



**ANNUAL SURVEY OF FOREIGN DIRECT INVESTMENT IN THE UNITED STATES – 2006**  
**MANDATORY – CONFIDENTIAL**

FORM **BE-15 Supplement C (CLAIM FOR EXEMPTION FROM FILING FORM BE-15(LF), BE-15(SF), or BE-15(EZ))** (REV. 8/2006)

**DUE DATE: MAY 31, 2007**

**ELECTRONIC FILING:** Go to [www.bea.gov/astar](http://www.bea.gov/astar) for details

**OR**

**MAIL REPORTS TO:**

U.S. Department of Commerce  
 Bureau of Economic Analysis  
 BE-49(A)  
 Washington, DC 20230

**OR**

**DELIVER REPORTS TO:**

U.S. Department of Commerce  
 Bureau of Economic Analysis, BE-49(A)  
 Shipping and Receiving Section, M100  
 1441 L Street, NW  
 Washington, DC 20005

**ASSISTANCE**

**Email:** [be12/15@bea.gov](mailto:be12/15@bea.gov)

**Telephone:** (202) 606-5577

**FAX:** (202) 606-5319

**Copies of blank forms**

<http://www.bea.gov/bea/surveys/fdiusurv.htm>

**IDENTIFICATION OF U.S. AFFILIATE**

**A. Name and address of U.S. business enterprise** – If a label has been affixed, make any changes directly on the label. If a label has not been affixed, enter the BEA Identification Number of this U.S. affiliate, if available, in the box at the upper right hand corner of this page.

Name of U.S. affiliate

1002 0

c/o (care of)

1010 0

Street or P.O. Box

1003 0

City and State

1004 0

ZIP Code

Foreign Postal Code

1005 0

OR

0

**B. Enter Employer Identification Number(s) used by the U.S. business enterprise to file income and payroll taxes.**

Primary

Other

1006 1

-

2

-

**IMPORTANT**

**Response required** – Section 806.4 of 15 CFR, Chapter VIII, requires that all persons subject to the reporting requirements of the BE-15 Survey respond, whether or not they are contacted by BEA. It also requires that persons who are contacted by BEA about reporting in this survey, must respond in writing. They may respond by:

- certifying in writing, by May 31, 2007 to the fact that the person had no direct investment within the purview of the reporting requirements of the BE-15 survey;
- completing and returning the Form BE-15 Supplement C – Claim for Exemption From Filing Form BE-15(LF), BE-15(SF), or BE-15(EZ), by May 31, 2007;
- filing the properly completed Form BE-15(LF), BE-15(SF), or BE-15(EZ) by May 31, 2007, as required; or
- using BEA's Automated Survey Transmission and Retrieval (ASTAR) system to complete Form BE-15(LF), BE-15(SF), or BE-15(EZ) by May 31, 2007. Go to [www.bea.gov/astar](http://www.bea.gov/astar) for details.

**Which Sections to Complete?** Complete items A, B, Person to Consult Concerning Questions About This Report, and Certification on page 1. Also, please review the questions below to determine the additional information required.

- I** Were at least 10 percent of the voting rights in your business directly or indirectly owned by a foreign person or entity at the end of your fiscal year that ended in calendar year 2006?
- Yes – Continue with question II below. **Note: Your business is hereinafter referred to as a "U.S. affiliate."**
- No – Complete item 2(a) or (c) or (d) or (e) on page 3.
- II** Is this U.S. affiliate a bank or bank holding company?
- Yes – Complete item 2(e) on page 3 and specify that the affiliate is a bank or bank holding company.
- No – Continue with question III below.
- III** Were more than 50 percent of the voting rights in this U.S. affiliate owned by another U.S. affiliate, or was this U.S. affiliate merged into another U.S. affiliate at the end of this U.S. affiliate's 2006 fiscal year?
- Yes – Continue with question IV below.
- No – Skip to question V below.
- IV** Will the data for this U.S. affiliate be consolidated into the 2006 BE-15 report filed for the U.S. affiliate that owns it more than 50 percent, or be included on the 2006 BE-15 report filed for the U.S. affiliate into which it was merged?
- Yes – Complete item 2b(1) or 2b(2) on page 3.
- No – Contact BEA for guidance.
- V** Did **any one** of the items – Total assets, Sales or gross operating revenues, or Net income (loss) – for the U.S. affiliate (not just the foreign parent's share) exceed \$30 million at the end of, or for, its 2006 fiscal year?
- Yes – You are not eligible to file Form BE-15 Supplement C and must file either a Form BE-15(LF), BE-15(SF), or BE-15(EZ).
- No – Complete items 1a through 1h on page 2. Do NOT complete item 2 on page 3.

**MANDATORY CONFIDENTIALITY PENALTIES**

This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended). The filing of reports is mandatory and the Act provides that your report to this Bureau is confidential. See page 4 for details.

**PERSON TO CONSULT CONCERNING QUESTIONS ABOUT THIS REPORT – Enter name and address**

Name	1000	0	
Address	1029	0	
	1030	0	
	1031	0	
TELEPHONE NUMBER	1001	0	Area code Number Extension
FAX NUMBER	0999	0	Area code Number

**CERTIFICATION** — The undersigned official certifies that this report has been prepared in accordance with the applicable instructions, is complete, and is substantially accurate except that estimates may have been provided where data are not available from customary accounting records or precise data could not be obtained without undue burden.

Authorized official's signature \_\_\_\_\_ Date \_\_\_\_\_

Print or type name and title \_\_\_\_\_

Telephone number \_\_\_\_\_ FAX number \_\_\_\_\_

May we use e-mail to correspond with you to discuss questions relating to this Form BE-15 Supplement C, including questions that may contain information about your company that you may consider confidential? (Note that electronic mail is not inherently confidential; we will treat information we receive as confidential, but your e-mail is not necessarily secure against interception by a third party.)

1027 <sup>1</sup>  Yes (If yes, please provide your e-mail address.) → E-mail address \_\_\_\_\_  
<sup>2</sup>  No \_\_\_\_\_

1028

1.  0100

The U.S. business enterprise was a U.S. affiliate of a foreign person at the end of its fiscal year that ended in calendar year 2006, but is exempt from filing Form BE-15(LF), BE-15(SF), or BE-15(EZ) because, on a fully consolidated, or in the case of real estate investments, an aggregated basis, each of the following three items for the U.S. affiliate (not just the foreign parent's share) did not exceed \$30 million (positive or negative) at the end of, or for, its fiscal year that ended in calendar year 2006:

- Total assets (do not net liabilities);
- Sales or gross operating revenues, excluding sales taxes; and
- Net income (loss) for FY 2006, after provision for U.S. Federal, State, and local income taxes.

If item 1 is applicable, complete ALL items (1.a. through 1.h.) below.

		Amount			
		Bil.	Mil.	Thous.	Dols.
<b>a.</b> Total assets at close FY 2006 – Do not net liabilities.	2109	\$			
<b>b.</b> Sales or gross operating revenues for FY 2006, excluding sales taxes — Do not give gross margin.	2149				
<b>c.</b> Net income (loss) for FY 2006, after provision for U.S. Federal, State, and local income taxes.	2159				

		Amount			
		Bil.	Mil.	Thous.	Dols.
<b>d.</b> Total liabilities	2114	\$			

1  **Please check box if total liabilities are zero.**

**e. Major product(s) or service(s) of the fully consolidated domestic U.S. affiliate** – Briefly describe the major product(s) and/or service(s) of the U.S. affiliate. If a product, also state what is done to it, i.e., whether it is mined, manufactured, sold at wholesale, transported, packaged, etc. (For example, "manufacture widgets.")

0

1163

**f. Industry of the fully consolidated domestic U.S. affiliate** – Enter the 4-digit International Surveys Industry (ISI) code of the industry with the largest sales or gross operating revenues. For a full explanation of each code, see the *Guide to Industry and Foreign Trade Classifications for International Surveys, 2002*. A copy of this guide can be found on our web site at: [www.bea.gov/bea/surveys/2002be799print.pdf](http://www.bea.gov/bea/surveys/2002be799print.pdf)

ISI Code
1

1164

**g. Please enter the country of the foreign parent in the box below.** The foreign parent is the FIRST person or entity outside the U.S. in a chain of ownership that has an investment in this U.S. affiliate.

Country of foreign parent

	<b>BEA USE ONLY</b>
	1

3016

**h. Please enter the country of the ultimate beneficial owner (UBO) in the box below.** The UBO is that person or entity, proceeding up the ownership chain beginning with and including the foreign parent, that is not more than 50 percent owned or controlled by another person or entity.

Country of UBO

	<b>BEA USE ONLY</b>
	1

3022

**2.** This U.S. business enterprise is exempt from filing a Form BE-15(LF), BE-15(SF), or BE-15(EZ) because:

- (a)**   This U.S. business enterprise was not a U.S. affiliate of a foreign person at any time during calendar year 2006 but had been a U.S. affiliate of a foreign person at some time during calendar year 2005.

Give date foreign ownership ceased or went below 10 percent.

7010	Month	Day	Year
1			

- (b)** This U.S. business enterprise was (please check appropriate box (1) or (2)):

- (1)**   **Fully consolidated** into the BE-15 report for another U.S. affiliate during its fiscal year that ended in calendar year 2006; or
- (2)**   **Merged** into another U.S. affiliate during its operations are included on the 2006 BE-15 report filed for the other U.S. affiliate.

On the lines below give the name, address, and BEA Identification Number of the U.S. affiliate into which this U.S. affiliate is consolidated or merged.

Name

0120	0	
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Street or P.O. Box

0130	0	
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City and State

0140	0	
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ZIP Code

0150	0	
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BEA Identification Number of the U.S. affiliate into which this U.S. affiliate is fully consolidated or merged.

7011	0	
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- (c)**   This U.S. business enterprise was a U.S. affiliate of a foreign person at some time during calendar year 2006 but ceased to be a U.S. affiliate before the end of its fiscal year that ended in calendar year 2006.

Give date foreign ownership ceased or went below 10 percent.

7012	Month	Day	Year
1			

- (d)**   This U.S. business enterprise is a U.S. affiliate of a foreign person, but it became a U.S. affiliate after the end of the U.S. business enterprise's fiscal year that ended in calendar year 2006, or if a newly formed company, its first fiscal year did not or will not end until after the end of calendar year 2006. Complete items (1) and (2) below.

**(1)** Give date when the U.S. business enterprise became a U.S. affiliate of a foreign person.

7013	Month	Day	Year
1			

Note that a Form BE-13 should have been filed to reflect the acquisition. Forms can be found at: [www.bea.gov/bea/surveys/fdiusurv.htm](http://www.bea.gov/bea/surveys/fdiusurv.htm)

**(2)** Give the ending date of the U.S. business enterprise's fiscal year that ended in calendar year 2006. If a newly formed company give the ending date of the U.S. business enterprise's first fiscal year. NOTE: For a newly formed company this must be a date in calendar year 2007.

7014	Month	Day	Year
1			

- (e)**   Other – Specify and include reference to section of regulations or instructions on which claim is based.

7015	0	
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**Purpose** – Reports on this form are required in order to provide reliable and up-to-date information on foreign direct investment in the United States for inclusion in the U.S. international transactions accounts and the national income and product accounts.

**Authority** – This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended), and the filing of reports is MANDATORY pursuant to Section 5(b)(2) of the Act (22 U.S.C. 3104). The implementing regulations are contained in Title 15, CFR, Part 806.

**Penalties** – Whoever fails to report may be subject to a civil penalty not less than \$2,500, and not more than \$25,000, and to injunctive relief commanding such person to comply, or both. Whoever willfully fails to report shall be fined not more than \$10,000 and, if an individual, may be imprisoned for not more than one year, or both. Any officer, director, employee, or agent of any corporation who knowingly participates in such violation, upon conviction, may be punished by a like fine, imprisonment, or both. (22 U.S.C. 3105)

The civil penalties are subject to inflationary adjustments. Those adjustments are found in 15 CFR 6.4.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

**Respondent Burden** – Public reporting burden for this collection of information is estimated to vary from 20 to 75 minutes per response with an average of 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, Washington, DC 20230; and to the Office of Management and Budget, Paperwork Reduction Project 0608-0070, Washington, DC 20503.

**Confidentiality** – The Act provides that your report to this Bureau is CONFIDENTIAL and may be used only for analytical or statistical purposes. Without your prior written permission, the information filed in your report CANNOT be presented in a manner that allows it to be individually identified. Your report CANNOT be used for purposes of taxation, investigation, or regulation. Copies retained in your files are immune from legal process.

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#### DEFINITIONS OF KEY TERMS

**Affiliate** means a business enterprise located in one country that is directly or indirectly owned or controlled by an entity of another country to the extent of 10 percent or more of its voting stock for an incorporated business or an equivalent interest for an unincorporated business, including a branch.

**Direct investment** means the ownership or control, directly or indirectly, by one investor of 10 percent or more of the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.

**U.S. affiliate** means an affiliate located in the United States in which a foreign entity has a direct investment.