



INSTRUCTION BOOKLET: GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS FOR COMMISSION QUESTIONNAIRES

Certain Aluminum Extrusions from China, Investigation Nos. 701-TA-475 and 731-TA-1177 (Preliminary)

Further information.--If you have any questions concerning the enclosed questionnaire(s) or other matters related to these investigations, you may contact the following members of the Commission's staff:

Russell Duncan, investigator (202-708-4727; E-mail russell.duncan@usitc.gov)
regarding general questions and trade and related information;

David Boyland, auditor (202-708-5403; E-mail david.boyland@usitc.gov)
regarding financial information; and

James Fetzer, economist (202-708-5403; E-mail james.fetzer@usitc.gov)
regarding pricing, market, and related information.

GENERAL INFORMATION

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

Background.--These investigations were instituted in response to a petition filed on March 31, 2010, by the Aluminum Extrusions Fair Trade Committee (“Committee”)¹ and the United Steel, Paper and Forestry, Rubber, Manufacturing, Energy, Allied Industrial and Service Workers International Union (“USW”). Countervailing and/or antidumping duties may be assessed on imports of certain aluminum extrusions from China as a result of these investigations if the U.S. International Trade Commission (“Commission”) makes an affirmative determination of injury, threat, or material retardation, and if the U.S. Department of Commerce (“Commerce”) makes an affirmative determination of subsidization and/or dumping.

Questionnaires and other information pertinent to these investigations are available at on the Commission’s website (www.usitc.gov), under the “Investigations: antidumping and countervailing duty” (right-hand side of home page). Address all correspondence to the United States International Trade Commission, Washington, DC 20436. Hearing-impaired individuals can obtain information regarding these investigations via the Commission’s TDD terminal (202-205-1810).

Due date of questionnaire(s).--Return the completed questionnaire(s) to the United States International Trade Commission by no later than:

APRIL 14, 2010

Please make sure the completed questionnaire(s) is sent to the attention of Russell Duncan (russell.duncan@usitc.gov). Return only one copy of the completed questionnaire(s), but please keep a copy for your records so that you can refer to it if the Commission staff contacts you with any questions during the course of the investigations.

Service of questionnaire response(s).--In the event that your firm is a party to these investigations, you are required to serve a copy of the questionnaire(s), once completed, on other parties to the proceeding that are subject to administrative protective order (see 19 CFR § 207.7). A list of such parties is maintained by the Commission’s Secretary and may be obtained by calling 202-205-1803. A certificate of service must accompany the copy of the completed questionnaire(s) you submit (see 19 CFR § 207.7).

Confidentiality.--The commercial and financial data furnished in response to the enclosed questionnaire(s) that reveal the individual operations of your firm will be treated as confidential by the Commission to the extent that such data are not otherwise available to the public and will not be disclosed except as may be required by law (see 19 U.S.C. § 1677f). Such confidential information will not be published in a manner that will reveal the individual operations of your firm; however, nonnumerical characterizations of numerical business proprietary information (such as discussion of trends) will be treated as confidential business information only at the request of the submitter for good cause shown.

Verification.--The information submitted in the enclosed questionnaire(s) is subject to audit and verification by the Commission. To facilitate possible verification of data, please keep all your workpapers and supporting documents used in the preparation of the questionnaire response(s).

¹ The Committee is comprised of the following members: Aerolite Extrusion Company, Youngstown, OH; Alexandria Extrusion Company, Alexandria, MN; Benada Aluminum of Florida, Inc., Medley, FL; William L. Bonnell Company, Inc., Newnan, GA; Frontier Aluminum Corporation, Corona, CA; Futura Industries Corporation, Clearfield, UT; Hydro Aluminum North America, Inc., Linthicum, MD; Kaiser Aluminum Corporation, Foothill Ranch, CA; Profile Extrusion Company, Rome, GA; Sapa Extrusions, Inc., Des Plaines, IL; and Western Extrusions Corporation, Carrollton, TX.

GENERAL INFORMATION--Continued

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

Release of information.--The information provided by your firm in response to the questionnaire(s), as well as any other business proprietary information submitted by your firm to the Commission in connection with the investigations, may become subject to, and released under, the administrative protective order provisions of the Tariff Act of 1930 (19 U.S.C. § 1677f) and section 207.7 of the Commission's Rules of Practice and Procedure (19 CFR § 207.7). This means that certain lawyers and other authorized individuals may temporarily be given access to the information for use in connection with these investigations or other import-injury investigations conducted by the Commission on the same or similar merchandise; those individuals would be subject to severe penalties if the information were divulged to unauthorized individuals. In addition, if your firm is a U.S. producer, the information you provide on your production and imports of certain aluminum extrusions and your responses to the questions in Part I of the producer questionnaire will be provided to the U.S. Department of Commerce, upon its request, for use in connection with (and only in connection with) its requirement pursuant to section 702(c)(4)/732(c)(4) of the Act (19 U.S.C. § 1671a(c)(4)/1673a(c)(4)) to make a determination concerning the extent of industry support for the petition requesting these investigations. Any information provided to Commerce will be transmitted under the confidentiality and release guidelines set forth above. Your response to these questions constitutes your consent that such information be provided to Commerce under the conditions described above.

INSTRUCTIONS

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

Answer all questions.--Do not leave any question or section blank unless a questionnaire expressly directs you to skip over certain questions or sections. If the answer to any question is "none," write "none." **If information is not readily available from your records in exactly the form requested, furnish carefully prepared estimates--and indicate in the footnotes of the table(s) in which line items estimates were used.** Answers to questions and any necessary comments or explanations should be supplied in the space provided or on separate sheets attached to the appropriate page of the questionnaire(s).

Consolidate all U.S. establishments.--Report the requested data for your establishment(s) located in the United States (including Puerto Rico). Firms operating more than one establishment should combine the data for all establishments into a single report.

Electronic completion.--Your firm is encouraged to complete the questionnaire electronically in MS Word format, although hand-written and typewriter-written responses will be accepted. The MS Word version of the questionnaire(s) is available online at the ITC web page for these investigations or directly from the Commission's Investigator, Russell Duncan (202-708-4727, russell.duncan@usitc.gov). Please note that you have several options for submitting the questionnaire(s), once completed, as detailed under "submission instructions" below.

Submission instructions.--Questionnaires may be submitted to the Commission in either paper or electronic form as indicated on the following page.

INSTRUCTIONS--Continued

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

OPTIONS FOR PAPER FORM SUBMISSIONS

- 1) **Overnight mail service.**--Mail to the following address:

**United States International Trade Commission
Office of Investigations, Room 615
500 E Street SW
Washington, DC 20024**

- 2) **Fax.**--Fax to 202.205.3205.
- 3) **U.S. mail.**--Mail to the address above, but using zip code 20436. (This option is not recommended as U.S. mail sent to government offices undergoes additional processing to screen for hazardous materials; this additional processing results in substantial delays in delivery).

OPTIONS FOR ELECTRONIC SUBMISSIONS

This questionnaire is available as a “fillable” form in MS Word format on the Commission’s website at:

http://www.usitc.gov/trade_remedy/731_ad_701_cvd/investigations/2010/aluminum_extrusions/prelimphase.htm

Please do not attempt to modify the format or permissions of the questionnaire document as that will impede the Commission’s ability to process your data. You may complete the questionnaire electronically, print it out, and submit it in paper form as described above, or you may submit it electronically through one of the following means:

- 4) **E-mail.**--E-mail the completed questionnaire(s) to Russell Duncan (russell.duncan@usitc.gov) in MS Word form and include a scanned PDF (or other image file) of the signed certification page(s) (page 1). In the subject line of your e-mail submission, please include: **BPI Questionnaire Certain Aluminum Extrusions, 701-475**. *Please note that submitting your questionnaire by e-mail may subject your firm’s business proprietary information to transmission over an unsecure environment and to possible disclosure. If you choose this option, the Commission warns you that any risk involving possible disclosure of such information is assumed by the submitter and not by the Commission.*
- 5) **Compact disc (CD).**--Copy or burn the completed questionnaire(s) in MS Word onto a CD, and include a scanned PDF (or other image file) of the signed certification page(s) (page 1), and mail to the address above. If you choose this option for submission, please use an overnight mail service as the additional processing that regular U.S. mail undergoes when sent to government offices results not only in substantial delays in delivery but also damaged (melted) CDs.

Note to parties.--If you are a party to the investigations, and service of the questionnaire(s) is required, such service should be made in paper form pursuant to the applicable Commission rules.

DEFINITIONS

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

Certain Aluminum Extrusions.--Certain aluminum extrusions are shapes and forms, produced via an extrusion process, of aluminum alloys having metallic elements falling within the alloy series designations published by The Aluminum Association commencing with the numbers 1, 3, and 6 (or proprietary equivalents or other certifying body equivalents) (often considered “soft” aluminum alloys). Certain aluminum extrusions are produced and imported in a wide variety of shapes and forms, including, but not limited to, hollow profiles, other solid profiles, pipes, tubes, bars, and rods. Certain aluminum extrusions that are subsequently drawn are also included in the scope.

Certain aluminum extrusions are produced and imported with a variety of coatings, finishes, and types of fabrication, including: (1) coated or finished aluminum extrusions meeting the criteria above that include, but are not limited to, extrusions that are mill finished (*i.e.*, without any coating or further finishing), brushed, buffed, polished, anodized (including bright-dip), liquid painted, or powder coated; (2) further fabricated aluminum extrusions meeting the criteria above that include, but are not limited to, extrusions that are cut-to-length, machined, drilled, punched, notched, bent, or stretched; and (3) aluminum extrusions meeting the criteria above that may also be taped or coated (*e.g.*, with plastic) to protect finishes. The subject merchandise includes certain aluminum extrusions that are coated, finished, fabricated, or any combination thereof, and regardless of tape, plastic, or other protective coatings.

Certain aluminum extrusions may also be described as parts for products that are assembled or otherwise further processed after importation, including, but not limited to, window frames, door frames, solar panels, curtain walls, or furniture. Such parts that otherwise meet the definition of certain aluminum extrusions are included in the scope. The scope includes certain aluminum extrusions that are partially assembled into subassemblies of finished merchandise, whether or not the extrusions are attached by welding or fasteners. Further, the subject merchandise may be identified as other goods, *e.g.* heat sinks, door thresholds, or carpet trim. Such goods that otherwise meet the definition of certain aluminum extrusions (above) regardless of their product label are included in the scope.

Excluded products.--The scope excludes final finished goods containing aluminum extrusions that are imported in finished form, *i.e.*, fully and permanently assembled, such as finished window frames, door frames, picture frames, and solar panels. The scope also excludes unassembled final finished goods containing aluminum extrusions, *e.g.* “kits,” that, at the time of importation, contain all of the necessary parts to assemble the finished goods. The scope also excludes aluminum alloy sheet or plates produced by other than the extrusion process; aluminum products produced by the casting method; pure, unwrought aluminum in any form; and aluminum extrusions falling within alloy series designations of The Aluminum Association commencing with the numbers 2, 5, and 7.

Applicable HTSUS numbers.--Imports of the subject merchandise are primarily provided for under the following categories of the Harmonized Tariff Schedule of the United States (“HTSUS”): 7604.21.0000, 7604.29.1000, 7604.29.3010, 7604.29.3050, 7604.29.5030, 7604.29.5060, 7608.20.0030, and 7608.20.0090 (“Primary HTSUS numbers”). The subject merchandise, entered as parts of other aluminum products, may be classifiable under the following additional Chapter 76 subheadings: 7610.10, 7610.90, 7615.19, 7615.20, and 7616.99 (“Secondary HTSUS numbers”). The subject merchandise, entered as extruded aluminum parts of other products, may be also classifiable under other HTS subheadings (“Other HTSUS numbers”). While HTSUS subheadings are provided for convenience and customs purposes, the written description of the scope in this proceeding is dispositive.

Applicable HTSUS numbers.--*Continued*

DEFINITIONS--Continued

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

Primary HTSUS numbers	These are believed to be the HTSUS numbers under which most certain aluminum extrusions are classified for Customs' purposes.	7604.21.0000 7604.29.1000 7604.29.3010 7604.29.3050 7604.29.5030 7604.29.5060 7608.20.0030 7608.20.0090
Secondary HTSUS numbers	These are believed to be additional HTSUS numbers under which some certain aluminum extrusions meeting the written description provided above could be properly classified for Customs' purposes (especially as parts for downstream products that use certain aluminum extrusions).	7610.10.0010 7610.10.0020 7610.10.0030 7610.90.0020 7610.90.0040 7610.90.0060 7610.90.0080 7615.19.1015 7615.19.1025 7615.19.3015 7615.19.3025 7615.19.5020 7615.19.5040 7615.19.7035 7615.19.7045 7615.19.7060 7615.19.9000 7615.20.0000 7616.99.1000 7616.99.5020 7616.99.5030 7616.99.5040 7616.99.5050 7616.99.5060 7616.99.5070 7616.99.5075 7616.99.5090
Other HTSUS numbers	Certain aluminum extrusions may be properly classified under a variety of other HTSUS numbers besides the primary and secondary HTSUS numbers listed above (especially if these extrusions are labeled by end use purpose, <i>e.g.</i> , heat sinks, boiler tubing, door thresholds, carpet trim, et cetera).	To be defined in your firm's questionnaire response.

DEFINITIONS--Continued

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

Market Sectors.--Major end-use applications for certain aluminum extrusions as defined by the Aluminum Extruders Council.

Building and Construction.--Windows, doors, railings, high-rise curtainwall, highway and bridge construction, framing members, other various structures

Transportation.--Automotive (cars, buses, trucks, trailer/van/container vehicles), heavy rail, light rail and other mass transit vehicles, recreational vehicles, aircraft, aerospace, marine; Spotlight publication

Engineered Products.--Consumer and commercial products - air conditioners, appliances, furniture, lighting, sports equipment, personal watercraft; electrical power units, heat sinks, coaxial cables, bus bars; machinery & equipment, food displays, refrigeration; medical equipment, display structures, laboratory equipment and apparatus.

Firm.--An individual proprietorship, partnership, joint venture, association, corporation (including any subsidiary corporation), business trust, cooperative, trustee in bankruptcy, or receiver under decree of any court.

Related firm.--A firm that your firm solely or jointly owned, managed, or otherwise controlled; a firm that solely or jointly owned, managed, or otherwise controlled your firm; and/or a firm that was solely or jointly owned, managed, or otherwise controlled by a firm that also solely or jointly owned, managed, or otherwise controlled your firm.

Establishment.--Each facility of a firm in the United States involved in the production, importation, and/or purchase of certain aluminum extrusions (as defined above), including auxiliary facilities operated in conjunction with (whether or not physically separate from) such facilities.

United States.--For purposes of this investigation, the 50 States, Puerto Rico, the U.S. Virgin Islands, and the District of Columbia.

Importer.--Any person or firm engaged, either directly or through a parent company or subsidiary, in importing certain aluminum extrusions (as defined above) into the United States from a foreign manufacturer or through its selling agent.

Imports.--Those products identified for Customs purposes as imports for consumption for which your firm was the importer of record (i.e., was responsible for paying any import duty) or consignee (i.e., to which the merchandise was first delivered).

Import quantities.--Quantities reported should be net of returns.

Import values.--Values reported should be landed, duty-paid values at the U.S. port of entry, including ocean freight and insurance costs, brokerage charges, and import duties (*i.e.*, all charges except inland freight in the United States).

Purchaser.--Any person or firm engaged, either directly or through a parent company or subsidiary, in purchasing certain aluminum extrusions (as defined above) from another firm that produces, imports, or otherwise distributes certain aluminum extrusions. A retail firm that is the importer of record may be considered a purchaser.

DEFINITIONS--Continued

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

Purchases.--Purchases from all sources, ***not*** including direct imports from foreign producers (which should be reported as imports in a U.S. importers' questionnaire).

Purchase quantities.--Quantities reported should be net of returns.

Shipments.--Shipments of products produced in or imported by your U.S. establishment(s). Include shipments to the contracting firm of product produced by your firm under a toll agreement.

Shipment quantities.--Quantities reported should be net of returns.

Shipment values.--Values reported should be net values (*i.e.*, gross sales values less all discounts, allowances, rebates, prepaid freight, and the value of returned goods), f.o.b. your U.S. point of shipment. The value of domestic shipments to the contracting firm under a toll agreement is the conversion fee (including profit).

Types of shipments:

U.S. shipments.--Commercial shipments, internal consumption, and transfers to related firms within the United States.

Commercial shipments.--Shipments, other than internal consumption and transfers to related firms, within the United States.

Internal consumption.--Product consumed internally by your firm.

Transfers to related firms.--Shipments made to related domestic firms.

Export shipments.--Shipments to destinations outside the United States, including shipments to related firms.

Inventories.--Finished goods inventory, not raw materials or work-in-progress.

The following definitions apply only to the **U.S. PRODUCERS' QUESTIONNAIRE**:

Average production capacity.--The level of production that your establishment(s) could reasonably have expected to attain during the specified periods. Assume normal operating conditions (*i.e.*, using equipment and machinery in place and ready to operate; normal operating levels (hours per week/weeks per year) and time for downtime, maintenance, repair, and cleanup; and a typical or representative product mix).

Toll agreement.--Agreement between two firms whereby the first firm furnishes the raw materials and the second firm uses the raw materials to produce a product that it then returns to the first firm with a charge for processing costs, overhead, *etc.*

Production.--All production in your U.S. establishment(s), including production consumed internally within your firm and production for another firm under a toll agreement.

PRWs.--Production and related workers ("PRWs"), including working supervisors and all nonsupervisory workers (including group leaders and trainees) engaged in fabricating, processing, assembling, inspecting, receiving, storage, handling, packing, warehousing, shipping, trucking, hauling, maintenance, repair, janitorial and guard services, product development, auxiliary production for plant's own use (e.g., power

DEFINITIONS--Continued

(Instructions Manual, in Inv. Nos. 701-TA-475 and 731-TA-1177, Certain Aluminum Extrusions from China (Preliminary))

plant), recordkeeping, and other services closely associated with the above production operations.

Average number employed.--Add the number of employees, both full-time and part-time, for the 12 pay periods ending closest to the 15th of the month and divide that total by 12. For the January-March periods, calculate similarly and divide by 3.

Hours worked.--Include time paid for sick leave, holidays, and vacation time. Include overtime hours actually worked; do not convert overtime pay to its equivalent in straight-time hours.

Wages paid.--Total wages paid before deductions of any kind (*e.g.*, withholding taxes, old-age and unemployment insurance, group insurance, union dues, bonds, etc.). Include wages paid directly by your firm for overtime, holidays, vacations, and sick leave.

Fiscal year.--The 12-month period between settlement of your firm's financial accounts.

Purchases other than direct imports.--Purchases from U.S. producers, U.S. importers, and other U.S. sources, excluding direct imports (which should be reported as imports in a U.S. importers' questionnaire).