



LIFE AND ACCIDENT AND HEALTH COMPANIES - ASSOCIATION EDITION

QUARTERLY STATEMENT

AS OF JUNE 30, 2020

OF THE CONDITION AND AFFAIRS OF THE

NYLIFE Insurance Company of Arizona

NAIC Group Code 0826, 0826 NAIC Company Code 81353 Employer's ID No. 52-1530175

Organized under the Laws of Arizona, State of Domicile or Port of Entry AZ

Country of Domicile United States of America

INCORPORATED/ORGANIZED JULY 23, 1987

COMMENCED BUSINESS DECEMBER 30, 1987

Table with 2 columns: Office/Address details and corresponding physical/digital addresses and contact info.

EXECUTIVE OFFICERS

ALEXANDER IBBITSON MUNRO COOK
Chairman of the Board,
President and Chief Executive Officer

ERIC ANSEL FELDSTEIN
Executive Vice President
and Chief Financial Officer

SARA LOUISE BADLER #
Senior Vice President
and Chief Compliance Officer

THOMAS FRANCIS ENGLISH
Senior Vice President
and Chief Legal Officer

ARTHUR HARUTYUN SETER
Senior Vice President
and Chief Investment Officer

MARY TERESA HALLAHAN
Vice President
and Treasurer

STEPHEN JOHN MCNAMARA
Vice President
and Actuary

PETER JOSEPH DECANDIA
Corporate Vice President
and Controller

COLLEEN ANNE MEADE
Associate General Counsel
and Secretary

DIRECTORS

ALEXANDER IBBITSON MUNRO COOK
ROBERT MICHAEL GARDNER
JODI LYNN KRAVITZ

ERIC JEFFREY LYNN
STEPHEN JOHN MCNAMARA

State of New York }
County of New York } SS

The officers of this reporting entity, being duly sworn, each depose and say that they are the described officers of said reporting entity, and that on the reporting period stated above, all of the herein described assets were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as herein stated, and that this statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to, is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended, and have been completed in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures Manual except to the extent that: (1) state law may differ; or, (2) state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively. Furthermore, the scope of this attestation by the described officers also includes the related corresponding electronic filing with the NAIC, when required, that is an exact copy (except for formatting differences due to electronic filing) of the enclosed statement. The electronic filing may be requested by various regulators in lieu of or in addition to the enclosed statement.

DocuSigned by: Colleen Meade, Mary Hallahan, Peter DeCandia
COLLEEN ANNE MEADE, MARY TERESA HALLAHAN, PETER JOSEPH DECANDIA
Associate General Counsel and Secretary, Vice President and Treasurer, Corporate Vice President and Controller

Subscribed and sworn to before me this
day of August 2020

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

Officers and Directors who did not occupy the indicated position in the previous annual statement

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

ASSETS

| | Current Statement Date | | | 4 December 31 Prior Year Net Admitted Assets |
|---|------------------------|-------------------------|---|---|
| | 1 Assets | 2 Nonadmitted Assets | 3 Net Admitted Assets (Cols. 1 - 2) | |
| 1. Bonds | 140,180,750 | | 140,180,750 | 137,499,222 |
| 2. Stocks: | | | | |
| 2.1 Preferred stocks | | | | |
| 2.2 Common stocks | | | | |
| 3. Mortgage loans on real estate: | | | | |
| 3.1 First liens | | | | |
| 3.2 Other than first liens | | | | |
| 4. Real estate: | | | | |
| 4.1 Properties occupied by the company (less \$ encumbrances) | | | | |
| 4.2 Properties held for the production of income (less \$ encumbrances) | | | | |
| 4.3 Properties held for sale (less \$ encumbrances) | | | | |
| 5. Cash (\$(329,851)), cash equivalents (\$7,001,858) and short-term investments (\$) | 6,672,007 | | 6,672,007 | 4,397,642 |
| 6. Contract loans (including \$ premium notes) | | | | |
| 7. Derivatives | | | | |
| 8. Other invested assets | | | | |
| 9. Receivables for securities | | | | |
| 10. Securities lending reinvested collateral assets | | | | |
| 11. Aggregate write-ins for invested assets | | | | |
| 12. Subtotals, cash and invested assets (Lines 1 to 11) | 146,852,757 | | 146,852,757 | 141,896,864 |
| 13. Title plants less \$ charged off (for Title insurers only) | | | | |
| 14. Investment income due and accrued | 878,537 | | 878,537 | 905,120 |
| 15. Premiums and considerations: | | | | |
| 15.1 Uncollected premiums and agents' balances in the course of collection | 3,579,404 | | 3,579,404 | 271,022 |
| 15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ earned but unbilled premiums) | 17,517,330 | | 17,517,330 | 17,931,275 |
| 15.3 Accrued retrospective premiums (\$) and contracts subject to redetermination (\$) | | | | |
| 16. Reinsurance: | | | | |
| 16.1 Amounts recoverable from reinsurers | 1,017,247 | | 1,017,247 | 525,848 |
| 16.2 Funds held by or deposited with reinsured companies | | | | |
| 16.3 Other amounts receivable under reinsurance contracts | 85,903 | | 85,903 | 95,432 |
| 17. Amounts receivable relating to uninsured plans | | | | |
| 18.1 Current federal and foreign income tax recoverable and interest thereon | | | | 56,338 |
| 18.2 Net deferred tax asset | 522,447 | 4,466 | 517,981 | 2,062,712 |
| 19. Guaranty funds receivable or on deposit | 45,924 | | 45,924 | 45,705 |
| 20. Electronic data processing equipment and software | | | | |
| 21. Furniture and equipment, including health care delivery assets (\$) | | | | |
| 22. Net adjustment in assets and liabilities due to foreign exchange rates | | | | |
| 23. Receivables from parent, subsidiaries and affiliates | 723 | | 723 | 6,610 |
| 24. Health care (\$) and other amounts receivable | | | | |
| 25. Aggregate write-ins for other than invested assets | 132,141 | 132,141 | | |
| 26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) | 170,632,413 | 136,607 | 170,495,806 | 163,796,926 |
| 27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts | | | | |
| 28. Total (Lines 26 and 27) | 170,632,413 | 136,607 | 170,495,806 | 163,796,926 |
| DETAILS OF WRITE-INS | | | | |
| 1101. | | | | |
| 1102. | | | | |
| 1103. | | | | |
| 1198. Summary of remaining write-ins for Line 11 from overflow page | | | | |
| 1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above) | | | | |
| 2501. Miscellaneous | 132,141 | 132,141 | | |
| 2502. | | | | |
| 2503. | | | | |
| 2598. Summary of remaining write-ins for Line 25 from overflow page | | | | |
| 2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above) | 132,141 | 132,141 | | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

LIABILITIES, SURPLUS AND OTHER FUNDS

| | 1 Current Statement Date | 2 December 31 Prior Year |
|---|--------------------------------|--------------------------------|
| 1. Aggregate reserve for life contracts \$ 46,812,423 less \$ included in Line 6.3 (including \$ Modco Reserve) | 46,812,423 | 51,282,353 |
| 2. Aggregate reserve for accident and health contracts (including \$ Modco Reserve) | | |
| 3. Liability for deposit-type contracts (including \$ Modco Reserve) | 1,231,068 | 1,290,930 |
| 4. Contract claims: | | |
| 4.1 Life | 1,413,534 | 1,513,491 |
| 4.2 Accident and health | | |
| 5. Policyholders' dividends/refunds to members \$ and coupons \$ due and unpaid | | |
| 6. Provision for policyholders' dividends, refunds to members and coupons payable in following calendar year - estimated amounts: | | |
| 6.1 Policyholders' dividends and refunds to members apportioned for payment (including \$ Modco) | | |
| 6.2 Policyholders' dividends and refunds to members not yet apportioned (including \$ Modco) | | |
| 6.3 Coupons and similar benefits (including \$ Modco) | | |
| 7. Amount provisionally held for deferred dividend policies not included in Line 6 | | |
| 8. Premiums and annuity considerations for life and accident and health contracts received in advance less \$ discount; including \$ accident and health premiums | 57,249 | 108,103 |
| 9. Contract liabilities not included elsewhere: | | |
| 9.1 Surrender values on canceled contracts | | |
| 9.2 Provision for experience rating refunds, including the liability of \$ accident and health experience rating refunds of which \$ is for medical loss ratio rebate per the Public Health Service Act | | |
| 9.3 Other amounts payable on reinsurance, including \$ assumed and \$ ceded | | |
| 9.4 Interest Maintenance Reserve | 161,729 | 157,358 |
| 10. Commissions to agents due or accrued-life and annuity contracts \$, accident and health \$ and deposit-type contract funds \$ | | |
| 11. Commissions and expense allowances payable on reinsurance assumed | | |
| 12. General expenses due or accrued | 26,709 | 26,709 |
| 13. Transfers to Separate Accounts due or accrued (net) (including \$ accrued for expense allowances recognized in reserves, net of reinsured allowances) | | |
| 14. Taxes, licenses and fees due or accrued, excluding federal income taxes | (176,441) | (133,007) |
| 15.1 Current federal and foreign income taxes, including \$ 18,087 on realized capital gains (losses) | 369,582 | |
| 15.2 Net deferred tax liability | | |
| 16. Unearned investment income | | |
| 17. Amounts withheld or retained by reporting entity as agent or trustee | 2,023 | 1,998 |
| 18. Amounts held for agents' account, including \$ agents' credit balances | | |
| 19. Remittances and items not allocated | 154,491 | 42,235 |
| 20. Net adjustment in assets and liabilities due to foreign exchange rates | | |
| 21. Liability for benefits for employees and agents if not included above | | |
| 22. Borrowed money \$ and interest thereon \$ | | |
| 23. Dividends to stockholders declared and unpaid | | |
| 24. Miscellaneous liabilities: | | |
| 24.01 Asset valuation reserve | 555,866 | 474,079 |
| 24.02 Reinsurance in unauthorized and certified (\$) companies | | |
| 24.03 Funds held under reinsurance treaties with unauthorized and certified (\$) reinsurers | | |
| 24.04 Payable to parent, subsidiaries and affiliates | 781,494 | 821,133 |
| 24.05 Drafts outstanding | | |
| 24.06 Liability for amounts held under uninsured plans | | |
| 24.07 Funds held under coinsurance | | |
| 24.08 Derivatives | | |
| 24.09 Payable for securities | 3,569,835 | |
| 24.10 Payable for securities lending | | |
| 24.11 Capital notes \$ and interest thereon \$ | | |
| 25. Aggregate write-ins for liabilities | 69,331 | 69,331 |
| 26. Total liabilities excluding Separate Accounts business (Lines 1 to 25) | 55,028,893 | 55,654,713 |
| 27. From Separate Accounts Statement | | |
| 28. Total liabilities (Lines 26 and 27) | 55,028,893 | 55,654,713 |
| 29. Common capital stock | 2,500,000 | 2,500,000 |
| 30. Preferred capital stock | | |
| 31. Aggregate write-ins for other than special surplus funds | | |
| 32. Surplus notes | | |
| 33. Gross paid in and contributed surplus | 98,500,000 | 98,500,000 |
| 34. Aggregate write-ins for special surplus funds | | |
| 35. Unassigned funds (surplus) | 14,466,913 | 7,142,213 |
| 36. Less treasury stock, at cost: | | |
| 36.1 shares common (value included in Line 29 \$) | | |
| 36.2 shares preferred (value included in Line 30 \$) | | |
| 37. Surplus (Total Lines 31+32+33+34+35-36) (including \$ in Separate Accounts Statement) | 112,966,913 | 105,642,213 |
| 38. Totals of Lines 29, 30 and 37 | 115,466,913 | 108,142,213 |
| 39. Totals of Lines 28 and 38 (Page 2, Line 28, Col. 3) | 170,495,806 | 163,796,926 |
| DETAILS OF WRITE-INS | | |
| 2501. Liability for interest on claims | 69,331 | 69,331 |
| 2502. | | |
| 2503. | | |
| 2598. Summary of remaining write-ins for Line 25 from overflow page | | |
| 2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above) | 69,331 | 69,331 |
| 3101. | | |
| 3102. | | |
| 3103. | | |
| 3198. Summary of remaining write-ins for Line 31 from overflow page | | |
| 3199. Totals (Lines 3101 through 3103 plus 3198)(Line 31 above) | | |
| 3401. | | |
| 3402. | | |
| 3403. | | |
| 3498. Summary of remaining write-ins for Line 34 from overflow page | | |
| 3499. Totals (Lines 3401 through 3403 plus 3498)(Line 34 above) | | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SUMMARY OF OPERATIONS

| | 1 Current Year To Date | 2 Prior Year To Date | 3 Prior Year Ended December 31 |
|--|------------------------------|----------------------------|--------------------------------------|
| 1. Premiums and annuity considerations for life and accident and health contracts | 9,995,026 | 6,707,879 | 11,363,517 |
| 2. Considerations for supplementary contracts with life contingencies | | | |
| 3. Net investment income | 2,091,781 | 2,286,492 | 4,534,074 |
| 4. Amortization of Interest Maintenance Reserve (IMR) | 7,738 | (15,334) | (9,009) |
| 5. Separate Accounts net gain from operations excluding unrealized gains or losses | | | |
| 6. Commissions and expense allowances on reinsurance ceded | 485,359 | 571,961 | 962,529 |
| 7. Reserve adjustments on reinsurance ceded | | | |
| 8. Miscellaneous Income: | | | |
| 8.1 Income from fees associated with investment management, administration and contract guarantees from Separate Accounts | | | |
| 8.2 Charges and fees for deposit-type contracts | | | |
| 8.3 Aggregate write-ins for miscellaneous income | 100 | 99 | 201 |
| 9. Totals (Lines 1 to 8.3) | 12,580,004 | 9,551,097 | 16,851,312 |
| 10. Death benefits | 1,931,201 | 5,427,027 | 8,475,227 |
| 11. Matured endowments (excluding guaranteed annual pure endowments) | | | |
| 12. Annuity benefits | | | |
| 13. Disability benefits and benefits under accident and health contracts | 552,930 | 445,699 | 940,597 |
| 14. Coupons, guaranteed annual pure endowments and similar benefits | | | |
| 15. Surrender benefits and withdrawals for life contracts | (1) | | 8 |
| 16. Group conversions | 1,014,277 | 1,856,077 | 3,730,231 |
| 17. Interest and adjustments on contract or deposit-type contract funds | 7,437 | 28,672 | 72,373 |
| 18. Payments on supplementary contracts with life contingencies | | | |
| 19. Increase in aggregate reserves for life and accident and health contracts | (4,469,930) | (5,396,541) | (6,622,419) |
| 20. Totals (Lines 10 to 19) | (964,086) | 2,360,934 | 6,596,017 |
| 21. Commissions on premiums, annuity considerations, and deposit-type contract funds (direct business only) | 18,539 | 44,388 | (44) |
| 22. Commissions and expense allowances on reinsurance assumed | | | |
| 23. General insurance expenses and fraternal expenses | 1,233,706 | 1,314,243 | 2,635,256 |
| 24. Insurance taxes, licenses and fees, excluding federal income taxes | 330,651 | 436,118 | 771,760 |
| 25. Increase in loading on deferred and uncollected premiums | 3,141,132 | 905,094 | 968,588 |
| 26. Net transfers to or (from) Separate Accounts net of reinsurance | | | |
| 27. Aggregate write-ins for deductions | 2,900 | 66 | 1,063 |
| 28. Totals (Lines 20 to 27) | 3,762,842 | 5,060,843 | 10,972,640 |
| 29. Net gain from operations before dividends to policyholders and federal income taxes (Line 9 minus Line 28) | 8,817,162 | 4,490,254 | 5,878,672 |
| 30. Dividends to policyholders and refunds to members | | | |
| 31. Net gain from operations after dividends to policyholders, refunds to members and before federal income taxes (Line 29 minus Line 30) | 8,817,162 | 4,490,254 | 5,878,672 |
| 32. Federal and foreign income taxes incurred (excluding tax on capital gains) | 407,833 | 475,425 | 1,168,732 |
| 33. Net gain from operations after dividends to policyholders, refunds to members and federal income taxes and before realized capital gains or (losses) (Line 31 minus Line 32) | 8,409,329 | 4,014,829 | 4,709,940 |
| 34. Net realized capital gains (losses) (excluding gains (losses) transferred to the IMR) less capital gains tax of \$ 14,868 (excluding taxes of \$ 3,219 transferred to the IMR) | 56,289 | 627 | 8,501 |
| 35. Net income (Line 33 plus Line 34) | 8,465,618 | 4,015,456 | 4,718,441 |
| CAPITAL AND SURPLUS ACCOUNT | | | |
| 36. Capital and surplus, December 31, prior year | 108,142,213 | 113,429,352 | 113,429,352 |
| 37. Net income (Line 35) | 8,465,618 | 4,015,456 | 4,718,441 |
| 38. Change in net unrealized capital gains (losses) less capital gains tax of \$ | | | |
| 39. Change in net unrealized foreign exchange capital gain (loss) | | | |
| 40. Change in net deferred income tax | (1,544,807) | (496,408) | (44,637) |
| 41. Change in nonadmitted assets | 485,676 | 117,765 | 33,520 |
| 42. Change in liability for reinsurance in unauthorized and certified companies | | | |
| 43. Change in reserve on account of change in valuation basis, (increase) or decrease | | | |
| 44. Change in asset valuation reserve | (81,787) | 15,589 | 5,537 |
| 45. Change in treasury stock | | | |
| 46. Surplus (contributed to) withdrawn from Separate Accounts during period | | | |
| 47. Other changes in surplus in Separate Accounts Statement | | | |
| 48. Change in surplus notes | | | |
| 49. Cumulative effect of changes in accounting principles | | | |
| 50. Capital changes: | | | |
| 50.1 Paid in | | | |
| 50.2 Transferred from surplus (Stock Dividend) | | | |
| 50.3 Transferred to surplus | | | |
| 51. Surplus adjustment: | | | |
| 51.1 Paid in | | | |
| 51.2 Transferred to capital (Stock Dividend) | | | |
| 51.3 Transferred from capital | | | |
| 51.4 Change in surplus as a result of reinsurance | | | |
| 52. Dividends to stockholders | | | (10,000,000) |
| 53. Aggregate write-ins for gains and losses in surplus | | | |
| 54. Net change in capital and surplus for the year (Lines 37 through 53) | 7,324,700 | 3,652,402 | (5,287,139) |
| 55. Capital and surplus, as of statement date (Lines 36 + 54) | 115,466,913 | 117,081,754 | 108,142,213 |
| DETAILS OF WRITE-INS | | | |
| 08.301. Sundries | 100 | 99 | 201 |
| 08.302. | | | |
| 08.303. | | | |
| 08.398. Summary of remaining write-ins for Line 8.3 from overflow page | | | |
| 08.399. Totals (Lines 08.301 through 08.303 plus 08.398) (Line 8.3 above) | 100 | 99 | 201 |
| 2701. Fines, penalties and fees from regulatory authorities | 2,900 | 66 | 1,063 |
| 2702. | | | |
| 2703. | | | |
| 2798. Summary of remaining write-ins for Line 27 from overflow page | | | |
| 2799. Totals (Lines 2701 through 2703 plus 2798)(Line 27 above) | 2,900 | 66 | 1,063 |
| 5301. | | | |
| 5302. | | | |
| 5303. | | | |
| 5398. Summary of remaining write-ins for Line 53 from overflow page | | | |
| 5399. Totals (Lines 5301 through 5303 plus 5398)(Line 53 above) | | | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

CASH FLOW

| | 1 Current Year To Date | 2 Prior Year To Date | 3 Prior Year Ended December 31 |
|---|------------------------------|----------------------------|--------------------------------------|
| Cash from Operations | | | |
| 1. Premiums collected net of reinsurance | 4,465,036 | 5,734,837 | 11,512,169 |
| 2. Net investment income | 2,207,876 | 2,339,644 | 3,823,377 |
| 3. Miscellaneous income | 499,189 | 578,730 | 960,965 |
| 4. Total (Lines 1 to 3) | 7,172,101 | 8,653,211 | 16,296,511 |
| 5. Benefit and loss related payments | 3,424,662 | 6,937,515 | 13,011,504 |
| 6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts | | | |
| 7. Commissions, expenses paid and aggregate write-ins for deductions | 1,699,404 | 1,872,705 | 3,570,227 |
| 8. Dividends paid to policyholders | | | |
| 9. Federal and foreign income taxes paid (recovered) net of \$ tax on capital gains (losses) | | (1,183,142) | (277,091) |
| 10. Total (Lines 5 through 9) | 5,124,066 | 7,627,078 | 16,304,640 |
| 11. Net cash from operations (Line 4 minus Line 10) | 2,048,035 | 1,026,133 | (8,129) |
| Cash from Investments | | | |
| 12. Proceeds from investments sold, matured or repaid: | | | |
| 12.1 Bonds | 9,024,469 | 3,984,836 | 25,422,379 |
| 12.2 Stocks | | | |
| 12.3 Mortgage loans | | | |
| 12.4 Real estate | | | |
| 12.5 Other invested assets | | | |
| 12.6 Net gains or (losses) on cash, cash equivalents and short-term investments | (60) | 949 | 1,519 |
| 12.7 Miscellaneous proceeds | | | |
| 12.8 Total investment proceeds (Lines 12.1 to 12.7) | 9,024,409 | 3,985,785 | 25,423,898 |
| 13. Cost of investments acquired (long-term only): | | | |
| 13.1 Bonds | 11,637,098 | 6,623,024 | 15,246,010 |
| 13.2 Stocks | | | |
| 13.3 Mortgage loans | | | |
| 13.4 Real estate | | | |
| 13.5 Other invested assets | | | |
| 13.6 Miscellaneous applications | (3,569,835) | | |
| 13.7 Total investments acquired (Lines 13.1 to 13.6) | 8,067,263 | 6,623,024 | 15,246,010 |
| 14. Net increase (or decrease) in contract loans and premium notes | | | |
| 15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) | 957,146 | (2,637,239) | 10,177,888 |
| Cash from Financing and Miscellaneous Sources | | | |
| 16. Cash provided (applied): | | | |
| 16.1 Surplus notes, capital notes | | | |
| 16.2 Capital and paid in surplus, less treasury stock | | | |
| 16.3 Borrowed funds | | | |
| 16.4 Net deposits on deposit-type contracts and other insurance liabilities | (61,001) | (41,080) | (113,856) |
| 16.5 Dividends to stockholders | | | 10,000,000 |
| 16.6 Other cash provided (applied) | (669,815) | 323,287 | 464,389 |
| 17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) | (730,816) | 282,207 | (9,649,467) |
| RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS | | | |
| 18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) | 2,274,365 | (1,328,899) | 520,292 |
| 19. Cash, cash equivalents and short-term investments: | | | |
| 19.1 Beginning of year | 4,397,642 | 3,877,350 | 3,877,350 |
| 19.2 End of period (Line 18 plus Line 19.1) | 6,672,007 | 2,548,451 | 4,397,642 |
| Note: Supplemental disclosures of cash flow information for non-cash transactions: | | | |
| 20.0001. Capitalized interest | 45,463 | 76,983 | 143,899 |

EXHIBIT 1

DIRECT PREMIUMS AND DEPOSIT-TYPE CONTRACTS

| | 1 Current Year To Date | 2 Prior Year To Date | 3 Prior Year Ended December 31 |
|---|------------------------------|----------------------------|--------------------------------------|
| 1. Industrial life | | | |
| 2. Ordinary life insurance | 16,431,876 | 14,000,972 | 24,243,824 |
| 3. Ordinary individual annuities | | | |
| 4. Credit life (group and individual) | | | |
| 5. Group life insurance | | | |
| 6. Group annuities | | | |
| 7. A & H - group | | | |
| 8. A & H - credit (group and individual) | | | |
| 9. A & H - other | | | |
| 10. Aggregate of all other lines of business | | | |
| 11. Subtotal (Lines 1 through 10) | 16,431,876 | 14,000,972 | 24,243,824 |
| 12. Fraternal (Fraternal Benefit Societies Only) | | | |
| 13. Subtotal (Lines 11 through 12) | 16,431,876 | 14,000,972 | 24,243,824 |
| 14. Deposit-type contracts | | | |
| 15. Total (Lines 13 and 14) | 16,431,876 | 14,000,972 | 24,243,824 |
| DETAILS OF WRITE-INS | | | |
| 1001. | | | |
| 1002. | | | |
| 1003. | | | |
| 1098. Summary of remaining write-ins for Line 10 from overflow page | | | |
| 1099. Totals (Lines 1001 through 1003 plus 1098)(Line 10 above) | | | |

NOTES TO FINANCIAL STATEMENTS

1. Summary of Significant Accounting Policies and Going Concern

- A. The accompanying financial statements of NYLIFE Insurance Company of Arizona ("the Company") have been prepared using accounting practices prescribed or permitted by the Arizona Insurance Department.

The Arizona Insurance Department recognizes only statutory accounting practices prescribed or permitted by the state of Arizona for determining and reporting the financial position and results of operations of an insurance company and for determining its solvency under Arizona Insurance Law. The National Association of Insurance Commissioners' ("NAIC") *Accounting Practices and Procedures Manual* ("NAIC SAP") has been adopted as a component of prescribed or permitted practices by the state of Arizona. Prescribed statutory accounting practices include state laws and regulations. Permitted statutory accounting practices encompass accounting practices that are not prescribed; such practices differ from state to state, may differ from company to company within a state, and may change in the future. Arizona has adopted all prescribed accounting practices found in NAIC SAP. The Company has no permitted practices.

A reconciliation of the Company's net income and capital and surplus at June 30, 2020 and December 31, 2019 between practices prescribed or permitted by the State of Arizona and NAIC SAP is shown below:

| | SSAP # | F/S Page | F/S Line # | 2020 | 2019 |
|--|-----------|-------------|---------------|-----------------------|----------------------|
| <u>Net Income</u> | | | | | |
| (1) Net income Arizona state basis (Page 4, Line 35, Columns 1 & 3) | XXX | XXX | XXX | \$ 8,465,618 | \$ 4,718,441 |
| (2) State prescribed practices that increase/(decrease) NAIC SAP: | | | | — | — |
| (3) State permitted practices that increase/(decrease) NAIC SAP: | | | | — | — |
| (4) Net income, NAIC SAP (1-2-3=4) | XXX | XXX | XXX | <u>\$ 8,465,618</u> | <u>\$ 4,718,441</u> |
| <u>Capital and Surplus</u> | | | | | |
| (5) Statutory capital and surplus Arizona state basis (Page 3, Line 38, Columns 1 & 2) | XXX | XXX | XXX | \$ 115,466,913 | \$108,142,213 |
| (6) State prescribed practices that increase/(decrease) NAIC SAP: | | | | — | — |
| (7) State permitted practices that increase/(decrease) NAIC SAP: | | | | — | — |
| (8) Capital and surplus, NAIC SAP (5-6-7=8) | XXX | XXX | XXX | <u>\$ 115,466,913</u> | <u>\$108,142,213</u> |

- B. No change.

- C. (1) No change.

(2) Bonds not backed by loans are stated at amortized cost using the interest method. Bonds in or near default (rated NAIC 6) are stated at the lower of amortized cost or fair value. The cost basis of bonds is adjusted for impairments in value deemed to be other than temporary, with the difference between the bond's amortized cost and its fair value recognized as a realized loss reported in net income. The new cost basis of an impaired bond is not adjusted for subsequent increases in estimated fair value. In periods subsequent to the recognition of an other-than-temporary impairment ("OTTI"), the impaired bond is accounted for as if it had been purchased on the measurement date of the impairment. Refer to Note 20 – Fair Value Measurements, for a discussion of the valuation approach and methods for bonds.

- (3) - (5) No change.

(6) Loan-backed and structured securities, which are included in bonds, are valued at amortized cost using the interest method including current assumptions of projected cash flows. Loan-backed and structured securities in or near default (rated NAIC 6) are stated at the lower of amortized cost or fair value. Amortization of the premium or accretion of discount from the purchase of these securities considers the estimated timing and amount of cash flows of the underlying loans, including prepayment assumptions based on data obtained from external sources or internal estimates. Projected future cash flows are updated monthly, and the amortized cost and effective yield of the securities are adjusted as necessary to reflect historical prepayment experience and changes in estimated future prepayments. For high credit quality loan-backed and structured securities (those rated AA or above at the date of acquisition), the adjustments to amortized cost are recorded as a charge or credit to net investment income in accordance with the retrospective method. For loan-backed and structured securities that are not of high credit quality (those rated below AA at date of acquisition), certain floating rate securities and securities with the potential for a loss of a portion of the original investment due to contractual prepayments (e.g. interest only securities), the effective yield is adjusted prospectively for any changes in estimated cash flows. Refer to Note 20 – Fair Value Measurements, for a discussion of the valuation approach and methods for bonds.

The cost basis of loan-backed and structured securities is adjusted for impairments in value that are deemed to be other than temporary. An other-than-temporary loss is recognized in net income when it is anticipated that the amortized cost will not be recovered. The entire difference between the loan-backed or structured security's amortized cost and its fair value is recognized in net income only when the Company (1) has the intent to sell the security or (2) it does not have the intent and ability to hold the security to recovery. If neither of these two conditions exists, a realized loss is recognized in net income for the difference between the amortized cost basis of the security and the net present value of projected future cash flows expected to be collected. The net present value is calculated by discounting the Company's best estimate of projected future cash flows at the effective interest rate implicit in the loan-backed or structured security prior to impairment.

The new cost basis of an impaired security is not adjusted for subsequent increases in estimated fair value. In periods subsequent to the recognition of an other-than-temporary loss, the impaired loan-backed or structured security is accounted for as if it had been purchased on the measurement date of the impairment. Accordingly, the discount (or reduced premium) based on the new cost basis may be accreted into net investment income in future periods based on prospective changes in cash flow estimates, to reflect adjustments to the effective yield.

- (7) - (13) No change.

D. Going Concern

The Company does not have any doubt about its ability to continue as a going concern.

2. Accounting Changes and Corrections of Errors

Not applicable.

NOTES TO FINANCIAL STATEMENTS

3. Business Combinations and Goodwill

Not applicable.

4. Discontinued Operations

Not applicable.

5. Investments

A. Mortgage Loans, including Mezzanine Real Estate Loans

Not applicable.

B. Debt Restructuring

Not applicable.

C. Reverse Mortgages

Not applicable.

D. Loan-Backed Securities

- (1) Prepayment assumptions for mortgage-backed/loan-backed and structured securities were obtained from external sources such as Intex and Blackrock Solutions.
- (2) The Company does not have any loan-backed and structured securities which are other-than-temporarily impaired where the Company intends to sell, or does not have the intent and ability to hold until recovery, at June 30, 2020.
- (3) As of June 30, 2020, the Company did not have any securities where the present value of cash flows expected to be collected is less than the amortized cost basis during the current year.
- (4) The following table presents the Company's gross unrealized losses and fair values of loan-backed and structured securities, aggregated by the length of time that the individual securities have been in a continuous unrealized loss position at June 30, 2020:

| | Less than 12 months | | 12 months or greater | | Total | |
|-------|---------------------|--------|----------------------|--------|------------|--------|
| | Fair Value | Losses | Fair Value | Losses | Fair Value | Losses |
| Total | \$ 1,203 | \$ 1 | \$ — | \$ — | \$ 1,203 | \$ 1 |

- (5) The Company performs quantitative and qualitative analysis to determine if a decline in fair value was temporary. For those securities where the decline was considered temporary, the Company did not take an impairment when it had the ability and intent to hold until recovery. Factors considered in evaluating whether a decline in value is other than temporary include: (1) whether the decline is substantial; (2) the duration that the fair value has been less than amortized cost; (3) the financial condition and near-term prospects of the issuer; and (4) the Company's ability and intent to retain the investment for the period of time sufficient to allow for an anticipated recovery in value. In addition, for the non-agency residential mortgage backed securities ("RMBS") portfolio, the Company updates cash flow projections quarterly. A projection is performed for each security based upon the evaluation of prepayment, delinquency, and default rates for the pool of mortgages collateralizing each security, and the projected impact on the course of future prepayments, defaults, and loss in the pool of mortgages, but do not include market prices. As a result, forecasts may change from period to period and additional impairments may be recognized over time as a result of deterioration in the fundamentals of a particular security or group of securities and/or a continuation of heightened mortgage defaults for a period longer than the assumptions used for the forecasts. Both qualitative and quantitative factors are used in creating the Company's RMBS cash flow models. As such, any estimate of impairments is subject to the inherent limitation on the Company's ability to predict the aggregate course of future events. It should therefore be expected that actual losses may vary from any estimate and the Company may recognize additional other-than-temporary losses.

E. Dollar Repurchase Agreements and/or Securities Lending Transactions

Not applicable.

F. Repurchase Agreements Transaction Accounted for as Secured Borrowing

Not applicable.

G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing

Not applicable.

H. Repurchase Agreements Transactions Accounted for as a Sale

Not applicable.

I. Reverse Repurchase Agreements Transactions Accounted for as a Sale

Not applicable.

J. Real Estate

Not applicable.

K. Low-Income Housing Tax Credits

Not applicable.

L. Restricted Assets

No change.

NOTES TO FINANCIAL STATEMENTS

M. Working Capital Finance Investments

Not applicable.

N. Offsetting and Netting of Assets and Liabilities

Not applicable.

O. 5GI Securities

Not applicable.

P. Short Sales

Not applicable.

Q. Prepayment Penalty and Acceleration Fees

The following represents the Company's securities sold, redeemed or otherwise disposed as a result of a callable feature (including make whole call provisions) and the aggregate amount of investment income generated as a result of a prepayment penalty and/or acceleration fee.

| | General Account |
|---------------------------------------|-----------------|
| Number of CUSIPs | 4 |
| Aggregate Amount of Investment Income | \$ 17,036 |

6. Joint Ventures, Partnerships and Limited Liability Companies

A. No change.

B. No change.

7. Investment Income

A. No change.

B. No change.

8. Derivative Instruments

Not applicable.

9. Income Taxes

A - I. No change.

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

A - O. No change.

11. Debt

Not applicable.

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

A - I. No change.

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

No change.

14. Liabilities, Contingencies and Assessments

A. Contingent Commitments

Not applicable.

B. Assessments

No change.

C. Gain Contingencies

Not applicable.

D. Claims Related Extra Contractual Obligation and Bad Faith Losses Stemming from Lawsuits

No change.

E. Joint and Several Liabilities

Not applicable.

F. All Other Contingencies

No change.

NOTES TO FINANCIAL STATEMENTS

15. Leases

A. Lessee Operating Lease

No change.

B. Lessor Leases

Not applicable.

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

Not applicable.

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

A. Transfers of Receivables reported as Sales

Not applicable.

B. Transfer and Servicing of Financial Assets

Not applicable.

C. Wash Sales

(1) In the course of the Company's investment management activities, securities may be sold and repurchased within 30 days of the sale date to enhance the Company's yield on its investment portfolio.

(2) The Company did not have any wash sales where securities with an NAIC rating designation of 3 or below, or unrated, were sold during the three months ended June 30, 2020 and reacquired within 30 days of the sale date.

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

Not applicable.

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

Not applicable.

20. Fair Value Measurements

A. The Company's financial assets and liabilities carried at fair value have been classified, for disclosure purposes, based on a hierarchy defined by SSAP No. 100, *Fair Value Measurements*. Fair value is defined as 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. This guidance establishes a framework for measuring fair value that includes a hierarchy used to classify the inputs used in measuring fair value. The hierarchy prioritizes the inputs to valuation techniques used to measure fair value into three levels. The level in the fair value hierarchy within which the fair value measurement falls is determined based on the lowest level input that is significant to the fair value measurement.

(1) The levels of the fair value hierarchy are based on the inputs to the valuation as follows:

Level 1 Fair value is based on unadjusted quoted prices for identical assets or liabilities in an active market. Active markets are defined as a market in which many transactions occur with sufficient frequency and volume to provide pricing information on an ongoing basis.

Level 2 Observable inputs other than level 1 prices, such as quoted prices in active markets for similar assets or liabilities; quoted prices in markets that are not active for identical or similar assets or liabilities, or other model driven inputs that are observable or can be corroborated by observable market data for substantially the full term of the assets or liabilities. Valuations are generally obtained from third-party pricing services for identical or comparable assets or liabilities or through the use of valuation methodologies using observable market inputs.

Level 3 Instruments whose values are based on prices or valuation techniques that require inputs that are both unobservable and significant to the overall fair value measurement. These inputs reflect management's own assumptions in pricing the asset or liability. Pricing may also be based upon broker quotes that do not represent an offer to transact. Prices are determined using valuation methodologies such as option pricing models, discounted cash flow models and other similar techniques. Non-binding broker quotes, which are utilized when pricing service information is not available, are reviewed for reasonableness based on the Company's understanding of the market, and are generally considered Level 3. To the extent the internally developed valuations use significant unobservable inputs, they are classified as Level 3.

The Company had no investments held at fair value at June 30, 2020.

B. Not applicable.

C. The following table presents the carrying amounts and estimated fair value of the Company's financial instruments at June 30, 2020:

| | Fair Value | Carrying Value | Level 1 | Level 2 | Level 3 | Net Asset Value (NAV) | Not Practicable |
|---|---------------|----------------|------------|---------------|---------|-----------------------|-----------------|
| Assets: | | | | | | | |
| Bonds | \$150,344,117 | \$140,180,750 | \$ — | \$150,344,117 | \$ — | \$ — | \$ — |
| Cash, cash equivalents and short-term investments | 6,672,007 | 6,672,007 | 268,441 | 6,403,566 | — | — | — |
| Investment income due and accrued | 878,537 | 878,537 | — | 878,537 | — | — | — |
| Total assets | \$157,894,661 | \$147,731,294 | \$ 268,441 | \$157,626,220 | \$ — | \$ — | \$ — |

NOTES TO FINANCIAL STATEMENTS

Bonds

The fair value of bonds is determined by considering one of four primary sources: (1) security pricing is applied using a hierarchy approach whereby publicly available prices are first sought from nationally recognized third-party pricing services, (2) securities are priced using a matrix-based pricing methodology, which uses spreads derived from third-party benchmarks bond indices, (3) securities are priced using an internal pricing model or methodology, and (4) securities are submitted to independent brokers for prices.

The pricing service generally uses an income-based approach by using a discounted cash-flow model or it may use a market approach by looking at recent trades of a specific security to determine fair value on public securities or a combination of the two. Typical inputs used by these pricing services include, but are not limited to; benchmark yields, reported trades, issuer spreads, bids, offers, benchmark securities, estimated cash flows and prepayment speeds.

Independent pricing vendors do not supply prices for private placement bonds. These securities are primarily priced using a market approach such as a matrix-based pricing methodology, which uses spreads derived from third-party benchmark bond indices. Any private securities that cannot be priced using this methodology, are priced using an internally developed model based upon assigned comparable public issues adjusted for liquidity, maturity and rating or are priced based on internal calculations. The Company assigns a credit rating based upon internal analysis.

Prices from pricing services and broker quotes are validated on an ongoing basis to ensure the adequacy and reliability of the fair value measurement. The Company performs both quantitative and qualitative analysis of the prices including initial and ongoing review of third-party pricing methodologies, back testing of recent trades, and a thorough review of pricing trends and statistics and is classified as Level 2.

Cash, cash equivalents, short-term investments and investment income due and accrued

Cash on hand is classified as Level 1. Cash overdrafts (i.e. outstanding checks) are classified as Level 2. Due to the short-term maturities, the carrying value of short-term investments, cash equivalents and investment income due and accrued is presumed to approximate fair value.

- D. If it is not practicable for an entity to estimate the fair value of that financial instrument or a class of financial instruments, the following shall be disclosed:

(1) - (2) Not applicable.

- E. Not applicable.

21. Other Items

A. Unusual or Infrequent Items

In March 2020, the World Health Organization declared the novel strain of coronavirus, COVID-19, a global pandemic. Management believes NYLIFE Insurance Company of Arizona has a strong balance sheet, ample liquidity, a robust capital position and is well positioned to continue to meet its policy owner commitments and regulatory, capital and financing requirements. The primary concern is protecting the Company's employees and being there for our policy owners. Nearly all employees and agents are working remotely, while still maintaining our operations and providing services to policy owners. NYLIFE Insurance Company of Arizona has taken swift product and underwriting actions to further manage our risk and offering payment flexibility and accommodations to our policy owners. While the impact of these actions and events is minimal to NYLIFE Insurance Company of Arizona's financial results for the quarter ended June 30, 2020, we continue to monitor the economic environment and other potential impacts relating to this pandemic.

B. Troubled Debt Restructuring: Debtors

Not applicable.

C. Other Disclosures

No change.

D. Business Interruption Insurance Recoveries

Not applicable.

E. State Transferable and Non-transferable Tax Credits

Not applicable.

F. Subprime and Midprime Mortgage Related Risk Exposure

No change.

G. Retained Assets

No change.

H. Insurance-Linked Securities ("ILS") Contracts

Not applicable.

22. Events Subsequent

At August 13, 2020, the date the financial statements were available to be issued, there have been no events occurring subsequent to the close of the Company's books or accounts, other than described above which would have a material effect on the financial condition of the Company.

23. Reinsurance

A. Ceded Reinsurance Report

Section 1 – General Interrogatories

NOTES TO FINANCIAL STATEMENTS

No change.

Section 2 – Ceded Reinsurance Report – Part A

No change.

Section 3 – Ceded Reinsurance Report – Part B

No change.

B. Uncollectible Reinsurance

Not applicable.

C. Commutation of Ceded Reinsurance

Not applicable.

D. Certified Reinsurer Rating Downgraded or Status Subject to Revocation

Not applicable.

E - G. Not applicable.

24. Retrospectively Rated Contracts and Contracts Subject to Redetermination

Not applicable.

25. Change in Incurred Losses and Loss Adjustment Expenses

Not applicable.

26. Intercompany Pooling Arrangements

Not applicable.

27. Structured Settlements

Not applicable.

28. Health Care Receivables

Not applicable.

29. Participating Policies

Not applicable.

30. Premium Deficiency Reserves

Not applicable.

31. Reserves for Life Contracts and Annuity Contracts

No change.

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

No change.

33. Analysis of Life Actuarial Reserves by Withdrawal Characteristics

No change.

34. Premium and Annuity Considerations Deferred and Uncollected

No change.

35. Separate Accounts

Not applicable.

36. Loss/Claim Adjustment Expenses

Not applicable.

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

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

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

- 5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? Yes [] No [] N/A [X]
If yes, attach an explanation.
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2019
- 6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. 12/31/2014
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). 06/21/2016
- 6.4 By what department or departments?
Arizona Department of Insurance
- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes [] No [] N/A [X]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [] No [] N/A [X]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [] No [X]
- 7.2 If yes, give full information:
- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? Yes [] No [X]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? Yes [X] No []
- 8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

| 1 Affiliate Name | 2 Location (City, State) | 3 FRB | 4 OCC | 5 FDIC | 6 SEC |
|--|-----------------------------|----------|----------|-----------|----------|
| NYLIFE Securities LLC | New York, NY | | | | YES |
| NYLIFE Distributors LLC | Jersey City, NJ | | | | YES |
| Eagle Strategies LLC | New York, NY | | | | YES |
| New York Life Investment Management LLC | New York, NY | | | | YES |
| MacKay Shields LLC | New York, NY | | | | YES |
| GoldPoint Partners LLC | New York, NY | | | | YES |
| NYLIM Service Company LLC | Jersey City, NJ | | | | YES |
| PA Capital LLC | Richmond, VA | | | | YES |
| NYL Investors LLC | New York, NY | | | | YES |
| Madison Capital Funding LLC | Chicago, IL | | | | YES |
| MKS CLO Advisors LLC | New York, NY | | | | YES |
| Cascade CLO Advisors LLC | New York, NY | | | | YES |
| New York Life Investments Alternatives LLC | New York, NY | | | | YES |
| Candriam Luxembourg S.C.A. | Strassen, LUX | | | | YES |
| Candriam France S.A.S. | Paris, FRA | | | | YES |
| Candriam Belgium S.A. | Brussels, BEL | | | | YES |
| Ausbil Investment Management Limited | Sydney, AUS | | | | YES |

GENERAL INTERROGATORIES

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

FINANCIAL

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes [X] No []
- 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ 723

INVESTMENT

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

GENERAL INTERROGATORIES

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

| 1 Name of Custodian(s) | 2 Custodian Address |
|----------------------------------|--|
| JP Morgan Chase | 270 Park Avenue, New York, NY 10017 |
| The Northern Trust Company | 50 S LaSalle Street, Chicago, IL 60603 |

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

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

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter? Yes [] No [X]
- 17.4 If yes, give full information relating thereto:

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

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

| 1 Name of Firm or Individual | 2 Affiliation |
|---------------------------------|------------------|
| NYL Investors LLC | A..... |

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

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

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

| 1 Central Registration Depository Number | 2 Name of Firm or Individual | 3 Legal Entity Identifier (LEI) | 4 Registered With | 5 Investment Management Agreement (IMA) Filed |
|---|---------------------------------|------------------------------------|----------------------|--|
| 169553 | NYL Investors LLC | 5493000EG09W0QURS721 | SEC | DS..... |

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

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

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

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

GENERAL INTERROGATORIES

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

Life and Accident Health Companies/Fraternal Benefit Societies:

1. Report the statement value of mortgage loans at the end of this reporting period for the following categories: 1
Amount
- 1.1 Long-Term Mortgages In Good Standing
- 1.11 Farm Mortgages \$
- 1.12 Residential Mortgages \$
- 1.13 Commercial Mortgages \$
- 1.14 Total Mortgages in Good Standing \$
- 1.2 Long-Term Mortgages In Good Standing with Restructured Terms
- 1.21 Total Mortgages in Good Standing with Restructured Terms \$
- 1.3 Long-Term Mortgage Loans Upon which Interest is Overdue more than Three Months
- 1.31 Farm Mortgages \$
- 1.32 Residential Mortgages \$
- 1.33 Commercial Mortgages \$
- 1.34 Total Mortgages with Interest Overdue more than Three Months \$
- 1.4 Long-Term Mortgage Loans in Process of Foreclosure
- 1.41 Farm Mortgages \$
- 1.42 Residential Mortgages \$
- 1.43 Commercial Mortgages \$
- 1.44 Total Mortgages in Process of Foreclosure \$
- 1.5 Total Mortgage Loans (Lines 1.14 + 1.21 + 1.34 + 1.44) (Page 2, Column 3, Lines 3.1 + 3.2) \$
- 1.6 Long-Term Mortgages Foreclosed, Properties Transferred to Real Estate in Current Quarter
- 1.61 Farm Mortgages \$
- 1.62 Residential Mortgages \$
- 1.63 Commercial Mortgages \$
- 1.64 Total Mortgages Foreclosed and Transferred to Real Estate \$
2. Operating Percentages:
- 2.1 A&H loss percent %
- 2.2 A&H cost containment percent %
- 2.3 A&H expense percent excluding cost containment expenses %
- 3.1 Do you act as a custodian for health savings accounts? Yes [] No [X]
- 3.2 If yes, please provide the amount of custodial funds held as of the reporting date \$
- 3.3 Do you act as an administrator for health savings accounts? Yes [] No [X]
- 3.4 If yes, please provide the balance of the funds administered as of the reporting date \$
4. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states? Yes [X] No []
- 4.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity? Yes [] No []

Fraternal Benefit Societies Only:

- 5.1 In all cases where the reporting entity has assumed accident and health risks from another company, provisions should be made in this statement on account of such reinsurances for reserve equal to that which the original company would have been required to establish had it retained the risks. Has this been done? Yes [] No [] N/A []
- 5.2 If no, explain:
.....
- 6.1 Does the reporting entity have outstanding assessments in the form of liens against policy benefits that have increased surplus? Yes [] No []
- 6.2 If yes, what is the date(s) of the original lien and the total outstanding balance of liens that remain in surplus?

| Date | Outstanding Lien Amount |
|-------|-------------------------|
| | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

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

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA
SCHEDULE T - PREMIUMS AND ANNUITY CONSIDERATIONS

Current Year To Date - Allocated by States and Territories

| States, Etc. | 1 Active Status (a) | Direct Business Only | | | | | 7 Deposit-Type Contracts |
|--|------------------------|------------------------------|-----------------------------|--|---------------------------|--------------------------------|-----------------------------|
| | | Life Contracts | | 4 Accident and Health Insurance Premiums, Including Policy, Membership and Other Fees | 5 Other Considerations | 6 Total Columns 2 Through 5 | |
| | | 2 Life Insurance Premiums | 3 Annuity Considerations | | | | |
| 1. Alabama | AL | L | 264,008 | | | 264,008 | |
| 2. Alaska | AK | L | 107,271 | | | 107,271 | |
| 3. Arizona | AZ | L | 302,347 | | | 302,347 | |
| 4. Arkansas | AR | L | 47,634 | | | 47,634 | |
| 5. California | CA | L | 2,014,330 | | | 2,014,330 | |
| 6. Colorado | CO | L | 199,961 | | | 199,961 | |
| 7. Connecticut | CT | L | 73,177 | | | 73,177 | |
| 8. Delaware | DE | L | 56,641 | | | 56,641 | |
| 9. District of Columbia | DC | L | 14,526 | | | 14,526 | |
| 10. Florida | FL | L | 581,170 | | | 581,170 | |
| 11. Georgia | GA | L | 326,132 | | | 326,132 | |
| 12. Hawaii | HI | L | 14,085 | | | 14,085 | |
| 13. Idaho | ID | L | 43,346 | | | 43,346 | |
| 14. Illinois | IL | L | 361,564 | | | 361,564 | |
| 15. Indiana | IN | L | 48,473 | | | 48,473 | |
| 16. Iowa | IA | L | 115,539 | | | 115,539 | |
| 17. Kansas | KS | L | 142,570 | | | 142,570 | |
| 18. Kentucky | KY | L | 123,235 | | | 123,235 | |
| 19. Louisiana | LA | L | 338,794 | | | 338,794 | |
| 20. Maine | ME | N | 837 | | | 837 | |
| 21. Maryland | MD | L | 221,265 | | | 221,265 | |
| 22. Massachusetts | MA | L | 91,045 | | | 91,045 | |
| 23. Michigan | MI | L | 218,644 | | | 218,644 | |
| 24. Minnesota | MN | L | 78,809 | | | 78,809 | |
| 25. Mississippi | MS | L | 93,583 | | | 93,583 | |
| 26. Missouri | MO | L | 246,179 | | | 246,179 | |
| 27. Montana | MT | L | 53,180 | | | 53,180 | |
| 28. Nebraska | NE | L | 34,071 | | | 34,071 | |
| 29. Nevada | NV | L | 112,487 | | | 112,487 | |
| 30. New Hampshire | NH | L | 14,059 | | | 14,059 | |
| 31. New Jersey | NJ | L | 301,085 | | | 301,085 | |
| 32. New Mexico | NM | L | 125,037 | | | 125,037 | |
| 33. New York | NY | N | 47,603 | | | 47,603 | |
| 34. North Carolina | NC | L | 180,721 | | | 180,721 | |
| 35. North Dakota | ND | L | 13,345 | | | 13,345 | |
| 36. Ohio | OH | L | 221,730 | | | 221,730 | |
| 37. Oklahoma | OK | L | 197,870 | | | 197,870 | |
| 38. Oregon | OR | L | 148,458 | | | 148,458 | |
| 39. Pennsylvania | PA | L | 284,817 | | | 284,817 | |
| 40. Rhode Island | RI | L | 8,423 | | | 8,423 | |
| 41. South Carolina | SC | L | 179,091 | | | 179,091 | |
| 42. South Dakota | SD | L | 99,193 | | | 99,193 | |
| 43. Tennessee | TN | L | 106,499 | | | 106,499 | |
| 44. Texas | TX | L | 1,139,084 | | | 1,139,084 | |
| 45. Utah | UT | L | 92,767 | | | 92,767 | |
| 46. Vermont | VT | L | 18,462 | | | 18,462 | |
| 47. Virginia | VA | L | 260,536 | | | 260,536 | |
| 48. Washington | WA | L | 458,091 | | | 458,091 | |
| 49. West Virginia | WV | L | 26,916 | | | 26,916 | |
| 50. Wisconsin | WI | L | 89,326 | | | 89,326 | |
| 51. Wyoming | WY | L | 30,357 | | | 30,357 | |
| 52. American Samoa | AS | N | | | | | |
| 53. Guam | GU | N | | | | | |
| 54. Puerto Rico | PR | N | | | | | |
| 55. U.S. Virgin Islands | VI | N | | | | | |
| 56. Northern Mariana Islands | MP | N | | | | | |
| 57. Canada | CAN | N | | | | | |
| 58. Aggregate Other Aliens | OT | XXX | 56,106 | | | 56,106 | |
| 59. Subtotal | XXX | | 10,424,479 | | | 10,424,479 | |
| 90. Reporting entity contributions for employee benefits plans | XXX | | | | | | |
| 91. Dividends or refunds applied to purchase paid-up additions and annuities | XXX | | | | | | |
| 92. Dividends or refunds applied to shorten endowment or premium paying period | XXX | | | | | | |
| 93. Premium or annuity considerations waived under disability or other contract provisions | XXX | 552,904 | | | | 552,904 | |
| 94. Aggregate or other amounts not allocable by State | XXX | | | | | | |
| 95. Totals (Direct Business) | XXX | 10,977,383 | | | | 10,977,383 | |
| 96. Plus Reinsurance Assumed | XXX | 30,318 | | | | 30,318 | |
| 97. Totals (All Business) | XXX | 11,007,701 | | | | 11,007,701 | |
| 98. Less Reinsurance Ceded | XXX | 6,542,665 | | | | 6,542,665 | |
| 99. Totals (All Business) less Reinsurance Ceded | XXX | 4,465,036 | | | | 4,465,036 | |
| DETAILS OF WRITE-INS | | | | | | | |
| 58001. ZZZ other alien | XXX | 56,106 | | | | 56,106 | |
| 58002. | XXX | | | | | | |
| 58003. | XXX | | | | | | |
| 58998. Summary of remaining write-ins for Line 58 from overflow page | XXX | | | | | | |
| 58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above) | XXX | 56,106 | | | | 56,106 | |
| 9401. | XXX | | | | | | |
| 9402. | XXX | | | | | | |
| 9403. | XXX | | | | | | |
| 9498. Summary of remaining write-ins for Line 94 from overflow page | XXX | | | | | | |
| 9499. Totals (Lines 9401 through 9403 plus 9498)(Line 94 above) | XXX | | | | | | |

(a) Active Status Counts:

- L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG.....49
- E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....
- N - None of the above - Not allowed to write business in the state.....8
- R - Registered - Non-domiciled RRGs.....
- Q - Qualified - Qualified or accredited reinsurer.....

Direct Ordinary life premiums are allocated by State on the basis of the address to which the premium notice is sent. *Premium or annuity considerations waived under disability or other contract provisions are shown in one sum on Line 93, Columns 2, 3, 4, 5, 6, and 7. ** All U.S. business must be allocated by state regardless of license status. NOTE: Schedule T should not be used as the basis for the state guaranty association assessments.

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

PART 1 - ORGANIZATIONAL CHART

The following entities are directly controlled by New York Life Insurance Company (Parent) (entities that are indented are directly controlled by the preceding entity).

New York Life Insurance and Annuity Corporation (91596) (DE)
 NYLIFE Insurance Company of Arizona (81353) (AZ)
 New York Life Enterprises LLC (See page 12.2 for entity's org chart) (DE)
 NYLIFE LLC (See page 12.2 for entity's org chart) (DE)
 NYL Investors LLC (See page 12.3 for entity's org chart) (DE)
 New York Life Investment Management Holdings LLC (See page 12.4 for entity's org chart) (DE)
 NYLife Real Estate Holdings LLC (See page 12.10 for entity's org chart) (DE)
 NYL Real Assets LLC (DE)
 NYL Emerging Manager LLC (DE)
 NYL Wind Investments LLC (DE)
 NYLIC HKP Member LLC (DE)
 NYLIM Jacob Ballas India Holdings IV (MUS)
 NYLIM Flatiron CLO 2004-1 Ltd. (CYM)
 NYLIM Flatiron CLO 2004-1 Equity Holdings LLC, Series A (DE)
 NYLIM Flatiron CLO 2006-1 Ltd. (CYM)
 NYLIM Flatiron CLO 2006-1 Equity Holdings LLC, Series A (DE)
 Flatiron CLO 2007-1 Ltd. (CYM)
 NYLIM Flatiron CLO 2007-1 Equity Holdings LLC, Series A (CYM)
 Flatiron CLO 2011-1 Ltd. (CYM)
 Flatiron CLO 2012-1 Ltd. (CYM)
 Flatiron CLO 2013-1 Ltd. (CYM)
 Flatiron CLO 2014-1 Ltd. (CYM)
 Flatiron CLO 2015-1 Ltd (CYM)
 Flatiron CLO 17 Ltd. (CYM)
 Flatiron CLO 18 Ltd. (CYM)
 Flatiron CLO 18 Funding Ltd. (CYM)
 Stratford CDO 2001-1 Ltd. (CYM)
 Silverado CLO 2006-II Limited (CYM)
 Silverado CLO 2006-II Equity Holdings LLC, Series A (CYM)
 Silver Spring, LLC (DE)
 Silver Spring Associates, L.P. (PA)
 SCP 2005-C21-002 LLC (DE)
 SCP 2005-C21-003 LLC (DE)
 SCP 2005-C21-006 LLC (DE)
 SCP 2005-C21-007-LLC (DE)
 SCP 2005-C21-008 LLC (DE)
 SCP 2005-C21-009 LLC (DE)
 SCP 2005-C21-017 LLC (DE)
 SCP 2005-C21-018 LLC (DE)
 SCP 2005-C21-021 LLC (DE)
 SCP 2005-C21-025 LLC (DE)
 SCP 2005-C21-031 LLC (DE)
 SCP 2005-C21-036 LLC (DE)
 SCP 2005-C21-041 LLC (DE)
 SCP 2005-C21-043 LLC (DE)
 SCP 2005-C21-044 LLC (DE)
 SCP 2005-C21-048 LLC (DE)
 SCP 2005-C21-061 LLC (DE)

SCP 2005-C21-063 LLC (DE)
 SCP 2005-C21-067 LLC (DE)
 SCP 2005-C21-069 LLC (DE)
 SCP 2005-C21-070 LLC (DE)
 NYMH-Ennis GP, LLC (DE)
 NYMH-Ennis, L.P. (TX)
 NYMH-Freeport GP, LLC (DE)
 NYMH-Freeport, L.P. (TX)
 NYMH-Houston GP, LLC (DE)
 NYMH-Houston, L.P. (TX)
 NYMH-Plano GP, LLC (DE)
 NYMH-Plano, L.P. (TX)
 NYMH-San Antonio GP, LLC (DE)
 NYMH-San Antonio, L.P. (TX)
 NYMH-Stephenville GP, LLC (DE)
 NYMH-Stephenville, L.P. (TX)
 NYMH-Taylor GP, LLC (DE)
 NYMH-Taylor, L.P. (TX)
 NYMH-Attleboro MA, LLC (DE)
 NYMH-Farmingdale, NY, LLC (DE)
 NYLMDC-King of Prussia GP, LLC (DE)
 NYLMDC-King of Prussia Realty, LP (DE)
 2015 DIL PORTFOLIO HOLDINGS LLC (DE)
 PA 180 KOST RD LLC (DE)
 2017 CT REO HOLDINGS LLC (DE)
 Cortlandt Town Center LLC (DE)
 REEP-IND 10 WEST AZ LLC (DE)
 REEP-IND 4700 Nall TX LLC (DE)
 REEP-IND Aegean MA LLC (DE)
 REEP-IND Alpha TX LLC (DE)
 REEP-IND MCP VIII NC LLC (DE)
 REEP-IND CHINO CA LLC (DE)
 REEP-IND FREEDOM MA LLC (DE)
 REEP-IND Fridley MN LLC (MN)
 REEP-IND Green Oaks IL LLC (DE)
 REEP-IND Kent LLC (DE)
 REEP-IND LYMAN MA LLC (DE)
 REEP-IND MCP II NC LLC (DE)
 REEP-IND MCP III NC LLC (DE)
 REEP-IND MCP IV NC LLC (DE)
 REEP-IND MCP V NC LLC (DE)
 REEP-IND MCP VII NC LLC (DE)
 REEP-IND RTG NC LLC (DE)
 REEP-IND Simonton TX LLC (DE)
 REEP-IND Valley View TX LLC (DE)
 REEP-IND Valwood TX LLC (DE)
 REEP-MF 960 East Paces Ferry GA LLC (DE)

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

PART 1 - ORGANIZATIONAL CHART

New York Life Insurance Company (Parent) (continued)

REEP-MF 960 EPF Opco GA LLC (DE)
 REEP-MF Emblem DE LLC (DE)
 REEP-MF Gateway TAF UT LLC (DE)
 REEP-WP Gateway TAB JV LLC (DE)
 REEP-MF Issaquah WA LLC (DE)
 REEP-MF Mount Vernon GA LLC (DE)
 REEP-MF Mount Laurel NJ LLC (DE)
 REEP-MF NORTH PARK CA LLC (DE)
 REEP-MF AVERY TX LLC (DE)
 REEP-AVERY OWNER LLC (DE)
 REEP-MF Verde NC LLC (DE)
 REEP-MF Wallingford WA LLC (DE)
 REEP-OFC Bellevue WA LLC (DE)
 REEP-OFC WATER RIDGE NC HOLDCO LLC (DE)
 REEP-OFC ONE WATER RIDGE NC LLC (DE)
 REEP-OFC TWO WATER RIDGE NC LLC (DE)
 REEP-OFC FOUR WATER RIDGE NC LLC (DE)
 REEP-OFC FIVE WATER RIDGE NC LLC (DE)
 REEP-OFC SIX WATER RIDGE NC LLC (DE)
 REEP-OFC SEVEN WATER RIDGE NC LLC (DE)
 REEP-OFC EIGHT WATER RIDGE NC LLC (DE)
 REEP-OFC NINE WATER RIDGE NC LLC (DE)
 REEP-OFC TEN WATER RIDGE NC LLC (DE)
 REEP-OFC ELEVEN WATER RIDGE NC LLC (DE)
 REEP-MF FOUNTAIN PLACE MN LLC (DE)
 REEP-MF FOUNTAIN PLACE LLC (DE)
 REEP-OFC 2300 Empire CA LLC (DE)
 REEP-IND 10 WEST II AZ LLC (DE)
 REEP-RTL Flemington NJ LLC (DE)
 REEP-RTL Mill Creek NJ LLC (DE)
 REEP TAB ONE LLC (DE)
 REEP TAF ONE LLC (DE)
 NJIND Raritan Center LLC (DE)
 NJIND Talmadge Road LLC (DE)
 NJIND Melrich Road LLC (DE)
 FP Building 18, LLC (DE)
 FP Building 19, LLC (DE)
 PTC Acquisitions, LLC (DE)
 Martingale Road LLC (DE)
 New York Life Funding (CYM)
 New York Life Global Funding (DE)
 NYL Equipment Issuance Trust 2014-2 (DE)
 Government Energy Savings Trust 2003-A (NY)
 UFI-NOR Federal Receivables Trust, Series 2009B (NY)
 JREP Fund Holdings I, L.P. (CYM)
 Jaguar Real Estate Partners L.P. (CYM)
 NYLIFE Office Holdings Member LLC (DE)
 NYLIFE Office Holdings LLC (DE)

NYLIFE Office Holdings REIT LLC (DE)
 REEP-OFC DRAKES LANDING CA LLC (DE)
 REEP-OFC CORPORATE POINTE CA LLC (DE)
 REEP-OFC VON KARMAN CA LLC (DE)
 REEP-OFC ONE BOWDOIN SQUARE MA LLC (DE)
 REEP-OFC 525 N Tryon NC LLC (DE)
 525 Charlotte Office LLC (DE)
 NYLIFE Office Holdings Acquisition REIT LLC (DE)
 REEP-OFC Westory DC LLC (DE)
 MSVEF Investor LLC (DE)
 MSVEF Feeder LP (DE)
 MSVEF REIT LLC (DE)
 Madison Square Value Enhancement Fund LP (DE)
 MSVEF-MF Evanston GP LLC (DE)
 MSVEF-MF Evanston IL LP (DE)
 MSVEF-MF HUNTINGTON PARK GP LLC (DE)
 MSVEF-MF HUNTINGTON PARK WA LP (DE)
 MSVEF-OFC Tampa GP LLC (DE)
 MSVEF-OFC WFC Tampa FL LP (DE)
 MSVEF-FG WFC Tampa JV LP (DE)
 MSVEF-OFC WFC Tampa PO GP LLC (DE)
 MSVEF-FG WFC Property Owner LP (DE)

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

New York Life Enterprises LLC

SEAF Sichuan SME Investment Fund LLC (DE)
New York Life International Holdings Limited (MUS)
MAX Ventures and Industries Limited (IND)
NYL Cayman Holdings Ltd. (CYM)
NYL Worldwide Capital Investments LLC (DE)
Seguros Monterrey New York Life, S.A. de C.V. (MEX)
Administradora de Conductos SMNYL, S.A. de C.V. (MEX)
Agencias de Distribucion SMNYL, S.A. de C.V. (MEX)
Inmobiliaria SMNYL, S.A. de C.V. (MEX)

NYLIFE LLC

Eagle Strategies LLC (DE)
Fabric of Family LLC (DE)
New York Life Capital Corporation (DE)
New York Life Trust Company (NY)
NYLIFE Securities LLC (DE)
NYLINK Insurance Agency Incorporated (DE)
NYLUK I Company (GBR)
NYLUK II Company (GBR)
Gresham Mortgage (GBR)
W Construction Company (GBR)
WUT (GBR)
WIM (AIM) (GBR)

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

PART 1 - ORGANIZATIONAL CHART

NYL Investors LLC

NYL Investors (U.K.) Limited (GBR)
 NYL Investors REIT Manager LLC (DE)
 NYLIM Holdings NCVAD, GP, LLC (DE)
 McMorgan Northern California Value Add/Development Fund I, LP (DE)
 MNCVAD-OFC Bridgepointe CA LLC (DE)
 MNCVAD-OFC RIDDER PARK CA LLC (DE)
 MNCVAD-GRAYMARK RIDDER PARK LLC (DE)
 MNCVAD-OFC ONE BAY CA LLC (DE)
 MNCVAD-HARVEST ONE BAY LLC (DE)
 MNCVAD-IND RICHMOND CA LLC (DE)
 NYL Investors NCVAD II GP, LLC (DE)
 McMorgan Northern California Value Add/Development Fund II, LP (DE)
 MNCVAD II-MF HENLEY CA LLC (DE)
 MNCVAD II-SP HENLEY JV LLC (DE)
 MNCVAD II-SP HENLEY OWNER LLC (DE)
 MNCVAD II-OFC 770 L Street CA LLC (DE)
 MNCVAD II-MF UNION CA LLC (DE)
 MNCVAD II- HOLLIDAY UNION JV LLC (DE)
 MNCVAD II-OFC HARBORS CA LLC (DE)
 MNCVAD II-SEAGATE HARBORS LLC (DE)
 MNCVAD II-OFC 630 K Street CA LLC (DE)
 MSSDF Member LLC (DE)
 Madison Square Structured Debt Fund LP (DE)
 MSSDF GP LLC (DE)
 MSSDF REIT LLC (DE)
 MSSDF REIT Funding Sub I LLC (DE)
 MSVEF GP LLC (DE)
 MCPF GP LLC (DE)
 Madison Core Property Fund LP (DE)
 MCPF Holdings Manager LLC (DE)
 MCPF MA Holdings LLC (DE)
 MCPF Holdings LLC (DE)
 MADISON-IND TAMARAC FL LLC (DE)
 MIREF 1500 Quail, LLC (DE)
 MIREF Mill Creek, LLC (DE)
 MIREF Gateway, LLC (DE)
 MIREF Gateway Phases II and III, LLC (DE)
 MIREF Delta Court, LLC (DE)
 MIREF Fremont Distribution Center, LLC (DE)
 MIREF Century, LLC (DE)
 MIREF Saddle River LLC (DE)
 MIREF Newpoint Commons, LLC (DE)
 MIREF Northsight, LLC (DE)
 MIREF Riverside, LLC (DE)
 MIREF Corporate Woods, LLC (DE)
 MIREF Bedminster, LLC (DE)
 Barton's Lodge Apartments, LLC (DE)
 MIREF Marketpointe, LLC (DE)

MIREF 101 East Crossroads, LLC (DE)
 101 East Crossroads, LLC (DE)
 MIREF Hawthorne, LLC (DE)
 MIREF Auburn 277, LLC (DE)
 MIREF Sumner North, LLC (DE)
 MIREF Wellington, LLC (DE)
 MIREF Warner Center, LLC (DE)
 MADISON-MF Duluth GA LLC (DE)
 MADISON-OFC Centerstone I CA LLC (DE)
 MADISON-OFC Centerstone III CA LLC (DE)
 MADISON-MOB Centerstone IV CA LLC (DE)
 MADISON-OFC Centerpoint Plaza CA LLC (DE)
 MADISON-IND Logistics NC LLC (DE)
 MCPF-LRC Logistics LLC (DE)
 MADISON-MF Desert Mirage AZ LLC (DE)
 MADISON-OFC One Main Place OR LLC (DE)
 MADISON-IND Fenton MO LLC (DE)
 MADISON-IND Hitzert Roadway MO LLC (DE)
 MADISON-MF Hoyt OR LLC (DE)
 MADISON-RTL Clifton Heights PA LLC (DE)
 MADISON-IND Locust CA LLC (DE)
 MADISON-OFC Weston Pointe FL LLC (DE)
 MADISON-MF Henderson NV LLC (DE)
 MCPF-SP Henderson LLC (DE)
 MADISON-SP Henderson LLC (DE)
 MADISON-IND VISTA LOGISTICS OR LLC (DE)
 MADISON-SPECHT VISTA LOGISTICS LLC (DE)
 MADISON-MF MCCADDEN CA LLC (DE)
 MADISON-OFC 1201 WEST IL LLC (DE)
 MADISON-MCCAFFERY 1201 WEST IL LLC (DE)
 MADISON-MF CRESTONE AZ LLC (DE)
 MADISON-MF TECH RIDGE TX LLC (DE)

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

PART 1 - ORGANIZATIONAL CHART

New York Life Investment Management Holdings LLC

New York Life Investment Management Asia Limited (CYM)

MacKay Shields LLC (DE)

MacKay Shields Core Plus Opportunities Fund GP LLC (DE)

MacKay Shields Core Plus / Opportunities Fund LP (DE)

MacKay Municipal Managers Opportunities GP LLC (DE)

MacKay Municipal Opportunities Master Fund, L.P. (DE)

MacKay Municipal Opportunities Fund, L.P. (DE)

MacKay Municipal Managers Credit Opportunities GP, LLC (DE)

MacKay Municipal Credit Opportunities Master Fund, L.P. (DE)

MacKay Municipal Credit Opportunities Fund, L.P. (DE)

MacKay Municipal Credit Opportunities HL Fund, L.P. (DE)

MacKay Municipal Managers Credit Opportunities HL (Cayman) GP LLC (CYM)

MacKay Municipal Credit Opportunities HL (Cayman) Fund, LP (CYM)

MacKay Municipal Short Term Opportunities Fund GP LLC (DE)

MacKay Municipal Short Term Opportunities Fund LP (DE)

Plainview Funds plc (IRL)

Plainview Funds plc - MacKay Shields Unconstrained Bond Portfolio (IRL)

MacKay Shields Statutory Trust – High Yield Bond Series (CT)

Plainview Funds plc - MacKay Shields High Yield Crossover Portfolio (IRL)

MacKay Shields High Yield Active Core Fund GP LLC (DE)

MacKay Shields High Yield Active Core Fund LP (DE)

MacKay Shields Credit Strategy Fund Ltd (CYM)

MacKay Shields Credit Strategy Partners LP (DE)

MacKay Shields Defensive Bond Arbitrage Fund Ltd. (BMU)

MacKay Shields Core Fixed Income Fund GP LLC (DE)

MacKay Shields Core Fixed Income Fund LP (DE)

MacKay Shields Select Credit Opportunities Fund GP LLC (DE)

MacKay Shields Select Credit Opportunities Fund LP (DE)

MacKay Shields High Yield Crossover Fund LP (DE)

MacKay Shields (International) Ltd. (GBR)

MacKay Shields (Services) Ltd. (GBR)

MacKay Shields UK LLP (GBR)

MacKay Municipal Managers Puerto Rico Opportunities GP LLC (DE)

MacKay Puerto Rico Opportunities Funds, L.P. (DE)

MacKay Puerto Rico Opportunities Feeder Fund, L.P. (CYM)

MacKay Municipal Managers California Opportunities GP LLC (DE)

MacKay Municipal Managers California Opportunities Fund, L.P. (DE)

MacKay Municipal New York Opportunities GP LLC (DE)

MacKay Municipal New York Opportunities Fund, L.P. (DE)

MacKay Municipal Opportunity HL Fund, L.P. (DE)

MacKay Municipal Capital Trading GP LLC (DE)

MacKay Municipal Capital Trading Master Fund, L.P. (DE)

MacKay Municipal Capital Trading Fund, L.P. (DE)

MacKay Municipal Managers Strategic Opportunities GP LLC (DE)

MacKay Municipal Managers Strategic Opportunities Fund, L.P. (DE)

MacKay Shields US Equity Market Neutral Fund GP LLC (DE)

MacKay Cornerstone US Equity Market Neutral Fund LP (DE)

MacKay Shields Intermediate Bond Fund GP LLC (DE)

MacKay Shields Intermediate Bond Fund LP (DE)

MacKay Shields General Partner (L/S) LLC (DE)

MacKay Shields Long/Short Fund LP (DE)

MacKay Shields Long/Short Fund (Master) LP (DE)

MacKay Municipal Managers Opportunities Allocation GP LLC (DE)

MacKay Municipal Opportunities Allocation Master Fund LP (DE)

MacKay Municipal Opportunities Allocation Fund A LP (DE)

MacKay Municipal Opportunities Allocation Fund B LP (DE)

MacKay Municipal Managers U.S. Infrastructure - Opportunities GP LLC (DE)

MacKay Municipal U.S. Infrastructure Opportunities Fund LP (DE)

MacKay Municipal Managers High Yield Select GP LLC (DE)

MacKay Municipal High Yield Select Fund LP (DE)

MacKay Flexible Income Fund GP LLC (DE)

MacKay Flexible Income Fund LP (DE)

MacKay Municipal Managers High Income Opportunities GP LLC (DE)

MacKay Municipal High Income Opportunities Master Fund LP (DE)

MacKay Municipal High Income Opportunities Fund A LP (DE)

MacKay Municipal High Income Opportunities Fund B LP (DE)

Cascade CLO Manager, LLC (DE)

MKS CLO Holdings GP LLC (DE)

MKS CLO Holdings, LP (CYM)

MKS CLO Advisors, LLC (DE)

MacKay Shields Europe Investment Management Limited (IRL)

MacKay Shields European Credit Opportunity Fund Limited (NJ)

MKS TALF Opportunities Fund GP, LLC (DE)

MacKay Shields TALF 2.0 Opportunities Feeder Fund (Cayman) LP (CYM)

MacKay Shields TALF 2.0 Opportunities Feeder Fund (Cayman GBP-Hedged) LP (CYM)

MacKay Shields TALF 2.0 Opportunities Feeder Fund (US) LP (DE)

MacKay Shields TALF 2.0 Opportunities Master Fund LP (DE)

Cornerstone Capital Management Holdings LLC (DE)

Madison Square Investors Asian Equity Market Neutral Fund GP, LLC (DE)

Cornerstone US Equity Market Neutral Fund, LLC (DE)

Cornerstone Capital Management Large-Cap Enhanced Index Fund GP, LLC (DE)

Cornerstone Capital Management Large-Cap Enhanced Index Fund, L.P. (DE)

New York Life Investments Alternatives LLC (DE)

Madison Capital Funding LLC (DE)

MCF Co-Investment GP LLC (DE)

MCF Co-Investment GP LP (DE)

Madison Capital Funding Co-Investment Fund LP (DE)

Madison Avenue Loan Fund GP LLC (DE)

Madison Avenue Loan Fund LP (DE)

MCF Fund I LLC (DE)

MCF Hanwha Fund LLC (DE)

Ironshore Investment BL I Ltd. (BMU)

MCF CLO IV LLC (DE)

MCF CLO V LLC (DE)

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

PART 1 - ORGANIZATIONAL CHART

New York Life Investment Management Holdings LLC (continued)

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|---|---|
| <p>MCF CLO VI LLC (DE) MCF CLO VII LLC (DE) MCF CLO VIII Ltd. (DE) MCF CLO VIII LLC (DE) MCF CLO IX Ltd. (CYM) MCF CLO IX LLC (DE) MCF KB Fund LLC (DE) MCF KB Fund II LLC (DE) MCF Hyundai Fund LLC (DE) Montpelier Carry Parent, LLC (DE) Montpelier Carry, LLC (DE) Montpelier GP, LLC (DE) Montpelier Fund, L.P. (DE) MCF Mezzanine Carry I LLC (DE) MCF Mezzanine Fund I LLC (DE) MCF PD Fund GP LLC (DE) MCF PD Fund LP (DE) MCF Senior Debt Funds 2019-I GP LLC (DE) MCF Senior Debt Fund 2019-I LP (DE) Warwick Seller Representative, LLC (DE) Young America Holdings, LLC (DE) YAC.ECOM Incorporated (MN) Young America, LLC (MN) Global Fulfillment Services, Inc. (AZ) SourceOne Worldwide, Inc. (MN) YA Canada Corporation (CAN) Zenith Products Holdings, Inc. (DE) ZPC Holding Corp. (DE) Zenith Products Corporation (DE) GoldPoint Partners LLC (DE) New York Life Capital Partners, L.L.C. (DE) New York Life Capital Partners, L.P. (DE) New York Life Capital Partners II, L.L.C. (DE) New York Life Capital Partners II, LP (DE) New York Life Capital Partners III GenPar GP, LLC (DE) New York Life Capital Partners III GenPar, L.P. (DE) New York Life Capital Partners III, L.P. (DE) New York Life Capital Partners III-A, L.P. (DE) New York Life Capital Partners IV GenPar GP, LLC (DE) New York Life Capital Partners IV GenPar, L.P. (DE) New York Life Capital Partners IV, L.P. (DE) New York Life Capital Partners IV-A, L.P. (DE) GoldPoint Core Opportunities Fund, L.P. (DE) GoldPoint Mezzanine Partners IV GenPar GP, LLC (DE) GoldPoint Mezzanine Partners IV GenPar, LP (DE) GoldPoint Mezzanine Partners Co-Investment Fund A, LP (DE) GoldPoint Mezzanine Partners IV, LP (DE) GPP Mezzanine Blocker Holdco A, LP (DE)</p> | <p>GPP Mezzanine Blocker Holdco Preferred A, LP (DE) GPP Mezzanine Blocker Holdco B, LP (DE) GPP Mezzanine Blocker Holdco C, LP (DE) GPP Mezzanine Blocker Holdco D, LP (DE) GPP Mezzanine Blocker Holdco E, LP (DE) GPP Mezz IV ECI Aggregator, LP (DE) GPP Mezzanine Blocker Holdco F, LP (DE) GPP Mezzanine Blocker Holdco G, LP (DE) GPP Mezzanine Blocker Holdco H, LP (DE) GPP Mezzanine Blocker Holdco I, LP (DE) GoldPoint Mezzanine Partners Offshore IV, L.P. (CYM) GoldPoint Partners Co-Investment V GenPar GP LLC (DE) GoldPoint Partners Co-Investment V GenPar, L.P. (DE) GoldPoint Partners Co-Investment Fund A, LP (DE) GoldPoint Partners Co-Investment V, LP (DE) GoldPoint Partners Co-Investment V ECI Blocker Holdco B, LP (DE) GoldPoint Partners Co-Investment V ECI Blocker Holdco D, LP (DE) GoldPoint Partners Co-Investment V ECI Blocker D, LP (DE) GoldPoint Partners Co-Investment V ECI Blocker E, LP (DE) GoldPoint Partners Co-Investment V ECI Blocker Holdco F, LP (DE) GoldPoint Partners Co-Investment V ECI Blocker Holdco G, LP (DE) GoldPoint Partners Private Debt V GenPar GP, LLC (DE) GoldPoint Partners Private Debt Offshore V, LP (CYM) GoldPoint Partners Private Debt V GenPar GP, LP (DE) GoldPoint Partners Private Debt V, LP (DE) GPP Private Debt Blocker Holdco A, LLC (DE) GPP Private Debt V-ECI Aggregator LP (DE) GoldPoint Partners FA I, LLC (DE) GoldPoint Partners Select Manager III GenPar GP, LLC (DE) GoldPoint Partners Select Manager III GenPar, L.P. (CYM) GoldPoint Partners Select Manager Fund III, L.P. (CYM) GoldPoint Partners Select Manager Fund III AIV, L.P. (DE) GoldPoint Partners Select Manager IV GenPar GP, LLC (DE) GoldPoint Partners Select Manager IV GenPar, L.P. (DE) GoldPoint Partners Select Manager Fund IV, L.P. (DE) GoldPoint Partners Select Manager V GenPar GP, LLC (DE) GoldPoint Partners Select Manager V GenPar, L.P. (DE) GoldPoint Partners Select Manager Fund V, L.P. (DE) GoldPoint Partners Canada III GenPar Inc (CAN) GoldPoint Partners Select Manager Canada Fund III, L.P. (CAN) GoldPoint Partners Canada IV GenPar Inc. (CAN) GoldPoint Partners Select Manager Canada Fund IV, L.P. (CAN) GoldPoint Partners Co-Investment VI GenPar GP LLC (DE) GoldPoint Partners Co-Investment VI GenPar, LP (DE) GoldPoint Partners Co-Investment VI, LP (DE) GPP VI – ECI Aggregator LP (DE) GPP VI Blocker A LLC (DE) GPP VI Blocker B LLC (DE)</p> |
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SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

PART 1 - ORGANIZATIONAL CHART

New York Life Investment Management Holdings LLC (continued)

GPP VI Blocker C LLC (DE)
 GPP VI Blocker D LLC (DE)
 GPP VI Blocker E LLC (DE)
 GoldPoint Private Credit GenPar GP, LLC (DE)
 GoldPoint Private Credit Fund, LP (DE)
 NYLCAP 2010 Co-Invest GenPar GP, LLC (DE)
 NYLCAP 2010 Co-Invest GenPar L.P. (DE)
 NYLCAP 2010 Co-Invest L.P. (DE)
 NYLCAP 2010 Co-Invest ECI Blocker Holdco B L.P. (DE)
 NYLCAP 2010 Co-Invest ECI Blocker B L.P. (DE)
 GoldPoint Partners Canada GenPar, Inc. (CAN)
 NYLCAP Select Manager Canada Fund, LP (CAN)
 NYLCAP Canada II GenPar, Inc. (CAN)
 NYLCAP Select Manager Canada Fund II, L.P. (CAN)
 NYLIM Mezzanine Partners II GenPar GP, LLC (DE)
 NYLIM Mezzanine Offshore Partners II, LP (CYM)
 NYLIM Mezzanine Partners II GenPar, LP (DE)
 New York Life Investment Management Mezzanine Partners II, LP (DE)
 NYLIM Mezzanine Partners II Parallel Fund, LP (DE)
 NYLIM Mezzanine II Parallel Luxco S.á.r.l. (LUX)
 NYLCAP Mezzanine Partners III GenPar GP, LLC (DE)
 NYLCAP Mezzanine Partners III GenPar, LP (DE)
 NYLCAP Mezzanine Partners III-K, LP (DE)
 NYLCAP Mezzanine Partners III, LP (DE)
 NYLCAP Mezzanine Partners III Parallel Fund, LP (DE)
 NYLCAP Mezzanine Partners III 2012 Co-Invest, LP (DE)
 NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker Holdco B, LP (DE)
 NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker B, LP (DE)
 NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker Holdco D, LP (DE)
 NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker D, LP (DE)
 NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker Holdco F, LP (DE)
 NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker F, LP (DE)
 NYLCAP Mezzanine Offshore Partners III, L.P. (CYM)
 NYLCAP Select Manager GenPar GP, LLC (DE)
 NYLCAP Select Manager GenPar, LP (DE)
 NYLCAP Select Manager Fund, LP (DE)
 NYLCAP Select Manager Cayman Fund, LP (CYM)
 NYLCAP Select Manager II GenPar GP, LLC (DE)
 NYLCAP Select Manager II GenPar GP, L.P. (CYM)
 NYLCAP Select Manager Fund II, L.P. (CYM)
 NYLCAP India Funding LLC (DE)
 NYLIM-JB Asset Management Co., LLC (MUS)
 New York Life Investment Management India Fund II, LLC (MUS)
 New York Life Investment Management India Fund (FVCI) II, LLC (MUS)
 NYLCAP India Funding III LLC (DE)
 NYLIM-Jacob Ballas Asset Management Co. III, LLC (MUS)
 NYLIM Jacob Ballas India Fund III, LLC (MUS)
 NYLIM Jacob Ballas Capital India (FVCI) III, LLC (MUS)

NYLIM Jacob Ballas India (FII) III, LLC (MUS)
 Evolvence Asset Management, Ltd. (CYM)
 EIF Managers Limited (MUS)
 EIF Managers II Limited (MUS)
 PA Capital LLC (DE)
 BMG PAMP GP, LLC (DE)
 BMG PA Private Markets (Delaware) LP (DE)
 BMG Private Markets (Cayman) LP (CYM)
 PACD MM, LLC (DE)
 PA Capital Direct, LLC (DE)
 PA Credit Program Carry Parent, LLC (DE)
 PA Credit Program Carry, LLC (DE)
 PACIF Carry Parent, LLC (DE)
 PACIF Carry, LLC (DE)
 PACIF GP, LLC (DE)
 Private Advisors Coinvestment Fund, LP (DE)
 PACIF II GP, LLC (DE)
 Private Advisors Coinvestment Fund II, LP (DE)
 PACIF II Carry Parent, LLC (DE)
 PACIF II Carry, LLC (DE)
 PACIF III GP, LLC (DE)
 Private Advisors Coinvestment Fund III, LP (DE)
 PACIF III Carry Parent, LLC (DE)
 PACIF III Carry, LLC (DE)
 PACIF IV GP, LLC (DE)
 Private Advisors Coinvestment Fund IV, LP (DE)
 PACIF IV Carry Parent, LLC (DE)
 PACIF IV Carry, LLC (DE)
 PAMMF GP, LLC (DE)
 PA Middle Market Fund, LP (DE)
 PA Hedged Equity Fund, L.P. (DE)
 Private Advisors Hedged Equity Fund (QP), L.P. (DE)
 Private Advisors Hedged Equity Master Fund (DE)
 PASOF GP, LLC (DE)
 PA Strategic Opportunities Fund, LP (DE)
 PASCBF III GP, LLC (DE)
 Private Advisors Small Company Buyout Fund III, LP (DE)
 PASCBF IV GP, LLC (DE)
 Private Advisors Small Company Buyout Fund IV, LP (DE)
 PASCBF IV Carry Parent, LLC (DE)
 PASCBF IV Carry, LLC (DE)
 PASCBF V GP, LLC (DE)
 Private Advisors Small Company Buyout Fund V, LP (DE)
 Private Advisors Small Company Buyout V-ERISA Fund, LP (DE)
 PASCBF V Carry Parent, LLC (DE)
 PASCBF V Carry, LLC (DE)
 PASCPEF VI Carry Parent, LLC (DE)
 PASCPEF VI Carry, LLC (DE)

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

PART 1 - ORGANIZATIONAL CHART

New York Life Investment Management Holdings LLC (continued)

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| PASCPEF VI GP, LLC (DE) | Private Advisors Real Assets Fund II, LP (DE) |
| Private Advisors Small Company Private Equity Fund VI, LP (DE) | Private Advisors Hedged Equity Fund, Ltd. (CYM) |
| Private Advisors Small Company Private Equity Fund VI (Cayman), LP (CYM) | Private Advisors Hedged Equity Fund (QP), Ltd. (CYM) |
| PASCPEF VII GP, LLC (DE) | Private Advisors Hedged Equity Master Fund, Ltd. (CYM) |
| Private Advisors Small Company Private Equity Fund VII, LP (DE) | UVF GP, LLC (DE) |
| Private Advisors Small Company Private Equity Fund VII (Cayman), LP (CYM) | Undiscovered Value Fund, LP (DE) |
| PASCPEF VII Carry Parent, LLC (DE) | Undiscovered Value Fund, Ltd. (CYM) |
| PASCPEF VII Carry, LLC (DE) | Undiscovered Value Master Fund SPC (CYM) |
| PASCPEF VIII GP, LLC (DE) | Washington Pike GP, LLC (DE) |
| Private Advisors Small Company Private Equity Fund VIII, LP (DE) | Washington Pike LP (DE) |
| Private Advisors Small Company Private Equity Fund VIII (Cayman), LP (DE) | RidgeLake Partners GP, LLC (DE) |
| PASCPEF IX GP, LLC (DE) | RidgeLake Partners, LP (DE) |
| PA Small Company Private Equity Fund IX, LP (DE) | NYLCAP Holdings (Mauritius) (MUS) |
| PA Small Company Private Equity Fund IX, (Cayman) LP (CYM) | Jacob Ballas Capital India PVT, Ltd. (MUS) |
| Cuyahoga Capital Partners IV Management Group LLC (DE) | Industrial Assets Holdings Limited (MUS) |
| Cuyahoga Capital Partners IV LP (DE) | JB Ceresra Investment Management LLP (MUS) |
| Cuyahoga Capital Emerging Buyout Partners Management Group LLC (DE) | NYLIM Service Company LLC (DE) |
| Cuyahoga Capital Emerging Buyout Partners LP (DE) | NYL Workforce GP LLC (DE) |
| PA Real Assets Carry Parent, LLC (DE) | New York Life Investment Management LLC (DE) |
| PA Real Assets Carry, LLC (DE) | NYLIM Fund II GP, LLC (DE) |
| PA Real Assets Carry Parent II, LLC (DE) | NYLIM-TND, LLC (DE) |
| PA Real Assets Carry II, LLC (DE) | New York Life Investment Management Hong Kong Limited (CHN) |
| PA Emerging Manager Carry Parent, LLC (DE) | WFHG, GP LLC (DE) |
| PA Emerging Manager Carry, LLC (DE) | Workforce Housing Fund I-2007, LP (DE) |
| PA Emerging Manager Carry Parent II, LLC (DE) | Index IQ Holdings Inc. (DE) |
| PA Emerging Manager Carry II, LLC (DE) | IndexIQ LLC (DE) |
| RIC I GP, LLC (DE) | IndexIQ Advisors LLC (DE) |
| Richmond Coinvestment Partners I, LP (DE) | IndexIQ Active ETF Trust (DE) |
| RIC I Carry Parent, LLC (DE) | IQ MacKay Shields Municipal Insured ETF (DE) |
| RIC I Carry, LLC (DE) | IQ MacKay Shields Municipal Intermediate ETF (DE) |
| PASF V GP, LLC (DE) | IQ Ultra Short Duration ETF (DE) |
| Private Advisors Secondary Fund V, LP (DE) | IndexIQ ETF Trust (DE) |
| PASF V Carry Parent, LLC (DE) | IQ 50 Percent Hedged FTSE International ETF (DE) |
| PASF V Carry, LLC (DE) | IQ 50 Percent Hedged FTSE Japan ETF (DE) |
| PASF VI GP, LLC (DE) | IQ 500 International ETF (DE) |
| PA Secondary Fund VI, LP (DE) | IQ Chaikin US Large Cap ETF (DE) |
| PARAF GP, LLC (DE) | IQ Chaikin US Small Cap ETF (DE) |
| Private Advisors Real Assets Fund, LP (DE) | IQ Enhanced Core Plus Bond US ETF (DE) |
| PARAF Carry Parent, LLC (DE) | IQ Global Resources ETF (DE) |
| PARAF Carry, LLC (DE) | IQ Hedge Event-Driven Tracker ETF (DE) |
| PASCCIF GP, LLC (DE) | IQ Hedge Long/Short Tracker ETF (DE) |
| Private Advisors Small Company Coinvestment Fund, LP (DE) | IQ Leaders GTAA Tracker ETF (DE) |
| Private Advisors Small Company Coinvestment Fund-ERISA, LP (DE) | IQ S&P High Yield Low Volatility Bd ETF (DE) |
| PASCCIF II GP, LLC (DE) | IQ Short Duration Enhanced Cor Bd US ETF (DE) |
| Private Advisors Small Company Coinvested Fund II, LP (DE) | IQ Candriam ESG International Equity ETF (DE) |
| PASCCIF Carry Parent, LLC (DE) | IQ Candriam ESG US Equity ETF (DE) |
| PASCCIF Carry, LLC (DE) | New York Life Investment Management Holdings International (LUX) |
| PARAF II GP LLC (DE) | New York Life Investment Management Holdings II International (LUX) |

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

PART 1 - ORGANIZATIONAL CHART

New York Life Investment Management Holdings LLC (continued)

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| <ul style="list-style-type: none"> Candriam Group (LUX) <ul style="list-style-type: none"> CGH UK Acquisition Company Limited (GBR) <ul style="list-style-type: none"> Tristan Capital Partners Holdings Limited (GBR) <ul style="list-style-type: none"> Tristan Capital Holdings Limited (GBR) Tristan Capital Partners LLP (GBR) EPISO 4 Co-Investment LLP (GBR) <ul style="list-style-type: none"> EPISO 4 (GP) LLP (GBR) EPISO 4 Incentive Partners LLP (GBR) Tristan Capital Limited (GBR) <ul style="list-style-type: none"> Tristan Capital Partners LLP (GBR) <ul style="list-style-type: none"> CCP III Co-Investment (GP) Limited (GBR) <ul style="list-style-type: none"> CCP III Co-Investment LP (GBR) CCP IV Co-Investment LP (GBR) CCP III (GP) LLP (GBR) CCP III Incentive Partners (GP) Limited (GBR) <ul style="list-style-type: none"> CCP III Incentive Partners LP (GBR) CCP IV Incentive Partners LP (GBR) Curzon Capital Partners III (GP) Limited (GBR) <ul style="list-style-type: none"> CCP III (GP) LLP (GBR) EPISO 3 Co-Investment (GP) Limited (GBR) <ul style="list-style-type: none"> EPISO 3 Co-Investment LP (GBR) EPISO 3 Incentive Partners (GP) Limited (GBR) <ul style="list-style-type: none"> EPISO 3 Incentive Partners LP (GBR) EPISO 3 IOM Limited (IMN) CCP IV (GP) LLP (GBR) Curzon Capital Partners IV (GP) Limited (GBR) <ul style="list-style-type: none"> CCP 5 GP LLP (GBR) CCP 5 Pool Partnership GP Limited (NJ) <ul style="list-style-type: none"> CCP 5 Pool Partnership SLP (NJ) Tristan Capital Partners Asset Management Limited (GBR) <ul style="list-style-type: none"> TCP Poland Spolka z ograniczoną odpowiedzialnością (POL) <ul style="list-style-type: none"> TCP Co-Investment (GP) S.à.r.l. (LUX) <ul style="list-style-type: none"> TCP Co-Investment SCSP (LUX) TCP Incentive Partners SCSP (LUX) TCP Incentive Partners (GP) S.à.r.l. (LUX) <ul style="list-style-type: none"> German Property Performance Partners Investors Feeder Verwaltungs GmbH (DEU) EPISO 4 (GP) S.à.r.l. (LUX) EPISO 4 (GP) II S.à.r.l. (LUX) | <ul style="list-style-type: none"> Cordius (LUX) Cordius CIG (LUX) <ul style="list-style-type: none"> IndexIQ (LUX) <ul style="list-style-type: none"> IndexIQ Factors Sustainable Corporate Euro Bond (LUX) IndexIQ Factors Sustainable Sovereign Euro Bond (LUX) IndexIQ Factors Sustainable Europe Equity (LUX) IndexIQ Factors Sustainable EMU Equity (LUX) IndexIQ Factors Sustainable Japan Equity (LUX) Candriam Absolute Return (LUX) <ul style="list-style-type: none"> Candriam Absolute Return Equity Market Neutral (LUX) Candriam Absolute Return Long Short Digital Equity (LUX) Candriam Alternative (LUX) <ul style="list-style-type: none"> Candriam Alternative Systemat (LUX) Candriam Bonds (LUX) <ul style="list-style-type: none"> Candriam Bonds Capital Securities (LUX) Candriam Bonds Convertible Defensive (LUX) Candriam Bonds Convertible Opportunities (LUX) Candriam Bonds Credit Opportunities (LUX) Candriam Bonds Emerging Debt Local Currencies (LUX) Candriam Bonds Emerging Markets (LUX) Candriam Bonds Emerging Markets Total Return (LUX) Candriam Bonds Euro Corporate (LUX) Candriam Bonds Euro Government (LUX) Candriam Bonds Euro High Yield (LUX) Candriam Bonds Euro Short Term (LUX) Candriam Bonds Euro Long Term (LUX) Candriam Bonds Global High Yield (LUX) Candriam Bonds Global Sovereign Quality (LUX) Candriam Bonds International (LUX) Candriam Bonds Total Return (LUX) Candriam Diversified Futures (BEL) Candriam Fund (LUX) <ul style="list-style-type: none"> Candriam Fund Sustainable Euro Corporate Bonds Fossil Free (LUX) Candriam Fund Sustainable European Equities Fossil Free (LUX) Candriam GF (LUX) <ul style="list-style-type: none"> Candriam GF AUSBIL Global Essential Infrastructure (LUX) Candriam GF Short Duration US High Yield Bonds (LUX) Candriam GF U.S. Equity Opportunities (LUX) Candriam GF US High Yield Corporate Bonds (LUX) Candriam GF US Corporate Bonds (LUX) Candriam Global Alpha (LUX) Candriam Index Arbitrage (LUX) Candriam L (LUX) <ul style="list-style-type: none"> Candriam L Balanced Asset Allocation (LUX) Candriam L Conservative Asset Allocation (LUX) Candriam L Defensive Asset Allocation (LUX) Candriam L Dynamic Asset Allocation (LUX) Candriam L Multi-Asset Income (LUX) |
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SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

PART 1 - ORGANIZATIONAL CHART

New York Life Investment Management Holdings LLC (continued)

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| <ul style="list-style-type: none"> Candriam L Multi-Asset Income & Growth (LUX) Candriam L Multi-Asset Premia (LUX) Candriam Long Short Credit (LUX) Candriam Money Market (LUX) <ul style="list-style-type: none"> Candriam Money Market Euro AAA (LUX) Candriam Multi-Strategies (LUX) Candriam Quant (LUX) <ul style="list-style-type: none"> Candriam Quant Equities USA (LUX) Candriam Risk Arbitrage (FRA) Candriam SRI (LUX) <ul style="list-style-type: none"> Candriam SRI Bond Euro Aggregate Index (LUX) Candriam SRI Bond Emerging Markets (LUX) Candriam SRI Bond Euro (LUX) Candriam SRI Bond Euro Corporate (LUX) Candriam SRI Bond Global High Yield (LUX) Candriam SRI Defensive Asset Allocation (LUX) Candriam SRI Equity Climate Action (LUX) Candriam SRI Equity Emerging Markets (LUX) Candriam SRI Equity EMU (LUX) Candriam SRI Equity Europe (LUX) Candriam SRI Equity North America (LUX) Candriam SRI Equity Pacific (LUX) Candriam SRI Equity World (LUX) Candriam SRI Money Market Euro (LUX) Candriam Sustainable (LUX) <ul style="list-style-type: none"> Candriam Sustainable Euro Corporate Bonds (LUX) Candriam Sustainable Euro Bonds (LUX) Candriam Sustainable Euro Short Term Bonds (LUX) Candriam Sustainable Europe (LUX) Candriam Sustainable North America (LUX) Candriam Sustainable High (LUX) Candriam Sustainable World Bonds (LUX) Candriam World Alternative (LUX) <ul style="list-style-type: none"> Candriam World Alternative Alphamax (LUX) Candriam Patrimoine Obli-Inter (FRA) Paricor (LUX) <ul style="list-style-type: none"> Paricor Patrimonium (LUX) | <ul style="list-style-type: none"> Ausbil Australian Emerging Leaders Fund (AUS) Ausbil Australian Geared Equity Fund (AUS) Ausbil Australian Smallcap Fund (AUS) Ausbil Balanced Fund (AUS) Ausbil EGS Focus Fund (AUS) Ausbil IT – Ausbil Global Essential Infrastructure Fund (AUS) Ausbil IT - Ausbil Global Resources Fund (AUS) Ausbil IT - Ausbil Global SmallCap Fund (AUS) Ausbil IT - Ausbil Microcap Fund (AUS) Ausbil IT - MacKay Shields Unconstrained Bond Fund (AUS) |
| | <ul style="list-style-type: none"> NYLIFE Distributors LLC (DE) |
| <ul style="list-style-type: none"> Ausbil Investment Management Limited (AUS) <ul style="list-style-type: none"> Ausbil Australia Pty. Ltd. (AUS) Ausbil Asset Management Pty. Ltd. (AUS) Ausbil Global Infrastructure Pty. Limited (AUS) ISPT Holding (AUS) Ausbil Investment Management Limited Employee Share Trust (AUS) <ul style="list-style-type: none"> Ausbil 130/30 Focus Fund (AUS) Ausbil IT - Ausbil Dividend Income Fund (AUS) Ausbil IT - Ausbil Active Sustainable Equity Fund (AUS) Ausbil Australian Active Equity Fund (AUS) Ausbil Australian Concentrated Equity Fund (AUS) | |

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

PART 1 - ORGANIZATIONAL CHART

NYlife Real Estate Holdings LLC

Huntsville NYL LLC (DE)
 CC Acquisitions, LP (DE)
 REEP-IND Cedar Farms TN LLC (DE)
 Cedar Farms JV LLC (DE)
 REEP-IND Continental NC LLC (DE)
 LRC-Patriot, LLC (DE)
 REEP-LRC Industrial LLC (DE)
 REEP-IND Forest Park NJ LLC (DE)
 FP Building 4 LLC (DE)
 FP Building 1-2-3 LLC (DE)
 FP Building 17, LLC (DE)
 FP Building 20, LLC (DE)
 FP Mantua Grove LLC (DE)
 FP Lot 1.01 LLC (DE)
 REEP-IND NJ LLC (DE)
 NJIND JV LLC (DE)
 NJIND Hook Road LLC (DE)
 NJIND Bay Avenue LLC (DE)
 NJIND Corbin Street LLC (DE)
 REEP-MF Cumberland TN LLC (DE)
 Cumberland Apartments, LLC (TN)
 REEP-MF Enclave TX LLC (DE)
 Enclave CAF LLC (DE)
 REEP-MF Marina Landing WA LLC (DE)
 REEP-SP Marina Landing LLC (DE)
 REEP-MF Mira Loma II TX LLC (DE)
 Mira Loma II, LLC (DE)
 REEP-MF Summitt Ridge CO LLC (DE)
 Summitt Ridge Apartments, LLC (DE)
 REEP-MF Woodridge IL LLC (DE)
 REEP-OF Centerpointe VA LLC (DE)
 Centerpointe (Fairfax) Holdings LLC (DE)
 REEP-OFC 575 Lex NY LLC (DE)
 REEP-OFC 575 Lex NY GP LLC (DE)
 Maple REEP-OFC 575 Lex Holdings LP (DE)
 Maple REEP-OFC 575 Lex Owner LLC (DE)
 REEP-RTL SASI GA LLC (DE)
 REEP-RTL Bradford PA LLC (DE)
 REEP-OFC Royal Centre GA LLC (DE)
 Royal Centre, LLC (DE)
 REEP-RTL CTC NY LLC (DE)
 REEP-OFC 5005 LBJ Freeway TX LLC (DE)
 5005 LBJ Tower LLC (DE)
 REEP-MF SPENCER NV LLC (DE)
 REEP-HZ SPENCER JV LLC (DE)
 REEP-HZ SPENCER LLC (DE)
 REEP-OFC/RTL MARKET ROSS TX LLC (DE)
 MARKET ROSS TX JV LLC (DE)

MARKET ROSS TX GARAGE OWNER LC (DE)
 MARKET ROSS TX OFFICE OWNER LLC (DE)
 MARKET ROSS TX RETAIL OWNER LLC (DE)
 REEP-OFC Mallory TN LLC (DE)
 3665 Mallory JV LLC (DE)
 REEP-OFC WATER RIDGE NC LLC (DE)
 REEP-OFC VIRIDIAN AZ LLC (DE)
 REEP-HINES VIRIDIAN JV LLC (DE)
 REEP-OFC 2300 Empire LLC (DE)
 REEP-MF Wynnewood PA LLC (DE)
 Wynnewood JV LLC (DE)
 REEP-MU Fayetteville NC LLC (DE)
 501 Fayetteville JV LLC (DE)
 501 Fayetteville Owner LLC (DE)
 REEP-MU SOUTH GRAHAM NC LLC (DE)
 401 SOUTH GRAHAM JV LLC (DE)
 401 SOUTH GRAHAM OWNER LLC (DE)
 REEP-IND COMMERCE CITY CO LLC (DE)
 REEP-BRENNAN COMMERCE CITY JV LLC (DE)
 REEP-MF ART TOWER OR LLC (DE)
 REEP-WP ART TOWER JV LLC (DE)
 REEP-OFC Mass Ave MA LLC (DE)

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

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

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|---------------------|-------------------|------------|--------------|------------|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| .0826 | New York Life Group | 66915 | 13-5582869 | 1583827 | 0000071633 | | New York Life Insurance Company | NY | UDP | | | | | | |
| .0826 | New York Life Group | 91596 | 13-3044743 | 3683691 | 0000727136 | | New York Life Insurance and Annuity Corporation | DE | IA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| .0826 | New York Life Group | 81353 | 52-1530175 | | | | NYLIFE Insurance Company of Arizona | AZ | | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-4199614 | | | | New York Life Enterprises LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-4081725 | 2928649 | 0001270096 | | NYLIFE LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-4293486 | | 0001606720 | | NYL Investors LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 52-2206682 | | 0001513831 | | New York Life Investment Management Holdings LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 27-0166422 | | | | NYLife Real Estate Holdings, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-2379075 | | | | NYL Real Assets LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-2530753 | | | | NYL Emerging Manager LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYL Wind Investments LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIC HKP Member LLC | DE | NIA | New York Life Insurance Company | Ownership | 67.974 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Insurance and Annuity Corporation | DE | NIA | New York Life Insurance Company | Ownership | 32.026 | New York Life Insurance Company | N | |
| | | | | | | | NYLIM Jacob Ballas India Holdings IV | MUS | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIM Flatiron CLO 2004-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 27-4658141 | | | | NYLIM Flatiron CLO 2004-1 Equity Holdings LLC, Series A | DE | OTH | NYLIM Flatiron CLO 2004-1 Ltd. | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | | | | | NYLIM Flatiron CLO 2006-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | | | | | NYLIM Flatiron CLO 2006-1 Equity Holdings LLC, Series A | DE | OTH | NYLIM Flatiron CLO 2006-1 Ltd. | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | | | | | Flatiron CLO 2007-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | | | | | NYLIM Flatiron CLO 2007-1 Equity Holdings LLC, Series A | CYM | OTH | Flatiron CLO 2007-1 Ltd. | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 98-1011066 | | | | Flatiron CLO 2011-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 99-0372384 | | | | Flatiron CLO 2012-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 98-1075997 | | | | Flatiron CLO 2013-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 98-1089000 | | | | Flatiron CLO 2014-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 98-1180305 | | | | Flatiron CLO 2015-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 98-1330289 | | | | Flatiron CLO 17 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | | | | | Flatiron CLO 18 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | | | | | Flatiron CLO 18 Funding Ltd. | CYM | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Stratford CDO 2001-1 Ltd. | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 9 |
| | | | | 4007034 | | | Silverado CLO 2006-II Limited | CYM | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | | | | | Silverado CLO 2006-II Equity Holdings LLC, Series A | CYM | OTH | Silverado CLO 2006-II Limited | Influence | 0.000 | New York Life Insurance Company | N | 5 |
| | | | 27-4659041 | | | | Silver Spring, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Silver Spring Associates, L.P. | PA | NIA | Silver Spring, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-002 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-003 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-006 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-007 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-008 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-009 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-017 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-018 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-021 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-025 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-031 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-036 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-041 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-043 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

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

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
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| | | | | | | | SCP 2005-C21-044 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-048 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-061 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-063 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-067 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-069 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SCP 2005-C21-070 LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Ennis GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Ennis, L.P. | TX | NIA | NYMH-Ennis GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Freepport GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Freepport, L.P. | TX | NIA | NYMH-Freepport GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Houston GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Houston, L.P. | TX | NIA | NYMH-Houston GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Plano GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Plano, L.P. | TX | NIA | NYMH-Plano GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-San Antonio GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-San Antonio, L.P. | TX | NIA | NYMH-San Antonio GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Stephenville GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Stephenville, L.P. | TX | NIA | NYMH-Stephenville GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Taylor GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Taylor, L.P. | TX | NIA | NYMH-Taylor GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH Attleboro MA, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYMH-Farmingdale, NY, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLMDC-King of Prussia GP, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLMDC-King of Prussia Realty, LP | DE | NIA | NYLMDC King of Prussia GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-3304035 | | | | 2015 DIL PORTFOLIO HOLDINGS LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-3444658 | | | | PA 180 KOST RD LLC | DE | NIA | 2015 DIL PORTFOLIO HOLDINGS LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-2586171 | | | | 2017 CT REO HOLDINGS LLC | DE | NIA | New York Life Insurance Company | Ownership | 62.308 | New York Life Insurance Company | N | |
| | | | | | | | 2017 CT REO HOLDINGS LLC | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 37.692 | New York Life Insurance Company | N | |
| | | | 82-2586171 | | | | Cortlandt Town Center LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND 10 WEST AZ LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND 4700 Nail TX LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 37-1768259 | | | | REEP-IND Aegean MA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Alpha TX LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-2598877 | | | | REEP-IND MCP VIII NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND CHINO CA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND FREEDOM MA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 61-1738919 | | | | REEP-IND Fridley MN LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Green Oaks IL LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Kent LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 32-0442193 | | | | REEP-IND LYMAN MA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-4607723 | | | | REEP-IND MCP I NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-4626597 | | | | REEP-IND MCP III NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-4646530 | | | | REEP-IND MCP IV NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-4685915 | | | | REEP-IND MCP V NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-4592121 | | | | REEP-IND MCP VII NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND MCP III OWNER NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND RTG NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Simonton TX LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Valley View TX LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Valwood TX LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IF 960 East Paces Ferry GA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-1945938 | | | | REEP-IF 960 EPF Opco GA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

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

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
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| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domi-ciliary Location | Relation-ship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Re-quired? (Y/N) | * |
| | | | 84-4102691 | | | | REEP-MF Emblem DE LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Gateway TAF UT LLC | DE | NIA | New York Life Insurance Company | Ownership | 99.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Gateway TAF UT LLC | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 1.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Gateway TAB JV LLC | DE | NIA | REEP-MF Gateway TAF UT LLC | Ownership | 99.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Gateway TAB JV LLC | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 1.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Issaquah WA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Mount Vernon GA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Mount Laurel NJ LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF NORTH PARK CA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF AVERY TX LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-AVERY OWNER LLC | DE | NIA | REEP-MF AVERY TX LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Verde NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Wallingford WA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC Bellevue WA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC WATER RIDGE NC HOLDCO LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC ONE WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC TWO WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC FOUR WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC FIVE WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC SIX WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC SEVEN WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC EIGHT WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC NINE WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC TEN WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC ELEVEN WATER RIDGE NC LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-2351415 | | | | REEP-MF FOUNTAIN PLACE MN LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-2456809 | | | | REEP-MF FOUNTAIN PLACE LLC | DE | NIA | REEP-MF FOUNTAIN PLACE MN LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC 2300 EMPIRE CA LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND 10 WEST II AZ LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-RTL Flemington NJ LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-RTL Mill Creek NJ LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP TAB ONE LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP TAF ONE LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NJIND Raritan Center LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NJIND Talmadge Road LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NJIND Melrich Road LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Building 18, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Building 19, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PTC Acquisitions, LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Martingale Road LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Funding | CYM | OTH | New York Life Insurance Company | Other | 0.000 | New York Life Insurance Company | N | 6 |
| | | | | | | | New York Life Global Funding | DE | OTH | New York Life Insurance Company | Other | 0.000 | New York Life Insurance Company | N | 6 |
| | | | | | | | NYL Equipment Issuance Trust 2014-2 | DE | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 7 |
| | | | | | | | Government Energy Savings Trust 2003-A | NY | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 7 |
| | | | | | | | UFI-NOR Federal Receivables Trust, Series 2009B | NY | OTH | New York Life Insurance Company | Influence | 0.000 | New York Life Insurance Company | N | 7 |
| | | | | | | | JREP Fund Holdings I, L.P. | CYM | NIA | New York Life Insurance Company | Ownership | 12.500 | New York Life Insurance Company | N | |
| | | | | | | | Jaguar Real Estate Partners L.P. | CYM | NIA | New York Life Insurance Company | Ownership | 30.300 | New York Life Insurance Company | N | |
| | | | | | | | NYLIFE Office Holdings Member LLC | DE | NIA | New York Life Insurance Company | Ownership | 51.000 | New York Life Insurance Company | N | |
| | | | | | 0001711406 | | NYLIFE Office Holdings LLC | DE | NIA | NYLIFE Office Holdings Member LLC | Ownership | 51.000 | New York Life Insurance Company | N | |
| | | | | | 0001728620 | | NYLIFE Office Holdings REIT LLC | DE | NIA | NYLIFE Office Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC DRAKES LANDING LLC | DE | NIA | NYLIFE Office Holdings REIT LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | 47-2591038 | | 0001728621 | | REEP-OFC CORPORATE POINTE CA LLC | DE | NIA | NYLIFE Office Holdings REIT LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC VON KARMAN CA LLC | DE | NIA | NYLIFE Office Holdings REIT LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC ONE BOWDOIN SQUARE MA LLC | DE | NIA | NYLIFE Office Holdings REIT LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC 525 N Tryon NC LLC | DE | NIA | NYLIFE Office Holdings REIT LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | 525 Charlotte Office LLC | DE | NIA | REEP-OFC 525 N Tryon NC LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIFE Office Holdings Acquisition REIT LLC | DE | NIA | NYLIFE Office Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | | | | NYLIFE Office Holdings Acquisition REIT LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001742549 | | REEP-OFC Westory DC LLC | DE | NIA | | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF Investor LLC | DE | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF Feeder LP | DE | NIA | MSVEF Investor LLC | Ownership | 55.560 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF REIT LLC | DE | NIA | MSVEF Feeder LP | Ownership | 55.560 | New York Life Insurance Company | N | |
| | | | | | | | Madison Square Value Enhancement Fund LP | DE | NIA | MSVEF REIT LLC | Ownership | 51.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-MF Evanston GP LLC | DE | NIA | Madison Square Value Enhancement Fund LP | Ownership | 51.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-MF Evanston II LP | DE | NIA | MSVEF-MF Evanston GP LLC | Ownership | 51.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-MF HUNTINGTON PARK GP LLC | DE | NIA | Madison Square Value Enhancement Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-MF HUNTINGTON PARK WA LP | DE | NIA | MSVEF-MF HUNTINGTON PARK GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-OFC Tampa GP LLC | DE | NIA | Madison Square Value Enhancement Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-OFC WFC Tampa FL LP | DE | NIA | MSVEF-OFC Tampa GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-FG WFC Tampa JV LP | DE | NIA | MSVEF-OFC WFC Tampa FL LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-OFC WFC Tampa PO GP LLC | DE | NIA | MSVEF-FG WFC Tampa JV LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSVEF-FG WFC Property Owner LP | DE | NIA | MSVEF-OFC WFC Tampa PO GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SEAF Sichuan SME Investment Fund LLC | DE | NIA | New York Life Enterprises LLC | Ownership | 39.980 | New York Life Insurance Company | N | |
| | | | 98-0412951 | | | | New York Life International Holdings Limited | MUS | NIA | New York Life Enterprises LLC | Ownership | 84.380 | New York Life Insurance Company | N | |
| | | | | | | | New York Life International Holdings Limited | MUS | NIA | NYL Cayman Holdings Ltd. | Ownership | 15.620 | New York Life Insurance Company | N | |
| | | | 98-0412951 | | | | | | | New York Life International Holdings Limited | Ownership | 21.300 | New York Life Insurance Company | N | |
| | | | | | | | MAX Ventures and Industries Limited | IND | NIA | Limited | Ownership | 1.400 | New York Life Insurance Company | N | |
| | | | | | | | MAX Ventures and Industries Limited | IND | NIA | New York Life Insurance Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYL Cayman Holdings Ltd. | CYM | NIA | New York Life Enterprises LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYL Worldwide Capital Investments, LLC | DE | NIA | NYL Cayman Holdings Ltd. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Seguros Monterrey New York Life, S.A. de C.V. | MEX | IA | New York Life Enterprises LLC | Ownership | 99.998 | New York Life Insurance Company | N | |
| | | | | | | | Seguros Monterrey New York Life, S.A. de C.V. | MEX | IA | NYL Worldwide Capital Investments | Ownership | 0.002 | New York Life Insurance Company | N | |
| | | | | | | | Administradora de Conductos SMNYL, S.A. de C.V. | MEX | NIA | Seguros Monterrey New York Life, S.A. de C.V. | Ownership | 99.000 | New York Life Insurance Company | N | |
| | | | | | | | Agencias de Distribucion SMNYL, S.A. de C.V. | MEX | NIA | Seguros Monterrey New York Life, S.A. de C.V. | Ownership | 99.000 | New York Life Insurance Company | N | |
| | | | | | | | Inmobiliaria SMNYL, S.A. de C.V. | MEX | NIA | Seguros Monterrey New York Life, S.A. de C.V. | Ownership | 99.000 | New York Life Insurance Company | N | |
| | | | | | | | Inmobiliaria SMNYL, S.A. de C.V. | MEX | NIA | Agencias de Distribucion SMNYL, S.A. de C.V. | Ownership | 1.000 | New York Life Insurance Company | N | |
| | | | 26-1483563 | | | | Eagle Strategies LLC | DE | NIA | NYLIFE LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 84-5183198 | | | | Fabric of Family LLC | DE | NIA | NYLIFE LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-3853547 | | | | New York Life Capital Corporation | DE | NIA | NYLIFE LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-3808042 | | 0001033244 | | New York Life Trust Company | NY | NIA | NYLIFE LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 27-0145686 | | 0000071637 | | NYLIFE Securities LLC | DE | NIA | NYLIFE LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-3929029 | | | | NYLINK Insurance Agency Incorporated | DE | NIA | NYLIFE LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLUK I Company | GBR | NIA | NYLIFE LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLUK II Company | GBR | NIA | NYLUK I Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Gresham Mortgage | GBR | NIA | NYLUK II Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | W Construction Company | GBR | NIA | NYLUK II Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | WUT | GBR | NIA | NYLUK II Company | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|-----------|--------------|------------|--|--|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | WIM (AIM) | GBR | NIA | NYLUK II Company | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYL Investors (U.K.) Limited | GBR | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYL Investors REIT Manager LLC | DE | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIM Holdings NCVAD GP LLC | DE | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001570433 | | McMorgan Northern California Value Add/Development Fund I, LP | DE | NIA | NYLIM Holdings NCVAD GP LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD-OFC Bridgepointe CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund I, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD-OFC RIDDER PARK CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund I, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD-GRAYMARK RIDDER PARK LLC | DE | NIA | MNCVAD-OFC RIDDER PARK CA LLC | Ownership | 97.500 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD-OFC ONEBAY CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund I, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD-HARVEST ONE BAY LLC | DE | NIA | MNCVAD-OFC ONEBAY CA LLC | Ownership | 95.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD-IND RICHMOND CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund I, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001705770 | | NYL Investors NCVAD II GP, LLC | DE | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | McMorgan Northern California Value Add/Development Fund II, LP | DE | NIA | NYL Investors NCVAD II GP, LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-MF HENLEY CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund II, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-SP HENLEY JV LLC | DE | NIA | MNCVAD II-MF HENLEY CA LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-SP HENLEY OWNER LLC | DE | NIA | MNCVAD II-SP HENLEY JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-OFC 770 L Street CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund II, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-MF UNION CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund II, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II- HOLLIDAY UNION JV LLC | DE | NIA | MNCVAD II-MF UNION CA LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-OFC HARBORS CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund II, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-SEAGATE HARBORS LLC | DE | NIA | MNCVAD II-OFC HARBORS CA LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | MNCVAD II-OFC 630 K Street CA LLC | DE | NIA | McMorgan Northern California Value Add/Development Fund II, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSSDF Member LLC | DE | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Madison Square Structured Debt Fund LP | DE | NIA | MSSDF Member LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSSDF GP LLC | DE | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSSDF REIT LLC | DE | NIA | MSSDF GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MSSDF REIT Funding Sub I LLC | DE | NIA | MSSDF REIT LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MVSEF GP LLC | DE | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MCPF GP LLC | DE | NIA | NYL Investors LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Madison Core Property Fund LP | DE | NIA | NYL Investors LLC | Management | 0.000 | New York Life Insurance Company | N | 11 |
| | | | | | | | MCPF Holdings Manager LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MCPF MA Holdings LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MCPF Holdings LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-IND TAMARAC FL | DE | NIA | MCPF Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF 1500 Quail, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Mill Creek, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Gateway, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Gateway Phases II and III, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Delta Court, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Fremont Distribution Center, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Century, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Saddle River LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Newport Commons, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|---|-----------------------|-----------------------------------|---|--|--|--|-----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domi-ciliary Location | Relation-ship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Re-quired? (Y/N) | * |
| | | | | | | | MIREF Northsight, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Riverside, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Corporate Woods, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Bedminster, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Bartons Lodge Apartments, LLC | DE | NIA | Madison Core Property Fund LP | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Marketpointe, LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF 101 East Crossroads, LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | 101 East Crossroads, LLC | DE | NIA | MIREF 101 East Crossroads, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Hawthorne, LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Auburn 277, LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Sumner North, LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Wellington, LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MIREF Warner Center, LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MF Duluth GA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-OFC Centerstone I CA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-OFC Centerstone III CA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MOB Centerstone IV CA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-OFC Centerpoint Plaza CA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-2279230 | | | | MADISON-IND Logistics NC LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-2283899 | | | | MCPF-LRC Logistics LLC | DE | NIA | MADISON-IND Logistics NC LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MF Desert Mirage AZ LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-OFC One Main Place OR LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-IND Fenton MO LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-IND Hitzert Roadway MO LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MF Hoyt OR LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-RTL Clifton Heights PA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-5640009 | | | | MADISON-IND Locust CA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-OFC Weston Pointe FL LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MF Henderson NV LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MCPF-SP Henderson LLC | DE | NIA | MADISON-MF Henderson NV LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-SP Henderson LLC | DE | NIA | MCPF-SP Henderson LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-IND VISTA LOGISTICS OR LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-SPECHT VISTA LOGISTICS LLC | DE | NIA | MADISON-IND VISTA LOGISTICS OR LLC | Ownership | 95.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MF MCCADDEN CA LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-OFC 1201 WEST IL LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MCCAFFERY 1201 WEST IL LLC | DE | NIA | MADISON-OFC 1201 WEST IL LLC | Ownership | 92.500 | New York Life Insurance Company | N | |
| | | | | | | | MADISON-MF CRESTONE AZ LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-4019048 | | | | MADISON-MF TECH RIDGE TX LLC | DE | NIA | Madison Core Property Fund LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Investment Management Asia Limited | CYM | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-4080466 | | 0000061227 | | MackKay Shields LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 27-2850988 | | | | MackKay Shields Core Plus Opportunities Fund GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 27-2851036 | | 0001502131 | | MackKay Shields Core Plus / Opportunities Fund LP | DE | NIA | MackKay Shields Core Plus Opportunities Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 27-0676586 | | | | MackKay Municipal Managers Opportunities GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-2332835 | | 0001432467 | | MackKay Municipal Opportunities Master Fund, L.P. | DE | NIA | MackKay Municipal Managers Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 22-2267512 | | 0001432468 | | MackKay Municipal Opportunities Fund, L.P. | DE | NIA | MackKay Municipal Managers Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 27-0676650 | | | | MackKay Municipal Managers Credit Opportunities GP, LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | 30-0523736 | | 0001460030 | | MackKay Municipal Credit Opportunities Master Fund, L.P. | DE | NIA | MackKay Municipal Managers Credit Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 30-0523739 | | 0001460023 | | MackKay Municipal Credit Opportunities Fund, L.P. | DE | NIA | MackKay Municipal Managers Credit Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 38-4019880 | | 0001700102 | | MackKay Municipal Credit Opportunities HL Fund, L.P. | DE | NIA | MackKay Municipal Managers Credit Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1374021 | | | | MackKay Municipal Managers Credit Opportunities HL (Cayman) GP LLC | CYM | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1370729 | | 0001710885 | | MackKay Municipal Credit Opportunities HL (Cayman) Fund, LP | CYM | NIA | MackKay Municipal Managers Credit Opportunities HL (Cayman) GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-3040968 | | | | MackKay Municipal Short Term Opportunities Fund GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-3041041 | | 0001532022 | | MackKay Municipal Short Term Opportunities Fund LP | DE | NIA | MackKay Municipal Short Term Opportunities Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Plainview Funds plc | IRL | NIA | MackKay Shields LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | Plainview Funds plc | IRL | NIA | MackKay Shields LLC | Board of Directors | 0.000 | New York Life Insurance Company | N | |
| | | | | | | | Plainview Funds plc - MackKay Shields Emerging Markets Credit Portfolio | IRL | NIA | New York Life Insurance Company | Management | 0.000 | New York Life Insurance Company | N | 2 |
| | | | | | | | Plainview Funds plc - MackKay Shields Emerging Markets Credit Portfolio | IRL | NIA | New York Life Insurance and Annuity Corporation | Management | 0.000 | New York Life Insurance Company | N | 2 |
| | | | | | | | Plainview Funds plc - MackKay Shields Unconstrained Bond Portfolio | IRL | NIA | New York Life Insurance Company | Management | 0.000 | New York Life Insurance Company | N | 2 |
| | | | | | | | Plainview Funds plc - MackKay Shields Unconstrained Bond Portfolio | IRL | NIA | MackKay Shields LLC | Ownership | 0.130 | New York Life Insurance Company | N | |
| | | | | | | | Plainview Funds plc - MackKay Shields Core Plus Opportunities Portfolio | IRL | NIA | MackKay Shields LLC | Management | 0.000 | New York Life Insurance Company | N | 2 |
| | | | 22-6861385 | | | | MackKay Shields Statutory Trust High Yield Bond Series | CT | NIA | Plainview Funds plc | Management | 0.000 | New York Life Insurance Company | N | 2 |
| | | | | | | | Plainview Funds plc - MackKay Shields High Yield Crossover Portfolio | IRL | NIA | New York Life Insurance Company | Management | 0.000 | New York Life Insurance Company | N | 2 |
| | | | | | | | Plainview Funds plc - MackKay Shields High Yield Crossover Portfolio | IRL | NIA | MackKay Shields LLC | Ownership | 3.320 | New York Life Insurance Company | N | |
| | | | 27-3064248 | | | | MackKay Shields High Yield Active Core Fund GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-4248749 | | 0001502130 | | MackKay Shields High Yield Active Core Fund LP | DE | NIA | MackKay Shields High Yield Active Core Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-0540507 | | | | MackKay Shields Credit Strategy Fund Ltd | CYM | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-4357172 | 3859263 | | | MackKay Shields Credit Strategy Partners LP | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001502133 | | MackKay Shields Defensive Bond Arbitrage Fund Ltd. | BMJ | NIA | MackKay Shields LLC | Ownership | 0.170 | New York Life Insurance Company | N | |
| | | | | | 0001502133 | | MackKay Shields Defensive Bond Arbitrage Fund Ltd. | BMJ | NIA | New York Life Insurance Company | Ownership | 13.090 | New York Life Insurance Company | N | |
| | | | 45-2732939 | | | | MackKay Shields Core Fixed Income Fund GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-2733007 | | 0001529525 | | MackKay Shields Core Fixed Income Fund LP | DE | NIA | MackKay Shields Core Fixed Income Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-1760156 | | | | MackKay Shields Select Credit Opportunities Fund GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-4553436 | | 0001703194 | | MackKay Shields Select Credit Opportunities Fund LP | DE | NIA | MackKay Shields Select Credit Opportunities Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-4560451 | | | | MackKay Shields High Yield Crossover Fund LP | DE | NIA | MackKay Shields Select Credit Opportunities Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1108933 | | | | MackKay Shields (International) Ltd. | GBR | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1108959 | | | | MackKay Shields (Services) Ltd. | GBR | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|--|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | 98-1108940 | | | | Mackay Shields UK LLP | GBR | NIA | Mackay Shields (International) Ltd. | Ownership | 99.000 | New York Life Insurance Company | N | |
| | | | 98-1108940 | | | | Mackay Shields UK LLP | GBR | NIA | Mackay Shields (Services) Ltd. | Ownership | 1.000 | New York Life Insurance Company | N | |
| | | | 47-2950749 | | | | Mackay Municipal Managers Puerto Rico Opportunities GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-2960789 | | 0001639566 | | Mackay Puerto Rico Opportunities Funds, L.P. | DE | NIA | Mackay Municipal Managers Puerto Rico Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1230069 | | 0001639564 | | Mackay Puerto Rico Opportunities Feeder Fund, L.P. | CYM | NIA | Mackay Municipal Managers Puerto Rico Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-3358622 | | | | Mackay Municipal Managers California Opportunities GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Mackay Municipal Managers California Opportunities Fund, L.P. | DE | NIA | Mackay Municipal Managers California Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-2401724 | | | | Mackay Municipal New York Opportunities GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 38-4002797 | | 0001685030 | | Mackay Municipal New York Opportunities Fund, L.P. | DE | NIA | Mackay Municipal New York Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001700100 | | Mackay Municipal Opportunity HL Fund LP | DE | NIA | Mackay Municipal New York Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-2575585 | | | | Mackay Municipal Capital Trading GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 36-4846547 | | | | Mackay Municipal Capital Trading Master Fund, L.P. | DE | NIA | Mackay Municipal Capital Trading GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 37-1836504 | | | | Mackay Municipal Capital Trading Fund, L.P. | DE | NIA | Mackay Municipal Capital Trading GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-4932734 | | | | Mackay Municipal Managers Strategic Opportunities GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 37-1846456 | | 0001701742 | | Mackay Municipal Strategic Opportunities Fund LP | DE | NIA | Mackay Municipal Managers Strategic Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-1728099 | | | | Mackay Shields US Equity Market Neutral Fund GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 27-4320205 | | 0001510983 | | Mackay Cornerstone US Equity Market Neutral Fund LP | DE | NIA | Mackay Shields US Equity Market Neutral Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-1715543 | | | | Mackay Shields Intermediate Bond Fund GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-1716026 | | 0001715261 | | Mackay Shields Intermediate Bond Fund LP | DE | NIA | Mackay Shields Intermediate Bond Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-4080466 | | | | Mackay Shields General Partner (L/S) LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 13-4185570 | | | | Mackay Shields Long/Short Fund LP | DE | NIA | Mackay Shields General Partner (L/S) LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 02-0633343 | | | | Mackay Shields Long/Short Fund (Master) LP | DE | NIA | Mackay Shields General Partner (L/S) LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Mackay Municipal Managers Opportunities Allocation GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-3051488 | | | | Mackay Municipal Managers Opportunities Allocation Master Fund LP | DE | NIA | Mackay Municipal Managers Opportunities Allocation GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-3085547 | | | | Mackay Municipal Managers Opportunities Allocation Fund A LP | DE | NIA | Mackay Municipal Managers Opportunities Allocation GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-3088001 | | | | Mackay Municipal Managers Opportunities Allocation Fund B LP | DE | NIA | Mackay Municipal Managers Opportunities Allocation GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Mackay Municipal Managers U.S. Infrastructure - Opportunities GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-3010096 | | | | Mackay Municipal U.S. Infrastructure Opportunities Fund LP | DE | NIA | Mackay Municipal Managers U.S. Infrastructure - Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 84-2017635 | | | | Mackay Municipal Managers High Yield Select GP LLC | DE | NIA | Mackay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 84-2046842 | | 0001783642 | | Mackay Municipal High Yield Select Fund LP | DE | NIA | Mackay Municipal Managers High Yield Select GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | 0001811009 | | MackKay Flexible Income Fund GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Flexible Income Fund LP | DE | NIA | MackKay Flexible Income Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Municipal Managers High Income Opportunities GP LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Municipal High Income Opportunities Master Fund LP | DE | NIA | MackKay Municipal Managers High Income Opportunities GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Municipal High Income Opportunities Fund A LP | DE | NIA | MackKay Municipal High Income Opportunities Master Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Municipal High Income Opportunities Fund B LP | DE | NIA | MackKay Municipal High Income Opportunities Master Fund LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-5492608 | | | | Cascade CLO Manager LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MKS CLO Holdings GP LLC | DE | NIA | Cascade CLO Manager LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MKS CLO Holdings, LP | CYM | NIA | MKS CLO Holdings GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MKS CLO Advisors, LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Shields Europe Investment Management Limited | IRL | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Shields European Credit Opportunity Fund Limited | NJ | NIA | MackKay Shields LLC | Ownership | 67.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Shields European Credit Opportunity Fund Limited | NJ | NIA | New York Life Insurance and Annuity Corporation | Ownership | 33.000 | New York Life Insurance Company | N | |
| | | | | | | | MKS TALF Opportunities Fund GP, LLC | DE | NIA | MackKay Shields LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Shields TALF 2.0 Opportunities Feeder Fund (Cayman) LP | CYM | NIA | MKS TALF Opportunities Fund GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MackKay Shields TALF 2.0 Opportunities Feeder Fund (Cayman GBP-Hedged) LP | CYM | NIA | MKS TALF Opportunities Fund GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 85-0866088 | | | | MackKay Shields TALF 2.0 Opportunities Feeder Fund (US) LP | DE | NIA | MKS TALF Opportunities Fund GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 85-0860318 | | | | MackKay Shields TALF 2.0 Opportunities Master Fund LP | DE | NIA | MKS TALF Opportunities Fund GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001453415 | | Cornerstone Capital Management Holdings LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Madison Square Investors Asian Equity Market Neutral Fund GP, LLC | DE | NIA | Cornerstone Capital Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Cornerstone US Equity Market Neutral Fund, LLC | DE | NIA | Cornerstone Capital Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Cornerstone Capital Management Large-Cap Enhanced Index Fund GP, LLC | DE | NIA | Cornerstone Capital Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001329043 | | Cornerstone Capital Management Large-Cap Enhanced Index Fund, LP | DE | NIA | Cornerstone Capital Management Large-Cap Enhanced Index Fund GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Investments Alternatives LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 85-1664787 | | | | Madison Capital Funding LLC | DE | DS | New York Life Insurance Company | Ownership | 55.000 | New York Life Insurance Company | N | |
| | | | 36-4715120 | | | | Madison Capital Funding LLC | DE | DS | New York Life Insurance and Annuity Corporation | Ownership | 45.000 | New York Life Insurance Company | N | |
| | | | 26-2806813 | | | | MCF Co-Investment GP LLC | DE | NIA | Madison Capital Funding LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-2806864 | | 0001538585 | | MCF Co-Investment GP LP | DE | NIA | MCF Co-Investment GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Madison Capital Funding Co-Investment Fund LP | DE | NIA | MCF Co-Investment GP LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-2806918 | | 0001538584 | | Madison Avenue Loan Fund GP LLC | DE | NIA | Madison Capital Funding LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 80-0920962 | | | | Madison Avenue Loan Fund LP | DE | NIA | Madison Avenue Loan Fund GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 61-1711540 | | 0001577927 | | MCF Fund I LLC | DE | NIA | Madison Capital Funding LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MCF Hanwha Fund LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | 1 |
| | | | 30-1143853 | | | | Ironshore Investment BL I Ltd. | BMJ | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | 1 |
| | | | 46-2213974 | | | | MCF CLO IV LLC | DE | NIA | New York Life Insurance Company | Ownership | 6.700 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|---|----------------------|----------------------------------|---|--|--|--|----------------------------------|----|
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| | | | 46-2213974 | | | | MCF CLO IV LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 81-4067250 | | | | MCF CLO V LLC | DE | NIA | New York Life Insurance Company | Ownership | 5.000 | New York Life Insurance Company | N | |
| | | | 81-4067250 | | | | MCF CLO V LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 82-1943737 | | | | MCF CLO VI LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 82-2734635 | | | | MCF CLO VII LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | | | | | MCF CLO VIII Ltd | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | | | | | MCF CLO VIII LLC | DE | NIA | MCF CLO VIII Ltd | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | MCF CLO IX Ltd | CYM | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | | | | | MCF CLO IX LLC | DE | NIA | MCF CLO IX Ltd | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 36-4883128 | | | | MCF KB Fund LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 61-1907486 | | | | MCF KB Fund II LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | | | | | MCF Hyundai Fund LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 37-1749427 | | | | Montpelier Carry Parent, LLC | DE | NIA | Madison Capital Funding LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Montpelier Carry, LLC | DE | NIA | Montpelier Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-2042988 | | | | Montpelier GP, LLC | DE | NIA | Madison Capital Funding LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-2042988 | | 0001570694 | | Montpelier Fund, L.P. | DE | NIA | Montpelier GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 35-2537165 | | | | MCF Mezzanine Carry I LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 32-0469843 | | | | MCF Mezzanine Fund I LLC | DE | NIA | New York Life Insurance Company | Ownership | 66.670 | New York Life Insurance Company | N | |
| | | | | | | | MCF Mezzanine Fund I LLC | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 33.330 | New York Life Insurance Company | N | |
| | | | 32-0469843 | | | | MCF PD Fund GP LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 98-1450997 | | | | MCF PD Fund LP | DE | NIA | MCF PD Fund GP LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | | | | | MCF Senior Debt Fund 2019-I GP LLC | DE | NIA | Madison Capital Funding LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | 83-4242231 | | | | MCF Senior Debt Fund 2019-I LP | DE | NIA | MCF Senior Debt Fund 2019-I GP LLC | Other | 0.000 | New York Life Insurance Company | N | .1 |
| | | | | | | | Warwick Seller Representative, LLC | DE | NIA | Madison Capital Funding LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Young America Holdings, LLC | DE | NIA | Madison Capital Funding LLC | Ownership | 36.350 | New York Life Insurance Company | N | |
| | | | | | | | YAC.ECOM Incorporated | MIN | NIA | Young America Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | 2644154 | | | Young America, LLC | MIN | NIA | Young America Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Global Fulfillment Services, Inc. | AZ | NIA | Young America, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | SourceOne Worldwide, Inc. | MIN | NIA | Young America, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | YA Canada Corporation | CAN | NIA | Young America, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Zenith Products Holdings, Inc | DE | NIA | Madison Capital Funding LLC | Ownership | 16.360 | New York Life Insurance Company | N | |
| | | | | | 0001347648 | | ZPC Holding Corp. | DE | NIA | Zenith Products Holdings Inc. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Zenith Products Corporation | DE | NIA | ZPC Holding Corp. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners LLC | DE | NIA | New York Life Investments Alternatives LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001513540 | | New York Life Capital Partners, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001513533 | | New York Life Capital Partners, LP | DE | NIA | New York Life Capital Partners, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001293285 | | New York Life Capital Partners II, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001293286 | | New York Life Capital Partners II, LP | DE | NIA | New York Life Capital Partners II, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Capital Partners III GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Capital Partners III GenPar, LP | DE | NIA | New York Life Capital Partners III GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Capital Partners III, LP | DE | NIA | New York Life Capital Partners III GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Capital Partners III-A, LP | DE | NIA | New York Life Capital Partners III GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Capital Partners IV GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Capital Partners IV GenPar, LP | DE | NIA | New York Life Capital Partners IV GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Capital Partners IV, LP | DE | NIA | New York Life Capital Partners IV GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|-----------|--------------|------------|--|---|----------------------|----------------------------------|---|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | New York Life Capital Partners IV-A, LP | DE | NIA | New York Life Capital Partners IV GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Core Opportunities Fund, L.P. | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Mezzanine Partners IV GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Mezzanine Partners IV GenPar LP | DE | NIA | GoldPoint Mezzanine Partners IV GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001670568 | | GoldPoint Mezzanine Partners Co-Investment Fund A, LP | DE | NIA | GoldPoint Mezzanine Partners IV GenPar LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001652367 | | GoldPoint Mezzanine Partners IV, LP | DE | NIA | GoldPoint Mezzanine Partners IV GenPar LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco A, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco Preferred A, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco B, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco C, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco D, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco E, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezz IV ECI Aggregator LP | DE | NIA | GPP Mezzanine Blocker Holdco E, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco F, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco G, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco H, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Mezzanine Blocker Holdco I, LP | DE | NIA | GoldPoint Mezzanine Partners IV, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Mezzanine Partners Offshore IV, L.P. | CYM | NIA | GoldPoint Mezzanine Partners IV GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V GenPar GP LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V GenPar, L.P. | DE | NIA | GoldPoint Partners Co-Investment V GenPar GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001670563 | | GoldPoint Partners Co-Investment Fund-A, LP | DE | NIA | GoldPoint Partners Co-Investment V GenPar, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001562188 | | GoldPoint Partners Co-Investment V, L.P. | DE | NIA | GoldPoint Partners Co-Investment V GenPar, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V ECI Blocker Holdco B, LP | DE | NIA | GoldPoint Partners Co-Investment V, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V ECI Blocker Holdco D, LP | DE | NIA | GoldPoint Partners Co-Investment V, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V ECI Blocker D, LP | DE | NIA | GoldPoint Partners Co-Investment V ECI Blocker Holdco D, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V ECI Blocker E, LP | DE | NIA | GoldPoint Partners Co-Investment V, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V ECI Blocker Holdco F, LP | DE | NIA | GoldPoint Partners Co-Investment V, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment V ECI Blocker Holdco G, LP | DE | NIA | GoldPoint Partners Co-Investment V, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Private Debt V GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Private Debt Offshore V, LP | CYM | NIA | GoldPoint Partners Private Debt V GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Private Debt V GenPar GP, LP | DE | NIA | GoldPoint Partners Private Debt V GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Private Debt V, LP | DE | NIA | GoldPoint Partners Private Debt V GenPar GP, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Private Debt Blocker Holdco A, LLC | DE | NIA | GoldPoint Partners Private Debt V, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP Private Debt V-ECI Aggregator LP | DE | NIA | GPP Private Debt Blocker Holdco A, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|-----------|--------------|------------|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | GoldPoint Partners FA I, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager III GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager III GenPar, L.P. | CYM | NIA | GoldPoint Partners Select Manager III GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001644721 | | GoldPoint Partners Select Manager Fund III, L.P. | CYM | NIA | GoldPoint Partners Select Manager III GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager Fund III AIV, L.P. | DE | NIA | GoldPoint Partners Select Manager III GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager IV GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager IV GenPar, L.P. | DE | NIA | GoldPoint Partners Select Manager IV GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001725867 | | GoldPoint Partners Select Manager Fund IV, L.P. | DE | NIA | GoldPoint Partners Select Manager IV GenPar, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager V GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager V GenPar, L.P. | DE | NIA | GoldPoint Partners Select Manager V GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager Fund V, L.P. | DE | NIA | GoldPoint Partners Select Manager V GenPar, L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Canada III GenPar, Inc | CAN | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager Canada Fund III, L.P. | CAN | NIA | GoldPoint Partners Canada III GenPar, Inc | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Canada IV GenPar Inc | CAN | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Select Manager Canada Fund IV, L.P. | CAN | NIA | GoldPoint Partners Canada IV GenPar Inc | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment VI GenPar GP LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Partners Co-Investment VI GenPar, LP | DE | NIA | GoldPoint Partners Co-Investment VI GenPar GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001712763 | | GoldPoint Partners Co-Investment VI LP | DE | NIA | GoldPoint Partners Co-Investment VI GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP VI - ECI Aggregator LP | DE | NIA | GoldPoint Partners Co-Investment VI GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP VI Blocker A LLC | DE | NIA | GoldPoint Partners Co-Investment VI GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP VI Blocker B LLC | DE | NIA | GoldPoint Partners Co-Investment VI GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP VI Blocker C LLC | DE | NIA | GoldPoint Partners Co-Investment VI GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP VI Blocker D LLC | DE | NIA | GoldPoint Partners Co-Investment VI GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GPP VI Blocker E LLC | DE | NIA | GoldPoint Partners Co-Investment VI GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | GoldPoint Private Credit GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001718352 | | GoldPoint Private Credit Fund, LP | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLCAP 2010 Co-Invest GenPar GP, LLC | DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLCAP 2010 Co-Invest GenPar L.P. | DE | NIA | NYLCAP 2010 Co-Invest GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLCAP 2010 Co-Invest L.P. | DE | NIA | NYLCAP 2010 Co-Invest GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLCAP 2010 Co-Invest ECI Blocker Holdco B L.P. | DE | NIA | NYLCAP 2010 Co-Invest GenPar L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLCAP 2010 Co-Invest ECI Blocker B L.P. | DE | NIA | NYLCAP 2010 Co-Invest L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLCAP 2010 Co-Invest ECI Blocker B L.P. | DE | NIA | NYLCAP 2010 Co-Invest ECI Blocker Holdco B L.P. | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|-----|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | Goldpoint Partners Canada GenPar, Inc. | .CAN | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Select Manager Canada Fund, LP | .CAN | NIA | NYLCAP Canada GenPar, Inc. | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Canada II GenPar, Inc. | .CAN | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Select Manager Canada Fund II, L.P. | .CAN | NIA | NYLCAP Canada II GenPar, Inc. | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLIM Mezzanine Partners II GenPar GP, LLC .. | .DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLIM Mezzanine Offshore Partners II, LP | .CYM | NIA | NYLIM Mezzanine Partners II GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLIM Mezzanine Partners II GenPar, LP | .DE | NIA | NYLIM Mezzanine Partners II GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | 0001372441 | | | | New York Life Investment Management Mezzanine Partners II, LP | .DE | NIA | NYLIM Mezzanine Partners II GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | 0001387095 | | | | NYLIM Mezzanine Partners II Parallel Fund, LP .. | .DE | NIA | NYLIM Mezzanine Partners II GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLIM Mezzanine II Parallel Luxco S.a.r.l. | .LUX | NIA | NYLIM Mezzanine Partners II Parallel Fund, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III GenPar GP, LLC .. | .DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III GenPar, LP | .DE | NIA | NYLCAP Mezzanine Partners III GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | 0001482545 | | | | NYLCAP Mezzanine Partners III-K, LP | .DE | NIA | NYLCAP Mezzanine Partners III GenPar, LP .. | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III, LP | .DE | NIA | NYLCAP Mezzanine Partners III GenPar, LP .. | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | 0001539552 | | | | NYLCAP Mezzanine Partners III Parallel Fund, LP .. | .DE | NIA | NYLCAP Mezzanine Partners III GenPar, LP .. | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III 2012 Co-Invest, LP .. | .DE | NIA | NYLCAP Mezzanine Partners III GenPar, LP .. | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker Holdco B, LP | .DE | NIA | NYLCAP Mezzanine Partners III 2012 Co-Invest, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker B, LP | .DE | NIA | Invest ECI Blocker Holdco B, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker Holdco D, LP | .DE | NIA | NYLCAP Mezzanine Partners III 2012 Co-Invest, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker D, LP | .DE | NIA | Invest ECI Blocker Holdco D, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker Holdco F,LP | .DE | NIA | NYLCAP Mezzanine Partners III 2012 Co-Invest, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Mezzanine Partners III 2012 Co-Invest ECI Blocker F, LP | .DE | NIA | Invest ECI Blocker Holdco F,LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | 0001483925 | | | | NYLCAP Mezzanine Offshore Partners III, LP | .CYM | NIA | NYLCAP Mezzanine Partners III GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Select Manager GenPar GP, LLC | .DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Select Manager GenPar, LP | .DE | NIA | NYLCAP Select Manager GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | 0001441093 | | | | NYLCAP Select Manager Fund, LP | .DE | NIA | NYLCAP Select Manager GenPar, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Select Manager Cayman Fund, LP | .CYM | NIA | NYLCAP Select Manager GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Select Manager II GenPar GP, LLC | .DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP Select Manager II GenPar, L.P. | .CYM | NIA | NYLCAP Select Manager II GenPar GP, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | 0001520743 | | | | NYLCAP Select Manager Fund II, L.P. | .CYM | NIA | NYLCAP Select Manager II GenPar GP, LP | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP India Funding LLC | .DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLIM-JB Asset Management Co., LLC | .MUS | NIA | NYLCAP India Funding LLC | Ownership | 24.660 | New York Life Insurance Company | .N | 3 |
| | | | 0001356865 | | | | New York Life Investment Management India Fund II, LLC | .MUS | NIA | NYLIM-JB Asset Management Co., LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | New York Life Investment Management India Fund (FVCI) II, LLC | .MUS | NIA | New York Life Investment Management India Fund II, LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |
| | | | | | | | NYLCAP India Funding III LLC | .DE | NIA | GoldPoint Partners LLC | Ownership | 100.000 | New York Life Insurance Company | .N | |

13.12

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|--|-----------------------|-----------------------------------|--|--|--|--|-----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domi-ciliary Location | Relation-ship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Re-quired? (Y/N) | * |
| | | | | | | | NYLIM-Jacob Ballas Asset Management Co. III, LLC | MUS | NIA | NYLCAP India Funding III LLC | Ownership | 24.660 | New York Life Insurance Company | N | 4 |
| | | | | | 0001435025 | | NYLIM Jacob Ballas India Fund III, LLC | MUS | NIA | NYLIM-Jacob Ballas Asset Management Company III, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIM Jacob Ballas Capital India (FVCI) III, LLC | MUS | NIA | NYLIM Jacob Ballas India Fund III, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIM Jacob Ballas India (FII) III, LLC | MUS | NIA | NYLIM Jacob Ballas India Fund III, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Evolve Asset Management, Ltd. | CYM | NIA | GoldPoint Partners LLC | Ownership | 24.500 | New York Life Insurance Company | N | |
| | | | | | | | EIF Managers Limited | MUS | NIA | Evolve Asset Management, Ltd. | Ownership | 58.720 | New York Life Insurance Company | N | |
| | | | | | | | EIF Managers II Limited | MUS | NIA | Evolve Asset Management, Ltd. | Ownership | 55.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Investments Alternatives LLC | | | | | | | | |
| | | | 54-1886751 | | | | PA Capital LLC | DE | NIA | | Ownership | 67.000 | New York Life Insurance Company | N | |
| | | | 84-2631913 | | | | BMG PAMP GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 84-2611868 | | | | BMG PA Private Markets (Delaware) LP | DE | NIA | BMG PAMP GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 84-2611868 | | | | BMG Private Markets (Cayman) LP | CYM | NIA | BMG PAMP GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 84-2641258 | | | | PACD MM, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 84-2106547 | | | | PA Capital Direct, LLC | DE | NIA | PACD MM, LLC | Other | 0.000 | New York Life Insurance Company | N | 8 |
| | | | | | | | PA Credit Program Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-1396530 | | | | PA Credit Program Carry, LLC | DE | NIA | PA Credit Program Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-2572635 | | | | PACIF Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-2591793 | | | | PACIF Carry, LLC | DE | NIA | PACIF Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PACIF GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 20-4877177 | | 0001368975 | | Private Advisors Coinvestment Fund, LP | DE | NIA | PACIF GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PACIF II GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-1662477 | | 0001489910 | | Private Advisors Coinvestment Fund II, LP | DE | NIA | PACIF II GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-2591588 | | | | PACIF II Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-2591860 | | | | PACIF II Carry, LLC | DE | NIA | PACIF II Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PACIF III GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-1360141 | | 0001562375 | | Private Advisors Coinvestment Fund III, LP | DE | NIA | PACIF III GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-2548534 | | | | PACIF III Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 80-0916710 | | | | PACIF III Carry, LLC | DE | NIA | PACIF III Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PACIF IV GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-4247870 | | 0001646588 | | Private Advisors Coinvestment Fund IV, LP | DE | NIA | PACIF IV GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PACIF IV Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-4489053 | | | | PACIF IV Carry, LLC | DE | NIA | PACIF IV Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PAMMF GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 83-1689912 | | 0001762448 | | PA Middle Market Fund, LP | DE | NIA | PAMMF GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 03-0532213 | | 0001322607 | | PA Hedged Equity Fund, L.P. | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Private Advisors Hedged Equity Fund (OP), L.P. | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 54-2051483 | | 0001459910 | | Private Advisors Hedged Equity Master Fund | DE | NIA | PA Hedged Equity Fund, L.P. | Other | 0.000 | New York Life Insurance Company | N | 8 |
| | | | 20-5904617 | | | | PASOF GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Strategic Opportunities Fund, LP | DE | NIA | PASOF GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCBF III GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Private Advisors Small Company Buyout Fund III, LP | DE | NIA | PASCBF III GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 20-4838202 | | 0001374891 | | PASCBF IV GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Private Advisors Small Company Buyout Fund IV, LP | DE | NIA | PASCBF IV GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-1662399 | | 0001442524 | | PASCBF IV Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-2573409 | | | | PASCBF IV Carry, LLC | DE | NIA | PASCBF IV Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 45-2591925 | | | | PASCBF V GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Private Advisors Small Company Buyout Fund V, LP | DE | NIA | PASCBF V GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

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

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|--|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | 46-1799496 | | 0001576987 | | Private Advisors Small Company Buyout V - ERISA Fund, LP | DE | NIA | PASCBF V GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-2714292 | | | | PASCBF V Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 35-2476750 | | | | PASCBF V Carry, LLC | DE | NIA | PASBF V Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-4523581 | | | | PASCFPEF VI Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCFPEF VI Carry, LLC | DE | NIA | PASCFPEF VI Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCFPEF VI GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-4301623 | | 0001595889 | | Private Advisors Small Company Private Equity Fund VI, LP | DE | NIA | PASCFPEF VI GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1223903 | | 0001635254 | | Private Advisors Small Company Private Equity Fund VI (Cayman), LP | CYM | NIA | PASCFPEF VI GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCFPEF VII GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-5430553 | | 0001657189 | | Private Advisors Small Company Private Equity Fund VII, LP | DE | NIA | PASCFPEF VII GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1286549 | | 0001711424 | | Private Advisors Small Company Private Equity Fund VII (Cayman), LP | CYM | NIA | PASCFPEF VII GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCFPEF VII Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-5442078 | | | | PASCFPEF VII Carry, LLC | DE | NIA | PASCFPEF VII Carry Parent LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCFPEF VIII GP LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-2059912 | | | | Private Advisors Small Company Private Equity Fund VIII, LP | DE | NIA | PASCFPEF VIII GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-2042371 | | 0001711426 | | Private Advisors Small Company Private Equity Fund VIII (Cayman), LP | DE | NIA | PASCFPEF VIII GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCFPEF IX GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Small Company Private Equity Fund IX, LP | DE | NIA | PASCFPEF IX GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Small Company Private Equity Fund IX, (Cayman), LP | CYM | NIA | PASCFPEF IX GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-4331000 | | | | Cuyahoga Capital Partners IV Management Group LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-4331219 | | 0001514824 | | Cuyahoga Capital Partners IV LP | DE | NIA | Cuyahoga Capital Partners IV Management Group LLC | Other | 0.000 | New York Life Insurance Company | N | B |
| | | | 26-3698069 | 3835342 | | | Cuyahoga Capital Emerging Buyout Partners Management Group LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 26-3698209 | 3835351 | | | Cuyahoga Capital Emerging Buyout Partners LP | DE | NIA | Cuyahoga Capital Emerging Buyout Partners Management Group LLC | Other | 0.000 | New York Life Insurance Company | N | B |
| | | | 47-4479441 | | | | PA Real Assets Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Real Assets Carry, LLC | DE | NIA | PA Real Assets Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-2582122 | | | | PA Real Assets Carry Parent II, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Real Assets Carry II, LLC | DE | NIA | PA Real Assets Carry Parent II, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Emerging Manager Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Emerging Manager Carry, LLC | DE | NIA | PA Emerging Manager Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Emerging Manager Carry Parent II, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-2884836 | | | | PA Emerging Manager Carry II, LLC | DE | NIA | PA Emerging Manager Carry Parent II, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | RIC I GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-4146929 | | | | Richmond Coinvestment Partners I, LP | DE | NIA | RIC I GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | RIC I Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | RIC I Carry, LLC | DE | NIA | RIC I Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASF V GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-4252449 | | 0001646590 | | Private Advisors Secondary Fund V, LP | DE | NIA | PASF V GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASF V Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-4498336 | | | | PASF V Carry, LLC | DE | NIA | PASF V Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASF VI GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PA Secondary Fund VI, LP | DE | NIA | PASF VI GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PARAF GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

13.14

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

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

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|--|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | 47-5323045 | | 0001656546 | | Private Advisors Real Assets Fund, LP | DE | NIA | PARAF GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-5392508 | | | | PARAF Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PARAF Carry, LLC | DE | NIA | PARAF Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCCIF GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-5230804 | | 0001660017 | | Private Advisors Small Company Coinvestment Fund, LP | DE | NIA | PASCCIF GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 81-4614299 | | 0001691962 | | Private Advisors Small Company Coinvestment Fund ERISA, LP | DE | NIA | PASCCIF GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | PASCCIF II GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Private Advisors Small Company Coinvestment Fund II, LP | DE | NIA | PASCCIF II GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 47-5472308 | | | | PASCCIF Carry Parent, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-3120890 | | | | PASCCIF Carry, LLC | DE | NIA | PASCCIF Carry Parent, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 82-3541209 | | 0001721164 | | PARAF II GP LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | 0001223706 | | Private Advisors Real Assets Fund II LP | DE | NIA | PARAF II GP LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Private Advisors Hedged Equity Fund, Ltd. | CYM | NIA | PA Capital LLC | Other | 0.000 | New York Life Insurance Company | N | B |
| | | | 20-1079864 | | 0001459910 | | Private Advisors Hedged Equity Fund (QP), Ltd. | CYM | NIA | PA Capital LLC | Other | 0.000 | New York Life Insurance Company | N | B |
| | | | 98-0626772 | | | | Private Advisors Hedged Equity Master Fund, Ltd. | CYM | NIA | Private Advisors Hedged Equity Fund (QP), Ltd. | Other | 0.000 | New York Life Insurance Company | N | B |
| | | | 46-5163324 | | 0001605509 | | UVF GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1164867 | | 0001605502 | | Undiscovered Value Fund, LP | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 98-1164329 | | | | Undiscovered Value Master Fund SPC | CYM | NIA | PA Capital LLC | Other | 0.000 | New York Life Insurance Company | N | B |
| | | | | | | | Washington Pike GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Washington Pike, LP | DE | NIA | Washington Pike GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | RidgeLake Partners GP, LLC | DE | NIA | PA Capital LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | RidgeLake Partners, LP | DE | NIA | RidgeLake Partners GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLCAH Holdings (Mauritius) | MUS | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Jacob Ballas Capital India PVT, Ltd. | MUS | NIA | NYLCAH Holdings (Mauritius) | Ownership | 23.300 | New York Life Insurance Company | N | |
| | | | | | | | Industrial Assets Holdings Limited | MUS | NIA | NYLCAH Holdings (Mauritius) | Ownership | 28.020 | New York Life Insurance Company | N | |
| | | | | | | | JB Ceresra Investment Management LLP | MUS | NIA | NYLCAH Holdings (Mauritius) | Ownership | 12.580 | New York Life Insurance Company | N | |
| | | | 22-3704242 | | 0001103598 | | NYLIM Service Company LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYL Workforce GP LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 52-2206685 | | 0001133639 | | New York Life Investment Management LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIM Fund II GP, LLC | DE | NIA | New York Life Investment Management LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NYLIM-TND, LLC | DE | NIA | NYLIM Fund II GP, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Investment Management Hong Kong Limited | CHN | NIA | New York Life Investment Management LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | WFHG, GP LLC | DE | NIA | New York Life Investment Management LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | 4643807 | 0001406803 | | Workforce Housing Fund I - 2007, LP | DE | NIA | WFHG, GP LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ Holdings Inc. | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 56-2581173 | | 0001364028 | | IndexIQ, Inc. | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 02-0811751 | | 0001483922 | | IndexIQ LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 74.370 | New York Life Insurance Company | N | |
| | | | 02-0811751 | | 0001483922 | | IndexIQ LLC | DE | NIA | IndexIQ Holdings Inc. | Ownership | 25.630 | New York Life Insurance Company | N | |
| | | | 02-0811753 | | 0001415396 | | IndexIQ Advisors LLC | DE | NIA | IndexIQ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ Active ETF Trust | DE | NIA | IndexIQ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

13.15

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|-----------|--------------|-----|--|---|----------------------|----------------------------------|---|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | IQ MacKay Shields Municipal Insured ETF | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 21.230 | New York Life Insurance Company | N | |
| | | | | | | | IQ MacKay Shields Municipal Intermediate ETF | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 74.240 | New York Life Insurance Company | N | |
| | | | | | | | IQ Ultra Short Duration ETF | DE | NIA | New York Life Insurance Company | Ownership | 14.710 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ ETF Trust | DE | NIA | IndexIQ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | IQ 50 Percent Hedged FTSE International ETF | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 53.070 | New York Life Insurance Company | N | |
| | | | | | | | IQ 500 International ETF | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 99.650 | New York Life Insurance Company | N | |
| | | | | | | | IQ Chaikin US Large Cap ETF | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 8.960 | New York Life Insurance Company | N | |
| | | | | | | | IQ Chaikin US Small Cap ETF | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 70.220 | New York Life Insurance Company | N | |
| | | | | | | | IQ Hedge Event-Driven Tracker ETF | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 57.900 | New York Life Insurance Company | N | |
| | | | | | | | IQ Hedge Long/Short Tracker ETF | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 41.090 | New York Life Insurance Company | N | |
| | | | | | | | IQ S&P High Yield Low Volatility Bd ETF | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 52.730 | New York Life Insurance Company | N | |
| | | | | | | | IQ Short Duration Enhanced Cor Bd US ETF | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 79.990 | New York Life Insurance Company | N | |
| | | | | | | | IQ Candriam ESG International Equity ETF | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 89.220 | New York Life Insurance Company | N | |
| | | | | | | | IQ Candriam ESG International Equity ETF | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 9.410 | New York Life Insurance Company | N | |
| | | | | | | | IQ Candriam ESG US Equity ETF | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 87.630 | New York Life Insurance Company | N | |
| | | | | | | | IQ Candriam ESG US Equity ETF | DE | NIA | New York Life Insurance and Annuity Corporation | Ownership | 9.240 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Investment Management Holdings International | LUX | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | New York Life Investment Management Holdings II International | LUX | NIA | New York Life Investment Management Holdings International | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Group | LUX | NIA | New York Life Investment Management Holdings II International | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CGH UK Acquisition Company Limited | GBR | NIA | Candriam Group | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Tristan Capital Partners Holdings Limited | GBR | NIA | CGH UK Acquisition Company Limited | Ownership | 40.000 | New York Life Insurance Company | N | |
| | | | | | | | Tristan Capital Holdings Limited | GBR | NIA | Tristan Capital Partners Holdings Limited | Ownership | 40.000 | New York Life Insurance Company | N | |
| | | | | | | | EPI50 4 Co-Investment LLP | GBR | NIA | Tristan Capital Partners Holdings Limited | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | EPI50 4 (GP) LLP | GBR | NIA | EPI50 4 Co-Investment LLP | Ownership | 16.000 | New York Life Insurance Company | N | |
| | | | | | | | EPI50 4 Incentive Partners LLP | GBR | NIA | Tristan Capital Partners Holdings Limited | Ownership | 4.700 | New York Life Insurance Company | N | |
| | | | | | | | CCP 5 Co-Investment LLP | GBR | NIA | Tristan Capital Partners Holdings Limited | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | Tristan Capital Limited | GBR | NIA | Tristan Capital Partners Holdings Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Tristan Capital Partners LLP | GBR | NIA | Tristan Capital Limited | Ownership | 92.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP III Co-Investment (GP) Limited | GBR | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP III Co-Investment LP | GBR | NIA | CCP III Co-Investment (GP) Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP IV Co-Investment LP | GBR | NIA | CCP III Co-Investment (GP) Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP III (GP) LLP | GBR | NIA | Tristan Capital Partners LLP | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP III Incentive Partners (GP) Limited | GBR | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP III Incentive Partners LP | GBR | NIA | CCP III Incentive Partners (GP) Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP IV Incentive Partners LP | GBR | NIA | CCP III Incentive Partners (GP) Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Curzon Capital Partners III (GP) Limited | GBR | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP III (GP) LLP | GBR | NIA | Curzon Capital Partners III (GP) Limited | Ownership | 100.000 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|-----------|--------------|-----|--|--|----------------------|----------------------------------|---|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | EPISO 3 Co-Investment (GP) Limited | GBR | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | EPISO 3 Co-Investment LP | GBR | NIA | EPISO 3 Co-Investment (GP) Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | EPISO 3 Incentive Partners (GP) Limited | GBR | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | EPISO 3 Incentive Partners LP | GBR | NIA | EPISO 3 Incentive Partners (GP) Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | EPISO 3 IOM Limited | MAN | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP IV (GP) LLP | GBR | NIA | Tristan Capital Partners LLP | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | Curzon Capital Partners IV (GP) Limited | GBR | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP 5 GP LLP | GBR | NIA | Tristan Capital Partners LLP | Ownership | 33.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP 5 Pool Partnership GP Limited | NJ | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | CCP 5 Pool Partnership SLP | NJ | NIA | CCP 5 Pool Partnership GP Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Tristan Capital Partners Asset Management Limited | GBR | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | TCP Poland Spolka z ograniczona odpowiedzialnoscia | POL | NIA | Tristan Capital Partners Asset Management Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | TCP Co-Investment (GP) S.á.r.l. | LUX | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | TCP Co-Investment SCSP | LUX | NIA | TCP Co-Investment (GP) S.á.r.l. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | TCP Incentive Partners SCSP | LUX | NIA | TCP Co-Investment (GP) S.á.r.l. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | TCP Incentive Partners (GP) S.á.r.l. | LUX | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | German Property Performance Partners Investors Feeder Verwaltungs GmbH | DEU | NIA | TCP Incentive Partners (GP) S.á.r.l. | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | EPISO 4 (GP) S.á.r.l. | LUX | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | EPISO 4 (GP) II S.á.r.l. | LUX | NIA | Tristan Capital Partners LLP | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Luxco S.á.r.l. | LUX | NIA | Candriam Group | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Luxembourg | LUX | NIA | Candriam Group | Ownership | 90.972 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Belgium | BEL | NIA | Candriam Luxembourg | Ownership | 99.990 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Belgium | BEL | NIA | Candriam Group | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam France | FRA | NIA | Candriam Luxembourg | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Monétaire SICAV | FRA | NIA | Candriam Belgium | Ownership | 1.320 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Monétaire SICAV | FRA | NIA | Candriam France | Ownership | 0.600 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Monétaire SICAV | FRA | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Switzerland LLC | CHE | NIA | Candriam Luxembourg | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GP | LUX | NIA | Candriam Luxembourg | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Cordius | LUX | NIA | Candriam Luxembourg | Ownership | 16.120 | New York Life Insurance Company | N | |
| | | | | | | | Cordius | LUX | NIA | Candriam Belgium | Ownership | 3.780 | New York Life Insurance Company | N | |
| | | | | | | | Cordius | LUX | NIA | Candriam France | Ownership | 3.780 | New York Life Insurance Company | N | |
| | | | | | | | Cordius CIG | LUX | NIA | Candriam Luxembourg | Ownership | 68.040 | New York Life Insurance Company | N | |
| | | | | | | | Cordius CIG | LUX | NIA | Candriam Belgium | Ownership | 15.980 | New York Life Insurance Company | N | |
| | | | | | | | Cordius CIG | LUX | NIA | Candriam France | Ownership | 15.980 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ | LUX | NIA | Candriam Luxembourg | Ownership | 35.000 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ Factors Sustainable Corporate Euro Bond | LUX | NIA | Cordius CIG | Ownership | 41.000 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ Factors Sustainable Sovereign Euro Bond | LUX | NIA | Cordius CIG | Ownership | 36.000 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ Factors Sustainable Europe Equity | LUX | NIA | Cordius CIG | Ownership | 19.000 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ Factors Sustainable EMU Equity | LUX | NIA | Cordius CIG | Ownership | 1.400 | New York Life Insurance Company | N | |
| | | | | | | | IndexIQ Factors Sustainable Japan Equity | LUX | NIA | Cordius CIG | Ownership | 33.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return | LUX | NIA | Candriam Luxembourg | Ownership | 3.160 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 8.800 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return | LUX | NIA | Cordius CIG | Ownership | 6.370 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return | LUX | NIA | Candriam France | Ownership | 1.160 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return Equity Market Neutral | LUX | NIA | Candriam Luxembourg | Ownership | 4.050 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|-----------|--------------|-----|--|--|----------------------|----------------------------------|---|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | Candriam Absolute Return Equity Market Neutral | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 4.710 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return Equity Market Neutral | LUX | NIA | Cordius CIG | Ownership | 8.600 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return Equity Market Neutral | LUX | NIA | Candriam France | Ownership | 1.560 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return Long Short Digital Equity | LUX | NIA | Candriam Luxembourg | Ownership | 0.220 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return Long Short Digital Equity | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 20.500 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Absolute Return Long Short Digital Equity | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Alternative | LUX | NIA | Candriam Luxembourg | Ownership | 0.270 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Alternative | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 74.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Alternative | LUX | NIA | Cordius CIG | Ownership | 18.540 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Alternative Systemat | LUX | NIA | Candriam Luxembourg | Ownership | 0.270 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Alternative Systemat | LUX | NIA | Cordius CIG | Ownership | 18.540 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Alternative Systemat | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 74.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds | LUX | NIA | Candriam Luxembourg | Ownership | 0.060 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Capital Securities | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Convertible Defensive | LUX | NIA | Candriam Luxembourg | Ownership | 0.040 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Convertible Opportunities | LUX | NIA | Candriam Luxembourg | Ownership | 37.690 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Credit Opportunities | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Emerging Debt Local Currencies | LUX | NIA | Candriam Luxembourg | Ownership | 0.050 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Emerging Debt Local Currencies | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Emerging Markets | LUX | NIA | Candriam Luxembourg | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Emerging Markets Total Return | LUX | NIA | Candriam Luxembourg | Ownership | 0.080 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Euro Corporate | LUX | NIA | Candriam Luxembourg | Ownership | 0.030 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Euro Government | LUX | NIA | Candriam Luxembourg | Ownership | 0.040 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Euro High Yield | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Euro Short Term | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Euro Long Term | LUX | NIA | Cordius CIG | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Global High Yield | LUX | NIA | Candriam Luxembourg | Ownership | 0.030 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Global Sovereign Quality | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds International | LUX | NIA | Candriam Luxembourg | Ownership | 0.160 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds International | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Bonds Total Return | LUX | NIA | Candriam Luxembourg | Ownership | 0.030 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Diversified Futures | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Diversified Futures | LUX | NIA | Candriam France | Ownership | 0.670 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Equities L Emerging Markets | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Fund Sustainable Euro Corporate Bonds Fossil Free | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 68.980 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF AUSBIL Global Essential Infrastructure | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF Short Duration US High Yield Bonds | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 34.220 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
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| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | Candriam GF Short Duration US High Yield Bonds | LUX | NIA | Cordius CIG | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF U.S. Equity Opportunities | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 60.680 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF U.S. Equity Opportunities | LUX | NIA | Cordius CIG | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF US High Yield Corporate Bonds | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 80.670 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF US High Yield Corporate Bonds | LUX | NIA | Cordius CIG | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam GF US Corporate Bonds | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 92.140 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Global Alpha | LUX | NIA | Candriam Luxembourg | Ownership | 0.120 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Global Alpha | LUX | NIA | Cordius CIG | Ownership | 1.870 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Index Arbitrage | LUX | NIA | Candriam Luxembourg | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L | LUX | NIA | Candriam Luxembourg | Ownership | 0.060 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 1.680 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L | LUX | NIA | Cordius CIG | Ownership | 0.620 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Balanced Asset Allocation | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Conservative Asset Allocation | LUX | NIA | Candriam Luxembourg | Ownership | 0.180 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Conservative Asset Allocation | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Defensive Asset Allocation | LUX | NIA | Cordius CIG | Ownership | 0.050 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Dynamic Asset Allocation | LUX | NIA | Cordius CIG | Ownership | 5.220 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Multi-Asset Income | LUX | NIA | Candriam Luxembourg | Ownership | 0.060 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Multi-Asset Income & Growth | LUX | NIA | Candriam Luxembourg | Ownership | 0.040 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Multi-Asset Premia | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 24.330 | New York Life Insurance Company | N | |
| | | | | | | | Candriam L Multi-Asset Premia | LUX | NIA | Cordius CIG | Ownership | 8.150 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Long Short Credit | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Money Market | LUX | NIA | Candriam France | Ownership | 0.640 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Money Market | LUX | NIA | Candriam Luxembourg | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Money Market Euro AAA | LUX | NIA | Candriam Luxembourg | Ownership | 0.110 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Money Market Euro AAA | LUX | NIA | Candriam France | Ownership | 4.210 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Multi-Strategies | LUX | NIA | Candriam Belgium | Ownership | 16.180 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Multi-Strategies | LUX | NIA | Candriam France | Ownership | 24.810 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Multi-Strategies | LUX | NIA | Candriam Luxembourg | Ownership | 56.980 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Multi-Strategies | LUX | NIA | Cordius CIG | Ownership | 2.000 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Risk Arbitrage | LUX | NIA | Candriam Luxembourg | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI | LUX | NIA | Candriam Belgium | Ownership | 0.090 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI | LUX | NIA | Candriam France | Ownership | 0.030 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Bond Euro Aggregate Index | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Bond Emerging Markets | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Bond Emerging Markets | LUX | NIA | Candriam France | Ownership | 0.180 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Bond Euro | LUX | NIA | Candriam Luxembourg | Ownership | 0.050 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Bond Euro Corporate | LUX | NIA | Candriam Luxembourg | Ownership | 0.030 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Bond Global High Yield | LUX | NIA | Candriam Luxembourg | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Defensive Asset Allocation | LUX | NIA | Candriam Belgium | Ownership | 8.760 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Equity Emerging Markets | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Equity EMU | LUX | NIA | Candriam Luxembourg | Ownership | 0.020 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Equity Europe | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Equity North America | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Equity Pacific | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam SRI Equity World | LUX | NIA | Candriam Luxembourg | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Sustainable | LUX | NIA | Cordius CIG | Ownership | 0.030 | New York Life Insurance Company | N | |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

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

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|------------|--|---|-----------------------|-----------------------------------|---|--|--|--|-----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domi-ciliary Location | Relation-ship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Re-quired? (Y/N) | * |
| | | | | | | | Candriam Sustainable Euro Bonds | LUX | NIA | Cordius CIG | Ownership | 0.450 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Sustainable Euro Short Term Bonds | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Sustainable High | LUX | NIA | Cordius CIG | Ownership | 0.010 | New York Life Insurance Company | N | |
| | | | | | | | Candriam Sustainable World Bonds | LUX | NIA | Cordius CIG | Ownership | 0.370 | New York Life Insurance Company | N | |
| | | | | | | | Candriam World Alternative | LUX | NIA | Candriam Luxembourg | Ownership | 0.060 | New York Life Insurance Company | N | |
| | | | | | | | Candriam World Alternative | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 29.760 | New York Life Insurance Company | N | |
| | | | | | | | Candriam World Alternative Alphamax | LUX | NIA | New York Life Insurance and Annuity Corporation | Ownership | 37.200 | New York Life Insurance Company | N | |
| | | | | | | | Candriam World Alternative Alphamax | LUX | NIA | Candriam Luxembourg | Ownership | 0.080 | New York Life Insurance Company | N | |
| | | | | | | | Paricor | LUX | NIA | Cordius CIG | Ownership | 0.060 | New York Life Insurance Company | N | |
| | | | | | | | Paricor Patrimonium | LUX | NIA | Cordius CIG | Ownership | 0.070 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Investment Management Limited | AUS | NIA | New York Life Investment Management Holdings II International | Ownership | 79.030 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Australia Pty. Ltd. | AUS | NIA | Ausbil Investment Management Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Asset Management Pty. Ltd. | AUS | NIA | Ausbil Investment Management Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Global Infrastructure Pty. Limited | AUS | NIA | Ausbil Investment Management Limited | Ownership | 55.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Global Infrastructure Pty. Limited | AUS | NIA | Ausbil Investment Management Limited | Ownership | 45.000 | New York Life Insurance Company | N | 13 |
| | | | | | | | ISPT Holding | AUS | NIA | Ausbil Investment Management Limited | Ownership | 0.370 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Investment Management Limited Employee Share Trust | AUS | NIA | Ausbil Investment Management Limited | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil 130/30 Focus Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | 12 |
| | | | | | | | Ausbil IT - Ausbil Dividend Income Fund | AUS | NIA | New York Life Insurance and Annuity Corporation | Ownership | 41.760 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil IT - Ausbil Active Sustainable Equity Fund | AUS | NIA | New York Life Insurance and Annuity Corporation | Ownership | 50.530 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Australian Active Equity Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Australian Concentrated Equity Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Australian Emerging Leaders Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Australian Geared Equity Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Australian Smallcap Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil Balanced Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil EGS Focus Fund | AUS | NIA | Ausbil Investment Management Limited Employee Share Trust | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil IT - Ausbil Global Essential Infrastructure Fund | AUS | NIA | New York Life Insurance and Annuity Corporation | Ownership | 57.770 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil IT - Ausbil Global Resources Fund | AUS | NIA | New York Life Insurance and Annuity Corporation | Ownership | 91.410 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil IT - Ausbil Global SmallCap Fund | AUS | NIA | New York Life Insurance and Annuity Corporation | Ownership | 74.120 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil IT - Ausbil Microcap Fund | AUS | NIA | New York Life Insurance and Annuity Corporation | Ownership | 16.160 | New York Life Insurance Company | N | |
| | | | | | | | Ausbil IT - MacKay Shields Unconstrained Bond Fund | AUS | NIA | New York Life Insurance and Annuity Corporation | Ownership | 99.180 | New York Life Insurance Company | N | |
| | | | 56-2412827 | 3663273 | 0000914898 | | NYLIFE Distributors LLC | DE | NIA | New York Life Investment Management Holdings LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Huntsville NYL LLC | DE | NIA | NYLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

13.20

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|-----|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | | | | | CC Acquisitions, LP | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Cedar Farms TN LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Cedar Farms JV LLC | DE | NIA | REEP-IND Cedar Farms TN LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | 61-1724274 | | | | REEP-IND Continental NC LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 46-3561738 | | | | LRC-Patriot, LLC | DE | NIA | REEP-IND Continental NC LLC | Ownership | 93.000 | New York Life Insurance Company | N | |
| | | | 35-2496884 | | | | REEP-LRC Industrial LLC | DE | NIA | LRC-Patriot, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND Forest Park NJ LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Building 4 LLC | DE | NIA | REEP-IND Forest Park NJ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Building 1-2-3 LLC | DE | NIA | REEP-IND Forest Park NJ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Building 17, LLC | DE | NIA | REEP-IND Forest Park NJ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Building 20, LLC | DE | NIA | REEP-IND Forest Park NJ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Mantua Grove LLC | DE | NIA | REEP-IND Forest Park NJ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | FP Lot 1.01 LLC | DE | NIA | REEP-IND Forest Park NJ LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND NJ LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NJIND JV LLC | DE | NIA | REEP-IND NJ LLC | Ownership | 93.000 | New York Life Insurance Company | N | |
| | | | | | | | NJIND Hook Road LLC | DE | NIA | NJIND JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NJIND Bay Avenue LLC | DE | NIA | NJIND JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | NJIND Corbin Street LLC | DE | NIA | NJIND JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Cumberland TN LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Cumberland Apartments, LLC | TN | NIA | REEP-MF Cumberland TN LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Enclave TX LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Enclave CAF LLC | DE | NIA | REEP-MF Enclave TX LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Marina Landing WA LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-SP Marina Landing LLC | DE | NIA | REEP-MF Marina Landing WA LLC | Ownership | 98.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Mira Loma II TX LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Mira Loma II, LLC | DE | NIA | REEP-MF Mira Loma II TX LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Summitt Ridge CO LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Summitt Ridge Apartments, LLC | DE | NIA | REEP-MF Summitt Ridge CO LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Woodridge IL LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OF Centerpointe VA LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Centerpointe Fairfax Holdings LLC | DE | NIA | REEP-OF Centerpointe VA LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC 575 Lex NY LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC 575 Lex NY GP LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Maple REEP-OFC 575 Lex Holdings LP | DE | NIA | REEP-OFC 575 Lex NY GP LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | Maple REEP-OFC 575 Lex Owner LLC | DE | NIA | REEP-OFC 575 Lex NY GP LLC | Ownership | 50.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-RTL SASI GA LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-RTL Bradford PA LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC Royal Centre GA LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Royal Centre, LLC | DE | NIA | REEP-OFC Royal Centre GA LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-RTL CTC NY LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC 5005 LBJ Freeway TX LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 97.000 | New York Life Insurance Company | N | |
| | | | | | | | 5005 LBJ Tower LLC | DE | NIA | REEP-OFC 5005 LBJ Freeway TX LLC | Ownership | 97.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF SPENCER NV LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-HZ SPENCER JV LLC | DE | NIA | REEP-MF SPENCER NV LLC | Ownership | 92.700 | New York Life Insurance Company | N | |
| | | | | | | | REEP-HZ SPENCER LLC | DE | NIA | REEP-HZ SPENCER JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC/RTL MARKET ROSS TX LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 37-1842612 | | | | MARKET ROSS TX JV LLC | DE | NIA | REEP-OFC/RTL MARKET ROSS TX LLC | Ownership | 98.700 | New York Life Insurance Company | N | |
| | | | 61-1808552 | | | | MARKET ROSS TX GARAGE OWNER LC | DE | NIA | MARKET ROSS TX JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 36-4852864 | | | | MARKET ROSS TX OFFICE OWNER LLC | DE | NIA | MARKET ROSS TX JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | 32-0511592 | | | | MARKET ROSS TX RETAIL OWNER LLC | DE | NIA | MARKET ROSS TX JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC Mallory TN LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | 3665 Mallory JV LLC | DE | NIA | REEP-OFC Mallory TN LLC | Ownership | 90.900 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC Water Ridge NC LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC Viridian AZ LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

13.21

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE Y

PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|------------|------------|-------------------|------------|--------------|-----|--|---|----------------------|----------------------------------|--|--|--|--|----------------------------------|----|
| Group Code | Group Name | NAIC Company Code | ID Number | Federal RSSD | CIK | Name of Securities Exchange if Publicly Traded (U.S. or International) | Names of Parent, Subsidiaries Or Affiliates | Domiciliary Location | Relationship to Reporting Entity | Directly Controlled by (Name of Entity/Person) | Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other) | If Control is Ownership Provide Percentage | Ultimate Controlling Entity(ies)/Person(s) | Is an SCA Filing Required? (Y/N) | * |
| | | | 30-1018932 | | | | REEP-Hines Viridian JV LLC | DE | NIA | REEP-OFC Viridian AZ LLC | Ownership | 73.031 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC 2300 EMPIRE LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF Wynnewood PA LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | Wynnewood JV LLC | DE | NIA | REEP-MF Wynnewood PA LLC | Ownership | 92.500 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MU Fayetteville NC LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | 501 Fayetteville JV LLC | DE | NIA | REEP-MU Fayetteville NC LLC | Ownership | 85.000 | New York Life Insurance Company | N | |
| | | | | | | | 501 Fayetteville Owner LLC | DE | NIA | 501 Fayetteville JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MU SOUTH GRAHAM NC LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | 401 SOUTH GRAHAM JV LLC | DE | NIA | REEP-MU SOUTH GRAHAM NC LLC | Ownership | 90.000 | New York Life Insurance Company | N | |
| | | | | | | | 401 SOUTH GRAHAM OWNER LLC | DE | NIA | 401 SOUTH GRAHAM JV LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-IND COMMERCE CITY CO LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-BRENNAN COMMERCE CITY JV LLC | DE | NIA | REEP-IND COMMERCE CITY CO LLC | Ownership | 95.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF ART TOWER OR LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-MF ART TOWER JV LLC | DE | NIA | REEP-MF ART TOWER OR LLC | Ownership | 95.000 | New York Life Insurance Company | N | |
| | | | | | | | REEP-OFC Mass Ave MA LLC | DE | NIA | NyLife Real Estate Holdings, LLC | Ownership | 100.000 | New York Life Insurance Company | N | |

| Asterisk | Explanation |
|----------|--|
| 1 | Contractual Client - Madison Capital Funding LLC, an indirect wholly owned affiliate of the Company, has contractual control of this entity's loan portfolio. |
| 2 | Control of this entity is pursuant to an investment management contract with New York Life Investment Management Holdings LLC or affiliate, not through ownership of voting interests. |
| 3 | GoldPoint Partners LLC owns 24.66% of the voting management shares. NYLCAP India Funding LLC owns 36% of non-voting carry shares. |
| 4 | GoldPoint Partners LLC owns 24.66% of the voting management shares. NYLCAP India Funding III LLC owns 31.36% of non-voting carry shares. |
| 5 | Investment Pool - Investment pool of leveraged loans managed by New York Life Investment Management LLC, an indirect wholly owned affiliate of the Company. |
| 6 | Reliance Relationship - Entire proceeds of the entity are invested in a funding agreement of the Company. |
| 7 | Energy Contracts and Aircraft Loans Investments - with 100% of the investments coming from the Company and its wholly owned affiliate New York Life Insurance and Annuity Corporation. |
| 8 | Control of this entity is pursuant to an investment management contract with Private Advisors LLC, or affiliate, not through ownership of voting interests. |
| 9 | Investment Pool - Investment pool of mixed assets managed by New York Life Investment Management LLC, an indirect wholly owned affiliate of the Company. |
| 10 | One share held by Candriam Luxco S.á.r.l. |
| 11 | Control of this entity is pursuant to a management contract with NYL Investors LLC. |
| 12 | Ausbil Investment Management Limited has sole authority over the management of the fund. |
| 13 | 45% of Ausbil Global Infrastructure Pty. Limited is owned by employees of the company. |

13.22

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing. However, in the event that your company does not transact the type of business for which the special report must be filed, your response of NO to the specific interrogatory will be accepted in lieu of filing a "NONE" report and a bar code will be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and provide an explanation following the interrogatory questions.

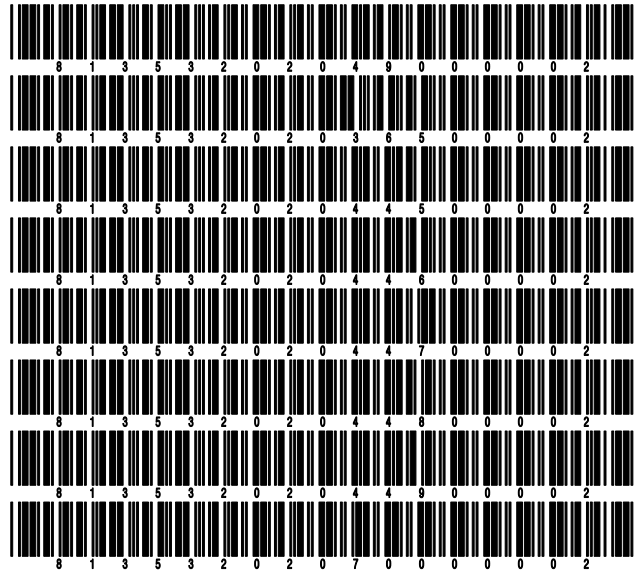
| | Response |
|---|----------|
| 1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement? | NO |
| 2. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement? | NO |
| 3. Will the Reasonableness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

Explanation:

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.

Bar Code:

1. Trusteed Surplus Statement [Document Identifier 490]
2. Medicare Part D Coverage Supplement [Document Identifier 365]
3. Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV [Document Identifier 445]
4. Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXV [Document Identifier 446]
5. Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI [Document Identifier 447]
6. Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI [Document Identifier 448]
7. Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value) [Document Identifier 449]
8. Life PBR Statement of Exemption (2nd Quarter Only) [Document Identifier 700]



OVERFLOW PAGE FOR WRITE-INS

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE A - VERIFICATION

Real Estate

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

NONE

SCHEDULE B - VERIFICATION

Mortgage Loans

| | 1 Year to Date | 2 Prior Year Ended December 31 |
|---|-------------------|--------------------------------------|
| 1. Book value/recorded investment excluding accrued interest, December 31 of prior year | | |
| 2. Cost of acquired: | | |
| 2.1 Actual cost at time of acquisition | | |
| 2.2 Additional investment made after acquisition | | |
| 3. Capitalized deferred interest and other | | |
| 4. Accrual of discount | | |
| 5. Unrealized valuation increase (decrease) | | |
| 6. Total gain (loss) on disposals | | |
| 7. Deduct amounts received on disposals | | |
| 8. Deduct amortization of premium and mortgage interest premium and commitment fees | | |
| 9. Total foreign exchange change in book value/recorded investment excluding accrued interest | | |
| 10. Deduct current year's other than temporary impairment recognized | | |
| 11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) | | |
| 12. Total valuation allowance | | |
| 13. Subtotal (Line 11 plus Line 12) | | |
| 14. Deduct total nonadmitted amounts | | |
| 15. Statement value at end of current period (Line 13 minus Line 14) | | |

NONE

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

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

NONE

SCHEDULE D - VERIFICATION

Bonds and Stocks

| | 1 Year to Date | 2 Prior Year Ended December 31 |
|---|-------------------|--------------------------------------|
| 1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year | 137,499,223 | 147,271,235 |
| 2. Cost of bonds and stocks acquired | 11,682,562 | 15,389,911 |
| 3. Accrual of discount | 46,585 | 89,509 |
| 4. Unrealized valuation increase (decrease) | | |
| 5. Total gain (loss) on disposals | 86,545 | 418,310 |
| 6. Deduct consideration for bonds and stocks disposed of | 9,041,504 | 25,437,790 |
| 7. Deduct amortization of premium | 109,695 | 247,363 |
| 8. Total foreign exchange change in book/adjusted carrying value | | |
| 9. Deduct current year's other than temporary impairment recognized | | |
| 10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees | 17,036 | 15,411 |
| 11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10) | 140,180,752 | 137,499,223 |
| 12. Deduct total nonadmitted amounts | | |
| 13. Statement value at end of current period (Line 11 minus Line 12) | 140,180,752 | 137,499,223 |

STATEMENT AS OF JUNE 30, 2020 OF THE NYLIFE INSURANCE COMPANY OF ARIZONA

SCHEDULE D - PART 1B

Showing the Acquisitions, Dispositions and Non-Trading Activity
During the Current Quarter for all Bonds and Preferred Stock by NAIC Designation

| NAIC Designation | 1 Book/Adjusted Carrying Value Beginning of Current Quarter | 2 Acquisitions During Current Quarter | 3 Dispositions During Current Quarter | 4 Non-Trading Activity During Current Quarter | 5 Book/Adjusted Carrying Value End of First Quarter | 6 Book/Adjusted Carrying Value End of Second Quarter | 7 Book/Adjusted Carrying Value End of Third Quarter | 8 Book/Adjusted Carrying Value December 31 Prior Year |
|-------------------------------------|---|--|--|--|---|--|---|---|
| BONDS | | | | | | | | |
| 1. NAIC 1 (a) | 128,495,636 | 21,658,955 | 16,587,054 | (4,618,396) | 128,495,636 | 128,949,141 | | 133,622,370 |
| 2. NAIC 2 (a) | 12,528,377 | 1,223,001 | 549,887 | 4,588,943 | 12,528,377 | 17,790,434 | | 8,838,332 |
| 3. NAIC 3 (a) | 174,535 | | | 56 | 174,535 | 174,591 | | |
| 4. NAIC 4 (a) | | | | | | | | |
| 5. NAIC 5 (a) | | | | | | | | |
| 6. NAIC 6 (a) | | | | | | | | |
| 7. Total Bonds | 141,198,548 | 22,881,956 | 17,136,941 | (29,397) | 141,198,548 | 146,914,166 | | 142,460,702 |
| PREFERRED STOCK | | | | | | | | |
| 8. NAIC 1 | | | | | | | | |
| 9. NAIC 2 | | | | | | | | |
| 10. NAIC 3 | | | | | | | | |
| 11. NAIC 4 | | | | | | | | |
| 12. NAIC 5 | | | | | | | | |
| 13. NAIC 6 | | | | | | | | |
| 14. Total Preferred Stock | | | | | | | | |
| 15. Total Bonds and Preferred Stock | 141,198,548 | 22,881,956 | 17,136,941 | (29,397) | 141,198,548 | 146,914,166 | | 142,460,702 |

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

NAIC 1 \$ 6,733,417 ; NAIC 2 \$; NAIC 3 \$; NAIC 4 \$; NAIC 5 \$; NAIC 6 \$

S102

SCHEDULE DA - PART 1

Short-Term Investments

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

NONE

SCHEDULE DA - VERIFICATION

Short-Term Investments

| | 1 | 2 |
|---|--------------|------------------------------|
| | Year To Date | Prior Year Ended December 31 |
| 1. Book/adjusted carrying value, December 31 of prior year | | |
| 2. Cost of short-term investments acquired | | 3,423,782 |
| 3. Accrual of discount | | 28,797 |
| 4. Unrealized valuation increase (decrease) | | |
| 5. Total gain (loss) on disposals | | 820 |
| 6. Deduct consideration received on disposals | | 3,453,399 |
| 7. Deduct amortization of premium | | |
| 8. Total foreign exchange change in book/adjusted carrying value | | |
| 9. Deduct current year's other than temporary impairment recognized | | |
| 10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) | | |
| 11. Deduct total nonadmitted amounts | | |
| 12. Statement value at end of current period (Line 10 minus Line 11) | | |

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards

N O N E

Schedule DB - Part B - Verification - Futures Contracts

N O N E

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

N O N E

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

N O N E

Schedule DB - Verification - Book/Adjusted Carrying Value, Fair Value and Potential Exposure of
Derivatives

N O N E

SCHEDULE E - PART 2 - VERIFICATION

(Cash Equivalents)

| | 1 | 2 |
|---|--------------|---------------------------------|
| | Year To Date | Prior Year Ended December 31 |
| 1. Book/adjusted carrying value, December 31 of prior year | 4,963,995 | 4,666,728 |
| 2. Cost of cash equivalents acquired | 136,485,761 | 109,435,814 |
| 3. Accrual of discount | 23,726 | 84,429 |
| 4. Unrealized valuation increase (decrease) | | |
| 5. Total gain (loss) on disposals | (60) | 699 |
| 6. Deduct consideration received on disposals | 134,471,564 | 109,223,675 |
| 7. Deduct amortization of premium | | |
| 8. Total foreign exchange change in book/adjusted carrying value | | |
| 9. Deduct current year's other than temporary impairment recognized | | |
| 10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) | 7,001,858 | 4,963,995 |
| 11. Deduct total nonadmitted amounts | | |
| 12. Statement value at end of current period (Line 10 minus Line 11) | 7,001,858 | 4,963,995 |