

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). ► Complete all entries in accordance with the instructions to the Form 5500.	OMB Nos. 1210-0110 1210-0089 2016 This Form is Open to Public Inspection
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Part I	Annual Report Identification Information For calendar plan year 2016 or fiscal plan year beginning <u>01/01/2016</u> and ending <u>12/31/2016</u>
A This return/report is for: <div style="display: flex; justify-content: space-between;"> <div> <input checked="" type="checkbox"/> a multiemployer plan <input type="checkbox"/> a single-employer plan </div> <div> <input type="checkbox"/> a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) <input type="checkbox"/> a DFE (specify) ____ </div> </div>	
B This return/report is: <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> the first return/report <input type="checkbox"/> an amended return/report </div> <div> <input type="checkbox"/> the final return/report <input type="checkbox"/> a short plan year return/report (less than 12 months) </div> </div>	
C If the plan is a collectively-bargained plan, check here. <input checked="" type="checkbox"/>	
D Check box if filing under: <div style="display: flex; justify-content: space-between;"> <div> <input checked="" type="checkbox"/> Form 5558 <input type="checkbox"/> special extension (enter description) </div> <div> <input type="checkbox"/> automatic extension </div> <div> <input type="checkbox"/> the DFVC program </div> </div>	

Part II	Basic Plan Information —enter all requested information		
1a Name of plan <u>NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION HEALTH & WELFARE PLAN</u>		1b Three-digit plan number (PN) ►	<u>510</u>
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>GOVERNING COMMITTEE</u> <u>251 - 18TH STREET SOUTH SUITE 750</u> <u>ARLINGTON, VA 22202</u>		1c Effective date of plan <u>01/01/2000</u>	
		2b Employer Identification Number (EIN) <u>80-0616629</u>	
		2c Plan Sponsor's telephone number <u>571-336-7600</u>	
		2d Business code (see instructions) <u>482110</u>	

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	10/12/2017	JOHN PREVISICH
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	10/12/2017	A. K. GRADIA
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE
Preparer's name (including firm name, if applicable) and address (include room or suite number)			Preparer's telephone number

3a Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor	3b Administrator's EIN 3c Administrator's telephone number <div style="background-color: #cccccc; height: 40px; width: 100%;"></div>
4 If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report: a Sponsor's name	4b EIN 4c PN
5 Total number of participants at the beginning of the plan year	5 133059
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d). a(1) Total number of active participants at the beginning of the plan year..... a(2) Total number of active participants at the end of the plan year b Retired or separated participants receiving benefits..... c Other retired or separated participants entitled to future benefits d Subtotal. Add lines 6a(2) , 6b , and 6c e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. f Total. Add lines 6d and 6e g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) h Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	6a(1) 46242 6a(2) 40809 6b 75405 6c 6d 116214 6e 6f 116214 6g 6h
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....	7 36

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

4A 4B 4Q

9a Plan funding arrangement (check all that apply) (1) <input checked="" type="checkbox"/> Insurance (2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts (3) <input checked="" type="checkbox"/> Trust (4) <input type="checkbox"/> General assets of the sponsor	9b Plan benefit arrangement (check all that apply) (1) <input checked="" type="checkbox"/> Insurance (2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts (3) <input checked="" type="checkbox"/> Trust (4) <input type="checkbox"/> General assets of the sponsor
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10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

- (1) ☐ **R** (Retirement Plan Information)
- (2) ☐ **MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
- (3) ☐ **SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

b General Schedules

- (1) ☒ **H** (Financial Information)
- (2) ☐ **I** (Financial Information – Small Plan)
- (3) ☒ 1 **A** (Insurance Information)
- (4) ☒ **C** (Service Provider Information)
- (5) ☐ **D** (DFE/Participating Plan Information)
- (6) ☐ **G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☒ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2016 Form M-1 annual report. If the plan was not required to file the 2016 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE A (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <hr/> <small>Department of Labor Employee Benefits Security Administration</small> <hr/> <small>Pension Benefit Guaranty Corporation</small>	Insurance Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ► File as an attachment to Form 5500. ► Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2).	OMB No. 1210-0110 <hr/> 2016 <hr/> This Form is Open to Public Inspection
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For calendar plan year 2016 or fiscal plan year beginning 01/01/2016 and ending 12/31/2016

A Name of plan <u>NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION HEALTH & WELFARE PLAN</u>	B Three-digit plan number (PN) ►	<u>510</u>
C Plan sponsor's name as shown on line 2a of Form 5500 <u>GOVERNING COMMITTEE</u>	D Employer Identification Number (EIN) <u>80-0616629</u>	

Part I	Information Concerning Insurance Contract Coverage, Fees, and Commissions Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A.
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1 Coverage Information:

(a) Name of insurance carrier
METROPOLITAN LIFE INSURANCE COMPANY

(b) EIN	(c) NAIC code	(d) Contract or identification number	(e) Approximate number of persons covered at end of policy or contract year	Policy or contract year	
				(f) From	(g) To
<u>13-5581829</u>	<u>65978</u>	<u>105147</u>	<u>116214</u>	<u>01/01/2016</u>	<u>12/31/2016</u>

2 Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

(a) Total amount of commissions paid	(b) Total amount of fees paid

3 Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

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(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
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(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

Part II Investment and Annuity Contract Information

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

4 Current value of plan's interest under this contract in the general account at year end **4****5** Current value of plan's interest under this contract in separate accounts at year end..... **5****6** Contracts With Allocated Funds:**a** State the basis of premium rates ▶**b** Premiums paid to carrier**6b****c** Premiums due but unpaid at the end of the year**6c****d** If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount**6d**

Specify nature of costs ▶

e Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity(3) ☐ other (specify) ▶**f** If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee(3) ☐ guaranteed investment (4) ☐ other ▶**b** Balance at the end of the previous year **7b****c** Additions: (1) Contributions deposited during the year**7c(1)**

(2) Dividends and credits.....

7c(2)

(3) Interest credited during the year.....

7c(3)

(4) Transferred from separate account

7c(4)

(5) Other (specify below)

7c(5)

▶

(6) Total additions **7c(6)****d** Total of balance and additions (add lines **7b** and **7c(6)**). **7d****e** Deductions:

(1) Disbursed from fund to pay benefits or purchase annuities during year

7e(1)

(2) Administration charge made by carrier.....

7e(2)

(3) Transferred to separate account

7e(3)

(4) Other (specify below)

7e(4)

▶

(5) Total deductions **7e(5)****f** Balance at the end of the current year (subtract line **7e(5)** from line **7d**)..... **7f**

Part III Welfare Benefit Contract Information

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

8 Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision) **b** ☐ Dental **c** ☐ Vision **d** ☒ Life insurance
e ☐ Temporary disability (accident and sickness) **f** ☐ Long-term disability **g** ☐ Supplemental unemployment **h** ☐ Prescription drug
i ☐ Stop loss (large deductible) **j** ☐ HMO contract **k** ☐ PPO contract **l** ☐ Indemnity contract
m ☒ Other (specify) ▶ **ACCIDENTAL DEATH & DISMEMBERMENT**

9 Experience-rated contracts:

a Premiums: (1) Amount received	9a(1)	5656106	
(2) Increase (decrease) in amount due but unpaid	9a(2)		
(3) Increase (decrease) in unearned premium reserve	9a(3)		
(4) Earned ((1) + (2) - (3))	9a(4)	5656106	
b Benefit charges (1) Claims paid	9b(1)	3354451	
(2) Increase (decrease) in claim reserves	9b(2)	-673446	
(3) Incurred claims (add (1) and (2))	9b(3)	2681005	
(4) Claims charged	9b(4)	2681005	
c Remainder of premium: (1) Retention charges (on an accrual basis) --			
(A) Commissions	9c(1)(A)		
(B) Administrative service or other fees	9c(1)(B)		
(C) Other specific acquisition costs	9c(1)(C)		
(D) Other expenses	9c(1)(D)	364738	
(E) Taxes	9c(1)(E)	134602	
(F) Charges for risks or other contingencies	9c(1)(F)	54098	
(G) Other retention charges	9c(1)(G)	2421663	
(H) Total retention	9c(1)(H)	2975101	
(2) Dividends or retroactive rate refunds. (These amounts were <input type="checkbox"/> paid in cash, or <input type="checkbox"/> credited.)	9c(2)		
d Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement	9d(1)		
(2) Claim reserves	9d(2)	1320778	
(3) Other reserves	9d(3)	9022395	
e Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).)	9e		

10 Nonexperience-rated contracts:

a Total premiums or subscription charges paid to carrier	10a	
b If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount. Specify nature of costs.	10b	

Part IV Provision of Information

11 Did the insurance company fail to provide any information necessary to complete Schedule A? ☐ Yes ☒ No

12 If the answer to line 11 is "Yes," specify the information not provided. ▶

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2016
		This Form is Open to Public Inspection.

For calendar plan year 2016 or fiscal plan year beginning **01/01/2016** and ending **12/31/2016**

A Name of plan NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION HEALTH & WELFARE PLAN	B Three-digit plan number (PN) ▶ 510
C Plan sponsor's name as shown on line 2a of Form 5500 GOVERNING COMMITTEE	D Employer Identification Number (EIN) 80-0616629

Part I	Service Provider Information (see instructions)
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You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

a Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions)..... ☒ Yes ☐ No

b If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation	
UNITEDHEALTHCARE	185 ASYLUM STREET HARTFORD, CT 06103

36-2739571

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation	
HIGHMARK	120 FIFTH AVENUE PITTSBURGH, PA 15222

56-2526063

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation	
AETNA US HEALTHCARE	151 FARMINGTON AVENUE HARTFORD, CT 06186

06-6033492

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation	
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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

AETNA US HEALTHCARE

151 FARMINGTON AVENUE
HARTFORD, CT 06186

06-6033492

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
12 13	NONE	3911206	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

(a) Enter name and EIN or address (see instructions)

SUNTRUST BANKS, INC.

303 PEACHTREE STREET NE
SUITE 3200
ATLANTA, GA 30308

58-0466330

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
21	NONE	114516	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

(a) Enter name and EIN or address (see instructions)

MCMC, LLC

300 CROWN COLONY DRIVE
SUITE 203
QUINCY, MA 02169

14-1847542

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16	NONE	70748	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

TMDG, LLC

500 E PRATT STREET
SUITE 525
BALTIMORE, MD 21202

03-0583064

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	NONE	496459	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

(a) Enter name and EIN or address (see instructions)

TOWERS WATSON DELAWARE INC.

555 17TH STREET
SUITE 2050
DENVER, CO 80202

53-0181291

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
11	NONE	18900	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

(a) Enter name and EIN or address (see instructions)

WEAVER BROTHERS INSURANCE

7315 WISCONSIN AVE SUITE 900 EAST
AIR RIGHTS CENTER
BETHESDA, MD 20814

13-2834414

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
22	NONE	17327	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

HIGHMARK

120 FIFTH AVENUE
PITTSBURGH, PA 15222

56-2526063

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
12 13	NONE	7655420	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

(a) Enter name and EIN or address (see instructions)

UNITEDHEALTHCARE

185 ASYLUM STREET
HARTFORD, CT 06103

36-2739571

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
12 13 15	NONE	20927898	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

(a) Enter name and EIN or address (see instructions)

EXPRESS SCRIPTS, INC.

400 PARSONS POND DRIVE
FRANKLIN LAKES, NJ 07417

22-3461740

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
12 13 99	NONE	1685492	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

Part III	Termination Information on Accountants and Enrolled Actuaries (see instructions) (complete as many entries as needed)
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a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

SCHEDULE H (Form 5500) <small>Internal Revenue Service</small> <small>Department of Labor</small> <small>Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2016 This Form is Open to Public Inspection
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For calendar plan year 2016 or fiscal plan year beginning 01/01/2016 and ending 12/31/2016		
A Name of plan NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION HEALTH & WELFARE PLAN	B Three-digit plan number (PN) ►	510
C Plan sponsor's name as shown on line 2a of Form 5500 GOVERNING COMMITTEE	D Employer Identification Number (EIN) 80-0616629	

Part I Asset and Liability Statement			
1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.			
Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a	1000000	10000
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions.....	1b(1)	54842430	58305766
(2) Participant contributions	1b(2)	7513430	8093426
(3) Other.....	1b(3)	13592153	12832808
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit).....	1c(1)	85906108	66826296
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other.....	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common.....	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property).....	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans.....	1c(8)		
(9) Value of interest in common/collective trusts	1c(9)		0
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities.....	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds).....	1c(13)		
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)		
(15) Other.....	1c(15)	6545775	9022395

1d Employer-related investments:

		(a) Beginning of Year	(b) End of Year
(1) Employer securities	1d(1)		
(2) Employer real property	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	169399896	155090691

Liabilities

g Benefit claims payable	1g	82201222	66549239
h Operating payables	1h	5531568	3218479
i Acquisition indebtedness	1i		
j Other liabilities	1j	55591	77383
k Total liabilities (add all amounts in lines 1g through 1j)	1k	87788381	69845101

Net Assets

l Net assets (subtract line 1k from line 1f)	1l	81611515	85245590
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Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

Income

		(a) Amount	(b) Total
a Contributions:			
(1) Received or receivable in cash from: (A) Employers	2a(1)(A)	528393350	
(B) Participants	2a(1)(B)	92702397	
(C) Others (including rollovers)	2a(1)(C)	102946	
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		621198693
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	179159	
(B) U.S. Government securities	2b(1)(B)		
(C) Corporate debt instruments	2b(1)(C)		
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)		
(F) Other	2b(1)(F)		
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		179159
(2) Dividends: (A) Preferred stock	2b(2)(A)		
(B) Common stock	2b(2)(B)		
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)		
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)		
(B) Aggregate carrying amount (see instructions)	2b(4)(B)		
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		
(B) Other	2b(5)(B)		
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		
c Other income	2c		
d Total income. Add all income amounts in column (b) and enter total	2d		621377852

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	578542680	
(2) To insurance carriers for the provision of benefits	2e(2)	3214070	
(3) Other	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3)	2e(4)		581756750
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: (1) Professional fees	2i(1)	603434	
(2) Contract administrator fees	2i(2)	32910673	
(3) Investment advisory and management fees	2i(3)	114516	
(4) Other	2i(4)	2358404	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		35987027
j Total expenses. Add all expense amounts in column (b) and enter total	2j		617743777

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		3634075
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) ☐ Unqualified (2) ☐ Qualified (3) ☒ Disclaimer (4) ☐ Adverse

b Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)?

☒ Yes ☐ No

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: TMDG, LLC

(2) EIN: 03-0583064

d The opinion of an independent qualified public accountant is **not attached** because:

(1) ☐ This form is filed for a CCT, PSA, or MTIA. (2) ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)

b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)

	Yes	No	Amount
4a		X	
4b		X	

		Yes	No	Amount
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	4d		X	
e Was this plan covered by a fidelity bond?	4e	X		1000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	4g	X		993588
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.)	4j	X		
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	4k		X	
l Has the plan failed to provide any benefit when due under the plan?	4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	4m		X	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.	4n			
o Defined Benefit Plan or Money Purchase Pension Plan Only: Were any distributions made during the plan year to an employee who attained age 62 and had not separated from service?	4o			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year?
If "Yes," enter the amount of any plan assets that reverted to the employer this year. ☐ Yes ☒ No **Amount:**

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	5b(2) EIN(s)	5b(3) PN(s)

5c If the plan is a defined benefit plan, is it covered under the PBGC insurance program (See ERISA section 4021.)? ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year (See instructions.)

Part V Trust Information

6a Name of trust	6b Trust's EIN
6c Name of trustee or custodian	6d Trustee's or custodian's telephone number



INDEPENDENT AUDITOR'S REPORT

To the Governing Committee with respect to
National Railway Carriers and United Transportation Union Health and Welfare Plan

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of the National Railway Carriers and United Transportation Union Health and Welfare Plan (the Plan), which comprise the statements of net assets available for benefits and of plan benefit obligations as of December 31, 2016 and 2015, and the related statements of changes in net assets available for benefits and of changes in plan benefit obligations for the year ended December 31, 2016, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on conducting the audit in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the Plan Administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by SunTrust Bank, the trustee of the Plan, except for comparing this information with the related information included in the financial statements. We have been informed by the Plan Administrator that the trustee holds the Plan's investment assets and executes investment transactions. The Plan Administrator has obtained certifications from the trustee as of December 31, 2016 and 2015, and for the year ended December 31, 2016, that the information provided to the Plan Administrator by the trustee is complete and accurate.

Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

Other Matter

The supplemental schedules, schedule of assets (held at end of year) and schedule of reportable transactions as of or for the year ended December 31, 2016, are required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 and are presented for the purposes of additional analysis and are not a required part of the financial statements. These supplemental schedules are the responsibility of the Plan Administrator. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedules.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.

TMDG_{LLC}

Baltimore, Maryland
October 11, 2017

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Schedule of Assets (Held at End of Year)
December 31, 2016

Schedule H Item 4(i) – Schedule of Assets (Held at End of Year)
EIN: 80-0616629
Plan Number: 510

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, or Similar Party	Description of Investment Including Maturity Date, Rate of Interest, Collateral, and Par or Maturity Value	Cost	Current Value
	Cash and cash equivalents			
*	SunTrust Bank Account 70-04-102-7036735	Money Market Fund Federated Trsy Oblig MM-I #68 FFS	\$ 66,826,296	\$ 66,826,296
	Insurance contract			
*	Metropolitan Life Insurance Co. Account 143324-T-4	Funding Agreement, 6 month Treasury Bill + 0.25%	993,588	993,588
			\$ 67,819,884	\$ 67,819,884

*Known Party-In-Interest With The Plan

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Schedule of Reportable Transactions
For the Year Ended December 31, 2016

Schedule H Item 4(j) – Schedule of Reportable Transactions
EIN: 80-0616629
Plan Number: 510

(a)	(b)	(c)	(d)	(g)	(h)
<u>Identity of Party Involved</u>	<u>Description of Assets</u>	<u>Purchase Price</u>	<u>Selling Price</u>	<u>Asset Cost</u>	<u>Current Value</u>
SunTrust Bank Account 70-04-102-7036735	(See attached schedule as prepared and reported by SunTrust Bank)				



REPORTABLE TRANSACTIONS WORKSHEET

1/1/16 THROUGH 12/31/16

ACCOUNT 7036735

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RAILROAD - NRC / UTU HLTH&WELFARE

DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
		BEGINNING MARKET VALUE		85,909,498.70		
		COMPARATIVE VALUE (5%)		4,295,474.93		

CATEGORY I - SINGLE TRANSACTION EXCEEDS 5% OF VALUE						
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/11/16 S	4,764,599.5800	1.0000	0	4,764,600 *	4,764,600	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/14/16 S	4,812,962.4400	1.0000	0	4,812,962 *	4,812,962	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/20/16 S	4,518,267.3500	1.0000	0	4,518,267 *	4,518,267	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/21/16 S	5,650,572.5900	1.0000	0	5,650,573 *	5,650,573	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/22/16 S	5,406,437.5200	1.0000	0	5,406,438 *	5,406,438	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/28/16 B	37,506,818.1300	1.0000	0	-37,506,818 *	37,506,818	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/05/16 S	4,795,736.8500	1.0000	0	4,795,737 *	4,795,737	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/09/16 B	5,322,339.9100	1.0000	0	-5,322,340 *	5,322,340	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/19/16 S	4,927,191.0100	1.0000	0	4,927,191 *	4,927,191	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/26/16 B	37,182,035.2700	1.0000	0	-37,182,035 *	37,182,035	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/03/16 S	4,857,573.8700	1.0000	0	4,857,574 *	4,857,574	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/04/16 S	5,425,590.1600	1.0000	0	5,425,590 *	5,425,590	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/08/16 B	4,760,213.7400	1.0000	0	-4,760,214 *	4,760,214	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/18/16 S	5,444,104.5300	1.0000	0	5,444,105 *	5,444,105	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/24/16 S	4,582,653.0400	1.0000	0	4,582,653 *	4,582,653	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/30/16 B	36,497,641.2100	1.0000	0	-36,497,641 *	36,497,641	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/31/16 S	5,272,505.3400	1.0000	0	5,272,505 *	5,272,505	0



REPORTABLE TRANSACTIONS WORKSHEET

1/1/16 THROUGH 12/31/16

ACCOUNT 7036735

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RAILROAD - NRC / UTU HLTH&WELFARE

DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/01/16 S	4,861,379.8300	1.0000	0	4,861,380 *	4,861,380	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/07/16 B	8,615,208.9400	1.0000	0	-8,615,209 *	8,615,209	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/08/16 B	5,859,656.7300	1.0000	0	-5,859,657 *	5,859,657	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/15/16 S	4,362,631.2900	1.0000	0	4,362,631 *	4,362,631	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/28/16 B	31,721,622.3600	1.0000	0	-31,721,622 *	31,721,622	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/29/16 S	6,311,493.7500	1.0000	0	6,311,494 *	6,311,494	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/02/16 S	8,480,935.6700	1.0000	0	8,480,936 *	8,480,936	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/06/16 B	6,562,699.6900	1.0000	0	-6,562,700 *	6,562,700	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/13/16 S	4,594,633.8200	1.0000	0	4,594,634 *	4,594,634	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/19/16 S	4,980,866.7000	1.0000	0	4,980,867 *	4,980,867	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/26/16 B	4,528,945.7100	1.0000	0	-4,528,946 *	4,528,946	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/27/16 B	23,958,362.6900	1.0000	0	-23,958,363 *	23,958,363	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/08/16 B	5,688,653.0300	1.0000	0	-5,688,653 *	5,688,653	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/10/16 S	5,519,481.7900	1.0000	0	5,519,482 *	5,519,482	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/24/16 S	5,400,444.9300	1.0000	0	5,400,445 *	5,400,445	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/28/16 B	7,321,414.6900	1.0000	0	-7,321,415 *	7,321,415	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/29/16 B	27,164,531.7600	1.0000	0	-27,164,532 *	27,164,532	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/30/16 S	5,312,733.9400	1.0000	0	5,312,734 *	5,312,734	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/07/16 B	4,654,582.7900	1.0000	0	-4,654,583 *	4,654,583	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/08/16 S	5,528,147.5700	1.0000	0	5,528,148 *	5,528,148	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/22/16 S	4,613,564.4100	1.0000	0	4,613,564 *	4,613,564	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/28/16 B	30,930,766.6100	1.0000	0	-30,930,767 *	30,930,767	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/09/16 B	6,887,844.4200	1.0000	0	-6,887,844 *	6,887,844	



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/11/16 S	4,842,593.7100	1.0000	0	4,842,594 *	4,842,594	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/19/16 S	5,313,197.4500	1.0000	0	5,313,197 *	5,313,197	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/29/16 B	5,775,556.3800	1.0000	0	-5,775,556 *	5,775,556	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/30/16 B	27,499,891.7500	1.0000	0	-27,499,892 *	27,499,892	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/02/16 S	4,507,472.9000	1.0000	0	4,507,473 *	4,507,473	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/06/16 S	5,309,608.9800	1.0000	0	5,309,609 *	5,309,609	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/08/16 B	4,904,588.3900	1.0000	0	-4,904,588 *	4,904,588	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/21/16 B	7,007,241.7900	1.0000	0	-7,007,242 *	7,007,242	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/22/16 B	25,363,657.1500	1.0000	0	-25,363,657 *	25,363,657	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/30/16 S	6,304,638.0100	1.0000	0	6,304,638 *	6,304,638	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/07/16 B	6,909,481.9100	1.0000	0	-6,909,482 *	6,909,482	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/14/16 S	4,655,203.8500	1.0000	0	4,655,204 *	4,655,204	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/19/16 B	7,684,621.7100	1.0000	0	-7,684,622 *	7,684,622	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/20/16 B	25,115,205.6500	1.0000	0	-25,115,206 *	25,115,206	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/28/16 S	5,675,141.8800	1.0000	0	5,675,142 *	5,675,142	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/08/16 B	6,087,271.0200	1.0000	0	-6,087,271 *	6,087,271	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/10/16 S	7,711,073.6300	1.0000	0	7,711,074 *	7,711,074	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/21/16 B	7,554,947.6500	1.0000	0	-7,554,948 *	7,554,948	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/22/16 B	27,669,019.9300	1.0000	0	-27,669,020 *	27,669,020	
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/25/16 S	8,430,804.1600	1.0000	0	8,430,804 *	8,430,804	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/29/16 S	5,370,356.0800	1.0000	0	5,370,356 *	5,370,356	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
12/09/16 S	4,661,212.8200	1.0000	0	4,661,213 *	4,661,213	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
12/21/16 B	23,264,800.5600	1.0000	0	-23,264,801 *	23,264,801	



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ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
12/23/16 S	5,677,547.6100	1.0000	0	5,677,548 *	5,677,548	0
GRAND TOTAL			0	648,882,986	648,882,986	0

CATEGORY 2 - SERIES OF TRANSACTIONS WITH SAME BROKER EXCEEDS 5% OF VALUE

*** NO TRANSACTIONS QUALIFIED FOR THIS SECTION ***

CATEGORY 3 - SERIES OF TRANSACTIONS IN SAME SECURITY EXCEEDS 5% OF VALUE

ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68

01/05/16 B	3,391.1500	1.0000	0	-3,391	3,391
01/08/16 B	2,496,494.5900	1.0000	0	-2,496,495	2,496,495
01/15/16 B	1,337,950.5300	1.0000	0	-1,337,951	1,337,951
01/28/16 B	37,506,818.1300	1.0000	0	-37,506,818 *	37,506,818
02/02/16 B	6,896.1800	1.0000	0	-6,896	6,896
02/08/16 B	1,266,688.1500	1.0000	0	-1,266,688	1,266,688
02/09/16 B	5,322,339.9100	1.0000	0	-5,322,340 *	5,322,340
02/26/16 B	37,182,035.2700	1.0000	0	-37,182,035 *	37,182,035
03/02/16 B	8,227.6300	1.0000	0	-8,228	8,228
03/07/16 B	598,785.3300	1.0000	0	-598,785	598,785
03/08/16 B	4,760,213.7400	1.0000	0	-4,760,214 *	4,760,214
03/16/16 B	2,419,069.1100	1.0000	0	-2,419,069	2,419,069
03/30/16 B	36,497,641.2100	1.0000	0	-36,497,641 *	36,497,641
04/04/16 B	8,452.4500	1.0000	0	-8,452	8,452
04/07/16 B	8,615,208.9400	1.0000	0	-8,615,209 *	8,615,209
04/08/16 B	5,859,656.7300	1.0000	0	-5,859,657 *	5,859,657
04/28/16 B	31,721,622.3600	1.0000	0	-31,721,622 *	31,721,622
05/03/16 B	8,987.9400	1.0000	0	-8,988	8,988



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
05/06/16 B	6,562,699.6900	1.0000	0	-6,562,700 *	6,562,700	
05/16/16 B	59,802.3400	1.0000	0	-59,802	59,802	
05/17/16 B	1,998,446.8300	1.0000	0	-1,998,447	1,998,447	
05/26/16 B	4,528,945.7100	1.0000	0	-4,528,946 *	4,528,946	
05/27/16 B	23,958,362.6900	1.0000	0	-23,958,363 *	23,958,363	
06/02/16 B	8,764.9300	1.0000	0	-8,765	8,765	
06/07/16 B	432,098.1000	1.0000	0	-432,098	432,098	
06/08/16 B	5,688,653.0300	1.0000	0	-5,688,653 *	5,688,653	
06/28/16 B	7,321,414.6900	1.0000	0	-7,321,415 *	7,321,415	
06/29/16 B	27,164,531.7600	1.0000	0	-27,164,532 *	27,164,532	
07/05/16 B	9,547.3000	1.0000	0	-9,547	9,547	
07/07/16 B	4,654,582.7900	1.0000	0	-4,654,583 *	4,654,583	
07/15/16 B	1,884,250.3700	1.0000	0	-1,884,250	1,884,250	
07/28/16 B	30,930,766.6100	1.0000	0	-30,930,767 *	30,930,767	
08/02/16 B	9,909.5500	1.0000	0	-9,910	9,910	
08/02/16 B	2,830,517.2400	1.0000	0	-2,830,517	2,830,517	
08/08/16 B	1,683,992.3300	1.0000	0	-1,683,992	1,683,992	
08/09/16 B	6,887,844.4200	1.0000	0	-6,887,844 *	6,887,844	
08/16/16 B	803,800.4900	1.0000	0	-803,800	803,800	
08/29/16 B	5,775,556.3800	1.0000	0	-5,775,556 *	5,775,556	
08/30/16 B	27,499,891.7500	1.0000	0	-27,499,892 *	27,499,892	
09/02/16 B	9,285.4700	1.0000	0	-9,285	9,285	
09/07/16 B	496,468.9100	1.0000	0	-496,469	496,469	
09/08/16 B	4,904,588.3900	1.0000	0	-4,904,588 *	4,904,588	
09/13/16 B	788,707.4300	1.0000	0	-788,707	788,707	
09/21/16 B	7,007,241.7900	1.0000	0	-7,007,242 *	7,007,242	
09/22/16 B	25,363,657.1500	1.0000	0	-25,363,657 *	25,363,657	
10/04/16 B	10,556.2200	1.0000	0	-10,556	10,556	
10/07/16 B	6,909,481.9100	1.0000	0	-6,909,482 *	6,909,482	
10/13/16 B	2,387,576.8200	1.0000	0	-2,387,577	2,387,577	
10/17/16 B	745,309.8000	1.0000	0	-745,310	745,310	
10/19/16 B	7,684,621.7100	1.0000	0	-7,684,622 *	7,684,622	
10/20/16 B	25,115,205.6500	1.0000	0	-25,115,206 *	25,115,206	
11/02/16 B	12,513.2400	1.0000	0	-12,513	12,513	
11/07/16 B	1,019,996.3000	1.0000	0	-1,019,996	1,019,996	
11/08/16 B	6,087,271.0200	1.0000	0	-6,087,271 *	6,087,271	
11/16/16 B	2,555,623.8000	1.0000	0	-2,555,624	2,555,624	
11/21/16 B	7,554,947.6500	1.0000	0	-7,554,948 *	7,554,948	
11/22/16 B	27,669,019.9300	1.0000	0	-27,669,020 *	27,669,020	
12/02/16 B	13,037.3200	1.0000	0	-13,037	13,037	
12/07/16 B	1,789,139.0100	1.0000	0	-1,789,139	1,789,139	
12/08/16 B	4,008,443.2600	1.0000	0	-4,008,443	4,008,443	
12/16/16 B	2,114,679.9400	1.0000	0	-2,114,680	2,114,680	
12/21/16 B	23,264,800.5600	1.0000	0	-23,264,801 *	23,264,801	



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
SUB-TOTAL OF BUYS # 62			0	493,827,031	493,827,031	
01/04/16 S	1,727,972.1200	1.0000	0	1,727,972	1,727,972	0
01/05/16 S	2,400,946.4100	1.0000	0	2,400,946	2,400,946	0
01/06/16 S	2,232,326.3300	1.0000	0	2,232,326	2,232,326	0
01/07/16 S	2,143,401.2400	1.0000	0	2,143,401	2,143,401	0
01/11/16 S	4,764,599.5800	1.0000	0	4,764,600 *	4,764,600	0
01/11/16 S	15,776.4800	1.0000	0	15,776	15,776	0
01/12/16 S	904,350.5000	1.0000	0	904,351	904,351	0
01/13/16 S	1,872,039.9300	1.0000	0	1,872,040	1,872,040	0
01/14/16 S	4,812,962.4400	1.0000	0	4,812,962 *	4,812,962	0
01/19/16 S	1,323,546.0400	1.0000	0	1,323,546	1,323,546	0
01/20/16 S	4,518,267.3500	1.0000	0	4,518,267 *	4,518,267	0
01/21/16 S	5,650,572.5900	1.0000	0	5,650,573 *	5,650,573	0
01/22/16 S	5,406,437.5200	1.0000	0	5,406,438 *	5,406,438	0
01/25/16 S	2,438,467.9900	1.0000	0	2,438,468	2,438,468	0
01/26/16 S	1,771,724.4300	1.0000	0	1,771,724	1,771,724	0
01/27/16 S	1,258,523.0500	1.0000	0	1,258,523	1,258,523	0
01/29/16 S	3,810,443.8600	1.0000	0	3,810,444	3,810,444	0
02/01/16 S	2,034,636.0600	1.0000	0	2,034,636	2,034,636	0
02/02/16 S	2,442,445.5000	1.0000	0	2,442,446	2,442,446	0
02/03/16 S	3,247,978.9900	1.0000	0	3,247,979	3,247,979	0
02/04/16 S	3,411,429.8300	1.0000	0	3,411,430	3,411,430	0
02/05/16 S	4,795,736.8500	1.0000	0	4,795,737 *	4,795,737	0
02/08/16 S	10,383.0500	1.0000	0	10,383	10,383	0
02/10/16 S	1,350,001.1500	1.0000	0	1,350,001	1,350,001	0
02/11/16 S	3,495,021.1700	1.0000	0	3,495,021	3,495,021	0
02/12/16 S	978,746.5400	1.0000	0	978,747	978,747	0
02/16/16 S	1,348,292.7300	1.0000	0	1,348,293	1,348,293	0
02/17/16 S	528,869.7600	1.0000	0	528,870	528,870	0
02/18/16 S	3,884,819.0600	1.0000	0	3,884,819	3,884,819	0
02/19/16 S	4,927,191.0100	1.0000	0	4,927,191 *	4,927,191	0
02/22/16 S	2,197,202.7700	1.0000	0	2,197,203	2,197,203	0
02/23/16 S	2,258,334.8800	1.0000	0	2,258,335	2,258,335	0
02/24/16 S	1,478,298.7800	1.0000	0	1,478,299	1,478,299	0
02/25/16 S	3,579,819.1900	1.0000	0	3,579,819	3,579,819	0
02/29/16 S	3,246,412.0700	1.0000	0	3,246,412	3,246,412	0
03/01/16 S	1,717,115.5600	1.0000	0	1,717,116	1,717,116	0
03/02/16 S	1,670,743.9800	1.0000	0	1,670,744	1,670,744	0
03/03/16 S	4,857,573.8700	1.0000	0	4,857,574 *	4,857,574	0
03/04/16 S	5,425,590.1600	1.0000	0	5,425,590 *	5,425,590	0
03/08/16 S	9,650.2100	1.0000	0	9,650	9,650	0
03/09/16 S	1,460,693.5900	1.0000	0	1,460,694	1,460,694	0
03/10/16 S	3,532,258.6200	1.0000	0	3,532,259	3,532,259	0
03/11/16 S	778,632.2500	1.0000	0	778,632	778,632	0



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
03/14/16 S	3,179,420.2200	1.0000	0	3,179,420	3,179,420	0
03/15/16 S	2,299,243.7800	1.0000	0	2,299,244	2,299,244	0
03/17/16 S	3,881,699.3900	1.0000	0	3,881,699	3,881,699	0
03/18/16 S	5,444,104.5300	1.0000	0	5,444,105 *	5,444,105	0
03/21/16 S	696,141.9200	1.0000	0	696,142	696,142	0
03/22/16 S	1,936,839.9100	1.0000	0	1,936,840	1,936,840	0
03/23/16 S	1,738,784.0100	1.0000	0	1,738,784	1,738,784	0
03/24/16 S	4,582,653.0400	1.0000	0	4,582,653 *	4,582,653	0
03/28/16 S	3,209,578.2600	1.0000	0	3,209,578	3,209,578	0
03/29/16 S	1,788,533.7400	1.0000	0	1,788,534	1,788,534	0
03/31/16 S	5,272,505.3400	1.0000	0	5,272,505 *	5,272,505	0
04/01/16 S	4,861,379.8300	1.0000	0	4,861,380 *	4,861,380	0
04/04/16 S	1,050,713.9100	1.0000	0	1,050,714	1,050,714	0
04/05/16 S	1,607,446.4600	1.0000	0	1,607,446	1,607,446	0
04/06/16 S	1,251,189.4000	1.0000	0	1,251,189	1,251,189	0
04/08/16 S	8,896.5400	1.0000	0	8,897	8,897	0
04/11/16 S	2,755,343.3000	1.0000	0	2,755,343	2,755,343	0
04/12/16 S	1,724,117.4400	1.0000	0	1,724,117	1,724,117	0
04/13/16 S	2,578,773.8900	1.0000	0	2,578,774	2,578,774	0
04/14/16 S	2,460,337.8500	1.0000	0	2,460,338	2,460,338	0
04/15/16 S	4,362,631.2900	1.0000	0	4,362,631 *	4,362,631	0
04/18/16 S	302,289.3700	1.0000	0	302,289	302,289	0
04/19/16 S	1,871,978.0200	1.0000	0	1,871,978	1,871,978	0
04/20/16 S	1,400,833.7000	1.0000	0	1,400,834	1,400,834	0
04/21/16 S	4,269,156.5400	1.0000	0	4,269,157	4,269,157	0
04/22/16 S	374,338.1400	1.0000	0	374,338	374,338	0
04/25/16 S	1,018,871.7700	1.0000	0	1,018,872	1,018,872	0
04/26/16 S	1,879,003.2700	1.0000	0	1,879,003	1,879,003	0
04/27/16 S	1,651,825.8100	1.0000	0	1,651,826	1,651,826	0
04/29/16 S	6,311,493.7500	1.0000	0	6,311,494 *	6,311,494	0
05/02/16 S	8,480,935.6700	1.0000	0	8,480,936 *	8,480,936	0
05/03/16 S	3,868,710.2600	1.0000	0	3,868,710	3,868,710	0
05/04/16 S	1,053,055.2100	1.0000	0	1,053,055	1,053,055	0
05/05/16 S	2,127,442.6100	1.0000	0	2,127,443	2,127,443	0
05/09/16 S	9,430.6300	1.0000	0	9,431	9,431	0
05/09/16 S	461,557.3500	1.0000	0	461,557	461,557	0
05/10/16 S	1,151,009.9600	1.0000	0	1,151,010	1,151,010	0
05/11/16 S	151,744.9700	1.0000	0	151,745	151,745	0
05/12/16 S	3,591,888.7800	1.0000	0	3,591,889	3,591,889	0
05/13/16 S	4,594,633.8200	1.0000	0	4,594,634 *	4,594,634	0
05/18/16 S	579,719.6200	1.0000	0	579,720	579,720	0
05/19/16 S	4,980,866.7000	1.0000	0	4,980,867 *	4,980,867	0
05/20/16 S	1,972,206.1300	1.0000	0	1,972,206	1,972,206	0
05/23/16 S	1,574,949.4100	1.0000	0	1,574,949	1,574,949	0
05/24/16 S	1,959,343.6800	1.0000	0	1,959,344	1,959,344	0
05/25/16 S	843,946.7400	1.0000	0	843,947	843,947	0



REPORTABLE TRANSACTIONS WORKSHEET

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ACCOUNT 7036735

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RAILROAD - NRC / UTU HLTH&WELFA

DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
05/31/16 S	3,156,940.3000	1.0000	0	3,156,940	3,156,940	0
06/01/16 S	2,372,007.9700	1.0000	0	2,372,008	2,372,008	0
06/02/16 S	2,176,306.3500	1.0000	0	2,176,306	2,176,306	0
06/03/16 S	1,359,137.8300	1.0000	0	1,359,138	1,359,138	0
06/06/16 S	1,034,841.0200	1.0000	0	1,034,841	1,034,841	0
06/08/16 S	8,998.4000	1.0000	0	8,998	8,998	0
06/09/16 S	3,544,518.6500	1.0000	0	3,544,519	3,544,519	0
06/10/16 S	5,519,481.7900	1.0000	0	5,519,482 *	5,519,482	0
06/13/16 S	813,374.6400	1.0000	0	813,375	813,375	0
06/14/16 S	1,609,935.3500	1.0000	0	1,609,935	1,609,935	0
06/15/16 S	1,527,844.1100	1.0000	0	1,527,844	1,527,844	0
06/16/16 S	1,224,896.9800	1.0000	0	1,224,897	1,224,897	0
06/17/16 S	1,908,824.4700	1.0000	0	1,908,824	1,908,824	0
06/20/16 S	1,952,523.0200	1.0000	0	1,952,523	1,952,523	0
06/21/16 S	3,342,372.9600	1.0000	0	3,342,373	3,342,373	0
06/22/16 S	1,773,798.3300	1.0000	0	1,773,798	1,773,798	0
06/23/16 S	4,246,389.0400	1.0000	0	4,246,389	4,246,389	0
06/24/16 S	5,400,444.9300	1.0000	0	5,400,445 *	5,400,445	0
06/27/16 S	295,430.2800	1.0000	0	295,430	295,430	0
06/30/16 S	5,312,733.9400	1.0000	0	5,312,734 *	5,312,734	0
07/01/16 S	1,453,087.8800	1.0000	0	1,453,088	1,453,088	0
07/05/16 S	1,003,509.2300	1.0000	0	1,003,509	1,003,509	0
07/06/16 S	452,905.1600	1.0000	0	452,905	452,905	0
07/08/16 S	5,528,147.5700	1.0000	0	5,528,148 *	5,528,148	0
07/11/16 S	8,529.8600	1.0000	0	8,530	8,530	0
07/11/16 S	1,913,966.3300	1.0000	0	1,913,966	1,913,966	0
07/12/16 S	1,666,551.5300	1.0000	0	1,666,552	1,666,552	0
07/13/16 S	1,907,359.5900	1.0000	0	1,907,360	1,907,360	0
07/14/16 S	3,294,070.0700	1.0000	0	3,294,070	3,294,070	0
07/18/16 S	1,009,867.9500	1.0000	0	1,009,868	1,009,868	0
07/19/16 S	904,067.1800	1.0000	0	904,067	904,067	0
07/20/16 S	1,229,157.6300	1.0000	0	1,229,158	1,229,158	0
07/21/16 S	3,870,876.6400	1.0000	0	3,870,877	3,870,877	0
07/22/16 S	4,613,564.4100	1.0000	0	4,613,564 *	4,613,564	0
07/25/16 S	1,888,829.3400	1.0000	0	1,888,829	1,888,829	0
07/26/16 S	1,832,903.4100	1.0000	0	1,832,903	1,832,903	0
07/27/16 S	879,469.4300	1.0000	0	879,469	879,469	0
07/29/16 S	3,305,478.1700	1.0000	0	3,305,478	3,305,478	0
08/01/16 S	833,197.4200	1.0000	0	833,197	833,197	0
08/03/16 S	3,062,325.6100	1.0000	0	3,062,326	3,062,326	0
08/04/16 S	3,750,222.1900	1.0000	0	3,750,222	3,750,222	0
08/05/16 S	3,663,174.6300	1.0000	0	3,663,175	3,663,175	0
08/08/16 S	8,584.8900	1.0000	0	8,585	8,585	0
08/10/16 S	1,033,560.0800	1.0000	0	1,033,560	1,033,560	0
08/11/16 S	4,842,593.7100	1.0000	0	4,842,594 *	4,842,594	0
08/12/16 S	1,340,003.5400	1.0000	0	1,340,004	1,340,004	0



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RAILROAD - NRC / UTU HLTH&WELFA

DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
08/15/16 S	817,598.0600	1.0000	0	817,598	817,598	0
08/17/16 S	1,948,868.2400	1.0000	0	1,948,868	1,948,868	0
08/18/16 S	3,708,785.4600	1.0000	0	3,708,785	3,708,785	0
08/19/16 S	5,313,197.4500	1.0000	0	5,313,197 *	5,313,197	0
08/22/16 S	2,392,877.7900	1.0000	0	2,392,878	2,392,878	0
08/23/16 S	798,977.1000	1.0000	0	798,977	798,977	0
08/24/16 S	1,476,578.6300	1.0000	0	1,476,579	1,476,579	0
08/25/16 S	3,557,306.8400	1.0000	0	3,557,307	3,557,307	0
08/26/16 S	811,495.2600	1.0000	0	811,495	811,495	0
08/31/16 S	2,792,306.2500	1.0000	0	2,792,306	2,792,306	0
09/01/16 S	2,702,846.8400	1.0000	0	2,702,847	2,702,847	0
09/02/16 S	4,507,472.9000	1.0000	0	4,507,473 *	4,507,473	0
09/06/16 S	5,309,608.9800	1.0000	0	5,309,609 *	5,309,609	0
09/09/16 S	8,425.8800	1.0000	0	8,426	8,426	0
09/09/16 S	152,519.2200	1.0000	0	152,519	152,519	0
09/12/16 S	1,398,574.0400	1.0000	0	1,398,574	1,398,574	0
09/14/16 S	285,953.7600	1.0000	0	285,954	285,954	0
09/15/16 S	3,146,647.4300	1.0000	0	3,146,647	3,146,647	0
09/16/16 S	2,174,464.7300	1.0000	0	2,174,465	2,174,465	0
09/19/16 S	909,624.2000	1.0000	0	909,624	909,624	0
09/20/16 S	1,214,374.8700	1.0000	0	1,214,375	1,214,375	0
09/23/16 S	1,210,543.3400	1.0000	0	1,210,543	1,210,543	0
09/26/16 S	2,128,492.6600	1.0000	0	2,128,493	2,128,493	0
09/27/16 S	2,790,123.7700	1.0000	0	2,790,124	2,790,124	0
09/28/16 S	1,513,134.8900	1.0000	0	1,513,135	1,513,135	0
09/29/16 S	3,312,302.6000	1.0000	0	3,312,303	3,312,303	0
09/30/16 S	6,304,638.0100	1.0000	0	6,304,638 *	6,304,638	0
10/03/16 S	959,808.4500	1.0000	0	959,808	959,808	0
10/04/16 S	2,262,529.1200	1.0000	0	2,262,529	2,262,529	0
10/05/16 S	1,148,651.7200	1.0000	0	1,148,652	1,148,652	0
10/06/16 S	1,384,194.1500	1.0000	0	1,384,194	1,384,194	0
10/11/16 S	9,822.3000	1.0000	0	9,822	9,822	0
10/11/16 S	1,624,173.5500	1.0000	0	1,624,174	1,624,174	0
10/12/16 S	3,529,202.1600	1.0000	0	3,529,202	3,529,202	0
10/14/16 S	4,655,203.8500	1.0000	0	4,655,204 *	4,655,204	0
10/18/16 S	999,387.6300	1.0000	0	999,388	999,388	0
10/21/16 S	1,496,841.2700	1.0000	0	1,496,841	1,496,841	0
10/24/16 S	1,481,594.6200	1.0000	0	1,481,595	1,481,595	0
10/25/16 S	2,176,788.1800	1.0000	0	2,176,788	2,176,788	0
10/26/16 S	1,970,781.3800	1.0000	0	1,970,781	1,970,781	0
10/27/16 S	3,872,850.3800	1.0000	0	3,872,850	3,872,850	0
10/28/16 S	5,675,141.8800	1.0000	0	5,675,142 *	5,675,142	0
10/31/16 S	2,694,613.4400	1.0000	0	2,694,613	2,694,613	0
11/01/16 S	1,942,327.7400	1.0000	0	1,942,328	1,942,328	0
11/02/16 S	1,079,360.0100	1.0000	0	1,079,360	1,079,360	0
11/03/16 S	3,349,815.5000	1.0000	0	3,349,816	3,349,816	0



REPORTABLE TRANSACTIONS WORKSHEET

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RAILROAD - NRC / UTU HLTH&WELFA

DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
11/04/16 S	2,340,560.2000	1.0000	0	2,340,560	2,340,560	0
11/08/16 S	10,823.8300	1.0000	0	10,824	10,824	0
11/09/16 S	1,228,998.0400	1.0000	0	1,228,998	1,228,998	0
11/10/16 S	7,711,073.6300	1.0000	0	7,711,074 *	7,711,074	0
11/14/16 S	879,162.5400	1.0000	0	879,163	879,163	0
11/15/16 S	3,131,798.8500	1.0000	0	3,131,799	3,131,799	0
11/17/16 S	2,584,167.8500	1.0000	0	2,584,168	2,584,168	0
11/18/16 S	930,600.2600	1.0000	0	930,600	930,600	0
11/23/16 S	1,842,314.0100	1.0000	0	1,842,314	1,842,314	0
11/25/16 S	8,430,804.1600	1.0000	0	8,430,804 *	8,430,804	0
11/28/16 S	2,947,127.1300	1.0000	0	2,947,127	2,947,127	0
11/29/16 S	5,370,356.0800	1.0000	0	5,370,356 *	5,370,356	0
11/30/16 S	3,505,320.4300	1.0000	0	3,505,320	3,505,320	0
12/01/16 S	3,140,880.2500	1.0000	0	3,140,880	3,140,880	0
12/02/16 S	262,441.1700	1.0000	0	262,441	262,441	0
12/05/16 S	681,841.1100	1.0000	0	681,841	681,841	0
12/06/16 S	372,628.0900	1.0000	0	372,628	372,628	0
12/08/16 S	10,583.2900	1.0000	0	10,583	10,583	0
12/09/16 S	4,661,212.8200	1.0000	0	4,661,213 *	4,661,213	0
12/12/16 S	1,089,237.9000	1.0000	0	1,089,238	1,089,238	0
12/13/16 S	772,682.8300	1.0000	0	772,683	772,683	0
12/14/16 S	1,012,595.4800	1.0000	0	1,012,595	1,012,595	0
12/15/16 S	3,690,843.9000	1.0000	0	3,690,844	3,690,844	0
12/19/16 S	1,238,795.6300	1.0000	0	1,238,796	1,238,796	0
12/20/16 S	2,158,753.5200	1.0000	0	2,158,754	2,158,754	0
12/22/16 S	4,290,188.5700	1.0000	0	4,290,189	4,290,189	0
12/23/16 S	5,677,547.6100	1.0000	0	5,677,548 *	5,677,548	0
12/27/16 S	1,266,361.0400	1.0000	0	1,266,361	1,266,361	0
12/28/16 S	2,435,586.2300	1.0000	0	2,435,586	2,435,586	0
12/29/16 S	2,545,756.8400	1.0000	0	2,545,757	2,545,757	0
12/30/16 S	2,916,368.4700	1.0000	0	2,916,368	2,916,368	0
SUB-TOTAL OF SALES # 212			0	512,906,845	512,906,845	0
SUB-TOTAL			0	1,006,733,876	1,006,733,876	0
GRAND TOTAL			0	1,006,733,876	1,006,733,876	0



REPORTABLE TRANSACTIONS WORKSHEET

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RAILROAD - NRC / UTU HLTH&WELFARE

<u>DATE BOUGHT/SOLD</u>	<u>SHARES PAR VALUE</u>	<u>UNIT PRICE</u>	<u>EXPENSE INCURRED</u>	<u>PRINCIPAL CASH</u>	<u>ERISA COST</u>	<u>ERISA COST GAIN/LOSS</u>
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CATEGORY 4 - SINGLE TRANSACTION WITH ONE BROKER EXCEEDS 5% OF VALUE

*** NO TRANSACTIONS QUALIFIED FOR THIS SECTION ***

F O O T N O T E S

* = SINGLE TRANSACTION IS 5% REPORTABLE
B = BUY TRANSACTION
S = SELL TRANSACTION
R = REINVESTMENT TRANSACTION

THE NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION
UNION HEALTH AND WELFARE PLAN

EIN: 80-0616629

STATEMENT ATTACHED TO AND MADE PART OF FORM 5500
FOR THE YEAR ENDED DECEMBER 31, 2016

PART II, 2a, Sponsor's Name and Address

The Plan Sponsor is the Governing Committee, consisting of:

National Carriers' Conference Committee
251 – 18th Street, South
Suite 750
Arlington, VA 22202

and

United Transportation Union Health & Welfare Committee
14600 Detroit Avenue
Cleveland, OH 44107

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

FINANCIAL STATEMENTS
(Together with report of Independent Public Accountants)

December 31, 2016 and 2015

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INDEPENDENT AUDITOR'S REPORT

To the Governing Committee with respect to
National Railway Carriers and United Transportation Union Health and Welfare Plan

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of the National Railway Carriers and United Transportation Union Health and Welfare Plan (the Plan), which comprise the statements of net assets available for benefits and of plan benefit obligations as of December 31, 2016 and 2015, and the related statements of changes in net assets available for benefits and of changes in plan benefit obligations for the year ended December 31, 2016, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on conducting the audit in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the Plan Administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by SunTrust Bank, the trustee of the Plan, except for comparing this information with the related information included in the financial statements. We have been informed by the Plan Administrator that the trustee holds the Plan's investment assets and executes investment transactions. The Plan Administrator has obtained certifications from the trustee as of December 31, 2016 and 2015, and for the year ended December 31, 2016, that the information provided to the Plan Administrator by the trustee is complete and accurate.

Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

Other Matter

The supplemental schedules, schedule of assets (held at end of year) and schedule of reportable transactions as of or for the year ended December 31, 2016, are required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 and are presented for the purposes of additional analysis and are not a required part of the financial statements. These supplemental schedules are the responsibility of the Plan Administrator. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedules.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.

TMDG_{LLC}

Baltimore, Maryland
October 11, 2017

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Statements of Net Assets Available for Benefits
December 31, 2016 and 2015

	2016	2015
ASSETS		
Investments, at fair value	<u>\$ 67,819,884</u>	<u>\$ 86,892,664</u>
Receivables:		
Participating railroads' contributions	58,305,766	54,842,430
Participants' contributions	8,093,426	7,513,430
Formulary rebates	12,573,181	13,332,578
Federal government subsidy	56,639	71,220
Other	<u>202,988</u>	<u>188,355</u>
	<u>79,232,000</u>	<u>75,948,013</u>
Insurance premium stabilization reserve	<u>8,028,807</u>	<u>5,559,219</u>
Cash	<u>10,000</u>	<u>1,000,000</u>
Amounts due from participating railroads	<u>-</u>	<u>-</u>
Total assets	<u>155,090,691</u>	<u>169,399,896</u>
LIABILITIES		
Accounts payable and accrued expenses	3,218,479	5,531,568
Prepaid participants' COBRA contributions	<u>77,383</u>	<u>55,591</u>
Total liabilities	<u>3,295,862</u>	<u>5,587,159</u>
NET ASSETS AVAILABLE FOR BENEFITS	<u>\$ 151,794,829</u>	<u>\$ 163,812,737</u>

The Notes to Financial Statements are an integral part of these statements.

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Statement of Changes in Net Assets Available for Benefits
For the Year Ended December 31, 2016

ADDITIONS

Investment income:	
Interest income	\$ 179,159
Less investment expenses	<u>(114,516)</u>
	<u>64,643</u>
Participating railroads' contributions	528,393,350
Participants' contributions	91,564,079
Participants' COBRA contributions	1,138,318
Federal government subsidy	56,640
Other	<u>46,306</u>
	<u>621,198,693</u>
Total additions	<u>621,263,336</u>

DEDUCTIONS

Benefits paid to or for participants, beneficiaries, and dependents:	
Health claims	507,886,059
Prescription drug claims	86,292,112
Insurance premiums	<u>3,230,562</u>
	<u>597,408,733</u>
Administrative expenses	<u>35,872,511</u>
Total deductions	<u>633,281,244</u>
Net decrease	(12,017,908)

NET ASSETS AVAILABLE FOR BENEFITS

Beginning of year	<u>163,812,737</u>
End of year	<u>\$ 151,794,829</u>

The Notes to Financial Statements are an integral part of this statement.

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Statements of Plan Benefit Obligations
(As Determined by the Plan Sponsor, UnitedHealthcare, and the Plan's Consulting Actuary)
December 31, 2016 and 2015

	2016	2015
AMOUNTS CURRENTLY PAYABLE TO OR FOR PARTICIPANTS, BENEFICIARIES, AND DEPENDENTS		
Claims payable	\$ 23,934,410	\$ 26,564,356
Insurance premiums payable	<u>5,168</u>	<u>21,660</u>
	<u>23,939,578</u>	<u>26,586,016</u>
OTHER OBLIGATIONS FOR CURRENT BENEFITS COVERAGE, AT PRESENT VALUE OF ESTIMATED AMOUNTS		
Claims incurred but not reported	42,609,661	55,615,206
Accumulated eligibility credit and extended benefit coverage	<u>66,301,415</u>	<u>80,188,463</u>
	<u>108,911,076</u>	<u>135,803,669</u>
Total obligations other than post-retirement benefit obligations	<u>132,850,654</u>	<u>162,389,685</u>
POST-RETIREMENT BENEFIT OBLIGATIONS		
Current retirees	45,143,669	44,871,139
Other participants fully eligible for benefits	863,798	894,067
Other participants not yet fully eligible for benefits	<u>6,516,691</u>	<u>6,745,043</u>
	<u>52,524,158</u>	<u>52,510,249</u>
PLAN'S TOTAL BENEFIT OBLIGATIONS	<u>\$ 185,374,812</u>	<u>\$ 214,899,934</u>

The Notes to Financial Statements are an integral part of these statements.

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Statement of Changes in Plan Benefit Obligations
(As Determined by the Plan Sponsor, UnitedHealthcare, and the Plan's Consulting Actuary)
For the Year Ended December 31, 2016

AMOUNTS CURRENTLY PAYABLE TO OR FOR
PARTICIPANTS, BENEFICIARIES, AND DEPENDENTS

Claims payable:

Balance at beginning of year	\$ 26,564,356
Claims reported and approved for payment	591,548,225
Claims paid (including disability)	<u>(594,178,171)</u>
Balance at end of year	<u>23,934,410</u>

Insurance premiums payable:

Balance at beginning of year	21,660
Premiums due	3,214,070
Premiums paid	<u>(3,230,562)</u>
Balance at end of year	<u>5,168</u>

OTHER OBLIGATIONS FOR CURRENT BENEFITS
COVERAGE, AT PRESENT VALUE OF ESTIMATED AMOUNTS

Balance at beginning of year	135,803,669
Net change during the year:	
Other	<u>(26,892,593)</u>
Balance at end of year	<u>108,911,076</u>

Total obligations other than post-retirement benefit obligations	<u>132,850,654</u>
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POST-RETIREMENT BENEFIT OBLIGATIONS

Balance at beginning of year	52,510,249
Increase (decrease) during the year attributed to:	
Benefits earned and other changes	1,663,669
Benefits expected to be paid	<u>(4,986,563)</u>
Interest	2,101,790
Changes in actuarial assumptions	<u>1,235,013</u>
Balance at end of year	<u>52,524,158</u>

PLAN'S TOTAL BENEFIT OBLIGATION	<u>\$ 185,374,812</u>
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The Notes to Financial Statements are an integral part of this statement.

NOTES TO FINANCIAL STATEMENTS

Note 1. Description of the Plan

The following description of the National Railway Carriers and United Transportation Union Health and Welfare Plan (the Plan) provides only general information. Participants should refer to the Plan's Summary Plan Description for a more complete description of the Plan's provisions.

General

The Plan and related Trust were established in 2000 pursuant to collective-bargaining to provide health and other related benefits to eligible employees and retirees of participating railroads and their beneficiaries. The Plan is administered by the Governing Committee, which consists of the United Transportation Union Health and Welfare Committee and National Carriers' Conference Committee and is subject to the provisions of the Railway Labor Act, as amended, and the Employee Retirement Income Security Act of 1974 (ERISA), as amended.

Benefits

The Plan benefits are provided on a self-insured basis, except for life insurance and accidental death and dismemberment insurance, which are provided by Metropolitan Life Insurance Company through an experience-rated insurance contract. Health claims are administered by several third party administrators (Aetna, Highmark, UnitedHealthcare, and United Behavioral Health), pursuant to Administrative Service Only contracts. Prescription drug claims are administered by Express Scripts, pursuant to a Master Services Agreement.

Eligibility

Upon satisfying the eligibility and coverage requirements, as outlined in the Plan's Summary Plan Description, employees of the participating railroads and their dependents are entitled to receive the benefits provided by the Plan. Additional extended benefit coverage provisions may be available for participants who become disabled (including pregnancy), furloughed, suspended, or dismissed. (See Note 9 regarding the liability recognized for financial statement reporting purposes for extended benefit coverage.)

Funding

The participating railroads' and participants' obligation to provide contributions to the Plan arises pursuant to the terms and conditions of the collective-bargaining agreements, Plan document, and related practices. Contributions to the Plan are remitted by the participating railroads on a monthly basis in the amount determined after discussion with UnitedHealthcare. The railroads fund the obligations of the Plan as they become due and payable during the year.

NOTES TO FINANCIAL STATEMENTS

Note 1. Description of the Plan (continued)

Tax status

The Trust established pursuant to the Plan document to hold the Plan's assets is qualified pursuant to Section 501(c)(9) of the Internal Revenue Code and, accordingly, the Trust's net investment income is exempt from income taxation. However, as a result of the Plan's funding policy, from time to time the trust may be subject to income taxes. No federal or state income taxes have been recorded during the year ending December 31, 2016 for unrelated business taxable income.

The Plan has obtained a favorable tax determination letter from the Internal Revenue Service, and the Plan Administrator believes that the Plan, as amended, continues to qualify and to operate as designed.

Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 740, Income Taxes, prescribes a recognition threshold and measurement attribute for the financial statement recognition and measurement of a tax position taken or expected to be taken in a tax return. The Plan's management has evaluated the impact of this guidance to its financial statements. The Plan's tax returns are subject to examination by taxing authorities, generally for a period of three years from the date the returns are filed.

Plan termination

In the event of termination of the Plan, the Trust's remaining assets will be used to provide for the payment of any and all obligations of the Plan. Such payments shall be for the exclusive benefit of the Plan participants and beneficiaries and to defray the administrative expenses of the Plan.

Note 2. Significant Accounting Policies

Basis of accounting

The financial statements of the Plan are prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America.

Use of estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the Plan Administrator to make estimates and assumptions that affect certain reported amounts of assets,

NOTES TO FINANCIAL STATEMENTS

Note 2. Significant Accounting Policies (continued)

liabilities, benefit obligations and changes therein, and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

Valuation of investments and income recognition

Investments are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 6 for discussion of fair value measurements.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis.

Fair value of financial instruments

The Plan Administrator believes the carrying value of financial instruments, as stated in the financial statements, approximates their fair value.

Participating railroads' contributions and contributions receivable

Each participating railroad provides a monthly contribution to the Plan as determined annually. Participating railroad contributions are recognized as revenue in the period in which the compensated service giving rise to the contribution is rendered.

Participants' contributions and contributions receivable

Employees of the participating railroads provide monthly contributions to the Plan pursuant to the terms and conditions of the collective-bargaining agreements. Participant contributions are recognized as revenue in the period in which the compensated service giving rise to the contribution is rendered.

There is no contribution requirement for eligible retirees of participating railroads.

Participants' COBRA contributions

Participants and beneficiaries, who experience a qualifying event, as defined by Federal COBRA guidelines, may self-pay to continue coverage in the Plan for a limited period of time. Participants' COBRA contributions are recognized when due and payable.

NOTES TO FINANCIAL STATEMENTS

Note 2. Significant Accounting Policies (continued)

Payment of benefits

Claim payments are recorded when paid by the Plan. Amounts processed by the third party administrators, but not paid by the Plan and claims incurred but not reported as of December 31st are recorded as plan benefit obligations within the accompanying statements of plan benefit obligations.

Premiums paid by the Plan are recorded as premium payments in the accompanying statement of changes in net assets available for benefits. Premiums expense incurred but not paid by the Plan as of December 31st are reported within the accompany statements of plan benefit obligations.

Formulary rebates

Formulary rebates are recorded by the Plan when earned. Formulary rebates totaling \$21,581,742 have been earned by the Plan and were netted against prescription drug claims in the accompanying statement of changes in net assets available for benefits for the year ended December 31, 2016.

Terminated and withdrawing railroads' withdrawal liability receivable

Upon termination or withdrawal from the Plan in whole or in part, a railroad is assessed a withdrawal liability, as provided for pursuant to the Plan document, which approximates the individual railroad's claim run-out liability. This run-out liability is due and payable 10 days subsequent to the railroad's receipt of a bill for such payment. As of December 31, 2016 and 2015, there were outstanding amounts receivable of \$22,352 from terminated or withdrawn railroads as it relates to the withdrawal liability.

Allowance due from participating railroads

The Plan utilizes the allowance method to account for uncollectible receivables. Unless otherwise noted, an allowance for doubtful accounts for the Plan's receivable balances is not considered necessary as probable uncollectible amounts have been determined by the Plan Administrator to be insignificant to the financial statements.

Amounts due from participating railroads

The amounts due from participating railroads represent an unfunded commitment, pursuant to the collective-bargaining agreements, Plan document, and related practices, by each participating railroad, to contribute to the Plan sufficient funds to enable the Plan to pay the benefits provided by it for that railroad's employees and their eligible dependents.

NOTES TO FINANCIAL STATEMENTS

Note 2. Significant Accounting Policies (continued)

Subsequent Events

The Plan Administrator has evaluated subsequent events through October 11, 2017, the date the financial statements were available to be issued.

Note 3. Information Certified by the Plan's Trustee

The following investments are held by a bank administered trust fund and were certified by the Trustee, SunTrust Bank, as complete and accurate.

	2016	2015
Money Market Fund:*		
Investments	\$ 66,826,296	\$ 85,906,108
Accrued interest	\$ 18,024	\$ 3,391
Interest income	\$ 124,202	N/A

* Investments held as of December 31, 2016 and 2015 were in Federated Treasury Obligation MM-1 #68 FFS.

The investment activity reported on the schedule of assets (held at end of year) and schedule of reportable transactions was also certified by the Trustee, SunTrust Bank, as complete and accurate.

The Plan's independent public accountants did not perform auditing procedures with respect to this information, except for comparing such information to the related information included in the financial statements and supplemental schedules.

Note 4. Funding Agreement

In 2008, the Plan entered into a Funding Agreement (Agreement) with Metropolitan Life Insurance Company (MetLife). Under the Agreement, an initial deposit was made from the Plan's premium stabilization reserve to MetLife. These funds were invested in the fixed component of the Agreement, which had a one-year term and earned interest at a set rate that was credited to the account upon maturity.

The Agreement contains an automatic renewal clause: upon expiration of the fixed term component of the Agreement, and without further action from the Plan, the funds convert to a short-term component of the Agreement. Since inception, additional deposits have been made from the Plan's premium stabilization reserve to MetLife and funds invested in the Agreement have moved between the fixed term and short-term component several times.

NOTES TO FINANCIAL STATEMENTS

Note 4. Funding Agreement (continued)

These funds are held in the general assets of MetLife and are subject to the financial strength and claim-paying ability of MetLife. The Agreement is recognized in the Plan's financial statements at cost, which approximates fair value, principal plus accrued interest, as reported to the Plan by MetLife.

On January 27, 2013, the funds were invested in the short-term component of the Agreement and earned interest based on the discount rate on the six month Treasury Bills set at the first weekly auction in the month plus 0.25%. The funds remained in the short-term component through the end of the 2016 calendar year. The balances of the Agreement as of December 31, 2016 and 2015, principal plus accrued interest, were \$993,588 and \$986,556, respectively.

Note 5. Premium Stabilization Reserve

The Plan has funds held in a premium stabilization reserve with MetLife in connection with its experience-rated life insurance and accidental death and dismemberment insurance contract. The funds may be withdrawn at any time and earn interest based on the discount rate on the six month Treasury Bills set at the first weekly auction in the month plus 0.25%. The premium stabilization reserve has been included as an asset of the Plan until such amounts are used to pay premiums or are withdrawn by the Plan. The reserve is nonforfeitable should the insurance contract terminate.

Note 6. Fair Value Measurements

The framework for measuring fair value provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1) and the lowest priority to unobservable inputs (level 3). The three levels of the fair value hierarchy are described as follows:

Level 1

Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2

Inputs to the valuation methodology include:

- Quoted prices for similar assets or liabilities in active markets
- Quoted prices for identical or similar assets or liabilities in inactive markets
- Inputs other than quoted prices that are observable for the asset or liability
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means

NOTES TO FINANCIAL STATEMENTS

Note 6. Fair Value Measurements (continued)

If the asset or liability has a specified (contractual) term, the level 2 input must be observable for substantially the full term of the asset or liability.

Level 3

Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of relevant observable inputs and minimize the use of unobservable inputs.

The valuation methodologies used for assets measured at fair value as of December 31, 2016 and 2015 are as follows:

Money market funds

Shares of a money market portfolio are considered cash equivalents and are valued at their carrying amount due to their short-term nature.

Funding agreement with MetLife

The Plan's funding agreement with MetLife is recognized on the financial statement at cost, which approximates fair value, principal plus accrued interest. Funds held with MetLife earn interest at an agreed upon interest rate for a specific term with interest earnings paid at maturity (See Note 4).

The following table presents by level, within the fair value hierarchy, the Plan's assets measured at fair value as of December 31, 2016 and 2015.

<u>Assets at Fair Value as of December 31, 2016</u>			
	<u>Level 1</u>	<u>Level 3</u>	<u>Total</u>
Assets:			
Money market funds	\$ 66,826,296	\$ -	\$ 66,826,296
Funding agreement (See Note 4)	<u>-</u>	<u>993,588</u>	<u>993,588</u>
Total assets at fair value	<u>\$ 66,826,296</u>	<u>\$ 993,588</u>	<u>\$ 67,819,884</u>

NOTES TO FINANCIAL STATEMENTS

Note 6. Fair Value Measurements (continued)

Assets at Fair Value as of December 31, 2015

	<u>Level 1</u>	<u>Level 3</u>	<u>Total</u>
Assets:			
Money market funds	\$ 85,906,108	\$ -	\$ 85,906,108
Funding agreement (See Note 4)	<u>-</u>	<u>986,556</u>	<u>986,556</u>
Total assets at fair value	<u>\$ 85,906,108</u>	<u>\$ 986,556</u>	<u>\$ 86,892,664</u>

The Plan has no assets which meet the criteria for level 2 reporting and, therefore, this level has been excluded from the table above.

Level 3 Gains and Losses

The following table presents a summary of changes in the fair value of the Plan's level 3 assets for the year ended December 31, 2016:

Level 3 Assets Year Ended December 31, 2016

Balance, beginning of year	\$ 986,556
Interest credited during the year	<u>7,032</u>
Balance, end of year	<u>\$ 993,588</u>

Quantitative Information about Significant Unobservable Inputs Used in Level 3 Fair Value Measurements

The following table represents the Plan's level 3 financial instruments, the valuation techniques used to measure the fair value of those financial instruments as of December 31, 2016 and 2015, and the significant unobservable inputs:

	<u>Instrument</u>	<u>Fair Value</u>	<u>Principle Valuation Technique</u>	<u>Term</u>	<u>Unobservable Inputs</u>	<u>Significant Input Values</u>
December 31, 2016	Funding agreement	\$993,588	Cost plus accrued interest	N/A*	Interest rate	0.71%**
December 31, 2015	Funding agreement	\$986,556	Cost plus accrued interest	N/A*	Interest rate	0.40%**

NOTES TO FINANCIAL STATEMENTS

Note 6. Fair Value Measurements (continued)

* As of December 31, 2016 and 2015 all funds were invested in the short-term component of the Funding Agreement (see Note 4). Pursuant to the Funding Agreement, the short-term component does not expire. Amounts will remain invested in the short-term component until further direction is given by the Plan Administrator.

** Represents the discount rate on the six month Treasury Bills set at the first weekly auction in December 2016 and 2015 plus 0.25%.

In determining the reasonableness of the valuation methodology of this investment, the Plan Administrator evaluates a variety of factors including review of methods and assumptions used by external sources, economic conditions, financial strength and claim-paying ability of MetLife, and the non-marketable nature of the investment.

Note 7. Plan Contributions

The participating railroads do not differentiate their monthly contributions to the Plan between that which is paid on behalf of the participating railroad and that which is paid on behalf of the Plan participant. Therefore, the Plan Administrator estimates participants' contributions receivable and participants' contributions by applying blended employee cost sharing contribution rates to the respective payment employee counts. The resulting amounts are reclassified from the total participating railroads' contributions receivable and participating railroads' annual contributions and reported as participant contributions receivable and participant contributions, respectively. This methodology was utilized in both 2016 and 2015.

Note 8. Post-Retirement Benefits

The post-retirement benefits provided by the Plan to eligible retirees of participating railroads are limited to the fully insured life insurance and accidental death and dismemberment insurance benefits provided by MetLife.

The post-retirement benefit obligation represents the total actuarial present value of those estimated future benefits that are attributed to employee service rendered to December 31st. Post-retirement benefits include future benefits expected to be paid to or for: (1) currently retired employees (eligible retirees) and (2) active employees after retirement from service with the participating railroads. Prior to an active employee's full eligibility date, the post-retirement benefit obligation for these employees is the portion of the expected post-retirement benefit obligation that is attributed to that employee's service in the industry rendered to the valuation date.

The actuarial present value of the expected post-retirement benefit obligation is determined by the Plan's consulting actuary, Willis Towers Watson, and is the amount that results from applying actuarial assumptions to historical claims-cost data to estimate future annual incurred claims costs per participant and to adjust such estimates for the

NOTES TO FINANCIAL STATEMENTS

Note 8. Post-Retirement Benefits (continued)

time value of money (through discounts for interest) and the probability of payment (by means of appropriate decrements) between the valuation date and the expected date of payment.

Because the post-retirement benefits provided by the Plan are limited to fully insured life insurance and accidental death and dismemberment insurance benefits, the health care cost trend rate assumption is not applicable to the post-retirement benefit calculation.

The cost of providing Plan benefits depends on demographic factors such as retirement, mortality, turnover, and plan participation. The United States Railroad Retirement Board performs a valuation of Railroad Retirement Benefits every three years, which includes analysis and development of current demographic assumptions.

The Plan's consulting actuary relied upon this analysis as representative of the experience of the covered population under this Plan. If the actual claim experience of the Plan is more favorable than assumed, future costs will be lower. Alternatively, if the actual claim experience of the Plan is less favorable than assumed, future costs will be higher.

The Plan participant data was not available at the level of detail that is typically used in valuations of this type. Therefore, the Plan's consulting actuary used reasonable and appropriate extrapolation techniques pursuant to Actuarial Standards of Practice (ASOP No. 23) on Data Quality to develop the data that was needed for valuation purposes. These techniques included an additional data quality check analysis to determine if a liability offset was necessary to account for the effect of any potential missing retiree data. Based on this analysis, no further adjustment was required. The Plan's consulting actuary does not believe the use of this data creates a material bias in the calculation.

Other significant assumptions used in the actuarial valuation are as follows:

	2016	2015
Weighted Average Discount Rate	4.00%	4.20%

Mortality Assumption

Healthy:

Active	RRB Table S-4	2009 RRB Active Service Mortality Table.
Retired	RRB Table S-1	2010 RRB Annuity Mortality Table.
Disabled:	RRB Table S-2	2010 RRB Disabled Mortality Table.

Termination Assumption

RRB Table S-13 – 30 Year Select and Ultimate Table.

NOTES TO FINANCIAL STATEMENTS

Note 8. Post-Retirement Benefits (continued)

Disability Assumption

RRB Table S-12 – Rates vary by age and service.

Retirement Assumption

RRB Table S-11 – Rates vary by age and service, average age is 62.

Note: The demographic assumptions shown above were developed by the United States Railroad Retirement Board (RRB), Bureau of the Actuary, for use in the December 31, 2013 valuation of Railroad Retirement Benefits published in September of 2015. This is the most recent valuation available to the Plan's consulting actuary. The table numbers referenced above correspond to the assumptions section of that valuation.

The foregoing assumptions are based on the presumption that the Plan will continue. Were the Plan to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of the post-retirement obligation.

Note 9. Other Plan Benefit Obligations

Plan benefit obligations as of December 31st for health claims payable, current insurance premiums payable, health claims incurred by participants but not reported as of that date, and extended benefit coverage available to Plan participants are estimated by UnitedHealthcare. Plan benefit obligations as of December 31st for accumulated eligibility of participants are estimated by the Plan Sponsor. Such estimated amounts are reported in the accompanying statement of Plan Benefit Obligations at present value. Based on the current nature of the obligation, generally within three months of year end, discounting the obligation was not necessary.

The obligation relating to health claims payable and health claims incurred by participants but not reported as of that date is determined by UnitedHealthcare by applying the following assumptions to historical claim-cost data.

	2016	2015
Run-out factor:		
Health claims:		
On-duty injury claims	3.10%	3.20%
Other than on-duty injury claims	1.30%	1.20%
Prescription drug claims	0.50%	0.50%
Administrative load:		
On-duty injury claims	4.80%	5.60%
Other than on-duty injury claims	4.80%	5.60%
Bank float	6.58%	6.85%

NOTES TO FINANCIAL STATEMENTS

Note 9. Other Plan Benefit Obligations (continued)

The obligation relating to accumulated eligibility of participants is determined by the Plan Sponsor by applying the average cost of benefits per eligible participant to accumulated eligibility credits. The average cost of benefits per eligible participant was calculated using claim lag studies and historical run-out patterns. If the actual claims experience of these employees is more favorable than that provided by the average cost of benefits per eligible participant, actual future costs will be lower. Alternatively, if the actual claims experience of the Plan is less favorable than that provided by the average cost of benefits per eligible participant, actual future cost will be higher.

The obligation relating to extended benefit coverage available to participants is determined by UnitedHealthcare by applying the contract rate or its equivalent to the total estimated number of months of future Plan coverage that is attributable to employee service rendered to December 31st. If the actual claims experience of these participants during the extended benefit coverage period is more favorable than that provided by applying the contract rate or its equivalent to the total estimated number of months of future Plan coverage, actual future costs will be lower. Alternatively, if the actual claims experience of the Plan is less favorable than that provided by applying the contract rate or its equivalent to the total estimated number of months of future Plan coverage, actual future cost will be higher.

The modeling used by UnitedHealthcare to develop the estimated number of months of future Plan coverage for the disabled employee population was changed in the current year. The previous model utilized historical railroad industry disability population data to make this estimate. The current model uses historical Plan disability coverage trends over the most recent six-year period on a per occurrence basis. Had the previous model been used in the current year to estimate the number of months of future Plan coverage for the disabled employee population, the accumulated eligibility credit and extended benefit coverage obligation reported within the Statements of Plan Benefit Obligations as of December 31, 2016 of \$66 million would have increased by \$12 million to \$78 million.

Upon termination of a Plan participant's coverage, the Plan may provide limited coverage of benefits for injuries that occurred, and sicknesses or pregnancies that commenced before or while the participant was covered by the Plan. The availability and length of coverage provided by this provision of the Plan varies depending on the Plan participant's benefit election, relationship to the covered employee, and condition upon termination of coverage. An obligation for this contingent liability has not been recognized in the Plan's financial statements because the amount expected to be paid as a result of this obligation cannot be reasonably estimated.

The Plan Administrator is of the opinion, based on all available known facts, that the amount expected to be paid with respect to this contingent liability would not have a material effect on the financial position or results of operations of the Plan.

NOTES TO FINANCIAL STATEMENTS

Note 10. Concentration of Participating Railroads

There are approximately 36 railroads participating in the Plan, of which 4 Class I railroads comprised approximately 87% and 88% of the total Plan activity as of December 31, 2016 and 2015, respectively. This activity includes, but is not limited to, participating railroads' contributions receivable and amounts due from participating railroads as of December 31, 2016 and 2015, and participating railroads' contributions for the year ended December 31, 2016 as follows:

Railroad	Percentage of Total Plan Activity	
	2016	2015
A	27.3%	30.1%
B	24.3%	25.6%
C	19.1%	16.1%
D	16.7%	16.5%

Note 11. Contingencies

See Note 9 regarding the Other Plan Benefit Obligations contingency.

The Plan is subject to lawsuits arising out of the ordinary course of business. The Plan Sponsors are of the opinion, based on available known facts, that the ultimate disposition of asserted claims would not have a material effect on the financial position or results of operations of the Plan.

Note 12. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of net assets available for benefits per the accompanying 2016 and 2015 financial statements to the Form 5500:

	2016	2015
Net assets available for benefits as reported within the financial statements	\$ 151,794,829	\$ 163,812,737
Benefit obligations currently payable	(66,544,071)	(82,179,562)
Insurance premiums payable	(5,168)	(21,660)
Net assets available for benefits as reported within the Form 5500	<u>\$ 85,245,590</u>	<u>\$ 81,611,515</u>

NOTES TO FINANCIAL STATEMENTS

Note 12. Reconciliation of Financial Statements to Form 5500 (continued)

The following is a reconciliation of benefits paid to participants per the financial statements to the Form 5500 for the year ended December 31, 2016:

Benefits paid to or for participants as reported within the financial statements	\$ 594,178,171
Add: Amounts payable at end of year	66,544,071
Less: Amounts payable at beginning of year	<u>(82,179,562)</u>
Benefits paid to or for participants as reported within the Form 5500	<u>\$ 578,542,680</u>

Amounts currently payable to or for participants, dependents, and beneficiaries are recorded on the Form 5500 for benefit claims that have been processed and approved for payment prior to December 31st but not yet paid as of that date and for incurred but not reported benefit claims as of December 31st.

The following is a reconciliation of premiums paid for participants per the financial statements to the Form 5500 for the year ended December 31, 2016.

Insurance premiums paid for participants as reported within the financial statements	\$ 3,230,562
Add: Amounts payable as of the end of year	5,168
Less: Amounts payable as of the beginning of year	<u>(21,660)</u>
Insurance premiums paid for participants as reported within the Form 5500	<u>\$ 3,214,070</u>

Note 13. Party in Interest Transactions

The Plan paid administrative fees to service providers during the year that are considered party in interest transactions. This includes management fees paid to SunTrust Bank, the trustee of the Plan, for certain Plan assets invested in money market funds. These transactions are exempt from the prohibited transaction rules of ERISA.

NOTES TO FINANCIAL STATEMENTS

Note 14. Risks and Uncertainties

The Plan investments consist of funds held in money market funds with SunTrust Bank. This investment, along with the premium stabilization reserve with MetLife, is exposed to credit risk. Due to the level of risk associated with these investments given the current economic condition and uncertainty in the market place, it is at least reasonably possible that changes in the value of these investments may occur in the near term and that such changes could materially affect the amounts reported in the statements of net assets available for benefits and changes in net assets available for benefits.

The Plan maintains its cash balances in bank deposit accounts, which, at times, may exceed federally insured limits. The Plan has not experienced any losses in such accounts and believes it is not exposed to any significant credit risk as to cash.

The total obligations other than post-retirement obligations (health claims payable, claims incurred but not reported, accumulated eligibility credit, and extended benefit coverage obligations) and post-retirement benefits are based on certain assumptions pertaining to claim run-out factors, administrative load, bank float, contract rates and its equivalent, estimated number of months of future Plan coverage that is attributable to employee service rendered to December 31st, participant data, interest rates, health care inflation, average retirement age, and other employee demographics, all of which are subject to change or may not be reflective of actual experience. Due to uncertainties inherent in the estimations and assumptions process, it is at least reasonably possible that changes in these estimates and assumptions in the near term would be material to the financial statements.

Note 15. Transitional Reinsurance Fee

The Affordable Care Act (ACA) requires self-funded group health plans to fund a Transitional Reinsurance Program in place from 2014 to 2016. The total 2016 fee to be paid by the Plan is \$2,177,523. This amount has been included in the accounts payable and accrued expenses balance reported within the accompanying statement of net assets available for benefits and as administrative expenses within the accompanying statement of changes in net assets available for benefits. As established by the ACA, the first payment for the 2016 reinsurance fee was due on January 17, 2017 and the second payment is due by November 15, 2017. The Plan paid \$1,742,018 on January 10, 2017 and will pay the remainder of the balance on November 15, 2017. With regards to the 2015 fee, \$4,176,568 was included in the accounts payable and accrued expenses balance as of December 31, 2015.

SUPPLEMENTAL SCHEDULES

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Schedule of Assets (Held at End of Year)
December 31, 2016

Schedule H Item 4(i) – Schedule of Assets (Held at End of Year)
EIN: 80-0616629
Plan Number: 510

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, or Similar Party	Description of Investment Including Maturity Date, Rate of Interest, Collateral, and Par or Maturity Value	Cost	Current Value
	Cash and cash equivalents			
*	SunTrust Bank Account 70-04-102-7036735	Money Market Fund Federated Trsy Oblig MM-I #68 FFS	\$ 66,826,296	\$ 66,826,296
	Insurance contract			
*	Metropolitan Life Insurance Co. Account 143324-T-4	Funding Agreement, 6 month Treasury Bill + 0.25%	993,588	993,588
			\$ 67,819,884	\$ 67,819,884

*Known Party-In-Interest With The Plan

NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION
HEALTH AND WELFARE PLAN

Schedule of Reportable Transactions
For the Year Ended December 31, 2016

Schedule H Item 4(j) – Schedule of Reportable Transactions
EIN: 80-0616629
Plan Number: 510

(a)	(b)	(c)	(d)	(g)	(h)
<u>Identity of Party Involved</u>	<u>Description of Assets</u>	<u>Purchase Price</u>	<u>Selling Price</u>	<u>Asset Cost</u>	<u>Current Value</u>
SunTrust Bank Account 70-04-102-7036735	(See attached schedule as prepared and reported by SunTrust Bank)				



REPORTABLE TRANSACTIONS WORKSHEET

1/1/16 THROUGH 12/31/16

ACCOUNT 7036735

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RAILROAD - NRC / UTU HLTH&WELFARE

DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
CATEGORY 1 - SINGLE TRANSACTION EXCEEDS 5% OF VALUE						
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/11/16 S	4,764,599.5800	1.0000		4,764,600 *	4,764,600	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/14/16 S	4,812,962.4400	1.0000		4,812,962 *	4,812,962	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/20/16 S	4,518,267.3500	1.0000		4,518,267 *	4,518,267	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/21/16 S	5,650,572.5900	1.0000		5,650,573 *	5,650,573	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/22/16 S	5,406,437.5200	1.0000		5,406,438 *	5,406,438	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
01/28/16 B	37,506,818.1300	1.0000		-37,506,818 *	37,506,818	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/05/16 S	4,795,736.8500	1.0000		4,795,737 *	4,795,737	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/09/16 B	5,322,339.9100	1.0000		-5,322,340 *	5,322,340	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/19/16 S	4,927,191.0100	1.0000		4,927,191 *	4,927,191	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
02/26/16 B	37,182,035.2700	1.0000		-37,182,035 *	37,182,035	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/03/16 S	4,857,573.8700	1.0000		4,857,574 *	4,857,574	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/04/16 S	5,425,590.1600	1.0000		5,425,590 *	5,425,590	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/08/16 B	4,760,213.7400	1.0000		-4,760,214 *	4,760,214	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/18/16 S	5,444,104.5300	1.0000		5,444,105 *	5,444,105	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/26/16 S	4,582,653.0400	1.0000		4,582,653 *	4,582,653	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/30/16 B	36,497,641.2100	1.0000		-36,497,641 *	36,497,641	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
03/31/16 S	5,272,505.3400	1.0000		5,272,505 *	5,272,505	0

BEGINNING MARKET VALUE 85,909,498.70
COMPARATIVE VALUE (5%) 4,295,474.93



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/01/16 S	4,861,379.8300	1.0000	0	4,861,380 *	4,861,380	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/07/16 B	8,615,208.9400	1.0000	0	-8,615,209 *	8,615,209	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/08/16 B	5,859,656.7300	1.0000	0	-5,859,657 *	5,859,657	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/15/16 S	4,362,631.2900	1.0000	0	4,362,631 *	4,362,631	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/28/16 B	31,721,622.3600	1.0000	0	-31,721,622 *	31,721,622	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
04/29/16 S	6,311,493.7500	1.0000	0	6,311,494 *	6,311,494	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/02/16 S	8,480,935.6700	1.0000	0	8,480,936 *	8,480,936	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/06/16 B	6,562,699.6900	1.0000	0	-6,562,700 *	6,562,700	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/13/16 S	4,594,633.8200	1.0000	0	4,594,634 *	4,594,634	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/19/16 S	4,980,866.7000	1.0000	0	4,980,867 *	4,980,867	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/26/16 B	4,528,945.7100	1.0000	0	-4,528,946 *	4,528,946	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
05/27/16 B	23,958,362.6900	1.0000	0	-23,958,363 *	23,958,363	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/08/16 B	5,688,653.0300	1.0000	0	-5,688,653 *	5,688,653	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/10/16 S	5,519,481.7900	1.0000	0	5,519,482 *	5,519,482	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/24/16 S	5,400,444.9300	1.0000	0	5,400,445 *	5,400,445	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/28/16 B	7,321,414.6900	1.0000	0	-7,321,415 *	7,321,415	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/29/16 B	27,164,531.7600	1.0000	0	-27,164,532 *	27,164,532	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
06/30/16 S	5,312,733.9400	1.0000	0	5,312,734 *	5,312,734	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/07/16 B	4,654,582.7900	1.0000	0	-4,654,583 *	4,654,583	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/08/16 S	5,528,147.5700	1.0000	0	5,528,148 *	5,528,148	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/22/16 S	4,613,564.4100	1.0000	0	4,613,564 *	4,613,564	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
07/28/16 B	30,930,766.6100	1.0000	0	-30,930,767 *	30,930,767	0
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/09/16 B	6,887,844.4200	1.0000	0	-6,887,844 *	6,887,844	0



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/11/16 S	4,842,593.7100	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/19/16 S	5,313,197.4500	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/29/16 B	5,775,556.3800	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
08/30/16 B	27,499,891.7500	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/02/16 S	4,507,472.9000	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/06/16 S	5,309,608.9800	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/08/16 B	4,904,588.3900	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/21/16 B	7,007,241.7900	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/22/16 B	25,363,657.1500	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
09/30/16 S	6,304,638.0100	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/07/16 B	6,909,481.9100	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/14/16 S	4,655,203.8500	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/19/16 B	7,684,621.7100	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/20/16 B	25,115,205.6500	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
10/28/16 S	5,675,141.8800	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/08/16 B	6,087,271.0200	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/10/16 S	7,711,073.6300	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/21/16 B	7,554,947.6500	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/22/16 B	27,669,019.9300	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/25/16 S	8,430,804.1600	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
11/29/16 S	5,370,356.0800	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
12/09/16 S	4,661,212.8200	1.0000				
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68						
12/21/16 B	23,264,800.5600	1.0000				



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68 12/23/16 S	5,677,547.6100	1.0000	0	5,677,548 *	5,677,548	0
GRAND TOTAL			0	648,882,986	648,882,986	0

CATEGORY 2 - SERIES OF TRANSACTIONS WITH SAME BROKER EXCEEDS 5% OF VALUE

*** NO TRANSACTIONS QUALIFIED FOR THIS SECTION ***

CATEGORY 3 - SERIES OF TRANSACTIONS IN SAME SECURITY EXCEEDS 5% OF VALUE

ISSUE: 60934N500 - FEDERATED TRSY OBLIGS MM-I #68

01/05/16 B	3,391.1500	1.0000	0	-3,391	3,391
01/08/16 B	2,496,494.5900	1.0000	0	-2,496,495	2,496,495
01/15/16 B	1,337,950.5300	1.0000	0	-1,337,951	1,337,951
01/28/16 B	37,506,818.1300	1.0000	0	-37,506,818 *	37,506,818
02/02/16 B	6,896.1800	1.0000	0	-6,896	6,896
02/08/16 B	1,266,688.1500	1.0000	0	-1,266,688	1,266,688
02/09/16 B	5,322,339.9100	1.0000	0	-5,322,340 *	5,322,340
02/26/16 B	37,182,035.2700	1.0000	0	-37,182,035 *	37,182,035
03/02/16 B	8,227.6300	1.0000	0	-8,228	8,228
03/07/16 B	598,785.3300	1.0000	0	-598,785	598,785
03/08/16 B	4,760,213.7400	1.0000	0	-4,760,214 *	4,760,214
03/16/16 B	2,419,069.1100	1.0000	0	-2,419,069	2,419,069
03/30/16 B	36,497,641.2100	1.0000	0	-36,497,641 *	36,497,641
04/04/16 B	8,452.4500	1.0000	0	-8,452	8,452
04/07/16 B	8,615,208.9400	1.0000	0	-8,615,209 *	8,615,209
04/08/16 B	5,859,656.7300	1.0000	0	-5,859,657 *	5,859,657
04/28/16 B	31,721,622.3600	1.0000	0	-31,721,622 *	31,721,622
05/03/16 B	8,987.9400	1.0000	0	-8,988	8,988



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
05/06/16 B	6,562,699.6900	1.0000	0	-6,562,700 *	6,562,700	
05/16/16 B	59,802.3400	1.0000	0	-59,802	59,802	
05/17/16 B	1,998,446.8300	1.0000	0	-1,998,447	1,998,447	
05/26/16 B	4,528,945.7100	1.0000	0	-4,528,946 *	4,528,946	
05/27/16 B	23,958,362.6900	1.0000	0	-23,958,363 *	23,958,363	
06/02/16 B	8,764.9300	1.0000	0	-8,765	8,765	
06/07/16 B	432,098.1000	1.0000	0	-432,098	432,098	
06/08/16 B	5,688,653.0300	1.0000	0	-5,688,653 *	5,688,653	
06/28/16 B	7,321,414.6900	1.0000	0	-7,321,415 *	7,321,415	
06/29/16 B	27,164,531.7600	1.0000	0	-27,164,532 *	27,164,532	
07/05/16 B	9,547.3000	1.0000	0	-9,547	9,547	
07/07/16 B	4,654,582.7900	1.0000	0	-4,654,583 *	4,654,583	
07/15/16 B	1,884,250.3700	1.0000	0	-1,884,250	1,884,250	
07/28/16 B	30,930,766.6100	1.0000	0	-30,930,767 *	30,930,767	
08/02/16 B	9,909.5500	1.0000	0	-9,910	9,910	
08/02/16 B	2,830,517.2400	1.0000	0	-2,830,517	2,830,517	
08/08/16 B	1,683,992.3300	1.0000	0	-1,683,992	1,683,992	
08/09/16 B	6,887,844.4200	1.0000	0	-6,887,844 *	6,887,844	
08/16/16 B	803,800.4900	1.0000	0	-803,800	803,800	
08/29/16 B	5,775,556.3800	1.0000	0	-5,775,556 *	5,775,556	
08/30/16 B	27,499,891.7500	1.0000	0	-27,499,892 *	27,499,892	
09/02/16 B	9,285.4700	1.0000	0	-9,285	9,285	
09/07/16 B	496,468.9100	1.0000	0	-496,469	496,469	
09/08/16 B	4,904,588.3900	1.0000	0	-4,904,588 *	4,904,588	
09/13/16 B	788,707.4300	1.0000	0	-788,707	788,707	
09/21/16 B	7,007,241.7900	1.0000	0	-7,007,242 *	7,007,242	
09/22/16 B	25,363,657.1500	1.0000	0	-25,363,657 *	25,363,657	
10/04/16 B	10,556.2200	1.0000	0	-10,556	10,556	
10/07/16 B	6,909,481.9100	1.0000	0	-6,909,482 *	6,909,482	
10/13/16 B	2,387,576.8200	1.0000	0	-2,387,577	2,387,577	
10/17/16 B	745,309.8000	1.0000	0	-745,310	745,310	
10/19/16 B	7,684,621.7100	1.0000	0	-7,684,622 *	7,684,622	
10/20/16 B	25,115,205.6500	1.0000	0	-25,115,206 *	25,115,206	
11/02/16 B	12,513.2400	1.0000	0	-12,513	12,513	
11/07/16 B	1,019,996.3000	1.0000	0	-1,019,996	1,019,996	
11/08/16 B	6,087,271.0200	1.0000	0	-6,087,271 *	6,087,271	
11/16/16 B	2,555,623.8000	1.0000	0	-2,555,624	2,555,624	
11/21/16 B	7,554,947.6500	1.0000	0	-7,554,948 *	7,554,948	
11/22/16 B	27,669,019.9300	1.0000	0	-27,669,020 *	27,669,020	
12/02/16 B	13,037.3200	1.0000	0	-13,037	13,037	
12/07/16 B	1,789,139.0100	1.0000	0	-1,789,139	1,789,139	
12/08/16 B	4,008,443.2600	1.0000	0	-4,008,443	4,008,443	
12/16/16 B	2,114,679.9400	1.0000	0	-2,114,680	2,114,680	
12/21/16 B	23,264,800.5600	1.0000	0	-23,264,801 *	23,264,801	



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
SUB-TOTAL OF BUYS # 62				493,827,031	493,827,031	
01/04/16 S	1,727,972.1200	1.0000		1,727,972	1,727,972	0
01/05/16 S	2,400,946.4100	1.0000		2,400,946	2,400,946	0
01/06/16 S	2,232,326.3300	1.0000		2,232,326	2,232,326	0
01/07/16 S	2,143,401.2400	1.0000		2,143,401	2,143,401	0
01/11/16 S	4,764,599.5800	1.0000		4,764,600 *	4,764,600	0
01/11/16 S	15,776.4800	1.0000		15,776	15,776	0
01/12/16 S	904,350.5000	1.0000		904,351	904,351	0
01/13/16 S	1,872,039.9300	1.0000		1,872,040	1,872,040	0
01/14/16 S	4,812,962.4400	1.0000		4,812,962 *	4,812,962	0
01/19/16 S	1,323,546.0400	1.0000		1,323,546	1,323,546	0
01/20/16 S	4,518,267.3500	1.0000		4,518,267 *	4,518,267	0
01/21/16 S	5,650,572.5900	1.0000		5,650,573 *	5,650,573	0
01/22/16 S	5,406,437.5200	1.0000		5,406,438 *	5,406,438	0
01/25/16 S	2,438,467.9900	1.0000		2,438,468	2,438,468	0
01/26/16 S	1,771,724.4300	1.0000		1,771,724	1,771,724	0
01/27/16 S	1,258,523.0500	1.0000		1,258,523	1,258,523	0
01/29/16 S	3,810,443.8600	1.0000		3,810,444	3,810,444	0
02/01/16 S	2,034,636.0600	1.0000		2,034,636	2,034,636	0
02/02/16 S	2,442,445.5000	1.0000		2,442,446	2,442,446	0
02/03/16 S	3,247,978.9900	1.0000		3,247,979	3,247,979	0
02/04/16 S	3,411,429.8300	1.0000		3,411,430	3,411,430	0
02/05/16 S	4,795,736.8500	1.0000		4,795,737 *	4,795,737	0
02/08/16 S	10,383.0500	1.0000		10,383	10,383	0
02/10/16 S	1,350,001.1500	1.0000		1,350,001	1,350,001	0
02/11/16 S	3,495,021.1700	1.0000		3,495,021	3,495,021	0
02/12/16 S	978,746.5400	1.0000		978,747	978,747	0
02/16/16 S	1,348,292.7300	1.0000		1,348,293	1,348,293	0
02/17/16 S	528,869.7600	1.0000		528,870	528,870	0
02/18/16 S	3,884,819.0600	1.0000		3,884,819	3,884,819	0
02/19/16 S	4,927,191.0100	1.0000		4,927,191 *	4,927,191	0
02/22/16 S	2,197,202.7700	1.0000		2,197,203	2,197,203	0
02/23/16 S	2,258,334.8800	1.0000		2,258,335	2,258,335	0
02/24/16 S	1,478,298.7800	1.0000		1,478,299	1,478,299	0
02/25/16 S	3,579,819.1900	1.0000		3,579,819	3,579,819	0
02/29/16 S	3,246,412.0700	1.0000		3,246,412	3,246,412	0
03/01/16 S	1,717,115.5600	1.0000		1,717,116	1,717,116	0
03/02/16 S	1,670,743.9800	1.0000		1,670,744	1,670,744	0
03/03/16 S	4,857,573.8700	1.0000		4,857,574 *	4,857,574	0
03/04/16 S	5,425,590.1600	1.0000		5,425,590 *	5,425,590	0
03/08/16 S	9,650.2100	1.0000		9,650	9,650	0
03/09/16 S	1,460,693.5900	1.0000		1,460,694	1,460,694	0
03/10/16 S	3,532,258.6200	1.0000		3,532,259	3,532,259	0
03/11/16 S	778,632.2500	1.0000		778,632	778,632	0



REPORTABLE TRANSACTIONS WORKSHEET

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ACCOUNT 7036735

RAILROAD - NRC / UTU HLTH&WELFARE

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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
03/14/16 S	3,179,420.2200	1.0000	0	3,179,420	3,179,420	0
03/15/16 S	2,299,243.7800	1.0000	0	2,299,244	2,299,244	0
03/17/16 S	3,881,699.3900	1.0000	0	3,881,699	3,881,699	0
03/18/16 S	5,444,104.5300	1.0000	0	5,444,105 *	5,444,105	0
03/21/16 S	696,141.9200	1.0000	0	696,142	696,142	0
03/22/16 S	1,936,839.9100	1.0000	0	1,936,840	1,936,840	0
03/23/16 S	1,738,784.0100	1.0000	0	1,738,784	1,738,784	0
03/24/16 S	4,582,653.0400	1.0000	0	4,582,653 *	4,582,653	0
03/28/16 S	3,209,578.2600	1.0000	0	3,209,578	3,209,578	0
03/29/16 S	1,788,533.7400	1.0000	0	1,788,534	1,788,534	0
03/31/16 S	5,272,505.3400	1.0000	0	5,272,505 *	5,272,505	0
04/01/16 S	4,861,379.8300	1.0000	0	4,861,380 *	4,861,380	0
04/04/16 S	1,050,713.9100	1.0000	0	1,050,714	1,050,714	0
04/05/16 S	1,607,446.4600	1.0000	0	1,607,446	1,607,446	0
04/06/16 S	1,251,189.4000	1.0000	0	1,251,189	1,251,189	0
04/08/16 S	8,896.5400	1.0000	0	8,897	8,897	0
04/11/16 S	2,755,343.3000	1.0000	0	2,755,343	2,755,343	0
04/12/16 S	1,724,117.4400	1.0000	0	1,724,117	1,724,117	0
04/13/16 S	2,578,773.8900	1.0000	0	2,578,774	2,578,774	0
04/14/16 S	2,460,337.8500	1.0000	0	2,460,338	2,460,338	0
04/15/16 S	4,362,631.2900	1.0000	0	4,362,631 *	4,362,631	0
04/18/16 S	302,289.3700	1.0000	0	302,289	302,289	0
04/19/16 S	1,871,978.0200	1.0000	0	1,871,978	1,871,978	0
04/20/16 S	1,400,833.7000	1.0000	0	1,400,834	1,400,834	0
04/21/16 S	4,269,156.5400	1.0000	0	4,269,157	4,269,157	0
04/22/16 S	374,338.1400	1.0000	0	374,338	374,338	0
04/25/16 S	1,018,871.7700	1.0000	0	1,018,872	1,018,872	0
04/26/16 S	1,879,003.2700	1.0000	0	1,879,003	1,879,003	0
04/27/16 S	1,651,825.8100	1.0000	0	1,651,826	1,651,826	0
04/29/16 S	6,311,493.7500	1.0000	0	6,311,494 *	6,311,494	0
05/02/16 S	8,480,935.6700	1.0000	0	8,480,936 *	8,480,936	0
05/03/16 S	3,868,710.2600	1.0000	0	3,868,710	3,868,710	0
05/04/16 S	1,053,055.2100	1.0000	0	1,053,055	1,053,055	0
05/05/16 S	2,127,462.6100	1.0000	0	2,127,463	2,127,463	0
05/09/16 S	9,430.6300	1.0000	0	9,431	9,431	0
05/09/16 S	461,557.3500	1.0000	0	461,557	461,557	0
05/10/16 S	1,151,009.9600	1.0000	0	1,151,010	1,151,010	0
05/11/16 S	151,744.9700	1.0000	0	151,745	151,745	0
05/12/16 S	3,591,888.7800	1.0000	0	3,591,889	3,591,889	0
05/13/16 S	4,594,633.8200	1.0000	0	4,594,634 *	4,594,634	0
05/18/16 S	579,719.6200	1.0000	0	579,720	579,720	0
05/19/16 S	4,980,866.7000	1.0000	0	4,980,867 *	4,980,867	0
05/20/16 S	1,972,206.1300	1.0000	0	1,972,206	1,972,206	0
05/23/16 S	1,574,949.4100	1.0000	0	1,574,949	1,574,949	0
05/24/16 S	1,959,343.6800	1.0000	0	1,959,344	1,959,344	0
05/25/16 S	843,946.7400	1.0000	0	843,947	843,947	0



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
05/31/16 S	3,156,940.3000	1.0000		3,156,940	3,156,940	0
06/01/16 S	2,372,007.9700	1.0000		2,372,008	2,372,008	0
06/02/16 S	2,176,306.3500	1.0000		2,176,306	2,176,306	0
06/03/16 S	1,359,137.8300	1.0000		1,359,138	1,359,138	0
06/06/16 S	1,034,841.0200	1.0000		1,034,841	1,034,841	0
06/08/16 S	8,998.4000	1.0000		8,998	8,998	0
06/09/16 S	3,544,518.6500	1.0000		3,544,519	3,544,519	0
06/10/16 S	5,519,481.7900	1.0000		5,519,482 *	5,519,482	0
06/13/16 S	813,374.6400	1.0000		813,375	813,375	0
06/14/16 S	1,609,935.3500	1.0000		1,609,935	1,609,935	0
06/15/16 S	1,527,844.1100	1.0000		1,527,844	1,527,844	0
06/16/16 S	1,224,896.9800	1.0000		1,224,897	1,224,897	0
06/17/16 S	1,908,824.4700	1.0000		1,908,824	1,908,824	0
06/20/16 S	1,952,523.0200	1.0000		1,952,523	1,952,523	0
06/21/16 S	3,342,372.9600	1.0000		3,342,373	3,342,373	0
06/22/16 S	1,773,798.3300	1.0000		1,773,798	1,773,798	0
06/23/16 S	4,246,389.0400	1.0000		4,246,389	4,246,389	0
06/24/16 S	5,400,444.9300	1.0000		5,400,445	5,400,445	0
06/27/16 S	295,430.2800	1.0000		295,430	295,430	0
06/30/16 S	5,312,733.9400	1.0000		5,312,734 *	5,312,734	0
07/01/16 S	1,453,087.8800	1.0000		1,453,088	1,453,088	0
07/05/16 S	1,003,509.2300	1.0000		1,003,509	1,003,509	0
07/06/16 S	452,905.1600	1.0000		452,905	452,905	0
07/08/16 S	5,528,147.5700	1.0000		5,528,148 *	5,528,148	0
07/11/16 S	8,529.8600	1.0000		8,530	8,530	0
07/11/16 S	1,913,966.3300	1.0000		1,913,966	1,913,966	0
07/12/16 S	1,666,551.5300	1.0000		1,666,552	1,666,552	0
07/13/16 S	1,907,359.5900	1.0000		1,907,360	1,907,360	0
07/14/16 S	3,294,070.0700	1.0000		3,294,070	3,294,070	0
07/18/16 S	1,009,867.9500	1.0000		1,009,868	1,009,868	0
07/19/16 S	904,067.1800	1.0000		904,067	904,067	0
07/20/16 S	1,229,157.6300	1.0000		1,229,158	1,229,158	0
07/21/16 S	3,870,876.6400	1.0000		3,870,877	3,870,877	0
07/22/16 S	4,613,564.4100	1.0000		4,613,564 *	4,613,564	0
07/25/16 S	1,888,829.3400	1.0000		1,888,829	1,888,829	0
07/26/16 S	1,832,903.4100	1.0000		1,832,903	1,832,903	0
07/27/16 S	879,469.4300	1.0000		879,469	879,469	0
07/29/16 S	3,305,478.1700	1.0000		3,305,478	3,305,478	0
08/01/16 S	833,197.4200	1.0000		833,197	833,197	0
08/03/16 S	3,062,325.6100	1.0000		3,062,326	3,062,326	0
08/04/16 S	3,750,222.1900	1.0000		3,750,222	3,750,222	0
08/05/16 S	3,663,174.6300	1.0000		3,663,175	3,663,175	0
08/08/16 S	8,584.8900	1.0000		8,585	8,585	0
08/10/16 S	1,033,560.0800	1.0000		1,033,560	1,033,560	0
08/11/16 S	4,842,593.7100	1.0000		4,842,594 *	4,842,594	0
08/12/16 S	1,340,003.5400	1.0000		1,340,004	1,340,004	0



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
08/15/16 S	817,598.0600	1.0000	0	817,598	817,598	0
08/17/16 S	1,948,868.2400	1.0000	0	1,948,868	1,948,868	0
08/18/16 S	3,708,785.4600	1.0000	0	3,708,785	3,708,785	0
08/19/16 S	5,313,197.4500	1.0000	0	5,313,197 *	5,313,197	0
08/22/16 S	2,392,877.7900	1.0000	0	2,392,878	2,392,878	0
08/23/16 S	798,977.1000	1.0000	0	798,977	798,977	0
08/24/16 S	1,476,578.6300	1.0000	0	1,476,579	1,476,579	0
08/25/16 S	3,557,306.8400	1.0000	0	3,557,307	3,557,307	0
08/26/16 S	811,495.2600	1.0000	0	811,495	811,495	0
08/31/16 S	2,792,306.2500	1.0000	0	2,792,306	2,792,306	0
09/01/16 S	2,702,846.8400	1.0000	0	2,702,847	2,702,847	0
09/02/16 S	4,507,472.9000	1.0000	0	4,507,473 *	4,507,473	0
09/06/16 S	5,309,608.9800	1.0000	0	5,309,609 *	5,309,609	0
09/09/16 S	8,425.8800	1.0000	0	8,426	8,426	0
09/09/16 S	152,519.2200	1.0000	0	152,519	152,519	0
09/12/16 S	1,398,574.0400	1.0000	0	1,398,574	1,398,574	0
09/14/16 S	285,953.7600	1.0000	0	285,954	285,954	0
09/15/16 S	3,146,647.4300	1.0000	0	3,146,647	3,146,647	0
09/16/16 S	2,174,464.7300	1.0000	0	2,174,465	2,174,465	0
09/19/16 S	909,624.2000	1.0000	0	909,624	909,624	0
09/20/16 S	1,214,374.8700	1.0000	0	1,214,375	1,214,375	0
09/23/16 S	1,210,543.3400	1.0000	0	1,210,543	1,210,543	0
09/26/16 S	2,128,492.6600	1.0000	0	2,128,493	2,128,493	0
09/27/16 S	2,790,123.7700	1.0000	0	2,790,124	2,790,124	0
09/28/16 S	1,513,134.8900	1.0000	0	1,513,135	1,513,135	0
09/29/16 S	3,312,302.6000	1.0000	0	3,312,303	3,312,303	0
09/30/16 S	6,304,638.0100	1.0000	0	6,304,638 *	6,304,638	0
10/03/16 S	959,808.4500	1.0000	0	959,808	959,808	0
10/04/16 S	2,262,529.1200	1.0000	0	2,262,529	2,262,529	0
10/05/16 S	1,148,651.7200	1.0000	0	1,148,652	1,148,652	0
10/06/16 S	1,384,194.1500	1.0000	0	1,384,194	1,384,194	0
10/11/16 S	9,822.3000	1.0000	0	9,822	9,822	0
10/11/16 S	1,624,173.5500	1.0000	0	1,624,174	1,624,174	0
10/12/16 S	3,529,202.1600	1.0000	0	3,529,202	3,529,202	0
10/14/16 S	4,655,203.8500	1.0000	0	4,655,204 *	4,655,204	0
10/18/16 S	999,387.6300	1.0000	0	999,388	999,388	0
10/21/16 S	1,496,841.2700	1.0000	0	1,496,841	1,496,841	0
10/24/16 S	1,481,594.6200	1.0000	0	1,481,595	1,481,595	0
10/25/16 S	2,176,788.1800	1.0000	0	2,176,788	2,176,788	0
10/26/16 S	1,970,781.3800	1.0000	0	1,970,781	1,970,781	0
10/27/16 S	3,872,850.3800	1.0000	0	3,872,850	3,872,850	0
10/28/16 S	5,675,141.8800	1.0000	0	5,675,142 *	5,675,142	0
10/31/16 S	2,694,613.4400	1.0000	0	2,694,613	2,694,613	0
11/01/16 S	1,942,327.7400	1.0000	0	1,942,328	1,942,328	0
11/02/16 S	1,079,360.0100	1.0000	0	1,079,360	1,079,360	0
11/03/16 S	3,349,815.5000	1.0000	0	3,349,816	3,349,816	0



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
11/04/16 S	2,340,560.2000	1.0000	0	2,340,560	2,340,560	0
11/08/16 S	10,823.8300	1.0000	0	10,824	10,824	0
11/09/16 S	1,228,998.0400	1.0000	0	1,228,998	1,228,998	0
11/10/16 S	7,711,073.6300	1.0000	0	7,711,074 *	7,711,074	0
11/14/16 S	879,162.5400	1.0000	0	879,163	879,163	0
11/15/16 S	3,131,798.8500	1.0000	0	3,131,799	3,131,799	0
11/17/16 S	2,584,167.8500	1.0000	0	2,584,168	2,584,168	0
11/18/16 S	930,600.2600	1.0000	0	930,600	930,600	0
11/23/16 S	1,842,314.0100	1.0000	0	1,842,314	1,842,314	0
11/25/16 S	8,430,804.1600	1.0000	0	8,430,804 *	8,430,804	0
11/28/16 S	2,947,127.1300	1.0000	0	2,947,127	2,947,127	0
11/29/16 S	5,370,356.0800	1.0000	0	5,370,356 *	5,370,356	0
11/30/16 S	3,505,320.4300	1.0000	0	3,505,320	3,505,320	0
12/01/16 S	3,140,880.2500	1.0000	0	3,140,880	3,140,880	0
12/02/16 S	262,441.1700	1.0000	0	262,441	262,441	0
12/05/16 S	681,841.1100	1.0000	0	681,841	681,841	0
12/06/16 S	372,628.0900	1.0000	0	372,628	372,628	0
12/08/16 S	10,583.2900	1.0000	0	10,583	10,583	0
12/09/16 S	4,661,212.8200	1.0000	0	4,661,213 *	4,661,213	0
12/12/16 S	1,089,237.9000	1.0000	0	1,089,238	1,089,238	0
12/13/16 S	772,682.8300	1.0000	0	772,683	772,683	0
12/14/16 S	1,012,595.4800	1.0000	0	1,012,595	1,012,595	0
12/15/16 S	3,690,843.9000	1.0000	0	3,690,844	3,690,844	0
12/19/16 S	1,238,795.6300	1.0000	0	1,238,796	1,238,796	0
12/20/16 S	2,158,753.5200	1.0000	0	2,158,754	2,158,754	0
12/22/16 S	4,290,188.5700	1.0000	0	4,290,189	4,290,189	0
12/23/16 S	5,677,547.6100	1.0000	0	5,677,548 *	5,677,548	0
12/27/16 S	1,266,361.0400	1.0000	0	1,266,361	1,266,361	0
12/28/16 S	2,435,586.2300	1.0000	0	2,435,586	2,435,586	0
12/29/16 S	2,545,756.8400	1.0000	0	2,545,757	2,545,757	0
12/30/16 S	2,916,368.4700	1.0000	0	2,916,368	2,916,368	0
SUB-TOTAL OF SALES # 212				512,906,845	512,906,845	0
SUB-TOTAL				1,006,733,876	1,006,733,876	0
GRAND TOTAL				1,006,733,876	1,006,733,876	0



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DATE BOUGHT/SOLD	SHARES PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	ERISA COST	ERISA COST GAIN/LOSS
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CATEGORY 4 - SINGLE TRANSACTION WITH ONE BROKER EXCEEDS 5% OF VALUE

*** NO TRANSACTIONS QUALIFIED FOR THIS SECTION ***

FOOTNOTES

* = SINGLE TRANSACTION IS 5% REPORTABLE
B = BUY TRANSACTION
S = SELL TRANSACTION
R = REINVESTMENT TRANSACTION

**Application for Extension of Time To
File Certain Employee Plan Returns**

► **For Privacy Act and Paperwork Reduction Act Notice, see instructions.**
► **Information about Form 5558 and its instructions is at www.irs.gov/form5558.**

OMB No. 1545-0212

File With IRS Only**Part I Identification****A** Name of filer, plan administrator, or plan sponsor (see instructions)**SEE ATTACHED STATEMENT**

Number, street, and room or suite number (If a P.O. box, see instructions)

251 - 18TH STREET, SOUTH #750

City or town, state, and ZIP code

ARLINGTON, VA 22202**B** Filer's identifying number (see instructions).Employer identification number (EIN) (9 digits
XX-XXXXXXX)► **80-0616629**☐ Social security number (SSN) (9 digits XXX-XX-XXXX)

►

C**Plan name****Plan number****Plan year ending****1 NATIONAL RAILWAY CARRIERS AND UNITED****510****MM****DD****YYYY****12****31****16****Part II Extension of Time To File Form 5500 Series, and/or Form 8955-SSA**

1 ☐ Check this box if you are requesting an extension of time on line 2 to file the first Form 5500 series return/report for the plan listed in Part I, C above.

2 I request an extension of time until **10/16/2017** to file Form 5500 series (see instructions).

Note. A signature IS NOT required if you are requesting an extension to file Form 5500 series.

3 I request an extension of time until _____ to file Form 8955-SSA (see instructions).

Note. A signature IS NOT required if you are requesting an extension to file Form 8955-SSA.

The application is **automatically approved** to the date shown on line 2 and/or line 3 (above) if: **(a)** the Form 5558 is filed on or before the normal due date of Form 5500 series, and/or Form 8955-SSA for which this extension is requested, and **(b)** the date on line 2 and/or line 3 (above) is not later than the 15th day of the third month after the normal due date.

Part III Extension of Time To File Form 5330 (see instructions)

4 I request an extension of time until _____ to file Form 5330.

You may be approved for up to a 6 month extension to file Form 5330, after the normal due date of Form 5330.

a Enter the Code section(s) imposing the tax. **a**

b Enter the payment amount attached **b**

c For excise taxes under section 4980 or 4980F of the Code, enter the reversion/amendment date **c**

5 State in detail why you need the extension:

Under penalties of perjury, I declare that to the best of my knowledge and belief, the statements made on this form are true, correct, and complete, and that I am authorized to prepare this application.

Signature ►**Date** ►

Form **5500**Department of the Treasury
Internal Revenue ServiceDepartment of Labor
Employee Benefits Security
Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan**This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).**▶ **Complete all entries in accordance with the instructions to the Form 5500.**OMB Nos. 1210-0110
1210-0089**2016****This Form Is Open to
Public Inspection****Part I Annual Report Identification Information****For calendar plan year 2016 or fiscal plan year beginning and ending**

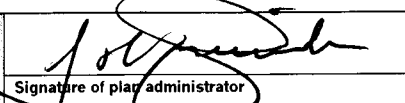
- A** This return/report is for: (1) ☒ a multiemployer plan (3) ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions)
- (2) ☐ a single-employer plan (4) ☐ a DFE (specify) _____
- B** This return/report is: (1) ☐ the first return/report (3) ☐ the final return/report
- (2) ☐ an amended return/report (4) ☐ a short plan year return/report (less than 12 months)
- C** If the plan is a collectively-bargained plan, check here ▶ ☒
- D** Check box if filing under: ☒ Form 5558 ☐ automatic extension; ☐ the DFVC program; ☐ special extension (enter description)

Part II Basic Plan Information — enter all requested information

1 a Name of plan NATIONAL RAILWAY CARRIERS AND UNITED TRANSPORTATION UNION HEALTH & WELFARE PLAN	1b Three-digit plan number (PN) ▶ 510
2 a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)	1c Effective date of plan 01/01/2000
GOVERNING COMMITTEE 251 - 18TH STREET, SOUTH, SUITE 750 ARLINGTON, VA 22202	2b Employer Identification Number (EIN) 80-0616629
	2c Plan Sponsor's telephone number 571-336-7600
	2d Business code (see instructions) 482110

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE		Date 10/3/17	JOHN PREVISICH Enter name of individual signing as plan administrator
SIGN HERE	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE	Signature of DFE	Date	Enter name of individual signing as DFE
Preparer's name (including firm name, if applicable) and address (include room or suite number)			Preparer's telephone number

For Paperwork Reduction Act Notice, see the instructions for Form 5500.Form **5500** (2016)
v.160205

Form **5500**Department of the Treasury
Internal Revenue ServiceDepartment of Labor
Employee Benefits Security
Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan**This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).**▶ **Complete all entries in accordance with the instructions to the Form 5500.**OMB Nos. 1210-0110
1210-0089**2016****This Form Is Open to
Public Inspection****Part I Annual Report Identification Information**

For calendar plan year 2016 or fiscal plan year beginning

and ending

- A** This return/report is for: (1) ☒ a multiemployer plan (3) ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions)
- (2) ☐ a single-employer plan (4) ☐ a DFE (specify) _____
- B** This return/report is: (1) ☐ the first return/report (3) ☐ the final return/report
- (2) ☐ an amended return/report (4) ☐ a short plan year return/report (less than 12 months)
- C** If the plan is a collectively-bargained plan, check here ▶ ☒
- D** Check box if filing under: ☒ Form 5558 ☐ automatic extension; ☐ the DFVC program; ☐ special extension (enter description)

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Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE			
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	<i>A. K. Gradia</i>	10/11/17	A. K. GRADIA
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE
Preparer's name (including firm name, if applicable) and address (include room or suite number)			Preparer's telephone number

For Paperwork Reduction Act Notice, see the instructions for Form 5500.

Form **5500** (2016)
v.160205

3 a Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor		3b Administrator's EIN 3c Administrator's telephone number <div style="background-color: #cccccc; height: 40px; width: 100%;"></div>
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4 If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report: a Sponsor's name	4b EIN 4c PN
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5 Total number of participants at the beginning of the plan year	5 133059
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6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d). a(1) Total number of active participants at the beginning of the plan year a(2) Total number of active participants at the end of the plan year b Retired or separated participants receiving benefits c Other retired or separated participants entitled to future benefits d Subtotal. Add lines 6a(2) , 6b , and 6c e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits f Total. Add lines 6d and 6e g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) h Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	6a(1) 46242 6a(2) 40809 6b 75405 6c 6d 116214 6e 6f 116214 6g 6h
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7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	7 36
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8 a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

4A	4B	4Q	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

9 a Plan funding arrangement (check all that apply) (1) <input checked="" type="checkbox"/> Insurance (2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts (3) <input checked="" type="checkbox"/> Trust (4) <input type="checkbox"/> General assets of the sponsor	9 b Plan benefit arrangement (check all that apply) (1) <input checked="" type="checkbox"/> Insurance (2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts (3) <input checked="" type="checkbox"/> Trust (4) <input type="checkbox"/> General assets of the sponsor
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10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules (1) <input type="checkbox"/> R (Retirement Plan Information) (2) <input type="checkbox"/> MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) – signed by the plan actuary (3) <input type="checkbox"/> SB (Single-Employer Defined Benefit Plan Actuarial Information) – signed by the plan actuary	b General Schedules (1) <input checked="" type="checkbox"/> H (Financial Information) (2) <input type="checkbox"/> I (Financial Information – Small Plan) (3) <input checked="" type="checkbox"/> 1 A (Insurance Information) (4) <input checked="" type="checkbox"/> C (Service Provider Information) (5) <input type="checkbox"/> D (DFE/Participating Plan Information) (6) <input type="checkbox"/> G (Financial Transaction Schedules)
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Part III**Form M-1 Compliance Information (to be completed by welfare benefit plans)**

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☒ No

If 'Yes' is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2) .. ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2016 Form M-1 annual report. If the plan was not required to file the 2016 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____