

Private Pension Plan Bulletin

Abstract of 2013 Form 5500 Annual Reports

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HIGHLIGHTS FROM THE 2013 FORM 5500 REPORTS

Over the past four decades, as the U.S. private pension system has shifted from defined benefit (DB) plans toward defined contribution (DC) plans, often to a 401(k) type DC plan, the financing of retirement benefits has shifted from employers to participants. In 1978, when legislation was enacted authorizing 401(k) type plans that allow employees to contribute to their own retirement plan on a pre-tax basis, participants contributed 29 percent of the contributions to DC plans and only 11 percent of total contributions¹ to all DB and DC pension plans. In the years following 1978, employee contributions to DC plans steadily rose to a peak of approximately 60 percent in 1999, where it has remained.

Other findings from Form 5500 series reports for 2013 plan years are summarized below.

Number of Pension Plans and Participants

- The total number of pension plans increased in 2013 to approximately 681,000 plans, a 0.7 percent increase over 2012. The number of DC plans grew by 0.6 percent, while the number of DB plans increased by 1.3 percent. (See *Historical Publication* Table E1.)
- In 2013, the number of active participants² increased from 91.2 million to 92.0 million. The number of active

¹ In this case, the contributions considered are those made by the employer and employee, not those from other sources.

participants in DB plans decreased by 3.2 percent from 2012 to 2013, continuing a general pattern of decline that began in the mid-1980s. The number of active participants in DC plans increased to 76.7 million in 2013, up 1.7 percent from 75.4 million in 2012. (See *Historical Publication* Table E8.)

- The number of 401(k) type plans increased by 2.1 percent in 2013, from 516,000 to 527,000. The number of active participants in 401(k) type plans grew from 63,000 to 64,000, an increase of 2.2 percent. (See *Historical Publication* Tables E24 and E25.)
- Beginning with this Report, ESOPs are now being classified as either having a 401(k) plan feature (KSOP) or not (Stand-Alone ESOP). Of nearly 7,000 ESOPs in 2013, more than 5,000 are considered Stand-Alone ESOPs and greater than 1,000 are KSOPs. (See Table D11.)

Pension Plan Assets

- The total amount of assets held by pension plans increased 13.0 percent to \$7.9 trillion in 2013. DB plan assets increased 6.1 percent to \$2.9 trillion, while DC plan assets increased by 17.4 percent to \$5.0 trillion. (See *Historical Publication* Table E11.)
- In 2013, 22.8 percent of DB plans report being fully frozen. Also, 15.2 percent of total DB plan assets were frozen in 2013. (See Table C14.)

² Note that the Form 5500 instructions set forth a particularly inclusive definition of active participants that counts, for example, individuals who are merely eligible to elect to have the employer make payments to a 401(k) type plan and nonvested former employees who have not yet incurred a break in service. For Form 5500 Short Form filers, all reported participants are assumed to be active. For more information, please see the *Instructions for Form 5500* at <http://www.dol.gov/ebsa/pdf/2013-5500inst.pdf>.

- Of the \$1.2 trillion in assets held by large ESOPs, \$1.1 trillion was held by KSOPs, and \$0.1 trillion was held by Stand-Alone ESOPs. Roughly 90.0 percent of Stand-Alone ESOP assets are held in employer securities, compared to 14.1 percent of KSOP assets. (See Table D14.)

Cash Flows

- DC plan contributions increased by 6.9 percent, to \$376.9 billion. DB plan contributions decreased by 11.5 percent to \$113.7 billion. In total, contributions to pension plans increased by 2.0 percent in 2013 to \$490.6 billion. (See *Historical Publication* Table E14.)
- In 2013, pension plans disbursed \$615.4 billion for payment of benefits, with \$229.5 billion being disbursed from DB plans and \$385.9 billion from DC plans.³ These payments were made either directly to retirees, beneficiaries, and terminating employees or to insurance carriers for payment of benefits. These amounts reflect an increase from 2012 of 16.1 percent for DB plans and 15.6 percent for DC plans. (See *Historical Publication* Table E17.)
- Overall, pension plans disbursed \$124.8 billion more than they received in contributions, 25.4 percent of contributions. DB plans disbursed \$115.9 billion more than they collected in contributions, while DC plans disbursed \$8.9 billion more than they received in contributions. (See *Historical Publication* Tables E14 and E17.)
- Among the 527,000 401(k) type plans in 2013, 88.1 percent allowed participants to direct investment of all of their assets, 2.9 percent allowed participants to direct investment

of a portion of their assets, and 9.0 percent did not allow any participant direction. (See *Historical Publication* Table E24.)

The following chart summarizes certain trends discussed above.

Table of Highlights for 2013 and 2012

	2013	2012	Percentage Change from Previous Year
Number of Pension Plans			
All Plans	681,154	676,622	0.7%
DB Plans	44,163	43,601	1.3
DC Plans	636,991	633,021	0.6
401(k) Type Plans	527,047	516,293	2.1
Plans with Fewer than 100 Participants	594,939	590,823	0.7
Plans with 100 or More Participants	86,216	85,799	0.5
Amount of Assets (trillions)			
All Plans	\$7.87	\$6.97	13.0%
DB Plans	2.87	2.70	6.1
DC Plans	5.00	4.26	17.4
Plan Contributions (billions)			
All Plans	\$490.6	\$481.2	2.0%
DB Contributions	113.7	128.4	-11.5
DC Contributions	376.9	352.8	6.9
Total Participants (millions)	131.6	130.6	0.8%
Active Participants (millions)	92.0	91.2	0.9%

³ Over \$27 billion of the benefits disbursed by DB plans were reported by the General Motors Retirement Program for Salaried Employees (27-0383222/001), which reported termination in 2013.

**Table A1. Number of Pension Plans, Total Participants, Active Participants,
Assets, Contributions, and Benefits
by type of plan, 2013**

Type of Plan 1/	Number of Plans	Total Participants (thousands)	Active Participants (thousands) 2/	Total Assets (millions) 3/	Total Contributions (millions) 4/	Total Benefits (millions) 5/
Total	681,154	131,631	91,955	\$7,870,897	\$490,596	\$615,406
Defined Benefit	44,163	39,084	15,245	2,866,392	113,667	229,534
Cash balance	11,122	11,956	4,996	951,926	35,137	66,048
Other defined benefit	33,041	27,128	10,248	1,914,467	78,530	163,486
Defined Contribution	636,991	92,547	76,710	5,004,505	376,929	385,872
Profit sharing and thrift-savings	599,923	79,493	66,915	4,344,699	335,757	340,626
Stock bonus	3,178	1,361	938	124,707	5,249	9,492
Target benefit	544	44	37	2,987	145	191
Money purchase	10,028	2,579	1,836	126,726	7,125	11,328
Annuity-403(b)(1)	17,067	6,513	4,994	320,151	22,548	18,796
Custodial account-403(b)(7)	3,156	1,171	970	37,685	3,535	2,373
Other defined contribution	3,095	1,387	1,020	47,549	2,569	3,066

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ About 1% of defined contribution plans report more than one plan type. These plans are assigned whichever plan type appears first in the list. As of 2009, annuity-403(b)(1) plans and custodial account-403(b)(7) plans established or maintained by an employer as described in DOL Regulation 29 CFR 2510.3-2(f) are required to file participation and financial information. Annuity-403(b)(1) plans and custodial account-403(b)(7) plans that are not required to file this information may or may not choose to do so. In the event that this information is provided, it is tabulated.

2/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

3/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

4/ Includes both employer and employee contributions.

5/ Amounts shown include both benefits paid directly from trust funds and premium payments made by plans to insurance carriers. Amounts exclude benefits paid directly by insurance carriers.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table A1(a). Number of Pension Plans, Total Participants, Active Participants, Assets, Contributions, and Benefits for Plans with 100 or More Participants
by type of plan, 2013**

Type of Plan 1/	Number of Plans	Total Participants (thousands)	Active Participants (thousands) 2/	Total Assets (millions) 3/	Total Contributions (millions) 4/	Total Benefits (millions) 5/
Total	86,216	119,740	80,420	\$7,104,043	\$424,940	\$503,799
Defined Benefit	9,324	38,642	14,839	2,819,868	107,363	192,866
Cash balance	1,329	11,825	4,867	942,378	32,919	63,193
Other defined benefit	7,995	26,817	9,972	1,877,489	74,444	129,674
Defined Contribution	76,892	81,099	65,581	4,284,175	317,576	310,933
Profit sharing and thrift-savings	66,540	68,715	56,409	3,662,593	279,131	273,846
Stock bonus	1,298	1,280	878	118,079	4,881	9,050
Target benefit	32	39	32	2,500	116	142
Money purchase	1,607	2,454	1,718	114,137	6,529	5,992
Annuity-403(b)(1)	5,673	6,171	4,661	307,633	21,270	17,076
Custodial account-403(b)(7)	988	1,110	911	35,839	3,337	2,155
Other defined contribution	755	1,329	973	43,395	2,313	2,671

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ About 1% of defined contribution plans report more than one plan type. These plans are assigned whichever plan type appears first in the list. As of 2009, annuity-403(b)(1) plans and custodial account-403(b)(7) plans established or maintained by an employer as described in DOL Regulation 29 CFR 2510.3-2(f) are required to file participation and financial information. Annuity-403(b)(1) plans and custodial account-403(b)(7) plans that are not required to file this information may or may not choose to do so. In the event that this information is provided, it is tabulated.

2/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

3/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

4/ Includes both employer and employee contributions.

5/ Amounts shown include both benefits paid directly from trust funds and premium payments made by plans to insurance carriers. Amounts exclude benefits paid directly by insurance carriers.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table A1(b). Number of Pension Plans, Total Participants, Active Participants, Assets, Contributions, and Benefits for Plans with Fewer than 100 Participants
by type of plan, 2013**

Type of Plan 1/	Number of Plans	Total Participants (thousands)	Active Participants (thousands) 2/	Total Assets (millions) 3/	Total Contributions (millions) 4/	Total Benefits (millions) 5/
Total	594,939	11,891	11,535	\$766,854	\$65,657	\$111,608
Defined Benefit	34,839	442	406	46,524	6,304	36,668
Cash balance	9,793	131	130	9,547	2,218	2,856
Other defined benefit	25,046	311	276	36,977	4,086	33,812
Defined Contribution	560,099	11,449	11,130	720,329	59,353	74,939
Profit sharing and thrift-savings	533,383	10,778	10,506	682,107	56,626	66,780
Stock bonus	1,880	81	61	6,629	368	442
Target benefit	512	5	5	486	29	49
Money purchase	8,421	124	118	12,590	596	5,336
Annuity-403(b)(1)	11,394	342	333	12,518	1,278	1,719
Custodial account-403(b)(7)	2,168	61	59	1,846	199	219
Other defined contribution	2,340	58	47	4,155	256	394

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ About 1% of defined contribution plans report more than one plan type. These plans are assigned whichever plan type appears first in the list. As of 2009, annuity-403(b)(1) plans and custodial account-403(b)(7) plans established or maintained by an employer as described in DOL Regulation 29 CFR 2510.3-2(f) are required to file participation and financial information. Annuity-403(b)(1) plans and custodial account-403(b)(7) plans that are not required to file this information may or may not choose to do so. In the event that this information is provided, it is tabulated.

2/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

3/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

4/ Includes both employer and employee contributions.

5/ Amounts shown include both benefits paid directly from trust funds and premium payments made by plans to insurance carriers. Amounts exclude benefits paid directly by insurance carriers.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table A2. Number of Participants in Pension Plans
by type of plan and type of participant, 2013**
(numbers in thousands)

Type of Participant	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Active participants 3/	91,955	15,245	76,710	84,373	11,216	73,157	7,582	4,029	3,553
Retired or separated participants receiving benefits	12,856	11,839	1,017	9,690	8,800	890	3,166	3,039	127
Other retired or separated participants with vested right to benefits	26,820	12,000	14,820	22,777	8,967	13,810	4,043	3,033	1,010
Total Participants	131,631	39,084	92,547	116,840	28,983	87,857	14,791	10,101	4,690
Participants with account balances 4/	68,292	70	68,222	64,750	19	64,731	3,541	51	3,490
Beneficiaries 5/	2,346	2,154	192	1,729	1,557	172	616	597	20
Total Participants and Beneficiaries	133,977	41,238	92,739	118,569	30,540	88,029	15,408	10,698	4,710

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

3/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

4/ Participants with account balances are a subset of Total Participants and Beneficiaries.

5/ Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. Form 5500 Short Form filers do not report this value.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table A3. Balance Sheet of Pension Plans
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Partnership/joint venture interests	\$119,635	\$112,780	\$6,855
Employer real property	320	102	218
Real estate (other than employer real property)	18,032	15,510	2,522
Employer securities	310,104	2,738	307,366
Participant loans	66,563	185	66,378
Loans (other than to participants)	7,074	4,634	2,440
Other investments 1/	6,704,476	2,692,160	4,012,317
Form 5500 Short Form Assets 2/	<u>644,694</u>	<u>38,284</u>	<u>606,410</u>
Total Assets	7,870,897	2,866,392	5,004,505
Total Liabilities	79,289	48,893	30,396
Net Assets	7,791,608	2,817,499	4,974,108

NOTE: Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

NOTE: Excludes "one-participant plans."

1/ This table summarizes assets that appear on both the Schedule H (for plans with 100 or more participants) and Schedule I (for plans with fewer than 100 participants). All asset items that appear on the more detailed Schedule H but not the Schedule I are grouped under "Other investments." Tables C4-C6 summarize the more detailed Schedule H asset information for large plans.

2/ The Form 5500 Short Form shares no asset items with Schedule H or Schedule I. Therefore, the total assets reported by Form 5500 Short Form filers are summarized on this line item.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table A4. Income Statement of Pension Plans
by type of plan, 2013**

(amounts in millions)

Income and Expenses	Total	Defined Benefit	Defined Contribution
Income			
Employer contributions	\$249,632	\$112,625	\$137,007
Participant contributions	209,301	644	208,657
Contributions from others (including rollovers)	30,031	288	29,743
Noncash contributions	1,633	110	1,522
All other income 1/	<u>1,049,868</u>	<u>290,111</u>	<u>759,757</u>
Total Income	1,540,465	403,778	1,136,686
Expenses			
Total benefit payments	615,406	229,534	385,872
Certain deemed and/or corrective distributions 2/	1,693	9	1,684
Administrative expenses 3/	15,897	10,772	5,125
Other or unspecified expenses	<u>1,312</u>	<u>98</u>	<u>1,214</u>
Total Expenses	634,308	240,413	393,894
Net Income	906,157	163,365	742,792

NOTE: Excludes "one-participant plans."

1/ This table summarizes income and expenses that appear on the Schedule H (for plans with 100 or more participants), the Schedule I (for plans with fewer than 100 participants), and the Form 5500 Short Form. All income and expense items that appear on the more detailed Schedule H but not the Schedule I or Short Form (e.g., Interest earnings, Dividends, Rents, and several line items reporting realized or unrealized gains/losses on investments) are grouped under "All other income" or "Other expenses." Tables C9-C11 summarize the more detailed Schedule H income information for large plans.

2/ For plans filing Schedule H or Schedule I, this line item represents the combination of "Corrective distributions" and "Certain deemed distributions of participant loans" to be consistent with the Form 5500 Short Form line item "Certain deemed and/or corrective distributions."

3/ For Schedule H filers, "Administrative expenses" is equal to the "Total administrative expenses" line item, while for Schedule I and Form 5500 Short Form filers, "Administrative expenses" includes only the "Administrative service providers" line item.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table A5. Amount of Assets in Pension Plans
by type of plan and method of funding, 2013**
(amounts in millions)

Method of Funding	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution

Funding arrangement for investment of assets

Total	\$7,870,897	\$2,866,392	\$5,004,505	\$7,192,887	\$2,388,141	\$4,804,746	\$678,010	\$478,251	\$199,759
Form 5500 Short Form 3/	644,694	38,284	606,410	644,692	38,284	606,408	2	-	2
Insurance	67,262	20,968	46,295	67,004	20,809	46,195	259	159	100
Section 412(i) ins.	313	35	279	313	35	279	-	-	-
Trust	4,984,366	1,875,806	3,108,561	4,651,929	1,672,302	2,979,627	332,438	203,504	128,934
Trust and insurance	2,174,259	931,301	1,242,959	1,828,948	656,712	1,172,235	345,312	274,589	70,723
Not determinable	2	*/	1	2	*/	1	-	-	-

Funding arrangement for payment of benefits

Total	\$7,870,897	\$2,866,392	\$5,004,505	\$7,192,887	\$2,388,141	\$4,804,746	\$678,010	\$478,251	\$199,759
Form 5500 Short Form 3/	644,694	38,284	606,410	644,692	38,284	606,408	2	-	2
Insurance	76,921	22,608	54,314	76,780	22,524	54,256	141	84	57
Section 412(i) ins.	373	129	244	275	31	244	98	98	-
Trust	5,326,579	2,051,466	3,275,114	4,829,632	1,719,399	3,110,232	496,948	332,067	164,881
Trust and insurance	1,822,327	753,906	1,068,421	1,641,506	607,903	1,033,603	180,822	146,003	34,818
Not determinable	2	*/	1	2	*/	1	-	-	-

NOTE: Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

3/ Form 5500 Short Form filers do not report on the plan funding nor benefit arrangements.

*/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table A6. Collective Bargaining Status of Pension Plans, Total Participants, and Assets
by type of plan, 2013**

Collective Bargaining Status / Plan Entity		Total Plans			Defined Benefit			Defined Contribution		
		Number of Plans	Total Participants (thousands)	Total Assets (millions) 1/	Number of Plans	Total Participants (thousands)	Total Assets (millions) 1/	Number of Plans	Total Participants (thousands)	Total Assets (millions) 1/
Total	Total	681,154	131,631	\$7,870,897	44,163	39,084	\$2,866,392	636,991	92,547	\$5,004,505
	Single Employer 2/ Multiemployer 3/	678,435 2,720	116,840 14,791	7,192,887 678,010	42,746 1,418	28,983 10,101	2,388,141 478,251	635,689 1,302	87,857 4,690	4,804,746 199,759
Noncollectively bargained plans	Total	672,608	99,662	5,735,274	40,555	20,821	1,582,208	632,053	78,841	4,153,066
	Single Employer 2/	672,608	99,662	5,735,274	40,555	20,821	1,582,208	632,053	78,841	4,153,066
Collective bargaining plans	Total	8,547	31,969	2,135,623	3,608	18,263	1,284,184	4,938	13,706	851,438
	Single Employer 2/	5,827	17,178	1,457,613	2,191	8,162	805,933	3,637	9,016	651,680
	Multiemployer 3/	2,720	14,791	678,010	1,418	10,101	478,251	1,302	4,690	199,759

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Some collectively bargained plans cover nonbargaining unit employees under a separate non-negotiated benefit structure.

NOTE: Excludes "one-participant plans."

1/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

2/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

3/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B1. Distribution of Pension Plans
by type of plan and number of participants, 2013**

Number of Participants	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	681,154	44,163	636,991	678,435	42,746	635,689	2,720	1,418	1,302
None or not reported	29,421	2,775	26,647	29,389	2,771	26,618	32	4	28
2-9	239,353	20,588	218,765	239,342	20,588	218,754	11	-	11
10-24	161,478	6,535	154,944	161,468	6,533	154,936	10	2	8
25-49	96,325	2,735	93,590	96,299	2,723	93,576	26	12	14
50-99	68,361	2,207	66,154	68,297	2,181	66,116	64	25	39
100-249	43,817	2,485	41,331	43,586	2,378	41,208	230	107	124
250-499	18,115	1,745	16,369	17,747	1,562	16,186	367	184	183
500-999	10,147	1,435	8,713	9,662	1,168	8,494	485	266	219
1,000-2,499	7,390	1,603	5,786	6,721	1,252	5,469	669	352	317
2,500-4,999	3,111	813	2,299	2,746	624	2,122	365	189	176
5,000-9,999	1,764	562	1,202	1,556	450	1,106	208	112	96
10,000-19,999	987	315	672	866	234	633	121	81	40
20,000-49,999	604	240	365	518	188	330	86	52	34
50,000 or more	280	126	154	236	94	142	44	32	12

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B2. Distribution of Pension Plans
by type of plan and amount of assets, 2013**

Amount of Assets	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	681,154	44,163	636,991	678,435	42,746	635,689	2,720	1,418	1,302
None or not reported	31,278	3,181	28,098	31,247	3,178	28,069	31	3	28
\$1-24K	23,541	184	23,357	23,531	179	23,352	10	5	5
25-49K	16,656	210	16,446	16,646	204	16,442	10	6	4
50-99K	29,526	913	28,613	29,513	904	28,609	13	9	4
100-249K	71,869	3,913	67,956	71,847	3,900	67,947	22	13	9
250-499K	91,456	5,198	86,259	91,434	5,188	86,246	22	10	12
500-999K	120,464	7,150	113,313	120,435	7,139	113,296	28	11	17
1-2.49M	148,638	9,686	138,952	148,568	9,659	138,908	70	26	44
2.5-4.9M	68,398	4,231	64,167	68,254	4,181	64,073	144	50	94
5-9.9M	35,753	2,105	33,648	35,550	2,041	33,509	203	64	139
10-24.9M	22,184	2,159	20,025	21,728	1,962	19,766	456	197	259
25-49.9M	8,478	1,382	7,097	8,073	1,164	6,908	406	217	188
50-74.9M	3,229	718	2,510	2,983	587	2,396	246	131	114
75-99.9M	1,818	489	1,329	1,648	383	1,265	169	106	64
100-149.9M	2,124	610	1,514	1,907	473	1,433	217	136	81
150-199.9M	1,220	372	848	1,084	292	792	136	80	56
200-249.9M	719	226	493	644	186	458	75	40	35
250-499.9M	1,710	594	1,115	1,490	456	1,034	219	138	81
500-999.9M	956	347	609	843	267	575	114	80	33
1-2.49B	670	283	387	585	221	364	85	62	23
2.5B or more	467	214	253	426	182	244	41	32	9

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Excludes "one-participant plans."

NOTE: The letters K, M, and B denote thousands, millions, and billions respectively.

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B3. Distribution of Pension Plans
by type of plan and industry, 2013**

Industry	Total Plans			Single Employer Plans 1/			Multiemployer plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	681,154	44,163	636,991	678,435	42,746	635,689	2,720	1,418	1,302
Agriculture	7,339	473	6,866	7,328	467	6,861	11	6	5
Mining	3,874	334	3,540	3,861	332	3,529	13	2	11
Construction	50,880	2,159	48,722	49,739	1,619	48,120	1,141	539	602
Manufacturing	74,985	6,046	68,939	74,781	5,921	68,860	204	125	79
Transportation	12,638	728	11,910	12,467	623	11,844	170	105	66
Communications and information	12,321	805	11,517	12,275	778	11,497	46	26	19
Utilities	2,488	358	2,131	2,481	357	2,125	7	1	6
Wholesale trade	37,035	2,364	34,671	36,996	2,341	34,655	40	23	16
Retail trade	41,356	1,521	39,835	41,265	1,453	39,812	91	68	23
Finance, insurance & real estate	62,899	5,435	57,464	62,316	5,106	57,209	583	329	254
Services	359,989	23,000	336,989	359,736	22,878	336,858	253	122	131
Misc. organizations 3/	15,148	939	14,209	14,988	868	14,120	160	71	89
Industry not reported	201	2	199	201	2	199	-	-	-

NOTE: Industry classifications are based on principal business activity code used in the North American Industry Classification System as of 2006. Therefore, the results in this table may not be directly comparable with results for years prior to 2006.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

3/ Religious, grantmaking, civic, professional, labor, and similar organizations.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B4. Distribution of Participants
by type of plan and number of participants, 2013**
(numbers in thousands)

Number of Participants	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	131,631	39,084	92,547	116,840	28,983	87,857	14,791	10,101	4,690
2-9	1,201	91	1,110	1,201	91	1,110	*/	-	*/
10-24	2,522	98	2,423	2,522	98	2,423	*/	*/	*/
25-49	3,374	95	3,278	3,373	95	3,278	1	*/	*/
50-99	4,794	158	4,637	4,789	156	4,634	5	2	3
100-249	6,734	405	6,329	6,693	386	6,307	40	19	22
250-499	6,340	625	5,715	6,200	555	5,645	140	70	70
500-999	7,075	1,031	6,044	6,725	837	5,888	351	195	156
1,000-2,499	11,528	2,551	8,976	10,443	1,989	8,454	1,085	563	522
2,500-4,999	10,866	2,853	8,013	9,594	2,199	7,395	1,272	654	618
5,000-9,999	12,231	3,939	8,292	10,765	3,136	7,629	1,466	803	663
10,000-19,999	13,855	4,511	9,344	12,158	3,338	8,820	1,697	1,172	524
20,000-49,999	18,413	7,341	11,072	15,853	5,742	10,111	2,560	1,599	961
50,000 or more	32,698	15,385	17,313	26,524	10,361	16,163	6,174	5,024	1,150

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

*/ Fewer than 500 participants.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B5. Distribution of Participants
by type of plan and amount of assets, 2013**
(numbers in thousands)

Amount of Assets	Total			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	131,631	39,084	92,547	116,840	28,983	87,857	14,791	10,101	4,690
None or not reported	57	7	49	53	7	47	3	1	3
\$1-24K	282	2	280	281	2	279	1	*/	*/
25-49K	198	3	195	196	3	194	2	1	1
50-99K	388	7	381	386	5	381	2	1	*/
100-249K	1,072	35	1,037	1,065	29	1,036	6	5	1
250-499K	1,708	54	1,654	1,700	48	1,652	9	6	3
500-999K	2,951	87	2,864	2,940	83	2,858	11	4	7
1-2.49M	6,021	188	5,834	5,992	178	5,814	30	10	20
2.5-4.9M	5,707	265	5,442	5,590	206	5,385	116	59	57
5-9.9M	6,496	352	6,144	6,337	317	6,020	159	35	124
10-24.9M	8,331	847	7,483	7,906	688	7,218	425	160	265
25-49.9M	7,213	1,059	6,154	6,640	821	5,819	574	238	336
50-74.9M	4,489	982	3,507	3,901	696	3,205	588	286	302
75-99.9M	3,530	786	2,745	3,089	578	2,511	441	208	233
100-149.9M	5,993	1,429	4,564	5,300	1,083	4,217	694	346	347
150-199.9M	4,302	1,198	3,104	3,796	930	2,866	506	268	238
200-249.9M	3,405	947	2,458	3,022	762	2,259	383	184	199
250-499.9M	10,665	3,635	7,031	8,968	2,676	6,292	1,697	958	739
500-999.9M	10,843	3,794	7,049	9,243	2,700	6,543	1,600	1,094	505
1-2.49B	14,968	6,483	8,485	12,202	4,336	7,866	2,766	2,147	619
2.5B or more	33,013	16,924	16,089	28,233	12,836	15,397	4,780	4,088	692

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Excludes "one-participant plans."

NOTE: The letters K, M, and B denote thousands, millions, and billions respectively.

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

*/ Fewer than 500 participants.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B6. Distribution of Participants
by type of plan and industry, 2013**
(numbers in thousands)

Industry	Total Plans			Single Employer Plans 1/			Multiemployer plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	131,631	39,084	92,547	116,840	28,983	87,857	14,791	10,101	4,690
Agriculture	782	137	645	729	117	613	53	20	33
Mining	1,095	287	807	1,028	284	743	67	3	64
Construction	6,988	2,743	4,245	2,586	82	2,504	4,402	2,661	1,741
Manufacturing	29,212	12,977	16,235	27,860	12,104	15,755	1,352	872	480
Transportation	6,295	2,574	3,721	4,591	1,276	3,315	1,704	1,298	406
Communications and information	5,438	2,171	3,267	4,997	1,956	3,041	440	215	226
Utilities	1,797	957	841	1,768	956	812	29	*/	29
Wholesale trade	4,150	866	3,284	4,054	817	3,237	96	49	47
Retail trade	13,970	2,797	11,173	12,390	1,320	11,070	1,580	1,477	102
Finance, insurance & real estate	14,111	5,607	8,504	11,433	3,560	7,873	2,678	2,047	630
Services	45,568	7,557	38,011	43,564	6,301	37,263	2,003	1,256	748
Misc. organizations 3/	2,220	412	1,808	1,832	209	1,623	388	203	185
Industry not reported	7	*/	7	7	*/	7	-	-	-

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Industry classifications are based on principal business activity code used in the North American Industry Classification System as of 2006. Therefore, the results in this table may not be directly comparable with results for years prior to 2006.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

3/ Religious, grantmaking, civic, professional, labor, and similar organizations.

*/ Fewer than 500 participants.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B7. Distribution of Active Participants
by type of plan, 2013**
(numbers in thousands)

Type of Plan 1/	Total Plans	Single Employer Plans 2/	Multiemployer Plans 3/
Total	91,955	84,373	7,582
Defined benefit	15,245	11,216	4,029
Defined contribution	76,710	73,157	3,553
Profit sharing and thrift-savings	66,915	64,548	2,367
Stock bonus	938	938	*/
Target benefit	37	32	4
Money purchase	1,836	899	937
Annuity-403(b)(1)	4,994	4,989	6
Custodial account-403(b)(7)	970	923	47
Other defined contribution	1,020	829	192

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. The number of active participants also includes double counting of workers in more than one plan. Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

NOTE: Excludes "one-participant plans."

1/ About 1% of defined contribution plans report more than one plan type. These plans are assigned whichever plan type appears first in the list. As of 2009, annuity-403(b)(1) plans and custodial account-403(b)(7) plans established or maintained by an employer as described in DOL Regulation 29 CFR 2510.3-2(f) are required to file participation and financial information. Annuity-403(b)(1) plans and custodial account-403(b)(7) plans that are not required to file this information may or may not choose to do so. In the event that this information is provided, it is tabulated.

2/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

3/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

**/ Fewer than 500 participants.*

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B8. Number of Plans
by type of plan and method of funding, 2013**

Method of Funding	Total Plans			Single Employer Plans 1/			Multiemployer plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution

Funding arrangement for investment of assets

Total	681,154	44,163	636,991	678,435	42,746	635,689	2,720	1,418	1,302
Form 5500 Short Form 3/	518,706	30,234	488,473	518,704	30,234	488,471	2	-	2
Insurance	5,584	591	4,993	5,569	585	4,984	15	6	9
Section 412(i) ins.	354	271	83	354	271	83	-	-	-
Trust	113,615	10,810	102,805	111,736	9,801	101,935	1,879	1,010	869
Trust and insurance	42,668	2,229	40,439	41,844	1,827	40,018	823	402	421
Not determinable	228	29	198	228	29	198	-	-	-

Funding arrangement for payment of benefits

Total	681,154	44,163	636,991	678,435	42,746	635,689	2,720	1,418	1,302
Form 5500 Short Form 3/	518,706	30,234	488,473	518,704	30,234	488,471	2	-	2
Insurance	9,271	628	8,643	9,258	622	8,636	13	6	7
Section 412(i) ins.	351	273	78	349	271	78	2	2	-
Trust	119,379	11,113	108,266	117,166	9,914	107,252	2,213	1,198	1,014
Trust and insurance	33,220	1,887	31,333	32,730	1,676	31,054	490	211	279
Not determinable	228	29	198	228	29	198	-	-	-

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

3/ Form 5500 Short Form filers do not report on the plan funding nor benefit arrangements.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table B9. Number of Participants
by type of plan and method of funding, 2013**
(numbers in thousands)

Method of Funding	Total Plans			Single Employer Plans 1/			Multiemployer plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution

Funding arrangement for investment of assets

Total	131,631	39,084	92,547	116,840	28,983	87,857	14,791	10,101	4,690
Form 5500 Short Form 3/	11,374	385	10,989	11,374	385	10,989	*/	-	*/
Insurance	1,913	298	1,615	1,905	294	1,611	8	3	4
Section 412(i) ins.	7	3	4	7	3	4	-	-	-
Trust	79,267	25,386	53,881	71,567	20,651	50,915	7,700	4,734	2,966
Trust and insurance	39,068	13,012	26,056	31,985	7,649	24,336	7,083	5,363	1,720
Not determinable	3	1	2	3	1	2	-	-	-

Funding arrangement for payment of benefits

Total	131,631	39,084	92,547	116,840	28,983	87,857	14,791	10,101	4,690
Form 5500 Short Form 3/	11,374	385	10,989	11,374	385	10,989	*/	-	*/
Insurance	1,955	322	1,633	1,949	320	1,630	6	2	4
Section 412(i) ins.	8	4	4	7	3	4	2	2	-
Trust	86,875	28,790	58,085	75,550	21,420	54,130	11,325	7,370	3,955
Trust and insurance	31,416	9,581	21,835	27,957	6,854	21,103	3,459	2,727	732
Not determinable	3	1	2	3	1	2	-	-	-

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

3/ Form 5500 Short Form filers do not report on the plan funding nor benefit arrangements.

*/ Fewer than 500 participants.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C1. Distribution of Assets
by number of participants, 2013**

(amounts in millions)

Number of Participants	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	\$7,870,897	\$2,866,392	\$5,004,505	\$7,192,887	\$2,388,141	\$4,804,746	\$678,010	\$478,251	\$199,759
None or not reported	2,928	655	2,274	2,660	655	2,005	268	*/	268
2-9	168,447	21,597	146,850	168,440	21,597	146,843	7	-	7
10-24	185,716	8,305	177,411	185,711	8,304	177,407	5	1	4
25-49	187,935	5,940	181,994	187,893	5,929	181,965	41	12	29
50-99	221,828	10,027	211,801	221,603	9,954	211,648	225	73	152
100-249	296,699	26,756	269,943	294,534	25,780	268,754	2,165	976	1,189
250-499	280,170	39,991	240,179	272,911	35,759	237,152	7,259	4,232	3,027
500-999	327,618	65,160	262,458	308,784	53,092	255,692	18,835	12,068	6,766
1,000-2,499	599,738	168,557	431,182	539,685	131,430	408,256	60,053	37,127	22,926
2,500-4,999	624,196	199,117	425,079	552,193	158,112	394,081	72,003	41,005	30,998
5,000-9,999	739,594	279,640	459,954	661,488	229,004	432,484	78,106	50,636	27,469
10,000-19,999	837,981	318,522	519,459	754,520	251,845	502,675	83,461	66,677	16,784
20,000-49,999	1,379,436	586,119	793,317	1,265,454	509,854	755,600	113,982	76,265	37,717
50,000 or more	2,018,610	1,136,005	882,605	1,777,010	946,825	830,185	241,600	189,180	52,420

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

*/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C2. Distribution of Assets
by asset size, 2013**
(amounts in millions)

Amount of Assets	Total Plans			Single Employer Plans 1/			Multiemployer plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	\$7,870,897	\$2,866,392	\$5,004,505	\$7,192,887	\$2,388,141	\$4,804,746	\$678,010	\$478,251	\$199,759
\$1-24K	245	2	243	245	2	243	*/	*/	*/
25-49K	619	8	611	619	8	611	*/	*/	*/
50-99K	2,187	70	2,117	2,186	70	2,116	1	1	*/
100-249K	12,328	680	11,648	12,325	678	11,647	4	2	2
250-499K	33,683	1,923	31,760	33,675	1,919	31,755	9	4	4
500-999K	87,653	5,210	82,443	87,632	5,202	82,431	20	8	12
1-2.49M	236,941	15,554	221,387	236,815	15,508	221,307	126	46	80
2.5-4.9M	237,957	14,562	223,395	237,430	14,378	223,051	528	184	344
5-9.9M	248,398	14,812	233,586	246,881	14,328	232,553	1,517	484	1,033
10-24.9M	341,935	34,933	307,002	334,280	31,511	302,769	7,655	3,421	4,234
25-49.9M	296,328	49,208	247,120	281,549	41,252	240,296	14,779	7,955	6,824
50-74.9M	197,051	43,941	153,110	182,001	35,877	146,124	15,050	8,064	6,986
75-99.9M	157,171	42,401	114,770	142,396	33,238	109,158	14,775	9,163	5,612
100-149.9M	260,598	74,897	185,701	234,001	58,194	175,807	26,597	16,703	9,894
150-199.9M	211,714	64,665	147,049	188,250	50,792	137,459	23,463	13,873	9,591
200-249.9M	159,758	50,044	109,713	142,994	41,092	101,902	16,764	8,952	7,812
250-499.9M	601,589	207,521	394,069	525,681	160,046	365,635	75,908	47,474	28,434
500-999.9M	670,418	247,227	423,191	589,664	190,365	399,299	80,754	56,861	23,892
1-2.49B	1,042,103	451,052	591,051	914,017	355,822	558,195	128,085	95,230	32,855
2.5B or more	3,072,222	1,547,683	1,524,538	2,800,248	1,337,859	1,462,389	271,974	209,825	62,149

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Excludes "one-participant plans."

NOTE: The letters K, M, and B denote thousands, millions, and billions respectively.

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

*/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C3. Distribution of Assets
by industry, 2013**
(amounts in millions)

Industry	Total Plans			Single Employer Plans 1/			Multiemployer plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
Total	\$7,870,897	\$2,866,392	\$5,004,505	\$7,192,887	\$2,388,141	\$4,804,746	\$678,010	\$478,251	\$199,759
Agriculture	23,865	5,600	18,265	22,548	5,031	17,517	1,318	569	748
Mining	80,811	21,839	58,972	76,236	21,478	54,758	4,575	361	4,214
Construction	363,362	167,623	195,739	124,484	4,750	119,734	238,878	162,874	76,005
Manufacturing	2,516,795	1,139,564	1,377,231	2,446,205	1,108,460	1,337,745	70,590	31,104	39,486
Transportation	346,511	181,259	165,252	244,366	90,642	153,724	102,145	90,617	11,528
Communications and information	392,565	165,697	226,868	374,977	155,628	219,349	17,588	10,069	7,519
Utilities	288,163	168,675	119,488	285,530	168,653	116,877	2,634	22	2,612
Wholesale trade	233,180	47,916	185,264	230,744	46,396	184,347	2,436	1,519	917
Retail trade	324,925	69,356	255,569	291,185	36,508	254,677	33,741	32,848	893
Finance, insurance & real estate	965,790	389,086	576,704	850,269	298,456	551,813	115,520	90,630	24,891
Services	2,247,247	475,410	1,771,837	2,177,657	432,743	1,744,913	69,590	42,667	26,924
Misc. organizations 3/	87,577	34,366	53,211	68,583	19,394	49,189	18,994	14,972	4,022
Industry not reported	104	*/	104	104	*/	104	-	-	-

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Industry classifications are based on principal business activity code used in the North American Industry Classification System as of 2006. Therefore, the results in this table may not be directly comparable with results for years prior to 2006.

NOTE: Excludes "one-participant plans."

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans. All defined benefit plans paying premiums to PBGC's multiemployer program are included.

3/ Religious, grantmaking, civic, professional, labor, and similar organizations.

*/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C4. Balance Sheet of Pension Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets			
Total noninterest-bearing cash	\$8,186	\$4,347	\$3,839
Employer contrib. receivable	72,697	46,417	26,280
Participant contrib. receivable	1,561	18	1,543
Other receivables	32,833	18,987	13,846
Interest-bearing cash	96,954	42,361	54,593
U.S. Government securities	153,620	115,783	37,838
Corporate debt instruments: Preferred	58,765	53,332	5,433
Corporate debt instruments: All other	153,270	134,511	18,759
Preferred stock	2,582	2,197	385
Common stock	402,442	307,661	94,781
Partnership/joint venture interests	117,429	112,513	4,916
Real estate (except employer real property)	16,116	15,230	887
Loans (other than to participants)	5,743	4,431	1,312
Participant loans	65,424	173	65,251
Assets in common/collective trusts	829,939	294,719	535,219
Assets in pooled separate accounts	183,872	42,412	141,460

(continued...)

**Table C4. Balance Sheet of Pension Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets in master trusts	\$2,044,462	\$1,220,242	\$824,220
Assets in 103-12 investment entities	70,859	65,196	5,663
Assets in registered investment companies	2,114,926	245,291	1,869,635
Assets in insurance co. general accounts	173,592	12,770	160,822
Other general investments	152,589	75,792	76,797
Employer securities	297,270	2,726	294,544
Employer real property	289	94	195
Buildings and other property used by plan	853	826	27
Other or unspecified assets	<u>47,769</u>	<u>1,839</u>	<u>45,930</u>
Total Assets	7,104,043	2,819,868	4,284,175
Liabilities			
Benefit claims payable	1,606	745	861
Operating payables	6,145	4,503	1,643
Acquisition indebtedness	9,294	1,394	7,899
Other liabilities	<u>56,349</u>	<u>41,731</u>	<u>14,618</u>
Total Liabilities	73,394	48,373	25,021
Net Assets	7,030,649	2,771,495	4,259,154

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C4(a). Spread Balance Sheet of Pension Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets			
Total noninterest-bearing cash	\$15,179	\$8,798	\$6,381
Employer contrib. receivable	73,050	46,585	26,464
Participant contrib. receivable	2,429	529	1,900
Other receivables	91,120	55,336	35,784
Interest-bearing cash	222,211	102,494	119,718
U.S. Government securities	442,934	279,832	163,101
Corporate debt instruments: Preferred	161,067	131,991	29,076
Corporate debt instruments: All other	453,086	347,557	105,529
Preferred stock	13,648	12,208	1,439
Common stock	1,529,865	900,166	629,700
Partnership/joint venture interests	253,181	237,723	15,458
Real estate (except employer real property)	49,551	41,330	8,221
Loans (other than to participants)	23,367	14,781	8,586
Participant loans	66,086	202	65,885

(continued...)

**Table C4(a). Spread Balance Sheet of Pension Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets in registered investment companies	2,626,900	412,180	2,214,720
Assets in insurance co. general accounts	223,830	16,616	207,214
Other general investments	415,605	199,433	216,172
Employer securities	391,851	9,185	382,666
Employer real property	459	256	203
Buildings and other property used by plan	853	826	27
Other or unspecified assets	<u>47,769</u>	<u>1,839</u>	<u>45,930</u>
Total Assets	7,104,043	2,819,868	4,284,175
Liabilities			
Benefit claims payable	1,606	745	861
Operating payables	6,145	4,503	1,643
Acquisition indebtedness	9,294	1,394	7,899
Other liabilities	<u>56,349</u>	<u>41,731</u>	<u>14,618</u>
Total Liabilities	73,394	48,373	25,021
Net Assets	7,030,649	2,771,495	4,259,154

NOTE: This table provides an estimate of the underlying asset allocation of investments in direct filing entities. Hence, there are no line items for interests in common/collective trusts, master trust investment accounts, pooled separate accounts or 103-12 investment entities. The dollar amounts of these investments are included on the line items in this table. For information on the methodology used to make these estimates, see the DFE User Guide at <http://www.dol.gov/ebsa/publications/form5500dataresearch.html>.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C5. Balance Sheet of Single Employer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets			
Total noninterest-bearing cash	\$6,026	\$2,450	\$3,576
Employer contrib. receivable	67,188	41,711	25,478
Participant contrib. receivable	1,511	13	1,498
Other receivables	25,654	12,674	12,979
Interest-bearing cash	76,204	25,968	50,236
U.S. Government securities	113,358	87,128	26,230
Corporate debt instruments: Preferred	49,606	45,933	3,673
Corporate debt instruments: All other	120,920	107,972	12,948
Preferred stock	2,104	1,757	347
Common stock	272,584	190,753	81,832
Partnership/joint venture interests	77,415	74,258	3,157
Real estate (except employer real property)	5,652	5,174	477
Loans (other than to participants)	2,509	1,316	1,193
Participant loans	63,146	97	63,049
Assets in common/collective trusts	699,287	198,046	501,242
Assets in pooled separate accounts	165,745	33,903	131,842

(continued...)

**Table C5. Balance Sheet of Single Employer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets in master trusts	\$2,030,610	\$1,213,548	\$817,062
Assets in 103-12 investment entities	51,334	48,057	3,277
Assets in registered investment companies	1,981,705	188,321	1,793,384
Assets in insurance co. general accounts	162,575	11,459	151,116
Other general investments	119,145	47,045	72,099
Employer securities	284,259	2,188	282,071
Employer real property	286	91	195
Buildings and other property used by plan	25	21	4
Other or unspecified assets	<u>47,733</u>	<u>1,819</u>	<u>45,914</u>
Total Assets	6,426,579	2,341,702	4,084,878
Liabilities			
Benefit claims payable	1,414	666	748
Operating payables	4,771	3,292	1,478
Acquisition indebtedness	9,117	1,218	7,899
Other liabilities	<u>33,812</u>	<u>21,233</u>	<u>12,579</u>
Total Liabilities	49,114	26,410	22,704
Net Assets	6,377,465	2,315,292	4,062,173

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C6. Balance Sheet of Multiemployer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets			
Total noninterest-bearing cash	\$2,159	\$1,897	\$263
Employer contrib. receivable	5,509	4,706	803
Participant contrib. receivable	50	5	45
Other receivables	7,180	6,313	867
Interest-bearing cash	20,750	16,394	4,357
U.S. Government securities	40,262	28,654	11,608
Corporate debt instruments: Preferred	9,159	7,399	1,760
Corporate debt instruments: All other	32,350	26,540	5,811
Preferred stock	479	441	38
Common stock	129,857	116,908	12,949
Partnership/joint venture interests	40,014	38,255	1,759
Real estate (except employer real property)	10,465	10,055	409
Loans (other than to participants)	3,233	3,114	119
Participant loans	2,278	76	2,202
Assets in common/collective trusts	130,651	96,674	33,978
Assets in pooled separate accounts	18,128	8,509	9,618

(continued...)

**Table C6. Balance Sheet of Multiemployer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets in master trusts	\$13,852	\$6,694	\$7,158
Assets in 103-12 investment entities	19,525	17,139	2,386
Assets in registered investment companies	133,221	56,970	76,251
Assets in insurance co. general accounts	11,017	1,311	9,706
Other general investments	33,445	28,747	4,698
Employer securities	13,011	538	12,473
Employer real property	3	3	*/
Buildings and other property used by plan	828	805	23
Other or unspecified assets	<u>36</u>	<u>20</u>	<u>17</u>
Total Assets	677,464	478,166	199,298
Liabilities			
Benefit claims payable	192	79	113
Operating payables	1,375	1,210	164
Acquisition indebtedness	176	176	*/
Other liabilities	<u>22,537</u>	<u>20,498</u>	<u>2,039</u>
Total Liabilities	24,280	21,964	2,316
Net Assets	653,184	456,203	196,981

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

*/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C7. Percentage Distribution of Assets in Defined Benefit Plans
with 100 or More Participants
by type of asset and size of plan, 2013**

Type of Asset	Total	\$1-0.9M	\$1.0M-9.9M	\$10.0M-249.9M	\$250.0M-999.9M	\$1.0B or More
Total Assets	100%	100%	100%	100%	100%	100%
Cash	2	25	5	2	2	2
Receivables	2	5	3	3	3	2
U.S. Government securities	4	*/	2	3	4	4
Corporate debt instruments: Preferred	2	-	1	1	1	2
Corporate debt instruments: All other	5	1	3	3	4	5
Corporate stocks	11	3	10	11	11	11
Real estate (except employer real property)	1	-	*/	*/	*/	1
Loans	*/	-	*/	*/	*/	*/
Assets in common/collective trusts	10	3	7	15	17	8
Assets in pooled separate accounts	2	5	12	5	1	1
Assets in master trusts	43	4	10	21	32	50
Assets in 103-12 investment entities	2	*/	*/	2	2	2
Assets in registered investment companies	9	20	37	29	14	4
Assets in ins. co. general accounts	*/	10	4	1	*/	*/
Employer securities	*/	-	*/	*/	*/	*/
Other or unspecified investments	7	23	8	5	8	7

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: The letters M and B in the column headings denote millions and billions respectively. Percentage distributions may not add up to 100 percent because of rounding.

**/ Less than 1 percent.*

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C8. Percentage Distribution of Assets in Defined Contribution Plans
with 100 or More Participants
by type of asset and size of plan, 2013**

Type of Asset	Total	\$1-0.9M	\$1.0M-9.9M	\$10.0M-249.9M	\$250.0M-999.9M	\$1.0B or More
Total Assets	100%	100%	100%	100%	100%	100%
Cash	1	2	2	2	1	1
Receivables	1	1	1	1	1	1
U.S. Government securities	1	*/	*/	*/	*/	2
Corporate debt instruments: Preferred	*/	*/	*/	*/	*/	*/
Corporate debt instruments: All other	*/	*/	*/	*/	*/	1
Corporate stocks	2	*/	1	1	1	3
Real estate (except employer real property)	*/	*/	*/	*/	*/	*/
Loans	2	1	2	2	2	2
Assets in common/collective trusts	12	2	4	8	12	16
Assets in pooled separate accounts	3	15	15	6	3	1
Assets in master trusts	19	*/	*/	3	11	33
Assets in 103-12 investment entities	*/	*/	*/	*/	*/	*/
Assets in registered investment companies	44	35	51	64	57	27
Assets in ins. co. general accounts	4	3	5	6	5	2
Employer securities	7	2	2	4	5	9
Other or unspecified investments	3	38	16	3	2	2

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

*NOTE: The letters M and B in the column headings denote millions and billions respectively. Percentage distributions may not add up to 100 percent because of rounding. */ Less than 1 percent.*

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C9. Income Statement of Pension Plans With 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Income and Expenses	Total	Defined Benefit	Defined Contribution
Income			
Contributions received or receivable from:			
Employers	\$220,443	\$106,412	\$114,031
Participants	179,004	615	178,389
Others (including rollovers)	23,922	230	23,692
Noncash contributions	<u>1,571</u>	<u>107</u>	<u>1,464</u>
Total contributions	424,940	107,363	317,576
Interest earnings:			
Interest-bearing cash	917	363	554
U.S. Government securities	2,766	2,050	716
Corporate debt instruments	7,952	7,148	804
Non-participant loans	263	170	93
Participant loans	2,497	10	2,487
Other or unspecified interest	<u>8,504</u>	<u>2,744</u>	<u>5,761</u>
Total interest earnings	22,899	12,485	10,414
Dividends:			
Preferred stock	967	357	610
Common stock	13,637	6,322	7,315
Registered investment company shares (e.g., mutual funds)	<u>58,784</u>	<u>5,228</u>	<u>53,555</u>
Total dividend income	73,387	11,907	61,480
Rents	457	428	29
Net gain (loss) on sale of assets	31,914	21,457	10,457
Unrealized appreciation (depreciation):			
Unrealized appreciation of real estate	4,158	2,707	1,452
Other unrealized appreciation	<u>118,412</u>	<u>45,598</u>	<u>72,814</u>
Total unrealized appreciation (depreciation)	122,570	48,305	74,265
Net investment gain (loss) from:			
Common/collective trusts	96,290	36,189	60,101
Pooled separate accounts	31,517	6,011	25,506
Master trusts	244,881	117,379	127,502
103-12 investment entities	10,227	7,089	3,138
Registered investment companies	286,780	17,922	268,858
Other or unspecified income	<u>18,004</u>	<u>4,667</u>	<u>13,337</u>
Total Income	1,363,866	391,203	972,663

(continued...)

**Table C9. Income Statement of Pension Plans With 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Income and Expenses	Total	Defined Benefit	Defined Contribution
Expenses			
Benefit payments and payments to provide benefits:			
Direct benefit payments	\$496,808	\$190,179	\$306,629
Payments to insurance carriers for benefits	2,249	1,523	727
Other or unspecified benefits	<u>4,741</u>	<u>1,165</u>	<u>3,577</u>
Total benefit payments	503,799	192,866	310,933
Interest expense	680	16	664
Corrective distributions	551	*/	551
Deemed distribution of partic. loans	709	1	708
Administrative expenses:			
Professional fees	2,236	1,722	514
Contract administrator fees	1,633	866	767
Investment advisory and management fees	5,551	4,382	1,168
Other or unspecified admin. expenses	<u>4,956</u>	<u>3,588</u>	<u>1,368</u>
Total administrative expenses	14,375	10,558	3,817
Unspecified expenses	<u>40</u>	<u>2</u>	<u>38</u>
Total Expenses	520,153	203,443	316,710
Net Income	843,713	187,760	655,953

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

**/ Less than \$500,000.*

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C10. Income Statement of Single Employer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Income and Expenses	Total	Defined Benefit	Defined Contribution
Income			
Contributions received or receivable from:			
Employers	\$189,099	\$83,083	\$106,017
Participants	174,937	552	174,385
Others (including rollovers)	23,327	80	23,247
Noncash contributions	<u>1,165</u>	<u>106</u>	<u>1,059</u>
Total contributions	388,529	83,822	304,707
Interest earnings:			
Interest-bearing cash	771	280	491
U.S. Government securities	1,902	1,393	510
Corporate debt instruments	6,144	5,641	503
Non-participant loans	200	111	89
Participant loans	2,408	8	2,400
Other or unspecified interest	<u>7,248</u>	<u>1,874</u>	<u>5,373</u>
Total interest earnings	18,672	9,307	9,365
Dividends:			
Preferred stock	914	329	584
Common stock	10,619	3,909	6,709
Registered investment company shares (e.g., mutual funds)	<u>55,109</u>	<u>3,975</u>	<u>51,135</u>
Total dividend income	66,641	8,214	58,428
Rents	97	73	24
Net gain (loss) on sale of assets	22,572	13,329	9,242
Unrealized appreciation (depreciation):			
Unrealized appreciation of real estate	3,611	2,207	1,405
Other unrealized appreciation	<u>90,885</u>	<u>23,373</u>	<u>67,512</u>
Total unrealized appreciation (depreciation)	94,496	25,579	68,916
Net investment gain (loss) from:			
Common/collective trusts	78,858	22,428	56,430
Pooled separate accounts	29,478	5,272	24,207
Master trusts	243,214	116,622	126,592
103-12 investment entities	9,000	5,939	3,060
Registered investment companies	274,070	14,064	260,006
Other or unspecified income	<u>16,558</u>	<u>3,365</u>	<u>13,193</u>
Total Income	1,242,184	308,014	934,170

(continued...)

**Table C10. Income Statement of Single Employer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Income and Expenses	Total	Defined Benefit	Defined Contribution
Expenses			
Benefit payments and payments to provide benefits:			
Direct benefit payments	\$445,853	\$151,897	\$293,956
Payments to insurance carriers for benefits	2,226	1,506	721
Other or unspecified benefits	<u>4,651</u>	<u>1,138</u>	<u>3,513</u>
Total benefit payments	452,729	154,540	298,189
Interest expense	669	6	664
Corrective distributions	544	*/	544
Deemed distribution of partic. loans	631	*/	631
Administrative expenses:			
Professional fees	1,777	1,344	433
Contract administrator fees	1,283	596	687
Investment advisory and management fees	3,619	2,665	955
Other or unspecified admin. expenses	<u>3,931</u>	<u>2,722</u>	<u>1,209</u>
Total administrative expenses	10,611	7,328	3,283
Unspecified expenses	<u>40</u>	<u>2</u>	<u>38</u>
Total Expenses	465,225	161,875	303,350
Net Income	776,959	146,139	630,820

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

**/ Less than \$500,000.*

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C11. Income Statement of Multiemployer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Income and Expenses	Total	Defined Benefit	Defined Contribution
Income			
Contributions received or receivable from:			
Employers	\$31,344	\$23,330	\$8,014
Participants	4,066	62	4,004
Others (including rollovers)	595	149	446
Noncash contributions	<u>406</u>	<u>*/</u>	<u>405</u>
Total contributions	36,411	23,541	12,870
Interest earnings:			
Interest-bearing cash	146	83	63
U.S. Government securities	864	658	206
Corporate debt instruments	1,808	1,507	301
Non-participant loans	63	60	4
Participant loans	89	2	87
Other or unspecified interest	<u>1,256</u>	<u>869</u>	<u>387</u>
Total interest earnings	4,227	3,178	1,049
Dividends:			
Preferred stock	53	28	26
Common stock	3,018	2,413	605
Registered investment company shares (e.g., mutual funds)	<u>3,674</u>	<u>1,254</u>	<u>2,421</u>
Total dividend income	6,746	3,694	3,052
Rents	360	355	5
Net gain (loss) on sale of assets	9,342	8,128	1,214
Unrealized appreciation (depreciation):			
Unrealized appreciation of real estate	547	500	47
Other unrealized appreciation	<u>27,527</u>	<u>22,225</u>	<u>5,302</u>
Total unrealized appreciation (depreciation)	28,074	22,725	5,349
Net investment gain (loss) from:			
Common/collective trusts	17,432	13,761	3,671
Pooled separate accounts	2,039	739	1,299
Master trusts	1,667	757	911
103-12 investment entities	1,228	1,150	78
Registered investment companies	12,710	3,858	8,852
Other or unspecified income	<u>1,446</u>	<u>1,303</u>	<u>143</u>
Total Income	121,681	83,189	38,492

(continued...)

**Table C11. Income Statement of Multiemployer Pension Plans
with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Income and Expenses	Total	Defined Benefit	Defined Contribution
Expenses			
Benefit payments and payments to provide benefits:			
Direct benefit payments	\$50,955	\$38,282	\$12,673
Payments to insurance carriers for benefits	23	17	6
Other or unspecified benefits	<u>91</u>	<u>27</u>	<u>64</u>
Total benefit payments	51,069	38,326	12,743
Interest expense	11	11	*/
Corrective distributions	6	-	6
Deemed distribution of participant loans	78	1	76
Administrative expenses:			
Professional fees	459	377	81
Contract administrator fees	349	269	80
Investment advisory and management fees	1,931	1,718	214
Other or unspecified admin. expenses	<u>1,024</u>	<u>866</u>	<u>159</u>
Total administrative expenses	3,764	3,230	534
Unspecified expenses	*/	=	*/
Total Expenses	54,928	41,568	13,359
Net Income	66,754	41,621	25,133

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

*/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C12. Percentage Distribution of Income of Defined Benefit Plans
with 100 or More Participants
by source of income and size of plan, 2013**

Type of Income	Total	\$1-0.9M	\$1.0M-9.9M	\$10.0M-249.9M	\$250.0M-999.9M	\$1.0B or More
Total Income	100%	100%	100%	100%	100%	100%
Employer contributions	27	57	39	32	30	25
Participant contributions	*/	11	*/	*/	*/	*/
Other or unspecified contributions	*/	<u>9</u>	*/	*/	*/	*/
Total contributions	27	77	40	32	30	26
Interest on interest-bearing cash	*/	1	*/	*/	*/	*/
Interest on U.S. Government securities	1	3	*/	*/	1	1
Interest on corporate debt instruments	2	1	1	1	1	2
Interest on non-participant loans	*/	-	*/	*/	*/	*/
Interest on participant loans	*/	-	*/	*/	*/	*/
Other or unspecified interest	<u>1</u>	*/	<u>1</u>	<u>1</u>	<u>1</u>	<u>1</u>
Total interest earnings	3	6	3	2	3	3
Total dividends income	3	2	6	5	4	2
Net gain (loss) on sale of assets	5	11	4	5	7	5
Total unrealized appreciation (depreciation)	12	(9)	10	12	13	12
Net invest. gain (loss) from common/col. trusts	9	*/	4	10	11	9
Net invest. gain (loss) from pooled sep. accounts	2	*/	8	4	1	1
Net invest. gain (loss) from master trusts	30	*/	5	14	21	36
Net invest. gain (loss) from registered invest. co.	5	(3)	15	13	7	2
Other or unspecified income	1	16	6	1	1	1

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: The letters M and B in the column headings denote millions and billions respectively. Percentage distributions may not add up to 100 percent because of rounding.
*/ Less than 1 percent.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C13. Percentage Distribution of Income of Defined Contribution Plans
with 100 or More Participants
by source of income and size of plan, 2013**

Type of Income	Total	\$1-0.9M	\$1.0M-9.9M	\$10.0M-249.9M	\$250.0M-999.9M	\$1.0B or More
Total Income	100%	100%	100%	100%	100%	100%
Employer contributions	12	17	13	13	13	10
Participant contributions	18	40	28	20	18	17
Other or unspecified contributions	<u>3</u>	<u>7</u>	<u>5</u>	<u>3</u>	<u>3</u>	<u>2</u>
Total contributions	33	65	45	36	33	29
Interest on interest-bearing cash	*/	*/	*/	*/	*/	*/
Interest on U.S. Government securities	*/	*/	*/	*/	*/	*/
Interest on corporate debt instruments	*/	*/	*/	*/	*/	*/
Interest on non-participant loans	*/	*/	*/	*/	*/	*/
Interest on participant loans	*/	*/	*/	*/	*/	*/
Other or unspecified interest	<u>1</u>	*/	*/	<u>1</u>	<u>1</u>	*/
Total interest earnings	1	1	1	1	1	1
Total dividends income	6	3	5	8	8	5
Net gain (loss) on sale of assets	1	*/	*/	1	1	1
Total unrealized appreciation (depreciation)	8	(3)	1	3	5	12
Net invest. gain (loss) from common/col. trusts	6	1	1	2	4	10
Net invest. gain (loss) from pooled sep. accounts	3	6	11	5	2	1
Net invest. gain (loss) from master trusts	13	*/	*/	2	8	23
Net invest. gain (loss) from registered invest. co.	28	13	25	39	37	18
Other or unspecified income	1	15	10	2	1	1

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: The letters M and B in the column headings denote millions and billions respectively. Percentage distributions may not add up to 100 percent because of rounding.

*/Less than 1 percent.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C14. Percentage of Defined Benefit Plans, Active Participants, and Assets
Affected by the Suspension of Benefit Accruals
by number of participants, 2013**

Number of Participants	Number of Plans		Number of Active Participants (thousands) 1/		Total Assets (millions)	
	Total	Percent Frozen	Total	Percent In Frozen Plans	Total	Percent In Frozen Plans
Total	44,163	22.8%	15,245	13.3%	\$2,866,392	15.2%
None or not reported	2,775	49.9%	-	-	655	47.6%
2-9	20,588	13.9%	89	13.8%	21,597	14.8%
10-24	6,535	18.1%	95	18.2%	8,305	18.4%
25-49	2,735	28.5%	89	28.4%	5,940	23.7%
50-99	2,207	39.9%	133	38.4%	10,027	31.1%
100-249	2,485	39.5%	186	27.6%	26,756	29.3%
250-499	1,745	38.1%	248	27.7%	39,991	26.5%
500-999	1,435	32.4%	401	23.6%	65,160	23.3%
1,000-2,499	1,603	29.2%	978	21.1%	168,557	21.3%
2,500-4,999	813	23.5%	1,118	16.3%	199,117	18.2%
5,000-9,999	562	21.5%	1,539	15.5%	279,640	17.3%
10,000-19,999	315	13.2%	1,860	8.5%	318,522	8.8%
20,000-49,999	240	15.6%	2,879	12.5%	586,119	11.9%
50,000 or more	126	12.7%	5,630	10.0%	1,136,005	15.3%

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Suspension of benefit accruals means that no participant will get any new benefit accrual whether because of service or compensation.

NOTE: Excludes "one-participant plans."

1/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table C15. Percentage of Defined Benefit Plans, Active Participants, and Assets
Affected by the Suspension of Benefit Accruals
by industry, 2013**

Industry	Number of Plans		Number of Active Participants (thousands) 1/		Total Assets (millions)	
	Total	Percent Frozen	Total	Percent In Frozen Plans	Total	Percent In Frozen Plans
Total	44,163	22.8%	15,245	13.3%	\$2,866,392	15.2%
Agriculture	473	23.7%	54	21.7%	5,600	29.9%
Mining	334	25.2%	116	14.6%	21,839	16.6%
Construction	2,159	20.8%	1,238	1.0%	167,623	1.5%
Manufacturing	6,046	37.0%	3,771	12.2%	1,139,564	13.1%
Transportation	728	27.3%	1,084	12.7%	181,259	15.0%
Communications and information	805	29.7%	836	9.9%	165,697	9.8%
Utilities	358	11.3%	479	0.8%	168,675	0.8%
Wholesale trade	2,364	26.1%	308	27.4%	47,916	24.6%
Retail trade	1,521	27.6%	1,264	7.3%	69,356	12.4%
Finance, insurance & real estate	5,435	21.2%	2,310	11.4%	389,086	14.9%
Services	23,000	18.1%	3,614	23.2%	475,410	31.6%
Misc. organizations 2/	939	36.9%	171	14.8%	34,366	13.5%
Industry not reported	2	0.0%	*	0.0%	**	0.0%

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Industry classifications are based on principal business activity code used in the North American Industry Classification System as of 2006. Therefore, the results in this table may not be directly comparable with results for years prior to 2006.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Suspension of benefit accruals means that no participant will get any new benefit accrual whether because of service or compensation.

NOTE: Excludes "one-participant plans."

1/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

2/ Religious, grantmaking, civic, professional, labor, and similar organizations.

*/ Fewer than 500 participants.

**/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D1. Balance Sheet of Defined Contribution Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total Defined Contribution Plans	Profit Sharing and Thrift Savings Plans	Stock Bonus Plans	Target Benefit Plans	Money Purchase Plans	Other Defined Contribution Plans
Assets						
Total noninterest-bearing cash	\$3,839	\$3,050	\$68	\$3	\$137	\$580
Employer contrib. receivable	26,280	23,252	934	70	873	1,151
Participant contrib. receivable	1,543	1,383	22	-	4	134
Other receivables	13,846	9,736	189	1	3,493	427
Interest-bearing cash	54,593	47,129	2,461	13	2,268	2,723
U.S. Government securities	37,838	30,490	1,865	30	4,596	856
Corporate debt instruments: Preferred	5,433	4,205	65	-	996	167
Corporate debt instruments: All other	18,759	14,093	1,142	16	2,860	647
Preferred stock	385	320	32	-	27	5
Common stock	94,781	77,039	7,398	156	6,983	3,205
Partnership/joint venture interests	4,916	2,959	94	17	1,296	551
Real estate (except employer real prop.)	887	629	*/	-	141	117
Loans (other than to participants)	1,312	1,248	*/	-	49	15
Participant loans	65,251	61,733	822	1	417	2,279
Assets in common/collective trusts	535,219	507,392	10,664	188	11,883	5,093
Assets in pooled separate accounts	141,460	122,980	213	16	4,101	14,151

(continued...)

**Table D1. Balance Sheet of Defined Contribution Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Type of Asset or Liability	Total Defined Contribution Plans	Profit Sharing and Thrift Savings Plans	Stock Bonus Plans	Target Benefit Plans	Money Purchase Plans	Other Defined Contribution Plans
Assets in master trusts	\$824,220	\$803,693	\$6,184	\$970	\$10,564	\$2,809
Assets in 103-12 investment entities	5,663	3,474	-	-	1,227	962
Assets in registered investment comp.	1,869,635	1,556,178	12,972	894	50,411	249,179
Assets in ins. co. general accounts	160,822	74,367	342	47	8,063	78,003
Other general investments	76,797	67,087	1,265	12	2,892	5,541
Employer securities	294,544	207,650	71,252	60	62	15,520
Employer real property	195	194	-	-	-	1
Buildings and other prop. used by plan	27	17	*/	*/	7	3
Other or unspecified assets	<u>45,930</u>	<u>42,296</u>	<u>96</u>	<u>4</u>	<u>786</u>	<u>2,748</u>
Total Assets	4,284,175	3,662,593	118,079	2,500	114,137	386,867
Liabilities						
Benefit claims payable	861	705	90	*/	41	25
Operating payables	1,643	1,426	47	1	73	96
Acquisition indebtedness	7,899	1,535	4,518	-	*/	1,846
Other liabilities	<u>14,618</u>	<u>7,856</u>	<u>4,160</u>	<u>4</u>	<u>1,038</u>	<u>1,559</u>
Total Liabilities	25,021	11,522	8,815	5	1,152	3,526
Net Assets	4,259,154	3,651,071	109,264	2,495	112,984	383,340

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

*/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

Table D2. Income Statement of Defined Contribution Plans with 100 or More Participants
by type of plan, 2013
(amounts in millions)

Income and Expenses	Total Defined Contribution Plans	Profit Sharing and Thrift Savings Plans	Stock Bonus Plans	Target Benefit Plans	Money Purchase Plans	Other Defined Contribution Plans
Income						
Contributions received or receivable from:						
Employers	\$114,031	\$95,752	\$2,711	\$115	\$6,205	\$9,247
Participants	178,389	161,548	1,738	1	232	14,871
Others (including rollovers)	23,692	20,652	191	*/	92	2,758
Noncash contributions	<u>1,464</u>	<u>1,179</u>	<u>242</u>	-	<u>*/</u>	<u>44</u>
Total contributions	317,576	279,131	4,881	116	6,529	26,919
Interest earnings:						
Interest-bearing cash	554	426	18	*/	39	71
U.S. Government securities	716	556	45	1	94	20
Corporate debt instruments	804	564	49	1	155	35
Non-participant loans	93	90	*/	-	1	2
Participant loans	2,487	2,349	33	*/	18	87
Other or unspecified interest	<u>5,761</u>	<u>2,856</u>	<u>25</u>	<u>2</u>	<u>359</u>	<u>2,519</u>
Total interest earnings	10,414	6,840	170	3	665	2,736
Dividends:						
Preferred stock	610	251	308	-	15	37
Common stock	7,315	6,004	833	5	139	334
Registered investment company shares (e.g., mutual funds)	<u>53,555</u>	<u>47,083</u>	<u>501</u>	<u>18</u>	<u>1,079</u>	<u>4,874</u>
Total dividend income	61,480	53,339	1,641	24	1,233	5,244
Rents	29	28	-	-	*/	*/
Net gain (loss) on sale of assets	10,457	7,388	2,230	19	454	365
Unrealized appreciation (depreciation):						
Unrealized appreciation of real estate	1,452	1,322	16	-	37	76
Other unrealized appreciation	72,814	59,399	9,942	38	1,234	2,202
Total unrealized appreciation (depreciation)	74,265	60,721	9,958	38	1,271	2,278
Net investment gain (loss) from:						
Common/collective trusts	60,101	56,945	1,397	21	1,240	498
Pooled separate accounts	25,506	23,223	10	2	501	1,770
Master trusts	127,502	124,338	1,175	140	1,406	444
103-12 investment entities	3,138	2,970	*/	1	93	74
Registered investment companies	268,858	223,674	1,829	94	6,594	36,667
Other or unspecified income	13,337	10,939	237	1	355	1,805
Total Income	972,663	849,536	23,528	457	20,342	78,799

(continued...)

**Table D2. Income Statement of Defined Contribution Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

Income and Expenses	Total Defined Contribution Plans	Profit Sharing and Thrift Savings Plans	Stock Bonus Plans	Target Benefit Plans	Money Purchase Plans	Other Defined Contribution Plans
Expenses						
Benefit payments and payments to provide benefits:						
Direct benefit payments	\$306,629	\$270,644	\$9,012	\$141	\$5,657	\$21,175
Payments to insurance carriers for benefits	727	46	2	*/	120	558
Other or unspecified benefits	<u>3,577</u>	<u>3,156</u>	<u>36</u>	<u>*/</u>	<u>215</u>	<u>170</u>
Total benefit payments	310,933	273,846	9,050	142	5,992	21,902
Interest expense	664	169	388	-	*/	106
Corrective distributions	551	540	1	-	1	9
Deemed distribution of partic. loans	708	638	*/	*/	15	54
Administrative expenses:						
Professional fees	514	439	8	*/	34	33
Contract administrator fees	767	654	7	*/	36	70
Investment advisory and management fees	1,168	951	39	3	105	70
Other or unspecified admin. expenses	<u>1,368</u>	<u>1,138</u>	<u>84</u>	<u>1</u>	<u>62</u>	<u>84</u>
Total administrative expenses	3,817	3,182	138	5	237	256
Unspecified expenses	38	21	11	*/	*/	5
Total Expenses	316,710	278,396	9,588	147	6,246	22,333
Net Income	655,953	571,140	13,940	310	14,096	56,466

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

*/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

Table D3. Number of 401(k) Type Plans, Total Participants, Active Participants, Assets, Contributions, and Benefits by type of plan, 2013

Type of Plan 1/	Number of Plans	Total Participants (thousands)	Active Participants (thousands) 2/	Total Assets (millions) 3/	Total Contributions (millions) 4/	Total Benefits (millions) 5/
Total	527,047	76,640	64,495	\$4,179,351	\$327,886	\$328,680
Profit sharing and thrift-savings	524,578	75,433	63,597	4,103,340	323,094	322,552
Stock bonus	197	542	375	50,556	2,878	4,419
Target benefit	29	1	1	31	3	2
Money purchase	542	257	189	13,279	839	886
Annuity-403(b)(1)	726	199	159	7,191	569	454
Custodial account-403(b)(7)	367	94	83	1,633	178	132
Other defined contribution	608	113	91	3,321	325	234

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ About 1% of defined contribution plans report more than one plan type. These plans are assigned whichever plan type appears first in the list. As of 2009, annuity-403(b)(1) plans and custodial account-403(b)(7) plans established or maintained by an employer as described in DOL Regulation 29 CFR 2510.3-2(f) are required to file participation and financial information. Annuity-403(b)(1) plans and custodial account-403(b)(7) plans that are not required to file this information may or may not choose to do so. In the event that this information is provided, it is tabulated.

2/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

3/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

4/ Includes both employer and employee contributions.

5/ Amounts shown include both benefits paid directly from trust funds and premium payments made by plans to insurance carriers. Amounts exclude benefits paid directly by insurance carriers.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D4. Number of 401(k) Type Plans
by number of participants and primary
or supplemental status, 2013**

Number of Participants	Total	401(k) is Only Plan Sponsored by Employer	Employer Sponsoring 401(k) Plan Also Sponsors Other Pension Plan(s)
Total	527,047	493,217	33,830
None or not reported	20,018	19,147	871
2-9	165,346	154,970	10,376
10-24	135,156	128,020	7,136
25-49	83,605	79,344	4,261
50-99	58,697	55,197	3,500
100-249	35,856	32,929	2,928
250-499	13,348	11,798	1,550
500-999	6,894	5,863	1,031
1,000-2,499	4,474	3,565	910
2,500-4,999	1,773	1,267	505
5,000-9,999	923	596	327
10,000-19,999	523	312	211
20,000-49,999	294	139	155
50,000 or more	139	71	68

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D5. Number of Active Participants in 401(k) Type Plans
by number of participants and primary
or supplemental status, 2013**
(numbers in thousands)

Number of Participants	Total	401(k) is Only Plan Sponsored by Employer	Employer Sponsoring 401(k) Plan Also Sponsors Other Pension Plan(s)
Total	64,495	46,060	18,435
2-9	860	808	52
10-24	2,087	1,978	109
25-49	2,866	2,720	146
50-99	3,984	3,746	238
100-249	4,702	4,311	391
250-499	3,856	3,409	447
500-999	3,959	3,365	594
1,000-2,499	5,721	4,562	1,159
2,500-4,999	5,044	3,664	1,380
5,000-9,999	5,097	3,334	1,763
10,000-19,999	6,021	3,736	2,285
20,000-49,999	7,086	3,448	3,638
50,000 or more	13,214	6,979	6,234

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. The number of active participants also includes double counting of workers in more than one plan. Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

NOTE: Excludes "one-participant plans."

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D6. Number of Defined Contribution Plans and Active Participants
by size of plan and extent of participant direction of investments, 2013**

Number of Participants	Total		Participant Directs All Investments		Participant Directs Investment of Portion Of Assets 1/		Participant Does Not Direct Any Investments	
	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)
Total	636,991	76,710	501,073	65,530	17,209	4,365	118,709	6,815
None or not reported	26,647	-	19,035	-	717	-	6,894	-
2-9	218,765	1,091	149,893	774	6,383	31	62,489	286
10-24	154,944	2,374	125,407	1,946	4,402	66	25,135	363
25-49	93,590	3,195	80,328	2,761	2,476	81	10,785	352
50-99	66,154	4,469	58,128	3,955	1,463	94	6,563	420
100-249	41,331	5,382	36,890	4,846	790	98	3,651	438
250-499	16,369	4,651	14,627	4,193	313	86	1,429	371
500-999	8,713	4,883	7,778	4,398	184	104	751	381
1,000-2,499	5,786	7,235	5,056	6,357	188	231	542	647
2,500-4,999	2,299	6,448	1,935	5,468	123	331	241	648
5,000-9,999	1,202	6,612	1,019	5,651	63	345	121	616
10,000-19,999	672	7,549	556	6,351	51	525	66	673
20,000-49,999	365	8,549	298	7,033	37	883	29	633
50,000 or more	154	14,273	123	11,796	19	1,488	12	989

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits. Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

NOTE: Excludes "one-participant plans."

1/ Generally, the portion would consist of employee contributions.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D6(a). Number of non-401(k) Defined Contribution Plans and Active Participants
by size of plan and extent of participant direction of investments, 2013**

Number of Participants	Total		Participant Directs All Investments		Participant Directs Investment of Portion Of Assets 1/		Participant Does Not Direct Any Investments	
	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)
Total	109,944	12,215	36,993	6,845	1,863	400	71,088	4,969
None or not reported	6,629	-	1,902	-	100	-	4,627	-
2-9	53,419	231	16,101	67	896	4	36,422	159
10-24	19,788	288	5,731	86	407	6	13,650	196
25-49	9,985	330	3,280	113	164	5	6,541	212
50-99	7,457	485	2,931	202	81	5	4,445	278
100-249	5,475	680	2,599	339	83	10	2,793	331
250-499	3,021	795	1,794	480	40	11	1,187	304
500-999	1,818	924	1,169	597	30	16	619	311
1,000-2,499	1,312	1,514	845	971	23	25	444	518
2,500-4,999	526	1,404	318	857	17	46	190	501
5,000-9,999	280	1,515	179	1,005	10	56	90	455
10,000-19,999	150	1,528	96	1,005	7	65	47	458
20,000-49,999	71	1,463	42	880	2	29	26	554
50,000 or more	15	1,060	5	245	3	123	7	692

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits. Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

NOTE: Excludes "one-participant plans."

1/ Generally, the portion would consist of employee contributions.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D6(b). Number of 401(k) Type Plans and Active Participants
by size of plan and extent of participant direction of investments, 2013**

Number of Participants	Total		Participant Directs All Investments		Participant Directs Investment of Portion Of Assets 1/		Participant Does Not Direct Any Investments	
	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)	Number of Plans	Active Participants (thousands)
Total	527,047	64,495	464,081	58,685	15,346	3,965	47,621	1,845
None or not reported	20,018	-	17,133	-	617	-	2,268	-
2-9	165,346	860	133,792	707	5,487	27	26,067	126
10-24	135,156	2,087	119,676	1,860	3,995	60	11,485	167
25-49	83,605	2,866	77,049	2,649	2,313	76	4,244	141
50-99	58,697	3,984	55,197	3,753	1,382	89	2,118	142
100-249	35,856	4,702	34,291	4,507	707	88	858	107
250-499	13,348	3,856	12,833	3,714	274	75	242	67
500-999	6,894	3,959	6,609	3,801	154	89	132	69
1,000-2,499	4,474	5,721	4,211	5,386	165	206	98	129
2,500-4,999	1,773	5,044	1,617	4,612	105	286	51	146
5,000-9,999	923	5,097	840	4,647	53	290	30	161
10,000-19,999	523	6,021	460	5,346	43	461	19	215
20,000-49,999	294	7,086	256	6,153	35	853	3	80
50,000 or more	139	13,214	118	11,552	16	1,365	5	297

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits. Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

NOTE: Excludes "one-participant plans."

1/ Generally, the portion would consist of employee contributions.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D7. Balance Sheet of 401(k) Type Plans
by extent of participant direction of investments, 2013**

(amounts in millions)

Type of Asset or Liability	Total	Participant Directs All Investments	Participant Directs Investment of Portion of Assets 1/	Participant Does Not Direct Any Investments
Partnership/joint venture interests	\$2,900	\$1,495	\$715	\$689
Employer real property	147	114	31	2
Real estate (other than employer real property)	1,120	686	194	241
Employer securities	200,539	114,909	76,192	9,438
Participant loans	62,886	53,046	8,246	1,594
Loans (other than to participants)	1,743	660	174	909
Other investments 2/	3,395,126	2,815,818	455,614	123,694
Form 5500 Short Form Assets 3/	<u>514,889</u>	<u>448,373</u>	<u>22,366</u>	<u>44,149</u>
Total Assets	4,179,351	3,435,102	563,532	180,717
Total Liabilities	<u>10,870</u>	<u>6,065</u>	<u>2,658</u>	<u>2,147</u>
Net Assets	4,168,480	3,429,037	560,874	178,570

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

NOTE: Excludes "one-participant plans."

1/ Generally, the portion would consist of employee contributions.

2/ This table summarizes assets that appear on both the Schedule H (for plans with 100 or more participants) and Schedule I (for plans with fewer than 100 participants). All asset items that appear on the more detailed Schedule H but not the Schedule I are grouped under "Other investments." Table D9 summarizes the more detailed Schedule H asset information for large plans.

3/ The Form 5500 Short Form shares no asset items with Schedule H or Schedule I. Therefore, the total assets reported by Form 5500 Short Form filers are summarized on this line item.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D8. Income Statement of 401(k) Type Plans
by extent of participant direction of investments, 2013**

(amounts in millions)

Income and Expenses	Total	Participant Directs All Investments	Participant Directs Investment of Portion of Assets 1/	Participant Does Not Direct Any Investments
Income				
Employer contributions	\$108,530	\$92,631	\$11,162	\$4,737
Participant contributions	192,398	167,155	19,055	6,188
Contributions from others (including rollovers)	26,049	23,560	1,552	937
Noncash contributions	909	628	266	15
All other income 2/	<u>651,137</u>	<u>535,184</u>	<u>91,958</u>	<u>23,995</u>
Total Income	979,024	819,158	123,993	35,872
Expenses				
Total benefit payments	328,680	273,718	42,384	12,579
Certain deemed and/or corrective distributions 3/	1,524	1,416	75	33
Administrative expenses 4/	4,130	3,377	478	276
Other or unspecified expenses	<u>387</u>	<u>209</u>	<u>116</u>	<u>61</u>
Total Expenses	334,721	278,720	43,053	12,948
Net Income	644,303	540,438	80,940	22,924

NOTE: Excludes "one-participant plans."

1/ Generally, the portion would consist of employee contributions.

2/ This table summarizes income and expenses that appear on the Schedule H (for plans with 100 or more participants), the Schedule I (for plans with fewer than 100 participants), and the Form 5500 Short Form. All income and expense items that appear on the more detailed Schedule H but not the Schedule I or Short Form (e.g., Interest earnings, Dividends, Rents, and several line items reporting realized or unrealized gains/losses on investments) are grouped under "All other income" or "Other expenses." Table D10 summarizes the more detailed Schedule H income information for large plans.

3/ For plans filing Schedule H or Schedule I, this line item represents the combination of "Corrective distributions" and "Certain deemed distributions of participant loans" to be consistent with the Form 5500 Short Form line item "Certain deemed and/or corrective distributions."

4/ For Schedule H filers, "Administrative expenses" is equal to the "Total administrative expenses" line item, while for Schedule I and Form 5500 Short Form filers, "Administrative expenses" includes only the "Administrative service providers" line item.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D9. Balance Sheet of 401(k) Type Plans with 100 or More Participants
by extent of participant direction of investments, 2013**
(amounts in millions)

Type of Asset or Liability	Total	Participant Directs All Investments	Participant Directs Investment of Portion of Assets 1/	Participant Does Not Direct Any Investments
Assets				
Total noninterest-bearing cash	\$2,888	\$2,711	\$102	\$75
Employer contrib. receivable	20,410	17,250	2,404	756
Participant contrib. receivable	1,400	1,245	128	27
Other receivables	12,636	8,022	402	4,211
Interest-bearing cash	45,310	36,899	5,165	3,245
U.S. Government securities	29,105	18,003	2,520	8,582
Corporate debt instruments: Preferred	3,634	1,025	699	1,910
Corporate debt instruments: All other	12,619	8,311	2,007	2,301
Preferred stock	258	134	27	96
Common stock	76,603	55,964	9,144	11,495
Partnership/joint venture interests	1,905	923	562	419
Real estate (exc. employer real property)	336	218	71	47
Loans (other than to participants)	1,228	429	87	711
Participant loans	61,881	52,139	8,205	1,537
Assets in common/collective trusts	503,732	410,346	66,511	26,876
Assets in pooled separate accounts	118,870	111,526	4,613	2,732

(continued...)

**Table D9. Balance Sheet of 401(k) Type Plans with 100 or More Participants
by extent of participant direction of investments, 2013**

(amounts in millions)

Type of Asset or Liability	Total	Participant Directs All Investments	Participant Directs Investment of Portion of Assets 1/	Participant Does Not Direct Any Investments
Assets in master trusts	\$792,722	\$574,096	\$210,241	\$8,386
Assets in 103-12 investment entities	1,821	1,005	115	701
Assets in registered investment comp.	1,533,981	1,368,157	126,896	38,929
Assets in insurance co. general accounts	69,091	61,887	5,620	1,584
Other general investments	64,132	50,698	11,864	1,569
Employer securities	198,136	113,742	75,296	9,098
Employer real property	133	105	27	1
Buildings and other property used by plan	3	2	1	*/
Other or unspecified assets	<u>41,050</u>	<u>38,523</u>	<u>1,249</u>	<u>1,277</u>
Total Assets	3,593,882	2,933,359	533,958	126,565
Liabilities				
Benefit claims payable	620	439	115	65
Operating payables	1,372	1,262	84	25
Acquisition indebtedness	718	108	450	161
Other liabilities	<u>6,665</u>	<u>2,961</u>	<u>1,931</u>	<u>1,774</u>
Total Liabilities	9,375	4,770	2,580	2,025
Net Assets	3,584,507	2,928,589	531,378	124,540

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

1/ Generally, the portion would consist of employee contributions.

*/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D10. Income Statement of 401(k) Type Plans with 100 or More Participants
by extent of participant direction of investments, 2013**
(amounts in millions)

Income and Expenses	Total	Participant Directs All Investments	Participant Directs Investment of Portion of Assets 1/	Participant Does Not Direct Any Investments
Income				
Contributions received or receivable from:				
Employers	\$90,292	\$76,848	\$10,369	\$3,075
Participants	163,116	140,526	18,186	4,404
Others (including rollovers)	20,651	18,841	1,389	421
Noncash contributions	<u>874</u>	<u>615</u>	<u>248</u>	<u>11</u>
Total contributions	274,932	236,830	30,191	7,912
Interest earnings:				
Interest-bearing cash	384	277	79	28
U.S. Government securities	519	300	32	187
Corporate debt instruments	482	277	54	151
Non-participant loans	87	42	9	36
Participant loans	2,356	2,014	285	57
Other or unspecified interest	<u>2,664</u>	<u>2,026</u>	<u>509</u>	<u>129</u>
Total interest earnings	6,493	4,936	969	588
Dividends:				
Preferred stock	225	63	154	8
Common stock	5,662	3,323	1,892	448
Registered investment company shares (e.g., mutual funds)	<u>46,766</u>	<u>42,165</u>	<u>3,640</u>	<u>961</u>
Total dividend income	52,653	45,551	5,685	1,417
Rents	16	10	5	*/
Net gain (loss) on sale of assets	7,595	4,088	3,331	176
Unrealized appreciation (depreciation):				
Unrealized appreciation of real estate	1,274	338	829	107
Other unrealized appreciation	<u>56,951</u>	<u>40,692</u>	<u>12,931</u>	<u>3,328</u>
Total unrealized appreciation (depreciation)	58,225	41,030	13,760	3,435
Net investment gain (loss) from:				
Common/collective trusts	57,109	43,727	8,525	4,858
Pooled separate accounts	22,598	21,435	772	391
Master trusts	123,469	87,726	34,726	1,017
103-12 investment entities	2,888	349	2,304	235
Registered investment companies	221,265	200,316	16,239	4,709
Other or unspecified income	<u>10,467</u>	<u>8,908</u>	<u>1,326</u>	<u>233</u>
Total Income	837,710	694,905	117,833	24,972

(continued...)

**Table D10. Income Statement of 401(k) Type Plans with 100 or More Participants
by extent of participant direction of investments, 2013**
(amounts in millions)

Income and Expenses	Total	Participant Directs All Investments	Participant Directs Investment of Portion of Assets 1/	Participant Does Not Direct Any Investments
Expenses				
Benefit payments and payments to provide benefits:				
Direct benefit payments	\$266,916	\$219,473	\$39,214	\$8,228
Payments to insurance carriers for benefits	38	35	1	2
Other or unspecified benefits	<u>3,209</u>	<u>2,792</u>	<u>192</u>	<u>226</u>
Total benefit payments	270,163	222,300	39,407	8,456
Interest expense	131	20	96	15
Corrective distributions	540	506	28	5
Deemed distribution of participant loans	595	553	33	9
Administrative expenses:				
Professional fees	403	334	55	14
Contract administrator fees	636	560	51	25
Investment advisory and management fees	874	694	127	52
Other or unspecified admin. expenses	<u>1,148</u>	<u>927</u>	<u>176</u>	<u>45</u>
Total administrative expenses	3,061	2,516	409	136
Unspecified expenses	<u>18</u>	<u>16</u>	<u>1</u>	<u>1</u>
Total Expenses	274,506	225,909	39,974	8,623
Net Income	563,204	468,996	77,859	16,349

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

1/ Generally, the portion would consist of employee contributions.

*/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years ending in 2013.

Table D11. Number of Employee Stock Ownership Plans (ESOPs), Total Participants, Active Participants, Assets, Contributions, and Benefits by type of ESOP and type of plan, 2013

Type of Plan 1/	Number of Plans	Total Participants (thousands)	Active Participants (thousands) 2/	Total Assets (millions) 3/	Total Contributions (millions) 4/	Total Benefits (millions) 5/
Total	6,685	13,901	10,560	\$1,233,405	\$69,002	\$91,717
Stand-Alone ESOPs	5,410	1,656	1,222	\$114,665	\$4,182	\$7,735
Profit sharing and thrift-savings	1,029	480	397	21,096	934	1,531
Stock bonus	2,901	804	553	73,396	2,340	4,987
Target benefit	2	1	1	100	3	5
Money purchase	25	2	1	89	4	15
Other defined contribution	1,453	369	270	19,985	900	1,198
KSOPs	1,275	12,245	9,338	1,118,740	64,820	83,981
Profit sharing and thrift-savings	1,089	11,849	9,058	1,088,579	63,078	81,460
Stock bonus	172	395	279	30,063	1,739	2,504
Money purchase	1	*/	*/	1	**/	**/
Other defined contribution	13	1	1	96	3	17

NOTE: KSOPs are defined as ESOPs with a 401(k) plan feature. Stand-Alone ESOPs have no such feature.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ About 1% of defined contribution plans report more than one plan type. These plans are assigned whichever plan type appears first in the list.

2/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

3/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

4/ Includes both employer and employee contributions.

5/ Amounts shown include both benefits paid directly from trust funds and premium payments made by plans to insurance carriers. Amounts exclude benefits paid directly by insurance carriers.

*/ Fewer than 500 participants.

**/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years ending in 2013.

Table D12. Number of Employee Stock Ownership Plans (ESOPs), Total Participants, Active Participants, Assets, Contributions, and Benefits by type of ESOP, 2013

Type of Plan		Number of Plans	Total Participants (thousands)	Active Participants (thousands) 1/	Total Assets (millions) 2/	Total Contributions (millions) 3/	Total Benefits (millions) 4/
Total	Total	6,685	13,901	10,560	\$1,233,405	\$69,002	\$91,717
	Nonleveraged ESOPs	3,718	11,734	8,902	1,024,510	58,676	78,176
	Leveraged ESOPs	2,966	2,167	1,658	208,895	10,326	13,541
Stand-Alone ESOPs	Total	5,410	1,656	1,222	114,665	4,182	7,735
	Nonleveraged ESOPs	2,770	988	729	68,644	1,976	5,500
	Leveraged ESOPs	2,640	668	493	46,021	2,205	2,236
KSOPs	Total	1,275	12,245	9,338	1,118,740	64,820	83,981
	Nonleveraged ESOPs	948	10,746	8,173	955,865	56,700	72,677
	Leveraged ESOPs	327	1,500	1,165	162,874	8,120	11,305

NOTE: KSOPs are defined as ESOPs with a 401(k) plan feature. Stand-Alone ESOPs have no such feature.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

2/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

3/ Includes both employer and employee contributions.

4/ Amounts shown include both benefits paid directly from trust funds and premium payments made by plans to insurance carriers. Amounts exclude benefits paid directly by insurance carriers.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D13. Number of Employee Stock Ownership Plans (ESOPs)
by number of participants, type of ESOP, and primary or supplemental status, 2013**

Number of Participants	Total Plans			Stand-Alone ESOPs			KSOPs		
	Total	ESOP is Only Plan Sponsored by Employer	ESOP is One of Multiple Plans Sponsored by Employer	Total	ESOP is Only Plan Sponsored by Employer	ESOP is One of Multiple Plans Sponsored by Employer	Total	ESOP is Only Plan Sponsored by Employer	ESOP is One of Multiple Plans Sponsored by Employer
Total	6,685	2,269	4,416	5,410	1,533	3,877	1,275	736	539
None or not reported	285	132	153	254	116	138	31	16	15
2-9	273	199	73	207	140	67	65	59	6
10-24	670	342	328	604	288	316	66	54	12
25-49	1,130	395	735	1,023	301	722	107	94	13
50-99	1,414	440	974	1,265	321	944	149	119	31
100-249	1,338	380	958	1,145	226	919	193	154	40
250-499	583	151	433	476	75	401	107	76	31
500-999	294	87	207	218	42	176	76	46	30
1,000-2,499	225	59	166	120	12	107	105	47	59
2,500-4,999	139	27	111	54	8	46	85	19	66
5,000-9,999	106	16	90	28	2	26	78	14	64
10,000-19,999	98	20	78	12	2	10	86	18	68
20,000-49,999	77	11	66	1	-	1	76	11	65
50,000 or more	51	9	42	3	-	3	48	9	39

NOTE: KSOPs are defined as ESOPs with a 401(k) plan feature. Stand-Alone ESOPs have no such feature.

NOTE: Even if the employer sponsors another pension plan(s), not all participants in the ESOP may be covered by the other pension plans(s) or even be eligible for coverage.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D14. Balance Sheet of Employee Stock Ownership Plans (ESOPs)
with 100 or More Participants
by type of ESOP and leveraged status, 2013**
(amounts in millions)

Type of Asset or Liability	Total Plans			Stand-Alone ESOPs			KSOPs		
	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs
Assets									
Total noninterest-bearing cash	\$486	\$413	\$74	\$136	\$72	\$64	\$350	\$340	\$10
Employer contrib. receivable	6,222	5,031	1,191	1,513	974	539	4,709	4,057	652
Participant contrib. receivable	270	243	27	1	1	*/	269	242	27
Other receivables	5,295	5,120	175	146	85	61	5,149	5,035	114
Interest-bearing cash	10,291	9,356	935	1,693	1,284	409	8,599	8,073	526
U.S. Government securities	17,786	17,142	644	312	276	36	17,474	16,866	608
Corporate debt instruments: Preferred	2,097	2,030	67	15	11	4	2,081	2,019	63
Corporate debt instruments: All other	5,512	5,092	421	94	68	26	5,418	5,023	395
Preferred stock	94	85	8	9	5	4	85	81	4
Common stock	32,359	27,181	5,179	864	393	470	31,496	26,787	4,708
Partnership/joint venture interests	285	279	6	8	2	6	278	277	*/
Real estate (exc. employer real property)	14	13	1	1	1	*/	13	12	1
Loans (other than to participants)	905	906	(2)	(2)	-	(2)	906	906	-
Participant loans	17,958	15,500	2,458	87	84	2	17,871	15,416	2,455
Assets in common/collective trusts	189,364	163,327	26,037	1,522	1,458	64	187,841	161,868	25,973
Assets in pooled separate accounts	6,836	6,054	782	85	38	47	6,751	6,017	735

(continued...)

**Table D14. Balance Sheet of Employee Stock Ownership Plans (ESOPs)
with 100 or More Participants
by type of ESOP and leveraged status, 2013**
(amounts in millions)

Type of Asset or Liability	Total Plans			Stand-Alone ESOPs			KSOPs		
	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs
Assets in master trusts	\$422,373	\$384,532	\$37,841	\$1,705	\$1,253	\$452	\$420,668	\$383,279	\$37,389
Assets in 103-12 investment entities	627	627	-	-	-	-	627	627	-
Assets in registered investment comp.	215,487	180,913	34,575	1,854	1,098	756	213,634	179,815	33,819
Assets in ins. co. general accounts	13,437	11,506	1,931	104	60	45	13,333	11,447	1,886
Other general investments	22,211	15,711	6,500	44	29	14	22,167	15,682	6,485
Employer securities	250,532	167,738	82,794	93,391	56,872	36,519	157,141	110,866	46,275
Employer real property	1	-	1	1	-	1	-	-	-
Buildings and other property used by plan	-	-	-	-	-	-	-	-	-
Other or unspecified assets	<u>294</u>	<u>215</u>	<u>79</u>	<u>135</u>	<u>93</u>	<u>43</u>	<u>159</u>	<u>122</u>	<u>37</u>
Total Assets	1,220,737	1,019,015	201,722	103,718	64,158	39,560	1,117,020	954,858	162,162
Liabilities									
Benefit claims payable	308	285	23	138	120	19	170	166	4
Operating payables	651	523	127	117	10	107	534	513	20
Acquisition indebtedness	7,865	1,474	6,391	7,171	1,449	5,721	694	25	669
Other liabilities	<u>10,040</u>	<u>3,169</u>	<u>6,871</u>	<u>5,399</u>	<u>474</u>	<u>4,926</u>	<u>4,640</u>	<u>2,695</u>	<u>1,945</u>
Total Liabilities	18,864	5,451	13,412	12,826	2,052	10,773	6,038	3,399	2,639
Net Assets	1,201,874	1,013,564	188,310	90,892	62,105	28,787	1,110,982	951,459	159,523

NOTE: KSOPs are defined as ESOPs with a 401(k) plan feature. Stand-Alone ESOPs have no such feature.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits.

- Missing data.

*/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years ending in 2013.

**Table D15. Income Statement of Employee Stock Ownership Plans (ESOPs)
with 100 or More Participants
by type of ESOP and leveraged status, 2013**
(amounts in millions)

Income and Expenses	Total Plans			Stand-Alone ESOPs			KSOPs		
	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs
Income									
Contributions received or receivable from:									
Employers	\$24,708	\$20,390	\$4,318	\$2,948	\$1,292	\$1,656	\$21,760	\$19,098	\$2,662
Participants	39,664	34,865	4,799	37	15	22	39,627	34,851	4,777
Others (including rollovers)	2,283	1,892	391	12	3	9	2,271	1,889	382
Noncash contributions	<u>1,300</u>	<u>961</u>	<u>339</u>	<u>587</u>	<u>464</u>	<u>123</u>	<u>713</u>	<u>498</u>	<u>215</u>
Total contributions	67,955	58,109	9,846	3,584	1,774	1,810	64,371	56,335	8,036
Interest earnings:									
Interest-bearing cash	104	57	46	11	10	1	93	48	45
U.S. Government securities	306	305	1	4	3	*/	302	302	*/
Corporate debt instruments	237	235	2	2	1	1	235	234	1
Non-participant loans	43	40	4	*/	*/	*/	43	40	4
Participant loans	649	550	99	4	4	*/	645	547	99
Other or unspecified interest	<u>846</u>	<u>681</u>	<u>165</u>	<u>13</u>	<u>11</u>	<u>2</u>	<u>833</u>	<u>670</u>	<u>163</u>
Total interest earnings	2,185	1,869	316	33	28	5	2,152	1,840	312
Dividends:									
Preferred stock	500	303	197	333	270	62	168	33	135
Common stock	5,380	3,981	1,400	1,220	836	384	4,160	3,145	1,015
Registered investment company shares (e.g., mutual funds)	<u>5,545</u>	<u>4,629</u>	<u>917</u>	<u>47</u>	<u>24</u>	<u>23</u>	<u>5,498</u>	<u>4,604</u>	<u>894</u>
Total dividend income	11,426	8,912	2,513	1,600	1,131	469	9,826	7,782	2,044
Rents	*/	-	*/	*/	-	*/	-	-	-
Net gain (loss) on sale of assets	5,620	2,676	2,943	1,403	1,281	122	4,216	1,395	2,821
Unrealized appreciation (depreciation):									
Unrealized appreciation of real estate	1,034	243	791	44	47	(3)	990	196	794
Other unrealized appreciation	<u>47,907</u>	<u>38,067</u>	<u>9,840</u>	<u>11,481</u>	<u>8,364</u>	<u>3,117</u>	<u>36,426</u>	<u>29,703</u>	<u>6,723</u>
Total unrealized appreciation (depreciation)	48,941	38,310	10,631	11,525	8,411	3,114	37,416	29,899	7,517
Net investment gain (loss) from:									
Common/collective trusts	25,764	23,084	2,680	83	82	1	25,681	23,002	2,679
Pooled separate accounts	1,136	1,057	79	4	*/	4	1,132	1,057	75
Master trusts	68,925	62,090	6,836	323	249	73	68,603	61,841	6,762
103-12 investment entities	629	24	605	39	*/	39	590	24	567
Registered investment companies	30,116	25,861	4,255	198	155	42	29,919	25,706	4,213
Other or unspecified income	<u>1,443</u>	<u>1,098</u>	<u>345</u>	<u>509</u>	<u>257</u>	<u>252</u>	<u>935</u>	<u>842</u>	<u>93</u>
Total Income	264,142	223,092	41,051	19,301	13,370	5,932	244,841	209,722	35,119

(continued...)

**Table D15. Income Statement of Employee Stock Ownership Plans (ESOPs)
with 100 or More Participants
by type of ESOP and leveraged status, 2013**
(amounts in millions)

Income and Expenses	Total Plans			Stand-Alone ESOPs			KSOPs		
	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs	Total	Nonleveraged ESOPs	Leveraged ESOPs
Expenses									
Benefit payments and payments to provide benefits:									
Direct benefit payments	\$89,143	\$76,109	\$13,033	\$6,802	\$4,906	\$1,896	\$82,341	\$71,204	\$11,137
Payments to insurance carriers for benefits	5	5	*/	3	3	*/	2	2	*/
Other or unspecified benefits	<u>565</u>	<u>533</u>	<u>32</u>	<u>81</u>	<u>58</u>	<u>23</u>	<u>484</u>	<u>475</u>	<u>9</u>
Total benefit payments	89,713	76,647	13,065	6,886	4,967	1,919	82,826	71,680	11,146
Interest expense	658	129	530	532	112	420	127	17	109
Corrective distributions	36	26	10	1	*/	*/	35	26	9
Deemed distrib. of partic. loans	87	78	9	*/	*/	*/	86	77	9
Administrative expenses:									
Professional fees	150	131	19	12	7	5	138	124	14
Contract administrator fees	107	98	10	3	2	1	104	96	8
Investment advisory and management fees	245	219	26	6	4	2	239	216	24
Other or unspecified admin. expenses	<u>251</u>	<u>149</u>	<u>102</u>	<u>12</u>	<u>7</u>	<u>5</u>	<u>239</u>	<u>142</u>	<u>97</u>
Total administrative expenses	754	597	156	33	20	13	721	578	143
Unspecified expenses	<u>17</u>	<u>1</u>	<u>17</u>	<u>17</u>	<u>*/</u>	<u>17</u>	<u>*/</u>	<u>*/</u>	<u>*/</u>
Total Expenses	91,265	77,478	13,787	7,469	5,099	2,369	83,796	72,379	11,417
Net Income	172,877	145,613	27,264	11,832	8,270	3,562	161,045	137,343	23,702

NOTE: KSOPs are defined as ESOPs with a 401(k) plan feature. Stand-Alone ESOPs have no such feature.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

*/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 filings for plan years ending in 2013.

Table D16. Number of Defined Contribution Plans, Total Participants, Active Participants, Assets, Contributions, and Benefits by 401(k) and type of ESOP, 2013

401(k) / ESOP Status	Number of Plans	Total Participants (thousands)	Active Participants (thousands) 1/	Total Assets (millions) 2/	Total Contributions (millions) 3/	Total Benefits (millions) 4/
Total	636,991	92,547	76,710	\$5,004,505	\$376,929	\$385,872
401(k), not ESOP	525,772	64,395	55,158	3,060,611	263,066	244,699
Stand-Alone ESOP	5,410	1,656	1,222	114,665	4,182	7,735
KSOP	1,275	12,245	9,338	1,118,740	64,820	83,981
Not 401(k), not ESOP	104,534	14,252	10,993	710,489	44,861	49,457

NOTE: KSOPs are defined as ESOPs with a 401(k) plan feature. Stand-Alone ESOPs have no such feature.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the related Appendix in the Private Pension Plan Bulletin Historical Tables and Graphs for more details. As in previous bulletins, the term "Total Participants" refers to active, retired, and separated vested participants not yet in pay status. The number of participants also includes double counting of workers in more than one plan. For Form 5500 Short Form filers, this number may also include deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes "one-participant plans."

1/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any nonvested former employees who have not yet incurred a break in service. Active participants also include individuals who are eligible to elect to have the employer make payments to a Code section 401(k) plan. For Form 5500 Short Form filers, all reported participants are assumed to be active.

2/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits.

3/ Includes both employer and employee contributions.

4/ Amounts shown include both benefits paid directly from trust funds and premium payments made by plans to insurance carriers. Amounts exclude benefits paid directly by insurance carriers.

SOURCE: Form 5500 filings for plan years ending in 2013.