

**SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES
FORM BE-13****MANDATORY -- CONFIDENTIAL**

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Mail reports to: U.S. Department of Commerce
Bureau of Economic Analysis, BE-49(NI)
Washington, DC 20230

Deliver reports to: U.S. Department of Commerce
Bureau of Economic Analysis, BE-49(NI)
Shipping and Receiving Section, M-100
1441 L Street, NW
Washington, DC 20005

Fax reports to: (202) 606-5319 (send ONLY those pages on which information is reported)

Assistance:

E-mail	be13@bea.gov
Telephone	(202) 606-5577
Copies of form	www.bea.gov/fdi

Definitions: Underlined terms are defined on page XX.

Due date: No later than 45 days after the completion of the investment transaction.

Who must report: A BE-13 report is required of

1. A U.S. business enterprise when a foreign entity acquires a 10% or more voting interest (directly, or indirectly through an existing U.S. affiliate) in that enterprise;
2. A U.S. business enterprise when it is established if it has a foreign owner with 10% or more of its voting interest (directly, or indirectly through an existing U.S. affiliate);
3. An existing U.S. affiliate of a foreign parent when it acquires a U.S. business enterprise or segment that it then merges into its operations; and
4. An existing U.S. affiliate of a foreign parent when it expands its operations to include a new facility where business is conducted.

Monetary values should be reported in thousands of U.S. dollars. If an amount is between positive and negative \$500, enter "0." Use parentheses to indicate negative numbers.

Exemption: A U.S. affiliate claiming exemption from filing a BE-13 report must complete page 2 (contact information, certification, and type of transaction) and page XX (claim for exemption).

Retention of copies: Retain a copy of filed report for three years beyond the report's original due date.

Purpose: This survey collects data on the acquisition or establishment of U.S. business enterprises by foreign investors and the expansion of existing U.S. affiliates of foreign companies to establish a new production facility. The data collect on the survey are used to measure the amount of new foreign direct investment in the United States, assess the impact on the U.S. economy, and based on this assessment, make informed policy decisions regarding foreign direct investment in the United States.

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 of 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)

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 average 1.5 hours per response, including 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 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 0608-0035, 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.

Person to Consult Concerning Questions about this Report

Name
Address
Telephone number
Fax number
E-mail address

May e-mail and/or fax be used in correspondence between your enterprise and BEA, including faxed reports, and/or to discuss questions relating to this survey that may contain confidential information about your company?

Note: The internet and telephone systems are not secure means of transmitting confidential information unless it is encrypted. If you choose to communicate with BEA via fax or electronic mail, BEA cannot guarantee the security of the information during transmission, but will treat information we receive as confidential in accordance with Section 5(c) of the International Investment and Trade in Services Survey Act.

Email:

Yes

No

Fax:

Yes

No

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, in accordance with the instructions, 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 and date	Print or type name and title
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Part I - Type of Transaction

1 Which of the following statements best describes the new foreign investment for which this BE-13 report is being filed:

a. Acquisition of U.S. business enterprise.....Complete Part II, beginning on page XX.
 A foreign entity acquires a 10% or more voting interest (directly, or indirectly through an existing U.S. affiliate) in a U.S. business enterprise.

INCLUDE

Purchase of U.S. real estate for the purpose of conducting real estate business.

b. Establishment of new U.S. affiliate.....Complete Part III, beginning on page XX.
 A foreign entity or an existing U.S. affiliate of a foreign entity establishes a new legal entity in the United States. The foreign entity owns 10% or more of the new business enterprise's voting interest (directly or indirectly).

INCLUDE

- Creation of a new legal entity whether incorporated or unincorporated, including a branch.
- Creation of a new real estate business when it involves construction.
- Creation of a new legal entity even if it does not have physical operations.

EXCLUDE

Creation of a new real estate business when its assets were acquired rather than constructed by the foreign entity (directly or indirectly).

c. Merger of Existing U.S. Affiliate with Newly Acquired Entity...Complete Part IV, beginning on page XX.
 An existing U.S. affiliate of a foreign parent acquires a U.S. business enterprise or segment that it then merges into its operations.

d. Expansion of Existing U.S. Affiliate.....Complete Part V, beginning on page XX.
 An existing U.S. affiliate of a foreign parent when it expands its operations to include a new facility where business is conducted.

INCLUDE

- Construction or lease of a new facility by an existing U.S. affiliate.
- Construction of a facility that is intended for lease or sale.

EXCLUDE

- Transfer of existing operations from one location to another.
- Replacement or upgrade of an existing facility.
- Expansion of an existing facility if it does not involve a separate structure from the existing operations.

Part II - Acquisition of U.S. Business Enterprise

2 What was the date that the acquisition took place? _ / _ / _ _

3 What is the name and address of the new U.S. affiliate?
 Name
 Address

4 What is the primary employer identification number to be used by the new U.S. affiliate to file income and payroll taxes? _

5 How many U.S. affiliates are fully consolidated in this report?

Ownership Information

6 What percent of the voting stock of the U.S. affiliate is held DIRECTLY by All foreign parents? _ . _ %

All U.S. affiliates of foreign parents? _ . _ %

Other foreign persons? _ . _ %

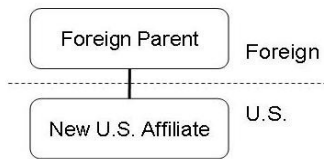
Other U.S. persons? _ . _ %

100.0%

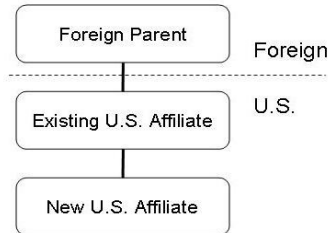
7 Was the U.S. affiliate acquired directly by the foreign parent or by an existing U.S. affiliate of the foreign parent?

- Foreign parent (see example 1) - SKIP to item 11
- U.S. affiliate of foreign parent (see example 2)

Example 1 - Foreign Parent Directly Owns New U.S. Affiliate



Example 2 - Foreign Parent Indirectly Owns New U.S. Affiliate through Existing U.S. Affiliate



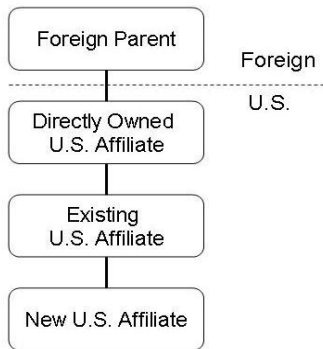
8 If the new U.S. affiliate was acquired by an existing U.S. affiliate of the foreign parent, what is the name and address of the existing affiliate?

Name
 Address

9 If the new U.S. affiliate was acquired by an existing U.S. affiliate of the foreign parent, is that existing U.S. affiliate DIRECTLY owned by the foreign parent?

- Yes - SKIP to item 11
- No (see example 3)

Example 3 - Existing U.S. affiliate that acquired the new U.S. affiliate is not owned directly by foreign parent



10 If the answer to item 9 is "no," what is the name and address of the U.S. affiliate that is DIRECTLY owned by the foreign parent and the percent of voting ownership held by the foreign parent?

Name	
Address	
Percent of voting ownership	_ . _ %

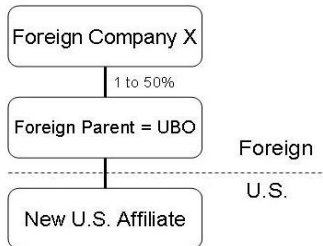
11 What is the name, country, and industry of the foreign parent holding a direct or indirect voting interest in the U.S. affiliate?

Name	
Country	_ _
Industry - Enter 2-digit code (see page XX for industry codes)	_ _

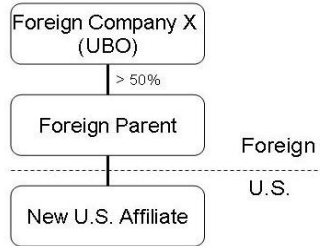
12 Is the foreign parent also the ultimate beneficial owner (UBO)?

Yes (see example 4) - SKIP to item 14
 No (see example 5)

Example 4 - Foreign parent is UBO



Example 5 - Foreign parent is not UBO



13 What is the name, country, and industry of the ultimate beneficial owner?

If the UBO is an individual, enter "individual" instead of the individual's name.

Name	
Country	_ _
Industry - Enter 2-digit code (see page XX for industry codes)	_ _

14 Will data for the new U.S. affiliate be fully consolidated with data for the existing, or another U.S. affiliate in other international investment survey reports filed with this

Yes
 No - SKIP to item 16

15 If the answer to item 14 is "yes," What is the name of the U.S. business enterprise that files the consolidated report?

Name

Transaction Information

16 Did the foreign parent or existing U.S. affiliate hold a direct ownership interest in the new U.S. affiliate immediately prior to the date of acquisition listed in item 2?

Yes

No - SKIP to item 17

17 If the answer to item 16 is "yes," what was the ownership interest (in percentage terms) that the new foreign parent or existing U.S. affiliate previously held in the new U.S. affiliate, the cost of such investment, and the date(s) acquired?

(Exclude the cost of the transaction that qualified the U.S. business enterprise as a U.S. affiliate.)

Ownership interest	_____ %
Cost of investment	\$ _____ 000
Date acquired	__/__/____

18 What is the name and address of the entity from whom the new affiliate was acquired?

Name
Address

19 What was the cost of the acquisition?

Include the cost of all voting and non-voting equity interests, but exclude cost, if any, reported in item 17. Equals sum of items 20 and 21.

\$	_____ 000
----	-----------

20 What was the portion of the cost in item 19 provided by an existing U.S. affiliate of the foreign parent?

\$	_____ 000
----	-----------

21 What was the portion of the cost in item 19 provided by foreign parent(s) and foreign affiliate(s) of the foreign parent(s), including funds they borrowed in the United States or abroad? Equals sum of items 22 and 23.

\$	_____ 000
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22 What was the equity portion of the foreign funding in item 21?

\$	_____ 000
----	-----------

23 What was the debt portion of the foreign funding in item 21?

\$	_____ 000
----	-----------

Financial and Operating Information

24 What is the end date for the fiscal year that these financial and operating data are for?

__/__/____

25 What are the total assets of the new U.S. affiliate?

\$	_____ 000
----	-----------

26 What are the sales, or gross operating revenues, of the new U.S. affiliate?

\$	_____ 000
----	-----------

27 What is the net income (loss) of the U.S. affiliate after provision for U.S. Federal, state, and local income taxes?

\$	_____ 000
----	-----------

28 What is the total number of employees of the new U.S. affiliate? INCLUDE part time employees but EXCLUDE contract employees

29 How many acres of U.S. land are owned by the affiliate (whether carried in a fixed asset, investment, or other asset account)?

30 What are the major activities of the fully consolidated U.S. affiliate that was acquired?

Check all that apply.

<input type="checkbox"/>	Producer of goods
<input type="checkbox"/>	Seller of goods you do not produce
<input type="checkbox"/>	Producer or distributor of information
<input type="checkbox"/>	Provider of services
<input type="checkbox"/>	Real estate
<input type="checkbox"/>	Other (specify) -----> _____

31 What are the major product(s) and/or services involved in this activity?

If a product, also state what is done to it, i.e., whether it is mined, manufactured, sold at wholesale, transported, packaged, etc.

32 What is the U.S. affiliate's four-digit industry code (based on sales or gross operating revenues)? (see page XX for industry codes)

Part III - Establishment of New U.S. Affiliate

2 What was the date that the U.S. business enterprise was established? _ / _ / _ _

3 What is the name and address of the new U.S. affiliate?
 Name
 Address

4 What is the primary employer identification number to be used by the new U.S. affiliate to file income and payroll taxes? _

5 How many U.S. affiliates are fully consolidated in this report?

Ownership Information

6 What percent of the voting stock of the U.S. affiliate is held DIRECTLY by All foreign parents? _ . _ %

All U.S. affiliates of foreign parents? _ . _ %

Other foreign persons? _ . _ %

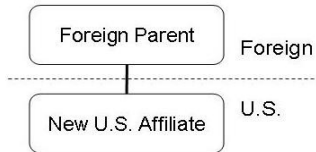
Other U.S. persons? _ . _ %

100.0%

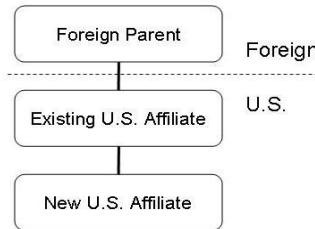
7 Was the U.S. affiliate established directly by the foreign parent or by an existing U.S. affiliate of the foreign parent?

- Foreign parent (see example 1) - SKIP to item 11
- U.S. affiliate of foreign parent (see example 2)

Example 1 - Foreign Parent Directly Owns New U.S. Affiliate



Example 2 - Foreign Parent Indirectly Owns New U.S. Affiliate through Existing U.S. Affiliate



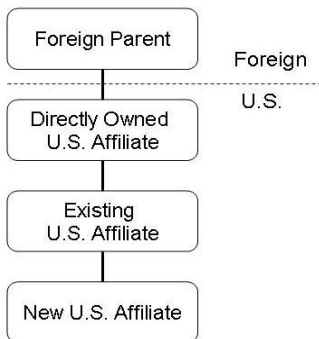
8 If the new U.S. affiliate was established by an existing U.S. affiliate of the foreign parent, what is the name and address of the existing affiliate?

Name
 Address

9 If the new U.S. affiliate was established by an existing U.S. affiliate of the foreign parent, is that existing U.S. affiliate DIRECTLY owned by the foreign parent?

- Yes - SKIP to item 11
- No (see example 3)

Example 3 - Existing U.S. affiliate that acquired the new U.S. affiliate is not owned directly by foreign parent



10 If the answer to item 10 is "no," what is the name and address of the U.S. affiliate that is **DIRECTLY** owned by the foreign parent and the percent of voting ownership held by the foreign parent?

Name	
Address	
	Percent of voting ownership _ . _ %

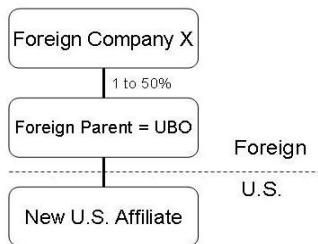
11 What is the name, country, and industry of the foreign parent holding a direct or indirect voting interest in the U.S. affiliate?

Name	
	Country
Industry - Enter 2-digit code (see page XX for industry codes)	--

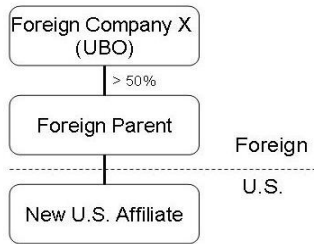
12 Is the foreign parent also the **ultimate beneficial owner (UBO)**?

Yes (see example 4) - SKIP to item 14
 No (see example 5)

Example 4 - Foreign parent is UBO



Example 5 - Foreign parent is not UBO



13 What is the name, country, and industry of the ultimate beneficial owner?

If the UBO is an individual, enter "individual" instead of the individual's name.

Name	
	Country
Industry - Enter 2-digit code (see page XX for industry codes)	--

14 Will data for the new U.S. affiliate be fully consolidated with data for the existing, or another U.S. affiliate in other international investment survey reports filed with this bureau?

Yes
 No - SKIP to item 16

15 If the answer to item 14 is "yes," What is the name of the U.S. business enterprise that files the consolidated report?

Name

Establishment Information

16 What was the cost of the investment?

Include the cost of all voting and non-voting equity interests. Equals sum of items 17 and 18.

\$	000
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17 What was the portion of the cost in item 16 provided by foreign parent(s) and foreign affiliate(s) of the foreign parent(s), including funds they borrowed in the United States or

\$	000
----	-----

18 What was the portion of the cost in item 16 provided by an existing U.S. affiliate of the foreign parent?

\$	000
----	-----

19 If the new U.S. affiliate is a holding company, will the holding company be dissolved within a year of its establishment?

Yes
 No

Financial and Operating Information

20 What is the end date for the fiscal year that these financial and operating data are for?

_ / _ / _ _

21 What are the total assets of the new U.S. affiliate? \$ 000

22 What are the sales, or gross operating revenues, of the new U.S. affiliate? \$ 000

23 What is the net income (loss) of the U.S. affiliate after provision for U.S. Federal, state, and local income taxes? \$ 000

24 How many acres of U.S. land are owned by the affiliate (whether carried in a fixed asset, investment, or other asset account)? []

25 What are the major activities of the fully consolidated U.S. affiliate that was established?

Check all that apply.

- Producer of goods
- Seller of goods you do not produce
- Producer or distributor of information
- Provider of services
- Real estate
- Other (specify) -----> []

26 What are the major product(s) and/or services involved in this activity?
If a product, also state what is done to it, i.e., whether it is mined, manufactured, sold at wholesale, transported, packaged, etc.
[]

27 What is the U.S. affiliate's four-digit industry code (based on sales or gross operating revenues)? (see page XX for industry codes) []

28 Will research and development activities be conducted by the new U.S. affiliate?
 Yes
 No

Greenfield Investment Information

29 In which U.S. state or territory is the new operation located? []

30 What is the current employment of the new operation? INCLUDE part time employees but EXCLUDE contract employees []

31 What is the projected employment of the new operation when it is operating at full capacity? []

32 What is the gross book value of land associated with the new operation? \$ 000

33 What is the gross book value of plant and equipment associated with the new operation? \$ 000

34 Is the new operation currently under construction?
 Yes
 Construction has not begun
 Construction is complete

35 What are the total expected construction expenditures for this project? \$ 000

36 What are the construction expenditures broken out by year? (attach additional sheet if you need space for more years)

Year	\$	000
Year	\$	000
Year	\$	000
Year	\$	000
Year	\$	000

Part IV - Merger of Existing U.S. Affiliate with Newly Acquired Entity

2 What was the date that the acquisition took place?

__/__/____

3 What is the name and address of the newly acquired entity?

Name
Address

Ownership Information

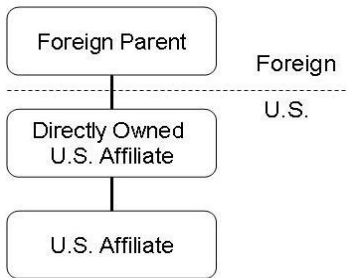
4 What is the name and address of the existing U.S. affiliate that merged with the newly acquired entity?

Name
Address

5 Is the U.S. affiliate **DIRECTLY** owned by the foreign parent?

- Yes - SKIP to item 7
- No (see example 1)

Example 1 - Existing U.S. affiliate that acquired the new U.S. affiliate is not owned directly by foreign parent



6 If the answer to item 6 is "no," what is the name of the U.S. affiliate that is **DIRECTLY** owned by the foreign parent and the percent of voting ownership held by the foreign parent?

Name	Percent of voting ownership	___.__%
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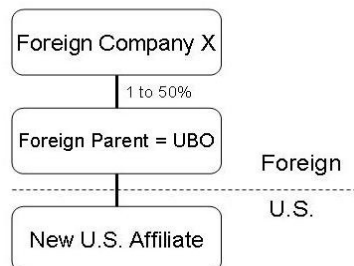
7 What is the name, country, and industry of the foreign parent holding a direct or indirect voting interest in the U.S. affiliate?

Name	Country	
	Industry - Enter 2-digit code (see page XX for industry codes)	--

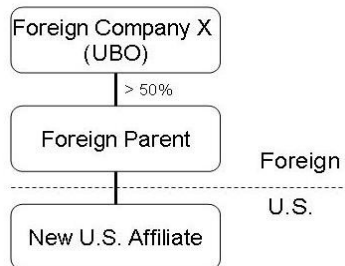
8 Is the foreign parent also the **ultimate beneficial owner (UBO)**?

- Yes (see example 2) - SKIP to item 10
- No (see example 3)

Example 2 - Foreign parent is UBO



Example 3 - Foreign parent is not UBO



9 What is the name, country, and industry of the ultimate beneficial owner?

If the UBO is an individual, enter "individual" instead of the individual's name.

Name	
Country	
Industry - Enter 2-digit code (see page XX for industry codes)	--

10 Will data for the new U.S. affiliate be fully consolidated with data for the existing, or another U.S. affiliate in other international investment survey reports filed with this bureau?

Yes
 No - SKIP to item 12

11 If the answer to item 10 is "yes," what is the name of the U.S. business enterprise that files the consolidated report?

Name

Transaction Information

12 Did the foreign parent or existing U.S. affiliate hold a direct ownership interest in the newly acquired entity immediately prior to the date of acquisition listed in item 2?

Yes
 No - SKIP to item 14

13 If the answer to item 12 is "yes," what was the ownership interest (in percentage terms) that the new foreign parent or existing U.S. affiliate previously held in the newly acquired entity, the cost of such investment, and the date(s) acquired?

(Exclude the cost of the transaction that took place on the date of acquisition listed in item 2.)

Ownership interest	_ . _ %
Cost of investment	\$ 000
Date acquired	_ / _ / _ _ _

14 What is the name and address of the entity from whom the newly acquired entity was purchased?

Name
Address

15 What was the cost of the acquisition? Include the cost of all voting and non-voting equity interests, but exclude cost, if any, reported in item 13.

Equals sum of items 16 and 17.

	\$ 000
--	---------------

16 What was the portion of the cost in item 15 provided by an existing U.S. affiliate of the foreign parent?

	\$ 000
--	---------------

17 What was the portion of the cost in item 15 provided by foreign parent(s) and foreign affiliate(s) of the foreign parent(s), including funds they borrowed in the United States or abroad? Equals sum of items 18 and 19.

	\$ 000
--	---------------

18 What was the equity portion of the foreign funding in item 17?

	\$ 000
--	---------------

19 What was the debt portion of the foreign funding in item 17?

	\$ 000
--	---------------

Financial and Operating Information

20 What is the end date for the fiscal year that these financial and operating data are for?

	_ / _ / _ _ _
--	---------------

21 What are the total assets of the newly combined U.S. affiliate?

	\$ 000
--	---------------

22 What are the sales, or gross operating revenues, of the newly combined U.S. affiliate? \$ 000

23 What is the net income (loss) of the newly combined U.S. affiliate after provision for U.S. Federal, state, and local income taxes? \$ 000

24 What is the total number of employees of the newly combined U.S. affiliate? INCLUDE part time employees but EXCLUDE contract employees

25 How many acres of U.S. land are owned by the newly combined U.S. affiliate (whether carried in a fixed asset, investment, or other asset account)?

26 What are the major activities of the newly combined U.S. affiliate? Check all that apply.

- Producer of goods
- Seller of goods you do not produce
- Producer or distributor of information
- Provider of services
- Real estate
- Other (specify) ----->

27 What are the major product(s) and/or services involved in this activity?
If a product, also state what is done to it, i.e., whether it is mined, manufactured, sold at wholesale, transported, packaged, etc.

28 What is the newly combined U.S. affiliate's four-digit industry code (based on sales or gross operating revenues)? (see page XX for industry codes) ----

Part V - Expansion of Existing U.S. Affiliate

2 What was the date that the expansion project was begun?

_ / _ / _ _

3 What is the name and address of the U.S. affiliate that is expanding its operations?

Name
Address

Ownership Information

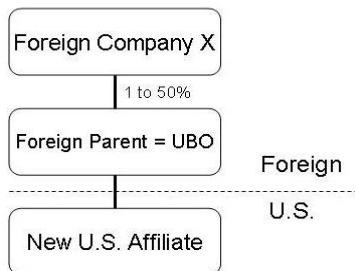
4 What is the name, country, and industry of the foreign parent holding a direct or indirect voting interest in the U.S. affiliate?

Name	
Country	
Industry - Enter 2-digit code (see page XX for industry codes)	--

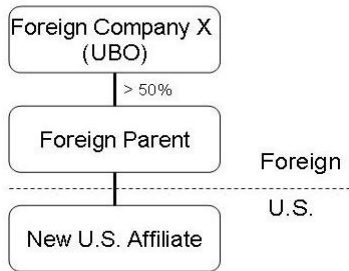
5 Is the foreign parent also the ultimate beneficial owner (UBO)?

Yes (see example 1) - SKIP to item 7
 No (see example 2)

Example 1 - Foreign parent is UBO



Example 2 - Foreign parent is not UBO



6 What is the name, country, and industry of the ultimate beneficial owner?

If the UBO is an individual, enter "individual" instead of the individual's name.

Name	
Country	
Industry - Enter 2-digit code (see page XX for industry codes)	--

Greenfield Investment Information

7 In which U.S. state or territory is the new operation located?

--

8 What are the major activities of the new operation? Check all that apply.

Producer of goods
 Seller of goods you do not produce
 Producer or distributor of information
 Provider of services
 Real estate
 Other (specify) ----->

9 What are the major product(s) and/or services involved in this activity?

If a product, also state what is done to it, i.e., whether it is mined, manufactured, sold at wholesale, transported, packaged, etc.

--

10 What is the U.S. affiliate's four-digit industry code (based on sales or gross operating revenues)? (see page XX for industry codes)

11 What is the current employment of the new operation?

12 What is the projected employment of the new operation when it is operating at full capacity?

13 What is the gross book value of land associated with the new operation?

14 What is the gross book value of plant and equipment associated with the new operation?

15 Is the new operation currently under construction?

Yes

Construction has not begun

Construction is complete

16 What are the total expected construction expenditures for this project?

Part VI - Exemption Claim

This U.S. business enterprise is exempt from filing Form BE-13 because:
Mark (X) on of the items 1 through XXXXXX.

- 1 This U.S. business enterprise is not a U.S. affiliate of a foreign person, i.e., is nto owned to the extent of 10 percent or more, directly or indirectly, by a foreign person.
- 2 This acquisition is exempt from being reported because the U.S. business enterprise, or the business segment or operating unit of a U.S. business enterprise, was acquired by an existing U.S. affiliate who then merged it into its own operations and the total cost of the acquisition was \$3 million or less.

What is the total cost of the acquisition?

\$	000
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- 3 This acquisition is not required to be reported since it represents U.S. real estate acquired by a foreign person(s) held exclusively for personal use and not for profitmaking purposes.

- 4 This U.S. business enterprise is a U.S. affiliate of a foreign perosn but is exempt because, on a fully consolidated domestic U.S. basis, total assets (not the foreign parent's or existing U.S. affiliate's share) at the time of acquisition or immediately after being established were \$3 million or less.

What were the U.S. affiliate's total assets (do not net out liabilities)?

\$	000
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What were the U.S. affiliate's sales or gross operating revenues, excluding sales taxes?

\$	000
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What was the U.S. affiliate's net income after provision for U.S. income taxes?

\$	000
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What is the industry of the U.S. affiliate (based on the industry of largest sales?
See industry code list on page XX.

What is the country of the U.S. affiliate's foreign parent?

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What is the country of the U.S. affiliate's ultimate beneficial owner?

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FOREIGN PARENT AND UBO INDUSTRY CODES
For Page 5 items 17b. and 18d.

Note: "ISI codes" are International Surveys Industry codes, as given in the *Guide to Industry Classifications for International Surveys, 2007*.

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| <p>01 Government and government-owned or -sponsored enterprise, or quasi-government organization or agency</p> <p>02 Pension fund — Government run</p> <p>03 Pension fund — Privately run</p> <p>04 Estate, trust, or nonprofit organization (that part of ISI code 5252 that is estates and trusts)</p> <p>05 Individual</p> <p>Private business enterprise, investment organization, or group engaged in:</p> <p>06 Insurance (ISI codes 5242, 5243, 5249)</p> <p>07 Agriculture, forestry, fishing and hunting (ISI codes 1110–1140)</p> <p>08 Mining (ISI codes 2111–2127)</p> <p>09 Construction (ISI codes 2360–2380)</p> <p>10 Transportation and warehousing (ISI codes 4810–4939)</p> <p>11 Utilities (ISI codes 2211–2213)</p> <p>12 Wholesale and retail trade (ISI codes 4231–4251 and 4410–4540)</p> <p>13 Banking, including bank holding companies (ISI codes 5221 and 5229)</p> <p>14 Holding companies, excluding bank holding companies (ISI codes 5512 and 5513)</p> <p>15 Other finance (ISI codes 5223, 5224, 5231, 5238, that part of ISI code 5252 that is not estates and trusts, and ISI code 5331)</p> | <p>16 Real estate (ISI code 5310)</p> <p>17 Information (ISI codes 5111–5191)</p> <p>18 Professional, scientific, and technical services (ISI codes 5411–5419)</p> <p>19 Other services (ISI codes 1150, 2132, 2133, 5321, 5329, and 5611–8130)</p> <p>Manufacturing, including fabricating, assembling, and processing of goods:</p> <p>20 Food (ISI codes 3111–3119)</p> <p>21 Beverages and tobacco products (ISI codes 3121 and 3122)</p> <p>22 Pharmaceuticals and medicine (ISI code 3254)</p> <p>23 Other chemicals (ISI codes 3251–3259, except 3254)</p> <p>24 Nonmetallic mineral products (ISI codes 3271–3279)</p> <p>25 Primary and fabricated metal products (ISI codes 3311–3329)</p> <p>26 Computer and electronic products (ISI codes 3341–3346)</p> <p>27 Machinery manufacturing (ISI codes 3331–3339)</p> <p>28 Electrical equipment, appliances and components (ISI codes 3351–3359)</p> <p>29 Motor vehicles and parts (ISI codes 3361–3363)</p> <p>30 Other transportation equipment (ISI codes 3364–3369)</p> <p>31 Other manufacturing (ISI codes 3130–3231, 3261, 3262, 3370–3399)</p> <p>32 Petroleum manufacturing, including integrated petroleum and petroleum refining without extraction (ISI codes 3242–3244)</p> |
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SUMMARY OF INDUSTRY CLASSIFICATIONS

<p>AGRICULTURE, FORESTRY, FISHING, AND HUNTING</p> <p>1110 Crop production</p> <p>1120 Animal production</p> <p>1130 Forestry and logging</p> <p>1140 Fishing, hunting, and trapping</p> <p>1150 Support activities for agriculture and forestry</p> <p>MINING, QUARRYING, AND OIL AND GAS EXTRACTION</p> <p>2111 Oil and gas extraction</p> <p>2121 Coal</p> <p>2123 Nonmetallic minerals</p> <p>2124 Iron ores</p> <p>2125 Gold and silver ores</p> <p>2126 Copper, nickel, lead, and zinc ores</p> <p>2127 Other metal ores</p> <p>2132 Support activities for oil and gas operations</p> <p>2133 Support activities for mining, except for oil and gas operations</p> <p>UTILITIES</p> <p>2211 Electric power generation, transmission, and distribution</p> <p>2212 Natural gas distribution</p> <p>2213 Water, sewage, and other systems</p> <p>CONSTRUCTION</p> <p>2360 Construction of buildings</p> <p>2370 Heavy and civil engineering construction</p> <p>2380 Specialty trade contractors</p> <p>MANUFACTURING</p> <p>3111 Animal foods</p> <p>3112 Grain and oilseed milling</p> <p>3113 Sugar and confectionery products</p> <p>3114 Fruit and vegetable preserving and specialty foods</p> <p>3115 Dairy products</p> <p>3116 Meat products</p> <p>3117 Seafood product preparation and packaging</p> <p>3118 Bakeries and tortillas</p> <p>3119 Other food products</p>	<p>3255 Paints, coatings, and adhesives</p> <p>3256 Soap, cleaning compounds, and toilet preparations</p> <p>3259 Other chemical products and preparations</p> <p>3261 Plastics products</p> <p>3262 Rubber products</p> <p>3271 Clay products and refractories</p> <p>3272 Glass and glass products</p> <p>3273 Cement and concrete products</p> <p>3274 Lime and gypsum products</p> <p>3279 Other nonmetallic mineral products</p> <p>3311 Iron and steel mills and ferroalloys</p> <p>3312 Steel products from purchased steel</p> <p>3313 Alumina and aluminum production and processing</p> <p>3314 Nonferrous metal (except aluminum) production and processing</p> <p>3315 Foundries</p> <p>3321 Forging and stamping</p> <p>3322 Cutlery and handtools</p> <p>3323 Architectural and structural metals</p> <p>3324 Boilers, tanks, and shipping containers</p> <p>3325 Hardware</p> <p>3326 Spring and wire products</p> <p>3327 Machine shops; turned products; and screws, nuts, and bolts</p> <p>3328 Coating, engraving, heat treating, and allied activities</p> <p>3329 Other fabricated metal products</p> <p>3331 Agriculture, construction, and mining machinery</p> <p>3332 Industrial machinery</p> <p>3333 Commercial and service industry machinery</p> <p>3334 Ventilation, heating, air-conditioning, and commercial refrigeration equipment</p> <p>3335 Metalworking machinery</p> <p>3336 Engines, turbines, and power transmission equipment</p> <p>3339 Other general purpose machinery</p> <p>3341 Computer and peripheral equipment</p>	<p>WHOLESALE TRADE</p> <p>MERCHANT WHOLESALERS, DURABLE GOODS</p> <p>4231 Motor vehicles and motor vehicle parts and supplies merchant wholesalers</p> <p>4232 Furniture and home furnishing merchant wholesalers</p> <p>4233 Lumber and other construction materials merchant wholesalers</p> <p>4234 Professional and commercial equipment and supplies merchant wholesalers</p> <p>4235 Metal and mineral (except petroleum) merchant wholesalers</p> <p>4236 Electrical and electronic goods merchant wholesalers</p> <p>4237 Hardware, and plumbing and heating equipment and supplies merchant wholesalers</p> <p>4238 Machinery, equipment, and supplies merchant wholesalers</p> <p>4239 Miscellaneous durable goods merchant wholesalers</p> <p>MERCHANT WHOLESALERS, NONDURABLE GOODS</p> <p>4241 Paper and paper product merchant wholesalers</p> <p>4242 Drugs and druggists' sundries merchant wholesalers</p> <p>4243 Apparel, piece goods, and notions merchant wholesalers</p> <p>4244 Grocery and related product merchant wholesalers</p> <p>4245 Farm product raw material merchant wholesalers</p> <p>4246 Chemical and allied products merchant wholesalers</p> <p>4247 Petroleum and petroleum products merchant wholesalers</p> <p>4248 Beer, wine, and distilled alcoholic beverage merchant wholesalers</p> <p>4249 Miscellaneous nondurable goods merchant wholesalers</p> <p>ELECTRONIC MARKETS AND</p>
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3119 Other food products
 3121 Beverages
 3122 Tobacco
 3130 Textile mills
 3140 Textile product mills
 3150 Apparel
 3160 Leather and allied products
 3210 Wood products
 3221 Pulp, paper, and paperboard mills
 3222 Converted paper products
 3231 Printing and related support activities
 3242 Integrated petroleum refining and extraction
 3243 Petroleum refining without extraction
 3244 Asphalt and other petroleum and coal products
 3251 Basic chemicals
 3252 Resins, synthetic rubbers, and artificial and synthetic fibers and filaments
 3253 Pesticides, fertilizers, and other agricultural chemicals
 3254 Pharmaceuticals and medicines

TRANSPORTATION AND WAREHOUSING

4810 Air transportation
 4821 Rail transportation
 4833 Petroleum tanker operations
 4839 Other water transportation
 4840 Truck transportation
 4850 Transit and ground passenger transportation
 4863 Pipeline transportation of crude oil, refined petroleum products, and natural gas
 4868 Other pipeline transportation
 4870 Scenic and sightseeing transportation
 4880 Support activities for transportation
 4920 Couriers and messengers
 4932 Petroleum storage for hire
 4939 Other warehousing and storage

INFORMATION

5111 Newspaper, periodical, book, and directory publishers
 5112 Software publishers
 5121 Motion picture and video industries
 5122 Sound recording industries
 5151 Radio and television broadcasting
 5152 Cable and other subscription programming
 5171 Wired telecommunications carriers
 5172 Wireless telecommunications carriers (except satellite)
 5174 Satellite telecommunications
 5179 Other telecommunications
 5182 Data processing, hosting, and related services
 5191 Other information services

FINANCE AND INSURANCE

5221 Depository credit intermediation (Banking)
 5223 Activities related to credit intermediation
 5224 Nondepository credit intermediation
 5229 Nondepository branches and agencies
 5231 Securities and commodity contracts intermediation and brokerage
 5238 Other financial investment activities and exchanges
 5242 Agencies, brokerages, and other insurance related activities
 5243 Insurance carriers, except life insurance carriers
 5249 Life insurance carriers
 5252 Funds, trusts, and other financial vehicles

3342 Communications equipment
 3343 Audio and video equipment
 3344 Semiconductors and other electronic components
 3345 Navigational, measuring, electromedical, and control instruments
 3346 Manufacturing and reproducing magnetic and optical media
 3351 Electric lighting equipment
 3352 Household appliances
 3353 Electrical equipment
 3359 Other electrical equipment and components
 3361 Motor vehicles
 3362 Motor vehicle bodies and trailers
 3363 Motor vehicle parts
 3364 Aerospace products and parts
 3365 Railroad rolling stock
 3366 Ship and boat building
 3369 Other transportation equipment
 3370 Furniture and related products
 3391 Medical equipment and supplies
 3399 Other miscellaneous manufacturing

REAL ESTATE AND RENTAL AND LEASING

5310 Real estate
 5321 Automotive equipment rental and leasing
 5329 Other rental and leasing services
 5331 Lessors of nonfinancial intangible assets (except copyrighted works)

PROFESSIONAL, SCIENTIFIC, AND TECHNICAL SERVICES

5411 Legal services
 5412 Accounting, tax preparation, bookkeeping, and payroll services
 5413 Architectural, engineering, and related services
 5414 Specialized design services
 5415 Computer systems design and related services
 5416 Management, scientific, and technical consulting services
 5417 Scientific research and development services
 5418 Advertising, public relations, and related services
 5419 Other professional, scientific, and technical services

MANAGEMENT OF COMPANIES AND ENTERPRISES

5512 Holding companies, except bank holding companies
 5513 Corporate, subsidiary, and regional management offices

ADMINISTRATIVE AND SUPPORT AND WASTE MANAGEMENT AND REMEDIATION SERVICES

5611 Office administrative services
 5612 Facilities support services
 5613 Employment services
 5614 Business support services
 5615 Travel arrangement and reservation services
 5616 Investigation and security services
 5617 Services to buildings and dwellings
 5619 Other support services
 5620 Waste management and remediation services

EDUCATIONAL SERVICES

6110 Educational services

HEALTH CARE AND SOCIAL ASSISTANCE

6210 Ambulatory health care services
 6220 Hospitals
 6230 Nursing and residential care facilities
 6240 Social assistance services

AGENTS AND BROKERS

4251 Wholesale electronic markets and agents and brokers

RETAIL TRADE

4410 Motor vehicle and parts dealers
 4420 Furniture and home furnishings stores
 4431 Electronics and appliance stores
 4440 Building material and garden equipment and supplies dealers
 4450 Food and beverage stores
 4461 Health and personal care stores
 4471 Gasoline stations
 4480 Clothing and clothing accessories stores
 4510 Sporting goods, hobby, book, and music stores
 4520 General merchandise stores
 4530 Miscellaneous store retailers
 4540 Nonstore retailers

ARTS, ENTERTAINMENT, AND RECREATION

7110 Performing arts, spectator sports, and related industries
 7121 Museums, historical sites, and similar institutions
 7130 Amusement, gambling, and recreation industries

ACCOMMODATION AND FOOD SERVICES

7210 Accommodation
 7220 Food services and drinking places

OTHER SERVICES

8110 Repair and maintenance
 8120 Personal and laundry services
 8130 Religious, grantmaking, civic, professional, and similar organizations

PUBLIC ADMINISTRATION

9200 Public administration

Definitions

Acquisition

Affiliate

Direct ownership

Establishment

Foreign parent

Indirect ownership

U.S. affiliates of foreign parents

Ultimate beneficial owner

Expansion

Merger