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# Quarterly Benefit Statistics

U.S. Railroad Retirement Board  
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## Railroad Retirement and Unemployment Insurance Programs

Selected Current Statistics for **October - December 2013**

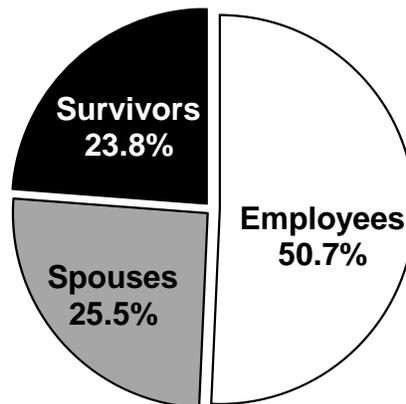
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**Railroad Retirement and  
Survivor Beneficiaries  
on the Rolls, by Type,  
December 2013**  
(533,000 beneficiaries)



**NOTE.**—Some 5,700 employees also received spouse annuities and about 2,400 employees also received survivor annuities.

**Table 1: Retirement and Survivor Programs, Benefit Statistics  
October - December 2013**

Period	Total <sup>1</sup>		Employee annuities			Supple- mental <sup>3</sup>	Spouse annuities	Divorced spouse annuities
	Monthly benefits	Monthly beneficiaries	Age	Disability <sup>2</sup> Under full retirement age	Full retirement age and over			
<b>Number in current-payment status at end of period</b>								
December 2013	663,237	532,860	189,817	40,400	40,158	121,679	136,888	4,412
November 2013	663,053	532,753	189,699	40,589	39,910	121,639	136,675	4,391
October 2013	663,360	533,243	189,466	41,402	39,694	121,482	136,527	4,360
<b>Average amount in current-payment status at end of period</b>								
December 2013	.....	.....	\$2,492.20	\$2,600.79	\$2,217.13	\$41.58	\$940.68	\$576.03
November 2013	.....	.....	2,460.30	2,567.40	2,187.20	41.58	929.35	567.25
October 2013	.....	.....	2,455.92	2,576.45	2,183.42	41.58	927.78	566.18
<b>Number awarded during period</b>								
December 2013	2,662	2,238	700	177	.....	424	777	43
November 2013	2,990	2,410	800	143	.....	580	849	56
October 2013	2,797	2,303	795	117	.....	494	850	43
10/13 - 12/13	8,449	6,951	2,295	437	.....	1,498	2,476	142
10/12 - 12/12	8,779	7,250	2,310	562	.....	1,529	2,432	148
<b>Average amount awarded during period<sup>4</sup></b>								
December 2013	.....	.....	\$3,055.71	\$2,284.13	.....	\$41.04	\$1,104.12	\$651.69
November 2013	.....	.....	3,013.26	2,752.23	.....	41.39	1,056.34	586.11
October 2013	.....	.....	3,107.18	2,736.85	.....	41.62	1,116.93	557.40
<b>Benefit payments during period (thousands)</b>								
December 2013	\$972,869	.....	\$466,281	\$104,590	\$87,128	\$5,062	\$127,311	\$2,512
November 2013	980,392	.....	467,539	109,782	86,546	5,074	127,950	2,544
October 2013	977,297	.....	466,124	109,674	85,921	5,056	127,259	2,516
10/13 - 12/13	2,930,558	.....	1,399,944	324,046	259,595	15,192	382,520	7,572
10/12 - 12/12	2,872,863	.....	1,353,193	348,467	236,701	15,125	367,624	6,964

<sup>1</sup>Includes dependent parents' annuities. Except for benefit payment data, excludes insurance lump-sum and residual payment figures. Benefit payments also include hospital insurance benefits for services in Canada. <sup>2</sup>Full retirement age, also known as normal retirement age, is gradually increasing from age 65 to age 67 over a 22 year period. For those born 1/2/1943-1/1/1955, the normal retirement age is 66.

<sup>3</sup>Excludes partition payments to spouses and divorced spouses where the employee is deceased. Averages are after court-ordered partitions. <sup>4</sup>Regular employee and spouse annuity averages are preliminary estimates.

**NOTE.**—MONTHLY BENEFITS in CURRENT-PAYMENT STATUS at the end of month include all benefits awarded to date and payable for the month. BENEFITS AWARDED consist of those certified for the first time on either a partial or final basis. BENEFIT PAYMENTS for a month, shown in both the benefit and financial statistics, consist of recurrent monthly checks dated the first of the month, plus retroactive and lump-sum payments made during the month, less returned checks (excluding those not yet distributed by Account), refunds of benefits paid previously, etc. Data are on a cash basis (unaudited) and are partly estimated.

**Table 1: Retirement and Survivor Programs, Benefit Statistics  
October - December 2013 -- Continued**

**Survivor benefits**

Period	Annuities					Children	Insurance lump sums	Residual payments	Partition payments <sup>5</sup>
	Aged widows and widowers	Disabled widows and widowers	Widowed mothers and fathers	Remarried widows and widowers	Divorced widows and widowers				
<b>Number in current-payment status at end of period</b>									
December 2013	101,361	3,926	709	3,611	9,729	9,400	.....	.....	1,119
November 2013	101,606	3,941	705	3,641	9,713	9,407	.....	.....	1,110
October 2013	101,895	3,945	708	3,642	9,674	9,435	.....	.....	1,102
<b>Average amount in current-payment status at end of period</b>									
December 2013	\$1,493.82	\$1,230.98	\$1,774.89	\$1,002.90	\$992.48	\$1,024.10	.....	.....	\$301.18
November 2013	1,481.73	1,219.05	1,766.36	988.58	977.28	1,008.08	.....	.....	299.35
October 2013	1,479.07	1,218.05	1,763.96	987.76	977.07	1,006.09	.....	.....	299.34
<b>Number awarded during period</b>									
December 2013	430	8	9	9	55	29	262	1	.....
November 2013	460	5	6	13	60	18	241	1	.....
October 2013	422	3	7	9	40	17	188	---	.....
10/13 - 12/13	1,312	16	22	31	155	64	691	2	.....
10/12 - 12/12	1,429	37	30	43	145	114	746	2	.....
<b>Average amount awarded during period<sup>4</sup></b>									
December 2013	\$1,995.64	\$1,791.66	\$1,754.81	\$705.56	\$1,093.15	\$1,423.04	\$918	\$3,061	.....
November 2013	1,844.24	1,375.28	1,490.51	1,215.85	1,061.83	1,310.04	885	654	.....
October 2013	1,951.76	1,569.45	1,572.78	1,205.22	1,133.33	1,351.87	894	---	.....
<b>Benefit payments during period (thousands)</b>									
December 2013	\$150,357	\$4,847	\$1,301	\$3,594	\$9,519	\$9,762	\$248	\$3	\$332
November 2013	151,138	4,855	1,321	3,641	9,575	9,844	221	1	336
October 2013	151,020	4,848	1,320	3,639	9,524	9,854	172	---	345
10/13 - 12/13	452,515	14,550	3,942	10,874	28,618	29,460	641	4	1,013
10/12 - 12/12	455,627	14,974	3,960	11,031	27,517	29,979	718	11	886

<sup>5</sup>Limited to partition payments to spouses and divorced spouses where the employee is deceased or not otherwise entitled to an annuity. Partition payments from employees on the rolls are included with the employees' annuities.

**NOTE**--(Continued from previous page.)

FOR WIDOWS and WIDOWERS aged 60 and over and WIDOWED MOTHERS and FATHERS, the number of benefits being paid and benefit payments include benefits temporarily being continued at spouse annuity rates, pending award of survivor annuities.

INSURANCE LUMP SUMS and RESIDUAL PAYMENTS are each counted only once with respect to an employee's death even though divided among 2 or more persons. Award data for insurance lump sums exclude deferred benefits, i.e., those payable a year after the employee's death.

Data on benefit payments are for CALENDAR MONTHS; all other data are for ACCOUNTING MONTHS ending on approximately the 29th of each month.

**Table 2: Retirement and Survivor Programs, Financial Statistics**  
**October - December 2013 (In thousands)**  
**Cash Basis (Unaudited)**

Item	December 2013	November 2013	October 2013	October 2013 - December 2013	October 2012 - December 2012
<b>RAILROAD RETIREMENT ACCOUNT</b>					
<b>Balance at beginning of period<sup>1</sup></b>	\$453,455	\$691,973	\$811,676	\$811,676	\$720,228
<b>Income, total</b>	549,043	302,717	423,759	1,275,519	1,298,546
Payroll taxes <sup>2</sup>	230,050	180,980	205,550	616,580	592,959
Income tax transfers <sup>3</sup>	.....	.....	98,000	98,000	78,000
Reimbursements for payment of SSA benefits	118,908	120,478	119,566	358,952	352,561
Transfers from National RR Investment Trust <sup>4</sup>	193,000	.....	.....	193,000	274,000
Transfer from SSEB Account <sup>4</sup>	.....	.....	.....	.....	.....
Undistributed recoveries of benefit payments <sup>5</sup>	1,466	.....	-620	846	-10
Uncashed check credits from U.S. Treasury <sup>6</sup>	31	.....	23	54	107
Repayment of loans from DBP Account <sup>7</sup>	4,529	.....	.....	4,529	.....
Interest on investments <sup>8</sup>	1,059	1,259	1,240	3,557	929
<b>Outgo, total</b>	533,797	541,235	543,462	1,618,494	1,579,811
Benefit payments-regular	404,294	411,422	408,392	1,224,108	1,196,433
Benefit payments-supplemental	5,068	5,079	5,062	15,210	15,140
Payments of SSA benefits	118,905	120,455	119,581	358,941	352,396
Loans to Dual Benefits Payments Account <sup>9</sup>	.....	.....	4,500	4,500	.....
Administrative expenses <sup>10</sup>	5,192	3,665	5,497	14,354	14,669
Funding for Office of Inspector General	338	614	430	1,381	1,173
<b>Balance at end of period<sup>1</sup></b>	468,701	453,455	691,973	468,701	438,963
<b>NATIONAL RAILROAD RETIREMENT INVESTMENT TRUST</b>					
<b>Cash and investment balance at end of period<sup>11</sup></b>	\$26,062,910	\$25,939,641	\$25,643,606	\$26,062,910	\$23,871,679
<b>DUAL BENEFITS PAYMENTS ACCOUNT<sup>12</sup></b>					
<b>Balance at beginning of period</b>	-\$2,065	\$1,204	.....	.....	.....
Loans from Railroad Retirement Account <sup>9</sup>	.....	.....	\$4,500	\$4,500	.....
Congressional apportionments <sup>13</sup>	(14)	(14)	-2,000	-2,000	-\$1,000
Income tax transfers <sup>3</sup>	.....	.....	2,000	2,000	1,000
Vested dual benefit payments	3,222	3,269	3,296	9,787	11,214
Repayment of loans from Railroad Retirement Account <sup>7</sup>	4,529	.....	.....	4,529	.....
<b>Balance at end of period</b>	-9,816	-2,065	1,204	-9,816	-11,214

**Table 2: Retirement and Survivor Programs, Financial Statistics**  
**October - December 2013 (In thousands)**  
**Cash Basis (Unaudited) -- Continued**

Item	December 2013	November 2013	October 2013	October 2013 - December 2013	October 2012 - December 2012
<b>SOCIAL SECURITY EQUIVALENT BENEFIT ACCOUNT</b>					
<b>Balance at beginning of period</b>	\$868,546	\$946,505	\$863,936	\$863,936	\$939,756
<b>Income, total</b>	623,422	484,500	645,661	1,753,583	1,758,091
Payroll taxes <sup>2</sup>	270,657	203,381	222,929	696,968	611,667
General revenue transfers under Tax Act <sup>15</sup>	.....	.....	.....	.....	94,114
Income tax transfers <sup>3</sup>	.....	.....	70,000	70,000	50,000
Financial interchange advances <sup>7</sup>	351,075	280,746	350,031	981,851	999,602
RRB-SSA financial interchange transfer	.....	.....	.....	.....	.....
Interest on investments <sup>8</sup>	1,689	373	2,701	4,763	2,708
<b>Outgo, total</b>	562,659	562,459	563,092	1,688,210	1,657,231
Benefit payments	560,285	560,622	560,547	1,681,453	1,650,075
Repayment of financial interchange advances <sup>7</sup>	.....	.....	.....	.....	.....
RRB-CMS financial interchange transfer	.....	.....	.....	.....	.....
Transfer to Railroad Retirement Account <sup>4</sup>	.....	.....	.....	.....	.....
Administrative expenses <sup>10</sup>	2,230	1,574	2,361	6,164	6,626
Funding for Office of Inspector General	145	263	184	592	529
<b>Balance at end of period</b>	929,309	868,546	946,505	929,309	1,040,617

<sup>1</sup>Balances include liabilities for uncashed checks. As of the end of December 2013, liabilities were \$13,199,000. <sup>2</sup>Net of U.S. Treasury adjustments for payroll tax refunds to certain carriers and their employees for prior periods. <sup>3</sup>Amounts include U.S. Treasury adjustments for prior period income tax reconciliations. <sup>4</sup>Under the Railroad Retirement and Survivors' Improvement Act of 2001, as amended, the portion of the RR Account not needed to pay current administrative expenses is to be transferred to the National Railroad Retirement Investment Trust (Trust). The Trust may transfer funds back to the RR Account for payment of benefits. The balance of the SSEB Account not needed to pay current benefits and administrative expenses is to be transferred to the Trust or to the RR Account. <sup>5</sup>Net of amounts distributed by account. <sup>6</sup>Net of returns of uncashed check credits. Includes undistributed canceled checks under 1-year limited payability. <sup>7</sup>Includes interest. <sup>8</sup>Net of adjustments for payroll tax refunds (see note 2). <sup>9</sup>Due to the delay in enactment of a continuing resolution, the Dual Benefits Payments Account borrowed \$4,500,000 from the Railroad Retirement Account in order to pay vested dual benefits. The loan was repaid with interest in December 2013. <sup>10</sup>Reflects adjustments for prior periods. <sup>11</sup>Source: National Railroad Retirement Investment Trust. <sup>12</sup>Total vested dual benefits paid during a fiscal year are limited to the amount appropriated to the Dual Benefits Payments Account for that year. Any amounts not spent are returned to the U.S. Treasury. The appropriation for fiscal year 2013 was \$44.898 million, including income tax transfers. Funds for October through December 2012 and October through December 2013 were provided under a partial year continuing resolution. <sup>13</sup>Includes a small amount of interest on uncashed checks. <sup>14</sup>Less than \$500. <sup>15</sup>Under the Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act of 2010, the 2011 tax rate for employees and the self-employed was reduced by 2 percentage points. The Middle Class Tax Relief and Job Creation Act of 2012 extended the payroll tax holiday through 2012. The SSEB Account was given general revenue equivalent to the lost revenue.

**NOTE.**--Data relate to CALENDAR month. Detail may not add to totals shown because of rounding.

**Table 3: Unemployment and Sickness Programs, Benefit Statistics  
October - December 2013**

Period	Normal benefit accounts			Beneficiaries		
	Applications received	Opened	Exhausted	Total	Normal benefits	Extended benefits
<b>Unemployment<sup>1</sup></b>						
December 2013	1,132	780	56	3,742	3,625	159
November 2013	831	613	43	3,251	3,130	170
October 2013	886	732	10	3,284	3,064	288
7/13 - 12/13	7,892	5,440	243	6,607	6,220	1,121
7/12 - 12/12	8,180	5,495	302	6,894	6,485	1,115
<b>Sickness</b>						
December 2013	1,165	1,005	48	4,824	4,806	29
November 2013	1,112	953	38	4,747	4,741	18
October 2013	1,301	1,119	15	4,824	4,801	53
7/13 - 12/13	11,906	9,389	281	10,067	9,940	446
7/12 - 12/12	12,174	9,750	299	10,389	10,222	586

Period	Number of payments			Averages <sup>2</sup>		
	Total	Normal benefits	Extended benefits	Benefit days	Benefit per week <sup>3</sup>	Benefit payments <sup>3</sup> (thousands)
<b>Unemployment<sup>1</sup></b>						
December 2013	7,195	6,873	322	9.1	\$311.90	\$4,172
November 2013	5,631	5,352	279	9.1	311.60	3,511
October 2013	6,310	5,727	583	8.8	310.00	3,640
7/13 - 12/13	36,332	30,808	5,524	8.9	308.50	21,350
7/12 - 12/12	36,406	30,482	5,924	8.8	327.10	21,686
<b>Sickness</b>						
December 2013	9,326	9,268	58	9.1	\$314.75	\$2,991
November 2013	7,911	7,883	28	9.0	313.50	4,450
October 2013	9,180	9,090	90	9.2	310.35	5,275
7/13 - 12/13	51,408	49,652	1,756	9.0	311.30	24,051
7/12 - 12/12	53,911	51,562	2,349	9.0	328.65	24,744

<sup>1</sup> Starting in June 2009, includes temporary extended unemployment benefits authorized by the American Recovery and Reinvestment Act of 2009. Beginning in November 2009, temporary extended unemployment benefits are also being paid under the Worker, Homeownership, and Business Assistance Act of 2009, as amended.

<sup>2</sup> Benefit days--average benefit days per registration period. Benefit per week--equal to 5 times average daily benefit.

<sup>3</sup> In accordance with the Balanced Budget and Deficit Control Act of 1985, as amended by the Budget Control Act of 2011, amounts reflect a reduction of 9.2% under sequestration for days of unemployment and sickness after February 28, 2013 and a reduction of 7.2% for days after September 30, 2013.

**NOTE**--An unemployment claimant files only one APPLICATION for a benefit year. A sickness claimant files an APPLICATION at the beginning of each period of continuing sickness.

NORMAL BENEFIT ACCOUNTS are opened when the first payment is made.

The number of BENEFICIARIES is the count of persons receiving unemployment or sickness benefits in the period. Those receiving both normal and extended benefits for unemployment or sickness are counted only once in the total for each type.

PAYMENTS generally cover 14-day registration periods. Benefits are payable for days over 7 during an employee's first 14-day registration period. Sickness benefits are paid for days of sickness after the 4th consecutive day of sickness in the first claim in each period of continuing sickness; for subsequent registration periods in the same period of continuing sickness, payments are made for all days of sickness over 4 whether or not consecutive. Unemployment benefits are paid for days of unemployment over 4. However, in the case of unemployment benefits due to a legal authorized strike, unemployment benefits are not paid until after a 14-day waiting period. Non-strikers unemployed due to an illegal strike must also serve a 14-day waiting period.

(Continued on next page.)

**Table 4: Unemployment and Sickness Programs, Financial Statistics**  
**October - December 2013 (In thousands)**  
**Cash Basis (Unaudited)**

Item	December 2013	November 2013	October 2013	October 2013 - December 2013	October 2012 - December 2012
<b>RAILROAD UNEMPLOYMENT INSURANCE ACCOUNT</b>					
<b>Balance at beginning of period</b>	\$166,693	\$173,707	\$180,223	\$180,223	\$163,895
<b>Income, total</b>	2,080	950	2,278	5,307	40,870
Contributions <sup>1</sup>	24	1,627	2,424	4,075	39,597
Interest on investments	1,179	-651	671	1,199	1,296
Undistributed recoveries of benefit payments <sup>2</sup>	877	-27	-817	33	-24
Transfers from Administration Fund	.....	.....	.....	.....	.....
<b>Outgo, total</b>	7,105	7,964	8,794	23,862	24,851
Unemployment benefit payments <sup>3</sup>	4,046	3,390	3,433	10,868	11,737
Sickness benefit payments <sup>3</sup>	2,991	4,450	5,275	12,717	12,867
Funding for Office of Inspector General	68	123	86	277	248
<b>Balance at end of period</b>	161,668	166,693	173,707	161,668	179,914
<b>RAILROAD UNEMPLOYMENT INSURANCE ADMINISTRATION FUND</b>					
<b>Balance at beginning of period</b>	\$15,670	\$17,535	\$12,324	\$12,324	\$11,419
<b>Income, total</b>	107	-1,104	6,354	5,357	6,661
Contributions <sup>1</sup>	12	-1,104	6,354	5,262	6,569
Interest on investments	95	.....	.....	95	92
<b>Outgo, total</b>	1,079	761	1,142	2,982	3,206
Administrative expenses	1,079	761	1,142	2,982	3,206
Transfers to RUI Account	.....	.....	.....	.....	.....
<b>Balance at end of period</b>	14,699	15,670	17,535	14,699	14,875

<sup>1</sup> Amounts reflect quarterly re-allocation of contributions between the RUI Account and the RUI Administration Fund.

<sup>2</sup> Net of distributed amounts.

<sup>3</sup> In accordance with the Balanced Budget and Deficit Control Act of 1985, as amended by the Budget Control Act of 2011, amounts reflect a reduction of 9.2% under sequestration for days of unemployment and sickness after February 28, 2013 and a reduction of 7.2% for days after September 30, 2013.

**NOTE**--(Continued from previous page.)

BENEFIT PAYMENTS are on a cash basis (unaudited) and represent amounts paid during the period including retroactive payments, less recoveries distributed to beneficiary accounts, refunds, and cancellations of previous payments.

ADMINISTRATION FUND balances reflect current adjustments to income and disbursements for previous years.

All unemployment and sickness data relate to CALENDAR MONTHS.

Detail may not add to totals shown because of rounding.

**Table 4: Unemployment and Sickness Programs, Financial Statistics  
October - December 2013 (In thousands)  
Cash Basis (Unaudited) -- Continued**

Item	December 2013	November 2013	October 2013	October 2013 - December 2013	October 2012 - December 2012
<b>EXTENDED UNEMPLOYMENT BENEFITS, AMERICAN RECOVERY AND REINVESTMENT ACT<sup>4</sup></b>					
<b>Balance at beginning of period</b>	\$9,324	\$9,321	\$9,318	\$9,318	\$9,217
Interest and other income	<sup>(5)</sup>	.....	<sup>(5)</sup>	<sup>(5)</sup>	2
Benefits <sup>6</sup>	-1	-2	-3	-6	-18
<b>Balance at end of period</b>	9,325	9,324	9,321	9,325	9,237
<b>EXTENDED UNEMPLOYMENT BENEFITS, WORKER, HOMEOWNERSHIP, AND BUSINESS ASSISTANCE ACT<sup>7</sup></b>					
<b>Balance at beginning of period</b>	\$132,594	\$132,717	\$132,926	\$132,926	\$139,963
Interest and other income	3	.....	2	5	8
Benefits	127	123	210	460	588
<b>Balance at end of period</b>	132,470	132,594	132,717	132,470	139,383

<sup>4</sup> The American Recovery and Reinvestment Act of 2009, signed into law on February 17, 2009, contained an appropriation of \$20,000,000 to provide up to 13 additional weeks of unemployment benefits for certain railroad workers who exhaust their rights to the benefits normally provided under the Railroad Unemployment Insurance Act.

<sup>5</sup> Less than \$500.

<sup>6</sup> Negative amounts due to recoveries exceeding benefit payments.

<sup>7</sup> Enacted on November 6, 2009, the Worker, Homeownership and Business Assistance Act of 2009 contained an appropriation of \$175,000,000 to extend the provisions of the Recovery Act by one year. The Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act of 2010 (enacted December 17, 2010), the Temporary Payroll Tax Cut Continuation Act of 2011 (enacted December 23, 2011), the Middle Class Tax Relief and Job Creation Act of 2012 (enacted February 22, 2012), and the American Taxpayer Relief Act of 2012 (enacted January 2, 2013) each continued the special unemployment benefit provision for periods ranging from two months to one year, for a total extension of three years.

**Detail may not add to totals shown because of rounding.**

**Table 5: Benefits and Beneficiaries -- December 2013**

**RETIREMENT - SURVIVOR**

<b>Total benefit payments - cash basis (unaudited)</b>	\$972,869,000
Regular benefits	964,579,000
Vested dual benefits	3,222,000
Supplemental annuities	5,068,000

	<b>Number</b>	<b>Average</b>
<b>Total benefits being paid at end of month</b>	663,000	.....
Retired employees':		
Regular	270,000	\$2,468
Supplemental	122,000	42
Spouses' and divorced spouses'	141,000	929
Aged widows' and widowers'	101,000	1,494
Other benefits	29,000	1,029
<b>Total beneficiaries being paid at end of month</b>	533,000	.....

**UNEMPLOYMENT-SICKNESS**

	<b>Unemployment<sup>1</sup></b>	<b>Sickness</b>
<b>Benefit payments - cash basis (unaudited)<sup>2</sup></b>	\$4,172,000	\$2,991,000
<b>Beneficiaries</b>	3,700	4,800
<b>Average payment per week<sup>2</sup></b>	\$312	\$315

<sup>1</sup> Starting in June 2009, includes temporary extended unemployment benefits authorized by the American Recovery and Reinvestment Act of 2009. Beginning in November 2009, temporary extended unemployment benefits are also being paid under the Worker, Homeownership, and Business Assistance Act of 2009, as amended.

<sup>2</sup> In accordance with the Balanced Budget and Deficit Control Act of 1985, as amended by the Budget Control Act of 2011, amounts reflect a reduction of 9.2% under sequestration for days of unemployment and sickness after February 28, 2013 and a reduction of 7.2% for days after September 30, 2013.