

AMGEN INC  
Form 11-K  
June 13, 2017

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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington D.C. 20549

FORM 11-K

(Mark One)

☒ ANNUAL REPORT PURSUANT TO SECTION 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934  
For the fiscal year ended December 31, 2016  
OR

☐ TRANSITION REPORT PURSUANT TO SECTION 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934

Commission file number 001-37702

THE RETIREMENT AND SAVINGS PLAN FOR  
AMGEN MANUFACTURING, LIMITED

State Road 31, Kilometer 24.6, Juncos, Puerto Rico 00777

(Full title and address of the plan)

AMGEN INC.

(Name of issuer of the securities held)

One Amgen Center Drive, 91320-1799  
Thousand Oaks, California (Zip Code)  
(Address of principal executive offices)

The Retirement and Savings Plan for  
Amgen Manufacturing, Limited

Audited Financial Statements  
and Supplemental Schedule  
Years Ended December 31, 2016 and 2015

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Report of Independent Registered Public Accounting Firm

Amgen Manufacturing, Limited, as Named Fiduciary, and the Plan Participants  
of The Retirement and Savings Plan for Amgen Manufacturing, Limited

We have audited the accompanying statements of net assets available for benefits of The Retirement and Savings Plan for Amgen Manufacturing, Limited (the Plan) as of December 31, 2016 and 2015, and the related statements of changes in net assets available for benefits for the years then ended. These financial statements are the responsibility of the Plan's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. We were not engaged to perform an audit of the Plan's internal control over financial reporting. Our audits included consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of the Plan at December 31, 2016 and 2015, and the changes in its net assets available for benefits for the years then ended, in conformity with U.S. generally accepted accounting principles.

The accompanying supplemental schedule of assets (held at end of year) as of December 31, 2016, has been subjected to audit procedures performed in conjunction with the audit of the Plan's financial statements. The information in the supplemental schedule is the responsibility of the Plan's management. Our audit procedures included determining whether the information reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental schedule. In forming our opinion on the information, we evaluated whether such information, including its form and content, is presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

/s/ ERNST & YOUNG LLP

Los Angeles, California

June 13, 2017

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Statements of Net Assets Available for Benefits

|                                     | December 31,  |               |
|-------------------------------------|---------------|---------------|
|                                     | 2016          | 2015          |
| Assets                              |               |               |
| Investments at fair value           | \$356,840,368 | \$321,774,040 |
| Notes receivable from participants  | 15,370,923    | 15,201,879    |
| Other – principally due from broker | 1,083,321     | 1,048,898     |
| Total assets                        | 373,294,612   | 338,024,817   |
| Liabilities                         |               |               |
| Other – principally due to broker   | 232,476       | 227,238       |
| Total liabilities                   | 232,476       | 227,238       |
| Net assets available for benefits   | \$373,062,136 | \$337,797,579 |
| See accompanying notes.             |               |               |

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
 Statements of Changes in Net Assets Available for Benefits

|                                                        | Years Ended December 31, |                |
|--------------------------------------------------------|--------------------------|----------------|
|                                                        | 2016                     | 2015           |
| Additions to (deductions from) net assets:             |                          |                |
| Employer contributions                                 | \$ 14,309,107            | \$ 13,236,920  |
| Participant contributions                              | 12,882,679               | 11,755,741     |
| Rollover contributions                                 | 657,271                  | —              |
| Interest and dividend income                           | 4,045,139                | 3,213,064      |
| Net realized/unrealized gains (losses)                 | 14,163,614               | (3,900,677 )   |
| Interest income on notes receivable from participants  | 621,317                  | 637,600        |
| Benefits paid                                          | (10,928,488 )            | (21,373,415 )  |
| Investment and administrative fees                     | (486,082 )               | (468,410 )     |
| Net increase                                           | 35,264,557               | 3,100,823      |
| Net assets available for benefits at beginning of year | 337,797,579              | 334,696,756    |
| Net assets available for benefits at end of year       | \$ 373,062,136           | \$ 337,797,579 |
| See accompanying notes.                                |                          |                |

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Notes to Financial Statements  
December 31, 2016

1. Description of the Plan

The following description of The Retirement and Savings Plan for Amgen Manufacturing, Limited (the Plan) provides only general information. Participants should refer to the Plan document for a more complete description of the Plan's provisions.

General

The Plan was established effective January 1, 2002, and was most recently amended and restated effective January 1, 2017. The Plan is a defined contribution plan covering substantially all Puerto Rico resident employees of Amgen Manufacturing, Limited (the Company), a wholly owned subsidiary of Amgen Inc. (Amgen). The Plan, as amended and restated, is intended to qualify under Section 1081.01 of the Puerto Rico Internal Revenue Code of 2011, as amended (the PR Code) (see Note 4, Income Tax Status) and section 407(d)(3)(A) of the Employee Retirement Income Security Act of 1974 (ERISA).

Contributions

Subject to certain limitations (as defined in the Plan), participants may elect to contribute up to 30% of their eligible compensation in pre-tax contributions and after-tax contributions or a combination of these types of contributions. A participant's pre-tax contributions are subject to PR Code and Plan limitations and could not exceed \$15,000 in 2016 and 2015. Participants may elect to contribute after-tax contributions beginning January 1 of the year following the year the participant was hired. Participant after-tax contributions are subject to PR Code and Plan limitations and could not exceed \$1,500 in 2016 and 2015. Unless an employee has voluntarily enrolled in the Plan or has declined to participate in the Plan within the first 30 days of employment, all newly eligible participants are automatically enrolled in the Plan, and contributions equal to 5% of their eligible compensation are withheld and contributed to the Plan as pre-tax contributions; such contributions are automatically increased by 1% per year until their contributions reach 10% of their eligible compensation. Participants may elect to adjust, cease or resume their contributions at any time.

Participants who are at least age 50 by the close of the Plan year may also elect to make certain additional pre-tax contributions, referred to as catch-up contributions, that are subject to PR Code and Plan limitations and could not exceed \$1,500 in 2016 and 2015. Participants may also contribute pre-tax and after-tax amounts representing distributions from certain other retirement plans qualified in Puerto Rico, referred to as rollover contributions (as defined in the Plan).

Each pay period, the Company makes a non-elective contribution for all eligible participants, whether or not they have elected to make contributions to the Plan, equal to 4% of each participant's eligible compensation up to a maximum of \$10,600 in 2016 and 2015 (Core Contributions). In addition, the Company makes a contribution equal to amounts contributed by the participant as pre-tax contributions, including catch-up contributions, of up to 5% of eligible compensation (Matching Contributions). Matching Contributions could not exceed \$13,250 in 2016 and 2015. Participants select the investments in which their contributions, including their Core Contributions and Matching Contributions (collectively, Company Contributions), are to be invested, electing among various alternatives, including Amgen Inc. common stock (Amgen stock). Participants may direct a maximum of 20% of contributions to be invested in Amgen stock. In addition, participants may transfer amounts among

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Notes to Financial Statements (continued)

the investment options at any time, subject to certain limitations. Notwithstanding the foregoing, if 20% or more of the value of a participant's Plan account is invested in Amgen stock, the Plan document provides that no transfers from other investment options can be made to invest in Amgen stock.

The accounts of participants who had never made an investment election are allocated to investments under a qualified default investment alternative, which is intended to be compliant with ERISA regulations. At any time, participants may elect to alter the investments in their accounts made under a qualified default investment alternative.

**Vesting**

Participants are immediately vested with respect to their contributions, Company Contributions, and earnings and losses (hereafter referred to as earnings) thereon.

**Participant Accounts**

Each participant's account is credited with: (a) the participant's contributions; (b) an allocation of Company Contributions; and (c) earnings. The benefit to which a participant is entitled is the benefit that can be provided from the participant's account.

**Plan Investments**

Participants can invest in any of 16 different asset classes as well as Amgen stock or may actively manage their account under a self-directed brokerage arrangement in which a wider array of investment options are available. The value of an investment in an asset class is determined by its underlying investment vehicles, which may include one or more of the following: mutual funds, collective trust funds and portfolios, which are separately managed exclusively for the benefit of Plan participants and their beneficiaries (separately managed portfolios). The separately managed portfolios are primarily composed of investments in publicly traded common and preferred stocks. The asset classes are designed to provide participants with choices among a variety of investment objectives.

**Payments of Benefits**

Subject to Plan limitations, upon termination of employment, including termination due to disability (as defined in the Plan) or retirement, a participant may elect to receive an amount equal to the entire value of his or her account balance in: (a) a single payment in cash; (b) a single distribution in full shares of Amgen stock (with any fractional shares paid in cash); (c) a single distribution paid in a combination of cash and full shares of Amgen stock; or (d) a rollover distribution to an eligible retirement plan. Participants may also elect to receive a partial distribution of his or her account balance no more than once per year.

If a participant dies before receiving the value of his or her account balance, the participant's named beneficiary may elect to receive the distribution of remaining funds from among the alternatives described above, subject to certain Plan limitations.

Subsequent to termination of employment, participants may also elect to maintain their account balance in the Plan, provided that their account balance is greater than \$1,000.

Certain restrictions apply to withdrawals from the Plan while a participant continues to be employed by the Company.

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Notes to Financial Statements (continued)

Notes Receivable from Participants

Subject to certain restrictions, a participant can have up to two loans outstanding at any one time from his or her Plan account with a combined maximum loan amount which may not exceed the lesser of: (a) 50% of the participant's account balance or (b) \$50,000 less certain adjustments, as applicable (as defined in the Plan). A participant's loan is secured by his or her Plan account balance. Loans made prior to January 1, 2006, bear interest at fixed rates based on the average borrowing rates of certain major banks. Loans made on or after January 1, 2006, bear interest at fixed rates which, until changed by the Company, are based on the prime rate plus one percentage point as published in The Wall Street Journal, determined as of the last day of the calendar quarter preceding origination or such other rate as may be required by law. Loans are generally payable in installments over periods ranging from one to five years, unless the loan is used to acquire a principal residence for which the term of the loan may be up to 20 years. Principal and interest payments are allocated to the participant's account.

Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to terminate the Plan subject to the provisions of ERISA. Upon termination, participants would receive distributions of their account balances.

Trustee

Banco Popular de Puerto Rico is the Plan's trustee.

2. Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements are prepared on the accrual basis of accounting.

Fair Value Measurement

The investments of the Plan are reported at fair value. Fair value is generally defined as the price that would be received to sell an asset or paid to transfer a liability (the exit price) in an orderly transaction between market participants at the measurement date (see Note 3, Fair Value Measurements).

Investment Income and Losses

Dividend income is recognized on the ex-dividend date, and interest income is recorded on an accrual basis.

Unrealized gains and losses on investments are measured by the change in the difference between the fair value and cost of the securities held at the beginning of the year (or date purchased if acquired during the Plan year) and the end of the year. Realized gains and losses from security transactions are recorded based on the weighted-average cost of securities sold.

Notes Receivable from Participants

Notes receivable from participants are carried at their unpaid balance plus accrued but unpaid interest, as applicable.

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Notes to Financial Statements (continued)

Due from/to Brokers

Purchases and sales of investments are recorded on a trade-date basis. Amounts due from and due to brokers arise from unsettled sale and purchase transactions as of December 31, 2016 and 2015.

Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles (GAAP) requires management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates.

3. Fair Value Measurements

The Plan uses various valuation approaches in determining the fair value of investments within a hierarchy that maximizes the use of observable inputs and minimizes the use of unobservable inputs by requiring that observable inputs be used when available. Observable inputs are inputs that market participants would use in pricing the investment based on market data obtained from independent sources. Unobservable inputs are inputs that reflect assumptions about the inputs that market participants would use in pricing the investment and are developed based on the best information available in the circumstances. The fair value hierarchy is divided into three levels based on the source of inputs as follows:

Level 1 – Valuations based on unadjusted quoted prices in active markets for identical investments that the Plan has the ability to access;

Level 2 – Valuations for which all significant inputs are observable, either directly or indirectly, other than Level 1 inputs;

Level 3 – Valuations based on inputs that are unobservable and significant to the overall fair value measurement.

The availability of observable inputs can vary among the various types of investments. To the extent that the valuation is based on models or inputs that are less observable or unobservable in the market, the determination of fair value requires more judgment. In certain cases, the inputs used for measuring fair value may fall into different levels of the fair value hierarchy. In such cases, for financial statement disclosure purposes, the level in the fair value hierarchy within which the fair value measurement is categorized is based on the lowest level of input used that is significant to the overall fair value measurement.

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Notes to Financial Statements (continued)

The following fair value hierarchy table presents information about each major class/category of the Plan's investments measured at fair value:

|                                                    | Fair value measurements at December 31, 2016, using                           |                                                           |                                                    |                |
|----------------------------------------------------|-------------------------------------------------------------------------------|-----------------------------------------------------------|----------------------------------------------------|----------------|
|                                                    | Quoted prices<br>in active<br>markets for<br>identical<br>assets<br>(Level 1) | Significant<br>other<br>observable<br>inputs<br>(Level 2) | Significant<br>unobservable<br>inputs<br>(Level 3) | Total          |
| Amgen stock                                        | \$68,813,568                                                                  | \$ —                                                      | \$ —                                               | —\$68,813,568  |
| Cash and cash equivalents                          | 821                                                                           | —                                                         | —                                                  | 821            |
| Common and preferred stocks                        | 68,352,683                                                                    | 563,592                                                   | —                                                  | 68,916,275     |
| Mutual funds                                       | 30,275,433                                                                    | —                                                         | —                                                  | 30,275,433     |
| Self-directed brokerage accounts                   | 1,263,948                                                                     | —                                                         | —                                                  | 1,263,948      |
|                                                    | \$168,706,453                                                                 | \$563,592                                                 | \$ —                                               | —\$169,270,045 |
| Collective trust funds measured at net asset value |                                                                               |                                                           |                                                    | 187,570,323    |
| Total investments measured at fair value           |                                                                               |                                                           |                                                    | \$356,840,368  |

|                                                    | Fair value measurements at December 31, 2015, using                           |                                                           |                                                    |                |
|----------------------------------------------------|-------------------------------------------------------------------------------|-----------------------------------------------------------|----------------------------------------------------|----------------|
|                                                    | Quoted prices<br>in active<br>markets for<br>identical<br>assets<br>(Level 1) | Significant<br>other<br>observable<br>inputs<br>(Level 2) | Significant<br>unobservable<br>inputs<br>(Level 3) | Total          |
| Amgen stock                                        | \$74,742,644                                                                  | \$ —                                                      | \$ —                                               | —\$74,742,644  |
| Cash and cash equivalents                          | 12,136                                                                        | —                                                         | —                                                  | 12,136         |
| Common and preferred stocks                        | 61,872,076                                                                    | 272,797                                                   | —                                                  | 62,144,873     |
| Mutual funds                                       | 35,304,246                                                                    | —                                                         | —                                                  | 35,304,246     |
| Self-directed brokerage accounts                   | 950,806                                                                       | —                                                         | —                                                  | 950,806        |
|                                                    | \$172,881,908                                                                 | \$272,797                                                 | \$ —                                               | —\$173,154,705 |
| Collective trust funds measured at net asset value |                                                                               |                                                           |                                                    | 148,619,335    |
| Total investments measured at fair value           |                                                                               |                                                           |                                                    | \$321,774,040  |

The fair values of common stocks (including Amgen stock), preferred stocks and mutual funds are valued using quoted market prices in active markets with no valuation adjustment.

Collective trust funds represent interests in pooled investment vehicles designed typically for collective investment of employee benefit trusts. The fair values of these investments are determined by reference to the net asset value per unit provided by the fund managers as a practical expedient. The unit values are based on the fair values of the trusts' underlying assets, which are principally equity and fixed income securities and short-term investments. The only redemption restriction with respect to these investments is on the Wells Fargo Stable Value Fund W (fair value of \$25,581,255 as of December 31, 2016), which requires a one-year notice to be given in the event of complete liquidation.



The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Notes to Financial Statements (continued)

4. Income Tax Status

The Plan received a determination letter from the Puerto Rico Treasury Department (PRTD) dated June 20, 2016, with an effective date of January 1, 2012, stating that the Plan meets the requirements of Section 1081.01 of the PR Code and the regulations thereunder, and, therefore the related trust forming part of the Plan is exempt from taxation. Once qualified, the Plan is required to operate in conformity with the PR Code to maintain its qualification.

For taxable years 2016 and 2015, the Company believes the Plan satisfied, and operated in compliance with, the applicable requirements of the PR Code and therefore believes that the Plan is qualified and the related trust is tax exempt. The Company has indicated that it currently intends to continue to take the necessary steps to maintain the Plan's compliance with the applicable requirements of the PR Code.

GAAP requires the Company to evaluate uncertain tax positions taken by the Plan. The financial statement effects of a tax position are recognized when the position is more likely than not, based on the technical merits, to be sustained upon examination. As of December 31, 2016, no uncertain tax positions have been taken or are expected to be taken, and no amounts related to uncertain tax positions have been recorded in the Plan's financial statements. The Plan is subject to audits by the PRTD, however there are currently no audits for any periods in progress. The Company believes the Plan is no longer subject to PRTD examinations with respect to annual reports for years prior to 2012.

5. Services Provided by the Company

During 2016 and 2015, the Company paid trustee fees and certain other administrative costs on behalf of the Plan.

6. Reconciliation of Financial Statements to Form 5500

The reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2016 and 2015, consisted of the following:

|                                                                            | December 31,  |               |
|----------------------------------------------------------------------------|---------------|---------------|
|                                                                            | 2016          | 2015          |
| Net assets available for benefits per the financial statements             | \$373,062,136 | \$337,797,579 |
| Adjustment to fair value for fully benefit-responsive investment contracts | —             | 113,492       |
| Amounts allocated to withdrawing participants                              | —             | (11,640 )     |
| Deemed loans                                                               | (332,044 )    | (280,900 )    |
| Net assets per the Form 5500                                               | \$372,730,092 | \$337,618,531 |

The Retirement and Savings Plan for Amgen Manufacturing, Limited  
Notes to Financial Statements (continued)

For the year ended December 31, 2016, the following is a reconciliation of the net investment gain per the financial statements to the Form 5500:

|                                                                                                                                                | Year Ended<br>December 31,<br>2016 |
|------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
| Interest and dividend income                                                                                                                   | \$4,045,139                        |
| Net realized/unrealized gains                                                                                                                  | 14,163,614                         |
| Total net investment gain per the financial statements                                                                                         | 18,208,753                         |
| Adjustment from fair value to contract value for interest in collective trust funds relating to fully benefit-responsive investment contracts: |                                    |
| Less prior year adjustment                                                                                                                     | (113,492 )                         |
| Total net investment gain per the Form 5500                                                                                                    | \$18,095,261                       |

For the year ended December 31, 2016, the following is a reconciliation of distributions per the financial statements to the Form 5500:

|                                                              | Year Ended<br>December 31,<br>2016 |
|--------------------------------------------------------------|------------------------------------|
| Benefits paid                                                | \$(10,928,488)                     |
| Investment and administrative fees                           | (486,082 )                         |
| Total distributions per the financial statements             | (11,414,570 )                      |
| Add prior year amounts allocated to withdrawing participants | 11,640                             |
| Add prior year deemed loan balance                           | 280,900                            |
| Less current year deemed loan balance                        | (332,044 )                         |
| Total distributions per the Form 5500                        | \$(11,454,074)                     |

## Supplemental Schedule

The Retirement and Savings Plan for Amgen Manufacturing, Limited

EIN: 98-0210484 Plan: #001

As of December 31, 2016

Schedule H, line 4i – Schedule of Assets (Held at End of Year)

| Identity of Issue                                          | Description of Investment               | Current Value |
|------------------------------------------------------------|-----------------------------------------|---------------|
| Amgen stock                                                | Employer Securities 470,649 shares      | \$68,813,568  |
|                                                            |                                         | \$68,813,568  |
| Capital Preservation Asset Class:                          |                                         |               |
| Wells Fargo Stable Value Fund W*                           | Collective trust funds 477,977 shares   | 25,581,255    |
| NT Collective Short Term Investment Fund*                  | Collective trust funds 1,629,221 shares | 1,629,221     |
| Total Capital Preservation Asset Class                     |                                         | 27,210,476    |
| Emerging Markets Equity Asset Class:                       |                                         |               |
| Blackrock FTSE RAFI Emerging Index Non Lendable Fund F*    | Collective trust funds 356,767 shares   | 3,674,097     |
| J.P. Morgan Emerging Markets Equity Focus Fund*            | Collective trust funds 197,073 shares   | 3,356,160     |
| NT Collective Emerging Markets Fund - Non Lending*         | Collective trust funds 4,690 shares     | 660,383       |
| Total Emerging Markets Equity Asset Class                  |                                         | 7,690,640     |
| Fixed Income Asset Class:                                  |                                         |               |
| J.P. Morgan Core Bond Fund*                                | Collective trust funds 590,328 shares   | 10,549,168    |
| Metropolitan West Funds Total Return Bond Fund Plan Class* | Collective trust funds 1,062,740 shares | 10,531,751    |
| Blackrock High Yield Bond Fund Class A                     | Mutual Fund 471,258 shares              | 3,600,409     |
| NT Collective Aggregate Bond Index Fund - Non Lending*     | Collective trust funds 11,858 shares    | 1,609,215     |
| NT Collective Short Term Investment Fund*                  | Collective trust funds 700,770 shares   | 700,770       |
| Total Fixed Income Asset Class                             |                                         | 26,991,313    |
| Fixed Income Index Asset Class:                            |                                         |               |
| NT Collective Aggregate Bond Index Fund - Non Lending*     | Collective trust funds 23,338 shares    | 3,167,233     |
| NT Collective Short Term Investment Fund*                  | Collective trust funds 776 shares       | 776           |
| Total Fixed Income Index Asset Class                       |                                         | 3,168,009     |
| High Yield Asset Class:                                    |                                         |               |
| MainStay High Yield Corporate Bond Fund Class I            | Mutual Fund 637,276 shares              | 3,657,966     |
| Total High Yield Asset Class                               |                                         | 3,657,966     |

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Inflation Protection Asset Class:

|                                                                                 |                                      |           |           |
|---------------------------------------------------------------------------------|--------------------------------------|-----------|-----------|
| NT Collective Treasury Inflation/Protected Securities Index Fund - Non Lending* | Collective trust funds 25,294 shares | 3,474,872 |           |
| Total Inflation Protection Asset Class                                          |                                      |           | 3,474,872 |

International Growth Asset Class:

|                                              |                                       |           |           |
|----------------------------------------------|---------------------------------------|-----------|-----------|
| MFS Institutional International Equity Fund  | Mutual Fund 166,854 shares            | 3,380,453 |           |
| Artisan International Fund*                  | Collective trust funds 173,860 shares | 3,150,352 |           |
| NT Collective EAFE Index Fund - Non Lending* | Collective trust funds 1,472 shares   | 382,838   |           |
| United States dollar                         | Cash and cash equivalents 84 shares   | 84        |           |
| Total International Growth Asset Class       |                                       |           | 6,913,727 |

International Index Asset Class:

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                                                      | Description of Investment                 | Current Value |
|------------------------------------------------------------------------|-------------------------------------------|---------------|
| NT Collective All Country World Index (ACWI) Ex/US Fund - Non Lending* | Collective trust funds 54,548 shares      | 6,813,106     |
| Total International Index Asset Class                                  |                                           | 6,813,106     |
| International Value Asset Class:                                       |                                           |               |
| Dodge & Cox International Fund                                         | Mutual Fund 232,844 shares                | 8,871,344     |
| Altrinsic International Equity Fund Class C*                           | Collective trust funds 843,014 shares     | 8,191,818     |
| NT Collective EAFE Index Fund - Non Lending*                           | Collective trust funds 7,614 shares       | 1,980,002     |
| Total International Value Asset Class                                  |                                           | 19,043,164    |
| Large Cap Growth Asset Class:                                          |                                           |               |
| Visa Inc. Class A                                                      | Common and preferred stocks 20,038 shares | 1,563,365     |
| NT Collective Russell 1000 Growth Index Fund - Non Lending*            | Collective trust funds 4,709 shares       | 1,491,251     |
| Amazon.com, Inc.                                                       | Common and preferred stocks 1,658 shares  | 1,243,284     |
| Facebook, Inc.                                                         | Common and preferred stocks 9,393 shares  | 1,080,665     |
| The Priceline Group Inc.                                               | Common and preferred stocks 666 shares    | 976,396       |
| Alphabet Inc. Class A                                                  | Common and preferred stocks 992 shares    | 786,110       |
| NT Collective Short Term Investment Fund*                              | Collective trust funds 720,059 shares     | 720,059       |
| Apple Inc.                                                             | Common and preferred stocks 6,138 shares  | 710,903       |
| salesforce.com, inc.                                                   | Common and preferred stocks 10,285 shares | 704,111       |
| Regeneron Pharmaceuticals, Inc.                                        | Common and preferred stocks 1,529 shares  | 561,281       |
| Chipotle Mexican Grill, Inc.                                           | Common and preferred stocks 1,443 shares  | 544,473       |
| Netflix, Inc.                                                          | Common and preferred stocks 4,255 shares  | 526,769       |
| FleetCor Technologies, Inc.                                            | Common and preferred stocks 3,496 shares  | 494,754       |
| Alphabet Inc. Class C                                                  | Common and preferred stocks 595 shares    | 459,233       |
| The Charles Schwab Corporation                                         | Common and preferred stocks 10,670 shares | 421,145       |
| Edwards Lifesciences Corporation                                       | Common and preferred stocks 4,438 shares  | 415,841       |
| Schlumberger Ltd.                                                      | Common and preferred stocks 4,860 shares  | 407,997       |
| Ecolab Inc.                                                            |                                           | 387,998       |

|                                   |                                          |         |
|-----------------------------------|------------------------------------------|---------|
|                                   | Common and preferred stocks 3,310 shares |         |
| Mondelez International, Inc.      | Common and preferred stocks 8,080 shares | 358,186 |
| Automatic Data Processing, Inc.   | Common and preferred stocks 3,442 shares | 353,769 |
| Alexion Pharmaceuticals, Inc.     | Common and preferred stocks 2,860 shares | 349,921 |
| Microsoft Corporation             | Common and preferred stocks 5,520 shares | 343,013 |
| Nike, Inc. Class B                | Common and preferred stocks 6,618 shares | 336,393 |
| Core Laboratories N.V.            | Common and preferred stocks 2,777 shares | 333,351 |
| Colgate-Palmolive Company         | Common and preferred stocks 4,990 shares | 326,546 |
| Alibaba Group Holding Ltd.        | Common and preferred stocks 3,635 shares | 319,189 |
| Adobe Systems Inc.                | Common and preferred stocks 3,100 shares | 319,145 |
| SAP SE                            | Common and preferred stocks 3,512 shares | 303,542 |
| Lowes Companies, Inc.             | Common and preferred stocks 4,268 shares | 303,540 |
| Whole Foods Market, Inc.          | Common and preferred stocks 9,614 shares | 295,727 |
| Alliance Data Systems Corporation | Common and preferred stocks 1,278 shares | 292,023 |
| Red Hat, Inc.                     | Common and preferred stocks 4,091 shares | 285,143 |
| Starbucks Corporation             | Common and preferred stocks 5,124 shares | 284,484 |
| Equinix Inc.                      | Common and preferred stocks 789 shares   | 281,996 |
| Novo Nordisk A-S                  | Common and preferred stocks 7,647 shares | 274,221 |
| Biogen Inc.                       | Common and preferred stocks 950 shares   | 269,401 |
| Biomarin Pharmaceutical Inc.      | Common and preferred stocks 3,165 shares | 262,189 |
| Cerner Corporation                | Common and preferred stocks 5,312 shares | 251,629 |
| Monster Beverage Corp             | Common and preferred stocks 5,455 shares | 241,875 |
| Illumina, Inc.                    | Common and preferred stocks 1,875 shares | 240,075 |

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                           | Description of Investment                 | Current Value |
|---------------------------------------------|-------------------------------------------|---------------|
| Ulta Salon, Cosmetics & Fragrance, Inc.     | Common and preferred stocks 913 shares    | 232,760       |
| Baidu, Inc.                                 | Common and preferred stocks 1,415 shares  | 232,640       |
| Mastercard Inc. Class A                     | Common and preferred stocks 2,173 shares  | 224,362       |
| Splunk Inc.                                 | Common and preferred stocks 4,075 shares  | 208,436       |
| State Street Corporation                    | Common and preferred stocks 2,626 shares  | 204,093       |
| Procter & Gamble Company                    | Common and preferred stocks 2,426 shares  | 203,978       |
| TJX Companies, Inc.                         | Common and preferred stocks 2,617 shares  | 196,615       |
| Incyte Corporation                          | Common and preferred stocks 1,890 shares  | 189,510       |
| Kansas City Southern                        | Common and preferred stocks 2,231 shares  | 189,300       |
| Palo Alto Networks, Inc.                    | Common and preferred stocks 1,490 shares  | 186,325       |
| FedEx Corporation                           | Common and preferred stocks 993 shares    | 184,897       |
| UnitedHealth Group Inc.                     | Common and preferred stocks 1,150 shares  | 184,046       |
| Lam Resh Corporation                        | Common and preferred stocks 1,729 shares  | 182,807       |
| Caterpillar Inc.                            | Common and preferred stocks 1,920 shares  | 178,061       |
| Celgene Corporation                         | Common and preferred stocks 1,498 shares  | 173,394       |
| Delta Air Lines, Inc.                       | Common and preferred stocks 3,360 shares  | 165,278       |
| Thermo Fisher Corporation                   | Common and preferred stocks 1,169 shares  | 164,946       |
| Mobileye N.V.                               | Common and preferred stocks 4,200 shares  | 160,104       |
| athenahealth, Inc.                          | Common and preferred stocks 1,515 shares  | 159,333       |
| Intuitive Surgical, Inc.                    | Common and preferred stocks 249 shares    | 157,908       |
| Pioneer Natural Resources                   | Common and preferred stocks 845 shares    | 152,159       |
| Royal Caribbean Cruises Ltd.                | Common and preferred stocks 1,840 shares  | 150,954       |
| Diamondback Energy Inc.                     | Common and preferred stocks 1,453 shares  | 146,840       |
| Masco Corporation                           | Common and preferred stocks 4,620 shares  | 146,084       |
| Kraft Heinz Foods Company                   | Common and preferred stocks 1,650 shares  | 144,078       |
| NXP Semiconductors N.V.                     | Common and preferred stocks 1,329 shares  | 130,255       |
| Broadcom Ltd.                               | Common and preferred stocks 734 shares    | 129,749       |
| ServiceNow, Inc.                            | Common and preferred stocks 1,700 shares  | 126,378       |
| Micron Technology, Inc.                     | Common and preferred stocks 5,550 shares  | 121,656       |
| Fidelity National Information Services Inc. | Common and preferred stocks 1,571 shares  | 118,830       |
| Applied Materials, Inc.                     | Common and preferred stocks 3,660 shares  | 118,108       |
| Newell Rubbermaid Inc.                      | Common and preferred stocks 2,560 shares  | 114,304       |
| CME Group Inc.                              | Common and preferred stocks 936 shares    | 107,968       |
| CSX Corporation                             | Common and preferred stocks 3,000 shares  | 107,790       |
| Panera Bread Company Class A                | Common and preferred stocks 523 shares    | 107,262       |
| Citizens Financial Group, Inc.              | Common and preferred stocks 3,010 shares  | 107,246       |
| Wynn Resorts, Ltd.                          | Common and preferred stocks 1,231 shares  | 106,494       |
| Analog Devices, Inc.                        | Common and preferred stocks 1,440 shares  | 104,573       |
| S&P Global Inc.                             | Common and preferred stocks 965 shares    | 103,776       |
| Dollar Tree, Inc.                           | Common and preferred stocks 1,280 shares  | 98,790        |
| Albemarle Corporation                       | Common and preferred stocks 1,089 shares  | 93,741        |
| Dexcom, Inc.                                | Common and preferred stocks 1,500 shares  | 89,550        |
| Kellogg Company                             | Common and preferred stocks 1,186 shares  | 87,420        |
| Vantiv, Inc.                                | Common and preferred stocks 1,390 shares  | 82,872        |
| Deere & Company                             | Common and preferred stocks 800 shares    | 82,432        |
| eBay Inc.                                   | Common and preferred stocks 2,740 shares  | 81,351        |
| LendingClub Corporation                     | Common and preferred stocks 14,750 shares | 77,438        |

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|                            |                                          |        |
|----------------------------|------------------------------------------|--------|
| Under Armour, Inc. Class A | Common and preferred stocks 2,655 shares | 77,128 |
| Nordstrom, Inc.            | Common and preferred stocks 1,460 shares | 69,978 |
| Under Armour, Inc. Class C | Common and preferred stocks 2,673 shares | 67,279 |

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                                          | Description of Investment                 | Current Value |
|------------------------------------------------------------|-------------------------------------------|---------------|
| L3 Technologies Inc.                                       | Common and preferred stocks 420 shares    | 63,886        |
| Halliburton Company                                        | Common and preferred stocks 1,110 shares  | 60,040        |
| Pinnacle Foods Inc.                                        | Common and preferred stocks 830 shares    | 44,364        |
| CBS Corporation Class B                                    | Common and preferred stocks 630 shares    | 40,081        |
| Total Large Cap Growth Asset Class                         |                                           | 27,360,640    |
| Large Cap Index Asset Class:                               |                                           |               |
| NT Collective S&P 500 Index Fund – Non Lending*            | Collective trust funds 10,370 shares      | 77,941,514    |
| Total Large Cap Index Asset Class                          |                                           | 77,941,514    |
| Large Cap Value Asset Class:                               |                                           |               |
| NT Collective Russell 1000 Value Index Fund - Non Lending* | Collective trust funds 2,208 shares       | 700,826       |
| Oracle Corporation                                         | Common and preferred stocks 10,654 shares | 409,643       |
| National Oilwell Varco, Inc.                               | Common and preferred stocks 10,462 shares | 391,697       |
| Anthem Inc.                                                | Common and preferred stocks 1,824 shares  | 262,236       |
| Time Warner Inc.                                           | Common and preferred stocks 2,641 shares  | 254,936       |
| Bank of New York Mellon Corporation                        | Common and preferred stocks 5,258 shares  | 249,124       |
| Axis Capital Holdings Ltd.                                 | Common and preferred stocks 3,595 shares  | 234,646       |
| NT Collective Short Term Investment Fund*                  | Collective trust funds 230,974 shares     | 230,974       |
| Swiss Re AG                                                | Common and preferred stocks 2,353 shares  | 223,412       |
| McKesson Corporation                                       | Common and preferred stocks 1,588 shares  | 223,035       |
| CVS Health Corporation                                     | Common and preferred stocks 2,781 shares  | 219,449       |
| Bank of America Corporation*                               | Common and preferred stocks 9,900 shares  | 218,790       |
| Capital One Financial Corporation                          | Common and preferred stocks 2,450 shares  | 213,738       |
| The Charles Schwab Corporation                             | Common and preferred stocks 5,250 shares  | 207,218       |
| Wells Fargo & Company*                                     | Common and preferred stocks 3,750 shares  | 206,663       |
| GKN plc                                                    | Common and preferred stocks 48,882 shares | 200,350       |
| State Street Corporation                                   |                                           | 199,041       |

|                                         |                                          |         |
|-----------------------------------------|------------------------------------------|---------|
|                                         | Common and preferred stocks 2,561 shares |         |
| AmerisourceBergen Corporation           | Common and preferred stocks 2,543 shares | 198,837 |
| Cisco Systems, Inc.                     | Common and preferred stocks 6,483 shares | 195,916 |
| Discovery Communications, Inc. Series C | Common and preferred stocks 7,224 shares | 193,459 |
| The Goldman Sachs Group, Inc.           | Common and preferred stocks 800 shares   | 191,560 |
| Hilton Worldwide Holdings Inc.          | Common and preferred stocks 6,858 shares | 186,538 |
| Hewlett Packard Enterprise Company      | Common and preferred stocks 7,750 shares | 179,335 |
| Visa Inc. Class A                       | Common and preferred stocks 2,236 shares | 174,453 |
| Everest Re Group                        | Common and preferred stocks 802 shares   | 173,553 |
| Mastercard Inc. Class A                 | Common and preferred stocks 1,628 shares | 168,091 |
| Cardinal Health, Inc.                   | Common and preferred stocks 2,282 shares | 164,236 |
| Charter Communications, Inc. Class A    | Common and preferred stocks 557 shares   | 160,371 |
| Sanofi-Aventis                          | Common and preferred stocks 3,950 shares | 159,738 |
| Qorvo, Inc.                             | Common and preferred stocks 2,828 shares | 149,120 |
| Comcast Corporation Class A             | Common and preferred stocks 2,150 shares | 148,458 |
| Microsoft Corporation                   | Common and preferred stocks 2,300 shares | 142,922 |
| Skyworks Solutions Inc.                 | Common and preferred stocks 1,897 shares | 141,630 |
| UnitedHealth Group Inc.                 | Common and preferred stocks 855 shares   | 136,834 |
| Boeing Company                          | Common and preferred stocks 870 shares   | 135,442 |
| Novartis AG                             | Common and preferred stocks 1,850 shares | 134,754 |
| J.P. Morgan Chase & Company*            | Common and preferred stocks 1,500 shares | 129,435 |
| Schlumberger Ltd.                       | Common and preferred stocks 1,500 shares | 125,925 |
| CBRE Group Inc. Class A                 | Common and preferred stocks 3,977 shares | 125,236 |

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                      | Description of Investment                | Current Value |
|----------------------------------------|------------------------------------------|---------------|
| FedEx Corporation                      | Common and preferred stocks 650 shares   | 121,030       |
| MetLife, Inc.*                         | Common and preferred stocks 2,200 shares | 118,558       |
| Alphabet Inc. Class C                  | Common and preferred stocks 150 shares   | 115,773       |
| Franklin Resources, Inc.               | Common and preferred stocks 2,898 shares | 114,703       |
| Walt Disney Company                    | Common and preferred stocks 1,095 shares | 114,121       |
| InterContinental Hotels Group plc      | Common and preferred stocks 2,561 shares | 113,529       |
| American Express Company               | Common and preferred stocks 1,500 shares | 111,120       |
| Fossil Group, Inc.                     | Common and preferred stocks 3,991 shares | 103,207       |
| Aetna Inc.                             | Common and preferred stocks 829 shares   | 102,804       |
| Twenty-First Century Fox, Inc. Class A | Common and preferred stocks 3,650 shares | 102,346       |
| Apache Corporation                     | Common and preferred stocks 1,600 shares | 101,552       |
| Hewlett-Packard, Inc.                  | Common and preferred stocks 6,400 shares | 94,976        |
| Cigna Corporation                      | Common and preferred stocks 700 shares   | 93,373        |
| Wal-Mart Stores, Inc.                  | Common and preferred stocks 1,250 shares | 86,400        |
| Parker-Hannifin Corporation            | Common and preferred stocks 602 shares   | 84,280        |
| Anadarko Petroleum Corporation         | Common and preferred stocks 1,150 shares | 80,190        |
| Roche Holdings Ltd.                    | Common and preferred stocks 2,800 shares | 79,884        |
| Sabre Corporation                      | Common and preferred stocks 3,179 shares | 79,316        |
| Baker Hughes Inc. 7.5% Due 11/15/2018  | Common and preferred stocks 1,200 shares | 77,964        |
| Union Pacific Corporation              | Common and preferred stocks 740 shares   | 76,723        |
| Sprint Corporation                     | Common and preferred stocks 9,024 shares | 75,982        |
| Express Scripts Holding Company        | Common and preferred stocks 1,100 shares | 75,669        |
| Bristol-Myers Squibb Company           | Common and preferred stocks 1,250 shares | 73,050        |
| TE Connectivity Ltd.                   | Common and preferred stocks 900 shares   | 62,352        |
| AstraZeneca plc                        | Common and preferred stocks 2,250 shares | 61,470        |
| Celanese Corporation                   | Common and preferred stocks 750 shares   | 59,055        |
| BB&T Corporation                       | Common and preferred stocks 1,250 shares | 58,775        |
| The Priceline Group Inc.               | Common and preferred stocks 40 shares    | 58,642        |
| Merck & Co., Inc.                      | Common and preferred stocks 850 shares   | 50,040        |
| Corning Inc.                           | Common and preferred stocks 2,000 shares | 48,540        |
| Dish Network Corporation Class A       | Common and preferred stocks 800 shares   | 46,344        |
| NetApp, Inc.                           | Common and preferred stocks 1,300 shares | 45,851        |
| Medtronic plc                          | Common and preferred stocks 640 shares   | 45,587        |
| Maxim Integrated Products, Inc.        | Common and preferred stocks 1,150 shares | 44,356        |
| Target Corporation                     | Common and preferred stocks 600 shares   | 43,338        |
| Synopsys, Inc.                         | Common and preferred stocks 700 shares   | 41,202        |
| Johnson Controls International plc     | Common and preferred stocks 993 shares   | 40,902        |
| Concho Resources Inc.                  | Common and preferred stocks 300 shares   | 39,780        |
| Dell Technologies Inc. Class V         | Common and preferred stocks 712 shares   | 39,139        |
| VMware Inc. Class A                    | Common and preferred stocks 450 shares   | 35,429        |
| Alphabet Inc. Class A                  | Common and preferred stocks 40 shares    | 31,698        |
| Aegon N.V.*                            | Common and preferred stocks 5,700 shares | 31,521        |
| Harley-Davidson                        | Common and preferred stocks 500 shares   | 29,170        |
| Danaher Corporation                    | Common and preferred stocks 350 shares   | 27,244        |
| Coach, Inc.                            | Common and preferred stocks 750 shares   | 26,265        |
| Liberty Interactive Corporation        | Common and preferred stocks 1,100 shares | 21,978        |
| Twenty-First Century Fox, Inc. Class B | Common and preferred stocks 800 shares   | 21,800        |

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|                               |                                        |        |
|-------------------------------|----------------------------------------|--------|
| Zayo Group Holdings Inc.      | Common and preferred stocks 600 shares | 19,716 |
| Juniper Networks, Inc.        | Common and preferred stocks 600 shares | 16,956 |
| Alnylam Pharmaceuticals, Inc. | Common and preferred stocks 400 shares | 14,976 |

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                                                   | Description of Investment                | Current Value          |
|---------------------------------------------------------------------|------------------------------------------|------------------------|
| Weatherford International Ltd.                                      | Common and preferred stocks 2,000 shares | 9,980                  |
| Swiss Re AG                                                         | Common and preferred stocks 91 shares    | 8,636                  |
| Adient plc                                                          | Common and preferred stocks 99 shares    | 5,801                  |
| News Corporation Class A                                            | Common and preferred stocks 500 shares   | 5,730                  |
| Total Large Cap Value Asset Class                                   |                                          | 11,450,444             |
| Participant Self-Directed Accounts                                  | Various Investments                      | 1,263,948<br>1,263,948 |
| Real Estate Investment Trust (REIT) Asset Class:                    |                                          |                        |
| Vanguard Specialized Portfolios REIT Index Fund Institutional Class | Mutual Fund 508,554 shares               | 9,199,749              |
| NT Collective Short Term Investment Fund*                           | Collective trust funds 594,457 shares    | 594,457                |
| Total Real Estate Investment Trust (REIT) Asset Class               |                                          | 9,794,206              |
| Small-Mid Cap Growth Asset Class:                                   |                                          |                        |
| Wasatch Small Cap Growth Fund                                       | Mutual Fund 39,354 shares                | 1,565,511              |
| NT Collective Russell 2000 Growth Index Fund - Non Lending*         | Collective trust funds 901 shares        | 253,028                |
| Idexx Laboratories, Inc.                                            | Common and preferred stocks 496 shares   | 58,166                 |
| Mobileye N.V.                                                       | Common and preferred stocks 1,491 shares | 56,837                 |
| WellCare Health Plans, Inc.                                         | Common and preferred stocks 308 shares   | 42,221                 |
| Micron Technology, Inc.                                             | Common and preferred stocks 1,840 shares | 40,333                 |
| BorgWarner Inc.                                                     | Common and preferred stocks 1,020 shares | 40,229                 |
| ServiceNow, Inc.                                                    | Common and preferred stocks 523 shares   | 38,880                 |
| CommScope Holding Company, Inc.                                     | Common and preferred stocks 1,007 shares | 37,460                 |
| Align Technology, Inc.                                              | Common and preferred stocks 382 shares   | 36,722                 |
| Royal Caribbean Cruises Ltd.                                        | Common and preferred stocks 440 shares   | 36,098                 |
| Middleby Corporation                                                | Common and preferred stocks 280 shares   | 36,067                 |
| Burlington Stores, Inc.                                             | Common and preferred stocks 423 shares   | 35,849                 |
| Tenneco Inc.                                                        | Common and preferred stocks 570 shares   | 35,608                 |
| Zions Bancorporation                                                |                                          | 34,432                 |

|                                         |                                          |        |
|-----------------------------------------|------------------------------------------|--------|
|                                         | Common and preferred stocks 800 shares   |        |
| Stamps.com Inc.                         | Common and preferred stocks 285 shares   | 32,675 |
| E*TRADE Financial Corporation           | Common and preferred stocks 910 shares   | 31,532 |
| Spirit Airlines, Inc.                   | Common and preferred stocks 540 shares   | 31,244 |
| AMETEK, Inc.                            | Common and preferred stocks 640 shares   | 31,104 |
| Vail Resorts Inc.                       | Common and preferred stocks 190 shares   | 30,649 |
| Newfield Exploration Company            | Common and preferred stocks 740 shares   | 29,970 |
| Ulta Salon, Cosmetics & Fragrance, Inc. | Common and preferred stocks 112 shares   | 28,553 |
| Snyder's-Lance Inc.                     | Common and preferred stocks 730 shares   | 27,988 |
| First Republic Bank                     | Common and preferred stocks 300 shares   | 27,642 |
| NuVasive, Inc.                          | Common and preferred stocks 390 shares   | 26,270 |
| Genesee & Wyoming Inc. Class A          | Common and preferred stocks 350 shares   | 24,294 |
| Nevro Corporation                       | Common and preferred stocks 327 shares   | 23,760 |
| RingCentral, Inc. Class A               | Common and preferred stocks 1,130 shares | 23,278 |
| Albemarle Corporation                   | Common and preferred stocks 270 shares   | 23,242 |
| Universal Display Corporation           | Common and preferred stocks 362 shares   | 20,381 |
| iRobot Corporation                      | Common and preferred stocks 340 shares   | 19,873 |
| TESARO Inc.                             | Common and preferred stocks 145 shares   | 19,500 |
| Diamondback Energy Inc.                 | Common and preferred stocks 190 shares   | 19,201 |
| Imax Corp                               | Common and preferred stocks 610 shares   | 19,154 |
| Square Inc. Class A                     | Common and preferred stocks 1,380 shares | 18,809 |
| U.S. Concrete, Inc.                     | Common and preferred stocks 277 shares   | 18,144 |

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                               | Description of Investment                | Current Value |
|-------------------------------------------------|------------------------------------------|---------------|
| CommVault Systems, Inc.                         | Common and preferred stocks 340 shares   | 17,476        |
| Radian Group Inc.                               | Common and preferred stocks 960 shares   | 17,261        |
| Vocera Communications Inc.                      | Common and preferred stocks 930 shares   | 17,196        |
| Booz Allen Hamilton Holding Corporation Class A | Common and preferred stocks 470 shares   | 16,953        |
| Mettler-Toledo International Inc.               | Common and preferred stocks 40 shares    | 16,742        |
| Cognex Corporation                              | Common and preferred stocks 260 shares   | 16,541        |
| Nordstrom, Inc.                                 | Common and preferred stocks 340 shares   | 16,296        |
| U.S. Silica Holdings Inc.                       | Common and preferred stocks 280 shares   | 15,870        |
| Take Two Interactive Software Inc.              | Common and preferred stocks 320 shares   | 15,773        |
| Inter Parfums, Inc.                             | Common and preferred stocks 480 shares   | 15,720        |
| HealthSouth Corporation                         | Common and preferred stocks 380 shares   | 15,671        |
| Five9 Inc.                                      | Common and preferred stocks 1,066 shares | 15,127        |
| MINDBODY Inc. Class A                           | Common and preferred stocks 710 shares   | 15,123        |
| Comerica Inc.                                   | Common and preferred stocks 220 shares   | 14,984        |
| K2M Group Holdings, Inc.                        | Common and preferred stocks 714 shares   | 14,309        |
| Trimble Inc.                                    | Common and preferred stocks 460 shares   | 13,869        |
| MKS Instruments, Inc.                           | Common and preferred stocks 220 shares   | 13,068        |
| Panera Bread Company Class A                    | Common and preferred stocks 60 shares    | 12,305        |
| Dycom Industries, Inc.                          | Common and preferred stocks 153 shares   | 12,284        |
| Coherent, Inc.                                  | Common and preferred stocks 89 shares    | 12,227        |
| Vantiv, Inc.                                    | Common and preferred stocks 200 shares   | 11,924        |
| Grubhub Inc.                                    | Common and preferred stocks 300 shares   | 11,286        |
| Match Group Inc.                                | Common and preferred stocks 660 shares   | 11,286        |
| ABIOMED, Inc.                                   |                                          | 11,268        |

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|                                                                |                                        |            |
|----------------------------------------------------------------|----------------------------------------|------------|
|                                                                | Common and preferred stocks 100 shares |            |
| Norwegian Cruise Line Holdings Ltd.                            | Common and preferred stocks 260 shares | 11,058     |
| Mercury Systems, Inc.                                          | Common and preferred stocks 350 shares | 10,577     |
| Dave & Buster's Entertainment, Inc.                            | Common and preferred stocks 180 shares | 10,134     |
| Shopify Inc.                                                   | Common and preferred stocks 235 shares | 10,074     |
| Coherus Biosciences, Inc.                                      | Common and preferred stocks 322 shares | 9,064      |
| Lexicon Pharmaceuticals, Inc.                                  | Common and preferred stocks 637 shares | 8,810      |
| CACI International Inc.                                        | Common and preferred stocks 70 shares  | 8,701      |
| Microsemi Corporation                                          | Common and preferred stocks 160 shares | 8,635      |
| NT Collective Short Term Investment Fund*                      | Collective trust funds 8,424 shares    | 8,424      |
| Wabash National Corporation                                    | Common and preferred stocks 520 shares | 8,226      |
| PVH Corporation                                                | Common and preferred stocks 90 shares  | 8,122      |
| Expedia, Inc.                                                  | Common and preferred stocks 70 shares  | 7,930      |
| Parsley Energy Inc. Class A                                    | Common and preferred stocks 225 shares | 7,929      |
| Whiting Petroleum Corporation                                  | Common and preferred stocks 640 shares | 7,693      |
| ViaSat, Inc.                                                   | Common and preferred stocks 115 shares | 7,615      |
| Ultragenyx Pharmaceutical Inc.                                 | Common and preferred stocks 100 shares | 7,031      |
| Zumiez Inc.                                                    | Common and preferred stocks 320 shares | 6,992      |
| Jack in the Box Inc.                                           | Common and preferred stocks 60 shares  | 6,698      |
| bluebird bio Inc.                                              | Common and preferred stocks 90 shares  | 5,553      |
| Proofpoint, Inc.                                               | Common and preferred stocks 76 shares  | 5,369      |
| Intra-Cellular Therapies, Inc.                                 | Common and preferred stocks 322 shares | 4,859      |
| Neurocrine Biosciences, Inc.                                   | Common and preferred stocks 120 shares | 4,644      |
| Total Small-Mid Cap Growth Asset Class                         |                                        | 3,399,401  |
| Small-Mid Cap Index Asset Class:                               |                                        |            |
| NT Collective Extended Equity Market Index Fund - Non Lending* | Collective trust funds 103,404 shares  | 16,733,919 |



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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                                          | Description of Investment                 | Current Value |
|------------------------------------------------------------|-------------------------------------------|---------------|
| Total Small-Mid Cap Index Asset Class                      |                                           | 16,733,919    |
| Small-Mid Cap Value Asset Class:                           |                                           |               |
| NT Collective Russell 2000 Value Index Fund - Non Lending* | Collective trust funds 7,371 shares       | 2,115,769     |
| NT Collective Short Term Investment Fund*                  | Collective trust funds 1,319,047 shares   | 1,319,047     |
| Popular, Inc.*                                             | Common and preferred stocks 16,640 shares | 729,155       |
| ARRIS International plc                                    | Common and preferred stocks 17,045 shares | 513,566       |
| Tri Pointe Homes, Inc.                                     | Common and preferred stocks 43,250 shares | 496,510       |
| Citigroup Inc.                                             | Common and preferred stocks 11,010 shares | 469,907       |
| Whiting Petroleum Corporation                              | Common and preferred stocks 36,600 shares | 439,932       |
| Bio-Rad Laboratories, Inc. Class A                         | Common and preferred stocks 2,405 shares  | 438,383       |
| Mitel Networks Corporation                                 | Common and preferred stocks 61,150 shares | 415,820       |
| NRG Energy, Inc.                                           | Common and preferred stocks 30,200 shares | 370,252       |
| Haverty Furniture Companies, Inc.                          | Common and preferred stocks 15,200 shares | 360,240       |
| Citizens Financial Group, Inc.                             | Common and preferred stocks 9,800 shares  | 349,174       |
| Regions Financial Corporation                              | Common and preferred stocks 24,200 shares | 347,512       |
| Corning Inc.                                               | Common and preferred stocks 14,100 shares | 342,207       |
| Lattice Semiconductor Company                              | Common and preferred stocks 46,030 shares | 338,781       |
| Office Depot, Inc.                                         | Common and preferred stocks 74,500 shares | 336,740       |
| Goodyear Tire & Rubber Company                             | Common and preferred stocks 10,900 shares | 336,483       |
| Western Alliance Bancorporation                            | Common and preferred stocks 6,756 shares  | 329,085       |
| Calpine Corporation                                        | Common and preferred stocks 28,500 shares | 325,755       |
| Ericsson                                                   | Common and preferred stocks 55,800 shares | 325,314       |
| Kosmos Energy Ltd.                                         | Common and preferred stocks 44,800 shares | 314,048       |
| Pacwest Bancorp Company                                    | Common and preferred stocks 5,725 shares  | 311,669       |
| Newfield Exploration Company                               |                                           | 300,105       |

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|                                    |                                            |         |
|------------------------------------|--------------------------------------------|---------|
|                                    | Common and preferred stocks 7,410 shares   |         |
| Ophir Energy Company               | Common and preferred stocks 120,500 shares | 287,368 |
| Coherent, Inc.                     | Common and preferred stocks 2,075 shares   | 285,074 |
| Kemper Corporation                 | Common and preferred stocks 6,360 shares   | 281,748 |
| Treehouse Foods, Inc.              | Common and preferred stocks 3,880 shares   | 280,097 |
| Axis Capital Holdings Ltd.         | Common and preferred stocks 4,280 shares   | 279,356 |
| Ramco-Gershenson Properties Trust  | Common and preferred stocks 16,720 shares  | 277,218 |
| EnerSys                            | Common and preferred stocks 3,540 shares   | 276,474 |
| Cairn Energy plc                   | Common and preferred stocks 45,900 shares  | 267,588 |
| Forestar Group Inc.                | Common and preferred stocks 19,900 shares  | 264,670 |
| Electronics For Imaging, Inc.      | Common and preferred stocks 5,970 shares   | 261,844 |
| PPDC Energy Inc.                   | Common and preferred stocks 3,505 shares   | 254,393 |
| Materion Corporation               | Common and preferred stocks 6,385 shares   | 252,846 |
| Hewlett Packard Enterprise Company | Common and preferred stocks 10,900 shares  | 252,226 |
| Capital Bank Financial Corporation | Common and preferred stocks 6,355 shares   | 249,434 |
| Royal Mail plc                     | Common and preferred stocks 21,800 shares  | 248,738 |
| Taylor Morrison Home Corporation   | Common and preferred stocks 12,730 shares  | 245,180 |
| Willis Towers Watson plc           | Common and preferred stocks 1,998 shares   | 244,315 |
| Orbital ATK Inc.                   | Common and preferred stocks 2,725 shares   | 239,064 |
| CNO Financial Group, Inc.          | Common and preferred stocks 12,480 shares  | 238,992 |
| Equity Commonwealth                | Common and preferred stocks 7,720 shares   | 233,453 |
| PrivateBancorp, Inc.               | Common and preferred stocks 4,295 shares   | 232,746 |
| Brandywine Realty Trust            | Common and preferred stocks 14,063 shares  | 232,180 |
| Bed Bath & Beyond Inc.             | Common and preferred stocks 5,700 shares   | 231,648 |
| Ameris Bancorp                     | Common and preferred stocks 5,300 shares   | 231,080 |



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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                          | Description of Investment                 | Current Value |
|--------------------------------------------|-------------------------------------------|---------------|
| Customers Bancorp, Inc.                    | Common and preferred stocks 6,430 shares  | 230,323       |
| John B. Sanfilippo & Son, Inc.             | Common and preferred stocks 3,259 shares  | 229,401       |
| Libbey, Inc.                               | Common and preferred stocks 11,460 shares | 223,012       |
| Gulfport Energy Corporation                | Common and preferred stocks 10,190 shares | 220,512       |
| Universal Electronics Inc.                 | Common and preferred stocks 3,370 shares  | 217,534       |
| Colony Starwood Homes                      | Common and preferred stocks 7,550 shares  | 217,516       |
| La-Z-Boy, Inc.                             | Common and preferred stocks 6,922 shares  | 214,928       |
| The Geo Group, Inc.                        | Common and preferred stocks 5,890 shares  | 211,628       |
| Heritage Financial Corporation             | Common and preferred stocks 8,215 shares  | 211,536       |
| Albany International Corporation Class A   | Common and preferred stocks 4,565 shares  | 211,360       |
| Discovery Communications Inc. Series A     | Common and preferred stocks 7,600 shares  | 208,316       |
| Synergy Resources Corporation              | Common and preferred stocks 23,160 shares | 206,356       |
| Marathon Oil Corporation                   | Common and preferred stocks 11,700 shares | 202,527       |
| Navistar International Corporation         | Common and preferred stocks 6,400 shares  | 200,768       |
| Fred's Inc. Class A                        | Common and preferred stocks 10,480 shares | 194,509       |
| Tutor Perini Corporation                   | Common and preferred stocks 6,920 shares  | 193,760       |
| Gramercy Property Trust                    | Common and preferred stocks 21,090 shares | 193,606       |
| Tetra Tech, Inc.                           | Common and preferred stocks 37,920 shares | 190,358       |
| The Bank of N.T. Butterfield & Son Ltd.    | Common and preferred stocks 5,965 shares  | 187,540       |
| Avnet, Inc.                                | Common and preferred stocks 3,900 shares  | 185,679       |
| Accuray Inc.                               | Common and preferred stocks 40,140 shares | 184,644       |
| ON Semiconductor Corporation               | Common and preferred stocks 14,400 shares | 183,744       |
| Great Lakes Dredge & Dock Corporation      | Common and preferred stocks 43,330 shares | 181,986       |
| Northfield Bancorp Inc.                    | Common and preferred stocks 8,880 shares  | 177,334       |
| CDW Corporation                            | Common and preferred stocks 3,400 shares  | 177,106       |
| National Bank Holdings Corporation Class A | Common and preferred stocks 5,550 shares  | 176,990       |
| Exar Corporation                           | Common and preferred stocks 16,320 shares | 175,930       |
| State Bank Financial Corporation           | Common and preferred stocks 6,440 shares  | 172,978       |
| MDC Partners Inc. Class A                  | Common and preferred stocks 26,090 shares | 170,890       |
| Kennedy-Wilson Holdings, Inc.              | Common and preferred stocks 8,310 shares  | 170,355       |
| Central Pacific Financial Corporation      | Common and preferred stocks 5,350 shares  | 168,097       |
| Covanta Holding Corporation                | Common and preferred stocks 10,730 shares | 167,388       |
| Bunge Ltd.                                 | Common and preferred stocks 2,300 shares  | 166,152       |
| Teradyne, Inc.                             | Common and preferred stocks 6,490 shares  | 164,846       |
| Qorvo, Inc.                                | Common and preferred stocks 3,060 shares  | 161,354       |
| Boise Cascade Company                      | Common and preferred stocks 7,085 shares  | 159,413       |
| Marvell Technology Group Ltd.              | Common and preferred stocks 11,400 shares | 158,118       |
| First Foundation Inc.                      | Common and preferred stocks 5,540 shares  | 157,890       |
| Fulton Financial Corporation               | Common and preferred stocks 8,180 shares  | 153,784       |
| Maiden Holdings Ltd.                       | Common and preferred stocks 8,760 shares  | 152,862       |
| Microsemi Corporation                      | Common and preferred stocks 2,735 shares  | 147,608       |
| KBR, Inc.                                  | Common and preferred stocks 8,720 shares  | 145,537       |
| FreightCar America, Inc.                   | Common and preferred stocks 9,720 shares  | 145,120       |
| Reinsurance Group of America, Inc.         | Common and preferred stocks 1,150 shares  | 144,705       |
| Meridian Bancorp, Inc.                     | Common and preferred stocks 7,560 shares  | 142,884       |
| InnerWorkings, Inc.                        | Common and preferred stocks 14,210 shares | 139,969       |
| Scorpio Tankers Inc.                       | Common and preferred stocks 30,810 shares | 139,569       |

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|                                  |                                          |         |
|----------------------------------|------------------------------------------|---------|
| PHH Corporation                  | Common and preferred stocks 8,900 shares | 134,924 |
| ICF International, Inc.          | Common and preferred stocks 2,430 shares | 134,136 |
| Lumber Liquidators Holdings Inc. | Common and preferred stocks 8,520 shares | 134,105 |

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                                  | Description of Investment                 | Current Value |
|----------------------------------------------------|-------------------------------------------|---------------|
| Cedar Realty Trust, Inc.                           | Common and preferred stocks 20,360 shares | 132,951       |
| Babcock & Wilcox Enterprises Inc.                  | Common and preferred stocks 7,890 shares  | 130,895       |
| United Community Bank Blairsville Georgia          | Common and preferred stocks 4,400 shares  | 130,328       |
| News Corporation Class A                           | Common and preferred stocks 11,200 shares | 128,352       |
| Inter Parfums, Inc.                                | Common and preferred stocks 3,915 shares  | 128,216       |
| Century Communities, Inc.                          | Common and preferred stocks 6,080 shares  | 127,680       |
| Santander Consumer USA Holdings, Inc.              | Common and preferred stocks 9,400 shares  | 126,900       |
| DHT Holdings Inc.                                  | Common and preferred stocks 29,960 shares | 124,034       |
| Two Harbors Investment Corporation                 | Common and preferred stocks 14,150 shares | 123,388       |
| Cummins Inc.                                       | Common and preferred stocks 870 shares    | 118,903       |
| Adient plc                                         | Common and preferred stocks 2,000 shares  | 117,200       |
| Kohl's Corporation                                 | Common and preferred stocks 2,300 shares  | 113,574       |
| Xi Group Ltd.                                      | Common and preferred stocks 3,040 shares  | 113,270       |
| Murphy Oil Corporation                             | Common and preferred stocks 3,600 shares  | 112,068       |
| PH Glatfelter Company                              | Common and preferred stocks 4,645 shares  | 110,969       |
| Deltic Timber Corporation                          | Common and preferred stocks 1,435 shares  | 110,595       |
| Bruker Corporation                                 | Common and preferred stocks 5,205 shares  | 110,242       |
| Woodward Inc.                                      | Common and preferred stocks 1,595 shares  | 110,135       |
| Euronet Worldwide, Inc.                            | Common and preferred stocks 1,495 shares  | 108,283       |
| Ultratech, Inc.                                    | Common and preferred stocks 4,420 shares  | 105,992       |
| McDermott International, Inc.                      | Common and preferred stocks 14,300 shares | 105,677       |
| Harley-Davidson                                    | Common and preferred stocks 1,800 shares  | 105,012       |
| NorthWestern Corporation                           | Common and preferred stocks 1,820 shares  | 103,503       |
| Embraer SA                                         | Common and preferred stocks 5,300 shares  | 102,025       |
| Aerohive Networks Inc.                             | Common and preferred stocks 17,840 shares | 101,688       |
| ALLETE Inc.                                        | Common and preferred stocks 1,560 shares  | 100,136       |
| Titan Machinery Inc.                               | Common and preferred stocks 6,860 shares  | 99,950        |
| Cobalt International Energy, Inc.                  | Common and preferred stocks 81,500 shares | 99,430        |
| Trinity Biotech plc                                | Common and preferred stocks 14,360 shares | 99,371        |
| Great Plains Energy Inc.                           | Common and preferred stocks 3,550 shares  | 97,093        |
| ARC Document Solutions Inc.                        | Common and preferred stocks 19,090 shares | 96,977        |
| Avery Dennison Corporation                         | Common and preferred stocks 1,345 shares  | 94,446        |
| PNM Resources, Inc.                                | Common and preferred stocks 2,750 shares  | 94,325        |
| Apogee Enterprises, Inc.                           | Common and preferred stocks 1,700 shares  | 91,052        |
| Seritage Growth Properties Class A                 | Common and preferred stocks 2,040 shares  | 87,128        |
| QAD Inc. Class A                                   | Common and preferred stocks 2,850 shares  | 86,640        |
| Portland General Electric Company                  | Common and preferred stocks 1,990 shares  | 86,227        |
| Bazaarvoice Inc.                                   | Common and preferred stocks 17,720 shares | 85,942        |
| Matrix Service Company                             | Common and preferred stocks 3,690 shares  | 83,763        |
| Magna International Inc.                           | Common and preferred stocks 1,900 shares  | 82,460        |
| Kearny Financial Corporation                       | Common and preferred stocks 5,260 shares  | 81,793        |
| Xcerra Corporation                                 | Common and preferred stocks 9,910 shares  | 75,712        |
| MedEquities Realty Trust Inc.                      | Common and preferred stocks 6,810 shares  | 75,591        |
| Ferroglobe plc                                     | Common and preferred stocks 6,840 shares  | 74,077        |
| Teradata Corporation                               | Common and preferred stocks 2,700 shares  | 73,359        |
| FBR & Co. formerly FBR Capital Markets Corporation | Common and preferred stocks 5,630 shares  | 73,190        |
| Barrett Bill Corporation                           | Common and preferred stocks 10,340 shares | 72,277        |

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|                          |                                          |        |
|--------------------------|------------------------------------------|--------|
| Caretrust REIT Inc.      | Common and preferred stocks 4,620 shares | 70,778 |
| Orion Marine Group, Inc. | Common and preferred stocks 7,100 shares | 70,645 |
| Celadon Group, Inc.      | Common and preferred stocks 9,830 shares | 70,285 |

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Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                       | Description of Investment                 | Current Value |
|-----------------------------------------|-------------------------------------------|---------------|
| South Jersey Industries Inc.            | Common and preferred stocks 2,050 shares  | 69,065        |
| Air Transport Services Group, Inc.      | Common and preferred stocks 4,160 shares  | 66,394        |
| Allegheny Technologies Inc.             | Common and preferred stocks 4,120 shares  | 65,632        |
| AdvanSix Inc.                           | Common and preferred stocks 2,950 shares  | 65,313        |
| Imperva Inc.                            | Common and preferred stocks 1,690 shares  | 64,896        |
| The Hanover Insurance Group, Inc.       | Common and preferred stocks 700 shares    | 63,707        |
| Chesapeake Utilities Corporation        | Common and preferred stocks 930 shares    | 62,264        |
| Ardmore Shipping Corporation            | Common and preferred stocks 8,340 shares  | 61,716        |
| Westmoreland Coal Company               | Common and preferred stocks 3,490 shares  | 61,668        |
| Vocera Communications Inc.              | Common and preferred stocks 3,330 shares  | 61,572        |
| Extraction Oil & Gas Inc.               | Common and preferred stocks 3,050 shares  | 61,122        |
| Landec Corporation                      | Common and preferred stocks 4,410 shares  | 60,858        |
| AMN Healthcare Services, Inc.           | Common and preferred stocks 1,550 shares  | 59,598        |
| Real Industry, Inc.                     | Common and preferred stocks 9,620 shares  | 58,682        |
| Texas Capital Bancshares, Inc.          | Common and preferred stocks 745 shares    | 58,408        |
| Generac Holdings Inc.                   | Common and preferred stocks 1,430 shares  | 58,258        |
| Pacific Ethanol, Inc.                   | Common and preferred stocks 6,060 shares  | 57,570        |
| Spirit Airlines, Inc.                   | Common and preferred stocks 990 shares    | 57,281        |
| SBV Financial Group                     | Common and preferred stocks 330 shares    | 56,648        |
| Eclipse Resources Corporation           | Common and preferred stocks 21,150 shares | 56,471        |
| El Paso Electric Company                | Common and preferred stocks 1,210 shares  | 56,265        |
| Atmos Energy Corporation                | Common and preferred stocks 755 shares    | 55,983        |
| Sierra Wireless, Inc.                   | Common and preferred stocks 3,530 shares  | 55,421        |
| RH                                      | Common and preferred stocks 1,800 shares  | 55,260        |
| Del Taco Restaurants Inc.               | Common and preferred stocks 3,820 shares  | 53,938        |
| Allison Transmission Holdings, Inc.     | Common and preferred stocks 1,600 shares  | 53,904        |
| KEYW Holding Corporation                | Common and preferred stocks 4,570 shares  | 53,880        |
| Brown & Brown Inc.                      | Common and preferred stocks 1,200 shares  | 53,832        |
| Discovery Communications, Inc. Series C | Common and preferred stocks 2,000 shares  | 53,560        |
| Nimble Storage Inc.                     | Common and preferred stocks 6,600 shares  | 52,272        |
| Fidelity National Financial, Inc.       | Common and preferred stocks 3,800 shares  | 52,060        |
| Zimmer Biomet Holdings Inc.             | Common and preferred stocks 500 shares    | 51,600        |
| Fifth Third Bancorp                     | Common and preferred stocks 1,900 shares  | 51,243        |
| Sequential Brands Group, Inc.           | Common and preferred stocks 10,920 shares | 51,106        |
| Cadiz Inc.                              | Common and preferred stocks 4,070 shares  | 50,875        |
| Ally Financial Inc.                     | Common and preferred stocks 2,600 shares  | 49,452        |
| SunTrust Banks, Inc.                    | Common and preferred stocks 900 shares    | 49,365        |
| Stealthgas Inc.                         | Common and preferred stocks 14,590 shares | 49,314        |
| Franks International N.V.               | Common and preferred stocks 4,000 shares  | 49,240        |
| Freshpet, Inc.                          | Common and preferred stocks 4,790 shares  | 48,619        |
| Lumentum Holdings Inc.                  | Common and preferred stocks 1,256 shares  | 48,544        |
| Engility Holdings, Inc.                 | Common and preferred stocks 1,430 shares  | 48,191        |
| Investors Bancorp, Inc.                 | Common and preferred stocks 3,390 shares  | 47,291        |
| Avis Budget Group Inc.                  | Common and preferred stocks 1,200 shares  | 44,016        |
| Digi International Inc.                 | Common and preferred stocks 3,100 shares  | 42,625        |
| Shoe Carnival, Inc.                     | Common and preferred stocks 1,570 shares  | 42,359        |
| Flotek Industries Inc.                  | Common and preferred stocks 4,360 shares  | 40,940        |

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|                              |                                          |        |
|------------------------------|------------------------------------------|--------|
| Staples, Inc.                | Common and preferred stocks 4,500 shares | 40,725 |
| Viavi Solutions Inc.         | Common and preferred stocks 4,950 shares | 40,491 |
| Catchmark Timber Trust, Inc. | Common and preferred stocks 3,340 shares | 37,608 |

## Schedule H, line 4i – Schedule of Assets (Held at End of Year) (continued)

| Identity of Issue                | Description of Investment                | Current Value |
|----------------------------------|------------------------------------------|---------------|
| Hess Corporation LLC             | Common and preferred stocks 600 shares   | 37,374        |
| Crocs, Inc.                      | Common and preferred stocks 5,390 shares | 36,975        |
| Carpenter Technology Corporation | Common and preferred stocks 1,010 shares | 36,532        |
| Ichor Holdings Ltd.              | Common and preferred stocks 3,090 shares | 33,434        |
| Intra-Cellular Therapies, Inc.   | Common and preferred stocks 1,420 shares | 33,086        |
| Tabula Rasa HealthCare Inc.      | Common and preferred stocks 2,140 shares | 32,057        |
| Newpark Resources Inc.           | Common and preferred stocks 4,240 shares | 31,800        |
| Smart Sand Inc.                  | Common and preferred stocks 1,780 shares | 29,459        |
| LifePoint Hospitals, Inc.        | Common and preferred stocks 500 shares   | 28,400        |
| Rent-A-Center, Inc.              | Common and preferred stocks 2,500 shares | 28,125        |
| Ooma Inc.                        | Common and preferred stocks 3,080 shares | 27,720        |
| Ciber, Inc.                      | Common and preferred                     | 26,896        |

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|                                     |                                                   |        |
|-------------------------------------|---------------------------------------------------|--------|
|                                     | stocks 42,570<br>shares                           |        |
| Approach Resources Inc.             | Common and<br>preferred<br>stocks 7,930<br>shares | 26,566 |
| Super Com Ltd.                      | Common and<br>preferred<br>stocks 7,810<br>shares | 26,476 |
| Unum Group                          | Common and<br>preferred<br>stocks 600<br>shares   | 26,358 |
| Korn-Ferry International            | Common and<br>preferred<br>stocks 880<br>shares   | 25,898 |
| InterOil Corporation                | Common and<br>preferred<br>stocks 500<br>shares   | 23,790 |
| Mercury Systems, Inc.               | Common and<br>preferred<br>stocks 660<br>shares   | 19,945 |
| Enstar Group Ltd.                   | Common and<br>preferred<br>stocks 100<br>shares   | 19,770 |
| Corecivic Inc.                      | Common and<br>preferred<br>stocks 800<br>shares   | 19,568 |
| Sterling Construction Company, Inc. | Common and<br>preferred<br>stocks 2,060<br>shares | 17,428 |
| NN, Inc.                            | Common and<br>preferred<br>stocks 870<br>shares   | 16,574 |
| Applied Micro Circuits Corporation  | Common and<br>preferred<br>stocks 2,000<br>shares | 16,500 |
| Callaway Golf Company               | Common and<br>preferred<br>stocks 1,210<br>shares | 13,262 |
| Destination XL Group, Inc.          |                                                   | 12,453 |

|                                           |                                          |                |
|-------------------------------------------|------------------------------------------|----------------|
|                                           | Common and preferred stocks 2,930 shares |                |
| Tetra Tech, Inc.                          | Common and preferred stocks 4,860 shares | 8,748          |
| Scorpio Bulkers Inc.                      | Common and preferred stocks 1,130 shares | 5,707          |
| Rand Logistics, Inc.                      | Common and preferred stocks 4,070 shares | 3,377          |
| Total Small-Mid Cap Value Asset Class     |                                          | 35,110,680     |
| Notes Receivable from Participants        | Interest Rate 4.25% - 10.70%             | 15,038,879     |
| Other:                                    |                                          | 15,038,879     |
| NT Collective Short Term Investment Fund* | Collective trust funds 8,038 shares      | 8,038          |
| BIF Money Fund*                           | Cash and cash equivalents 737 shares     | 737            |
| Total Other                               |                                          | 8,775          |
| Grand Total                               |                                          | \$ 371,879,247 |

\* Indicates party-in-interest

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the trustees (or other persons who administer the employee benefit plan) have duly caused this annual report to be signed on its behalf by the undersigned hereunto duly authorized.

The Retirement and Savings Plan for  
Amgen Manufacturing, Limited  
(Name of Plan)

Date: June 13, 2017 By: /s/ DAVID W. MELINE  
David W. Meline  
Deputy Chairman and Chief Financial Officer  
Amgen Manufacturing, Limited

THE RETIREMENT AND SAVINGS PLAN FOR  
AMGEN MANUFACTURING, LIMITED  
INDEX TO EXHIBIT

Consent of Independent Registered Public Accounting Firm    Exhibit 23.1

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