|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Data on Closely-held ESOPs 2001-2014** |  |  |  |
|  | (based on analysis of U.S. Dept. of Labor Form 5500 research files, by Douglas Kruse and Joseph Blasi, Institute for the Study of Employee Ownership and Profit Sharing, Rutgers University) |
|   |   |   |   |   |   |
|   |   | Total number of plans | Total active participants | Total plan assets | Average assets per participant |
|   |   | (1) | (2) | (3) | (4) |
| ESOPs in closely held companies (not publicly traded) |  |  |  |   |
|   | 2001 | 6,589 | 2,215,709 | $118,904,823,306 | $53,664 |
|   | 2002 | 6,732 | 2,182,440 | $111,725,749,009 | $51,193 |
|   | 2003 | 6,184 | 2,242,421 | $141,349,373,359 | $63,034 |
|   | 2004 | 5,947 | 2,040,374 | $150,067,147,651 | $73,549 |
|   | 2005 | 5,902 | 1,960,677 | $165,359,985,212 | $84,338 |
|   | 2006 | 6,177 | 2,559,031 | $210,252,798,438 | $82,161 |
|   | 2007 | 6,244 | 2,571,329 | $237,807,153,276 | $92,484 |
|   | 2008 | 6,259 | 2,604,016 | $186,273,493,371 | $71,533 |
|   | 2009 | 5,788 | 2,418,513 | $195,591,586,737 | $80,873 |
|   | 2010 | 6,040 | 2,394,568 | $215,486,027,990 | $89,990 |
|   | 2011 | 5,937 | 2,196,401 | $203,522,099,527 | $92,662 |
|   | 2012 | 5,888 | 1,907,071 | $209,653,560,835 | $109,935 |
|   | 2013 | 5,820 | 1,924,807 | $240,934,026,931 | $125,173 |
|   | 2014 | 5,811 | 1,900,059 | $254,825,165,828 | $134,114 |
|   |   |  |  |  |   |
| New ESOPs in closely held companies, 2010-2014^ |  |  |  |   |
|   | 2010 | 161 | 22,338 | $757,814,110 |   |
|   | 2011 | 165 | 27,818 | $1,019,407,599 |   |
|   | 2012 | 225 | 56,437 | $6,225,955,343 |   |
|   | 2013 | 167 | 20,003 | $506,494,280 |   |
|   | 2014 | 195 | 68,126 | $1,221,656,509 |   |
| ^ Based on universe of plans; research file before 2010 was based on sample of small plans so yearly figures are less reliable. |
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| --- | --- |
| **ESOP account balances by years of participation** |  |
| (based on analysis of 12,618 current employees in 96 ESOP companies, by Douglas Kruse and Joseph Blasi, Institute for the Study of Employee Ownership and Profit Sharing, Rutgers University) |
|  |  |  |  |  |  |
|   |   |   |   |   |   |
|   |   | **ESOP account value** | **ESOP account as percent of yearly pay** |
| Years in ESOP | Mean | Median | Mean | Median |
|   |   |  |   |  |   |
| 0-5 years |   | $13,711 | $5,075 | 23.6% | 13.2% |
| 6-10 years | $56,958 | $30,389 | 91.7% | 53.8% |
| 11-19 years | $144,520 | $63,416 | 181.4% | 100.9% |
| 20+ years |   | $243,458 | $95,695 | 349.9% | 156.8% |

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