

Employee Ownership Report

MARCH–APRIL 2015 / Volume XXXV, No. 2

The Current State of ESOPs

For at least the last decade, the trend for ESOPs has been fewer plans with more participants and more assets, and the newest numbers released by the NCEO show that trend continued. As of the end of 2012, the most recent filing year for which accurate data is available, the count of ESOPs decreased by 0.5% to 6,908, while the number of participants increased by 2.7% to 13.8 million.

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TABLE 1. COUNT OF ESOP PLANS, 2012

FILING YEAR	NO. OF PLANS	TOTAL NO. OF PARTICIPANTS	TOTAL ASSETS
2012	6,908	13,824,000	\$1,059,067,628,000
2011	6,941	13,463,000	\$942,565,941,000
2010	7,138	13,477,000	\$916,355,236,000
2009	6,690	12,997,000	\$772,913,500,000
2008	7,305	13,038,000	\$664,702,907,000
2007	7,326	13,219,000	\$877,322,266,000
2006	7,384	12,584,000	\$793,858,839,000
2005	7,198	11,998,000	\$709,776,194,000
2004	7,348	10,243,000	\$669,263,550,000
2003	7,934	10,049,000	\$620,390,441,000
2002	8,874	10,230,000	\$489,151,809,000

Note: The numbers of plans reported are based on plan year filings compiled into an edited research file by the DOL on a structured timeline. A decrease in counts from year to year may be due in part to late filings. The NCEO is working on a new data set that will follow plan sponsors over time. Differences in counts may also be due in part to errors in the Form 5500 filings.

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Staying Private?

Equity Compensation for Companies Staying Privately Owned: Plan Design, Liquidity, and Compliance
March 12, 9AM–4:15PM | Santa Clara, CA

More information and registration is at nceo.org/rl/stayprivate.

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