Private Pension Plan Bulletin Historical Tables and Graphs
1975-2013

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Table E1. Number of Pension Plans
by type of plan, 1975-2013

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	311,094	103,346	207,748	308,651	101,214	207,437	2,443	2,132	311
1976	359,980	113,970	246,010	357,521	111,859	245,662	2,459	2,111	348
1977	402,627	121,655	280,972	400,134	119,525	280,609	2,493	2,130	363
1978	442,998	128,407	314,591	440,443	126,238	314,205	2,555	2,169	386
1979	470,921	139,489	331,432	468,265	137,243	331,022	2,656	2,246	410
1980	488,901	148,096	340,805	486,142	145,764	340,378	2,759	2,332	427
1981	545,611	167,293	378,318	542,789	165,042	377,747	2,822	2,252	570
1982	594,456	174,998	419,458	591,417	172,662	418,755	3,039	2,336	703
1983	602,848	175,143	427,705	599,822	172,843	426,979	3,026	2,300	726
1984	604,434	168,015	436,419	601,413	165,732	435,681	3,021	2,283	738
1985	632,135	170,172	461,963	629,069	167,911	461,158	3,066	2,261	805
1986	717,627	172,642	544,985	714,563	170,431	544,132	3,063	2,210	853
1987	733,029	163,065	569,964	729,909	160,904	569,005	3,112	2,157	955
1988	729,922	145,952	583,971	726,648	143,833	582,815	3,275	2,119	1,156
1989	731,356	132,467	598,889	728,276	130,472	597,804	3,080	1,995	1,085
1990	712,308	113,062	599,245	709,404	111,251	598,153	2,904	1,812	1,092
1991	699,294	101,752	597,542	696,300	99,931	596,369	2,994	1,821	1,173
1992	708,335	88,621	619,714	705,226	86,797	618,429	3,109	1,824	1,285
1993	702,097	83,596	618,501	698,918	81,737	617,180	3,179	1,859	1,320
1994	690,344	74,422	615,922	687,158	72,555	614,603	3,186	1,867	1,319
1995	693,404	69,492	623,912	690,265	67,682	622,584	3,139	1,810	1,328
1996	696,224	63,657	632,566	692,957	61,790	631,167	3,267	1,867	1,399
1997	720,041	59,499	660,542	716,912	57,720	659,192	3,130	1,779	1,351
1998	730,031	56,405	673,626	726,997	54,699	672,297	3,035	1,706	1,329
1999	732,995	49,895	683,100	729,983	48,168	681,815	3,011	1,727	1,285
2000	735,651	48,773	686,878	732,654	47,015	685,639	2,997	1,758	1,239
2001	733,470	46,859	686,611	730,534	45,159	685,375	2,935	1,700	1,235
2002	733,312	47,369	685,943	730,347	45,771	684,577	2,965	1,598	1,366
2003	700,012	47,036	652,976	697,075	45,466	651,609	2,937	1,570	1,367
2004	683,070	47,503	635,567	680,165	45,970	634,195	2,905	1,533	1,372
2005	679,095	47,614	631,481	676,151	46,090	630,061	2,945	1,524	1,420
2006	694,550	48,579	645,971	691,513	47,072	644,440	3,037	1,507	1,530
2007	707,787	48,982	658,805	704,818	47,493	657,325	2,969	1,489	1,480
2008	717,532	48,375	669,157	714,593	46,927	667,666	2,939	1,449	1,491
2009	706,667	47,137	659,530	703,716	45,735	657,981	2,951	1,402	1,549
2010	701,012	46,543	654,469	698,186	45,072	653,114	2,826	1,471	1,355
2011	683,647	45,256	638,390	680,899	43,813	637,086	2,741	1,442	1,299
2012	676,622	43,601	633,021	673,883	42,182	631,701	2,738	1,419	1,319
2013	681,154	44,163	636,991	678,435	42,746	635,689	2,720	1,418	1,302

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

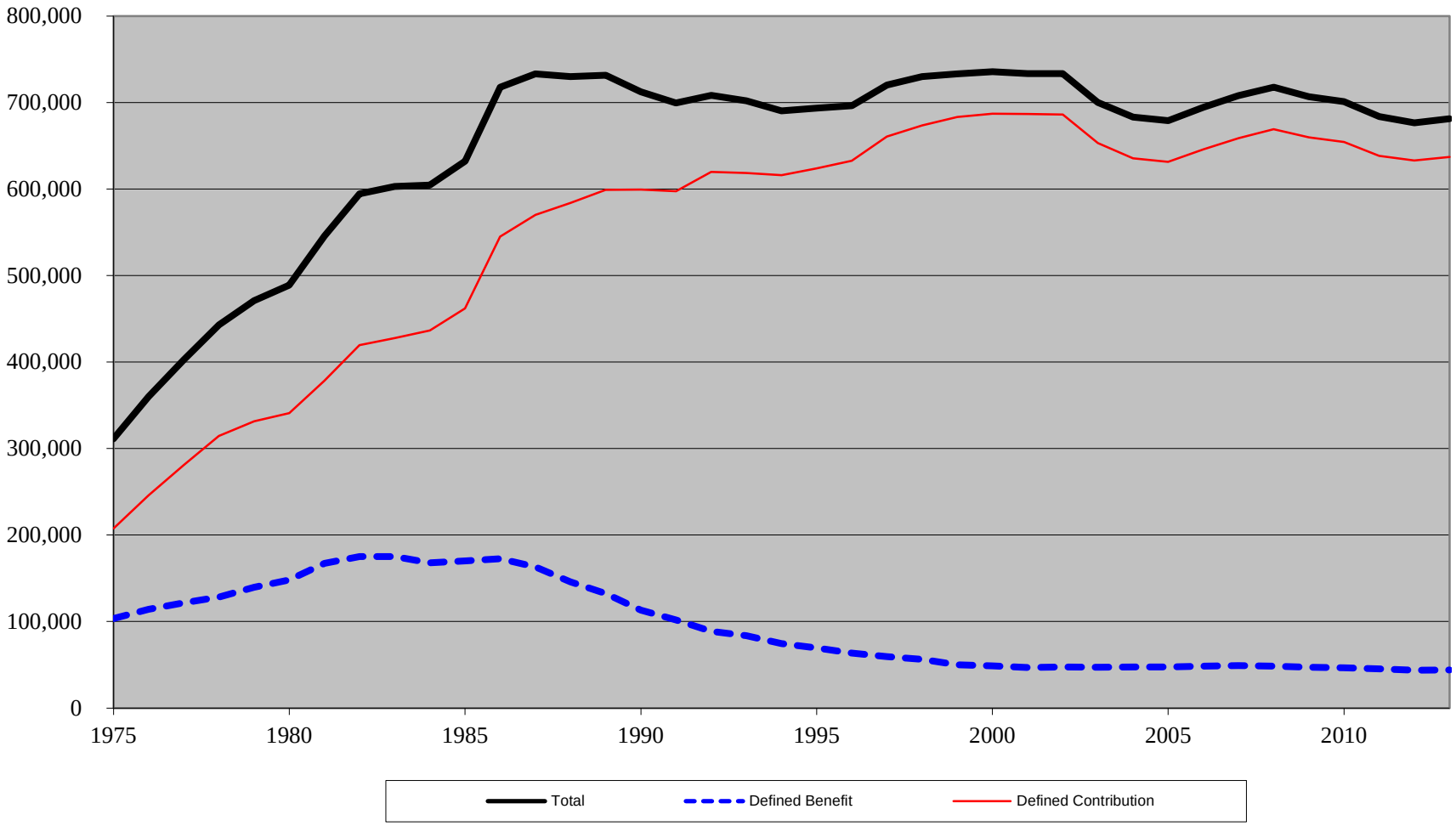
NOTE: Excludes "one-participant plans."

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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E1g. Number of Pension Plans
by type of plan, 1975-2013



NOTE: Excludes "one-participant plans."

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E2. Number of Pension Plans with Fewer Than 100 Participants
by type of plan, 1975-2013

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	282,472	83,311	199,161	282,285	83,198	199,087	187	113	74
1976	329,855	93,410	236,445	329,615	93,244	236,371	240	166	74
1977	372,010	101,258	270,752	371,719	101,038	270,681	291	220	71
1978	408,665	105,474	303,191	408,401	105,323	303,078	265	151	113
1979	435,334	116,143	319,191	435,053	115,954	319,099	281	189	92
1980	451,046	123,591	327,455	450,740	123,340	327,400	306	251	55
1981	505,368	142,304	363,064	505,109	142,165	362,944	259	139	120
1982	552,258	149,600	402,658	551,899	149,391	402,508	359	309	150
1983	558,146	149,164	408,982	557,847	148,955	408,892	299	209	90
1984	558,943	142,912	416,031	558,649	142,699	415,950	293	213	81
1985	583,476	145,430	438,046	583,171	145,292	437,879	305	138	167
1986	666,669	148,168	518,501	666,424	148,005	518,419	245	163	82
1987	681,238	139,644	541,594	680,921	139,472	541,449	310	169	141
1988	675,525	123,146	552,378	675,117	122,962	552,154	408	184	224
1989	675,706	111,048	564,658	675,470	110,941	564,529	236	107	129
1990	659,144	93,821	565,323	658,848	93,730	565,118	296	91	205
1991	645,517	83,298	562,218	645,182	83,181	562,001	334	117	217
1992	650,282	69,883	580,399	649,924	69,778	580,146	358	104	253
1993	642,615	64,937	577,678	642,196	64,799	577,396	419	137	282
1994	628,707	56,322	572,385	628,307	56,134	572,173	399	188	212
1995	631,117	52,405	578,712	630,780	52,311	578,469	337	94	243
1996	632,520	47,104	585,416	632,069	46,941	585,128	451	163	288
1997	653,696	43,647	610,049	653,347	43,519	609,828	350	128	222
1998	661,613	41,264	620,349	661,373	41,177	620,195	240	87	153
1999	663,601	35,696	627,905	663,311	35,574	627,737	290	122	168
2000	664,458	35,214	629,245	664,167	35,149	629,019	291	65	225
2001	661,992	33,991	628,001	661,726	33,920	627,806	267	71	195
2002	662,307	34,824	627,485	662,035	34,733	627,301	273	89	183
2003	630,386	34,955	595,431	630,093	34,871	595,222	292	83	209
2004	613,623	35,689	577,934	613,330	35,622	577,709	291	67	225
2005	600,264	36,058	564,205	599,924	35,988	563,939	338	72	268
2006	613,058	37,212	575,846	612,624	37,151	575,474	433	61	372
2007	626,068	37,953	588,115	625,668	37,883	587,786	400	70	330
2008	635,005	37,765	597,240	634,632	37,719	596,913	373	45	327
2009	621,007	36,963	584,045	620,666	36,920	583,747	341	43	298
2010	615,436	36,388	579,049	615,245	36,331	578,915	191	57	134
2011	598,488	35,418	563,070	598,310	35,362	562,948	170	55	116
2012	590,823	34,086	556,736	590,665	34,035	556,630	158	52	106
2013	594,939	34,839	560,099	594,795	34,796	559,999	144	44	101

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E3. Number of Pension Plans with 100 or More Participants
by type of plan, 1975-2013

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	28,622	20,035	8,587	26,366	18,016	8,350	2,256	2,019	237
1976	30,125	20,560	9,565	27,906	18,615	9,291	2,219	1,945	274
1977	30,617	20,397	10,220	28,415	18,487	9,928	2,202	1,910	292
1978	34,333	22,933	11,400	32,042	20,915	11,127	2,290	2,018	273
1979	35,587	23,346	12,241	33,212	21,289	11,923	2,375	2,057	318
1980	37,855	24,505	13,350	35,402	22,424	12,978	2,453	2,081	372
1981	40,243	24,989	15,254	37,680	22,877	14,803	2,563	2,113	450
1982	42,198	25,398	16,800	39,518	23,271	16,247	2,680	2,127	553
1983	44,702	25,979	18,723	41,975	23,888	18,087	2,727	2,091	636
1984	45,491	25,103	20,388	42,763	23,033	19,731	2,728	2,070	657
1985	48,658	24,742	23,917	45,897	22,619	23,279	2,761	2,123	638
1986	50,958	24,474	26,484	48,139	22,426	25,713	2,818	2,047	771
1987	51,791	23,421	28,370	48,988	21,432	27,556	2,802	1,988	814
1988	54,397	22,805	31,593	51,530	20,870	30,661	2,867	1,935	932
1989	55,650	21,419	34,231	52,807	19,531	33,275	2,844	1,888	956
1990	53,164	19,242	33,922	50,556	17,521	33,035	2,608	1,721	887
1991	53,777	18,454	35,324	51,118	16,750	34,368	2,660	1,704	956
1992	58,053	18,738	39,315	55,302	17,019	38,283	2,751	1,719	1,032
1993	59,482	18,660	40,822	56,722	16,938	39,784	2,760	1,722	1,038
1994	61,638	18,100	43,538	58,851	16,421	42,430	2,787	1,679	1,108
1995	62,287	17,087	45,200	59,486	15,371	44,115	2,802	1,716	1,086
1996	63,704	16,553	47,150	60,888	14,849	46,039	2,815	1,704	1,111
1997	66,345	15,852	50,493	63,565	14,201	49,364	2,780	1,651	1,129
1998	68,419	15,141	52,278	65,624	13,522	52,102	2,795	1,619	1,176
1999	69,393	14,199	55,195	66,672	12,594	54,078	2,721	1,605	1,117
2000	71,193	13,557	57,635	68,487	11,866	56,621	2,708	1,692	1,012
2001	71,477	12,868	58,608	68,807	11,239	57,568	2,670	1,628	1,039
2002	71,004	12,546	58,459	68,312	11,037	57,275	2,692	1,508	1,184
2003	69,626	12,078	57,547	66,982	10,593	56,388	2,644	1,485	1,158
2004	69,447	11,815	57,632	66,833	10,348	56,486	2,612	1,466	1,147
2005	78,833	11,557	67,278	76,225	10,102	66,123	2,606	1,453	1,154
2006	81,492	11,368	70,125	78,888	9,922	68,966	2,604	1,446	1,158
2007	81,719	11,029	70,690	79,150	9,610	69,540	2,569	1,419	1,150
2008	82,527	10,611	71,917	79,961	9,207	70,753	2,567	1,404	1,163
2009	85,660	10,175	75,485	83,050	8,816	74,234	2,610	1,359	1,251
2010	85,575	10,155	75,420	82,940	8,741	74,199	2,635	1,414	1,221
2011	85,159	9,839	75,320	82,588	8,451	74,137	2,571	1,387	1,183
2012	85,799	9,514	76,284	83,219	8,147	75,071	2,580	1,367	1,213
2013	86,216	9,324	76,892	83,640	7,950	75,690	2,575	1,374	1,201

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NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ 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 with the U.S. Department of Labor.

Table E5. Number of Participants in Pension Plans
by type of plan, 1975-2013
(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	44,511	33,004	11,507	35,724	24,514	11,210	8,787	8,490	297
1976	47,679	34,207	13,472	39,072	25,927	13,145	8,607	8,280	327
1977	50,236	34,997	15,239	41,637	26,754	14,884	8,598	8,243	355
1978	52,371	36,103	16,268	43,665	27,762	15,903	8,707	8,341	365
1979	55,097	36,810	18,287	46,085	28,275	17,810	9,013	8,536	477
1980	57,903	37,979	19,924	48,910	29,555	19,354	8,993	8,423	570
1981	60,564	38,903	21,661	51,326	30,331	20,995	9,238	8,572	666
1982	63,243	38,633	24,610	54,105	30,289	23,816	9,138	8,343	794
1983	69,147	40,025	29,122	59,645	31,405	28,240	9,501	8,620	881
1984	73,895	40,980	32,915	64,244	32,329	31,915	9,651	8,651	1,000
1985	74,665	39,692	34,973	65,414	31,436	33,978	9,251	8,256	995
1986	76,672	39,989	36,682	67,069	31,676	35,392	9,603	8,313	1,290
1987	78,223	39,958	38,265	68,550	31,650	36,900	9,673	8,308	1,365
1988	77,685	40,722	36,963	67,734	32,386	35,348	9,951	8,336	1,615
1989	76,405	39,958	36,447	65,964	31,248	34,716	10,441	8,710	1,731
1990	76,924	38,832	38,091	67,003	30,522	36,481	9,921	8,311	1,611
1991	77,662	39,027	38,634	67,583	30,683	36,900	10,079	8,344	1,735
1992	81,914	39,531	42,383	71,783	31,395	40,388	10,131	8,136	1,995
1993	83,870	40,267	43,603	73,770	32,151	41,619	10,100	8,116	1,983
1994	85,117	40,338	44,778	74,940	32,197	42,743	10,177	8,142	2,035
1995	87,452	39,736	47,716	76,969	31,341	45,629	10,483	8,395	2,088
1996	91,716	41,111	50,605	80,841	32,467	48,374	10,876	8,644	2,231
1997	94,985	40,392	54,593	83,881	31,678	52,204	11,103	8,714	2,389
1998	99,455	41,552	57,903	87,930	32,634	55,296	11,525	8,918	2,607
1999	101,794	41,427	60,368	90,585	32,466	58,119	11,210	8,961	2,249
2000	103,329	41,613	61,716	91,529	32,127	59,403	11,800	9,486	2,314
2001	106,579	42,067	64,511	94,306	32,444	61,862	12,272	9,623	2,649
2002	107,354	42,078	65,275	94,572	32,796	61,776	12,782	9,283	3,499
2003	106,296	42,179	64,117	93,402	32,729	60,674	12,893	9,450	3,443
2004	106,335	41,707	64,627	93,308	32,186	61,122	13,027	9,521	3,505
2004r 3/	*115,707*	*41,918*	*73,789*	*102,598*	*32,396*	*70,202*	*13,109*	*9,521*	*3,588*
2005	117,406	41,925	75,481	104,097	32,325	71,773	13,308	9,600	3,708
2006	121,995	42,146	79,849	108,644	32,455	76,189	13,351	9,691	3,660
2007	123,854	42,280	81,574	110,233	32,405	77,829	13,621	9,875	3,746
2008	124,853	42,344	82,510	110,858	32,307	78,551	13,996	10,037	3,959
2009	129,268	41,820	87,448	114,314	31,710	82,603	14,954	10,110	4,844
2010	129,724	41,423	88,301	114,694	30,832	83,861	15,031	10,591	4,440
2011	129,581	40,876	88,705	114,707	30,443	84,264	14,875	10,433	4,441
2012	130,584	39,809	90,775	116,009	29,866	86,143	14,575	9,943	4,632
2013	131,631	39,084	92,547	116,840	28,983	87,857	14,791	10,101	4,690

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Form 5500 Private Pension Plan User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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."

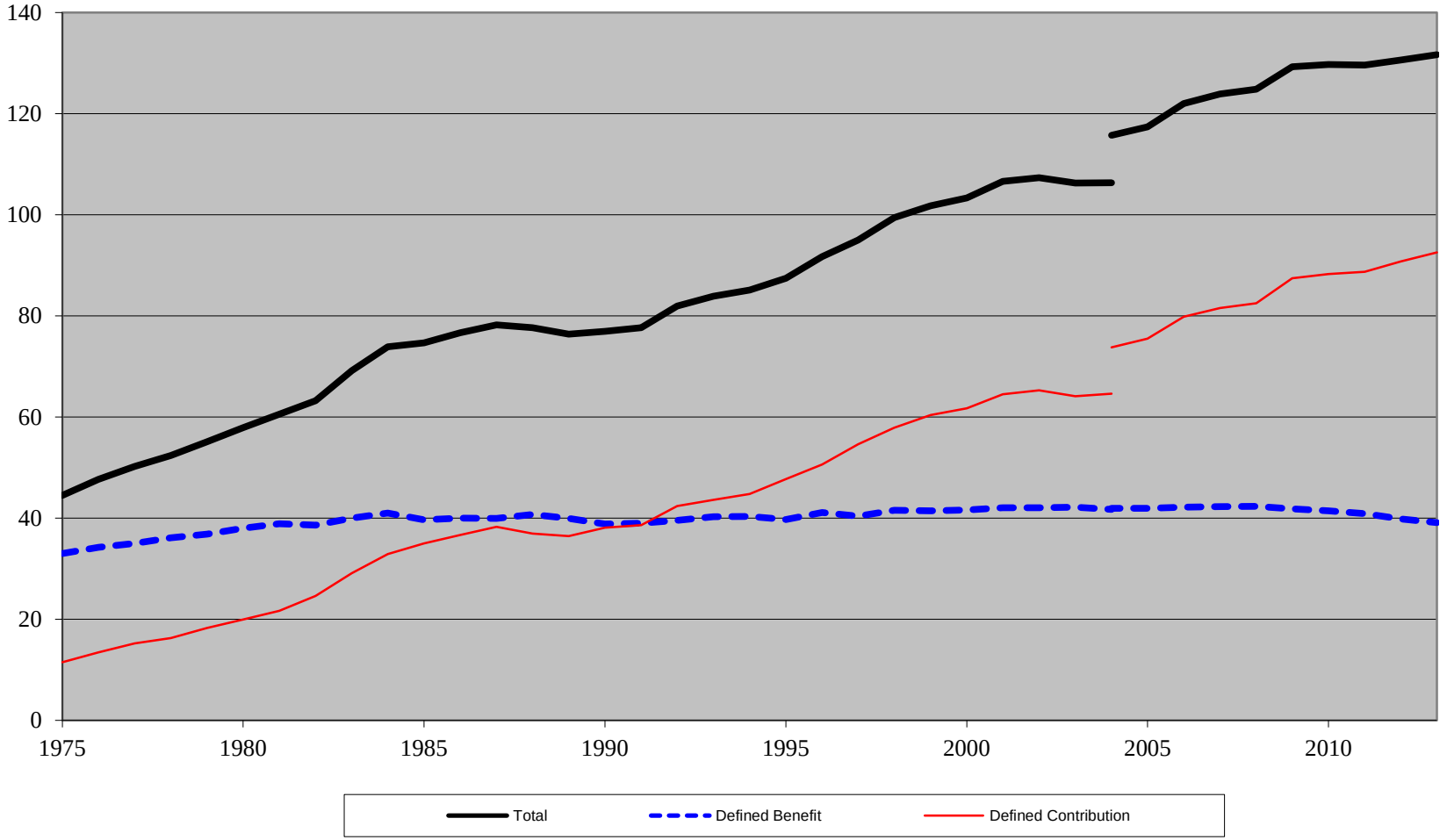
1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

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

3/ The row 2004r shows participants for 2004 computed using the revised definition summarized in the note above.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E5g. Number of Participants in Pension Plans
by type of plan, 1975-2013
(numbers in millions)



NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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 with the U.S. Department of Labor.

Table E6. Number of Participants in Pension Plans with Fewer Than 100 Participants
by type of plan, 1975-2013
(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	4,080	1,552	2,528	4,066	1,543	2,524	14	9	4
1976	4,660	1,795	2,865	4,648	1,787	2,861	12	8	4
1977	5,116	1,993	3,124	5,104	1,985	3,120	12	8	4
1978	5,143	1,828	3,316	5,127	1,820	3,307	16	7	9
1979	5,389	1,802	3,587	5,372	1,792	3,580	17	10	7
1980	5,741	1,995	3,746	5,725	1,980	3,744	17	15	2
1981	6,298	2,154	4,143	6,283	2,148	4,135	15	6	9
1982	6,877	2,155	4,722	6,854	2,144	4,710	23	11	12
1983	6,872	2,154	4,718	6,855	2,144	4,711	17	10	7
1984	6,886	2,013	4,873	6,869	2,013	4,856	17	12	5
1985	7,553	2,059	5,495	7,537	2,052	5,486	16	8	9
1986	7,926	2,033	5,893	7,914	2,025	5,889	12	8	4
1987	8,413	2,008	6,405	8,400	2,000	6,400	13	8	5
1988	8,345	1,720	6,625	8,329	1,713	6,616	16	8	9
1989	8,200	1,396	6,804	8,188	1,392	6,796	12	4	8
1990	8,268	1,279	6,989	8,251	1,275	6,976	17	4	13
1991	8,441	1,226	7,215	8,424	1,218	7,206	17	8	8
1992	9,076	1,129	7,946	9,059	1,125	7,934	17	5	12
1993	9,087	1,030	8,057	9,067	1,024	8,043	20	6	14
1994	9,152	944	8,208	9,132	935	8,197	20	9	11
1995	9,373	893	8,480	9,359	890	8,469	14	3	11
1996	9,571	794	8,777	9,551	789	8,762	21	5	16
1997	10,276	731	9,546	10,257	724	9,533	19	6	13
1998	10,679	718	9,961	10,670	715	9,955	9	2	6
1999	11,104	496	10,608	11,096	493	10,603	8	3	5
2000	11,038	504	10,535	11,027	503	10,525	10	1	9
2001	11,059	467	10,591	11,052	466	10,585	7	1	6
2002	11,037	465	10,572	11,030	462	10,566	8	3	5
2003	10,866	464	10,401	10,857	462	10,395	9	2	6
2004	10,798	460	10,339	10,787	458	10,330	9	2	8
2004r 3/	*11,304*	*460*	*10,844*	*11,294*	*458*	*10,836*	*10*	*2*	*8*
2005	11,297	456	10,841	11,288	454	10,833	9	2	8
2006	11,622	463	11,159	11,609	462	11,148	13	2	11
2007	11,883	449	11,434	11,873	448	11,424	10	1	10
2008	11,977	432	11,545	11,966	431	11,535	10	1	10
2009	12,107	441	11,666	12,098	440	11,658	9	1	7
2010	12,086	458	11,629	12,078	455	11,624	8	3	5
2011	11,799	443	11,356	11,793	441	11,352	6	2	4
2012	11,796	433	11,363	11,790	431	11,359	6	2	4
2013	11,891	442	11,449	11,885	440	11,445	6	2	4

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ The row 2004r shows participants for 2004 computed using the revised definition summarized in the note above.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E7. Number of Participants in Pension Plans with 100 or More Participants
by type of plan, 1975-2013
(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	40,431	31,452	8,979	31,658	22,971	8,686	8,773	8,480	293
1976	43,019	32,412	10,607	34,424	24,140	10,284	8,595	8,272	323
1977	45,120	33,004	12,115	36,533	24,769	11,764	8,586	8,235	351
1978	47,228	34,275	12,953	38,537	25,941	12,596	8,691	8,334	357
1979	49,708	35,008	14,700	40,713	26,483	14,230	8,996	8,526	470
1980	52,162	35,984	16,178	43,185	27,575	15,610	8,977	8,408	568
1981	54,266	36,748	17,518	45,043	28,183	16,861	9,223	8,565	657
1982	56,366	36,446	19,920	47,248	28,112	19,136	9,118	8,332	785
1983	62,275	37,871	24,404	52,790	29,261	23,529	9,485	8,610	875
1984	67,009	38,967	28,042	57,375	30,316	27,059	9,634	8,640	995
1985	67,112	37,633	29,478	57,877	29,384	28,493	9,235	8,248	986
1986	68,746	37,956	30,790	59,155	29,651	29,503	9,591	8,305	1,286
1987	69,810	37,950	31,860	60,150	29,650	30,500	9,660	8,300	1,360
1988	69,340	39,002	30,338	59,404	30,673	28,732	9,935	8,326	1,606
1989	68,205	38,562	29,643	57,776	29,856	27,920	10,429	8,705	1,724
1990	68,655	37,553	31,102	58,752	29,247	29,505	9,904	8,306	1,598
1991	69,221	37,801	31,420	59,157	29,465	29,694	10,063	8,336	1,727
1992	72,838	38,402	34,436	62,724	30,270	32,454	10,114	8,132	1,982
1993	74,783	39,237	35,546	64,703	31,127	33,576	10,080	8,110	1,969
1994	75,964	39,394	36,570	65,807	31,262	34,546	10,157	8,133	2,024
1995	78,079	38,843	39,236	67,610	30,450	37,160	10,469	8,392	2,076
1996	82,145	40,317	41,828	71,290	31,677	39,613	10,855	8,640	2,215
1997	84,708	39,661	45,047	73,624	30,953	42,671	11,084	8,708	2,376
1998	88,776	40,835	47,942	77,260	31,919	45,341	11,516	8,915	2,601
1999	90,690	40,931	49,760	79,489	31,973	47,516	11,201	8,957	2,244
2000	92,292	41,109	51,182	80,501	31,624	48,876	11,789	9,485	2,304
2001	95,519	41,599	53,920	83,256	31,977	51,279	12,264	9,622	2,642
2002	96,317	41,613	54,705	83,543	32,332	51,211	12,775	9,281	3,495
2003	95,430	41,714	53,716	82,546	32,266	50,278	12,885	9,447	3,437
2004	95,536	41,248	54,287	82,521	31,730	50,792	13,016	9,520	3,497
2004r 3/	*104,403*	*41,458*	*62,945*	*91,304*	*31,939*	*59,366*	*13,099*	*9,519*	*3,580*
2005	106,108	41,469	64,638	92,810	31,871	60,939	13,296	9,597	3,699
2006	110,373	41,682	68,690	97,034	31,993	65,041	13,338	9,689	3,649
2007	111,971	41,831	70,140	98,361	31,956	66,404	13,610	9,874	3,736
2008	112,877	41,912	70,965	98,891	31,876	67,015	13,986	10,036	3,949
2009	117,161	41,379	75,782	102,216	31,270	70,945	14,946	10,109	4,837
2010	117,638	40,965	76,673	102,615	30,378	72,237	15,023	10,588	4,435
2011	117,782	40,433	77,350	102,914	30,002	72,912	14,869	10,431	4,437
2012	118,788	39,376	79,412	104,219	29,435	74,784	14,569	9,941	4,628
2013	119,740	38,642	81,099	104,955	28,543	76,412	14,785	10,098	4,687

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ 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/ The row 2004r shows participants for 2004 computed using the revised definition summarized in the note above.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E8. Number of Active Participants in Pension Plans
by type of plan, 1975-2013
(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	38,431	27,214	11,217	31,079	20,129	10,950	7,353	7,086	267
1976	40,723	27,520	13,203	33,627	20,728	12,899	7,096	6,792	304
1977	42,659	28,058	14,600	35,681	21,414	14,267	6,977	6,644	333
1978	44,664	29,036	15,628	37,717	22,433	15,284	6,947	6,603	344
1979	46,929	29,440	17,489	39,799	22,757	17,041	7,130	6,683	447
1980	48,986	30,100	18,886	42,039	23,672	18,367	6,947	6,428	519
1981	50,770	30,043	20,727	43,766	23,662	20,104	7,005	6,381	623
1982	53,099	29,678	23,421	46,239	23,552	22,687	6,860	6,126	734
1983	57,680	29,878	27,802	50,783	23,791	26,992	6,897	6,087	810
1984	60,618	30,073	30,545	53,886	24,216	29,670	6,732	5,857	875
1985	62,064	28,895	33,168	55,573	23,336	32,237	6,491	5,559	931
1986	63,056	28,529	34,528	56,490	23,129	33,361	6,566	5,400	1,167
1987	63,280	28,427	34,853	56,734	23,165	33,569	6,546	5,262	1,284
1988	61,912	27,966	33,946	55,234	22,753	32,481	6,678	5,213	1,465
1989	60,997	27,136	33,861	54,003	21,723	32,280	6,994	5,413	1,581
1990	61,545	26,205	35,340	55,122	21,248	33,874	6,423	4,957	1,466
1991	61,211	25,603	35,608	54,744	20,689	34,055	6,467	4,914	1,553
1992	63,898	25,222	38,676	57,607	20,630	36,977	6,291	4,592	1,699
1993	64,394	24,986	39,408	58,244	20,528	37,716	6,150	4,458	1,692
1994	64,607	24,480	40,127	58,524	20,079	38,445	6,083	4,401	1,682
1995	65,599	23,395	42,203	59,300	18,870	40,430	6,299	4,525	1,773
1996	67,471	23,133	44,337	61,001	18,552	42,449	6,470	4,581	1,888
1997	70,270	22,619	47,651	63,633	17,992	45,641	6,637	4,627	2,010
1998	72,835	22,863	49,972	65,897	18,152	47,745	6,938	4,711	2,227
1999	73,020	22,630	50,390	66,419	17,975	48,444	6,601	4,655	1,946
2000	73,092	22,218	50,874	66,203	17,311	48,892	6,888	4,907	1,982
2001	74,430	22,089	52,340	67,195	17,105	50,090	7,235	4,984	2,250
2002	74,501	21,633	52,868	66,929	16,930	49,999	7,572	4,703	2,869
2003	73,132	21,304	51,828	65,592	16,613	48,979	7,540	4,691	2,849
2004	72,744	20,586	52,158	65,220	15,957	49,263	7,524	4,629	2,895
2004r 3/	*82,117*	*20,797*	*61,320*	*74,510*	*16,168*	*58,343*	*7,606*	*4,629*	*2,978*
2005	82,665	20,310	62,355	75,034	15,724	59,310	7,631	4,586	3,045
2006	85,751	19,919	65,832	78,160	15,305	62,855	7,591	4,614	2,977
2007	86,280	19,407	66,873	78,673	14,796	63,877	7,607	4,610	2,997
2008	86,233	18,981	67,252	78,377	14,327	64,050	7,856	4,654	3,202
2009	90,105	18,111	71,994	82,080	13,699	68,381	8,025	4,412	3,613
2010	90,601	17,172	73,429	82,813	12,803	70,010	7,788	4,369	3,419
2011	90,175	16,507	73,668	82,606	12,327	70,278	7,569	4,180	3,389
2012	91,163	15,749	75,414	83,678	11,809	71,870	7,485	3,940	3,544
2013	91,955	15,245	76,710	84,373	11,216	73,157	7,582	4,029	3,553

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Form 5500 Private Pension Plan User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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."

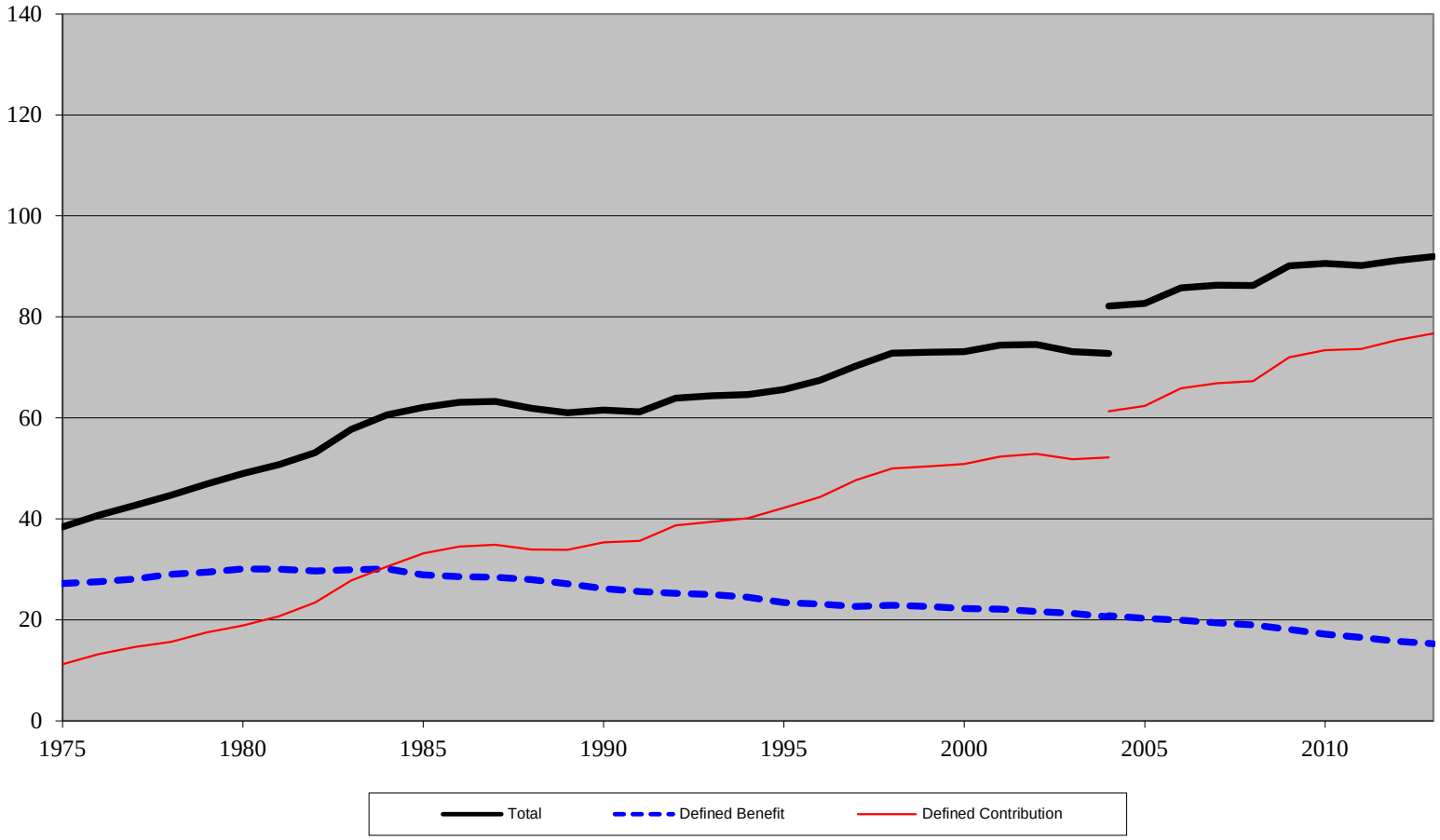
1/ Includes single employer plans, plans of controlled groups of corporations, and multiple-employer noncollectively bargained plans. All defined benefit plans paying premiums to PBGC's single employer program are included.

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

3/ The row 2004r shows active participants for 2004 computed using the revised definition summarized in the note above.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E8g. Number of Active Participants in Pension Plans
by type of plan, 1975-2013
(numbers in millions)



NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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."

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E9. Number of Active Participants in Pension Plans with Fewer than 100 Active Participants
by type of plan, 1975-2013
(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	4,032	1,524	2,508	4,018	1,514	2,504	14	10	4
1976	4,527	1,704	2,823	4,516	1,697	2,819	12	8	4
1977	4,885	1,835	3,050	4,874	1,828	3,046	11	7	4
1978	4,934	1,675	3,259	4,918	1,668	3,250	16	7	9
1979	5,103	1,641	3,462	5,087	1,632	3,455	16	8	7
1980	5,366	1,795	3,571	5,352	1,783	3,569	14	12	2
1981	5,940	1,918	4,022	5,927	1,913	4,014	13	5	8
1982	6,358	1,896	4,462	6,342	1,888	4,454	16	8	8
1983	6,252	1,774	4,478	6,237	1,765	4,472	15	9	6
1984	6,434	1,743	4,691	6,418	1,732	4,686	16	11	5
1985	7,023	1,751	5,272	7,009	1,745	5,264	14	6	8
1986	7,350	1,709	5,641	7,340	1,702	5,638	10	7	3
1987	7,681	1,667	6,014	7,667	1,661	6,006	14	6	8
1988	7,483	1,411	6,072	7,469	1,405	6,064	14	6	8
1989	7,736	1,132	6,604	7,725	1,128	6,597	11	4	7
1990	7,659	1,024	6,635	7,642	1,020	6,622	17	4	13
1991	7,877	970	6,907	7,863	963	6,900	14	7	7
1992	8,374	882	7,492	8,358	878	7,480	16	4	12
1993	8,375	794	7,581	8,357	789	7,568	18	5	13
1994	8,425	720	7,705	8,406	711	7,695	19	9	10
1995	8,397	670	7,727	8,384	668	7,716	13	2	11
1996	8,766	588	8,178	8,747	584	8,163	19	4	15
1997	9,412	534	8,878	9,394	529	8,865	18	5	13
1998	9,752	517	9,235	9,744	515	9,229	8	2	6
1999	10,124	515	9,609	10,108	505	9,602	16	10	6
2000	9,996	511	9,485	9,976	500	9,476	20	11	9
2001	9,864	474	9,390	9,849	466	9,383	15	9	7
2002	9,953	484	9,470	9,940	476	9,464	14	8	6
2003	9,755	477	9,278	9,740	469	9,271	15	8	7
2004	9,682	469	9,213	9,665	461	9,204	17	8	9
2004r 3/	*10,343*	*470*	*9,873*	*10,326*	*462*	*9,864*	*17*	*8*	*9*
2005	10,328	462	9,866	10,311	454	9,856	17	8	9
2006	10,653	466	10,187	10,634	458	10,176	19	8	11
2007	10,848	454	10,394	10,831	446	10,385	17	7	9
2008	10,884	436	10,448	10,869	429	10,440	15	7	8
2009	12,081	490	11,591	12,067	483	11,584	14	7	7
2010	12,301	536	11,764	12,286	528	11,758	14	8	6
2011	12,051	526	11,525	12,039	519	11,519	12	7	5
2012	12,060	518	11,541	12,046	510	11,536	13	8	5
2013	12,160	527	11,633	12,147	520	11,628	13	8	5

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Data for 1999 are based on actual count. Data for 1975-1998 are imputed.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ 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/ The row 2004r shows active participants for 2004 computed using the revised definition summarized in the note above.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E10. Number of Active Participants in Pension Plans with 100 or More Active Participants
by type of plan, 1975-2013
(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	34,399	25,691	8,709	27,061	18,615	8,446	7,338	7,076	263
1976	36,195	25,815	10,380	29,111	19,031	10,080	7,084	6,784	300
1977	37,774	26,223	11,551	30,807	19,586	11,221	6,966	6,637	329
1978	39,730	27,361	12,369	32,798	20,765	12,033	6,931	6,596	335
1979	41,826	27,779	14,027	34,712	21,125	13,586	7,115	6,675	440
1980	43,620	28,305	15,315	36,687	21,889	14,798	6,933	6,416	517
1981	44,830	28,125	16,704	37,839	21,749	16,090	6,991	6,376	615
1982	46,741	27,782	18,959	39,897	21,664	18,233	6,844	6,118	726
1983	51,428	28,104	23,324	44,546	22,025	22,520	6,882	6,078	804
1984	54,184	28,331	25,853	47,468	22,484	24,984	6,716	5,846	870
1985	55,041	27,145	27,896	48,564	21,591	26,973	6,476	5,553	923
1986	55,706	26,820	28,886	49,150	21,427	27,723	6,556	5,393	1,163
1987	55,599	26,760	28,838	49,067	21,504	27,563	6,531	5,256	1,275
1988	54,428	26,555	27,872	47,765	21,348	26,417	6,663	5,207	1,456
1989	53,262	26,004	27,258	46,278	20,595	25,683	6,983	5,409	1,574
1990	53,887	25,182	28,705	47,481	20,228	27,252	6,406	4,954	1,453
1991	53,334	24,633	28,701	46,881	19,726	27,155	6,453	4,907	1,546
1992	55,524	24,340	31,184	49,249	19,752	29,497	6,275	4,588	1,687
1993	56,019	24,192	31,827	49,887	19,739	30,148	6,132	4,453	1,679
1994	56,181	23,759	32,422	50,118	19,368	30,750	6,064	4,392	1,672
1995	57,201	22,724	34,477	50,916	18,202	32,714	6,285	4,523	1,762
1996	58,706	22,546	36,160	52,255	17,968	34,286	6,451	4,577	1,873
1997	60,858	22,085	38,773	54,239	17,463	36,776	6,619	4,622	1,997
1998	63,083	22,345	40,738	56,153	17,637	38,516	6,930	4,709	2,221
1999	62,896	22,115	40,781	56,311	17,470	38,841	6,585	4,645	1,940
2000	63,096	21,707	41,389	56,227	16,811	39,416	6,868	4,896	1,973
2001	64,566	21,615	42,951	57,346	16,639	40,707	7,219	4,976	2,244
2002	64,548	21,149	43,398	56,989	16,454	40,535	7,559	4,696	2,863
2003	63,377	20,827	42,551	55,852	16,144	39,708	7,525	4,683	2,843
2004	63,062	20,117	42,945	55,555	15,496	40,059	7,507	4,621	2,886
2004r 3/	*71,774*	*20,327*	*51,447*	*64,184*	*15,706*	*48,478*	*7,590*	*4,621*	*2,968*
2005	72,337	19,848	52,489	64,723	15,270	49,453	7,613	4,578	3,036
2006	75,098	19,454	55,645	67,527	14,847	52,679	7,572	4,606	2,965
2007	75,432	18,953	56,479	67,842	14,350	53,492	7,590	4,603	2,987
2008	75,349	18,544	56,804	67,507	13,898	53,610	7,841	4,647	3,195
2009	78,024	17,621	60,403	70,013	13,216	56,797	8,012	4,405	3,607
2010	78,300	16,636	61,665	70,527	12,275	58,251	7,774	4,361	3,413
2011	78,124	15,981	62,143	70,567	11,808	58,759	7,557	4,173	3,384
2012	79,104	15,231	63,873	71,632	11,298	60,334	7,472	3,932	3,539
2013	79,795	14,718	65,077	72,226	10,696	61,529	7,569	4,021	3,548

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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.

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/ The row 2004r shows active participants for 2004 computed using the revised definition summarized in the note above.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E11. Pension Plan Assets
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$259,963	$185,950	$74,013	$237,308	$163,984	$73,323	$22,655	$21,966	$687
1976	298,440	216,283	82,157	271,583	190,389	81,194	26,857	25,894	963
1977	325,074	233,609	91,465	295,179	204,781	90,399	29,895	28,829	1,066
1978	377,195	272,684	104,511	343,183	239,884	103,299	34,012	32,800	1,211
1979	445,430	319,595	125,835	404,724	280,326	124,398	40,706	39,269	1,437
1980	563,551	401,455	162,096	514,583	353,967	160,616	48,968	47,488	1,480
1981	628,916	444,376	184,540	572,101	389,846	182,615	56,814	54,890	1,924
1982	788,987	553,419	235,567	716,281	483,536	232,744	72,706	69,883	2,823
1983	923,470	642,359	281,111	843,693	566,369	277,323	79,777	75,990	3,788
1984	1,044,592	700,669	343,922	947,373	608,703	338,670	97,212	91,966	5,246
1985	1,252,739	826,117	426,622	1,136,417	716,107	420,310	116,322	110,010	6,312
1986	1,382,910	895,073	487,837	1,251,034	772,205	478,830	131,876	122,868	9,008
1987	1,402,488	877,269	525,219	1,266,694	751,475	515,219	135,794	125,794	10,000
1988	1,503,635	911,982	591,653	1,351,845	772,381	579,464	151,790	139,601	12,189
1989	1,675,597	987,971	687,626	1,505,319	832,148	673,171	170,278	155,822	14,455
1990	1,674,139	961,904	712,236	1,496,300	798,167	698,133	177,839	163,737	14,102
1991	1,936,271	1,101,987	834,284	1,743,190	926,424	816,766	193,080	175,562	17,518
1992	2,094,087	1,146,798	947,289	1,879,033	955,621	923,412	215,053	191,177	23,877
1993	2,316,272	1,248,180	1,068,092	2,091,468	1,049,915	1,041,553	224,804	198,265	26,540
1994	2,298,556	1,210,856	1,087,700	2,070,804	1,010,275	1,060,529	227,752	200,581	27,171
1995	2,723,735	1,402,079	1,321,657	2,458,153	1,163,416	1,294,737	265,582	238,663	26,920
1996	3,136,281	1,585,397	1,550,884	2,837,125	1,316,599	1,520,526	299,156	268,798	30,358
1997	3,553,757	1,735,604	1,818,152	3,213,304	1,432,788	1,780,516	340,452	302,816	37,636
1998	4,021,849	1,936,600	2,085,250	3,642,656	1,599,303	2,043,353	379,193	337,297	41,896
1999	4,407,805	2,057,539	2,350,266	4,008,220	1,697,424	2,310,797	399,585	360,116	39,470
2000	4,202,672	1,986,177	2,216,495	3,791,754	1,620,811	2,170,942	410,918	365,365	45,553
2001	3,940,991	1,825,290	2,115,702	3,546,166	1,479,992	2,066,174	394,825	345,298	49,527
2002	3,617,254	1,665,657	1,951,596	3,240,299	1,346,266	1,894,033	376,955	319,392	57,563
2003	4,247,900	1,940,978	2,306,922	3,836,940	1,593,269	2,243,671	410,960	347,709	63,250
2004	4,693,484	2,106,325	2,587,159	4,245,418	1,727,267	2,518,150	448,066	379,058	69,008
2005	5,061,622	2,254,032	2,807,590	4,582,474	1,852,320	2,730,153	479,148	401,711	77,437
2006	5,684,302	2,468,142	3,216,160	5,162,837	2,031,355	3,131,483	521,465	436,787	84,678
2007	6,090,473	2,646,603	3,443,870	5,511,077	2,163,248	3,347,829	579,396	483,355	96,041
2008	4,703,498	2,040,961	2,662,537	4,231,963	1,657,319	2,574,644	471,535	383,642	87,893
2009	5,511,060	2,193,983	3,317,076	4,944,282	1,781,818	3,162,465	566,777	412,165	154,612
2010	6,281,749	2,448,361	3,833,388	5,650,811	1,982,230	3,668,581	630,937	466,131	164,806
2011	6,345,595	2,516,109	3,829,487	5,708,262	2,050,611	3,657,652	637,328	465,498	171,831
2012	6,966,261	2,701,856	4,264,405	6,342,105	2,270,270	4,071,835	624,157	431,586	192,571
2013	7,870,897	2,866,392	5,004,505	7,192,887	2,388,141	4,804,746	678,010	478,251	199,759

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Form 5500 Private Pension Plan User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

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

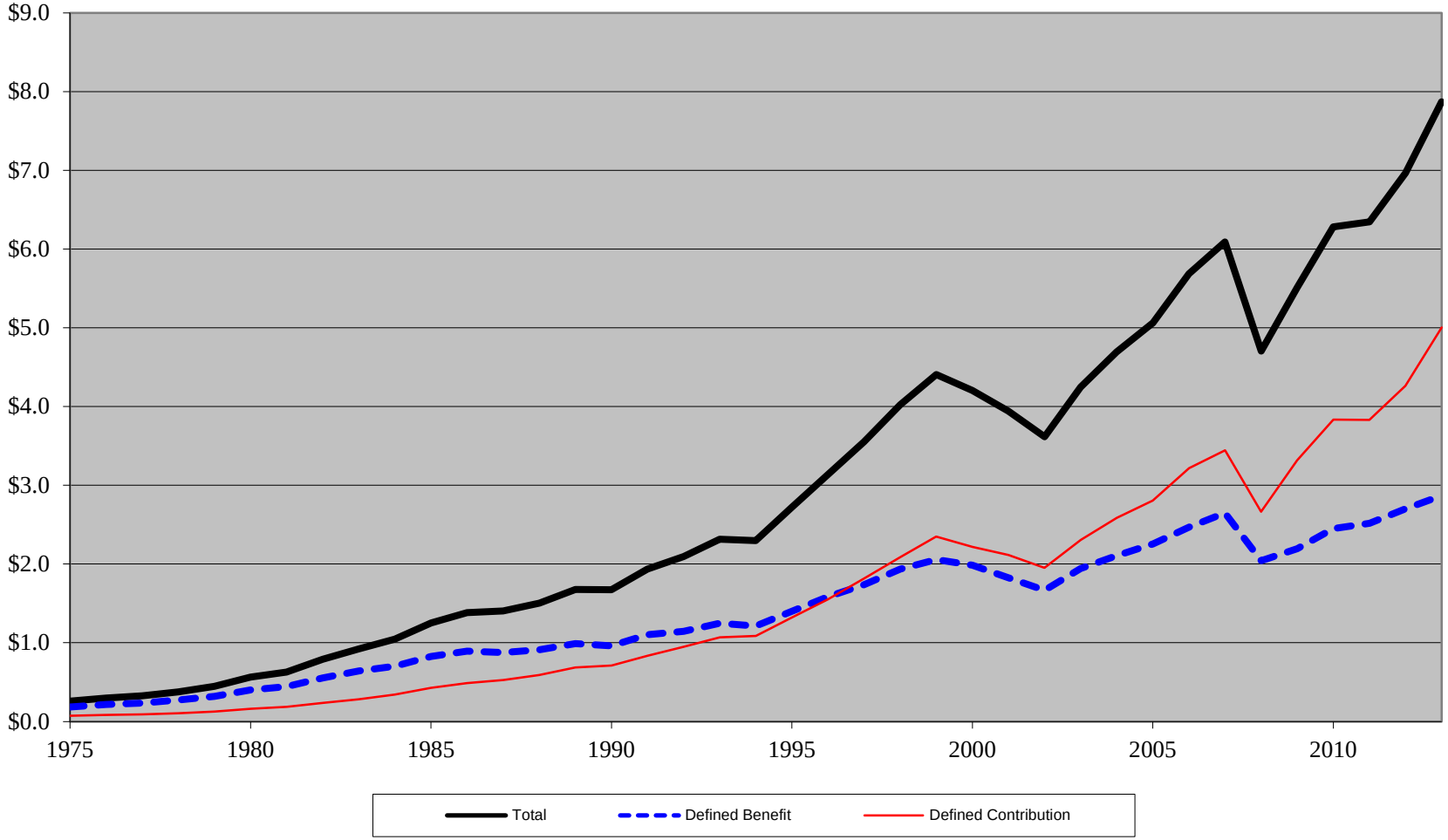
NOTE: Excludes "one-participant plans."

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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E11g. Pension Plan Assets
by type of plan, 1975-2013
(amounts in trillions)



NOTE: Excludes "one-participant plans."

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E12. Pension Plan Assets of Plans with Fewer than 100 Participants
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$32,308	$8,781	$23,527	$32,272	$8,747	$23,524	$37	$34	$2
1976	35,369	10,329	25,039	35,233	10,223	25,010	136	107	29
1977	42,953	12,459	30,494	42,828	12,368	30,463	124	92	32
1978	52,023	15,661	36,362	51,727	15,471	36,255	297	190	106
1979	64,021	19,498	44,523	63,725	19,271	44,453	296	227	69
1980	86,785	31,498	55,287	86,101	30,872	55,229	684	626	58
1981	104,006	38,792	65,214	103,220	38,081	65,139	785	711	74
1982	129,263	46,971	82,292	128,895	46,649	82,246	369	323	46
1983	155,214	60,594	94,620	154,626	60,064	94,562	58	530	58
1984	176,847	62,904	113,943	176,103	62,231	113,873	743	673	70
1985	211,665	67,745	143,920	210,666	66,878	143,789	999	867	132
1986	232,718	66,276	166,442	231,481	65,132	166,350	1,237	1,143	93
1987	228,244	65,232	163,012	227,048	64,277	162,771	1,196	955	241
1988	240,867	54,652	186,215	239,393	53,389	186,004	1,474	1,263	211
1989	236,459	44,570	191,889	236,016	44,243	191,773	443	327	116
1990	242,068	44,192	197,876	241,224	43,599	197,624	844	592	252
1991	264,329	40,161	224,168	263,967	40,033	223,934	362	128	234
1992	261,359	30,396	230,963	260,922	30,199	230,723	437	197	239
1993	291,912	33,166	258,746	291,238	32,770	258,468	675	396	278
1994	278,555	25,384	253,171	277,644	24,687	252,958	911	698	213
1995	323,751	26,455	297,295	323,066	26,210	296,855	685	245	440
1996	359,984	28,576	331,407	358,874	27,870	331,005	1,110	707	403
1997	398,775	25,614	373,161	397,474	24,876	372,598	1,302	738	563
1998	442,589	39,669	402,920	441,880	39,409	402,471	708	260	449
1999	488,865	31,696	457,169	488,420	31,512	456,908	445	184	261
2000	454,082	29,056	425,028	453,352	28,847	424,504	730	208	523
2001	412,249	28,359	383,891	411,723	28,199	383,524	528	161	367
2002	385,683	27,578	358,107	385,337	27,469	357,867	348	108	239
2003	439,636	25,576	414,063	438,875	25,322	413,551	763	252	511
2004	492,649	30,657	461,993	491,399	29,833	461,566	1,250	822	426
2005	526,373	31,946	494,427	525,628	31,710	493,920	745	236	509
2006	579,393	37,179	542,214	578,895	37,138	541,757	497	41	457
2007	622,511	38,112	584,399	622,086	37,986	584,099	426	126	300
2008	525,890	37,231	488,659	524,843	36,554	488,290	1,046	677	369
2009	552,164	36,809	515,354	551,661	36,642	515,018	503	167	336
2010	641,844	42,764	599,080	641,420	42,638	598,782	425	126	298
2011	624,446	40,921	583,525	623,982	40,838	583,145	459	83	376
2012	670,355	42,231	628,125	669,757	42,155	627,602	599	76	523
2013	766,854	46,524	720,329	766,308	46,439	719,868	546	85	461

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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 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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E13. Pension Plan Assets of Plans with 100 or More Participants
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$227,655	$177,169	$50,486	$205,036	$155,237	$49,799	$22,619	$21,932	$687
1976	263,071	205,954	57,118	236,350	180,166	56,184	26,721	25,787	934
1977	282,121	221,150	60,971	252,350	192,413	59,936	29,771	28,737	1,034
1978	325,172	257,023	68,149	291,456	224,413	67,044	33,715	32,610	1,105
1979	381,409	300,097	81,312	340,999	261,055	79,945	40,410	39,042	1,368
1980	476,766	369,957	106,809	428,482	323,095	105,387	48,284	46,862	1,422
1981	524,910	405,584	119,326	468,881	351,405	117,476	56,029	54,179	1,850
1982	659,724	506,448	153,276	587,386	436,887	150,499	72,337	69,560	2,777
1983	768,256	581,765	186,491	689,066	506,305	182,761	79,190	75,460	3,730
1984	867,745	637,765	229,979	771,270	546,472	224,797	96,469	91,293	5,176
1985	1,041,074	758,372	282,702	925,751	649,229	276,521	115,523	109,143	6,180
1986	1,150,192	828,797	321,395	1,019,553	707,073	312,480	130,639	121,725	8,915
1987	1,174,244	812,037	362,207	1,039,646	687,198	352,448	134,598	124,839	9,759
1988	1,262,768	857,330	405,438	1,112,452	718,992	393,460	150,316	138,338	11,978
1989	1,439,138	943,401	495,737	1,269,303	787,905	481,398	169,835	155,496	14,339
1990	1,432,072	917,712	514,360	1,255,076	754,567	500,509	176,995	163,145	13,851
1991	1,671,942	1,061,826	610,116	1,479,224	886,391	592,832	192,718	175,434	17,284
1992	1,832,728	1,116,401	716,326	1,618,111	925,422	692,689	214,617	190,979	23,637
1993	2,024,360	1,215,014	809,346	1,800,230	1,017,145	783,085	224,130	197,869	26,261
1994	2,020,001	1,185,471	834,529	1,793,159	985,588	807,572	226,841	199,884	26,958
1995	2,399,984	1,375,623	1,024,361	2,135,087	1,137,206	997,881	264,897	238,417	26,480
1996	2,776,297	1,556,821	1,219,476	2,478,251	1,288,729	1,189,521	298,047	268,092	29,955
1997	3,154,982	1,709,990	1,444,991	2,815,831	1,407,912	1,407,919	339,151	302,078	37,072
1998	3,579,261	1,896,931	1,682,330	3,200,776	1,599,894	1,640,882	378,485	337,037	41,448
1999	3,918,940	2,025,843	1,893,097	3,519,800	1,665,912	1,853,888	399,140	359,931	39,209
2000	3,748,591	1,957,122	1,791,468	3,338,401	1,591,964	1,746,437	410,187	365,156	45,031
2001	3,528,742	1,796,931	1,731,811	3,134,444	1,451,793	1,682,652	394,296	345,137	49,160
2002	3,231,570	1,638,080	1,593,490	2,854,961	1,318,796	1,536,166	376,609	319,283	57,324
2003	3,808,263	1,915,403	1,892,859	3,398,066	1,567,947	1,830,118	410,197	347,457	62,739
2004	4,200,834	2,075,670	2,125,166	3,754,018	1,697,436	2,056,585	446,817	378,235	68,582
2005	4,535,249	2,222,087	2,313,163	4,056,846	1,820,611	2,236,234	478,404	401,477	76,928
2006	5,104,909	2,430,963	2,673,947	4,583,942	1,994,216	2,589,726	520,967	436,746	84,221
2007	5,467,962	2,608,491	2,859,471	4,888,991	2,125,261	2,763,730	578,970	483,230	95,741
2008	4,177,608	2,003,730	2,173,878	3,707,119	1,620,765	2,086,354	470,489	382,965	87,524
2009	4,958,896	2,157,174	2,801,722	4,392,622	1,745,175	2,647,446	566,274	411,998	154,276
2010	5,639,905	2,405,597	3,234,308	5,009,392	1,939,592	3,069,800	630,513	466,005	164,508
2011	5,721,149	2,475,188	3,245,961	5,084,280	2,009,773	3,074,507	636,869	465,415	171,454
2012	6,295,906	2,659,625	3,636,281	5,672,348	2,228,115	3,444,233	623,558	431,510	192,048
2013	7,104,043	2,819,868	4,284,175	6,426,579	2,341,702	4,084,878	677,464	478,166	199,298

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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 allocated group insurance contracts for payment of retirement benefits.

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 with the U.S. Department of Labor.

Table E14. Pension Plan Contributions
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$37,061	$24,242	$12,819	$32,970	$20,268	$12,207	$4,091	$3,974	$117
1976	42,780	28,540	14,240	38,161	24,073	14,088	4,619	4,467	152
1977	47,061	31,197	15,864	41,931	26,229	15,702	5,130	4,968	162
1978	55,943	37,591	18,353	49,793	31,602	18,191	6,151	5,989	162
1979	61,279	40,585	20,694	54,217	33,738	20,479	7,061	6,847	214
1980	66,157	42,626	23,531	58,718	35,524	23,194	7,439	7,102	337
1981	75,374	46,985	28,389	67,191	39,187	28,004	8,183	7,798	385
1982	79,502	48,438	31,064	71,320	40,807	30,513	8,182	7,631	551
1983	82,447	46,313	36,134	74,022	38,677	35,345	8,425	7,636	789
1984	90,625	47,197	43,428	81,553	38,990	42,563	9,072	8,207	865
1985	95,188	41,996	53,192	85,927	33,794	52,133	9,261	8,202	1,059
1986	91,503	33,161	58,342	82,190	25,142	57,049	9,313	8,020	1,293
1987	92,070	29,793	62,277	82,834	21,993	60,841	9,235	7,800	1,436
1988	91,248	26,300	64,948	81,612	18,352	63,261	9,636	7,948	1,688
1989	97,920	24,723	73,197	88,049	16,684	71,365	9,871	8,039	1,832
1990	98,792	23,026	75,766	89,834	15,709	74,125	8,958	7,317	1,641
1991	111,124	30,146	80,978	102,224	22,952	79,272	8,899	7,194	1,705
1992	128,795	35,174	93,621	119,682	27,964	91,718	9,114	7,210	1,904
1993	153,642	52,123	101,519	143,944	44,521	99,423	9,698	7,602	2,096
1994	144,353	39,031	105,322	133,844	30,829	103,015	10,509	8,203	2,307
1995	158,832	41,423	117,409	147,621	32,600	115,021	11,210	8,823	2,387
1996	169,540	35,803	133,737	157,204	26,174	131,030	12,335	9,629	2,707
1997	177,940	29,862	148,078	164,633	19,723	144,909	13,307	10,138	3,169
1998	201,886	34,985	166,900	187,367	24,240	163,127	14,518	10,745	3,773
1999	215,827	29,958	185,869	200,804	18,706	182,098	15,023	11,252	3,771
2000	231,907	33,369	198,538	215,026	20,877	194,149	16,881	12,492	4,389
2001	253,791	49,743	204,048	236,041	36,895	199,146	17,750	12,848	4,902
2002	298,865	89,212	209,653	280,128	76,292	203,836	18,737	12,920	5,817
2003	330,484	118,395	212,089	311,253	104,677	206,576	19,231	13,717	5,514
2004	323,019	94,422	228,597	302,825	79,749	223,076	20,194	14,673	5,521
2005	341,449	92,662	248,788	319,506	76,698	242,808	21,943	15,963	5,980
2006	366,564	89,769	276,795	342,138	71,876	270,262	24,426	17,893	6,533
2007	368,135	68,310	299,825	341,337	48,983	292,354	26,799	19,327	7,471
2008	419,036	107,285	311,751	390,133	86,688	303,444	28,903	20,597	8,306
2009	413,497	114,841	298,656	381,826	94,580	287,246	31,671	20,261	11,410
2010	445,325	131,055	314,270	413,130	109,792	303,338	32,195	21,263	10,932
2011	465,445	135,232	330,213	430,716	112,160	318,556	34,729	23,072	11,657
2012	481,189	128,425	352,764	443,304	103,399	339,905	37,885	25,027	12,859
2013	490,596	113,667	376,929	454,081	90,122	363,959	36,516	23,545	12,970

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Form 5500 Private Pension Plan User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Includes both employer and employee contributions.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

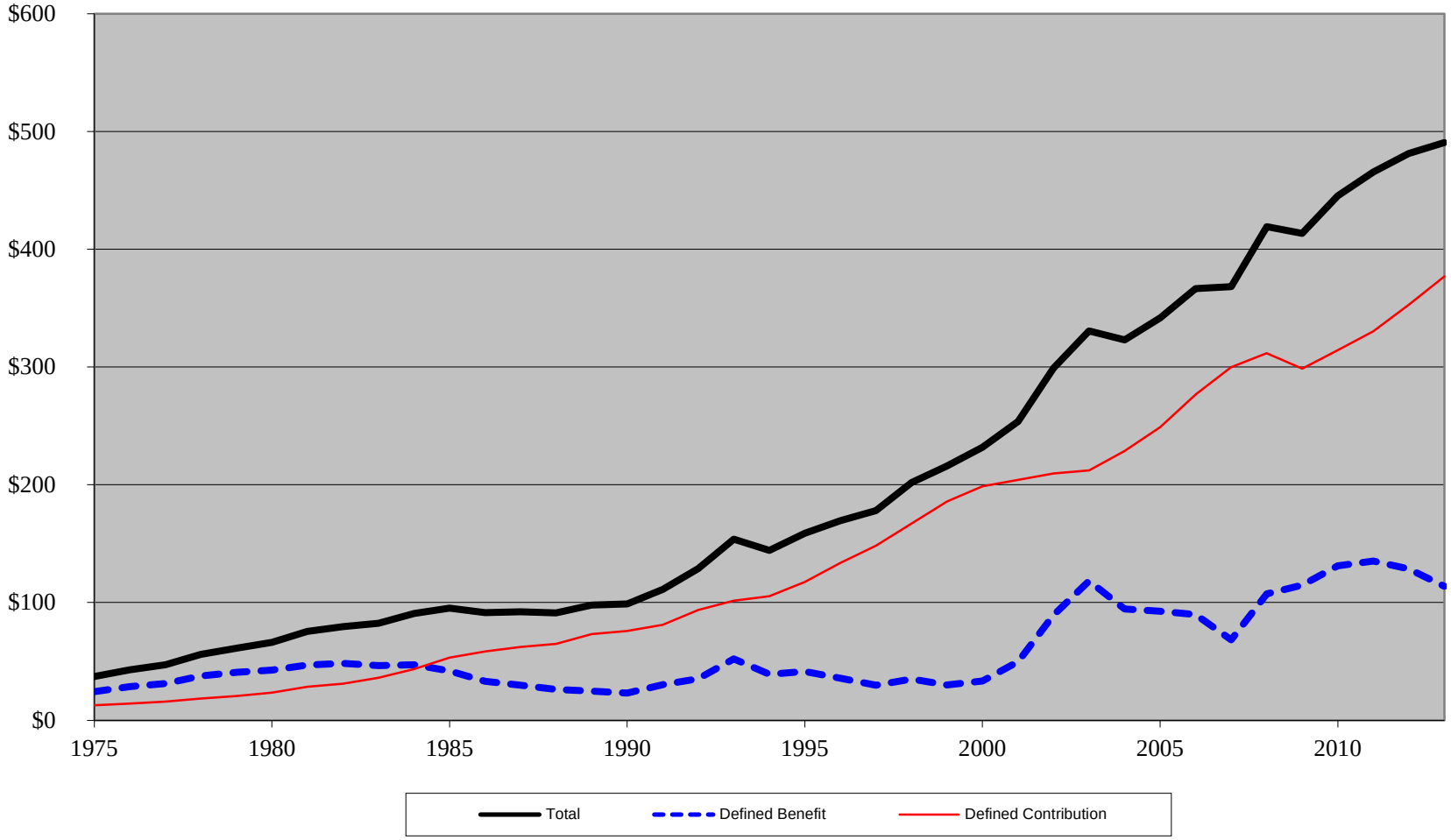
NOTE: Excludes "one-participant plans."

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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E14g. Pension Plan Contributions
by type of plan, 1975-2013
(amounts in billions)



NOTE: Excludes "one-participant plans."
SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E15. Pension Plan Contributions to Plans with Fewer than 100 Participants
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$6,504	$1,775	$4,729	$6,502	$1,733	$4,728	$3	$2	$1
1976	7,156	2,295	4,861	7,136	2,278	4,858	20	17	3
1977	8,236	2,616	5,620	8,213	2,598	5,615	22	18	5
1978	9,644	3,303	6,342	9,602	3,271	6,330	43	31	12
1979	11,542	4,323	7,219	11,495	4,290	7,205	46	33	13
1980	13,545	5,870	7,675	13,490	5,830	7,660	55	40	15
1981	16,406	7,163	9,242	16,304	7,079	9,225	101	84	17
1982	16,094	7,672	9,422	16,047	7,641	9,406	47	31	16
1983	17,357	7,593	9,764	17,288	7,537	9,751	69	56	13
1984	18,561	7,850	10,712	18,487	7,788	10,700	74	62	12
1985	21,575	7,404	14,171	21,489	7,339	14,150	86	65	21
1986	21,543	5,659	15,884	21,475	5,607	15,868	68	52	16
1987	19,963	4,296	15,667	19,895	4,239	15,656	67	57	11
1988	18,964	3,015	15,948	18,909	2,981	15,929	54	34	20
1989	20,995	2,763	18,232	20,961	2,742	18,219	34	21	13
1990	21,687	2,608	19,079	21,642	2,590	19,052	44	18	26
1991	21,908	2,420	19,488	21,881	2,413	19,468	27	7	21
1992	25,214	2,229	22,985	25,185	2,223	22,962	29	6	23
1993	25,959	2,451	23,508	25,904	2,418	23,486	55	33	22
1994	23,933	1,918	22,015	23,688	1,693	21,995	245	225	20
1995	28,150	2,406	25,744	28,111	2,392	25,719	39	14	25
1996	30,802	1,943	28,860	30,742	1,911	28,830	60	31	29
1997	34,285	1,977	32,309	34,204	1,936	32,268	81	41	40
1998	38,180	1,929	36,252	38,124	1,905	36,218	57	23	33
1999	43,793	2,156	41,637	43,722	2,132	41,590	71	24	47
2000	44,128	2,330	41,799	44,222	2,296	41,927	94	34	60
2001	47,067	3,149	43,918	46,986	3,119	43,867	80	30	51
2002	49,608	3,793	45,814	49,564	3,783	45,781	43	9	33
2003	49,402	4,019	45,383	49,328	3,991	45,337	75	29	46
2004	53,143	4,758	48,385	53,058	4,712	48,346	85	46	39
2005	57,357	5,130	52,227	57,276	5,113	52,163	81	17	64
2006	59,503	5,462	54,040	59,435	5,449	53,985	68	13	55
2007	63,669	5,251	58,418	63,585	5,208	58,377	84	43	41
2008	65,493	8,829	56,665	65,405	8,786	56,618	89	42	46
2009	58,893	5,704	53,189	58,831	5,689	53,141	62	14	48
2010	59,076	5,224	53,852	59,029	5,213	53,816	47	11	36
2011	60,862	5,850	55,012	60,778	5,801	54,977	84	49	35
2012	64,340	7,265	57,075	64,249	7,251	56,999	91	15	76
2013	65,657	6,304	59,353	65,552	6,300	59,252	105	4	101

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Includes both employer and employee contributions.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E16. Pension Plan Contributions to Plans with 100 or More Participants
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$30,557	$22,466	$8,090	$26,468	$18,494	$7,974	$4,088	$3,972	$116
1976	35,624	26,245	9,379	31,025	21,795	9,230	4,599	4,450	149
1977	38,825	28,580	10,244	33,718	23,631	10,087	5,107	4,950	157
1978	46,299	34,288	12,010	40,191	28,331	11,861	6,108	5,958	150
1979	49,737	36,262	13,475	42,722	29,448	13,274	7,015	6,814	201
1980	52,612	36,756	15,856	45,228	29,694	15,534	7,384	7,062	322
1981	58,968	39,822	19,147	50,887	32,108	18,779	8,082	7,714	368
1982	62,408	40,766	21,642	54,273	33,166	21,108	8,135	7,600	535
1983	65,090	38,720	26,370	56,734	31,140	25,594	8,356	7,580	776
1984	72,064	39,347	32,717	63,066	31,203	31,863	8,997	8,145	853
1985	73,613	34,592	39,021	64,438	26,455	37,983	9,175	8,137	1,038
1986	69,960	27,502	42,458	60,715	19,535	41,180	9,245	7,968	1,277
1987	72,107	25,497	46,610	62,939	17,754	45,185	9,168	7,743	1,425
1988	72,286	23,285	49,000	62,703	15,371	47,332	9,582	7,914	1,668
1989	76,925	21,960	54,965	67,088	13,942	53,146	9,837	8,018	1,819
1990	77,105	20,418	56,687	68,192	13,119	55,073	8,914	7,299	1,614
1991	89,215	27,726	61,489	80,343	20,539	59,804	8,872	7,187	1,684
1992	103,581	32,945	70,636	94,497	25,741	68,756	9,084	7,204	1,880
1993	127,683	49,672	78,011	118,040	42,103	75,937	9,643	7,569	2,074
1994	120,420	37,113	83,307	110,155	29,135	81,020	10,265	7,978	2,287
1995	130,682	39,017	91,665	119,510	30,208	89,302	11,172	8,809	2,363
1996	138,738	33,860	104,877	126,463	24,263	102,200	12,275	9,598	2,677
1997	143,655	27,886	115,770	130,429	17,788	112,641	13,226	10,097	3,128
1998	163,705	33,057	130,649	149,244	22,335	126,909	14,462	10,722	3,739
1999	172,035	27,803	144,232	157,082	16,574	140,508	14,952	11,228	3,724
2000	187,779	31,039	156,739	170,804	18,582	152,222	16,787	12,458	4,329
2001	206,724	46,594	160,130	189,055	33,776	155,279	17,670	12,818	4,851
2002	249,257	85,419	163,839	230,564	72,508	158,055	18,694	12,910	5,783
2003	281,082	114,375	166,707	261,926	100,687	161,239	19,156	13,688	5,468
2004	269,876	89,664	180,212	249,768	75,037	174,731	20,109	14,627	5,481
2005	284,092	87,531	196,561	262,231	71,586	190,645	21,861	15,946	5,916
2006	307,061	84,307	222,755	282,703	66,427	216,276	24,358	17,880	6,478
2007	304,466	63,059	241,407	277,752	43,775	233,977	26,715	19,285	7,430
2008	353,542	98,456	255,086	324,728	77,902	246,826	28,814	20,554	8,260
2009	354,604	109,137	245,467	322,995	88,890	234,105	31,609	20,247	11,362
2010	386,248	125,831	260,418	354,100	104,579	249,521	32,148	21,251	10,897
2011	404,583	129,382	275,201	369,938	106,358	263,579	34,645	23,023	11,622
2012	416,849	121,160	295,689	379,055	96,148	282,907	37,795	25,012	12,783
2013	424,940	107,363	317,576	388,529	83,822	304,707	36,411	23,541	12,870

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Includes both employer and employee contributions.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ 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 with the U.S. Department of Labor.

Table E17. Pension Plan Benefits Disbursed
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$19,065	$12,903	$6,161	$16,559	$10,457	$6,102	$2,505	$2,446	$60
1976	20,980	13,994	6,986	18,008	11,101	6,907	2,972	2,893	79
1977	22,950	15,249	7,702	19,957	12,353	7,604	2,993	2,896	98
1978	26,516	17,661	8,855	23,333	14,485	8,748	3,283	3,176	108
1979	28,680	18,688	9,991	25,272	15,386	9,886	3,408	3,302	106
1980	35,280	22,148	13,132	31,485	18,524	12,961	3,795	3,624	171
1981	44,753	27,334	17,420	40,281	22,987	17,294	4,473	4,347	125
1982	55,307	33,875	21,432	50,219	28,957	21,263	5,088	4,918	170
1983	65,333	36,976	28,357	59,547	31,507	28,040	5,786	5,469	317
1984	79,086	46,513	32,573	72,510	40,269	32,241	6,576	6,244	332
1985	101,898	54,466	47,432	94,792	47,801	46,991	7,106	6,665	441
1986	130,483	67,974	62,509	122,613	60,612	62,000	7,870	7,361	579
1987	122,254	66,241	56,013	113,834	58,345	55,489	8,420	7,896	524
1988	118,645	60,450	58,195	109,446	51,910	57,535	9,200	8,540	660
1989	132,049	66,707	65,342	121,750	57,236	64,514	10,299	9,471	828
1990	129,405	66,363	63,042	118,227	56,079	62,147	11,178	10,284	894
1991	135,552	71,503	64,048	123,986	61,081	62,904	11,566	10,422	1,144
1992	152,441	77,853	74,588	139,247	66,287	72,960	13,194	11,566	1,628
1993	156,305	79,093	77,212	142,471	66,847	75,625	13,834	12,246	1,587
1994	163,934	82,625	81,309	149,035	69,417	79,617	14,899	13,207	1,692
1995	183,025	85,134	97,892	167,249	70,947	96,302	15,777	14,187	1,590
1996	213,399	96,914	116,485	196,224	81,436	114,788	17,176	15,478	1,698
1997	232,479	97,213	135,266	214,191	80,994	133,197	18,288	16,219	2,069
1998	273,115	111,249	161,866	253,270	93,558	159,711	19,845	17,690	2,155
1999	314,512	119,375	195,138	293,051	99,937	193,113	21,461	19,437	2,024
2000	341,041	127,510	213,531	317,519	106,483	211,036	23,521	21,027	2,495
2001	311,627	129,417	182,210	287,024	107,358	179,666	24,603	22,059	2,544
2002	314,564	135,824	178,740	289,175	113,511	175,665	25,389	22,314	3,075
2003	301,992	134,945	167,048	275,183	111,296	163,888	26,809	23,649	3,160
2004	333,327	140,440	192,888	304,389	115,229	189,160	28,938	25,211	3,727
2005	354,540	136,555	217,985	323,752	110,062	213,690	30,788	26,493	4,294
2006	410,959	150,619	260,340	377,700	121,863	255,837	33,259	28,756	4,503
2007	452,846	158,741	294,105	418,418	129,246	289,172	34,428	29,495	4,933
2008	431,121	166,026	265,095	394,964	135,240	259,724	36,157	30,786	5,371
2009	409,140	167,788	241,351	364,004	132,805	231,200	45,135	34,984	10,152
2010	456,927	169,645	287,282	408,155	132,014	276,141	48,772	37,630	11,142
2011	471,884	172,549	299,335	420,752	133,188	287,564	51,132	39,361	11,770
2012	531,477	197,634	333,843	481,263	160,824	320,438	50,214	36,810	13,405
2013	615,406	229,534	385,872	564,175	191,195	372,980	51,231	38,339	12,892

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Form 5500 Private Pension Plan User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: 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.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

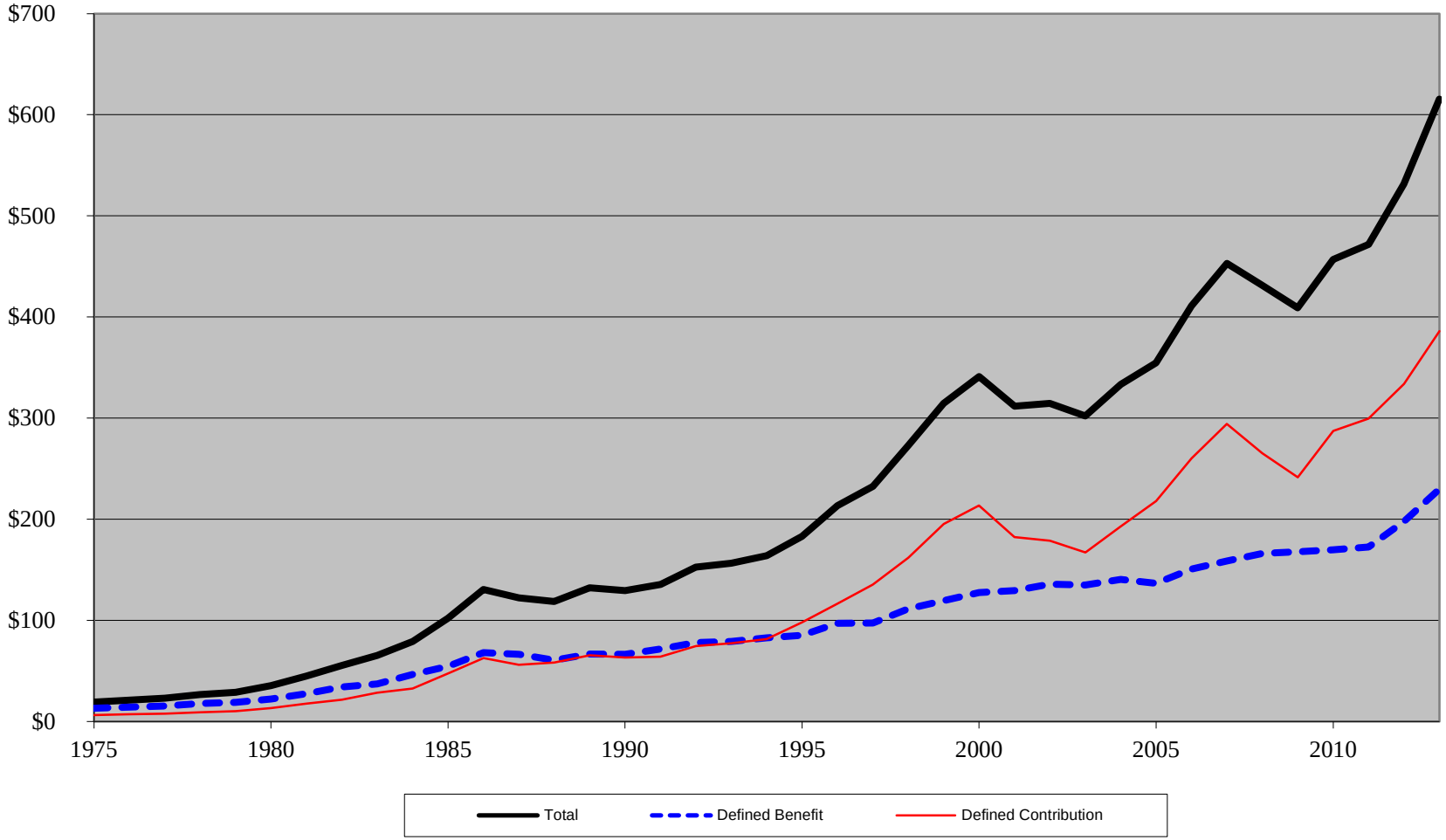
NOTE: Excludes "one-participant plans."

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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E17g. Pension Plan Benefits Disbursed
by type of plan, 1975-2013
(amounts in billions)



NOTE: Excludes "one-participant plans."
SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E18. Pension Plan Benefits Disbursed from Plans with Fewer than 100 Participants
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$2,147	$886	$1,261	$2,143	$882	$1,261	$4	$4	$1
1976	2,407	931	1,476	2,395	921	1,474	12	10	2
1977	2,720	1,043	1,678	2,683	1,007	1,675	38	35	2
1978	3,387	1,292	2,095	3,356	1,271	2,085	31	21	10
1979	3,614	1,442	2,171	3,586	1,420	2,166	28	23	5
1980	5,123	2,076	3,047	5,086	2,044	3,042	37	32	5
1981	6,991	2,789	4,203	6,940	2,740	4,200	52	49	2
1982	10,736	5,782	4,954	10,679	5,736	4,943	56	46	10
1983	11,649	4,213	7,436	11,580	4,149	7,431	70	65	6
1984	14,311	6,290	8,021	14,237	6,225	8,012	74	65	9
1985	22,493	8,936	13,557	22,403	8,872	13,531	90	63	26
1986	38,484	14,730	24,527	38,355	14,604	23,749	129	125	5
1987	34,584	14,796	19,788	34,425	14,665	19,760	159	131	28
1988	33,718	12,069	21,649	33,657	12,018	21,639	61	51	10
1989	37,063	12,369	24,694	36,914	12,252	24,662	149	117	32
1990	34,238	10,798	23,439	34,098	10,737	23,361	139	61	78
1991	30,601	9,489	21,112	30,532	9,448	21,083	69	41	28
1992	30,763	7,929	22,834	30,720	7,912	22,808	43	17	26
1993	29,230	6,660	22,570	29,129	6,582	22,547	100	77	23
1994	25,900	4,860	21,040	25,743	4,737	21,007	157	124	33
1995	33,927	7,100	26,827	33,816	7,035	26,781	111	65	46
1996	36,376	7,057	29,320	36,247	6,965	29,282	129	92	37
1997	43,066	7,720	35,346	42,879	7,608	35,271	187	112	75
1998	48,701	8,362	40,338	48,534	8,300	40,234	167	62	104
1999	55,773	8,700	47,073	55,626	8,597	47,030	147	104	43
2000	54,992	6,954	48,038	54,828	6,868	47,961	163	86	77
2001	50,902	8,557	42,345	50,700	8,447	42,253	201	110	91
2002	46,130	5,980	40,151	46,013	5,925	40,088	118	55	63
2003	41,928	5,194	36,735	41,772	5,065	36,707	156	129	28
2004	45,557	6,073	39,484	45,415	5,980	39,434	143	93	50
2005	45,786	4,181	41,605	45,564	4,130	41,434	222	51	171
2006	52,656	6,320	46,337	52,550	6,280	46,271	106	40	66
2007	59,966	7,631	52,335	59,654	7,498	52,156	312	133	179
2008	61,217	10,624	50,593	61,077	10,532	50,545	139	92	48
2009	50,539	5,317	45,221	50,376	5,292	45,084	163	26	137
2010	68,579	9,501	59,078	68,499	9,478	59,022	79	23	56
2011	66,998	6,255	60,744	66,794	6,151	60,643	205	104	101
2012	76,802	10,553	66,249	76,638	10,516	66,122	164	37	128
2013	111,608	36,668	74,939	111,445	36,655	74,790	162	13	149

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: 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.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E19. Pension Plan Benefits Disbursed from Plans with 100 or More Participants
by type of plan, 1975-2013
(amounts in millions)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution
1975	$16,918	$12,017	$4,901	$14,416	$9,575	$4,841	$2,501	$2,442	$60
1976	18,573	13,063	5,510	15,613	10,180	5,433	2,960	2,883	77
1977	20,230	14,206	6,024	17,274	11,345	5,929	2,956	2,860	95
1978	23,129	16,369	6,760	19,877	13,214	6,663	3,252	3,155	97
1979	25,066	17,246	7,820	21,686	13,966	7,720	3,380	3,279	101
1980	30,157	20,072	10,085	26,399	16,480	9,919	3,758	3,592	166
1981	37,762	24,545	13,217	33,341	20,247	13,094	4,421	4,298	123
1982	44,571	28,093	16,478	39,540	23,221	16,319	5,032	4,872	160
1983	55,693	32,763	22,920	47,967	27,358	20,609	5,715	5,404	311
1984	64,775	40,223	24,552	58,273	34,044	24,229	6,502	6,179	322
1985	79,405	45,530	33,875	72,389	38,929	33,460	7,016	6,602	415
1986	91,999	53,244	38,754	84,258	46,008	38,250	7,741	7,236	504
1987	87,680	51,445	36,225	79,409	43,680	35,729	8,262	7,765	496
1988	84,926	48,381	36,546	75,787	39,892	35,896	9,139	8,489	650
1989	94,987	54,339	40,648	84,836	44,984	39,852	10,151	9,355	796
1990	95,167	55,564	39,603	84,128	45,342	38,786	11,039	10,222	816
1991	104,951	62,014	42,937	93,454	51,633	41,821	11,497	10,381	1,116
1992	121,678	69,924	51,755	108,527	58,374	50,153	13,151	11,549	1,602
1993	127,076	72,433	54,643	113,342	60,264	53,078	13,734	12,169	1,565
1994	138,034	77,764	60,269	123,291	64,681	58,611	14,742	13,084	1,659
1995	149,099	78,034	71,065	133,433	63,912	69,521	15,666	14,122	1,544
1996	177,023	89,858	87,166	159,976	74,471	85,505	17,047	15,386	1,660
1997	189,413	89,493	99,920	171,312	73,386	97,926	18,101	16,107	1,994
1998	224,414	102,886	121,528	204,736	85,258	119,477	19,678	17,628	2,050
1999	258,739	110,674	148,065	237,425	91,341	146,084	21,314	19,334	1,980
2000	286,049	120,556	165,493	262,691	99,615	163,076	23,358	20,940	2,418
2001	260,726	120,860	139,865	236,324	98,911	137,413	24,402	21,949	2,453
2002	268,434	129,845	138,589	243,163	107,586	135,576	25,271	22,259	3,012
2003	260,064	129,751	130,313	233,411	106,231	127,181	26,653	23,520	3,132
2004	287,770	134,366	153,403	258,974	109,249	149,726	28,795	25,118	3,678
2005	308,754	132,374	176,380	278,188	105,931	172,257	30,566	26,443	4,123
2006	358,303	144,300	214,003	325,149	115,583	209,566	33,153	28,716	4,437
2007	392,880	151,110	241,770	358,764	121,748	237,016	34,116	29,362	4,754
2008	369,904	155,402	214,502	333,887	124,708	209,179	36,017	30,694	5,323
2009	358,601	162,471	196,130	313,629	127,513	186,115	44,973	34,958	10,015
2010	388,348	160,144	228,205	339,656	122,537	217,119	48,693	37,607	11,086
2011	404,885	166,294	238,591	353,958	127,037	226,921	50,927	39,257	11,670
2012	454,674	187,081	267,594	404,625	150,308	254,317	50,050	36,773	13,277
2013	503,799	192,866	310,933	452,729	154,540	298,189	51,069	38,326	12,743

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: 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.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ 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 with the U.S. Department of Labor.

Table E20. Number of 401(k) Type Plans, Active Participants, Assets, Contributions, and Benefits
1984-2013

Year	Number of Plans	Active Participants (thousands) 1/	Total Assets (millions) 2/	Total Contributions (millions) 3/	Total Benefits (millions) 4/
1984	17,303	7,526	$91,754	$16,291	$10,617
1985	29,869	10,315	143,939	24,322	16,399
1986	37,420	11,528	182,784	29,226	22,098
1987	45,054	13,091	215,477	33,185	22,215
1988	68,121	15,151	276,995	39,412	25,235
1989	83,301	17,271	357,015	46,081	30,875
1990	97,614	19,466	384,854	48,998	32,028
1991	111,394	19,039	440,259	51,533	32,734
1992	139,704	22,293	552,959	64,345	43,166
1993	154,527	20,015	616,316	69,322	44,206
1994	174,945	25,062	674,681	75,878	50,659
1995	200,813	27,759	863,918	87,416	62,163
1996	230,808	30,643	1,061,493	103,973	78,481
1997	265,251	33,633	1,264,168	115,673	93,070
1998	300,593	36,846	1,540,975	134,659	120,693
1999	335,121	38,619	1,790,256	151,966	145,979
2000	348,053	39,847	1,724,549	169,238	172,211
2001	366,568	41,962	1,682,218	174,389	147,645
2002	388,204	43,158	1,573,083	181,735	146,999
2003	403,638	43,624	1,922,021	186,740	141,443
2004	418,553	44,407	2,188,733	203,867	166,731
2004r 5/		*53,100*			
2005	436,207	54,623	2,395,792	223,533	189,822
2006	465,653	58,351	2,768,242	251,233	229,217
2007	490,917	59,566	2,981,522	273,235	262,108
2008	511,583	59,976	2,230,188	285,773	233,452
2009	512,464	60,285	2,734,064	258,357	208,467
2010	518,675	60,510	3,142,141	267,584	245,474
2011	513,496	61,371	3,146,851	285,679	252,692
2012	516,293	63,088	3,530,122	306,092	284,677
2013	527,047	64,495	4,179,351	327,886	328,680

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ 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.

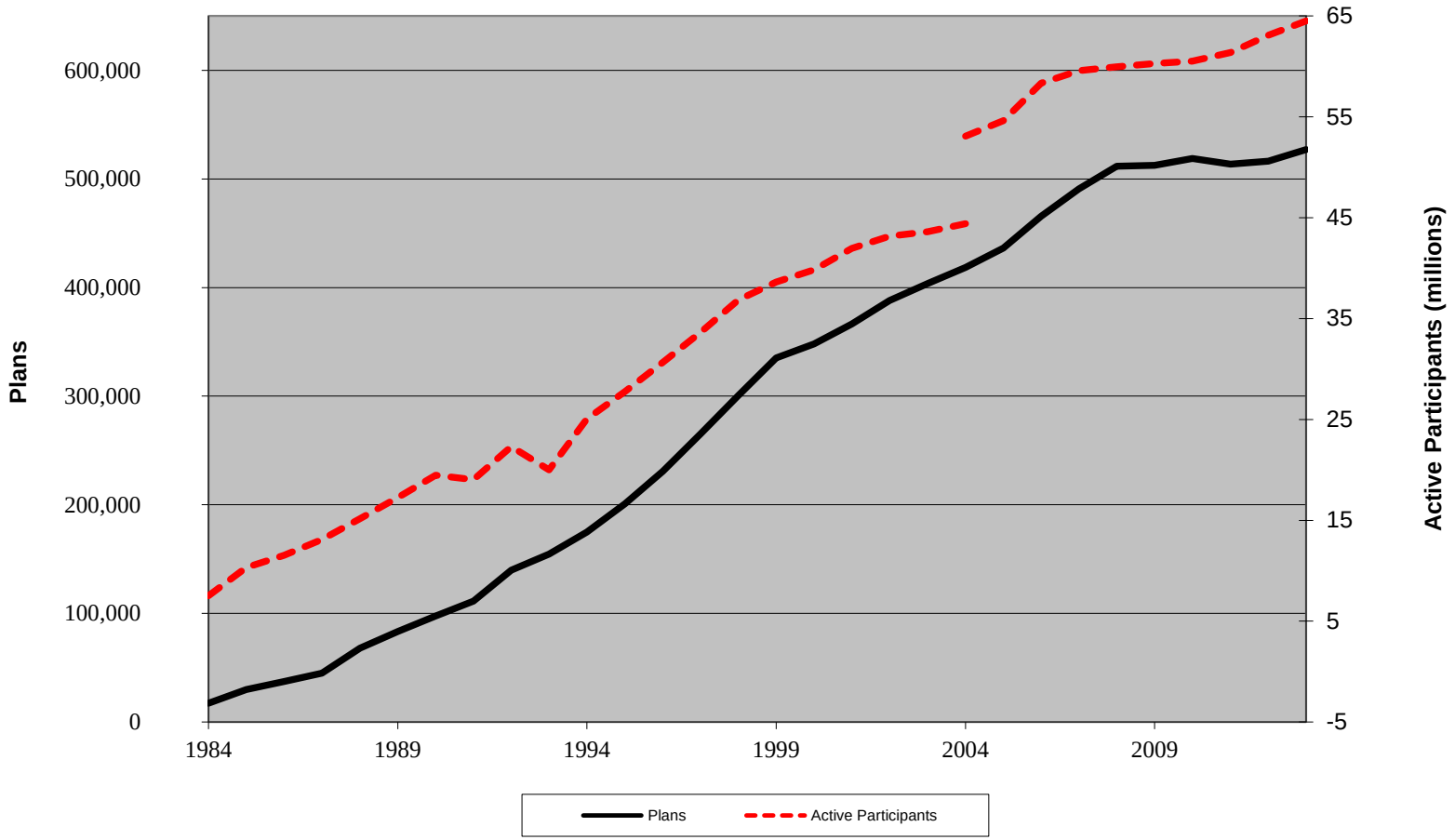
3/ Includes both employer and employee contributions.

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.

5/ The row 2004r shows active participants for 2004 computed using the revised definition summarized in the note above.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E20g1. Number of 401(k) Type Plans and Active Participants
1984-2013



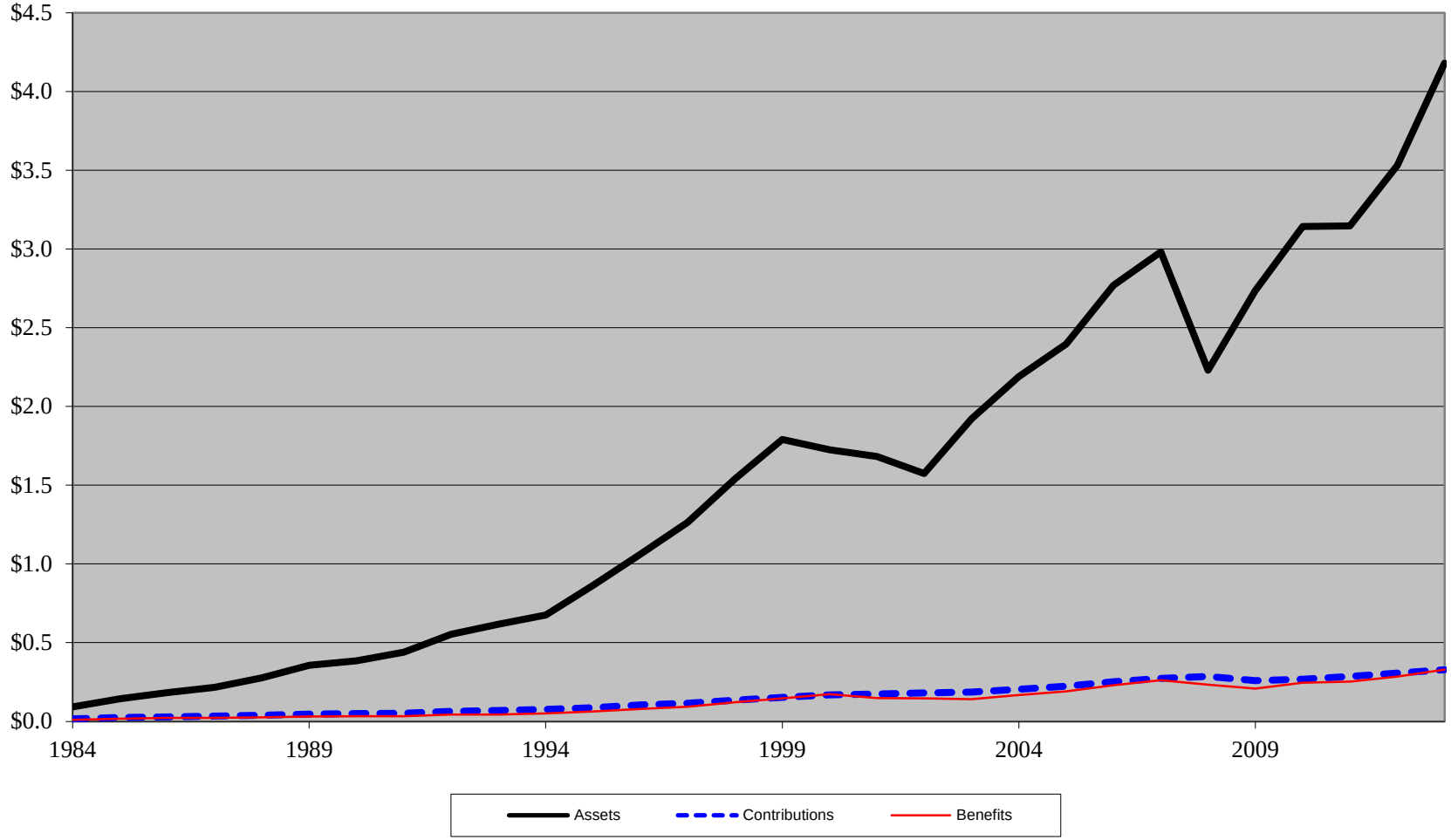
NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix for more details. As in previous bulletins, the term "Participants" refers to active, retired, and separated vested participants 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."

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Graph E20g2. Assets, Contributions, and Benefit Payments of 401(k) Type Plans
1984-2013

(amounts in trillions)



NOTE: Excludes "one-participant plans."
SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E21. Aggregate Rates of Return Earned
by Pension Plans with 100 or More Participants, 1994-2013

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/			Total 401(k)	Total ESOP
	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution	Total	Defined Benefit	Defined Contribution		
1994	2.9	2.2	3.8	2.7	1.8	3.8	4.4	4.5	3.9	3.7	4.1
1995	20.8	21.4	20.0	21.0	21.6	20.3	19.5	20.5	11.8	20.5	22.9
1996	14.9	14.8	15.0	15.0	14.9	15.2	13.8	14.3	9.6	14.8	18.4
1997	17.9	16.8	19.3	18.0	16.6	19.5	17.1	17.5	13.6	19.4	23.8
1998	14.9	14.2	15.8	15.3	14.6	15.9	11.9	12.2	9.6	12.0	17.0
1999	13.2	13.8	12.5	13.6	14.6	12.6	10.2	10.5	7.5	12.8	10.3
2000	-1.7	-0.4	-3.0	-1.9	-0.6	-3.1	0.4	0.4	0.7	-3.8	-1.3
2001	-5.1	-4.3	-6.0	-5.5	-4.8	-6.2	-2.1	-2.2	-1.2	-6.4	-4.8
2002	-9.3	-7.9	-10.6	-9.8	-8.5	-10.9	-5.4	-5.6	-3.8	-11.4	-10.2
2003	18.2	18.5	17.9	19.1	20.3	18.2	10.8	11.0	9.8	18.5	19.0
2004	11.0	11.7	10.3	11.0	11.7	10.4	11.1	11.5	8.4	10.3	11.1
2005	7.5	8.6	6.5	7.6	8.9	6.6	7.2	7.4	6.2	6.3	6.2
2006	12.4	12.5	12.4	12.6	12.8	12.5	10.8	11.2	8.7	12.4	14.0
2007	8.5	9.5	7.6	8.5	9.6	7.6	8.7	8.8	8.2	7.5	5.3
2008	-21.6	-19.1	-23.9	-22.4	-19.9	-24.3	-15.2	-15.8	-12.4	-24.9	-21.9
2009	15.2	12.2	17.7	16.8	14.4	18.4	3.6	3.3	4.6	18.8	15.0
2010	12.5	13.2	12.0	12.4	13.0	12.0	12.9	13.6	11.0	12.3	13.2
2011	2.6	5.4	0.6	2.3	5.4	0.4	5.3	5.6	4.3	2.8	2.0
2012	11.1	11.5	10.9	11.5	12.2	11.0	8.4	8.1	8.9	11.1	11.2
2013	15.0	11.0	17.9	15.1	10.4	18.1	13.9	13.9	14.0	18.4	18.9
Geo. mean 3/											
1994-2013	7.5	7.8	7.2	7.6	8.0	7.2	7.1	7.2	6.0	7.1	8.1
2004-2013	6.8	7.2	6.5	6.9	7.4	6.5	6.3	6.4	6.0	6.8	6.9
2009-2013	11.2	10.6	11.6	11.5	11.0	11.8	8.7	8.8	8.5	12.5	11.9
2011-2013	9.5	9.3	9.6	9.5	9.3	9.6	9.1	9.2	9.0	10.6	10.5
Std. deviation 4/											
1994-2013	10.4	9.6	11.2	10.7	10.0	11.4	7.9	8.2	6.2	11.4	11.3
2004-2013	10.3	9.2	11.4	10.7	9.6	11.7	7.9	8.2	6.8	11.8	10.9
2009-2013	4.6	2.7	6.3	5.0	3.1	6.5	4.1	4.2	3.7	5.9	5.7
2011-2013	5.2	2.7	7.1	5.4	2.9	7.3	3.6	3.5	4.0	6.4	6.9

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Rates of return have been derived directly from tables C4-C11 and from similar published summary tables for prior years. The rate of return formula is the same as that described in Chapter 12 of the 1989 DOL volume entitled "Trends in Pensions," except that the return formula used here refines the treatment of receivables. The receivable line item called "income receivables," which first appeared on the 1988 form, is not deducted from total assets because such assets may produce investment income. The formula makes no adjustment for reporting periods other than one year, which are reported on approximately 3 percent of Form 5500 filings. Because the Form 5500 does not provide information on the timing of cash flows during the year, a time weighted rate of return cannot be derived. The formula used assumes that all cash flows occur in the middle of the plan's reporting period. The cash flow for which this assumption is most uncertain is contributions. The overall 1994 rate of return reported as 2.9 percent could be as low as 2.80 percent or as high as 2.98 percent depending on the assumption regarding the timing of contributions during the year. The overall 1995 rate of return reported as 20.8 percent could be as low as 20.15 percent or as high as 21.53 percent.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ 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/ The geometric mean is computed by (1) adding one to the aggregate rate of return for each of the n years, (2) taking the product of the sums, (3) taking the nth root of the product, and (4) subtracting one.

4/ Standard deviation formula uses a denominator definition of n, not n-1.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E22. Aggregate Investment Performance
of Pension Plans with 100 or More Participants, 1994-2013
(amounts in millions)

Year	Average Investable Assets 1/	Investment Income 2/	Appreciation			Total DFE Income 3/	Total Return on Invest. 4/	Total Rate of Return 5/	Growth of Investable Assets 6/
			Realized	Unrealized	Total				
1994	1,961,820	43,012	1,871	-10,567	-8,696	22,283	56,599	2.9	8.5
1995	1,975,258	48,331	32,145	120,317	152,462	210,447	411,240	20.8	0.7
1996	2,383,830	50,844	27,349	87,761	115,110	189,439	355,393	14.9	20.7
1997	2,699,052	53,862	51,788	122,825	174,613	254,663	483,138	17.9	13.2
1998	3,108,337	51,457	34,043	106,324	140,367	271,865	463,689	14.9	15.2
1999	3,491,526	53,347	33,283	73,494	106,777	300,702	460,826	13.2	12.3
2000	3,838,358	54,407	22,270	-55,114	-32,844	-85,899	-64,336	-1.7	9.9
2001	3,700,522	41,840	-13,301	-66,097	-79,398	-152,829	-190,387	-5.1	-3.6
2002	3,500,968	37,589	-25,116	-100,699	-125,815	-236,574	-324,800	-9.3	-5.4
2003	3,174,478	35,218	17,466	131,616	149,082	392,454	576,754	18.2	-9.3
2004	3,736,633	36,202	26,835	78,971	105,806	269,253	411,261	11.0	17.7
2005	4,155,349	40,654	3,450	55,075	58,525	214,458	313,637	7.5	11.2
2006	4,484,389	50,063	27,512	96,412	123,924	383,956	557,943	12.4	7.9
2007	5,019,244	54,646	34,829	40,992	75,821	295,435	425,902	8.5	11.9
2008	5,337,421	48,275	-45,341	-261,166	-306,507	-895,739	-1,153,971	-21.6	6.3
2009	4,179,449	55,776	-11,160	83,318	72,158	506,236	634,170	15.2	-21.7
2010	4,991,896	60,957	23,655	97,902	121,557	275,518	458,032	9.2	19.4
2011	5,519,982	69,291	20,567	14,849	35,416	40,749	145,456	2.6	10.6
2012	5,618,427	78,287	25,019	74,607	99,626	446,153	624,066	11.1	1.8
2013	6,162,643	96,743	31,914	122,570	154,484	669,695	920,922	14.9	9.7
Geo. mean /7									
1994-2013								7.3	6.3
2004-2013								6.5	6.9

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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 allocated group insurance contracts for payment of retirement benefits.

1/ Average of beginning-of-year and end-of-year levels of all assets except contributions receivable and value of buildings and other property used in plan operations minus one-half of total return.

2/ Sum of interest, dividends, and rents.

3/ The DFE category includes direct filing entities (common/collective trusts, master trusts, 103-12 investment entities, and pooled separate accounts) and funds invested through registered investment companies and insurance company general accounts.

4/ Sum of investment income, total appreciation, and total DFE income.

5/ Total return as a percentage of average investable assets. See the third note on Table E21.

6/ Percentage increase in average investable assets (column 1) from previous year to current year.

7/ The geometric mean is computed by (1) adding one to the rate for each of the n years, (2) taking the product of the sums, (3) taking the nth root of the product, and (4) subtracting one.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E23. Aggregate Rates of Return Earned
by Employee Stock Ownership Plans and 401(k) Plans
with 100 or More Participants, 1999-2013

Year	401(k)	Employee Stock Ownership Plans		
		Total	Nonleveraged	Leveraged
1999	12.8	10.3	11.2	9.6
2000	-3.8	-1.3	-3.2	0.8
2001	-6.4	-4.8	-6.0	-3.5
2002	-11.4	-10.2	-12.8	-6.8
2003	18.5	19.0	19.9	17.5
2004	10.3	11.1	10.9	11.4
2005	6.3	6.2	6.3	6.0
2006	12.4	14.0	13.5	15.2
2007	7.5	5.3	4.9	6.5
2008	-24.9	-21.9	-23.4	-16.1
2009	18.8	15.0	15.7	12.2
2010	12.0	13.2	13.2	13.3
2011	2.8	2.0	1.6	3.4
2012	11.1	11.2	11.3	10.9
2013	18.1	18.9	19.3	17.1
Geometric mean 1/				
1999-2013	4.9	5.2	4.8	6.1
2004-2013	6.7	6.9	6.6	7.6
2009-2013	12.4	11.9	12.1	11.3
2011-2013	10.5	10.5	10.5	10.3
Std. deviation 2/				
1999-2013	12.0	11.1	11.9	9.2
2004-2013	11.8	10.9	11.4	9.0
2009-2013	5.8	5.7	5.9	4.5
2011-2013	6.3	6.9	7.2	5.6

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Total participant and active participant definitions were changed beginning with the 2005 Private Pension Plan Bulletin. See the Changes to Participant Counts Appendix 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/ The geometric mean is computed by (1) adding one to the aggregate rate of return for each of the n years, (2) taking the product of the sums, (3) taking the nth root of the product, and (4) subtracting one.

2/ Standard deviation formula uses a denominator definition of n, not n-1.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E24. Number of 401(k) Type Plans and Assets
by extent of participant direction of investments, 1999-2013

Year	Total		Participant Directs All Investments		Participant Directs Investment of Portion Of Assets 1/		Participant Does Not Direct Any Investments	
	Number of Plans	Total Assets (millions)	Number of Plans	Total Assets (millions)	Number of Plans	Total Assets (millions)	Number of Plans	Total Assets (millions)
1999	335,121	$1,790,256	249,778	$1,045,465	19,368	$473,418	65,975	$271,374
2000	348,053	1,724,549	276,098	1,072,245	19,475	494,478	52,480	157,827
2001	366,568	1,682,218	297,927	1,046,211	19,215	475,633	49,426	160,373
2002	388,204	1,573,083	317,394	986,915	20,537	446,551	50,273	139,618
2003	403,638	1,922,021	334,121	1,240,002	20,813	524,762	48,703	157,257
2004	418,553	2,188,733	349,158	1,449,725	20,799	565,447	48,596	173,561
2005	436,207	2,395,792	366,807	1,628,580	20,309	576,020	49,091	191,191
2006	465,653	2,768,242	394,729	1,952,161	20,272	627,705	50,652	188,377
2007	490,917	2,981,522	418,491	2,195,732	19,999	597,025	52,428	188,766
2008	511,583	2,230,188	438,216	1,701,194	18,828	389,689	54,540	139,305
2009	512,464	2,734,064	444,151	2,150,400	16,982	434,851	51,331	148,813
2010	518,675	3,142,141	452,143	2,503,044	16,303	481,389	50,229	157,708
2011	513,496	3,146,851	448,389	2,524,741	15,708	469,925	49,399	152,184
2012	516,293	3,530,122	453,349	2,858,967	15,819	509,076	47,124	162,079
2013	527,047	4,179,351	464,081	3,435,102	15,346	563,532	47,621	180,717

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

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/ Generally, the portion would consist of employee contributions.

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E25. Number of Total and Active Participants in 401(k) Type plans
by extent of participant direction of investments, 1999-2013

(numbers in thousands)

Year	Total		Participant Directs All Investments		Participant Directs Investment of Portion Of Assets 1/		Participant Does Not Direct Any Investments	
	Total Participants	Active Participants	Total Participants	Active Participants	Total Participants	Active Participants	Total Participants	Active Participants
1999	46,203	38,619	31,487	26,571	8,006	6,484	6,710	5,564
2000	48,348	39,847	35,288	29,330	8,546	6,810	4,515	3,707
2001	51,814	41,962	38,161	31,115	9,369	7,418	4,285	3,429
2002	53,296	43,158	39,732	32,379	9,518	7,506	4,046	3,272
2003	53,842	43,624	41,116	33,679	9,139	7,091	3,588	2,854
2004	54,892	44,407	42,001	34,197	9,249	7,273	3,641	2,937
2005	65,652	54,623	51,553	43,224	10,456	8,480	3,643	2,920
2006	70,295	58,351	55,816	46,674	10,739	8,693	3,740	2,983
2007	72,178	59,566	58,822	48,958	9,820	7,817	3,536	2,791
2008	73,156	59,976	60,961	50,294	8,581	6,813	3,614	2,870
2009	72,499	60,285	62,023	51,836	7,455	5,994	3,021	2,455
2010	72,165	60,510	63,472	53,707	6,155	4,750	2,537	2,052
2011	72,968	61,371	64,578	54,774	5,939	4,587	2,450	2,010
2012	74,881	63,088	66,804	56,713	5,728	4,472	2,348	1,903
2013	76,640	64,495	69,144	58,685	5,210	3,965	2,285	1,845

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Excludes "one-participant plans."

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

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Table E26. Contributions and Benefits of 401(k) Type Plans
by extent of participant direction of investments, 1999-2013
(amounts in millions)

Year	Total		Participant Directs All Investments		Participant Directs Investment of Portion Of Assets 1/		Participant Does Not Direct Any Investments	
	Total Contributions	Total Benefits	Total Contributions	Total Benefits	Total Contributions	Total Benefits	Total Contributions	Total Benefits
1999	$151,966	$145,979	$100,426	$85,874	$28,093	$37,480	$23,446	$22,625
2000	165,978	167,790	117,286	104,150	33,667	48,408	15,025	15,231
2001	170,977	143,599	122,760	91,277	33,652	39,886	14,564	12,437
2002	179,044	144,662	128,925	92,096	36,426	41,304	13,693	11,261
2003	184,281	139,460	134,742	93,350	36,874	36,555	12,664	9,554
2004	201,997	164,134	150,497	110,669	38,690	42,550	12,810	10,915
2005	222,427	188,968	167,809	130,261	39,096	46,196	15,522	12,511
2006	251,233	229,217	195,871	162,533	41,307	53,235	14,055	13,450
2007	270,651	259,174	216,415	191,103	39,933	53,229	14,303	14,842
2008	284,107	232,056	225,115	181,277	36,685	38,293	22,307	12,485
2009	257,737	207,957	212,682	166,243	32,323	31,650	12,732	10,065
2010	267,219	244,963	224,497	196,840	31,197	37,089	11,524	11,035
2011	284,617	251,459	241,158	205,394	31,857	35,674	11,603	10,391
2012	305,529	284,103	261,535	235,634	32,301	37,553	11,692	10,916
2013	327,438	328,064	283,596	273,200	32,007	42,333	11,835	12,531

NOTE: Beginning with the 2010 Private Pension Plan Bulletin, a sample of small plans is no longer used. Rather, all small plans are now included on the Private Pension Plan Research File. As a result, certain statistics may not be directly comparable between 2009 and 2010. Please see the Private Pension Plan Research File User Guide and the Sampling Methodology Changes Appendix of this document for more information.

NOTE: Beginning with the 2002 Private Pension Plan Bulletin, the data for a given calendar year reflects filings for plan years that in general end, rather than begin, in that calendar year. Please see the Timing Definition Changes Appendix for more details.

NOTE: Includes both employer and employee contributions.

NOTE: 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.

NOTE: Excludes "one-participant plans."

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

SOURCE: Form 5500 filings with the U.S. Department of Labor.

Appendix A: Notes on Changes to the *Private Pension Plan Bulletin Historical Tables*

December 2011 Update

- On Table E5, page 5, the "Total" column under the "Total Plans" section, which had been missing in the 2008 Data Release Version of these tables, was inserted.
- On Table E21, page 28, the aggregate rate of return earned by ESOPs in 2008 was updated to correct an improperly calculated value.
- On Table E23, page 30, the aggregate rates of return earned by total, nonleveraged, and leveraged ESOPs were updated to correct improperly calculated values.

March 2012 Update

- All data for 2008 was retabulated using the final *2008 Form 5500 Private Pension Plan Research File*. In the 2008 and 2009 Data Release Versions of these tables, all statistics were tabulated using a version of the *2008 Form 5500 Private Pension Plan Research File* that was not final.

August 2012 Update

- The Table of Contents and bookmarks were updated to match the title and date range of each table.

November 2012 Update

- The 2010 Data Release Version includes aggregate statistics on 2010 Form 5500 filings.
- Appendix B: Sampling Methodology Changes was added to outline changes made to the *Private Pension Plan Bulletin* beginning with 2010 data. The other appendices were renamed due to this addition.
- The renamed Appendix C: Weighting Methodology Changes was rewritten to better outline the methodologies used and the years in which each was used.

- Data on Table E9 and Table E10 were corrected for years 2004-2009. Previously, division of plans into those with 100 or more active participants and fewer than 100 active participants was made using total participants instead of active participants.

June 2013 Update

- The 2011 Data Release Version includes aggregate statistics on 2011 Form 5500 filings.

August 2014 Update

- The 2012 Data Release Version includes aggregate statistics on 2012 Form 5500 filings.
- Appendix B: Changes to Entity Type Classification Originating with the 2012 Form 5500 Private Pension Plan Research File was added to outline changes made to the *Private Pension Plan Bulletin* beginning with 2012 data. The other appendices were renamed due to this addition.

December 2014 Update

- The values published for year 2012 did not reflect the most recent version of the *2012 Private Pension Plan Bulletin*. This version corrects that issue.

June 2015 Update

- The 2013 Data Release Version includes aggregate statistics on 2013 Form 5500 filings.

Appendix B: Changes to Entity Type Classification Originating with the *2012 Form 5500 Private Pension Plan Research File*

The Form 5500 allows for filers to identify themselves as multiemployer plans, single-employer plans, multiple-employer plans, or Direct Filing Entities (DFE) in Part IA. The Form 5500-SF allows for filers to identify themselves as single-employer plans, multiple-employer plans, or a one-participant plan in Part IA. For purposes of the *Private Pension Plan Research File*, DFEs and one-participant plans are not included. For the summary tables presented in this Bulletin, multiple-employer plans are included in the columns for either single-employer or multiemployer plans. As a general rule, multiple-employer plans that also identify as collectively bargained are included with the multiemployer plans, while those that do not identify as collectively bargained are included with the single-employer plans.

Historically, the number of multiemployer plans has been overstated due to filer error and to data processing issues with the completed Form 5500 filings.[1] As a result, certain data cleaning methods have been employed to more accurately reflect the mix of plans. These methods have included automated edits based on plan name, manual edits based on the plan name, and the judgment of individuals preparing the *Private Pension Plan Research File*.[2] While these methods have produced reasonable estimates, opportunities to improve are always being explored.

Beginning with the 2012 Private Pension Plan Research File, data from the Pension Benefit Guaranty Corporation (PBGC) is being used to improve the accuracy of the estimates. The Multiemployer Pension Plans and Single-Employer Pension Plans datasets were downloaded from http://www.pbgc.gov/open/index.html on May 19, 2014. For more information on the PBGC and these datasets, please visit the website referenced above. These datasets were matched with the Form 5500 data to be used in the 2012 Private Pension Plan Research File. In the event that PBGC's plan designation disagreed with the Research File's plan designation (which may be based on either the original filing or edited), then the PBGC's designation was used. The result of using the PBGC's data was a shift of 25 plans from multiemployer to single-employer and 24 plans from single-employer to multiemployer. This led to a net shift of approximately 260,000 participants and $40 billion in assets from multiemployer to single-employer.

[1] For more information, see Appendix C.
[2] For the current methodology, see the Pension User Guide under Form 5500 Private Pension Plan Research Files at http://www.dol.gov/ebsa/publications/form5500dataresearch.html.

Appendix C: Sampling Methodology Changes Originating with the *2010 Form 5500 Private Pension Plan Research File*

In preparing the *Private Pension Plan Research File*, the Employee Benefits Security Administration (EBSA) of the Department of Labor's (the Department) Office of Policy and Research (OPR) has historically utilized a sampling methodology to compile aggregate statistics regarding the composition of the employer-sponsored pension plan universe. Specifically, OPR created a dataset consisting of information from all Form 5500 pension filings for plans with 100 or more participants and a five percent sample of Form 5500 pension filings for plans with fewer than 100 participants. For reasons discussed below, this five percent sampling methodology for small pension plans has been revised beginning with the *2010 Private Pension Plan Research File*.

As discussed in detail in the Appendix to the *2009 Form 5500 Private Pension Plan Bulletin*[1], beginning on January 1, 2010, the Department implemented a new electronic filing system whereby filers upload completed Form 5500s electronically using IFILE or EFAST2-approved vendor software. The electronic filing system increased the accuracy of the Form 5500 data which the Department uses to compile aggregate statistics. The improved accuracy occurred in large part due to the fact that the Department no longer has to scan paper filings in order to compile electronic data. Previously, many of the logical errors found in the Form 5500 data were introduced through this scanning process. Editing these errors in data was a time-consuming process even when using only a five percent sample of small plans. With this impediment removed, it became possible to incorporate all Form 5500 filings.

Finally, a consideration for historically using a five percent sample of small plans was computing power. In previous years, the sample taken was quite large, with more than 100,000 observations and 300 variables. If all plans had been included, this dataset would have increased in size by a factor of seven, making manipulation of the data extremely cumbersome, particularly with older technology. With new and faster technology, a dataset of this size is no longer too large, clearing the way for a complete, un-sampled dataset. For more information, please see the *User Guide for 2010 Private Pension Plan Research File*[2].

[1] Available at http://www.dol.gov/ebsa/publications/form5500dataresearch.html
[2] Will be available on the same hyperlink above.

Appendix D: Weighting Methodology Changes

As discussed in detail in the *2009 Form 5500 Private Pension Plan Research File User Guide*, the *Form 5500 Private Pension Plan Research File* uses weights to adjust the underlying data for missing Form 5500 filings – filings that have either not been received, not been processed, or were never completed. Weights for the *Private Pension Plan Bulletin* are calculated by defining the universe of plans, stratifying plans by size and type, creating a sample of plans, and then dividing the number of plans in the universe by the number of plans in the sample for each stratum.[3] The *Private Pension Plan Research File* is comprised of all large plans (defined as plans with 100 or more participants), all mega plans (defined as plans with $2.5 billion or more in assets), and all small plans (defined as plans with fewer than 100 participants). Thus, weights for all plans are close to one. As discussed in Appendix B, prior to the *2010 Form 5500 Private Pension Plan Research File*, a five percent sample of small plans was used. Therefore, weights for small plans in those years were close to 20. During the years in which the Department has published *Form 5500 Private Pension Plan Bulletins*, two methods for determining weights have been in use.

"Straddling"

For the first method, weights were calculated by tabulating a universe of pension plan filings consisting of all plan filings for the publication year along with all plan filings submitted in either of the prior two years and the year following (a "straddling" weighting methodology). (For example, the *2004 Private Pension Plan Research File* used weights calculated from a universe of all 2004 filings along with all filings submitted in **either** 2002 or 2003 **and** 2005.) This universe was divided into five strata: mega plans, large defined benefit plans, large defined contribution plans, small defined benefit plans, and large defined contribution plans. Next, the Department compiled the plans to be used as the basis of the *Form 5500 Private Pension Plan Research File*. This sample was stratified in the same manner as the universe. The weight for each stratum was calculated as the number of plans in the universe divided by the number of plans in the sample. One limitation of this method is that it can only be used when data from the following plan year is available. This is not always the case.

[3] For a more detailed explanation of the methodology for adding weights to the *Private Pension Plan Research File*, please see the current *Form 5500 Private Pension Plan Research File User Guide* available at http://www.dol.gov/ebsa/publications/form5500dataresearch.html.

"Adjusted Non-Terminating Plans"

In response to this limitation, the Department considered a weighting methodology based on a universe of the Form 5500 pension plan filings for the prior year which incorporates indications of the plan's intention to terminate (a "non-terminating plans" weighting methodology). The universe using this method consisted of all plans filed for the publication year along with all plans that filed in the prior year and did not indicate termination. Comparison of the "straddling" weighting methodology with the "non-terminating plans" weighting methodology revealed that the "non-terminating plans" methodology produced weights significantly higher than those produced using the "straddling" methodology. To adjust for the differences in the methodologies, the Department created a historical adjustment factor using a weighted average of the difference between the two methods for the prior two years. To do so, both methods for calculating weights were applied to the two previous *Form 5500 Private Pension Plan Research Files*; for example, for the *2005 Form 5500 Private Pension Plan Research File*, weights using both methods were calculated for the *2003* and *2004 Form 5500 Private Pension Plan Research Files*. The Department then calculated adjustment factors to transform the "non-terminating plans" weight to the calculated "straddling" weight for each of the two plan years. An arithmetic average of the adjustment factors for the two years for each stratum was then applied to the "non-terminating plans" weight calculated for the publication year, arriving at an "adjusted non-terminating plans" method weight – a close approximation to the "straddle" method weight.

2004 and Earlier *Form 5500 Private Pension Plan Research Files*

For all *Form 5500 Private Pension Plan Research Files* up to and including the 2004 publication, the "straddling" weighting methodology was in use. For each of these publication years, the data for the year following was considered complete, and the "straddling" weighting methodology was deemed sufficient.

2005-2008 *Form 5500 Private Pension Plan Research Files*

Beginning with the *2005 Private Pension Plan Research File*, the production date for the *Form 5500 Private Pension Plan Research File* and *Form 5500 Private Pension Plan Bulletin* was advanced. As a result of the new publication schedule, the 2006 Form 5500 data were not sufficiently complete to continue using the "straddling" weighting methodology. The same issue was present in publication years 2006, 2007, and 2008. Therefore, for these publication years, the "adjusted non-terminating plans" weighting methodology was used.

2009 Form 5500 Private Pension Plan Research File

For the *2009 Private Pension Plan Research File*, the Department returned to using the "straddling" weighting methodology. Effective January 1, 2010, the Department required that all Form 5500 and related Schedules and Attachments be filed electronically through the EFAST2 processing system. Prior to January 1, 2010, some employee benefit plans mailed paper Form 5500 filings to the Department. Paper Form 5500 filings were entered into an electronic Form 5500 database using optical character recognition (OCR) scanning software. This OCR process sometimes produced inconsistencies between the paper Form 5500 filings and the electronic Form 5500 database.

One result of the transition to total electronic filings is the immediate availability of Form 5500 data. Therefore, the data for the following plan year is complete at the time of the *Private Pension Plan Bulletin* publishing date. For example, the *2006 Form 5500 Private Pension Plan Research File* was created between August and December of 2008; by the end of September 2008, the 2007 Form 5500 pension data consisted of only 54 percent of the 2006 Form 5500 pension plan filings that did not indicate an intention to terminate. Corresponding percentages for October, November, and December were 65, 71, and 88 percent respectively. The percentage of 2006 Form 5500 pension plan filings that did not indicate an intention to terminate present in the 2007 Form 5500 pension data did not reach its maximum of 93 percent until October of 2009.[4] In contrast, by October of 2011, 94 percent of 2009 Form 5500 pension plan filings that did not indicate an intention to terminate in their 2009 filing had a corresponding 2010 filing. Therefore, the Department deemed the 2010 data complete as of October 2011 and reverted to using the "straddle" weighting method. The *2009 Form 5500 Private Pension Plan Bulletin* was published in December of 2011.

2010 and Later *Form 5500 Private Pension Plan Research File*

After publication of the *2009 Form 5500 Private Pension Plan Bulletin*, the Department accelerated the publishing schedule of future *Form 5500 Private Pension Plan Bulletins* (to approximately November 2012 for the *2010 Form 5500 Private Pension Plan Bulletin* and to approximately July 2013 for the *2011 Form 5500 Private Pension Plan Bulletin*). Due to this acceleration, data for the year following the publication year is not complete during creation of the *Form 5500 Private Pension Plan Research Files*. Thus, for 2010 and subsequent years, the "adjusted non-terminating plans" weighting methodology is used.

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[4] The Form 5500 data will never be 100 percent complete as a portion of private pension plans terminate without indicating their intention to terminate on the Form 5500. For purposes of the *Private Pension Plan Research File*, the Department uses an essentially complete definition.

Appendix E: Changes to Participant Counts Originating with the *2005 Form 5500 Private Pension Plan Research File*

Prior to 2005, the IRS Form 5500 Schedule T provided information on line 4c(5) allowing the Employee Benefits Security Administration (EBSA) to adjust the number of "active participants" actually reported on line 7g of the main Form 5500[1] to exclude two groups of individuals:

1. Individuals eligible to participate in a 401(k) plan who had not elected to have their employers make contributions and
2. Non-vested former employees who had not (at the time the Form 5500s were submitted) incurred the break in service period established by their plan.

In 2005 the IRS discontinued the Form 5500 Schedule T, necessitating changes in the methodology of defining an "active participant" for the *Form 5500 Private Pension Plan Research Files* and the corresponding *Private Pension Plan Bulletins*. Beginning in 2005, the number of "active participants" is no longer adjusted and instead corresponds directly to the definition of "active participant" provided in the Form 5500 Instructions which states,[2]

> *Active participants include any individuals who are currently in employment covered by a plan and who are earning or retaining credited service under a plan. This category includes any individuals who are eligible to elect to have the employer make payments to a Code section 401(k) qualified cash or deferred arrangement. Active participants also include any nonvested individuals who are earning or retaining credited service under a plan. This category does not include* ***(a)*** *nonvested former employees who have incurred the break in service period specified in the plan or* ***(b)*** *former employees who have received a "cash-out" distribution or deemed distribution of their entire nonforfeitable accrued benefit.*

Additionally, prior to 2005, "total participants" also excluded the two groups of individuals described above.

[1] For a more detailed explanation of the methodology used for creating counts of "active participants" prior to the *2005 Private Pension Plan Bulletin*, please see the current *Form 5500 Private Pension Plan Research File User Guide* available at *http://www.dol.gov/ebsa/publications/form5500dataresearch.html*.
[2] Form 5500 Forms and Instructions are available at *http://www.dol.gov/ebsa/5500main.html*.

EBSA adjusted the reported active participant counts to provide a statistic which more accurately reflects the definition used for research purposes. Although ERISA classifies the above groups of individuals as "active" participants, these groups of individuals are not "active" in the more intuitive sense – i.e., these individuals are not contributing to the pension plan and are not entitled to receive benefits from the plan. The individuals in the first group above are merely qualified to participate in the plan; they do not have account balances and are not contributing or receiving contributions from their employers. The individuals in the second group above were not employed with the plan's sponsor long enough to have qualified to receive benefits under the plan and may only receive benefits if they return to employment with the filing sponsor and remain in service until they vest in their benefits. In a purely economic sense, and for research purposes, individuals in these groups should not be included in the count of active participants.

To illustrate the effect this definitional change has on the counts of active participants, the following tables and graphs detail the number of participants by types of plans using the previous ("Adjusted Actives") and current ("Reported Actives") definitions for plan years 2001-2004.

Table 1. The Adjustment to Active Participants *in Defined Contribution Plans by year, 2001-2004*

(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Current Method	Previous Method	Difference	Current Method	Previous Method	Difference	Current Method	Previous Method	Difference
2001	61,368	51,566	9,802	59,041	49,316	9,725	2,326	2,250	76
2002	61,790	51,845	9,945	58,831	48,976	9,855	2,959	2,868	91
2003	60,554	50,793	9,761	57,610	47,944	9,666	2,944	2,849	95
2004	61,320	51,287	10,033	58,343	48,392	9,951	2,978	2,895	83

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.

Chart 1. The Adjustment to Active Participants in Defined Contribution Plans *by year, 2001-2004*

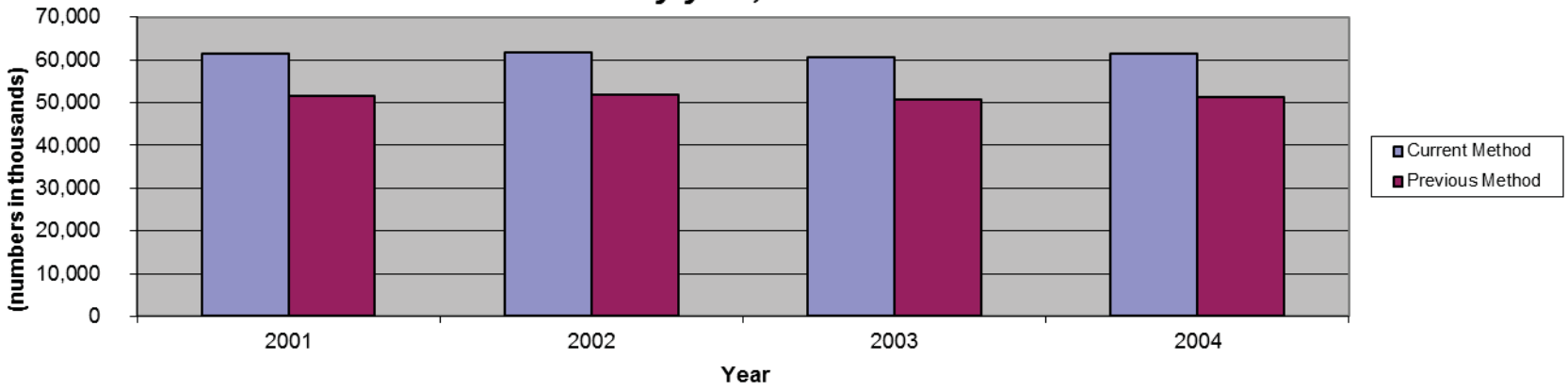

Table 2. The Adjustment to Active Participants *in Defined Benefit Plans by year, 2001-2004*

(numbers in thousands)

Year	Total Plans			Single Employer Plans 1/			Multiemployer Plans 2/		
	Current Method	Previous Method	Difference	Current Method	Previous Method	Difference	Current Method	Previous Method	Difference
2001	22,235	22,089	146	17,251	17,105	146	4,984	4,984	0
2002	21,921	21,633	288	17,218	16,930	288	4,703	4,703	0
2003	21,535	21,304	231	16,845	16,613	232	4,691	4,691	0
2004	20,797	20,586	211	16,168	15,957	211	4,629	4,629	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.

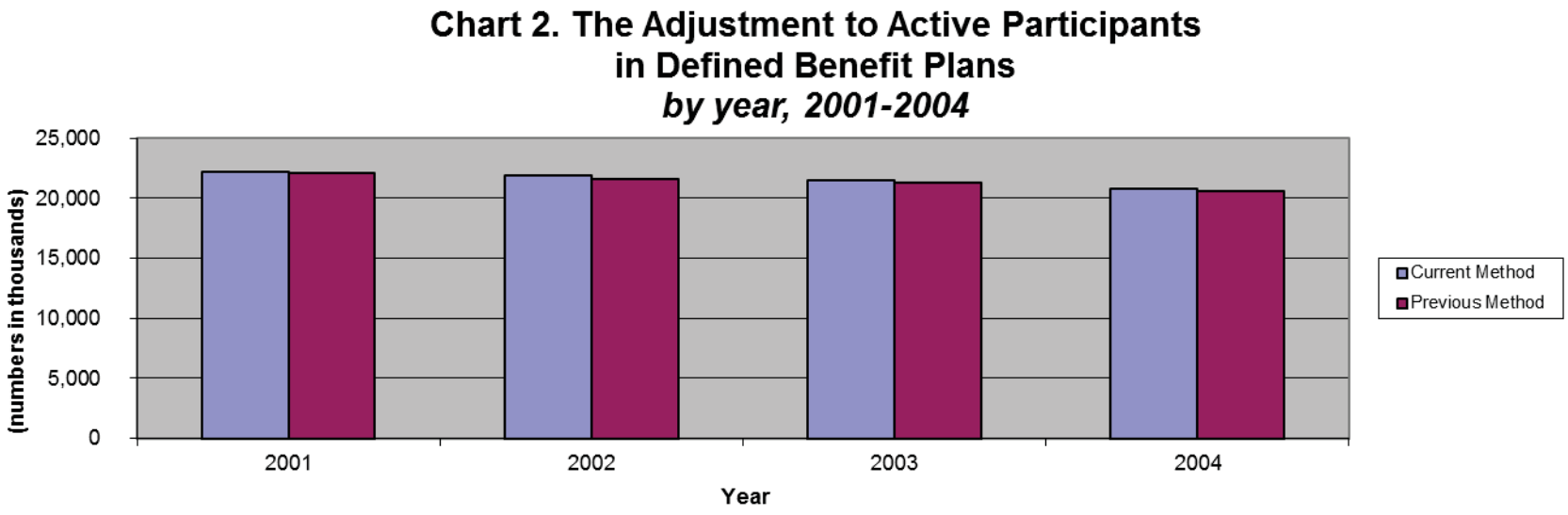
Chart 2. The Adjustment to Active Participants
in Defined Benefit Plans
by year, 2001-2004
25,000
20,000
15,000
10,000
5,000
0
(numbers in thousands)
2001
2002
2003
2004
Year
Current Method
Previous Method

Appendix F: Timing Definition Changes
Originating with the *2002 Form 5500 Private Pension Plan Research File*

Beginning with the *2002 Form 5500 Private Pension Plan Research File*, the data for a given calendar year reflects filings for plan years that end, rather than begin, in the current calendar year. For example, the *2002 Form 5500 Private Pension Plan Research File* and the corresponding *2002 Private Pension Plan Bulletin*, contain data for plans whose plan years end between 1/1/2002 and 12/31/2002, rather than plan years which end between 12/31/2002 and 12/30/2003. This timing definition change does not affect calendar year filers (i.e., plans beginning January 1 and ending December 31), which make up approximately 80 percent of all filers for a given plan year. The chart below summarizes the number of plans with plan year end dates of 12/31/2001, dates ending in each month of 2002 (except for the single day 12/31/2002), and then separately 12/31/2002. The *Form 5500 Private Pension Plan Research Files* generated prior to 2002 contain data corresponding to all but the right-most bar of the chart. Beginning in 2002, the *Form 5500 Private Pension Plan Research Files* and the corresponding *Private Pension Plan Bulletins* contain data corresponding to all but the left-most bar.
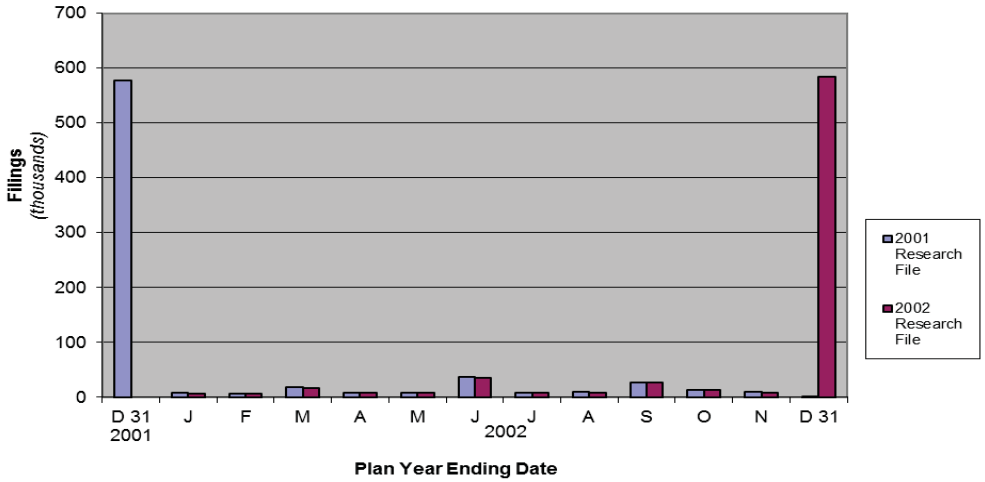
Chart 1: Number of Pension Filings, by Plan Year Ending Date
Data for 2001 and 2002 Form 5500 Private Pension Plan Research Files