

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 <div style="text-align: center; font-size: 1.2em; font-weight: bold;">2020</div> This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>	
A This return/report is for:	☐ a multiemployer plan ☒ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
	☐ a single-employer plan ☐ a DFE (specify) ____
B This return/report is:	☐ the first return/report ☐ the final return/report
	☐ an amended return/report ☐ a short plan year return/report (less than 12 months)
C If the plan is a collectively-bargained plan, check here.	☐
D Check box if filing under:	☒ Form 5558 ☐ automatic extension ☐ the DFVC program
	☐ special extension (enter description)

Part II	Basic Plan Information —enter all requested information				
1a Name of plan <u>OPTUMCARE MANAGEMENT, LLC 401(K) RETIREMENT SAVINGS PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>003</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>01/04/1989</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>003</u>	1c Effective date of plan <u>01/04/1989</u>	
1b Three-digit plan number (PN) ▶	<u>003</u>				
1c Effective date of plan <u>01/04/1989</u>					
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>OPTUMCARE MANAGEMENT, LLC</u> <u>C/O UNITEDHEALTH GROUP INCORPORATED</u> <u>9900 BREN ROAD EAST</u> <u>MN008-R120</u> <u>MINNETONKA, MN 55343</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) <u>95-4509662</u></td> </tr> <tr> <td>2c Plan Sponsor's telephone number <u>952-936-1300</u></td> </tr> <tr> <td>2d Business code (see instructions) <u>621491</u></td> </tr> </table>	2b Employer Identification Number (EIN) <u>95-4509662</u>	2c Plan Sponsor's telephone number <u>952-936-1300</u>	2d Business code (see instructions) <u>621491</u>	
2b Employer Identification Number (EIN) <u>95-4509662</u>					
2c Plan Sponsor's telephone number <u>952-936-1300</u>					
2d Business code (see instructions) <u>621491</u>					

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	08/31/2021	DAVID E. STRAUSS
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.		
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE	Filed with authorized/valid electronic signature.		
	Signature of DFE	Date	Enter name of individual signing as DFE

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

Form 5500 (2020)
v. 200204

3a Plan administrator's name and address ☐ Same as Plan Sponsor UNITEDHEALTH GROUP EMPLOYEE BENEFITS PLANS ADMINISTRATIVE COMMITTEE UNITEDHEALTH GROUP INCORPORATED 9900 BREN ROAD EAST MN008-R120 MINNETONKA, MN 55343		3b Administrator's EIN 41-1321939 3c Administrator's telephone number 952-936-1300																				
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN																				
5 Total number of participants at the beginning of the plan year		5 18098																				
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d). a(1) Total number of active participants at the beginning of the plan year..... a(2) Total number of active participants at the end of the plan year b Retired or separated participants receiving benefits..... c Other retired or separated participants entitled to future benefits d Subtotal. Add lines 6a(2) , 6b , and 6c e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. f Total. Add lines 6d and 6e g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td colspan="2" style="height: 20px;"></td></tr> <tr><td style="width: 15%;">6a(1)</td><td style="text-align: right;">15920</td></tr> <tr><td>6a(2)</td><td style="text-align: right;">17067</td></tr> <tr><td>6b</td><td style="text-align: right;">19</td></tr> <tr><td>6c</td><td style="text-align: right;">2740</td></tr> <tr><td>6d</td><td style="text-align: right;">19826</td></tr> <tr><td>6e</td><td style="text-align: right;">22</td></tr> <tr><td>6f</td><td style="text-align: right;">19848</td></tr> <tr><td>6g</td><td style="text-align: right;">9832</td></tr> <tr><td>6h</td><td style="text-align: right;">505</td></tr> </table>			6a(1)	15920	6a(2)	17067	6b	19	6c	2740	6d	19826	6e	22	6f	19848	6g	9832	6h	505
6a(1)	15920																					
6a(2)	17067																					
6b	19																					
6c	2740																					
6d	19826																					
6e	22																					
6f	19848																					
6g	9832																					
6h	505																					
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7																				
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2F 2G 2J 2K 2R 2T 2E 3D 3H b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:																						
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor																					
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)																						
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary	b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☐ <u>0</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)																					

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2020
		This Form is Open to Public Inspection.

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020		
A Name of plan OPTUMCARE MANAGEMENT, LLC 401(K) RETIREMENT SAVINGS PLAN	B Three-digit plan number (PN) ▶	003
C Plan sponsor's name as shown on line 2a of Form 5500 OPTUMCARE MANAGEMENT, LLC	D Employer Identification Number (EIN) 95-4509662	

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

- a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. ☒ Yes ☐ No
- b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
FIDELITY INVESTMENTS INSTL OPS CO
04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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

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

STRATEGIC ADVISORS, INC.

04-2654524

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	ADVISOR	279298	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

FIDELITY INVESTMENTS INSTL OPS CO

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
37 60 64 65 71	RECORDKEEPER	185352	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

HOLTHOUSE CARLIN & VAN TRIGHT LLP

95-4345526

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/ AUDITOR	18000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

BAKER TILLY VIRCHOW KRAUSE

39-0859910

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/ AUDITOR	15000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BROKERAGE LINK 04-2647786	SEE SCHEDULE C ATTACHMENT LABELED - BROKERAGE LINK INDIRECT FEES	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
LZRD EMRG MKTS EQ IS-DST ASSET MANA 430 W 7TH STREET STE 219432 KANSAS CITY, MO 64105	0.15%	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
NORTHERN SM CAP VAL-NORTHERN TRUST 36-2723087	0.40%	

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)
(complete as many entries as needed)

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

SCHEDULE D (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small>	DFE/Participating Plan Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection.
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For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

A Name of plan <u>OPTUMCARE MANAGEMENT, LLC 401(K) RETIREMENT SAVINGS PLAN</u>	B Three-digit plan number (PN) ►	<u>003</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>OPTUMCARE MANAGEMENT, LLC</u>	D Employer Identification Number (EIN) <u>95-4509662</u>	

Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIAM BLEND TD 2060</u>		
b Name of sponsor of entity listed in (a): <u>FIAM TRUST COMPANY</u>		
c EIN-PN <u>20-4659714-147</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>3906325</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIAM BLEND TD 2005</u>		
b Name of sponsor of entity listed in (a): <u>FIAM TRUST COMPANY</u>		
c EIN-PN <u>20-4659714-086</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>596616</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIAM BLEND TD 2010</u>		
b Name of sponsor of entity listed in (a): <u>FIAM TRUST COMPANY</u>		
c EIN-PN <u>20-4659714-087</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>5717953</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIAM BLEND TD 2045</u>		
b Name of sponsor of entity listed in (a): <u>FIAM TRUST COMPANY</u>		
c EIN-PN <u>20-4659714-094</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>35073568</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIAM BLEND TD INC</u>		
b Name of sponsor of entity listed in (a): <u>FIDELITY MANAGEMENT TRUST COMPANY</u>		
c EIN-PN <u>20-4659714-085</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>3935274</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIAM BLEND TD 2015</u>		
b Name of sponsor of entity listed in (a): <u>FIAM TRUST COMPANY</u>		
c EIN-PN <u>20-4659714-088</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>6197556</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIAM BLEND TD 2030</u>		
b Name of sponsor of entity listed in (a): <u>FIAM TRUST COMPANY</u>		
c EIN-PN <u>20-4659714-091</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>58970654</u>

a Name of MTIA, CCT, PSA, or 103-12 IE: FIAM BLEND TD 2025

b Name of sponsor of entity listed in (a): FIAM TRUST COMPANY

c EIN-PN 20-4659714-090	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 43291365
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a Name of MTIA, CCT, PSA, or 103-12 IE: FIAM BLEND TD 2035

b Name of sponsor of entity listed in (a): FIAM TRUST COMPANY

c EIN-PN 20-4659714-092	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 45352236
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a Name of MTIA, CCT, PSA, or 103-12 IE: FIAM BLEND TD 2050

b Name of sponsor of entity listed in (a): FIAM TRUST COMPANY

c EIN-PN 20-4659714-095	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 25013334
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a Name of MTIA, CCT, PSA, or 103-12 IE: FIAM BLEND TD 2055

b Name of sponsor of entity listed in (a): FIAM TRUST COMPANY

c EIN-PN 20-4659714-113	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 13251020
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a Name of MTIA, CCT, PSA, or 103-12 IE: FIAM BLEND TD 2020

b Name of sponsor of entity listed in (a): FIAM TRUST COMPANY

c EIN-PN 20-4659714-089	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 29180964
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a Name of MTIA, CCT, PSA, or 103-12 IE: FIAM BLEND TD 2040

b Name of sponsor of entity listed in (a): FIAM TRUST COMPANY

c EIN-PN 20-4659714-093	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 44284636
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a Name of MTIA, CCT, PSA, or 103-12 IE: FIAM BLEND TD 2065

b Name of sponsor of entity listed in (a): FIAM TRUST COMPANY

c EIN-PN 20-4659714-168	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 71695
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a Name of MTIA, CCT, PSA, or 103-12 IE: MIP CL 1

b Name of sponsor of entity listed in (a): FIDELITY MANAGEMENT TRUST COMPANY

c EIN-PN 04-3022712-024	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
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a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
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Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

a Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
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plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2020 This Form is Open to Public Inspection
For calendar plan year 2020 or fiscal plan year beginning <u>01/01/2020</u> and ending <u>12/31/2020</u>		
A Name of plan <u>OPTUMCARE MANAGEMENT, LLC 401(K) RETIREMENT SAVINGS PLAN</u>	B Three-digit plan number (PN) ►	<u>003</u>
C Plan sponsor's name as shown on line 2a of Form 5500 <u>OPTUMCARE MANAGEMENT, LLC</u>	D Employer Identification Number (EIN) <u>95-4509662</u>	

Part I	Asset and Liability Statement		
1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.			
Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	7749335	8336761
(2) Participant contributions.....	1b(2)	1780012	19170
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)		
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other.....	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants).....	1c(7)		
(8) Participant loans	1c(8)	9646016	8065079
(9) Value of interest in common/collective trusts	1c(9)	280194216	314843196
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	501045194	549562793
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)		
(15) Other.....	1c(15)	42809234	57454292

1d Employer-related investments:		(a) Beginning of Year	(b) End of Year
(1) Employer securities.....	1d(1)		
(2) Employer real property.....	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	843224007	938281291

Liabilities

g Benefit claims payable	1g		
h Operating payables	1h		
i Acquisition indebtedness.....	1i		
j Other liabilities.....	1j		
k Total liabilities (add all amounts in lines 1g through 1j)	1k	0	0

Net Assets

l Net assets (subtract line 1k from line 1f)	1l	843224007	938281291
---	-----------	-----------	-----------

Part II Income and Expense Statement

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

Income

		(a) Amount	(b) Total
a Contributions:			
(1) Received or receivable in cash from: (A) Employers	2a(1)(A)	23095105	
(B) Participants	2a(1)(B)	68011965	
(C) Others (including rollovers).....	2a(1)(C)	8071099	
(2) Noncash contributions	2a(2)		99178169
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)	173906	
(B) U.S. Government securities	2b(1)(B)	4938	
(C) Corporate debt instruments	2b(1)(C)	342	
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans.....	2b(1)(E)	627660	
(F) Other	2b(1)(F)		
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		806846
(2) Dividends: (A) Preferred stock.....	2b(2)(A)		24773788
(B) Common stock	2b(2)(B)	249299	
(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	24524489	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	58070896	618090
(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	57452806	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		7052957
(B) Other	2b(5)(B)	7052957	
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		49395089
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		67799907
c Other income	2c		
d Total income. Add all income amounts in column (b) and enter total.....	2d		249624846

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	77664724	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other.....	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3)	2e(4)		77664724
f Corrective distributions (see instructions)	2f		221260
g Certain deemed distributions of participant loans (see instructions).....	2g		119073
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)	279298	
(4) Other.....	2i(4)	218352	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		497650
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		78502707

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		171122139
l Transfers of assets:			
(1) To this plan.....	2l(1)		
(2) From this plan	2l(2)		76064855

Part III Accountant's Opinion

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

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

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

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) ☒ DOL Regulation 2520.103-8 (2) ☐ DOL Regulation 2520.103-12(d) (3) ☐ neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

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

(1) Name: **BAKER TILLY US, LLP**

(2) EIN: **39-0859910**

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

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

Part IV Compliance Questions

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

During the plan year:

	Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)			
4a	X		19004297

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d		X	
e Was this plan covered by a fidelity bond?	X		500000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)			
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?			
4k		X	
l Has the plan failed to provide any benefit when due under the plan?			
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m		X	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

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

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

5b(1) Name of plan(s)	5b(2) EIN(s)	5b(3) PN(s)
INTERMOUNTAIN HEALTHCARE SAVINGS PLUS 401(K) PLAN	87-0269232	002

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

<div>SCHEDULE R (Form 5500) <div>Department of the Treasury Internal Revenue Service</div><div>Department of Labor Employee Benefits Security Administration</div><div>Pension Benefit Guaranty Corporation</div></div>		<div>Retirement Plan Information</div> <div>This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).</div> <div>▶ File as an attachment to Form 5500.</div>		<div>OMB No. 1210-0110</div> <div>2020</div> <div>This Form is Open to Public Inspection.</div>	
For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020					
A Name of plan OPTUMCARE MANAGEMENT, LLC 401(K) RETIREMENT SAVINGS PLAN				B Three-digit plan number (PN) ▶	003
C Plan sponsor's name as shown on line 2a of Form 5500 OPTUMCARE MANAGEMENT, LLC				D Employer Identification Number (EIN) 95-4509662	
Part I Distributions					
All references to distributions relate only to payments of benefits during the plan year.					
1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....				1	0
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 04-6568107					
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.					
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year				3	
Part II Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)					
4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ☐ Yes ☐ No ☐ N/A If the plan is a defined benefit plan, go to line 8.					
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.					
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)				6a	
b Enter the amount contributed by the employer to the plan for this plan year				6b	
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount).....				6c	
If you completed line 6c, skip lines 8 and 9.					
7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ☐ Yes ☐ No ☐ N/A					
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ☐ Yes ☐ No ☐ N/A					
Part III Amendments					
9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box..... ☐ Increase ☐ Decrease ☐ Both ☐ No					
Part IV ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.					
10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ☐ Yes ☐ No					
11 a Does the ESOP hold any preferred stock? ☐ Yes ☐ No					
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ☐ Yes ☐ No					
12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ☐ Yes ☐ No					
For Paperwork Reduction Act Notice, see the Instructions for Form 5500.				Schedule R (Form 5500) 2020 v. 200204	

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

- 14** Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....

14a

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14b

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14c

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year.....

15a

b The corresponding number for the second preceding plan year.....

15b

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year.....

16a

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers.....

16b

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:

Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:

☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?

☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify): _____

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation _____



**OPTUMCARE MANAGEMENT, LLC
401(K) RETIREMENT SAVINGS PLAN**

MINNETONKA, MN

Employer ID No: 95-4509662

Plan No: 003

FINANCIAL STATEMENTS

Including Independent Auditors' Report

As of December 31, 2020 and 2019, and for the Year Ended
December 31, 2020

OptumCare Management, LLC 401(k) Retirement Savings Plan

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INDEPENDENT AUDITORS' REPORT

Plan Administrator and Participants of the
OptumCare Management, LLC 401(k) Retirement Savings Plan
Minnetonka, Minnesota

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of OptumCare Management, LLC 401(k) Retirement Savings Plan (the "Plan"), which comprise the statements of net assets available for benefits as of December 31, 2020 and 2019, and the related statement of changes in net assets available for benefits for the year ended December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditors' Responsibility

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

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's ("DOL") Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 ("ERISA"), the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by Fidelity Management Trust Company, the trustee of the Plan, except for comparing such information with the related information included in the financial statements. We have been informed by the Plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from the trustee, as of December 31, 2020 and 2019 and for the year ended December 31, 2020, that the information provided to the Plan administrator by the trustee is complete and accurate.

Disclaimer of Opinion

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

Other Matter - Report on Supplemental Information

The supplemental schedules of assets (held at end of year) as of December 31, 2020 and delinquent participant contributions for the year ended December 31, 2020 are required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA and are presented for the purpose of additional analysis and are not a required part of the financial statements. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on these supplemental schedules referred to above.

Report on Form and Content in Compliance with Department of Labor's Rules and Regulations

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

Baker Tilly US, LLP

Minneapolis, Minnesota
August 30, 2021

OptumCare Management, LLC 401(k) Retirement Savings Plan

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS As of December 31, 2020 and 2019

	2020	2019
ASSETS		
Investments - at fair value	\$ 921,860,281	\$ 824,048,644
Receivables		
Participant contributions	19,170	1,780,012
Employer contributions	8,336,761	7,749,335
Notes receivable from participants	8,597,687	10,154,651
Total receivables	16,953,618	19,683,998
TOTAL ASSETS	938,813,899	843,732,642
LIABILITIES		
Excess contribution payable	587,365	182,921
Due to unaffiliated plan	13,618,221	-
TOTAL LIABILITIES	14,205,586	182,921
NET ASSETS AVAILABLE FOR BENEFITS	\$ 924,608,313	\$ 843,549,721

See accompanying notes to the financial statements.

OptumCare Management, LLC 401(k) Retirement Savings Plan

STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS For the Year Ended December 31, 2020

ADDITIONS

Additions to net assets attributed to

Net appreciation in fair value of investments	\$ 125,637,901
Interest and dividend income	24,181,115

Contributions	
Participant	67,424,600
Employer	23,095,105
Rollover	8,071,099

Interest income on notes receivable from participants	<u>659,650</u>
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Total additions	<u>249,069,470</u>
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DEDUCTIONS

Deductions from net assets attributed to

Benefits paid to participants	77,791,501
Administrative expenses	<u>497,648</u>

Total deductions	<u>78,289,149</u>
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NET INCREASE BEFORE PLAN TRANSFERS	170,780,321
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NET TRANSFERS OUT OF THE PLAN	<u>89,721,729</u>
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NET INCREASE	81,058,592
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NET ASSETS AVAILABLE FOR BENEFITS

Beginning of year	<u>843,549,721</u>
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End of year	<u>\$ 924,608,313</u>
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See accompanying notes to the financial statements.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 1 - Description of the Plan

The following description of the OptumCare Management, LLC 401(k) Retirement Savings Plan ("the Plan") provides only general information. Participants should refer to the Plan document for a more complete description of the Plan's provisions.

General

The Plan is a multiple employer defined contribution plan sponsored by OptumCare Management, LLC ("the Company"). The participating employers are collectively referred to as ("the Employers"). Employees who are age eighteen (18) or older are eligible for elective deferrals to the Plan. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended (ERISA).

Effective June 16, 2020, the Company delegated its rights and responsibilities as plan administrator, except with respect to plan investments, to the UnitedHealth Group Employee Benefits Plans Administrative Committee ("Plan Administrator"). The Company delegated its rights and responsibilities for investment authority and oversight of the Plan's assets to the UnitedHealth Group Employee Benefits Plans Investment Committee ("Investment Committee"). The Investment Committee determines the appropriateness of the Plan's investment offerings and monitors investment performance.

Effective December 31, 2020, the employees of unrelated companies HCP IPA Nevada, LLC, HealthCare Partners Management Services Nevada, LLC, and HealthCare Partners Medical Group (Coats), Ltd were transferred to the Intermountain Healthcare Savings Plus 401(k) Plan with total assets of \$89,721,729. Of this amount, \$13,618,221 is recorded as due to unaffiliated plan on the Statement of Net Assets Available for Benefits as of December 31, 2020 as the transfer was not completed until 2021.

CARES Act

On March 27, 2020, the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) was signed into law. The provisions of the CARES Act affecting employer-sponsored retirement plans were optional. During 2020, the Plan opted into the following provisions of the CARES Act:

- Coronavirus-related distributions – Qualified individuals, as defined in the CARES Act, were permitted to take a coronavirus-related distribution of up to the lesser of \$100,000 or 100% of their vested account from the Plan, without incurring a 10% early withdrawal penalty. Eligible distributions were permitted to be taken until December 30, 2020. Distributions may be repaid to an eligible retirement plan within three years or a participant may elect to include these distributions in taxable income on a pro rata basis over three years.
- Participant loans – Qualified individuals with loans outstanding were permitted to suspend 2020 loan repayments through December 31, 2020. Additionally, qualified individuals were eligible to borrow up to a maximum equal to the lesser of \$100,000 or 100% of their vested account balance during 2020 (an increase from \$50,000 and from 50% of their vested account balance previously permitted), with repayments suspended until 2021.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 1 - Description of the Plan (cont.)

Contributions

Each year, participants may contribute an amount up to the maximum dollar amount permissible under the Internal Revenue Code ("the Code"). The Plan allows participants to contribute a minimum of 1% and up to 75% of their eligible pay. Elective deferrals include pre-tax deferrals, Roth deferrals, and rollover contributions. Participants who have attained age 50 before the end of the plan year may make additional catch-up contributions, subject to limitations imposed by the Code.

Depending on which Employer the participant is employed by, eligible employees may receive an employer matching contribution of 50% of the employee's contribution up to 6% of eligible compensation, or 50% of the employee's contribution up to 3% of eligible compensation. Certain employees are not eligible for employer matching contributions. The Employers also make a fixed flat dollar non-elective contribution for certain participants in amounts that vary based on position and years of service within limitations as determined by the Code. Non-elective contributions of \$7,989,379 were made for the year ended December 31, 2020. The Employers may, in their discretion, contribute an additional amount to the Plan, to be distributed among participants pro rata based upon compensation within limitations as determined by the Code. There was no discretionary profit-sharing contribution for the year ended December 31, 2020.

Participant Accounts

Each participant's account is credited with the participant's deferral contributions; rollover contributions; the Employer's non-discretionary matching, non-elective contributions, and profit-sharing contributions, if any, and plan earnings (net of administrative expenses). Plan earnings are allocated daily to each participant's account in the proportion that each participant's balance bears to the total balance of all participants' accounts in each investment. The benefit to which a participant is entitled is the vested portion of the participant's account.

Investments Classification

All investments are participant directed. The Plan is intended to comply with ERISA section 404(c). Participants have the right to individually select the percentage of their accounts to be invested among different classifications of investments made available to them.

Vesting

Participants are immediately vested in their salary deferral contributions, rollover contributions, and earnings thereon. Employer matching contributions, non-elective contributions, profit sharing contributions and earnings thereon vest in accordance with provisions of the Plan as follows:

<u>Years of Service</u>	<u>Vesting</u>
Less than 1 year	0%
1 year	25%
2 years	50%
3 years	75%
4 years	100%

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 1 - Description of the Plan (cont.)

Notwithstanding the vesting schedule above, employer matching contributions, employer non-elective contributions, and employer profit sharing contributions, if any, will become fully vested (100%) upon the occurrence of any of the following events while the participant is employed by the Employers: death, attainment of normal retirement age (age 65), disability, partial plan termination with respect to the participant, complete termination of the Plan or complete discontinuance of employer contributions.

Forfeited Accounts

As of December 31, 2020 and 2019, forfeited nonvested accounts totaled \$328,085 and \$345,169, respectively. Forfeitures can be used to reduce future employer contributions or to pay certain administrative expenses. During the year ended December 31, 2020, employer contributions were reduced by \$326,453 and certain administrative expenses were reduced by \$148,983 from forfeiture accounts.

Payment of Benefits

Benefits may be paid to the participant or beneficiary upon death, disability, and termination of employment as defined in the Plan document. The total vested portion of a participant's account balance may be distributed in the form of a lump-sum payment or installments. However, if a participant's account balance is valued at or less than \$1,000, it is distributed as soon as administratively practicable, without an application for distribution, in cash as a direct distribution to the participant. Participants experiencing financial hardship may withdraw a portion of their account balance as defined in the Plan document.

There are no amounts owed to participants who had elected to withdraw from the Plan, but had not been paid as of December 31, 2020 and 2019.

Notes Receivable from Participants

Participants may borrow from their vested accounts a minimum of \$1,000 up to a maximum equal to the lesser of \$50,000 (subject to reduction for certain loan balances in the prior 12 months) or 50% of their vested account balances. Loans are secured by the balance in the participant's account and bear interest at rates commensurate with local prevailing rates at origination as determined by the Plan Administrator. The maximum term for a loan is 5 years, except if the loan is used to acquire the participant's principal residence, in which case the term of the loan may not exceed 10 years. Principal and interest are paid ratably through payroll deductions. Participants are permitted to have one loan outstanding at a time.

As previously described in the CARES Act footnote above, CARES Act loan provisions allowed qualified individuals to suspend their loan repayments through December 31, 2020, and temporarily increased the maximum amount allowed for borrowing.

NOTE 2 - Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 2 - Summary of Significant Accounting Policies (cont.)

Use of Estimates

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein, and disclosures of contingent assets and liabilities. Actual results could differ from those estimates.

Investment Valuation and Income Recognition

Investments held by a defined contribution plan are required to be reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Investment Committee determines the Plan's valuation policies utilizing information provided by the investment advisors and trustee. See Note 4 for discussion of fair value measurements.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation in fair value of investments includes the gains and losses on investments bought and sold as well as held during the year.

Notes Receivable from Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document. No allowance for credit losses has been recorded as of December 31, 2020 and 2019.

Excess Contributions Payable

Amounts payable to participants for contributions in excess of amounts allowed by the Internal Revenue Service (IRS) are recorded as a liability with a corresponding reduction to contributions. The Plan distributed the 2019 excess contributions to the applicable participants in 2020 and the 2020 excess contributions to the applicable participants in 2021.

Administrative Expenses

Certain expenses of maintaining the Plan are paid by the Plan, unless otherwise paid by the Employers. Expenses that are paid by the Employers are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative expenses. Investment related expenses are included in net appreciation of fair value of investments.

Payment of Benefits

Benefits are recorded when paid.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 2 - Summary of Significant Accounting Policies (cont.)

Subsequent Events

The Plan has evaluated subsequent events through August 30, 2021, the date the financial statements were approved and available to be issued.

On April 1, 2021, The Everett Clinic Profit Sharing and 401(k) Employee Savings Plan and Trust merged into the Plan with total investments of \$217,603,623.

NOTE 3 - Information Prepared and Certified by Trustee

The Company has elected the method of compliance as permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA for 2020 and 2019. Accordingly, Fidelity Management Trust Company ("the Trustee"), has certified to the completeness and accuracy of all investments and notes receivable from participants reported in the accompanying Statements of Net Assets Available for Benefits as of December 31, 2020 and 2019 and the supplemental Schedule H, Line 4(i) - Schedule of Assets (Held at End of Year) as of December 31, 2020, and the related investment activity and interest income on notes receivable from participants reported in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2020.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 4 - Fair Value of Financial Instruments

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

Level 1 - Unadjusted quoted prices for identical assets in active markets that the Plan can access.

Level 2 - Inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly, such as:

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

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

Level 3 - Unobservable inputs for the asset.

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

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2020 and 2019.

Common collective trusts: Valued at the net asset value ("NAV") of units of a bank collective trust. The NAV, as provided by the Trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the trust less its liabilities. This practical expedient is not used when it is determined to be probable that the trust will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily. Were the Plan to initiate a full redemption of the collective trust, the investment advisor reserves the right to temporarily delay the withdrawal from the trust in order to ensure that securities liquidations will be carried out in an orderly business manner.

Mutual funds: Valued at the daily closing price as reported by the fund. Mutual funds held by the Plan are open-end mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily NAV and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 4 - Fair Value of Financial Instruments (cont.)

Self-directed brokerage accounts: The self-directed brokerage account allows participants the opportunity to invest in a wide array of individual securities including stocks, corporate bonds, zero-coupon bonds, U.S. Treasury securities, mortgage securities and U.S. government agency bonds, certificates of deposit, unit investment trusts, foreign securities, exchange-traded funds, and mutual funds. The investments are primarily valued using the methodology described above for mutual funds, the closing price reported on active markets on which securities are traded, or using price models maximizing the use of observable inputs for similar securities.

The table below presents the balances of assets and liabilities measured at fair value on a recurring basis by level within the hierarchy.

December 31, 2020				
	Total	Level 1	Level 2	Level 3
Mutual funds	\$ 549,562,793	\$ 549,562,793	\$ -	\$ -
Self-directed brokerage accounts	57,454,292	55,610,257	1,844,035	-
Total assets in the fair value hierarchy	607,017,085	\$ 605,173,050	\$ 1,844,035	\$ -
Instruments measured at NAV	314,843,196			
Total investments at fair value	<u>\$ 921,860,281</u>			

December 31, 2019				
	Total	Level 1	Level 2	Level 3
Mutual funds	\$ 501,045,194	\$ 501,045,194	\$ -	\$ -
Self-directed brokerage accounts	42,809,234	40,683,865	2,125,369	-
Total assets in the fair value hierarchy	543,854,428	\$ 541,729,059	\$ 2,125,369	\$ -
Instruments measured at NAV	280,194,216			
Total investments at fair value	<u>\$ 824,048,644</u>			

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 4 - Fair Value of Financial Instruments (cont.)

Investments Measured Using the NAV Per Share Practical Expedient

The following table summarizes investments for which fair value is measured using NAV per share as a practical expedient as of December 31, 2020 and 2019. There are no participant redemption restrictions for these investments; the redemption notice period is applicable only to the Plan.

<u>Investment</u>	<u>Fair Value (1)</u>	<u>Unfunded Commitment</u>	<u>Redemption Frequency (if currently eligible) (2)</u>	<u>Redemption Notice Period (3)</u>
December 31, 2020				
Common collective trusts	\$ 314,843,196	\$ -	Immediate	15 days

<u>Investment</u>	<u>Fair Value (1)</u>	<u>Unfunded Commitment</u>	<u>Redemption Frequency (if currently eligible) (2)</u>	<u>Redemption Notice Period (3)</u>
December 31, 2019				
Common collective trusts	\$ 280,194,216	\$ -	Immediate	Various

(1) The fair value of investments is based on the fair values of the underlying investments in the funds.

(2) Certain events may cause funds held in the common collective trusts to be deferred, including, but not limited to, the following:

- (i) Closing or disruption of the financial markets or exchanges in which a transaction is unable to be settled prudently.
- (ii) An emergency situation in which the disposition of assets would be seriously prejudicial to Plan participants.
- (iii) Breakdown in the means of communication normally employed to determine fair market value of an investment.
- (iv) Investments cannot be effected at normal rates of exchange.

None of these events occurred in 2020 or 2019.

(3) Certain common collective trusts require redemption notice periods for plan withdrawals at the discretion of the investment advisor.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 5 – Administration of Plan Assets

The Plan's assets are administered under a contract with the Trustee. The Trustee invests funds received from contributions, investment sales, interest, and dividend income and makes distribution payments to participants.

NOTE 6 – Related Party and Party-in-interest Transactions

Certain of the Plan's investments are managed by the Trustee, and therefore, these transactions qualify as party-in-interest transactions. Fees incurred by the Plan for the investment manager services are included in net appreciation in fair value of investments. Additionally, the Plan issues loans to participants, which are secured by the participant's account balances. These transactions qualify as exempt party-in-interest transactions.

Certain administrative functions of the Plan are performed by officers or employees of the Employers. No such officer or employee receives compensation from the Plan.

NOTE 7 – Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to terminate the Plan at any time subject to the provisions of ERISA. In the event of plan termination, participants will become 100% vested in their accounts.

NOTE 8 - Tax Status

The Plan uses a volume submitter document sponsored by Fidelity Management & Research Company. The volume submitter sponsor received an opinion letter from the IRS dated March 31, 2014 which states the volume submitter document satisfies the applicable provisions of the Code. Although the Plan has been amended since receiving the opinion letter, the Plan Administrator and the Plan's tax counsel believe that the Plan is currently designed and being operated in compliance with the applicable provisions of the Code, and therefore believe the Plan is qualified and the related trust is tax exempt.

Accounting principles generally accepted in the United States of America require management to evaluate tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

NOTE 9 – Risks and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks, such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the Statements of Net Assets Available for Benefits.

As of December 31, 2020, the Plan had investments of \$94,400,787 concentrated in one mutual fund that accounted for more than 10% of Plan investments.

OptumCare Management, LLC 401(k) Retirement Savings Plan

NOTES TO FINANCIAL STATEMENTS

As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

NOTE 10 – Delinquent Participant Contributions

For the year ended December 31, 2020, the Company did not remit certain participant contributions to the Plan on a timely basis as defined by the Department of Labor's Rules and Regulations for Reporting and Delinquent Participant Contributions Disclosure under ERISA. Untimely remittances identified on the Schedule H, Line 4(a) - Schedule of Delinquent Participant Contributions totaled \$10,120,014. The Company compensated participants for lost earnings resulting from the delinquent participant contributions in 2021. Additionally, during 2020 the Company compensated participants for lost earnings on \$8,884,283 of delinquent contributions for the year ended December 31, 2019.

NOTE 11 – Form 5500 Reconciliation

The following is a reconciliation of net assets available for benefits per the financial statements at December 31, 2020 and 2019, to Form 5500:

	<u>2020</u>	<u>2019</u>
Net assets available for benefits per the financial statements	\$ 924,608,313	\$ 843,549,721
Deemed distributions of participant loans	(532,608)	(508,635)
Excess contributions payable	587,365	182,921
Due to unaffiliated plan	<u>13,618,221</u>	<u>-</u>
Net assets available for benefits per the Form 5500	<u>\$ 938,281,291</u>	<u>\$ 843,224,007</u>

The following is a reconciliation of the changes in net assets available for benefits per the financial statements for the year ended December 31, 2020, to Form 5500:

	<u>2020</u>
Increase in net assets per the financial statements	\$ 81,058,592
Deemed distributions activity	(23,973)
Excess contributions payable	404,444
Due to unaffiliated plan	<u>13,618,221</u>
Net income per the Form 5500	<u>\$ 95,057,284</u>

SUPPLEMENTAL INFORMATION

OptumCare Management, LLC 401(k) Retirement Savings Plan

SCHEDULE H, LINE 4I, SCHEDULE OF ASSETS (HELD AT END OF YEAR)

EIN 95-4509662

Plan 003

As of December 31, 2020

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Common Collective Trust Funds:		
*		FIAM Blend Target Date 2030 Commingled Pool	**	\$ 58,970,654
*		FIAM Blend Target Date 2035 Commingled Pool	**	45,352,236
*		FIAM Blend Target Date 2040 Commingled Pool	**	44,284,636
*		FIAM Blend Target Date 2025 Commingled Pool	**	43,291,365
*		FIAM Blend Target Date 2045 Commingled Pool	**	35,073,568
*		FIAM Blend Target Date 2020 Commingled Pool	**	29,180,964
*		FIAM Blend Target Date 2050 Commingled Pool	**	25,013,334
*		FIAM Blend Target Date 2055 Commingled Pool	**	13,251,020
*		FIAM Blend Target Date 2015 Commingled Pool	**	6,197,556
*		FIAM Blend Target Date 2010 Commingled Pool	**	5,717,953
*		FIAM Blend Target Date Income Commingled Pool	**	3,935,274
*		FIAM Blend Target Date 2060 Commingled Pool	**	3,906,325
*		FIAM Blend Target Date 2005 Commingled Pool	**	596,616
*		FIAM Blend Target Date 2065 Commingled Pool	**	71,695
				<u>314,843,196</u>
	Shares of an Investment Company	Mutual Funds:		
		Vanguard Institutional Index Fund	**	94,400,787
*		Fidelity Contrafund	**	77,925,453
*		Fidelity Government Money Market Fund	**	50,546,675
		MainStay Winslow Large Cap Growth Fund	**	41,590,131
		American Funds EuroPacific Growth Fund	**	36,691,939
		Vanguard Total Bond Market Index Fund	**	31,968,801
		Vanguard PRIMECAP Fund	**	31,946,881
		Vanguard Wellington Fund	**	30,621,690
		PIMCO Total Return Fund	**	29,823,189
		MFS Mid Cap Growth Fund	**	26,577,856
		Vanguard Windsor II Fund	**	23,608,584
*		Fidelity Extended Market Index Fund	**	15,533,681
		Loomis Sayles Small Cap Growth Fund	**	14,978,957
		Vanguard Small-Cap Index Fund	**	13,411,183
*		Fidelity Low-Priced Stock Fund	**	10,579,880
*		Fidelity International Index Fund	**	9,705,180
		Lazard Emerging Markets Equity Portfolio	**	7,160,890
		Northern Small Cap Value Fund	**	2,491,036
				<u>549,562,793</u>
		Other Investments:		
*		Self-directed brokerage accounts ***	**	57,454,292
*		Participant loans (interest rate ranging from 4.25% to 7.50% with maturity dates ranging from January 2021 – September 2030)	\$0	8,065,079
				<u>65,519,371</u>
				<u>\$ 929,925,360</u>

* Represents a party-in-interest

** Cost omitted for participant directed investments

*** Certain investments in the self-directed brokerage accounts are issued by a party-in-interest to the Plan

OptumCare Management, LLC 401(k) Retirement Savings Plan

SCHEDULE H, LINE 4A, SCHEDULE OF DELINQUENT PARTICIPANT CONTRIBUTIONS

EIN 95-4509662

Plan 003

For the Year Ended December 31, 2020

Total That Constitute Nonexempt Prohibited Transactions				
<hr/>				
	Contributions Not Corrected	Contributions Corrected Outside Voluntary Fiduciary Correction Program (VFCP)	Contribution Pending Correction in (VFCP)	Total Fully Corrected under (VFCP) and Prohibited Transaction Exemption 2002-51
	<hr/>	<hr/>	<hr/>	<hr/>
Participant Contributions Transferred Late to the Plan	\$ 10,120,014	\$ 8,884,283	\$ —	\$ —

Check here if late participant loan repayments are included: X

PLAN NAME: OPTUMCARE MANAGEMENT, LLC 401(K) RETIREMENT SAVINGS PLAN

PLAN SPONSOR NAME: OPTUMCARE MANAGEMENT, LLC

EIN: 95-4509662 PN: 003

ATTACHMENT TO FORM 5500

MULTIPLE-EMPLOYER PLAN INFORMATION

12/31/2020

<u>Employer Name</u>	<u>EIN</u>	<u>Contribution %</u>
OPTUMCARE NEW MEXICO, LLC	20-4043287	4.34%
DAVITA MEDICAL GROUP NEVADA (COATS), LTD	88-0213519	5.22%
OPTUMCARE COLORADO SPRINGS, LLC	47-2218380	2.44%
EVERETT MSO, INC	81-1070402	3.64%
THE EVERETT CLINIC, PLLC	91-0214500	20.31%
OPTUMCARE COLORADO, LLC	47-2196783	1.70%
DAVITA MEDICAL MANAGEMENT SERVICES NEVADA, LLC	27-0398693	2.23%
OPTUMCARE MANAGEMENT, LLC	95-4509662	18.14%
HEALTHCARE PARTNERS MEDICAL GROUP PC	95-4340584	39.00%
DAVITA MEDICAL MANAGEMENT SERVICES CA, LLC	47-5274363	2.59%
DAVITA MEDICAL IPA NEVADA, LLC	20-5017016	0.23%
MOUNTAIN VIEW MEDICAL GROUP, LLC	35-2566612	0.16%
		100.00%

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

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**OMB Nos. 1210-0110
1210-0089**2020****This Form is Open to Public Inspection****Part I Annual Report Identification Information**

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

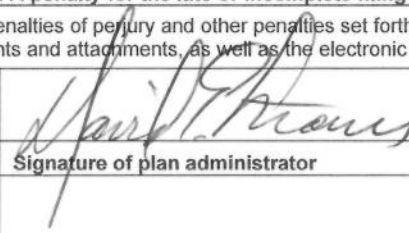
- A** This return/report is for: ☐ a multiemployer plan ☒ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- ☐ a single-employer plan ☐ a DFE (specify) _____
- B** This return/report is: ☐ the first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

Part II Basic Plan Information—enter all requested information

1a Name of plan OptumCare Management, LLC 401(k) Retirement Savings Plan	1b Three-digit plan number (PN) ▶ 003
	1c Effective date of plan 01/04/1989
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) OptumCare Management, LLC c/o UnitedHealth Group Incorporated 9900 Bren Road East MN008-R120 Minnetonka MN 55343	2b Employer Identification Number (EIN) 95-4509662 2c Plan Sponsor's telephone number 952-936-1300 2d Business code (see instructions) 621491

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

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

SIGN HERE		8.31.21	David E. Strauss
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

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

Form 5500 (2020)
v. 200204

3a Plan administrator's name and address ☐ Same as Plan Sponsor UnitedHealth Group Employee Benefits Plans Administrative Committee UnitedHealth Group Incorporated 9900 Bren Road East MN008-R120 Minnetonka MN 55343		3b Administrator's EIN 41-1321939 3c Administrator's telephone number 952-936-1300
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN
5 Total number of participants at the beginning of the plan year		5 18,098
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1), 6a(2), 6b, 6c, and 6d).		
a(1) Total number of active participants at the beginning of the plan year		6a(1) 15,920
a(2) Total number of active participants at the end of the plan year		6a(2) 17,067
b Retired or separated participants receiving benefits		6b 19
c Other retired or separated participants entitled to future benefits		6c 2,740
d Subtotal. Add lines 6a(2), 6b, and 6c		6d 19,826
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits		6e 22
f Total. Add lines 6d and 6e		6f 19,848
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g 9,832
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h 505
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)		7
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2F 2G 2J 2K 2R 2T 2E 3D 3H		
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:		
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor		9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)		
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary		b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information - Small Plan) (3) ☐ A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

Brokerage Link Indirect Fees

The listing below includes the indirect fee's associated with the Brokeragelink Account.

Plan Name : OptumCare Management, LLC 401(k) Retirement Savings Plan
Plan EIN / Number: 95-4509662 / 003

Plan Number	Payor Name	Compensation	Address Type	Street Address	City	State	Zip	Fund Family	CUSIP
41548	INVESCO SENIOR FLOATING RATE A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	001416872
41548	INVESCO BALANCED - RISK ALLOCATION CL A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00141V747
41548	INVESCO FUNDAMENTAL ALTERNATIVES A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00143W719
41548	INVESCO GLOBAL OPPORTUNITIES A	0.40%	USADDRESS	11 GREENWAY PLAZA; SUITE 100	HOUSTON	TX	77046	INVESCO	00900W779
41548	AB LARGE CAP GROWTH CLASS A	0.40%	USADDRESS	8000 IH 10 WEST; SUITE 1400, 14TH FLOOR	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01877C101
41548	ALLIANZGI MID CAP VALUE CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	ALLIANZ FUNDS	018918649
41548	ALLIANZGI SMALL CAP FUND CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	ALLIANZ FUNDS	018922575
41548	AMANA MUTUAL FUND TRUST INCOME	0.40%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865109
41548	AMANA MUTUAL FUND TRUST GROWTH	0.40%	USADDRESS	1300 NORTH STATE STREET	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865208
41548	AMERICAN AMCAP CLASS A	\$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	023375108
41548	AMERICAN MUTUAL FUNDCLASS A	\$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	027681105
41548	ANGEL OAK MULTI STRATEGY INCOME CL A	0.10%	USADDRESS	400 CITY CENTER (MK-WI-CCCL)	OSHKOSH	WI	54901	ANGEL OAK FUNDS	03463K307
41548	ARTISAN SMALL CAP FUND INVESTOR CL	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H105
41548	ARTISAN GLOBAL OPPORTUNITIES INV	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H824
41548	ARTISAN INTL VALUE FUND INV CL	0.39%	USADDRESS	875 EAST WISCONSIN AVENUE SUITE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H881
41548	BAIRD MID CAP INSTL CLASS SHS	0.06%	USADDRESS	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202	BAIRD	057071813
41548	BARON GLOBAL ADVANTAGE FD RETAIL	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M843
41548	BARON EMERGING MARKETS FUND RETAIL	0.40%	USADDRESS	767 5TH AVENUE 49TH FLOOR	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M884
41548	BLACKROCK MID CAP GROWTH EQUITY CL A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091928846
41548	BLACKROCK TECHNOLOGYOPPORTUNITIES CL A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091929570
41548	BLACKROCK HEALTH SCIENCES OPP PRT A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	091937573
41548	BLACKROCK SYSTEMATICMULTI STRAT INV A	0.40%	USADDRESS	40 EAST 52ND STREET	NEW YORK	NY	10022	BLACKROCK FUNDS	09260C109
41548	BUFFALO DISCOVERY FUND	0.40%	USADDRESS	615 E. MICHIGAN STREET	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530103
41548	CALVERT EMERGING MARKETS EQUITY CL A	0.40%	USADDRESS	4550 MONTGOMERY AVENUESUITE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	131649816
41548	AMERICAN CAPITAL WORLD GROWTH & INC F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	140543406
41548	CARILLOM REAMS CORE PLUS BOND CL Y	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337338022	EAGLE FUND SERVICES	14214M591
41548	CLIFFWATER CORPORATE LENDING FUND I	0.15%	USADDRESS	4640 ADMIRALTY WAY, 11TH FLOOR	MARINA DEL REY	CA	90292	CLIFFWATER LLC	186854204
41548	COLUMBIA DIVIDEND INCOME CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765N278
41548	CONESTOGA SMALL CAP INVESTOR CLASS	0.40%	USADDRESS	100 FOUNTAIN PARKWAY	CINCINNATI	OH	45246	CONESTOGA	207019100
41548	DFA US CORE EQUITY I	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	232030413
41548	DELAWARE SMALL CAP VALUE CLASS A	0.10%	USADDRESS	2005 MARKET STREET	PHILADELPHIA	PA	19103	DELAWARE GROUP	246097109
41548	DOUBLELINE TOTAL RT BOND FD CL N	0.40%	USADDRESS	777 EAST WISCONSIN AVENUE	MILWAUKEE	WI	53202	DOUBLELINE	258620202
41548	AMERICAN EUROPAFCIGROWTH CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	298706409
41548	JP MORGAN MID CAP VALUE FUND CLASS A	0.08%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	339128308
41548	FRANKLIN SMALL CAP VALUE CLASS A	0.35%	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	355148305
41548	GUGGENHEIM TOTAL RETURN BOND CL P	0.40%	USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40169J879
41548	OAKMARK INTL INVESTOR CL	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838202
41548	HENNESSY GAS UTILITYINVESTOR CL	0.40%	USADDRESS	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945	HENNESSY FUNDS	42588P833
41548	WCM FOCUSED INTL GROWTH FUND INVESTOR	0.40%	USADDRESS	2220 EAST ROUTE 66, SUITE 226	GLENDORA	CA	91740	WCM FUNDS	461418386
41548	JANUS HENDERSON ENTERPRISE T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023804
41548	JANUS HENDERSON OVERSEAS T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023846
41548	JPMORGAN EQUITY INCOME FUND CL A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0464
41548	CLEARBRIDGE INTERN'TGROWTH FD CL A	0.40%	USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	524686540
41548	CLEARBRIDGE LARGE CAP GROWTH A	0.40%	USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	52469H826
41548	MFS INTERNATIONAL INTRINSIC VALUE CL A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273E301
41548	MFS GLOBAL REAL ESTATE CL A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552982753
41548	MFS GROWTH FUND CLASS A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552985103
41548	MFS GLOBAL EQUITY CLASS A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552986507
41548	MANNING & NAPIER RAINIER INTL DISCV S	0.40%	USADDRESS	290 WOODCLIFF DR.	FAIRPORT	NY	14450	MANNING & NAPIER	56382R670
41548	MATTHEWS ASIA DIVIDEND FUND	0.40%	USADDRESS	4 EMBARCADERO CENTER SUITE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577125107
41548	METROPOLITAN WEST TOT RETURN BOND CL M	0.35%	USADDRESS	865 SOUTH FIGUEROA ST. #1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905103
41548	MORGAN STANLEY DISCOVERY PORT CL A	0.40%	USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617440599
41548	MORGAN STANLEY GROWTH PORTFOLIO A	0.40%	USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61744J564
41548	MORGAN STANLEY INSIGHT I	0.15%	USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61747T403
41548	MORGAN STANLEY GLOBAL OPPORTUNITY I	0.15%	USADDRESS	522 FIFTH AVENUE, 4TH FLOOR	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61756E693
41548	ALPHACENTRIC INCOME OPPORTUNITIES CL I	0.15%	USADDRESS	80 ARKAY DRIVE	HAUPPAUGE	NY	11788	ALPHACENTRIC FUNDS	62827M144
41548	AMERICAN NEW WORLD FUND CLASS A	\$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	649280104
41548	PIMCO INTL BD FD (U.S. DOLLAR-HEDGED) A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	69339J245
41548	PIMCO LOW DURATION INCOME FUND CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722005162
41548	PIMCO INCOME FUND CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F474
41548	PIMCO PREFERRED AND CAPITAL SECS CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202E666
41548	PIMCO FLEXIBLE CREDIT INC FD INSTL	0.15%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202M106
41548	PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD	0.10%	USADDRESS	2020 E. FINANCIAL WAY, SUITE 100	GLENDORA	CA	91741	PRIME CAP ODYSSEY	74160Q202
41548	PRINCIPAL MID CAP FUND CLASS A	0.40%	USADDRESS	620 COOLIDGE DRIVE, SUITE 300	FOLSOM	CA	95630	PRINCIPAL	74254T443
41548	AKRE FOCUS FUND RETAIL	0.40%	USADDRESS	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202	AKRE FUNDS	742935117
41548	OSTERWEIS EMERGING OPPORTUNITY FUND	0.10%	USADDRESS	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202	OSTERWEIS	74316P744
41548	PGIM TOTAL RETURN BOND CL A	0.40%	USADDRESS	655 BROAD STREET	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440B108
41548	PUTNAM SUSTAINABLE LEADERS FD CL A	0.40%	USADDRESS	ONE POST OFFICE SQUARE MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746916105
41548	T ROWE PRICE FINANCIAL SERVICES	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954N103
41548	T ROWE PRICE BLUE CHIP GROWTH INC	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954Q106
41548	T ROWE PRICE BLUE CHIP GROWTH ADV CL	0.40%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954Q205
41548	T ROWE PRICE EXTEND EQU MKT INDEX FUND	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779552207
41548	T ROWE PRICE VALUE FUND ADVISOR CL	0.40%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779578202
41548	T ROWE PRICE QM US SML CAP GRWTH EQUITY	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779917103
41548	RYDEX NASDAQ 100 INV CLASS	0.40%	USADDRESS	9601 BLACKWELL RD., STE. 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554603
41548	SCHWAB HEALTH CARE FUND	0.40%	USADDRESS	211 MAIN ST	SAN FRANCISCO	CA	94105	SCHWAB FUNDS	808509731
41548	SEGALL BRYANT HAMILL PLUS BOND FD RETAIL	0.30%	USADDRESS	370 17TH STREET, SUITE 5000	DENVER	CO	80202	SEGALL BRYANT & HAMILL AKA WESTCORE	81580H860
41548	STONERIDGE ALL ASSET VAR RISK PREM I	0.10%	USADDRESS	510 MADISON AVENUE	NEW YORK	NY	10022	STONE RIDGE	86172R590
41548	STONERIDGE ALTERNTV LENDING RISK PREM I	0.15%	USADDRESS	510 MADISON AVENUE	NEW YORK	NY	10022	STONE RIDGE	86172R101
41548	TCW TOTAL RETURN BOND CLASS N	0.35%	USADDRESS	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017	TCW GALILEO	87234N641
41548	TCW CORE FIXED INCOME CLASS N	0.35%	USADDRESS	865 SOUTH FIGUERA STREET, 22ND FLOOR	LOS ANGELES	CA	90017	TCW GALILEO	87234N724
41548	TEMPLETON GLOBAL BOND CLASS A	\$16.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	880208103
41548	TOUCHSTONE MID CAP FUND CL Z	0.40%	USADDRESS	303 BROADWAY, SUITE 1100	CINCINNATI	OH	452024203	TOUCHSTONE FAMILY OF FUNDS	89155H785
41548	VIRTUS KAR SMALL CAP GROWTH FUND CL I	0.15%	USADDRESS	101 MUNSON ST. STE. 3	GREENFIELD	MA	01301	VIRTUS	92828N593
41548	WASATCH ULTRA GROWTH	0.40%	USADDRESS	505 WAKARA WAY, SUITE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772409
41548	WESTERN ASSET CORE PLUS BOND FUND FI	0.35%	USADDRESS	620 8TH AVENUE, 49TH FL.	NEW YORK	NY	10018	LEGG MASON	957663602

OptumCare Management, LLC 401(k) Retirement Savings Plan

SCHEDULE H, LINE 4A, SCHEDULE OF DELINQUENT PARTICIPANT CONTRIBUTIONS

EIN 95-4509662

Plan 003

For the Year Ended December 31, 2020

Total That Constitute Nonexempt Prohibited Transactions				
<hr/>				
	Contributions Not Corrected	Contributions Corrected Outside Voluntary Fiduciary Correction Program (VFCP)	Contribution Pending Correction in (VFCP)	Total Fully Corrected under (VFCP) and Prohibited Transaction Exemption 2002-51
	<hr/>	<hr/>	<hr/>	<hr/>
Participant Contributions Transferred Late to the Plan	\$ 10,120,014	\$ 8,884,283	\$ —	\$ —

Check here if late participant loan repayments are included: X

OptumCare Management, LLC 401(k) Retirement Savings Plan

SCHEDULE H, LINE 4I, SCHEDULE OF ASSETS (HELD AT END OF YEAR)

EIN 95-4509662

Plan 003

As of December 31, 2020

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
		Common Collective Trust Funds:		
*		FIAM Blend Target Date 2030 Commingled Pool	**	\$ 58,970,654
*		FIAM Blend Target Date 2035 Commingled Pool	**	45,352,236
*		FIAM Blend Target Date 2040 Commingled Pool	**	44,284,636
*		FIAM Blend Target Date 2025 Commingled Pool	**	43,291,365
*		FIAM Blend Target Date 2045 Commingled Pool	**	35,073,568
*		FIAM Blend Target Date 2020 Commingled Pool	**	29,180,964
*		FIAM Blend Target Date 2050 Commingled Pool	**	25,013,334
*		FIAM Blend Target Date 2055 Commingled Pool	**	13,251,020
*		FIAM Blend Target Date 2015 Commingled Pool	**	6,197,556
*		FIAM Blend Target Date 2010 Commingled Pool	**	5,717,953
*		FIAM Blend Target Date Income Commingled Pool	**	3,935,274
*		FIAM Blend Target Date 2060 Commingled Pool	**	3,906,325
*		FIAM Blend Target Date 2005 Commingled Pool	**	596,616
*		FIAM Blend Target Date 2065 Commingled Pool	**	71,695
				<u>314,843,196</u>
	Shares of an Investment Company	Mutual Funds:		
		Vanguard Institutional Index Fund	**	94,400,787
*		Fidelity Contrafund	**	77,925,453
*		Fidelity Government Money Market Fund	**	50,546,675
		MainStay Winslow Large Cap Growth Fund	**	41,590,131
		American Funds EuroPacific Growth Fund	**	36,691,939
		Vanguard Total Bond Market Index Fund	**	31,968,801
		Vanguard PRIMECAP Fund	**	31,946,881
		Vanguard Wellington Fund	**	30,621,690
		PIMCO Total Return Fund	**	29,823,189
		MFS Mid Cap Growth Fund	**	26,577,856
		Vanguard Windsor II Fund	**	23,608,584
*		Fidelity Extended Market Index Fund	**	15,533,681
		Loomis Sayles Small Cap Growth Fund	**	14,978,957
		Vanguard Small-Cap Index Fund	**	13,411,183
*		Fidelity Low-Priced Stock Fund	**	10,579,880
*		Fidelity International Index Fund	**	9,705,180
		Lazard Emerging Markets Equity Portfolio	**	7,160,890
		Northern Small Cap Value Fund	**	2,491,036
				<u>549,562,793</u>
		Other Investments:		
*		Self-directed brokerage accounts ***	**	57,454,292
*		Participant loans (interest rate ranging from 4.25% to 7.50% with maturity dates ranging from January 2021 – September 2030)	\$0	8,065,079
				<u>65,519,371</u>
				<u>\$ 929,925,360</u>

* Represents a party-in-interest

** Cost omitted for participant directed investments

*** Certain investments in the self-directed brokerage accounts are issued by a party-in-interest to the Plan