

**Private Pension Plan Bulletin**  
Abstract of 2001 Form 5500 Annual Reports

U. S. Department of Labor  
Employee Benefits Security  
Administration  
February 2006



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## HIGHLIGHTS FROM THE 2001 FORM 5500 REPORTS

Over the past 25 years, as the private pension system has shifted from defined benefit (DB) plans toward 401(k) type defined contribution (DC) plans, the financing of benefits has shifted from employers to participants. In 1978, when legislation was enacted authorizing 401(k) type plans that allow employees to contribute on a pre-tax basis, 29 percent of contributions to DC plans, and only 11 percent of total contributions to all DB and DC pension plans were contributed by participants. In 2001, 60 percent of contributions to DC plans and 48 percent of contributions to all plans were made by participants.

Other findings from Form 5500 series reports for 2001 plan years are summarized below.

- While the number of DB plans declined from 48,000 in 2000 to 47,000 in 2001, the number of DC plans was virtually unchanged at 687,000.
- Between 2000 and 2001, the total active participant count increased from 73.1 million to 74.4 million. The number of active participants in DB plans decreased slightly by 0.01 percent to 22.1 million, and the number of active participants in DC plans increased by 2.8 percent to 52.3 million.
- The extraordinary growth rate of 401(k) type plans continued in 2001, with the number of plans increasing from 348,000 to 367,000 and the number of active participants increasing from 39.8 million to 42.0 million.
- Pension plan assets decreased 6% from \$4.2 trillion in 2000 to \$3.9 trillion in 2001. DB plan assets shrank by 8% to \$1.8 trillion, while DC plan assets grew by 4.5% to almost \$2.1 trillion.
- Assets held in 401(k) type plans fell by 2% to \$1.68 trillion. Nearly 80 percent of all DC plan assets are now in 401(k) type plans.
- Contributions to pension plans increased by 9% in 2001 to \$253.8 billion. DB plan contributions increased by 49% to \$49.7 billion, while DC plan contributions grew by 3% to \$204.0 billion.
- In a change from 1999 and 2000, benefit payouts from DC plans did not exceed DC plan contributions. DC payouts have fallen 15% since 2000. In 2001, pension plans disbursed \$311.6 billion in benefits to retirees, survivors, and terminating employees. \$129.4 billion was dispersed from DB plans and \$182.2 billion from DC plans.
- Overall, pensions disbursed \$57.8 billion more than they received in contributions, a decrease of 47% from 2000. DB plans disbursed \$79.7 billion more than they collected in contributions, while DC plans disbursed \$21.8 billion less than they received in contributions.

**Table A1. Number of Pension Plans, Total Participants, Active Participants,  
Assets, Contributions, and Benefits  
by type of plan, 2001**

Type of Plan	Number of Plans 1/	Total Participants (thousands) 2/	Active Participants (thousands) 3/	Total Assets (millions) 4/	Total Contributions (millions) 5/	Total Benefits (millions) 6/
<b>Total</b>	<b>733,470</b>	<b>106,579</b>	<b>74,430</b>	<b>\$3,940,991</b>	<b>\$253,791</b>	<b>\$311,627</b>
<b>Defined Benefit</b>	<b>46,859</b>	<b>42,067</b>	<b>22,089</b>	<b>1,825,290</b>	<b>49,743</b>	<b>129,417</b>
Cash balance	1,477	7,820	4,188	416,848	9,729	34,244
Other defined benefit	45,382	34,248	17,901	1,408,442	40,014	95,173
<b>Defined Contribution</b>	<b>686,611</b>	<b>64,511</b>	<b>52,340</b>	<b>2,115,702</b>	<b>204,048</b>	<b>182,210</b>
Profit sharing and thrift-savings plans	569,493	57,350	46,613	1,885,050	186,823	163,425
Stock bonus plans	2,861	1,615	1,277	59,240	3,639	5,012
Target benefit plans	3,184	82	65	4,290	268	454
Money purchase plans	89,193	4,433	3,555	133,348	11,514	11,339
Annuity-403(b)(1)	14,558	106	98	651	97	54
Custodial account-403(b)(7)	1,839	13	9	229	16	15
IRAs or annuities (Code 408)	495	6	6	88	4	4
Other defined contribution plans	4,989	906	717	32,805	1,686	1,907

1/ Excludes plans covering only one participant.

2/ Includes 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.

3/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. Active participants also include nonvested former employees who have not yet incurred a break in service.

4/ Total asset amounts shown exclude funds held by life insurance companies under allocated group insurance contracts for payment of retirement benefits. These excluded funds make up roughly 10 to 15 percent of total pension fund assets.

5/ Includes both employer and employee contributions.

6/ 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 beginning in 2001.

**Table A2. Number of Participants in Pension Plans  
by type of plan entity, type of plan, and type of participant, 2001**  
(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/ Retired or separated participants receiving benefits	74,430	22,089	52,340	67,195	17,105	50,090	7,235	4,984	2,250
Separated participants with vested right to benefits	10,415	9,700	715	7,831	7,180	651	2,584	2,520	63
<b>Total Participants Beneficiaries 4/</b>	<b>106,579</b>	<b>42,067</b>	<b>64,511</b>	<b>94,306</b>	<b>32,444</b>	<b>61,862</b>	<b>12,272</b>	<b>9,623</b>	<b>2,649</b>
<b>Total participants and beneficiaries</b>	<b>108,286</b>	<b>43,622</b>	<b>64,664</b>	<b>95,596</b>	<b>33,590</b>	<b>62,006</b>	<b>12,690</b>	<b>10,032</b>	<b>2,658</b>

1/ Includes single employer plans, plans of controlled groups of corporations and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

3/ Plans with less than 100 participants are required to provide only the total participant count. For these plans, which cover approximately 10 percent of all participants, the distribution of active, retired, and separated vested participants was assumed to be the same as for larger plans in each column.

4/ Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.

NOTE: Excludes plans covering only one participant.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**TABLE A3. Balance Sheet of Pension Plans  
by type of plan, 2001**  
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Partnership/joint venture interests	19,878	17,247	2,631
Employer real property	882	43	839
Real estate (exc employer real prop.)	12,002	10,317	1,684
Employer securities	281,905	7,906	273,999
Participant loans	32,956	315	32,642
Loans (other than to participants)	7,317	4,734	2,583
Other investments 1/	<u>3,586,051</u>	<u>1,784,728</u>	<u>1,801,323</u>
<b>TOTAL ASSETS</b>	<b>3,940,991</b>	<b>1,825,290</b>	<b>2,115,702</b>
<b>TOTAL LIABILITIES</b>	<b>80,833</b>	<b>49,846</b>	<b>30,987</b>
<b>NET ASSETS</b>	<b>3,860,158</b>	<b>1,775,443</b>	<b>2,084,715</b>

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".

NOTE: Total asset amounts shown exclude funds held by life insurance companies under group insurance contracts for payment of retirement benefits. These excluded funds make up roughly 10 to 15 percent of total pension fund assets.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**TABLE A4. Income Statement of Pension Plans**  
**by type of plan, 2001**  
*(amounts in millions)*

Income and Expenses	Total	Defined Benefit	Defined Contribution
<b>INCOME</b>			
Employer contributions	123,346	47,537	75,808
Participant contributions	115,872	644	115,228
Contributions from others (including rollovers)	12,665	439	12,226
Noncash contributions	1,914	1,123	790
All other income 1/	<u>-226,144</u>	<u>-83,409</u>	<u>-142,734</u>
<b>TOTAL INCOME</b>	<b>27,652</b>	<b>-33,666</b>	<b>61,318</b>
<b>EXPENSES</b>			
Total benefit payments	311,627	129,417	182,210
Corrective distributions	407	2	405
Deemed distrib. of partic. loans	582	9	573
Other expenses	<u>12,728</u>	<u>7,490</u>	<u>5,238</u>
<b>TOTAL EXPENSES</b>	<b>325,345</b>	<b>136,918</b>	<b>188,426</b>
<b>NET INCOME</b>	<b>-297,693</b>	<b>-170,585</b>	<b>-127,108</b>

1/ This table summarizes income and expenses 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 income and expense items that appear on the more detailed Schedule H but not the Schedule I are grouped under "All other income" or "Other expenses".

SOURCE: Form 5500 filings for plan years beginning in 2001.



**Table A5. Amount of Assets in Pension Plans  
by type of plan and method of funding, 2001**

(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**

<b>Total</b>	<b>\$3,940,991</b>	<b>\$1,825,290</b>	<b>\$2,115,702</b>	<b>\$3,546,166</b>	<b>\$1,479,992</b>	<b>\$2,066,174</b>	<b>\$394,825</b>	<b>\$345,298</b>	<b>\$49,527</b>
Insurance	71,671	33,685	37,986	67,334	29,973	37,361	4,336	3,712	624
Section 412(i) ins.	2,028	1,484	544	693	224	469	1,335	1,260	75
Trust	2,667,431	1,211,041	1,456,390	2,468,681	1,040,411	1,428,269	198,750	170,630	28,120
Trust and insurance	1,198,959	579,070	619,889	1,008,555	409,375	599,181	190,403	169,696	20,708
Not determinable	903	9	893	903	9	893	0	0	-

**Funding arrangement for payment of benefits**

<b>Total</b>	<b>\$3,940,991</b>	<b>\$1,825,290</b>	<b>\$2,115,702</b>	<b>\$3,546,166</b>	<b>\$1,479,992</b>	<b>\$2,066,174</b>	<b>\$394,825</b>	<b>\$345,298</b>	<b>\$49,527</b>
Insurance	64,958	26,654	38,304	62,584	24,492	38,092	2,373	2,161	212
Section 412(i) ins.	2,028	857	1,171	1,521	426	1,095	507	431	76
Trust	3,089,670	1,397,899	1,691,771	2,795,251	1,142,673	1,652,577	294,419	255,225	39,194
Trust and insurance	783,433	399,871	383,562	685,907	312,391	373,516	97,526	87,480	10,046
Not determinable	903	9	893	903	9	893	0	0	-

1/ Includes single employer plans, plans of controlled groups of corporations and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

- Missing data.

SOURCE: Form 5500 series reports filed for plan years beginning in 2001.

**Table A6. Collective Bargaining Status of Pension Plans, Participants, and Assets  
by type of plan, 2001**

Collective Bargaining Status	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/
<b>TOTAL</b>	<b>733,470</b>	<b>106,579</b>	<b>\$3,940,991</b>	<b>46,859</b>	<b>42,067</b>	<b>\$1,825,290</b>	<b>686,611</b>	<b>64,511</b>	<b>\$2,115,702</b>
Collective bargaining plans	19,413	27,509	1,177,726	6,059	18,146	833,919	13,353	9,363	343,807
Noncollectively bargained plans	714,057	79,070	2,763,265	40,800	23,922	991,371	673,257	55,148	1,771,894

1/ Asset amounts shown exclude funds held by life insurance companies under allocated insurance contracts for payment of retirement benefits. These excluded funds make up roughly 10 to 15 percent of total pension fund assets.

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

SOURCE: Form 5500 series reports filed for plan years beginning in 2001.

**Table B1. Distribution of Pension Plans  
by number of participants, 2001**

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
<b>Total</b>	<b>733,470</b>	<b>46,859</b>	<b>686,611</b>	<b>730,534</b>	<b>45,159</b>	<b>685,375</b>	<b>2,935</b>	<b>1,700</b>	<b>1,235</b>
None or not reported	60,264	3,355	56,909	60,132	3,293	56,839	133	62	70
2-9	287,193	19,976	267,217	287,190	19,976	267,214	3	-	3
10-24	167,482	4,917	162,565	167,480	4,917	162,563	2	-	2
25-49	90,980	2,849	88,131	90,913	2,847	88,066	67	2	65
50-99	56,073	2,894	53,179	56,011	2,887	53,124	62	7	55
100-249	37,540	3,855	33,685	37,236	3,679	33,557	304	175	128
250-499	14,156	2,524	11,632	13,731	2,292	11,439	425	233	193
500-999	8,227	2,110	6,116	7,690	1,788	5,902	536	322	214
1,000-2,499	6,055	2,043	4,012	5,394	1,645	3,749	661	398	263
2,500-4,999	2,532	981	1,551	2,194	776	1,418	338	205	133
5,000-9,999	1,464	632	832	1,263	499	763	202	133	68
10,000-19,999	777	337	440	672	254	418	105	83	22
20,000-49,999	498	257	241	438	210	228	60	46	13
50,000 or more	228	129	99	189	96	94	39	33	5

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

- Missing data.

NOTE: Excludes plans covering only one participant.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**Table B2. Distribution of Pension Plans  
by amount of assets, 2001**

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
<b>Total</b>	<b>733,470</b>	<b>46,859</b>	<b>686,611</b>	<b>730,534</b>	<b>45,159</b>	<b>685,375</b>	<b>2,935</b>	<b>1,700</b>	<b>1,235</b>
None or not reported	65,553	4,006	61,547	65,423	3,939	61,484	130	66	64
\$1-24K	32,978	375	32,603	32,967	372	32,595	11	3	8
25-49K	39,623	955	38,667	39,595	952	38,643	27	3	24
50-99K	67,760	1,969	65,792	67,746	1,963	65,783	14	6	8
100-249K	130,281	7,146	123,134	130,262	7,139	123,123	19	7	11
250-499k	120,021	6,844	113,177	119,951	6,839	113,112	70	5	65
500-999K	109,932	6,676	103,256	109,877	6,666	103,211	55	10	45
1-2.49M	93,100	6,391	86,708	92,908	6,336	86,572	191	55	136
2.5-4.9M	34,098	3,253	30,845	33,891	3,165	30,726	207	88	119
5-9.9M	17,311	2,382	14,929	16,974	2,234	14,740	337	148	189
10-24.9M	11,444	2,451	8,993	10,943	2,149	8,794	501	302	199
25-49.9M	4,535	1,474	3,061	4,102	1,207	2,895	432	266	166
50-74.9M	1,849	705	1,144	1,633	548	1,085	216	157	59
75-99.9M	964	406	558	821	300	521	143	106	37
100-149.9M	1,070	416	654	918	300	617	152	116	36
150-199.9M	637	273	365	547	203	344	90	70	21
200-249.9M	394	166	228	333	121	212	61	45	16
250-499.9M	846	413	433	695	282	413	151	131	20
500-999.9M	486	238	249	439	196	243	47	42	5
1-2.49B	384	201	183	322	146	176	63	55	7
2.5B or more	204	118	86	187	101	86	17	17	-

1/ Includes single employer plans, plans of controlled groups of corporations and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

- Missing data.

NOTE: Excludes plans covering only one participant. The letters K, M, and B denote thousands, millions, and billions, respectively.

**Table B3. Distribution of Pension Plans  
by industry, 2001**

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
<b>Total</b>	<b>733,470</b>	<b>46,859</b>	<b>686,611</b>	<b>730,534</b>	<b>45,159</b>	<b>685,375</b>	<b>2,935</b>	<b>1,700</b>	<b>1,235</b>
Agriculture	9,279	586	8,692	9,264	572	8,691	15	14	1
Mining	2,907	317	2,590	2,897	308	2,589	10	9	1
Construction	58,488	2,829	55,660	57,043	2,130	54,913	1,446	699	747
Manufacturing	90,318	9,758	80,560	90,038	9,567	80,471	279	191	89
Transportation	13,224	808	12,416	13,075	699	12,376	149	109	40
Communications and information	13,354	970	12,384	13,310	936	12,374	44	34	10
Utilities	2,364	420	1,944	2,357	417	1,939	7	3	4
Wholesale trade	46,612	2,504	44,108	46,559	2,466	44,093	53	39	15
Retail trade	52,461	2,052	50,409	52,355	1,979	50,376	105	73	33
Finance, insurance & real estate	66,622	6,669	59,953	66,182	6,391	59,791	440	279	162
Services	361,838	18,557	343,281	361,580	18,371	343,210	258	187	71
Misc. organizations 3/	12,707	1,275	11,432	12,592	1,220	11,373	115	55	59
Industry not reported	3,296	113	3,183	3,283	104	3,179	12	9	3

1/ Includes single employer plans, plans of controlled groups of corporations and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

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

Note: Industry classifications are now based on principal business activity code used in the North American Industry Classification System. Therefore, the results in this table may not be directly comparable with previous years.

NOTE: Excludes plans covering only one participant.

Source: Form 5500 series reports filed with the U.S. Department of Labor for plan years beginning in 2001.

**Table C1. Distribution of Assets  
by number of participants, 2001**

(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
<b>Total</b>	<b>\$3,940,991</b>	<b>\$1,825,290</b>	<b>\$2,115,702</b>	<b>\$3,546,166</b>	<b>\$1,479,992</b>	<b>\$2,066,174</b>	<b>\$394,825</b>	<b>\$345,298</b>	<b>\$49,527</b>
None or not reported	12,412	4,338	8,074	12,119	4,198	7,922	293	141	152
2-9	117,071	10,854	106,217	117,071	10,854	106,217	3/	-	3/
10-24	100,530	4,278	96,252	100,530	4,278	96,251	3/	-	3/
25-49	91,149	3,326	87,823	91,016	3,326	87,690	134	3/	134
50-99	91,087	5,563	85,525	90,987	5,543	85,444	101	20	81
100-249	142,890	18,764	124,127	140,634	16,959	123,675	2,256	1,804	452
250-499	120,492	24,467	96,025	115,296	20,913	94,383	5,196	3,554	1,643
500-999	149,777	43,844	105,933	136,813	34,000	102,813	12,964	9,844	3,120
1,000-2,499	271,564	105,472	166,092	234,266	77,058	157,208	37,298	28,414	8,884
2,500-4,999	277,805	118,416	159,389	234,330	85,467	148,863	43,475	32,949	10,527
5,000-9,999	349,114	163,237	185,877	305,441	128,722	176,719	43,672	34,515	9,157
10,000-19,999	434,180	198,746	235,433	382,931	151,084	231,847	51,249	47,662	3,586
20,000-49,999	643,839	341,768	302,071	586,911	292,627	294,285	56,927	49,141	7,786
50,000 or more	1,139,081	782,217	356,864	997,822	644,963	352,859	141,259	137,254	4,005

1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

3/ Less than \$500,000.

- Missing data.

SOURCE: Form 5500 series reports filed with the U.S. Department of Labor for plan years beginning in 2001.

**Table C2. Distribution of Assets  
by asset size, 2001**

(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
<b>Total</b>	<b>\$3,940,991</b>	<b>\$1,825,290</b>	<b>\$2,115,702</b>	<b>\$3,546,166</b>	<b>\$1,479,992</b>	<b>\$2,066,174</b>	<b>\$394,825</b>	<b>\$345,298</b>	<b>\$49,527</b>
\$1-24K	435	4	431	435	4	431	3/	3/	3/
25-49K	1,485	37	1,448	1,484	37	1,447	1	3/	1
50-99K	5,028	150	4,878	5,027	150	4,878	1	3/	1
100-249K	21,895	1,227	20,668	21,892	1,226	20,665	3	1	2
250-499K	43,301	2,472	40,829	43,275	2,470	40,805	26	2	24
500-999K	78,395	4,759	73,637	78,352	4,750	73,602	43	8	35
1-2.49M	145,145	9,945	135,200	144,809	9,846	134,963	336	99	237
2.5-4.9M	119,144	11,783	107,361	118,360	11,443	106,916	784	340	445
5-9.9M	119,812	16,844	102,968	117,383	15,742	101,641	2,429	1,101	1,328
10-24.9M	176,562	38,915	137,647	168,332	33,860	134,472	8,230	5,054	3,175
25-49.9M	159,178	52,512	106,667	143,671	42,872	100,799	15,508	9,640	5,868
50-74.9M	113,403	43,660	69,742	99,986	33,904	66,082	13,417	9,756	3,661
75-99.9M	83,104	35,120	47,983	70,745	25,962	44,783	12,358	9,158	3,200
100-149.9M	130,549	50,813	79,736	111,914	36,665	75,249	18,635	14,148	4,488
150-199.9M	109,756	47,062	62,694	94,158	35,044	59,114	15,598	12,018	3,581
200-249.9M	88,087	37,485	50,602	74,498	27,386	47,112	13,589	10,099	3,490
250-499.9M	293,406	141,921	151,485	241,536	97,111	144,424	51,870	44,810	7,060
500-999.9M	339,310	166,903	172,406	306,362	137,674	168,689	32,947	29,230	3,718
1-2.49B	583,539	303,841	279,698	497,245	226,763	270,483	86,294	77,078	9,216
2.5B or more	1,329,458	859,838	469,620	1,206,703	737,083	469,620	122,755	122,755	-

1/ Includes single employer plans, plans of controlled groups of corporations and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

3/ Less than \$500,000.

NOTE: Excludes plans covering only one participant. The letters K, M, and B denote thousands, millions, and billions, respectively.

Source: Form 5500 series reports filed with the U.S. Department of Labor for plan years beginning in 2001.

**Table C3. Distribution of Assets  
by industry, 2001**

*(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
<b>Total</b>	<b>\$3,940,991</b>	<b>\$1,825,290</b>	<b>\$2,115,702</b>	<b>\$3,546,166</b>	<b>\$1,479,992</b>	<b>\$2,066,174</b>	<b>\$394,825</b>	<b>\$345,298</b>	<b>\$49,527</b>
Agriculture	12,442	4,373	8,069	11,047	3,214	7,833	1,395	1,159	236
Mining	34,413	12,418	21,995	34,026	12,037	21,989	387	381	6
Construction	215,805	125,500	90,305	63,127	6,086	57,042	152,678	119,415	33,263
Manufacturing	1,565,782	817,162	748,619	1,535,789	787,663	748,126	29,992	29,499	493
Transportation	192,194	122,352	69,842	119,481	52,497	66,984	72,713	69,855	2,858
Communications and Information	296,656	174,793	121,863	290,183	169,518	120,665	6,473	5,275	1,198
Utilities	165,621	98,852	66,770	165,463	98,717	66,746	159	135	24
Wholesale trade	113,009	24,902	88,107	110,011	21,998	88,013	2,999	2,904	94
Retail trade	161,960	47,914	114,047	135,466	22,054	113,412	26,494	25,860	634
Finance, insurance & real estate	435,039	188,072	246,967	369,689	131,089	238,600	65,350	56,982	8,368
Services	703,666	184,413	519,253	674,332	156,754	517,578	29,334	27,659	1,675
Tax-exempt organizations	37,415	23,477	13,938	31,448	18,149	13,298	5,967	5,328	639
Industry not reported	6,988	1,062	5,927	6,104	217	5,887	884	845	39

1/ Includes single employer plans, plans of controlled groups of corporations and multiple-employer noncollectively bargained plans.

2/ Includes multiemployer plans and multiple-employer collectively bargained plans.

Note: Industry classifications are now based on principal business activity code used in the North American Industry Classification System. Therefore, the results in this table may not be directly comparable with previous years.

Source: Form 5500 series reports filed with the U.S. Department of Labor for plan years beginning in 2001.



**TABLE C4. Balance Sheet of Pension Plans with 100 or More Participants  
by type of plan, 2001**  
*(amounts in millions)*

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
<b>ASSETS</b>			
Total noninterest-bearing cash	\$4,346	\$2,120	\$2,226
Employer contrib. receivable	34,165	19,362	14,802
Participant contrib. receivable	1,868	39	1,829
Other receivables	26,468	20,839	5,629
Interest-bearing cash	72,470	30,137	42,333
U. S. Government securities	127,126	107,352	19,775
Corporate debt instruments: Preferred	35,585	30,264	5,321
Corporate debt instruments: All other	80,603	70,026	10,577
Preferred stock	3,234	1,723	1,511
Common stock	344,864	284,229	60,635
Partnership/joint venture interests	18,054	17,082	972
Real estate (except employer real prop.)	10,706	10,224	482
Loans (other than to participants)	5,668	4,508	1,160
Participant loans	29,727	270	29,458
Assets in common/collective trusts	299,806	176,704	123,102
Assets in pooled separate accounts	96,437	35,366	61,071

**(continued...)**

**TABLE C4. Balance Sheet of Pension Plans with 100 or More Participants  
by type of plan, 2001**  
(amounts in millions)

Type of Asset or Liability	Total	Defined Benefit	Defined Contribution
Assets in master trusts	1,220,714	825,834	394,880
Assets in 103-12 investment entities	11,284	7,404	3,879
Assets in registered investment companies	656,283	97,908	558,376
Assets in insurance co. general accounts	86,542	17,130	69,412
Other general investments	68,361	28,165	40,196
Employer securities	274,714	7,808	266,906
Employer real property	868	38	830
Buildings and other prop. used by plan	507	391	116
Other or unspecified assets	<u>18,340</u>	<u>2,005</u>	<u>16,335</u>
<b>TOTAL ASSETS</b>	<b>3,528,741</b>	<b>1,796,930</b>	<b>1,731,811</b>
<b>LIABILITIES</b>			
Benefit claims payable	2,567	755	1,811
Operating payables	14,957	12,982	1,975
Acquisition indebtedness	11,060	1,447	9,613
Other liabilities	<u>47,079</u>	<u>33,173</u>	<u>13,906</u>
<b>TOTAL LIABILITIES</b>	<b>75,663</b>	<b>48,358</b>	<b>27,305</b>
<b>NET ASSETS</b>	<b>3,453,079</b>	<b>1,748,572</b>	<b>1,704,506</b>

SOURCE: Form 5500 filings for plan years beginning in 2001.

**Table C7. Percentage Distribution of Assets in Defined Benefit Plans  
with 100 or More Participants  
by type of asset and size of plan, 2001**

Type of Asset	Total	\$1-0.99M	\$1.0M-9.9M	\$10.0M-249.9M	\$250.0M-999.9M	\$1.0B or More
<b>TOTAL ASSETS</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Cash	2	8	4	3	2	1
Receivables	2	8	4	3	2	2
U. S. Government securities	6	2	5	8	7	5
Corporate debt instruments: Preferred	2	1/	1	2	2	2
Corporate debt instruments: All other	4	1	3	5	5	3
Corporate stocks	16	7	13	20	20	14
Real estate (except employer real prop.)	1	1/	1/	1/	1/	1
Loans	1/	1/	1/	1/	1/	1/
Assets in common/collective trusts	10	5	8	9	7	11
Assets in pooled separate accounts	2	7	9	3	1	2
Assets in master trusts	46	14	16	29	41	52
Assets in 103-12 investment entities	1/	1/	1/	1	1	1/
Assets in registered investment companies	5	23	22	14	7	3
Assets in ins. co. general account	1	6	6	2	1	1
Employer securities	1/	0	1/	1/	1/	1
Other or unspecified investments	3	19	6	2	3	3

1/ Less than 1 percent.

NOTES: 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.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**Table C8. Percentage Distribution of Assets in Defined Contribution Plans  
with 100 or More Participants  
by type of asset and size of plan, 2001**

Type of Asset	Total	\$1-0.99M	\$1.0M-9.9M	\$10.0M-249.9M	\$250.0M-999.9M	\$1.0B or More
<b>TOTAL ASSETS</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Cash	3	4	4	4	2	2
Receivables	1	3	2	2	1	1
U. S. Government securities	1	1/	1	1	1	1
Corporate debt instruments: Preferred	1/	1/	1/	1/	1/	1/
Corporate debt instruments: All other	1	1/	1	1	1	1/
Corporate stocks	4	2	3	4	3	3
Real estate (except employer real prop.)	1/	1/	1/	1/	1/	1/
Loans	2	2	2	2	2	1
Assets in common/collective trusts	7	3	6	9	8	6
Assets in pooled separate accounts	4	22	17	5	1	1
Assets in master trusts	23	1/	1	9	26	35
Assets in 103-12 investment entities	1/	1/	1/	1/	1/	1/
Assets in registered investment companies	32	33	45	47	35	18
Assets in ins. co. general account	4	4	5	4	4	4
Employer securities	15	2	4	8	13	23
Other or unspecified investments	3	23	9	2	3	3

1/ Less than 1 percent.

NOTES: 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.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**Table C9. Income Statement of Pension Plans With 100 or More Participants**  
**by type of plan, 2001**  
*(amounts in millions)*

<b>Income and Expenses</b>	<b>Total</b>	<b>Defined Benefit</b>	<b>Defined Contribution</b>
<b>INCOME</b>			
<b>Contributions received or receivable from:</b>			
Employers	\$99,802	\$44,420	\$55,382
Participants	95,814	623	95,191
Others (including rollovers)	9,167	424	8,743
Noncash contributions	<u>1,945</u>	<u>1,127</u>	<u>817</u>
<b>Total contributions</b>	<b>206,724</b>	<b>46,594</b>	<b>160,130</b>
<b>Interest earnings:</b>			
Interest-bearing cash	4,404	1,722	2,682
U. S. Government securities	6,724	5,708	1,015
Corporate debt instruments	6,961	6,137	824
Non-participant loans	313	226	87
Participant loans	2,016	21	1,995
Other or unspecified interest	<u>8,353</u>	<u>3,038</u>	<u>5,315</u>
<b>Total interest earnings</b>	<b>28,771</b>	<b>16,852</b>	<b>11,919</b>
<b>Dividends:</b>			
Preferred stock	698	143	555
Common stock	<u>11,910</u>	<u>4,776</u>	<u>7,134</u>
<b>Total dividend income</b>	<b>12,609</b>	<b>4,919</b>	<b>7,690</b>
<b>Rents</b>	<b>460</b>	<b>417</b>	<b>43</b>
<b>Net gain (loss) on sale of assets</b>	<b>-13,301</b>	<b>-12,927</b>	<b>-374</b>
<b>Unrealized appreciation:</b>			
Unrealized appreciation of real estate	-6,299	-2,455	-3,845
Other unrealized appreciation	<u>-59,800</u>	<u>-28,271</u>	<u>-31,530</u>
<b>Total unrealized appreciation</b>	<b>-66,097</b>	<b>-30,726</b>	<b>-35,371</b>
<b>Net invest. gain from common/col. trusts</b>	<b>-13,261</b>	<b>-8,912</b>	<b>-4,349</b>
<b>Net invest. gain from pooled sep. accounts</b>	<b>-8,398</b>	<b>-1,323</b>	<b>-7,075</b>
<b>Net invest. gain from master trusts</b>	<b>-72,871</b>	<b>-46,396</b>	<b>-26,475</b>
<b>Net invest. gain from 103-12 investment entities</b>	<b>-1,125</b>	<b>-676</b>	<b>-448</b>
<b>Net invest. gain from reg. investment companies</b>	<b>-57,174</b>	<b>-3,034</b>	<b>-54,141</b>
<b>Other or unspecified income</b>	<u><b>1,940</b></u>	<u><b>1,418</b></u>	<u><b>522</b></u>
<b>TOTAL INCOME</b>	<b>18,277</b>	<b>-33,793</b>	<b>52,070</b>

(continued...)

**Table C9. Income Statement of Pension Plans With 100 or More Participants  
by type of plan, 2001**  
(amounts in millions)

<b>Income and Expenses</b>	<b>Total</b>	<b>Defined Benefit</b>	<b>Defined Contribution</b>
<b>EXPENSES</b>			
<b>Benefit payments and payments to provide benefits:</b>			
Direct benefit payments	\$254,884	\$117,219	\$137,664
Payments to insurance carriers for benefits	2,456	2,176	280
Other or unspecified benefits	<u>3,386</u>	<u>1,465</u>	<u>1,921</u>
<b>Total benefit payments</b>	<b>260,726</b>	<b>120,860</b>	<b>139,865</b>
<b>Interest expense</b>	<b>1,523</b>	<b>16</b>	<b>1,507</b>
<b>Corrective distributions</b>	<b>200</b>	<b>2</b>	<b>198</b>
<b>Deemed distrib. of partic. loans</b>	<b>467</b>	<b>3</b>	<b>464</b>
<b>Administrative expenses:</b>			
Professional fees	1,563	1,323	240
Contract administrator fees	1,059	720	339
Investment advisory and management fees	3,648	3,102	545
Other or unspecified admin. expenses	<u>2,595</u>	<u>1,939</u>	<u>657</u>
<b>Total administrative expenses</b>	<b>8,865</b>	<b>7,084</b>	<b>1,781</b>
<b>Unspecified expenses</b>	<b><u>99</u></b>	<b><u>10</u></b>	<b><u>89</u></b>
<b>TOTAL EXPENSES</b>	<b>271,880</b>	<b>127,976</b>	<b>143,904</b>
<b>NET INCOME</b>	<b>-253,603</b>	<b>-161,769</b>	<b>-91,834</b>

1/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**Table D1. Balance Sheet of Defined Contribution Plans with 100 or More Participants**  
**by type of plan, 2001**  
*(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
Total noninterest-bearing cash	\$2,226	\$2,001	\$80	\$3	\$105	\$36
Employer contrib. receivable	14,802	12,555	457	34	1,567	188
Participant contrib. receivable	1,829	1,802	4	1/	17	7
Other receivables	5,629	4,414	150	2	952	110
Interest-bearing cash	42,333	36,145	1,306	48	4,144	690
U. S. Government securities	19,775	10,625	35	78	8,042	995
Corporate debt instruments: Preferred	5,321	2,724	5	14	2,452	125
Corporate debt instruments: All other	10,577	6,788	27	81	3,308	373
Preferred stock	1,511	1,428	1	9	64	9
Common stock	60,635	43,410	981	251	13,151	2,843
Partnership/joint venture interests	972	738	1	33	185	15
Real estate (except employer real prop.)	482	266	1	1/	193	21
Loans (other than to participants)	1,160	1,051	4	1/	104	1/
Participant loans	29,458	28,651	425	7	328	46
Assets in common/collective trusts	123,102	115,425	843	53	6,092	689
Assets in pooled separate accounts	61,071	57,520	3	28	3,020	500
Assets in master trusts	394,880	378,955	4,912	921	6,764	3,328
Assets in 103-12 investment entities	3,879	3,600	1	1/	278	1
Assets in registered investment comp.	558,376	521,125	8,226	553	24,829	3,643
Assets in ins. co. general account	69,412	62,746	204	37	6,042	384
Other general investments	40,196	36,637	780	23	2,178	576
Employer securities	266,906	215,271	38,159	58	3,290	10,127
Employer real property	830	825	0	0	3	2
Buildings and other prop. used by plan	116	83	4	1/	25	3
Other or unspecified assets	<u>16,335</u>	<u>14,677</u>	<u>67</u>	<u>39</u>	<u>1,489</u>	<u>63</u>
<b>TOTAL ASSETS</b>	<b>1,731,811</b>	<b>1,559,464</b>	<b>56,676</b>	<b>2,273</b>	<b>88,623</b>	<b>24,774</b>
Benefit claims payable	1,811	1,405	100	66	144	95
Operating payables	1,975	912	269	1/	747	45
Acquisition indebtedness	9,613	5,110	3,003	0	64	1,436
Other liabilities	<u>13,906</u>	<u>7,594</u>	<u>4,500</u>	<u>17</u>	<u>997</u>	<u>797</u>
<b>TOTAL LIABILITIES</b>	<b>27,305</b>	<b>15,022</b>	<b>7,873</b>	<b>84</b>	<b>1,953</b>	<b>2,374</b>
<b>NET ASSETS</b>	<b>1,704,506</b>	<b>1,544,443</b>	<b>48,804</b>	<b>2,189</b>	<b>86,670</b>	<b>22,400</b>

1/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**Table D2. Income Statement of Defined Contribution Plans with 100 or More Participants  
by type of plan, 2001**  
(amounts in millions)

<b>Income and Expenses</b>	<b>Total Defined Contribution Plans</b>	<b>Profit Sharing and Thrift Savings Plans</b>	<b>Stock Bonus Plans</b>	<b>Target Benefit Plans</b>	<b>Money Purchase Plans</b>	<b>Other Defined Contribution Plans</b>
<b>INCOME</b>						
<b>Contributions received or receivable from:</b>						
Employers	\$55,382	\$44,956	\$1,973	\$119	\$7,164	\$1,170
Participants	95,191	93,484	1,197	3	286	221
Others (including rollovers)	8,743	8,573	75	2	72	22
Noncash contributions	<u>817</u>	<u>604</u>	<u>184</u>	<u>0</u>	<u>1/</u>	<u>30</u>
<b>Total contributions</b>	<b>160,130</b>	<b>147,614</b>	<b>3,428</b>	<b>124</b>	<b>7,521</b>	<b>1,443</b>
<b>Interest earnings:</b>						
Interest-bearing cash	2,682	2,418	36	1	198	29
U. S. Government securities	1,015	464	1	4	481	65
Corporate debt instruments	824	476	1	4	313	30
Non-participant loans	87	78	3	0	5	1
Participant loans	1,995	1,922	49	1/	23	2
Other or unspecified interest	<u>5,315</u>	<u>4,902</u>	<u>31</u>	<u>3</u>	<u>346</u>	<u>33</u>
<b>Total interest earnings</b>	<b>11,919</b>	<b>10,260</b>	<b>121</b>	<b>13</b>	<b>1,367</b>	<b>159</b>
<b>Dividends:</b>						
Preferred stock	555	412	112	1/	5	26
Common stock	<u>7,134</u>	<u>5,884</u>	<u>733</u>	<u>5</u>	<u>333</u>	<u>180</u>
<b>Total dividend income</b>	<b>7,690</b>	<b>6,297</b>	<b>845</b>	<b>5</b>	<b>338</b>	<b>205</b>
<b>Rents</b>	<b>43</b>	<b>36</b>	<b>1/</b>	<b>0</b>	<b>4</b>	<b>2</b>
<b>Net gain (loss) on sale of assets</b>	<b>-374</b>	<b>-64</b>	<b>124</b>	<b>-7</b>	<b>-511</b>	<b>85</b>
<b>Unrealized appreciation:</b>						
Unrealized appreciation of real estate	-3,845	-1,882	-1,731	-2	-270	40
Other unrealized appreciation	-31,530	-28,788	-1,611	-54	-1,109	32
<b>Total unrealized appreciation</b>	<b>-35,371</b>	<b>-30,667</b>	<b>-3,342</b>	<b>-55</b>	<b>-1,378</b>	<b>72</b>
<b>Net invest. gain from common/col. trusts</b>	<b>-4,349</b>	<b>-4,208</b>	<b>-27</b>	<b>-1</b>	<b>-120</b>	<b>5</b>
<b>Net invest. gain from pooled sep. accounts</b>	<b>-7,075</b>	<b>-6,767</b>	<b>1/</b>	<b>-1</b>	<b>-290</b>	<b>-17</b>
<b>Net invest. gain from master trusts</b>	<b>-26,475</b>	<b>-25,599</b>	<b>-433</b>	<b>-49</b>	<b>-384</b>	<b>-11</b>
<b>Net invest. gain from 103-12 invest. entities</b>	<b>-448</b>	<b>-402</b>	<b>1/</b>	<b>-6</b>	<b>-40</b>	<b>1/</b>
<b>Net invest. gain from reg. invest. companies</b>	<b>-54,141</b>	<b>-50,521</b>	<b>-653</b>	<b>-13</b>	<b>-2760</b>	<b>-194</b>
<b>Other or unspecified income</b>	<b>522</b>	<b>491</b>	<b>95</b>	<b>10</b>	<b>-112</b>	<b>37</b>
<b>TOTAL INCOME</b>	<b>52,070</b>	<b>46,470</b>	<b>157</b>	<b>20</b>	<b>3,636</b>	<b>1,786</b>

(continued...)



**Table D2. Income Statement of Defined Contribution Plans with 100 or More Participants**  
**by type of plan, 2001**  
*(amounts in millions)*

<b>Income and Expenses</b>	<b>Total Defined Contribution Plans</b>	<b>Profit Sharing and Thrift Savings Plans</b>	<b>Stock Bonus Plans</b>	<b>Target Benefit Plans</b>	<b>Money Purchase Plans</b>	<b>Other Defined Contribution Plans</b>
<b>EXPENSES</b>						
<b>Benefit payments and payments to provide benefits:</b>						
Direct benefit payments	\$137,664	\$127,017	\$4,017	\$177	\$5,050	\$1,404
Payments to insurance carriers for benefits	280	151	1	1	112	14
Other or unspecified benefits	<u>1,921</u>	<u>1,667</u>	<u>58</u>	<u>42</u>	<u>111</u>	<u>44</u>
<b>Total benefit payments</b>	<b>139,865</b>	<b>128,835</b>	<b>4,075</b>	<b>220</b>	<b>5,273</b>	<b>1,462</b>
<b>Corrective distributions</b>	<b>198</b>	<b>185</b>	<b>1/</b>	<b>0</b>	<b>2</b>	<b>11</b>
<b>Deemed distrib. of partic. loans</b>	<b>464</b>	<b>432</b>	<b>1</b>	<b>0</b>	<b>12</b>	<b>18</b>
<b>Interest expense</b>	<b>1,507</b>	<b>786</b>	<b>581</b>	<b>0</b>	<b>7</b>	<b>133</b>
<b>Administrative expenses:</b>						
Professional fees	240	184	5	1	39	10
Contract administrator fees	339	299	2	1/	32	6
Investment advisory and management fees	545	393	3	4	127	17
Other or unspecified admin. expenses	<u>657</u>	<u>511</u>	<u>30</u>	<u>1</u>	<u>99</u>	<u>16</u>
<b>Total administrative expenses</b>	<b>1,781</b>	<b>1,387</b>	<b>41</b>	<b>6</b>	<b>298</b>	<b>50</b>
<b>Unspecified expenses</b>	<u>89</u>	<u>68</u>	<u>7</u>	<u>1/</u>	<u>18</u>	<u>- 4</u>
<b>TOTAL EXPENSES</b>	<b>143,904</b>	<b>131,693</b>	<b>4,705</b>	<b>226</b>	<b>5,610</b>	<b>1,669</b>
<b>NET INCOME</b>	<b>-91,834</b>	<b>-85,224</b>	<b>-4,548</b>	<b>-206</b>	<b>-1,973</b>	<b>117</b>

1/ Less than \$500,000.

SOURCE: Form 5500 filings for plan years beginning in 2001.

**Table D3. Number of 401(k) Type Plans, Participants, Active Participants, Assets, Contributions, and Benefits**

*by type of plan, 2001*

Type of Plan	Number of Plans 1/	Total Participants (thousands) 2/	Active Participants (thousands) 3/	Total Assets (millions)	Total Contributions (millions) 4/	Total Benefits (millions) 5/
<b>TOTAL</b>	<b>366,568</b>	<b>51,814</b>	<b>41,962</b>	<b>\$1,682,218</b>	<b>\$174,389</b>	<b>\$147,645</b>
Profit sharing and thrift-savings	364,707	51,025	41,317	1,643,157	171,702	144,481
Stock bonus	196	484	386	27,808	1,970	1,952
Target benefit	2	*/	*/	2	1	*/
Money purchase	1,609	301	256	11,069	699	1197
Annuity-403(b)(1)	49	3	2	72	9	8
Custodial account-403(b)(7)	5	1	1	110	9	6

1/ Excludes plans covering only one participant.

2/ Includes 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.

3/ Active participants include any workers currently in employment covered by a plan and who are earning or retaining credited service under a plan. Active participants also include nonvested former employees who have not yet incurred a break in service.

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 made directly by insurance carriers.

\*/ Less than \$500,000, or 500, in the case of participants.

SOURCE: Form 5500 series reports filed with the U.S. Department of Labor for plan years beginning in 2001.