													XXX								XXX	XXX

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STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

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)		
1739999999. Subtotal - Other														XXX								XXX	XXX	
1749999999. Subtotal - Adjustments for SSAP No. 108 Derivatives														XXX									XXX	XXX
1759999999 - Totals										203,982,953	516,982,541		349,041,451	XXX	799,732,130				(344,094,347)				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 as of the Current Statement Date

1 Ticker Symbol	2 Number of Contracts	3 Notional Amount	4 Description	5 Description of Item(s) Hedged, Used for Income Generation or Replicated	6 Schedule/ Exhibit Identifier	7 Type(s) of Risk(s) (a)	8 Date of Maturity or Expiration	9 Exchange	10 Trade Date	11 Transaction Price	12 Reporting Date Price	13 Fair Value	14 Book/ Adjusted Carrying Value	Highly Effective Hedges			18 Cumulative Variation Margin for All Other Hedges	19 Change in Variation Margin Gain (Loss) Recognized in Current Year	20 Potential Exposure	21 Hedge Effectiveness at Inception and at Quarter-end (b)	22 Value of One (1) Point																		
														15 Cumulative Variation Margin	16 Deferred Variation Margin	17 Change in Variation Margin Gain (Loss) Used to Adjust Basis of Hedged Item																							
NONE																																							
1759999999 - Totals																																						XXX	XXX

Broker Name	Beginning Cash Balance	Cumulative Cash Change	Ending Cash Balance
NONE			
Total Net Cash Deposits			

(a)

Code	Description of Hedged Risk(s)

(b)

Code	Financial or Economic Impact of the Hedge at the End of the Reporting Period

E07

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART D - SECTION 1

Counterparty Exposure for Derivative Instruments Open as of Current Statement Date

1 Description of Exchange, Counterparty or Central Clearinghouse	2 Master Agreement (Y or N)	3 Credit Support Annex (Y or N)	4 Fair Value of Acceptable Collateral	Book/Adjusted Carrying Value			Fair Value			11 Potential Exposure	12 Off-Balance Sheet Exposure
				5 Contracts With Book/Adjusted Carrying Value >0	6 Contracts With Book/Adjusted Carrying Value <0	7 Exposure Net of Collateral	8 Contracts With Fair Value >0	9 Contracts With Fair Value <0	10 Exposure Net of Collateral		
019999999 - Aggregate Sum of Exchange Traded Derivatives	XXX	XXX	XXX	1,721,594		1,721,594	2,474,884		2,474,884		
BANK OF AMERICA	Y	Y	55,230,000	25,841,358			59,088,750		3,858,750		
EAGLE LIFE INSURANCE	Y	N			(23,428,844)			(75,069,002)			
BARCLAYS	Y	Y	231,015,000	70,662,885			234,714,896		3,699,896		
CIBC	Y	Y	169,170,000	78,405,208			169,396,908		226,908		
CITI BANK	Y	Y	45,170,000	22,665,318			50,068,973		4,898,973		
CREDIT SUISSE	Y	Y	28,580,000	19,058,503			31,569,332		2,989,332		
SOCIETE GENERALE	Y	Y	15,840,000	12,637,337			14,631,687				
JP MORGAN	Y	Y	22,370,000	23,054,550	(25,049)	659,501	25,244,970	(50,843)	2,824,127		
MORGAN STANLEY	Y	Y	22,706,887	16,323,817			26,391,536		3,684,649		
ROYAL BANK OF CANADA	Y	Y	29,890,000	11,282,191			31,527,041		1,637,041		
TRUIST BANK	Y	Y	74,740,000	34,707,613			77,934,340		3,194,340		
WACHOVIA/WELLS FARGO	Y	Y	146,860,000	56,134,970			151,808,658		4,948,658		
029999999 - Total NAIC 1 Designation			841,571,887	370,773,750	(23,453,893)	659,501	872,377,091	(75,119,845)	31,962,674		
089999999 - Aggregate Sum of Central Clearinghouses (Excluding Exchange Traded)											
099999999 - Gross Totals			841,571,887	372,495,344	(23,453,893)	2,381,095	874,851,975	(75,119,845)	34,437,558		
1. Offset per SSAP No. 64				23,453,893	(23,453,893)						
2. Net after right of offset per SSAP No. 64				349,041,451							

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE DB - PART D - SECTION 2

Collateral for Derivative Instruments Open as of Current Statement Date

Collateral Pledged by Reporting Entity

1 Exchange, Counterparty or Central Clearinghouse	2 Type of Asset Pledged	3 CUSIP Identification	4 Description	5 Fair Value	6 Par Value	7 Book/Adjusted Carrying Value	8 Maturity Date	9 Type of Margin (I, V or IV)
NONE								
019999999 - Total							XXX	XXX

Collateral Pledged to Reporting Entity

1 Exchange, Counterparty or Central Clearinghouse	2 Type of Asset Pledged	3 CUSIP Identification	4 Description	5 Fair Value	6 Par Value	7 Book/Adjusted Carrying Value	8 Maturity Date	9 Type of Margin (I, V or IV)
BANK OF AMERICA	Cash	B4TYDEB66KMZ0031MB27 ..	CASH	55,230,000	55,230,000	XXX		
BARCLAYS	Cash	G5GSEF7VJP5170UK5573 ..	CASH	231,015,000	231,015,000	XXX		
CITI BANK	Cash	E570DZVZ7FF32TIEFA76 ..	CASH	45,170,000	45,170,000	XXX		
CREDIT SUISSE	Cash	E58DKGMJYYJLN8C3868 ..	CASH	28,580,000	28,580,000	XXX		
CIBC	Cash	21G119DL770XHC3ZE78 ..	CASH	169,170,000	169,170,000	XXX		
JP MORGAN	Cash	7H6GLXDRUGGFU57RNE97 ..	CASH	22,370,000	22,370,000	XXX		
MORGAN STANLEY	Cash	4POLHNGJPFGFNF388653 ..	CASH	22,706,887	22,706,887	XXX		
ROYAL BANK OF CANADA	Cash	ES71P3U3RH1GC71XB011 ..	CASH	29,890,000	29,890,000	XXX		
SOCIETE GENERALE	Cash	02PNE81BXP4R0TD8PL41 ..	CASH	15,840,000	15,840,000	XXX		
TRUIST BANK	Cash	JJKC32MCHWD171265Z06 ..	CASH	74,740,000	74,740,000	XXX		
WACHOVIA/WELLS FARGO	Cash	KB1H1DSPRFMYMCFXT09 ..	CASH	146,860,000	146,860,000	XXX		
029999999 - Total				841,571,887	841,571,887	XXX	XXX	XXX

SCHEDULE DB - PART E

Derivatives Hedging Variable Annuity Guarantees as of Current Statement Date
 This schedule is specific for the derivatives and the hedging programs captured in SSAP No. 108

CDHS		Hedged Item								Hedging Instruments								
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
Identifier	Description	Prior Fair Value in Full Contract Cash Flows Attributed to Interest Rates	Ending Fair Value in Full Contract Cash Flows Attributed to Interest Rates	Fair Value Gain (Loss) in Full Contract Cash Flows Attributed to Interest Rates (4-3)	Fair Value Gain (Loss) in Hedged Item Attributed to Hedged Risk	Current Year Increase (Decrease) in VM-21 Liability	Current Year Increase (Decrease) in VM-21 Liability Attributed to Interest Rates	Change in the Hedged Item Attributed to Hedged Risk Percentage (6/5)	Current Year Increase (Decrease) in VM-21 Liability Attributed to Hedged Risk (8*9)	Prior Deferred Balance	Current Year Fair Value Fluctuation of the Hedge Instruments	Current Year Natural Offset to VM-21 Liability	Hedging Instruments' Current Fair Value Fluctuation Not Attributed to Hedged Risk	Hedge Gain (Loss) in Current Year Deferred Adjustment [12-(13+14)]	Current Year Prescribed Deferred Amortization	Current Year Additional Deferred Amortization	Current Year Total Deferred Amortization (16+17)	Ending Deferred Balance (11+15+18)
NONE																		
Total									XXX									

SCHEDULE DL - PART 1 SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned Current Statement Date

(Securities lending collateral assets reported in aggregate on Line 10 of the Assets page and not included on Schedules A, B, BA, D, DB and E)

1 CUSIP Identification	2 Description	3 Code	4 NAIC Designation and Administrative Symbol	5 Fair Value	6 Book/Adjusted Carrying Value	7 Maturity Date
0599999	Total - U.S. Government Bonds					XXX
1099999	Total - All Other Government Bonds					XXX
1799999	Total - U.S. States, Territories and Possessions Bonds					XXX
2499999	Total - U.S. Political Subdivisions Bonds					XXX
3199999	Total - U.S. Special Revenues Bonds					XXX
3899999	Total - Industrial and Miscellaneous (Unaffiliated) Bonds					XXX
4899999	Total - Hybrid Securities					XXX
5599999	Total - Parent, Subsidiaries and Affiliates Bonds					XXX
5999999	Subtotal - SVO Identified Funds					XXX
6299999	Subtotal - Unaffiliated Bank Loans					XXX
6399999	Total - Issuer Obligations					XXX
6499999	Total - Residential Mortgage-Backed Securities					XXX
6599999	Total - Commercial Mortgage-Backed Securities					XXX
6699999	Total - Other Loan-Backed and Structured Securities					XXX
6799999	Total - SVO Identified Funds					XXX
6899999	Total - Affiliated Bank Loans					XXX
6999999	Total - Unaffiliated Bank Loans					XXX
7099999	Total Bonds					XXX
7399999	Total - Preferred Stocks (Schedule D, Part 2, Section 1 type)					XXX
7999999	Total - Common Stocks (Schedule D, Part 2, Section 2 type)					XXX
8099999	Total - Preferred and Common Stocks					XXX
000000-00-0	CITIBANK NA	0		73,273	73,273	
9099999	Total - Cash (Schedule E Part 1 type)			73,273	73,273	XXX
857492-57-3	STATE STREET INSTITUTIONAL US GOVERNMENT MONEY MARKET FUND	0		659,452	659,452	
9199999	Total - Cash Equivalents (Schedule E Part 2 type)			659,452	659,452	XXX
9999999	Totals			732,725	732,725	XXX

General Interrogatories:

1. Total activity for the year Fair Value \$(494,368,270) Book/Adjusted Carrying Value \$(494,368,270)
2. Average balance for the year Fair Value \$149,591,032 Book/Adjusted Carrying Value \$149,591,032
3. Reinvested securities lending collateral assets book/adjusted carrying value included in this schedule by NAIC designation:
 NAIC 1 \$732,725 NAIC 2 \$ NAIC 3 \$ NAIC 4 \$ NAIC 5 \$ NAIC 6 \$

**SCHEDULE DL - PART 2
SECURITIES LENDING COLLATERAL ASSETS**

Reinvested Collateral Assets Owned Current Statement Date

(Securities lending collateral assets included on Schedules A, B, BA, D, DB and E and not reported in aggregate on Line 10 of the Assets page)

1 CUSIP Identification	2 Description	3 Code	4 NAIC Designation and Administrative Symbol	5 Fair Value	6 Book/Adjusted Carrying Value	7 Maturity Date
NONE						
9999999 - Totals						XXX

General Interrogatories:

- | | | |
|---------------------------------|---------------------|---------------------------------------|
| 1. Total activity for the year | Fair Value \$ | Book/Adjusted Carrying Value \$ |
| 2. Average balance for the year | Fair Value \$ | Book/Adjusted Carrying Value \$ |

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1 Depository	2 Code	3 Rate of Interest	4 Amount of Interest Received During Current Quarter	5 Amount of Interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9 *
					6 First Month	7 Second Month	8 Third Month	
CITIBANK NEW CASTLE, DELAWARE					17,006	28,924	20,311	.XXX.
CITIBANK NEW YORK, NEW YORK					4,176,120	7,772,514	17,457,134	.XXX.
JPMORGAN CHASE BANK NEW YORK, NEW YORK					296,645	97,991	181,605	.XXX.
METRO BANK PELL CITY, ALABAMA					748,595	760,813	760,813	.XXX.
STATE STREET BANK BOSTON, MASSACHUSETTS					13,374,539	13,045,272	28,616,353	.XXX.
STATE STREET BANK BOSTON, MASSACHUSETTS	0				2,173,486	1,311,698	803,278	.XXX.
WELLS FARGO BANK BIRMINGHAM, ALABAMA					79,024	79,544	40,440	.XXX.
WEST BANK WEST DES MOINES, IOWA		0.210	3,595		(65,736,254)	(72,518,485)	(69,382,427)	.XXX.
0199998. Deposits in ... 1 depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX	2		74,774	74,839	74,839	XXX
0199999. Totals - Open Depositories	XXX	XXX	3,597		(44,796,066)	(49,346,890)	(21,427,654)	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						XXX
0399999. Total Cash on Deposit	XXX	XXX	3,597		(44,796,066)	(49,346,890)	(21,427,654)	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX	150	150	150	XXX
.....								
.....								
.....								
.....								
0599999. Total - Cash	XXX	XXX	3,597		(44,795,916)	(49,346,740)	(21,427,504)	XXX

STATEMENT AS OF SEPTEMBER 30, 2020 OF THE AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY

SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1 CUSIP	2 Description	3 Code	4 Date Acquired	5 Rate of Interest	6 Maturity Date	7 Book/Adjusted Carrying Value	8 Amount of Interest Due and Accrued	9 Amount Received During Year
0599999	Total - U.S. Government Bonds							
1099999	Total - All Other Government Bonds							
1799999	Total - U.S. States, Territories and Possessions Bonds							
2499999	Total - U.S. Political Subdivisions Bonds							
3199999	Total - U.S. Special Revenues Bonds							
3899999	Total - Industrial and Miscellaneous (Unaffiliated) Bonds							
4899999	Total - Hybrid Securities							
5599999	Total - Parent, Subsidiaries and Affiliates Bonds							
6099999	Subtotal - SVO Identified Funds							
6599999	Subtotal - Unaffiliated Bank Loans							
7699999	Total - Issuer Obligations							
7799999	Total - Residential Mortgage-Backed Securities							
7899999	Total - Commercial Mortgage-Backed Securities							
7999999	Total - Other Loan-Backed and Structured Securities							
8099999	Total - SVO Identified Funds							
8199999	Total - Affiliated Bank Loans							
8299999	Total - Unaffiliated Bank Loans							
8399999	Total Bonds							
60934N-50-0	FEDERATED TREASURY OBLIGATION IS FUND #68	SD	12/31/2017			15,003		
94975H-29-6	WELLS FARGO ADV TREASURY PL MM	SD	12/31/2017			25,033		128
8599999	Subtotal - Exempt Money Market Mutual Funds - as Identified by the SVO					40,036		128
31846V-41-9	FIRST AMERICAN TREAS OBLIG		12/31/2017			440,000		
31607A-70-3	FIDELITY GOVERNMENT PORTFOLIO MONEY MARKET		09/23/2020			225,707,000	12,526	116,741
38141W-27-3	GOLDMAN SACHS MONEY MARKET		09/28/2020			237,880,500		159,127
4812A0-36-7	JPMorgan Prime Money Market Fu MONEY MARKET	C	09/29/2020			365,873,818	41,340	15,078
949921-12-6	Wells Fargo Government Money M Money Market		09/25/2020			230,728,552		94,595
949921-12-6	Wells Fargo Government Money M Money Market	C	09/25/2020			17,975,512		31,579
94984B-79-3	Wells Fargo Heritage Money Mar MONEY MARKET	C	09/09/2020			121,470,717		28,836
52470G-88-2	Western Asset Institutional Li MONEY MARKET	C	09/23/2020			135,479,923		34,763
09248U-70-0	BLACKROCK PROVIDENT T-FUND MONEY MARKET		09/23/2020			168,011,100		94,823
09248U-70-0	BLACKROCK PROVIDENT T-FUND MONEY MARKET	C	09/28/2020			70,000,000		20,793
09248U-64-3	BLACKROCK PROVIDENT T-FUND MONEY MARKET	C	08/21/2020			59,995,005		15,110
09248U-61-9	BLACKROCK PROVIDENT T-FUND MONEY MARKET	C	08/21/2020			70,747,853		17,185
857492-70-6	STATE STREET INST US GOVT FUND		09/30/2020			297,721,824		2,353,544
857492-70-6	STATE STREET INST US GOVT FUND	0	09/30/2020			15,710,174		178,117
8699999	Subtotal - All Other Money Market Mutual Funds					2,017,741,979	53,866	3,160,290
8899999	Total Cash Equivalents					2,017,782,015	53,866	3,160,418

E 14

Medicare Part D Coverage Supplement

NONE

Trusted Surplus - Cover

NONE

Trusted Surplus Statement - Assets

NONE

Trusted Surplus Statement - Liabilities and Trusted Surplus

NONE

OVERFLOW PAGE FOR WRITE-INS

NONE

LAH Quarterly Merger/History Data

	Amount
1. Bonds (Assets C3 L1 PY Annual)	
2. Subtotals cash and invested assets (Assets C3 L12 PY Annual).....	
3. Total assets (Assets C3 L28 PY Annual)	
4. Total liabilities (Liabilities C1 L28 PY Annual)	
5. Total surplus (Liabilities C1 L38 PY Annual)	
6. Total liabilities and surplus (Liabilities C1 L39 PY Annual)	
7. Total income (Summary of Operations C1 L9 PY Annual)	
8. Total benefits (Summary of Operations C1 L20 PY Annual)	
9. Total expenses (Summary of Operations C1 L28 PY Annual)	
10. Net income (Summary of Operations C1 L35 PY Annual)	
11. Total capital and surplus (Summary of Operations C1 L55 PY Annual)	