

Form 5500 Direct Filing Entity Bulletin
Abstract of 2013 Form 5500 Annual Reports
Data Extracted on 7/2/2015

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September 2015



Version 1.0

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**Table 1. Number of Direct Filing Entities, Assets, Invested Pension Plans, and Invested DFEs
by type of entity, 2013**

| Type of Direct Filing Entity | Number of Entities | Total Assets (millions) | Number of Invested Private Pension Plans 1/ | Number of Invested DFEs 2/ |
|-------------------------------------|---------------------------|--------------------------------|--|---------------------------------------|
| Total | 9,236 | \$4,762,716 | | |
| Common Trust | 3,956 | 1,957,071 | 23,899 | 3,239 |
| Master Trust | 1,585 | 2,136,667 | 2,853 | 54 |
| Pooled Separate Account | 3,211 | 303,703 | 17,693 | 389 |
| 103-12 Investment Entity | 484 | 365,275 | 692 | 208 |

NOTE: Numbers of invested private pension plans and DFEs are based on the Form 5500s of the investing entities and are not dependent on matching investors to investees.

NOTE: Not all assets held by DFEs are covered by ERISA.

1/ Number of invested private pension plans includes multiple counting of plans invested in more than one type of DFE.

2/ Number of invested DFEs includes multiple counting of DFEs invested in more than one type of DFE.

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

**Table 2. Balance Sheet of Direct Filing Entities
by type of entity, 2013**
(amounts in millions)

| Type of Asset | Total | Common Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
|---|------------------|------------------|------------------|-------------------------|--------------------------|
| Total noninterest-bearing cash | \$10,930 | \$3,680 | \$5,619 | \$17 | \$1,613 |
| Employer contrib. receivable | 284 | 6 | 260 | */ | 17 |
| Participant contrib. receivable | 688 | 520 | 166 | */ | */ |
| Other receivables | 106,068 | 36,554 | 56,814 | 3,266 | 9,434 |
| Interest-bearing cash | 232,444 | 127,614 | 79,811 | 9,009 | 16,010 |
| U. S. Government securities | 513,614 | 236,282 | 199,031 | 20,600 | 57,702 |
| Corporate debt instruments: Preferred | 150,499 | 45,949 | 97,556 | 4,588 | 2,407 |
| Corporate debt instruments: All other | 499,560 | 212,561 | 219,508 | 23,395 | 44,096 |
| Preferred stock | 16,766 | 4,508 | 6,347 | 93 | 5,819 |
| Common stock | 1,922,668 | 1,032,368 | 675,276 | 89,715 | 125,309 |
| Partnership/joint venture interests | 182,975 | 12,366 | 134,347 | 9,898 | 26,365 |
| Real estate (except employer real property) | 62,894 | 13,053 | 17,892 | 30,688 | 1,261 |
| Loans (other than to participants) | 29,894 | 19,281 | 6,858 | 2,964 | 791 |
| Participant loans | 672 | 18 | 651 | 1 | 1 |
| Assets in registered investment companies | 500,883 | 68,657 | 314,500 | 107,088 | 10,638 |
| Assets in insurance co. general accounts | 51,724 | 11,366 | 40,306 | 13 | 39 |
| Other general investments | 383,067 | 132,286 | 184,642 | 2,364 | 63,774 |
| Employer securities | 96,904 | - | 96,899 | 5 | - |
| Employer real property | 184 | - | 184 | - | - |
| Buildings and other property used by plan | */ | - | */ | - | - |
| TOTAL ASSETS | 4,762,716 | 1,957,071 | 2,136,667 | 303,703 | 365,275 |

NOTE: Not all assets held by DFEs are covered by ERISA.

*/ Less than \$500,000

- Missing data

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

**Table 3. Distribution of Direct Filing Entities
by type of entity and number of private pension plans invested, 2013**

| Number of Private Pension Plans Invested 1/ | All | Common Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
|--|--------------|---------------------|---------------------|--------------------------------|---------------------------------|
| Total | 9,236 | 3,956 | 1,585 | 3,211 | 484 |
| 0 | 943 | 384 | 131 | 337 | 91 |
| 1 | 1,755 | 878 | 251 | 476 | 150 |
| 2-5 | 3,369 | 1,297 | 1,124 | 775 | 173 |
| 6-50 | 2,436 | 1,204 | 79 | 1,086 | 67 |
| 51-100 | 392 | 96 | - | 293 | 3 |
| 101-200 | 152 | 37 | - | 115 | - |
| 201-300 | 61 | 15 | - | 46 | - |
| 301-400 | 28 | 14 | - | 14 | - |
| 401 or more | 100 | 31 | - | 69 | - |

NOTE: Numbers of investing private pension plans are dependent on matching the Form 5500s of investing entities with the Form 5500s of the DFEs in which those entities are investing. Therefore, due to matching issues outlined in the User Guide: Form 5500 Direct Filing Entity Asset Spreading Bulletin: Abstract of Form 5500, these numbers are not directly comparable to those shown in Tables 1 and 9 of this document.

1/ Number of private pension plans invested includes multiple counting of plans invested in more than one DFE.

- Missing data

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

**Table 4. Distribution of Direct Filing Entities
by type of entity and number of DFEs invested, 2013**

| Number of DFEs Invested 1/ | All | Common Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
|-----------------------------------|--------------|---------------------|---------------------|--------------------------------|---------------------------------|
| Total | 9,236 | 3,956 | 1,585 | 3,211 | 484 |
| 0 | 6,726 | 1,828 | 1,540 | 3,072 | 286 |
| 1 | 1,037 | 840 | 43 | 61 | 93 |
| 2-5 | 975 | 854 | 1 | 42 | 78 |
| 6-50 | 478 | 415 | 1 | 35 | 27 |
| 51-100 | 15 | 14 | - | 1 | - |
| 101-200 | 3 | 3 | - | - | - |
| 201-300 | 2 | 2 | - | - | - |
| 301-400 | - | - | - | - | - |

NOTE: Numbers of investing DFEs are dependent on matching the Form 5500s of investing entities with the Form 5500s of the DFEs in which those entities are investing. Therefore, due to matching issues outlined in the User Guide: Form 5500 Direct Filing Entity Asset Spreading Bulletin: Abstract of Form 5500, these numbers are not directly comparable to those shown in Tables 1 and 9 of this document.

1/ Number of DFEs invested includes multiple counting of entities invested in more than one DFE.

- Missing data

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

**Table 5. Distribution of Direct Filing Entities
by type of entity and amount of assets, 2013**

| Amount of Assets | All | Common Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
|-------------------------|--------------|---------------------|---------------------|--------------------------------|---------------------------------|
| Total | 9,236 | 3,956 | 1,585 | 3,211 | 484 |
| Less than \$0 1/ | 114 | 104 | 2 | 6 | 2 |
| None or not reported | 271 | 112 | 74 | 78 | 7 |
| \$1-24K | 191 | 84 | 10 | 96 | 1 |
| 25-49K | 82 | 19 | 2 | 58 | 3 |
| 50-99K | 109 | 26 | 4 | 78 | 1 |
| 100-249K | 195 | 36 | 2 | 156 | 1 |
| 250-499K | 234 | 45 | 5 | 181 | 3 |
| 500-999K | 300 | 49 | 9 | 233 | 9 |
| 1-2.49M | 529 | 96 | 31 | 392 | 10 |
| 2.5-4.9M | 499 | 127 | 37 | 326 | 9 |
| 5-9.9M | 545 | 203 | 29 | 292 | 21 |
| 10-24.9M | 862 | 378 | 81 | 372 | 31 |
| 25-49.9M | 858 | 380 | 123 | 302 | 53 |
| 50-74.9M | 492 | 267 | 71 | 136 | 18 |
| 75-99.9M | 392 | 196 | 80 | 92 | 24 |
| 100-149.9M | 508 | 275 | 83 | 103 | 47 |
| 150-199.9M | 375 | 198 | 81 | 64 | 32 |
| 200-249.9M | 308 | 172 | 62 | 51 | 23 |
| 250-499.9M | 789 | 417 | 215 | 96 | 61 |
| 500-999.9M | 658 | 348 | 204 | 52 | 54 |
| 1-2.49B | 535 | 270 | 192 | 27 | 46 |
| 2.5B or more | 390 | 154 | 188 | 20 | 28 |

NOTE: Asset amounts for each DFE reported in this table are calculated after assets are spread to the ultimate DFE owner of those assets. Therefore, it is possible that certain DFEs may ultimately control the investment of large amounts of assets, but be categorized in this table as holding a very small amount of assets. For example, a common trust that holds assets for various private pensions may then invest all of that money in other common trusts. In this instance, the DFE in which the private pension plans are investing will be presented here as holding all of those assets, while the trusts in which this common trust invests will be reported as having very little in total assets.

NOTE: Not all assets held by DFEs are covered by ERISA.

1/ Negative asset amounts for certain DFEs are the result of over-ownership of those DFEs by other DFEs as reported on the Form 5500 Schedule D.

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

**Table 6. Distribution of Direct Filing Entity Assets
by type of entity and number of private pension plans invested, 2013**
(amounts in millions)

| Number of Private Pension Plans Invested 1/ | All | Common Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
|--|--------------------|---------------------|---------------------|--------------------------------|---------------------------------|
| Total | \$4,762,716 | \$1,957,071 | \$2,136,667 | \$303,703 | \$365,275 |
| 0 | 233,666 | 136,431 | 67,569 | 7,808 | 21,858 |
| 1 | 492,707 | 156,855 | 267,672 | 9,204 | 58,976 |
| 2-5 | 1,899,776 | 402,452 | 1,392,611 | 21,340 | 83,372 |
| 6-50 | 1,659,691 | 994,371 | 408,814 | 56,095 | 200,412 |
| 51-100 | 106,853 | 74,060 | - | 32,136 | 658 |
| 101-200 | 130,650 | 90,601 | - | 40,049 | - |
| 201-300 | 52,153 | 31,663 | - | 20,490 | - |
| 301-400 | 11,790 | 4,827 | - | 6,963 | - |
| 401 or more | 175,429 | 65,811 | - | 109,618 | - |

NOTE: Numbers of investing private pension plans are dependent on matching the Form 5500s of investing entities with the Form 5500s of the DFEs in which those entities are investing. Therefore, due to matching issues outlined in the User Guide: Form 5500 Direct Filing Entity Asset Spreading Bulletin: Abstract of Form 5500, these numbers are not directly comparable to those shown in Tables 1 and 9 of this document.

NOTE: Not all assets held by DFEs are covered by ERISA.

1/ Number of private pension plans invested includes multiple counting of plans invested in more than one DFE.

- Missing data

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

**Table 7. Distribution of Direct Filing Entity Assets
by type of entity and number of DFEs invested, 2013**
(amounts in millions)

| Number of DFEs Invested 1/ | All | Common Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
|-----------------------------------|--------------------|---------------------|---------------------|--------------------------------|---------------------------------|
| Total | \$4,762,716 | \$1,957,071 | \$2,136,667 | \$303,703 | \$365,275 |
| 0 | 2,857,342 | 460,277 | 2,115,908 | 149,932 | 131,226 |
| 1 | 368,460 | 256,983 | 21,020 | 48,915 | 41,542 |
| 2-5 | 662,161 | 537,138 | (262) | 57,029 | 68,255 |
| 6-50 | 764,150 | 593,594 | */ | 46,302 | 124,253 |
| 51-100 | 66,883 | 65,358 | - | 1,525 | - |
| 101-200 | 7,550 | 7,550 | - | - | - |
| 201-300 | 36,170 | 36,170 | - | - | - |
| 301-400 | - | - | - | - | - |

NOTE: Numbers of investing DFEs are dependent on matching the Form 5500s of investing entities with the Form 5500s of the DFEs in which those entities are investing. Therefore, due to matching issues outlined in the User Guide: Form 5500 Direct Filing Entity Asset Spreading Bulletin: Abstract of Form 5500, these numbers are not directly comparable to those shown in Tables 1 and 9 of this document.

NOTE: Not all assets held by DFEs are covered by ERISA.

1/ Number of DFEs invested includes multiple counting of entities invested in more than one DFE.

- Missing data

*/ Less than \$500,000 and greater than \$0

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

**Table 8. Distribution of Direct Filing Entity Assets
by type of entity and amount of assets, 2013**
(amounts in millions)

| Amount of Assets | All | Common Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
|------------------|--------------------|--------------------|--------------------|-------------------------|--------------------------|
| Total | \$4,762,716 | \$1,957,071 | \$2,136,667 | \$303,703 | \$365,275 |
| Less than \$0 1/ | (49,524) | (48,161) | (262) | (564) | (537) |
| \$1-24K | 2 | 1 | */ | 1 | */ |
| 25-49K | 3 | 1 | */ | 2 | */ |
| 50-99K | 8 | 2 | */ | 6 | */ |
| 100-249K | 34 | 6 | */ | 27 | */ |
| 250-499K | 85 | 16 | 2 | 66 | 1 |
| 500-999K | 219 | 37 | 6 | 169 | 7 |
| 1-2.49M | 868 | 166 | 55 | 628 | 19 |
| 2.5-4.9M | 1,815 | 466 | 134 | 1,180 | 35 |
| 5-9.9M | 3,987 | 1,491 | 213 | 2,132 | 151 |
| 10-24.9M | 14,371 | 6,391 | 1,367 | 6,094 | 519 |
| 25-49.9M | 31,377 | 14,015 | 4,492 | 10,962 | 1,908 |
| 50-74.9M | 30,332 | 16,535 | 4,284 | 8,358 | 1,155 |
| 75-99.9M | 33,903 | 16,931 | 6,947 | 8,002 | 2,024 |
| 100-149.9M | 62,876 | 34,149 | 10,242 | 12,758 | 5,727 |
| 150-199.9M | 65,399 | 34,808 | 13,858 | 11,169 | 5,564 |
| 200-249.9M | 68,631 | 38,436 | 13,815 | 11,278 | 5,101 |
| 250-499.9M | 282,392 | 150,717 | 75,398 | 33,776 | 22,501 |
| 500-999.9M | 470,511 | 249,019 | 144,427 | 37,693 | 39,372 |
| 1-2.49B | 848,743 | 420,508 | 304,306 | 44,582 | 79,346 |
| 2.5B or more | 2,896,686 | 1,021,538 | 1,557,382 | 115,383 | 202,383 |

NOTE: Asset amounts for each DFE reported in this table are calculated after assets are spread to the ultimate DFE owner of those assets. Therefore, it is possible that certain DFEs may ultimately control the investment of large amounts of assets, but be categorized in this table as holding a very small amount of assets. For example, a common trust that holds assets for various private pensions may then invest all of that money in other common trusts. In this instance, the DFE in which the private pension plans are investing will be presented here as holding all of those assets, while the trusts in which this common trust invests will be reported as having very little in total assets.

NOTE: Not all assets held by DFEs are covered by ERISA.

1/ Negative asset amounts for certain DFEs are the result of over-ownership of those DFEs by other DFEs as reported on the Form 5500 Schedule D.

*/ Less than \$500,000 and greater than \$0

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

**Table 9. Number of Private Pension Plans and DFEs Investing in DFEs
by type of private pension plan or DFE, 2013**

| Investor Type | Type of Asset Holder | | | |
|--------------------------|-------------------------|--------------|-------------------------|--------------------------|
| | Common Collective Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
| Total | 27,139 | 2,906 | 18,081 | 901 |
| Defined Benefit | 2,592 | 1,791 | 1,352 | 510 |
| Defined Contribution | 21,307 | 1,062 | 16,341 | 182 |
| Common Collective Trust | 2,182 | - | 26 | 19 |
| Master Trust | 997 | 54 | 72 | 135 |
| Pooled Separate Account | 36 | - | 291 | 1 |
| 103-12 Investment Entity | 24 | - | - | 53 |

NOTE: Counts shown include multiple counting of plans and DFEs that invest in more than one type of DFE.

NOTE: Numbers of invested private pension plans and DFEs are based on the Form 5500s of the investing entities and are not dependent on matching investors to investees.

NOTE: Total row may not equal sum of investor types because Defined Benefit and Defined Contribution plan counts are derived from the 2013 Private Pension Plan Research File and are weighted.

- Missing data

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

**Table 10. Private Pension Plan and DFE Assets Invested in DFEs
by type of private pension plan or DFE, 2013**

(amounts in millions)

| Investor Type | Type of Asset Holder | | | |
|--------------------------|-------------------------|--------------------|-------------------------|--------------------------|
| | Common Collective Trust | Master Trust | Pooled Separate Account | 103-12 Investment Entity |
| Total | \$2,699,525 | \$2,114,119 | \$226,982 | \$166,661 |
| Defined Benefit | 294,825 | 1,220,571 | 42,476 | 65,196 |
| Defined Contribution | 535,660 | 824,644 | 142,349 | 5,671 |
| Common Collective Trust | 1,348,098 | - | 4,378 | 2,671 |
| Master Trust | 511,595 | 68,905 | 6,211 | 27,587 |
| Pooled Separate Account | 1,979 | - | 31,570 | 162 |
| 103-12 Investment Entity | 7,368 | - | - | 65,375 |

- Missing data

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

**Table 11. Balance Sheet of Pension Plans with 100 or More Participants
by type of plan, 2013**
(amounts in millions)

| Type of Asset or Liability | Total | Defined Benefit | Defined Contribution |
|---|------------------|------------------|----------------------|
| ASSETS | | | |
| Total noninterest-bearing cash | \$15,179 | \$8,798 | \$6,381 |
| Employer contrib. receivable | 73,050 | 46,585 | 26,464 |
| Participant contrib. receivable | 2,429 | 529 | 1,900 |
| Other receivables | 91,120 | 55,336 | 35,784 |
| Interest-bearing cash | 222,211 | 102,494 | 119,718 |
| U. S. Government securities | 442,934 | 279,832 | 163,101 |
| Corporate debt instruments: Preferred | 161,067 | 131,991 | 29,076 |
| Corporate debt instruments: All other | 453,086 | 347,557 | 105,529 |
| Preferred stock | 13,648 | 12,208 | 1,439 |
| Common stock | 1,529,865 | 900,166 | 629,700 |
| Partnership/joint venture interests | 253,181 | 237,723 | 15,458 |
| Real estate (except employer real property) | 49,551 | 41,330 | 8,221 |
| Loans (other than to participants) | 23,367 | 14,781 | 8,586 |
| Participant loans | 66,086 | 202 | 65,885 |
| Assets in registered investment companies | 2,626,900 | 412,180 | 2,214,720 |
| Assets in insurance co. general accounts | 223,830 | 16,616 | 207,214 |
| Other general investments | 415,605 | 199,433 | 216,172 |
| Employer securities | 391,851 | 9,185 | 382,666 |
| Employer real property | 459 | 256 | 203 |
| Buildings and other property used by plan | 853 | 826 | 27 |
| Other or unspecified assets | <u>47,769</u> | <u>1,839</u> | <u>45,930</u> |
| TOTAL ASSETS | 7,104,043 | 2,819,868 | 4,284,175 |
| LIABILITIES | | | |
| Benefit claims payable | 1,606 | 745 | 861 |
| Operating payables | 6,145 | 4,503 | 1,643 |
| Acquisition indebtedness | 9,294 | 1,394 | 7,899 |
| Other liabilities | <u>56,349</u> | <u>41,731</u> | <u>14,618</u> |
| TOTAL LIABILITIES | 73,394 | 48,373 | 25,021 |
| NET ASSETS | 7,030,649 | 2,771,495 | 4,259,154 |

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

Table 12. Balance Sheet Comparison of Pension Plans with 100 or more Participants
original amounts compared to spread amounts
by type of plan, 2013
(amounts in millions)

| Type of Asset or Liability | Total Spread | Defined Benefit Spread | Defined Contribution Spread | Total Original | Defined Benefit Original | Defined Contribution Original |
|---|------------------|------------------------|-----------------------------|------------------|--------------------------|-------------------------------|
| ASSETS | | | | | | |
| Total noninterest-bearing cash | \$15,179 | \$8,798 | \$6,381 | \$8,186 | \$4,347 | \$3,839 |
| Employer contrib. receivable | 73,050 | 46,585 | 26,464 | 72,697 | 46,417 | 26,280 |
| Participant contrib. receivable | 2,429 | 529 | 1,900 | 1,561 | 18 | 1,543 |
| Other receivables | 91,120 | 55,336 | 35,784 | 32,833 | 18,987 | 13,846 |
| Interest-bearing cash | 222,211 | 102,494 | 119,718 | 96,954 | 42,361 | 54,593 |
| U. S. Government securities | 442,934 | 279,832 | 163,101 | 153,620 | 115,783 | 37,838 |
| Corporate debt instruments: Preferred | 161,067 | 131,991 | 29,076 | 58,765 | 53,332 | 5,433 |
| Corporate debt instruments: All other | 453,086 | 347,557 | 105,529 | 153,270 | 134,511 | 18,759 |
| Preferred stock | 13,648 | 12,208 | 1,439 | 2,582 | 2,197 | 385 |
| Common stock | 1,529,865 | 900,166 | 629,700 | 402,442 | 307,661 | 94,781 |
| Partnership/joint venture interests | 253,181 | 237,723 | 15,458 | 117,429 | 112,513 | 4,916 |
| Real estate (except employer real property) | 49,551 | 41,330 | 8,221 | 16,116 | 15,230 | 887 |
| Loans (other than to participants) | 23,367 | 14,781 | 8,586 | 5,743 | 4,431 | 1,312 |
| Participant loans | 66,086 | 202 | 65,885 | 65,424 | 173 | 65,251 |
| Assets in common/collective trusts | 0 | 0 | 0 | 829,939 | 294,719 | 535,219 |
| Assets in pooled separate accounts | 0 | 0 | 0 | 183,872 | 42,412 | 141,460 |
| Assets in master trusts | 0 | 0 | 0 | 2,044,462 | 1,220,242 | 824,220 |
| Assets in 103-12 investment entities | 0 | 0 | 0 | 70,859 | 65,196 | 5,663 |
| Assets in registered investment companies | 2,626,900 | 412,180 | 2,214,720 | 2,114,926 | 245,291 | 1,869,635 |
| Assets in insurance co. general accounts | 223,830 | 16,616 | 207,214 | 173,592 | 12,770 | 160,822 |
| Other general investments | 415,605 | 199,433 | 216,172 | 152,589 | 75,792 | 76,797 |
| Employer securities | 391,851 | 9,185 | 382,666 | 297,270 | 2,726 | 294,544 |
| Employer real property | 459 | 256 | 203 | 289 | 94 | 195 |
| Buildings and other property used by plan | 853 | 826 | 27 | 853 | 826 | 27 |
| Other or unspecified assets | 47,769 | 1,839 | 45,930 | 47,769 | 1,839 | 45,930 |
| TOTAL ASSETS | 7,104,043 | 2,819,868 | 4,284,175 | 7,104,043 | 2,819,868 | 4,284,175 |
| LIABILITIES | | | | | | |
| Benefit claims payable | 1,606 | 745 | 861 | 1,606 | 745 | 861 |
| Operating payables | 6,145 | 4,503 | 1,643 | 6,145 | 4,503 | 1,643 |
| Acquisition indebtedness | 9,294 | 1,394 | 7,899 | 9,294 | 1,394 | 7,899 |
| Other liabilities | 56,349 | 41,731 | 14,618 | 56,349 | 41,731 | 14,618 |
| TOTAL LIABILITIES | 73,394 | 48,373 | 25,021 | 73,394 | 48,373 | 25,021 |
| NET ASSETS | 7,030,649 | 2,771,495 | 4,259,154 | 7,030,649 | 2,771,495 | 4,259,154 |

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