

**U.S. PRODUCERS' QUESTIONNAIRE**  
**ALUMINUM EXTRUSIONS FROM CHINA**

**This questionnaire must be received by the Commission by no later than February 8, 2011**  
*See page 4 of the Instruction Booklet for filing instructions.*

The information called for in this questionnaire is for use by the United States International Trade Commission in connection with its countervailing duty and antidumping investigations concerning aluminum extrusions from China (Inv. No. 701-TA-475 and 731-TA-1177 (Final)). The information requested in the questionnaire is requested under the authority of the Tariff Act of 1930, title VII. This report is **mandatory** and failure to reply as directed can result in a subpoena or other order to compel the submission of records or information in your possession (19 U.S.C. § 1333(a)).

<b>Name of firm</b> _____
<b>Address</b> _____
<b>City</b> _____ <b>State</b> _____ <b>Zip Code</b> _____
<b>World Wide Web address</b> _____
Has your firm produced aluminum extrusions (as defined in the instruction booklet) at any time since January 1, 2008?
<input type="checkbox"/> <b>NO</b> (Sign the certification below and promptly return only this page of the questionnaire to the Commission)
<input type="checkbox"/> <b>YES</b> (Read the instruction booklet carefully, complete all parts of the questionnaire, and return the entire questionnaire to the Commission so as to be received by the date indicated above)

**CERTIFICATION**

*I certify that the information herein supplied in response to this questionnaire is complete and correct to the best of my knowledge and belief and understand that the information submitted is subject to audit and verification by the Commission.*

*By means of this certification I also grant consent for the Commission, and its employees and contract personnel, to use the information provided in this questionnaire and throughout these proceedings in any other import-injury proceedings conducted by the Commission on the same or similar merchandise.*

*I acknowledge that information submitted in this questionnaire response and throughout these proceedings may be used by the Commission, its employees, and contract personnel who are acting in the capacity of Commission employees, for developing or maintaining the records of these proceedings or related proceedings for which this information is submitted, or in internal audits and proceedings relating to the programs and operations of the Commission pursuant to 5 U.S.C. Appendix 3. I understand that all contract personnel will sign non-disclosure agreements.*

_____ <i>Name of Authorized Official</i>	_____ <i>Title of Authorized Official</i>	_____ <i>Date</i>
_____ <i>Signature</i>	_____ <i>Phone: ( )</i>	_____ <i>E-mail address</i>
	_____ <i>Fax ( )</i>	

**PART I.—GENERAL INFORMATION**

The questions in this questionnaire have been reviewed with market participants to ensure that issues of concern are adequately addressed and that data requests are sufficient, meaningful, and as limited as possible. Public reporting burden for this questionnaire is estimated to average 50 hours per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the questionnaire. Send comments regarding the accuracy of this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Investigations, U.S. International Trade Commission, 500 E Street, SW, Washington, DC 20436.

I-1a. **OMB statistics**--Please report below the actual number of hours required and the cost to your firm of preparing the reply to this questionnaire and completing the form.

\_\_\_\_\_hours \_\_\_\_\_dollars

I-1b. **OMB feedback**--We are interested in any comments you may have for improving this questionnaire in general or the clarity of specific questions. Please attach such comments to your response or send them to the above address.

I-2. **Establishments covered**--Provide the name and address of establishment(s) covered by this questionnaire (see page 3 of the instruction booklet for reporting guidelines). If your firm is publicly traded, please specify the stock exchange and trading symbol.

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I-3. **Petition support**--Do you support or oppose the petitions?

China – Antidumping	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position
China – Countervailing Duty	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position

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**PART I.--GENERAL INFORMATION--Continued**

I-4. **Ownership.**--Is your firm owned, in whole or in part, by any other firm?

No  Yes--List the following information

<u>Firm name</u>	<u>Address</u>	<u>Extent of ownership</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I-5. **Related importers/exporters.**--Does your firm have any related firms, either domestic or foreign, which are engaged in importing aluminum extrusions from China into the United States or which are engaged in exporting aluminum extrusions from China to the United States?

No  Yes--List the following information

<u>Firm name</u>	<u>Address</u>	<u>Affiliation</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I-6. **Related producers.**--Does your firm have any related firms, either domestic or foreign, which are engaged in the production of aluminum extrusions?

No  Yes--List the following information

<u>Firm name</u>	<u>Address</u>	<u>Affiliation</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I-6. **Use of estimates.**--In completing this form, did your firm use any estimates in supplying the requested data? (answer this question after completing all other sections)

No  Yes--Please indicate the question(s) which include estimates, the nature of the estimates and how they were derived.

\_\_\_\_\_  
\_\_\_\_\_

**PART II.--TRADE AND RELATED INFORMATION**

Further information on this part of the questionnaire can be obtained from **Ed Petronzio** (202-205-3176, [edward.petronzio@usitc.gov](mailto:edward.petronzio@usitc.gov)).

II-1. **Contact info.**--Please identify the individual to be contacted regarding your firms' responses to the questions in section II.

Name and title: \_\_\_\_\_

Please indicate the manner by which Commission staff may contact the individual responsible for part II with questions regarding the submitted confidential information.

E-mail: \_\_\_\_\_ Telephone: ( ) \_\_\_\_\_

Fax: ( ) \_\_\_\_\_

II-2. **Changes in operations.**--Please indicate whether your firm has experienced any of the following changes in relation to the production of aluminum extrusions since January 1, 2008.

*(check as many as appropriate)*

*(please describe in some detail)*

plant openings, expansions, or acquisitions .....

\_\_\_\_\_  
\_\_\_\_\_

plant closings, consolidations, or relocations.....

\_\_\_\_\_  
\_\_\_\_\_

prolonged shutdowns or production curtailments .....

\_\_\_\_\_  
\_\_\_\_\_

other (*e.g.*, changes in technology, revised labor agreements, et cetera) .....

\_\_\_\_\_  
\_\_\_\_\_

II-3. **Production capabilities.**--Please answer the following questions relating to your extrusion capabilities. (See definitions in instruction booklet.)

(a) How many extrusion presses (excluding drawing machines for drawn aluminum) does your firm have? Please provide locations and specifications for the capabilities of each extrusion press as of 2010.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PART II.--TRADE AND RELATED INFORMATION--Continued**

- (b) What is the minimum and the maximum wall thickness extrusion your firm has the ability to produce?

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- (c) How many drawing machines for drawn aluminum does your firm have? Please provide locations and specifications for the capabilities of each machine as of 2010.

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- (d) What is the minimum and the maximum wall thickness drawn aluminum product your firm has the ability to produce?

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- (e) Since January 1, 2008, has your firm ever turned down an order because of a technical inability to produce (*i.e.*, extrude or draw) the requested products or had to supply customers with requested product from a third source provider? If so, please describe these products:<sup>1</sup>:

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<sup>1</sup> The Commission is not seeking data on every instance of a request for quotation or other inquiry that your firm has turned down, but rather general information on whether there are certain products considered within the basket of "aluminum extrusions" that your firm is unable to produce.

**PART II.--TRADE AND RELATED INFORMATION--Continued**

- (f) Since January 1, 2008, has your firm ever turned down an order because of factors other than the technical ability to produce the requested products (*e.g.*, batch considerations, order size, finishing capacity, alloy specifications, et cetera)? If so, please describe the situation(s):<sup>2</sup>

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II-4. **Finishing capabilities.**--Please answer the following questions relating to your finishing capabilities. (See definitions in instruction booklet.)

- (a) **Paint.**--Does your firm provide painted aluminum extrusions to your costumers?

No.

Yes.--**Via Internal Painting Capacity.**--Please describe your firm's painting capabilities, including any capacity or capability limitations relating to providing the painted aluminum extrusions and whether your painting lines were a bottleneck to production during the period examined.

Yes.--**Via An External (i.e., Toll) Arrangement.**--Please describe your tolling firm's painting capabilities, including any capacity or capability limitations relating to providing the painted aluminum extrusions and whether this arrangement was a bottleneck to production during the period examined.

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<sup>2</sup> Likewise, here, the Commission is not seeking data on every instance of a request for quotation or other inquiry that your firm has turned down, but rather general information on any factors other than the ability to physically produce a product that has led your firm to turn down orders over the period being examined. In your narrative response, please provide some indication of the frequency and relative importance of any factors cited.

**PART II.--TRADE AND RELATED INFORMATION--Continued**

(b) **Anodized.**-- Does your firm provide anodized aluminum extrusions to your customers?

- No.
- Yes.--Please indicate the types of anodized aluminum extrusions your firm has provided since January 1, 2008 and whether this merchandise was anodized via internal anodizing production capacity or through an external (e.g., toll) arrangement.

<u>Type of anodized extrusions</u>		<u>Your firm has provided?</u>
• Type I, chromic acid anodizing	<input type="checkbox"/> No.	<input type="checkbox"/> Yes.--via Internal capacity <input type="checkbox"/> Yes.--via External arrangements
• Type II, sulfuric acid anodizing	<input type="checkbox"/> No.	<input type="checkbox"/> Yes.--via Internal capacity <input type="checkbox"/> Yes.--via External arrangements
• Type III, sulfuric acid anodizing	<input type="checkbox"/> No.	<input type="checkbox"/> Yes.--via Internal capacity <input type="checkbox"/> Yes.--via External arrangements
• Phosphoric acid anodizing	<input type="checkbox"/> No.	<input type="checkbox"/> Yes.--via Internal capacity <input type="checkbox"/> Yes.--via External arrangements
• Other types of anodizing. Please describe: _____ _____ _____	<input type="checkbox"/> No.	<input type="checkbox"/> Yes.--via Internal capacity <input type="checkbox"/> Yes.--via External arrangements

(c) **Bright Dipping and Brushed Nickel.**--Please indicate whether your firm has the capacity (or have existing external, i.e., toll, arrangements) to produce bright dipped aluminum extrusions and/or brushed nickel aluminum extrusions (two specific types of anodized aluminum extrusions).

<u>Type of finish extrusions</u>		<u>Your firm has provided?</u>
• Bright dipping	<input type="checkbox"/> No.	<input type="checkbox"/> Yes.--via Internal capacity <input type="checkbox"/> Yes.--via External arrangements
• Brushed nickel	<input type="checkbox"/> No.	<input type="checkbox"/> Yes.--via Internal capacity <input type="checkbox"/> Yes.--via External arrangements

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(d) **Anodized limitations.**--Please indicate whether your firm has any capacity or capability limitations relating to providing anodized extrusions (either internal limitations or external toll contractor limitations) and whether these limitations were a bottleneck to production during the period examined.

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**PART II.--TRADE AND RELATED INFORMATION--Continued**

- (e) **Other finishing operations.**--Please indicate any additional finishing operations (excluding fabrication) your firm provides customers other than mill finish, painting, and anodizing. (e.g., brushing, buffing, polishing, et cetera)

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II-5. **Fabrication capabilities.**--Please answer the following questions relating to your fabrication capabilities. (See definitions in instruction booklet.)

- (a) Does your firm provide fabrication services for customers?

No.                       Yes.--Please describe your firm's fabrication services.

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- (b) What share of the quantity of your firm's U.S. shipments in 2010 included additional fabrication? And of those extrusions with additional fabrication services provided, what was the average additional cost of fabrication included in the value of those U.S. shipments?

\_\_\_\_\_ percent of my firm's U.S. shipments by quantity in 2010 included additional fabrication and of these shipments the average additional cost of fabrication accounted for approximately \_\_\_\_\_ percent of the value of fabricated extrusions sold.

- (c) After providing fabrication services, do any of the fabricated aluminum extrusions that your firm produced actually become known as another product before the point of sale? (i.e., would a purchaser consider it a downstream product and not an extrusion?)

No.                       Yes.--Please describe these product(s), the extent of the transformation provided by the additional fabrication services, and the approximate aggregate share by quantity of your firm's U.S. shipments of aluminum extrusions that these products represented in 2010.

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**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-6. **Same equipment, machinery, and workers.**--Has your firm since 2008 produced, or does your firm anticipate producing in the future, other products on the same equipment and machinery used in the production of aluminum extrusions and/or using the same production and related workers ("PRWs") employed to produce aluminum extrusions? (See definitions in instruction booklet.)

Same equipment and machinery       No       Yes--Please describe.  
 Same PRWs       No       Yes--Please describe.

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II-7. **Production constraints.**--Given your firm's actual product mix and demand since January 1, 2008:

(a) Please indicate the level of constraint to production for each of the following.

	<u>A major constraint</u>	<u>A middling constraint</u>	<u>A minor constraint</u>	<u>Not a constraint</u>
• Extrusion/drawing line	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Finishing capabilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Labor related issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Availability of inputs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other constraints:				
• _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(b) Were there any changes to these constraints over the period?

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II-8. **Tolling.**--Since January 1, 2008, has your firm been involved in a toll agreement (see definition in the instruction booklet) regarding the production of aluminum extrusions?

No       Yes--Name firm(s): \_\_\_\_\_.

II-9. **Foreign trade zone.**--Does your firm produce aluminum extrusions in a foreign trade zone (FTZ)?

No       Yes--Identify the FTZ(s): \_\_\_\_\_.

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-10. **Importer.**--Since January 1, 2008, has your firm imported aluminum extrusions from any source?

- No
- Yes--**COMPLETE AND RETURN A U.S. IMPORTERS' QUESTIONNAIRE**

II-11. **Upstream activities.**--Does your firm produce upstream products used as inputs into the production of aluminum extrusions (e.g., aluminum billets, casting dies, et cetera)?

- No
- Yes--Please describe your firm's upstream activities including the overall production and capacity for these upstream activities in 2010.

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II-12. **Aluminum billet inputs.**--For your firm's production of aluminum extrusions in 2010:

(a) Please estimate the share by quantity of aluminum billet inputs by source.

<u>Source of aluminum billet input</u>	<u>Est. share of quantity of total aluminum billets used as inputs into the production of aluminum extrusions in 2010 (percent)</u>
• Purchased from an arm's length provider.	_____
• Purchased or transferred from a related company.	_____
• Produced in house from purchased, non-scrap inputs.	_____
• Produced in house from in house scrap.	_____
• Produced in house from scrap that was purchased by, transferred, donated, or sold to your firm.	_____
Total (i.e., should sum to):	<u>100 percent</u>

(a) If your firm sourced aluminum billet other than 100 percent purchased from an arm's length provider, please indicate the estimated cost savings your alternative supply provided in 2010.

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**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-13. **Trade data.**--Report your firm's production capacity, production, shipments, and inventories related to the production of aluminum extrusions in your U.S. establishment(s) during the specified periods. (See definitions in the instruction booklet.)

<b>Quantity (in short tons) and value (in \$1,000)</b>			
<b>Item</b>	<b>Calendar years</b>		
	<b>2008</b>	<b>2009</b>	<b>2010</b>
<b>Average production capacity<sup>1</sup></b> (quantity) (A)			
<b>Beginning-of-period inventories</b> (quantity) (B)			
<b>Production</b> (quantity) (C)			
<b>U.S. shipments:</b>			
<b>Commercial shipments:</b>			
Quantity of commercial shipments (D)			
Value of commercial shipments (E)			
<b>Tolled shipments:<sup>2</sup></b>			
Quantity of tolled shipments (F)			
Value of toll conversion (G)			
<b>Internal consumption:</b>			
Quantity of internal consumption (H)			
Value <sup>3</sup> of internal consumption (I)			
<b>Transfers to related firms:</b>			
Quantity of transfers (J)			
Value <sup>3</sup> of transfers (K)			
<b>Export shipments:<sup>4</sup></b>			
Quantity of export shipments (L)			
Value of export shipments (M)			
<b>Scrap or loss</b> (quantity) (N)			
<b>End-of-period inventories</b> (quantity) (O)			
<p><sup>1</sup> The production capacity (see definitions in instruction booklet) reported is based on operating ___ hours per week, ___ weeks per year. Please describe the methodology used to calculate production capacity, and explain any changes in reported capacity (use additional pages as necessary).</p> <hr/>			
<p><sup>2</sup> Shipments of extrusions produced on your extrusions presses and drawing machines under a toll agreement whereby which the shipment values reflect primarily conversion costs (through whatever level of finish required under the agreement). Do not report here data for product you tolled <u>only</u> on other related production equipment such as painting machines, anodizing lines, et cetera (<i>i.e.</i>, product that another firm has extruded or drawn). Also do not report in this data table any extrusions that were extruded or drawn by another party under a toll arrangement for your firm (there is a separate question later in this section on those shipments).</p>			
<p><sup>3</sup> Internal consumption and transfers to related firms must be valued at fair market value. In the event that you use a different basis for valuing these transactions, please specify that basis (<i>e.g.</i>, cost, cost plus, <i>etc.</i>) and provide value data using that basis for each of the periods noted above:</p>			
<p><sup>4</sup> Identify your principal export markets: _____.</p>			

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-14. **Channels of distribution.**--Report your firm's channels of distribution for all U.S. shipments of aluminum extrusions (*i.e.*, including not only commercial U.S. shipments, but also any company transfers or internal consumption in the United States) during the specified periods. (See definitions in the instruction booklet.)

Quantity ( <i>in short tons</i> )			
Item	Calendar years		
	2008	2009	2010
<b>Channels of distribution:</b> ( <i>quantity</i> )			
U.S. shipments to wholesalers/distributors (P)			
U.S. shipments to end users (Q)			

II-15. **U.S. shipments by finish.**--Report your firm's U.S. shipments of aluminum extrusions (*i.e.*, including not only commercial U.S. shipments, but also any company transfers or internal consumption in the United States) by finish type during the specified periods. (See definitions in the instruction booklet.)

Quantity ( <i>in short tons</i> ) and value ( <i>in \$1,000</i> )			
Item	Calendar years		
	2008	2009	2010
<b>U.S. shipments by type of finish:</b>			
<b>U.S. shipments of <u>mill finished</u> extrusions:</b>			
Quantity (R)			
Value (S)			
<b>U.S. shipments of <u>painted</u> extrusions:</b>			
Quantity (T)			
Value (U)			
<b>U.S. shipments of <u>anodized</u> extrusions:</b>			
Quantity (V)			
Value (W)			
Note.--Other finishes such as metallic brushing, buffing, polishing, et cetera should be reported under one of the primary three categories provided above. For example, brushed nickel will likely be reported as an anodized product as it is eventually anodized, and non-painted, non-anodized extrusions that have been buffed and polished would be reported as mill finish, et cetera.			

II-16. **U.S. shipments of bright dipped extrusions.**--Report your firm's U.S. shipments of bright dipped aluminum extrusions (*i.e.*, including not only commercial U.S. shipments, but also any company transfers or internal consumption in the United States) during the specified periods. (See definitions in the instruction booklet.)

Quantity ( <i>in short tons</i> ) and value ( <i>in \$1,000</i> )			
Item	Calendar years		
	2008	2009	2010
<b>U.S. shipments by <u>bright-dipped</u> extrusions:</b>			
Quantity (X)			
Value (Y)			
Note.--These shipments are a subset of what is reported in question II-15 above as "anodized extrusions."			

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-17. **Employment data.**--Report your firm's employment data related to the production of aluminum extrusions in your U.S. establishment(s) during the specified periods. (See definitions in the instruction booklet.)

Item	Calendar years		
	2008	2009	2010
<b>Employment data:</b>			
Average number of PRWs ( <i>number</i> ) <sup>1 2</sup>			
Hours worked by PRWs ( <i>1,000 hours</i> )			
Total wages paid to PRWs (in \$1,000s)			
<sup>1</sup> What explains the trend in the average number of PRWs over the period?			
_____			
<sup>2</sup> If the number of PRWs employed the production of aluminum extrusions decreased at any point over the period, please indicate the number that were released from your firm's employment all together and the number of employees that were transferred to other operations.			
_____			
_____			

II-18. **Reconciliation of data.**--

(a) Please note that the amounts reported in questions II-13, II-14, and II-15 should reconcile as follows in each period (*i.e.*, in each column):

Reconciliation

$B + C - D - F - H - J - L - N = O$  Do these data reconcile?  Yes  No--(Please correct these data before submitting questionnaire)

$D + F + H + J = P + Q$  Do these data reconcile?  Yes  No--(Please correct these data before submitting questionnaire)

$D + F + H + J = R + T + V$  Do these data reconcile?  Yes  No--(Please correct these data before submitting questionnaire)

$E + G + I + K = S + U + W$  Do these data reconcile?  Yes  No--(Please correct these data before submitting questionnaire).

$X < V$  and  $Y < W$  Do these data reconcile?  Yes  No--(Please correct these data before submitting questionnaire).

(b) Please note that the quantities reported for end-of-period inventories should equal the beginning-of-period inventories reported in the subsequent calendar year in question II-13 (*i.e.*, line O of year 2008 should equal line B of year 2009). Do these data reconcile for each adjacent calendar year?

Yes.  No--(Please correct these data before submitting questionnaire.  
Note that you may use the quantities reported under scrap (line N) to account for any unexplained discrepancies between your import, shipment and inventory data.)

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-19. **Toll arrangements on extrusion/drawing machinery.**--Please indicate the nature of any toll arrangements entered into by your firm relating to your extrusions presses and/or drawing machines.

- No such toll arrangements.
- Our firm produces aluminum extrusions on our extrusion presses and/or drawing machines for another firm (Please report these as "tolled shipments" in the trade data table, question II-13).
- Our firm has aluminum extrusions produced on another firm's extrusion presses and/or drawing machines (Please report the eventual commercial shipments of this tolled production in the following table, and ensure that none of this merchandise is reported in the trade data table, question II-13).

<b>Quantity (in short tons) and value (in \$1,000)</b>			
<b>Item</b>	<b>Calendar years</b>		
	<b>2008</b>	<b>2009</b>	<b>2010</b>
<b>U.S. shipments of tolled merchandise:<sup>1</sup></b>			
<b>Commercial shipments:</b>			
Quantity (AA)			
Value (BB)			
<b>Internal consumption:</b>			
Quantity (CC)			
Value <sup>2</sup> (DD)			
<b>Transfers to related firms:</b>			
Quantity (EE)			
Value <sup>2</sup> (FF)			
<b>Export shipments:</b>			
Quantity (GG)			
Value (HH)			
<b>U.S. shipments of tolled merchandise by type of finish:</b>			
<b>U.S. shipments of <u>mill finished</u> extrusions:</b>			
Quantity (II)			
Value (JJ)			
<b>U.S. shipments of <u>painted</u> extrusions:</b>			
Quantity (KK)			
Value (LL)			
<b>U.S. shipments of <u>anodized</u> extrusions:</b>			
Quantity (MM)			
Value (NN)			

<sup>1</sup> Data in this table should be the eventual U.S. and export shipments of aluminum extrusions by your firm of product that was extruded or drawn on another firm's extrusion presses or drawing equipment under a toll agreement. Please also indicate the name of the firm(s) that actually produced the extrusions:

<sup>2</sup> Internal consumption and transfers to related firms must be valued at fair market value. In the event that you use a different basis for valuing these transactions, please specify that basis (e.g., cost, cost plus, etc.) and provide value data using that basis for each of the periods noted above:

<sup>3</sup> Please ensure that the data reported in this table reconcile by quantity of U.S. shipments (AA + CC + EE = II + KK + MM) and by value of U.S. shipments (BB + DD + FF = JJ + LL + NN).

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-20. **Toll arrangements on other machinery.**--Please indicate the nature of any toll arrangements entered into by your firm relating to machinery other than extrusion presses and/or drawing machines.<sup>3</sup>

- No such toll arrangements.
- Our firm provides painting services to other producers of aluminum extrusions under a toll arrangement.--Please describe these arrangements and provide information on the relative size of these operations below.
- Our firm provides anodizing services to other producers of aluminum extrusions under a toll arrangement.--Please describe these arrangements and provide information on the relative size of these operations below.
- Our firm provides fabrication services to other producers of aluminum extrusions under a toll arrangement.--Please describe these arrangements and provide information on the relative size of these operations below.
- Our firm provides billet manufacturing services to other producers of aluminum extrusions under a toll arrangement.--Please describe these arrangements and provide information on the relative size of these operations below.
- Our firm provides other tolling services not otherwise specified above to other producers of aluminum extrusions.--Please describe these arrangements and provide information on the relative size of these operations below.

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II-21. **Related firms.**--If you reported transfers to related firms in question II-13, please indicate the nature of the relationship between your firm and the related firms (*e.g.*, joint venture, wholly owned subsidiary), whether the transfers were priced at market value or by a non-market formula, whether your firm retained marketing rights to all transfers, and whether the related firms also processed inputs from sources other than your firm.

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<sup>3</sup> If your firm is the toller in such a relationship (*i.e.*, provides painting, anodizing, and other non-extrusion services for a fee to other producers), please ensure that your firm has not reported any of the shipments related to those tolling services in response to questions II-13 through II-17. If your firm is only a tollee in such a relationship (*i.e.*, outsources painting, anodizing, or other non-extrusion manufacturing services), please ensure that your firm has reported all these data in your responses to questions II-13 through II-17 and have indicated the nature of these external arrangements in questions II-4 and II-5.

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-22. **Standardized versus custom extrusions.**--Please estimate the share of your firms' U.S. shipments that are standardized extrusions versus customer-specific in each year. (See definitions in the instruction booklet.)

	<b>Est. Share of U.S. Shipments (lines D, F, &amp; H in question II-13)</b>		
	<b>2008 (percent)</b>	<b>2009 (percent)</b>	<b>2010 (percent)</b>
Standardized			
Custom			
Total	100%	100%	100%

II-23. **Market Sectors for Aluminum Extrusions.**--Please indicate the market sectors of your firm's shipments of aluminum extrusions and estimate the share of production accounted for by each market sector, and describe the primary products that your firms ships under each market sector.

<b>Market sectors (Check all that apply, see instructions booklet for definitions)</b>	<b>Estimated share of U.S. shipments in 2010<sup>1</sup> (percent)</b>	<b>Description of products</b>
<input type="checkbox"/> Building and Construction		
<input type="checkbox"/> Transportation		
<input type="checkbox"/> Engineered Products		
<input type="checkbox"/> Other Market Sectors		

<sup>1</sup> Please estimate these shares off of the quantity of your firm's overall U.S. shipments (lines D, F, & H in question II-13) in 2010. This column should total 100%.



**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-24. **Purchases**--Other than direct imports, has your firm otherwise purchased aluminum extrusions (NOTE: do not report purchases of inputs such as aluminum billets) since January 1, 2008? (See definitions in the instruction booklet.)

- No                       Yes--Report such purchases below for the specified periods.<sup>1</sup>

(Quantity in square yards, value in \$1,000)			
Item	Calendar years		
	2008	2009	2010
<b>PURCHASES FROM U.S. IMPORTERS<sup>2</sup> OF ALUMINUM EXTRUSIONS FROM--</b>			
China:			
Quantity			
Value			
Canada:			
Quantity			
Value			
Other sources: <sup>3</sup>			
Quantity			
Value			
<b>PURCHASES FROM DOMESTIC PRODUCERS:<sup>2</sup></b>			
Quantity			
Value			
<b>PURCHASES FROM UNKNOWN SOURCES:<sup>2</sup></b>			
Quantity			
Value			
<sup>1</sup> Please indicate your reasons for purchasing this product. If your reasons differ by source, please elaborate. _____ _____			
<sup>2</sup> Please list the name of the firm(s) from which you purchased this product. If your suppliers differ by source, please identify the source for each listed supplier. _____ _____			

**PART III.--FINANCIAL INFORMATION**

Address questions on this part of the questionnaire to David Boyland (202-708-4725, [david.boyland@usitc.gov](mailto:david.boyland@usitc.gov)).

III-1. Please identify the individual to be contacted regarding the confidential information requested in part III.

Name and title: \_\_\_\_\_

Please indicate the manner by which Commission staff may contact the individual responsible for part III with questions regarding the submitted confidential information.

E-mail: \_\_\_\_\_ Telephone: (\_\_\_\_) \_\_\_\_\_

Fax: (\_\_\_\_) \_\_\_\_\_

III-2. **Accounting system.**--Briefly describe your financial accounting system.

A. When does your fiscal year end (month and day)? \_\_\_\_\_  
If your fiscal year changed during the period examined, explain below: \_\_\_\_\_

B.1. Describe the lowest level of operations (e.g., plant, division, company-wide) for which financial statements are prepared that includes aluminum extrusions: \_\_\_\_\_

2. Does your firm prepare profit/loss statements for aluminum extrusions:  
 Yes  No

3. How often did your firm (or parent company) prepare financial statements (including annual reports, 10Ks)? Please check relevant items below.  
 Audited,  unaudited,  annual reports,  10Ks,  10 Qs,  
 Monthly,  quarterly,  semi-annually,  annually

4. Accounting basis:  GAAP,  cash,  tax, or  other comprehensive (specify) \_\_\_\_\_

*Note: The Commission may request that your company submit copies of its financial statements, including internal profit-and-loss statements for the division or product group that includes aluminum extrusions, as well as those statements and worksheets used to compile data for your firm's questionnaire response.*

III-3. **Cost accounting system.**--Briefly describe your cost accounting system (e.g., standard cost, job order cost, etc.).

\_\_\_\_\_  
\_\_\_\_\_

**PART III.--FINANCIAL INFORMATION--Continued**

III-4. **Allocation basis.**--Briefly describe your allocation basis, if any, for COGS, SG&A, and interest expense and other income and expenses.

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III-5. **Other products.**--Please list any other products you produced in the facilities in which you produced aluminum extrusions, and provide the share of net sales accounted for by these other products in your most recent fiscal year:

<u>Products</u>	<u>Share of sales</u>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

III-6. Does your firm receive inputs (raw materials, labor, energy, or any other services) used in the production of aluminum extrusions from any related firm?

Yes—Continue to question III-7 below.       No--Continue to question III-10 below.

III-7. **Inputs from related firms.**--In the space provided below, identify the inputs used in the production of aluminum extrusions that your firm receives from related parties whose financial statements are consolidated with the financial statements of your firm.

<u>Input</u>	<u>Related party</u>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

**PART III.--FINANCIAL INFORMATION--Continued**

III-8. **Related firms financials.**--With respect to the related companies identified in response to question III-7 above, are their financial statements consolidated with your firm's financial statements? (In other words, are profits or losses arising from intercompany transactions eliminated?)

Yes—Continue to question III-9 below.       No--Continue to question III-10 below.

III-9. **Inputs from related firms at cost.**--All intercompany profit on inputs purchased from related parties that is eliminated pursuant to formal financial statement consolidation should also be eliminated from the costs reported to the Commission in question III-11 (i.e., costs reported in question III-11, to the extent that they reflect inputs purchased from related parties, should only reflect the related party's cost and not include an associated profit component). Reasonable methods for determining and eliminating the associated profit on inputs purchased from related parties are acceptable.

Has your firm complied with the Commission's instructions regarding costs associated with inputs purchased from related parties?

Yes       No—Please contact David Boyland (202-708-4725, [david.boyland@usitc.gov](mailto:david.boyland@usitc.gov)).

III-10. **Nonrecurring charges.**--For each annual period for which financial results are reported in question III-11, please indicate in the schedule below the specific nonrecurring charges, the particular expense/cost line items from question III-11 where the associated charges are included, a brief description of the charges, and the associated values (*in \$1,000*). Nonrecurring charges would include, but are not limited to, items such as asset write-offs and accelerated depreciation due to restructuring of the company's aluminum extrusions operations.

Item	Calendar year <sup>1</sup>		
	2008	2009	2010
<b>Non-recurring charges:</b> (In the far left column please provide a brief description of each nonrecurring charge and indicate the specific expense/cost line items where the associated charges are included in question III-11.)			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
<sup>1</sup> If the company is reporting on a fiscal-year basis, please confirm that it is based on the fiscal periods reported in response to question III-2.A.			

**PART III.--FINANCIAL INFORMATION--Continued**

III-11. **Operations on aluminum extrusions.**--Report the revenue and related cost information requested below on the aluminum extrusions operations of your U.S. establishment(s).<sup>1</sup> Do not report resales of products. Note that internal consumption and transfers to related firms must be valued at fair market value and purchases from related firms must be at cost.<sup>2</sup>

Quantity (in short tons) and value (in \$1,000)			
Item	Calendar year <sup>3</sup>		
	2008	2009	2010
<b>Net sales quantities:</b> <sup>4</sup>			
Commercial sales			
Internal consumption			
Transfers to related firms			
Tolling			
Total net sales quantities			
<b>Net sales values:</b> <sup>4</sup>			
Commercial sales			
Internal consumption			
Transfers to related firms			
Tolling			
Total net sales values			
<b>Cost of goods sold (COGS):</b> <sup>5</sup>			
Raw materials			
Direct labor			
Other factory costs			
Total COGS			
<b>Gross profit or (loss)</b>			
<b>Selling, general, and administrative (SG&amp;A) expenses:</b>			
Selling expenses			
General and administrative expenses			
Total SG&A expenses			
<b>Operating income (loss)</b>			
<b>Other income and expenses:</b>			
Interest expense			
All other expense items			
All other income items			
All other income or expenses, net			
<b>Net income or (loss) before income taxes</b>			
<b>Depreciation/amortization included above</b>			
<sup>1</sup> Include only sales (whether domestic or export) and costs related to your U.S. manufacturing operations. <sup>2</sup> Please list the expense categories and amounts of any profits on internal inputs or inputs from related firms that are reflected on your books but which are eliminated from the costs reported below. <sup>3</sup> If the company is reporting on a fiscal-year basis, please confirm that it is based on the fiscal periods reported in response to question III-2.A. <sup>4</sup> Less discounts, returns, allowances, and prepaid freight. The quantities and values should approximate the corresponding shipment quantities and values reported in Part II of this questionnaire. <sup>5</sup> COGS should include costs associated with internal consumption and transfers to related firms.			

**PART III.--FINANCIAL INFORMATION--Continued**

III-12. **Asset values.**--Report the total assets associated with the production, warehousing, and sale of aluminum extrusions. If your firm does not maintain some or all of the specific asset data in the normal course of business, please estimate it based upon some rational method (such as production, sales, or costs) that is consistent with your cost allocations in the previous question. Your finished goods inventory value should reconcile with the inventory quantity data reported in Part II. Provide data as of the end of your three most recently completed fiscal years in chronological order from left to right.

Value (in \$1,000)			
Item	Calendar year <sup>1</sup>		
	2008	2009	2010
<b>Assets associated with the production, warehousing, and sale of product:</b>			
<b>1. Current assets:</b>			
A. Cash and equivalents			
B. Accounts receivable, net			
C. Inventories			
D. Other (describe: _____)			
E. Total current assets (lines 1.A. through 1.D.)			
<b>2. Property, plant, and equipment</b>			
A. Original cost of property, plant, and equipment			
B. Less: Accumulated depreciation			
C. Equals: Book value of property, plant, and equipment			
<b>3. Other (describe: _____)</b>			
<b>4. Total assets</b> (lines 1.E., 2.C., and 3)			
<sup>1</sup> If the company is reporting on a fiscal-year basis, please confirm that it is based on the fiscal periods reported in response to question III-2.A.			

III-13. **Capital expenditures and research and development expenses.**--Report your firm's capital expenditures and research and development expenses on aluminum extrusions. Provide data for your three most recently completed fiscal years in chronological order from left to right.

Value (in \$1,000)			
Item	Calendar year <sup>1</sup>		
	2008	2009	2010
<b>Capital expenditures</b>			
<b>Research and development expenses</b>			
<sup>1</sup> If the company is reporting on a fiscal-year basis, please confirm that it is based on the fiscal periods reported in response to question III-2.A.			

**PART III.--FINANCIAL INFORMATION--Continued**

III-14. **Effects of imports**--Since January 1, 2008, has your firm experienced any actual negative effects on its return on investment or its growth, investment, ability to raise capital, existing development and production efforts (including efforts to develop a derivative or more advanced version of the product), or the scale of capital investments as a result of imports of aluminum extrusions from China?

- No                       Yes--My firm has experienced actual negative effects as follows:
- Cancellation, postponement, or rejection of expansion projects
  - Denial or rejection of investment proposal
  - Reduction in the size of capital investments
  - Rejection of bank loans
  - Lowering of credit rating
  - Problem related to the issue of stocks or bonds
  - Other (specify) \_\_\_\_\_

III-15. **Anticipated effects of imports**--Does your firm anticipate any negative impact of imports of aluminum extrusions from China?

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**PART IV.--PRICING AND RELATED INFORMATION**

Further information on this part of the questionnaire can be obtained from James Fetzer (202-708-5403, [james.fetzer@usitc.gov](mailto:james.fetzer@usitc.gov))

IV-1. Please identify the individual to be contacted regarding the confidential information requested in part IV. Name and title: \_\_\_\_\_

Please indicate the manner by which Commission staff may contact the individual responsible for parts IV with questions regarding the submitted confidential information.

E-mail: \_\_\_\_\_ Telephone: ( ) \_\_\_\_\_

Fax: ( ) \_\_\_\_\_

**PRICE DATA**

This section requests quarterly quantity and value data, f.o.b. your U.S. point of shipment, for your commercial shipments to unrelated U.S. customers during January 2008–December 2010 of the following products produced by your firm.

**Product 1.--** Mullions & Split-Mullions, Anodized Finish, Unworked, Alloy 6063 – Size: 1.75” x 3” to 3” x 8”, Weight: 0.6 lb/ft to 7 lb/ft

**Product 2.--** Door/Window Frames & Sashes, Painted Finish, Unworked, Alloy 6063 – Size: CCD: 0.75” to 6”, Weight: 0.2 lb/ft to 2 lb/ft

**Product 3.--** Hand Rails, Painted Finish, Unworked, Alloy 6063 – Size: CCD: 0.5” to 6”, Weight: 0.15 lb/ft to 8.25 lb/ft

**Product 4.--** Tub and shower components, Anodized and Bright Dip Finishes, Unworked, Alloys 6063 & 6463 – Size: CCD: 0.6” to 3”, Weight: 0.1 lb/ft to 1 lb/ft

**Product 5.--** Shower door and enclosure extrusions of alloys 6063 and 6463, with T-5 and T-6 temper, having unique solid and semi-hollow shapes extruded from proprietary dies with small cross-section diameters from .5” to 3”, thin walls ranging from .040-.06” with thickness tolerances to within .004”, cut tolerances to within 1/32”, and requiring high quality “jewelry-grade” surface finishes free of blemishes. The finish requirements for the finished aluminum extrusion include custom-colored anodizing or painting, chemical etching, mechanical and/or chemical polishing to create “bright dip” finish, and mechanical brushing to create various “brushed” or “etched” appearances

**Product 6.--** Pipe, Mill Finish, Unworked, Alloy 6061 – Size: 1” to 5” Schedule 40 @ 0.5 lb/ft to 5 lb/ft

**Product 7.--** Heat Sink, 6063 T6 aluminum with an overall width of 18.624 +/- .160 inches wide, 1.75 +/- .06 inches thick by 18.260 +/- .005 inches long with 41 fins. Surface finish of black anodized on denoted surfaces with rest of surfaces free and clear of any finish. Overall flatness of .001 in/in is required with a 32 surface finish. 20 tapped 6-32 holes, 10.125 x.3 holes, and 72 4-40 tapped holes in specified locations without any break through allowed.

Please note that total dollar values should be f.o.b., U.S. point of shipment and should not include U.S.-inland transportation costs. Total dollar values should reflect the *final net* amount paid to you (i.e., should be net of all deductions for discounts or rebates). See instruction booklet.



**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-2. **Pricing data.**--Report below the quarterly price data<sup>1</sup> for pricing products<sup>2</sup> produced and sold by your firm.

(Quantity in pounds, value in dollars)				
Period of shipment	Product 1		Product 2	
	Quantity	Value	Quantity	Value
<b>2008:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2009:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2010:</b>				
January-March				
April-June				
July-September				
October-December				
	Product 3		Product 4	
	Quantity	Value	Quantity	Value
<b>2008:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2009:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2010:</b>				
January-March				
April-June				
July-September				
October-December				
<sup>1</sup> Net values ( <i>i.e.</i> , 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. <sup>2</sup> Pricing product definitions are provided on the first page of Part IV.				
<b>Note.</b> --If your product does not exactly meet the product specifications but is competitive with the specified product, provide a description of your product:				
Product 1: _____				
Product 2: _____				
Product 3: _____				
Product 4: _____				

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-2. **Pricing data.**—Continued

(Quantity in pounds, value in dollars)				
Period of shipment	Product 5		Product 6	
	Quantity	Value	Quantity	Value
<b>2008:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2009:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2010:</b>				
January-March				
April-June				
July-September				
October-December				
	Product 7			
	Quantity	Value		
<b>2008:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2009:</b>				
January-March				
April-June				
July-September				
October-December				
<b>2010:</b>				
January-March				
April-June				
July-September				
October-December				

<sup>1</sup> 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.

<sup>2</sup> Pricing product definitions are provided on the first page of Part IV.

**Note.**--If your product does not exactly meet the product specifications but is competitive with the specified product, provide a description of your product:

Product 5: \_\_\_\_\_

Product 6: \_\_\_\_\_

Product 7: \_\_\_\_\_

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

**When responding to questions, please indicate when your response varies by finished heat sinks and other aluminum extrusions.**

IV-3. **Price setting.**—

(a) How does your firm determine the prices that it charges for sales of aluminum extrusions (*check all that apply*)? If your firm issues price lists, please include a copy of a recent price list with your submission. If your price list is large, please only submit some sample pages.

Transaction by transaction     Contracts

Set price lists                       Reverse internet auction sales

Other--Please describe \_\_\_\_\_

\_\_\_\_\_

(b) Does your firm use mechanisms to adjust the price charged for sales of aluminum extrusions to purchasers to reflect changes in your primary aluminum costs?

No                       Yes-Please describe the mechanisms used and how quickly they adjust the price charges for sales of aluminum extrusions.

\_\_\_\_\_

\_\_\_\_\_

(c) How have the conversion costs (all non-aluminum costs) for your firm's sales of aluminum extrusions changed since January 1, 2008? What principal factors have affected changes in these conversion costs?

Increased             Decreased             Fluctuated             No change

Not applicable

\_\_\_\_\_

\_\_\_\_\_

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

- (d) Do variations or changes in the LME, SHME, or other aluminum benchmarks affect your overall prices and price lists?

No  Yes-Please explain.

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- IV-4. (a) **Discount policy.--** Please indicate and describe your firm's discount policies (*check all that apply*).

Quantity discounts  Annual total volume discounts  No discounts

Other--Please describe \_\_\_\_\_

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- (b) **Rebates and extended credit.--** Please indicate and describe your firm's extended discount and rebate policies (*check all that apply*).

Extended credit  Rebates

Other--Please describe \_\_\_\_\_

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IV-5. **Pricing terms for aluminum extrusions.--**

- (a) What are your firm's typical sales terms for its U.S.-produced aluminum extrusions (*e.g.*, 2/10 net 30 days)? \_\_\_\_\_.

- (b) On what basis are your prices of domestic aluminum extrusions usually quoted? (check one)

F.o.b.--Please specify point: \_\_\_\_\_  Delivered

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-6. **Contract versus spot.**--Approximately what share of your firm's sales of its U.S.-produced aluminum extrusions in 2010 were on a (1) long-term contract basis (multiple deliveries for more than 12 months), (2) short-term contract basis (multiple deliveries up to and including 12 months), and (3) spot sales basis (for a single delivery)?

<u>Type of sale</u>	<u>Share of sales (percent)</u>
Long-term contracts	_____
Short-term contracts	_____
Spot sales	_____

IV-7. **Long-term contract provisions.**--If you sell on a long-term contract basis, please answer the following questions with respect to provisions of a typical long-term contract.

- (a) What is the average duration of a contract? \_\_\_\_\_
- (b) Can prices be renegotiated during the contract period?     Yes     No
- (c) Does the contract fix quantity, price, or both?     Quantity     Price     Both
- (d) Does the contract have metal costs that are based on a particular benchmark?     No  
 Yes (please specify benchmark(s)): \_\_\_\_\_
- (e) Does the contract have a meet-or-release provision?     Yes     No

IV-8. **Short-term contract provisions.**--If you sell on a short-term contract basis, please answer the following questions with respect to provisions of a typical short-term contract.

- (a) What is the average duration of a contract? \_\_\_\_\_
- (b) Can prices be renegotiated during the contract period?     Yes     No
- (c) Does the contract fix quantity, price, or both?     Quantity     Price     Both
- (d) Does the contract have metal costs that are based on a particular benchmark?     No  
 Yes (please specify benchmark(s)): \_\_\_\_\_
- (e) Does the contract have a meet-or-release provision?     Yes     No

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-9. **Lead times.**--What is your share of sales both from inventory and produced to order and what is the average lead time between a customer's order and the date of delivery for your firm's sales of your U.S.-produced aluminum extrusions?

<u>Source</u>	<u>Share of sales in 2010</u>	<u>Lead time</u>
From inventory	_____	_____
Produced to order	_____	_____
<b>Total</b>	<b>100 %</b>	

IV-10. **Shipping information.**--

- (a) What is the approximate percentage of the total delivered cost of aluminum extrusions that is accounted for by U.S. inland transportation costs? \_\_\_\_\_ percent.
- (b) Who generally arranges the transportation to your customers' locations? (check one)  
 Your firm or  purchaser
- (c) What proportion of your sales are delivered within 100 miles of your production facility? \_\_\_\_\_ percent. Within 101 to 1,000 miles? \_\_\_\_\_ percent. Over 1,000 miles? \_\_\_\_\_ percent.

IV-11. **Geographical shipments.**-- What is the geographic market area in the United States served by your firm's shipments of aluminum extrusions? (check all that apply)

Geographic area	√ if applicable
<b>Northeast.</b> --CT, ME, MA, NH, NJ, NY, PA, RI, and VT.	<input type="checkbox"/>
<b>Midwest.</b> --IL, IN, IA, KS, MI, MN, MO, NE, ND, OH, SD, and WI.	<input type="checkbox"/>
<b>Southeast.</b> --AL, DE, DC, FL, GA, KY, MD, MS, NC, SC, TN, VA, and WV.	<input type="checkbox"/>
<b>Central Southwest.</b> --AR, LA, OK, and TX.	<input type="checkbox"/>
<b>Mountains.</b> --AZ, CO, ID, MT, NV, NM, UT, and WY.	<input type="checkbox"/>
<b>Pacific Coast.</b> --CA, OR, and WA.	<input type="checkbox"/>
<b>Other.</b> --All other markets in the United States not previously listed, including AK, HI, PR, VI, among others.	<input type="checkbox"/>

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-12. **End uses.**--Describe the end uses of the aluminum extrusions that you manufacture. For each end-use product, what percentage of the total cost is accounted for by aluminum extrusions?

<u>End use</u>	<u>Share of total cost (percent)</u>
_____	_____
_____	_____
_____	_____
_____	_____

IV-13. **Substitutes.**—

Can other products be substituted for aluminum extrusions?

- No       Yes--Please list in order of importance any products that may be substituted for aluminum extrusions and fill out the following table.

Substitute	End use in which this substitute is used	Have changes in the prices of this substitute affected the price for aluminum extrusions?
1.		<input type="checkbox"/> No <input type="checkbox"/> Yes--Please explain. _____ _____
2.		<input type="checkbox"/> No <input type="checkbox"/> Yes--Please explain. _____ _____
3.		<input type="checkbox"/> No <input type="checkbox"/> Yes--Please explain. _____ _____
4.		<input type="checkbox"/> No <input type="checkbox"/> Yes--Please explain. _____ _____
5.		<input type="checkbox"/> No <input type="checkbox"/> Yes--Please explain. _____ _____

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-14. **Finishing.**—If your firm sells finished aluminum extrusions, would your customers accept unfinished aluminum extrusions if finished extrusions were not available?

- N/A--Firm does not sell finished aluminum extrusions
- Yes--Most all customers would accept unfinished aluminum extrusions if finished aluminum extrusions were not available--please explain below
- Yes--Some customers would accept unfinished aluminum extrusions if finished aluminum extrusions were not available--please explain below
- No--Customers would **not** accept unfinished aluminum extrusions if finished aluminum extrusions were not available--please explain below
- Other--Please explain.

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IV-15. **Demand trends.--**

(a) How has the demand within the United States for aluminum extrusions changed since January 1, 2008? What principal factors affect changes in demand?

- Increased       No Change       Decreased       Fluctuated

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(b) How has the demand outside the United States (if known) for aluminum extrusions changed since January 1, 2008? What principal factors affect changes in demand?

- Increased       No Change       Decreased       Fluctuated

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**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-16. **Product changes.**--Have there been any significant changes in the product range, product mix, or marketing (including sales over the internet) of aluminum extrusions since January 1, 2008?

No             Yes--Please describe and quantify if possible.

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IV-17. **Business cycles.**--Please respond to the following questions related to business cycles.

(a) Is the aluminum extrusions market subject to business cycles or conditions of competition (including seasonal business) distinctive to aluminum extrusions?

No (skip to question IV-18.)             Yes-- Please describe below and then answer part (b).

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(b) If yes, have there been any changes in the business cycles or conditions of competition for aluminum extrusions since January 1, 2008?

No     Yes-- Please describe.

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**PART IV.--PRICING AND RELATED INFORMATION--Continued**

**IV-18. Supply constraints.--**

- (a) Has your firm refused, declined, or been unable to supply aluminum extrusions since January 1, 2008 (examples include placing customers on allocation or "controlled order entry," declining to accept new customers or renew existing customers, delivering less than the quantity promised, been unable to meet timely shipment commitments, etc.) for **non-price** reasons?

No  Yes-- Please provide the following data.

Type of supply constraint	When this occurred	Which purchasers were affected by the constraint	Why did the supply constraint occur
1. _____ _____ _____			
2. _____ _____ _____			
3. _____ _____ _____			

- (b) Has your firm refused, declined, or been unable to supply aluminum extrusions since January 1, 2008 (examples include placing customers on allocation or "controlled order entry," declining to accept new customers or renew existing customers, delivering less than the quantity promised, been unable to meet timely shipment commitments, etc.) because of **price** ?

No  Yes-- Please describe.

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**IV-19. Raw materials.--Please describe any trends in the prices of raw materials used to produce aluminum extrusions and whether your firm expects these trends to continue.**

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**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-22. **Customer Identification**--Please identify below the names and addresses of your firm's 10 largest customers for aluminum extrusions during 2008-2010. Please also provide the name and telephone number of a contact person and the share of the quantity of your firm's total shipments of aluminum extrusions that each of these customers accounted for in 2010.

No.	Customer's name	Street address (not P.O. box), city, state, and zip code	Contact person	Area code and telephone number	Share of 2010 sales (%)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					



**PART IV.--PRICING AND RELATED INFORMATION--Continued**

**IV-24. COMPETITION FROM IMPORTS--LOST SALES.-- PLEASE DO NOT RE-SUBMIT ALLEGATIONS PROVIDED IN THE PRELIMINARY PHASE OF THIS PROCEEDING.**

Since January 1, 2008: Did your firm lose sales of aluminum extrusions to imports of these products from China?

No                       Yes

If yes, please furnish as much of the following information as possible for each affected transaction. Document such allegations of lost sales whenever possible (documentation could include copies of invoices, sales reports, or letters from customers). Please note that the Commission may contact the firms named to verify the allegations reported.

- Customer name, contact person, phone and fax numbers
- Specific product(s) involved
- Date of your price quotation
- Quantity involved
- Your rejected price quotation (total delivered value)
- The country of origin of the competing imported product
- The accepted price quotation of the imported product (total delivered value)

Customer name, contact person, phone and fax numbers	Product	Date of quote	Quantity (pounds)	Rejected U.S. price (total value-- dollars)	Country of origin	Competing import price (total value— dollars)

**PART V.--ALTERNATIVE PRODUCTS**

Further information on this part of the questionnaire can be obtained from **Ed Petronzio** (202-205-3176, [edward.petronzio@usitc.gov](mailto:edward.petronzio@usitc.gov)).

V-1. **Contact information (Alternative Products).**--Who should be contacted regarding the requested alternative products information?

Company contact: \_\_\_\_\_  
 Name and title

( ) \_\_\_\_\_  
 Phone number E-mail address

V-2. **Production of heat sinks.**--Please report below what production, if any, your firm is involved in relating to heat sinks.

(a) **Blanks.**--Does your firm produce heat sink blanks in the United States (see instruction booklet for definitions), *i.e.*, does your firm extrude aluminum billets into extrusions eventually used in the production of finished heat sinks?

No  Yes.—Please report the following shipment data.

Quantity ( <i>in short tons</i> ) and value ( <i>in \$1,000</i> )			
Item	Calendar years		
	2008	2009	2010
<b>U.S. shipments of heat sink blanks:<sup>1</sup></b>			
<b>Commercial shipments:<sup>2</sup></b>			
Quantity (A)			
Value (B)			
<b>Internal consumption:<sup>2</sup></b>			
Quantity (C)			
Value <sup>3</sup> (D)			
<b>Transfers to related firms:<sup>2</sup></b>			
Quantity (E)			
Value <sup>3</sup> (F)			
<b>Export shipments:</b>			
Quantity (G)			
Value <sup>3</sup> (H)			

<sup>1</sup> See instructions booklet for description.

<sup>2</sup> Since heat sink blanks, fabricated heat sinks, and finished heat sinks are considered part of the scope of "aluminum extrusions" any sales of heat sinks (regardless the level of processing) should have been reported in part II of this questionnaire as commercial shipments. Here, if your firm further fabricates heat blanks (before sale to a third party), you should report those as internal consumption.

<sup>3</sup> Internal consumption and transfers to related firms of any heat sink blanks must be valued at fair market value (*i.e.*, what the heat sink blank would have sold for in the market in an arms'-length transaction). In the event that you use a different basis for valuing these transactions, please specify that basis (*e.g.*, cost, cost plus, *etc.*) and provide value data using that basis for each of the periods noted above:

\_\_\_\_\_



**PART V.--ALTERNATIVE PRODUCTS --Continued**

- (b) **Fabrication.**--Does your firm further fabricate heat sink blanks in the United States (see instruction booklet for definitions), *i.e.*, cut-to-length and other processing to transform the heat sink blank into a finished product?

No                       Yes, partially  
 Yes, fully

Please describe the fabrication processes your firm provides (be specific and detailed, *i.e.*, do not just use terms such a "precision engineering" without defining what exactly the production and fabrication processes employed by your firm are):

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- (c) **Finished heat sinks.**--Does your firm conduct in the United States the additional processes and procedures (*i.e.*, testing, quality controls, et cetera) on fabricated heat sinks to enable the fabricated heat sinks to be sold as a finished product to end users, such as IBM, in the electronics market?

No                       Yes.--Please describe these processes and procedures in detail (be specific and detailed).

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If your firm reported "No" to both question V-2(b) and V-2(c), please skip to question V-5.

- V-3. **Constraints on production of finished heat sinks.**--From the perspective of a producer of the finished heat sinks, in which either the heat sink blanks or partially fabricated heat blanks are the input into production, what is your firm's overall production capacity for producing finished heat sinks? Please also describe the fixed versus variable nature to reported capacity and indicate whether your firm faces any constraints to the production of finished heat sinks other than availability of input products.

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**PART V.--ALTERNATIVE PRODUCTS --Continued**

V-4. **Trade, financial, and related data on heat sinks.**--From the perspective of a producer of the finished heat sinks, in which either the heat sink blanks or partially fabricated heat blanks are the input into production, please report the following purchases, trade, financial, shipment, and employment data in your U.S. establishment(s) during the specified periods. (See definitions in the instruction booklet.)

(a) **Input/purchase data.**--

<b>Quantity (in short tons) and value (in \$1,000)</b>			
<b>Item</b>	<b>Calendar years</b>		
	<b>2008</b>	<b>2009</b>	<b>2010</b>
<b>Inputs:</b>			
<b>Beginning-of-period inventories</b> of heat sink blanks or partially fabricated heat sinks. <i>Quantity</i>			
<i>Value</i>			
<b>U.S. purchases of heat sink blanks or partially fabricated heat sink blanks</b> From domestic sources: <i>Quantity</i>			
<i>Value</i>			
From China: <i>Quantity</i>			
<i>Value</i>			
From other import sources: <i>Quantity</i>			
<i>Value</i>			
<b>Transfers of heat sink blanks or partially fabricated heat sink blanks from.--</b> Related firm(s) in the United States: <i>Quantity</i>			
<i>Value</i>			
Related firm(s) in China: <i>Quantity</i>			
<i>Value</i>			
Related firm(s) in countries other than the United States or China: <i>Quantity</i>			
<i>Value</i>			
<b>End-of-period inventories</b> of heat sink blanks or partially fabricated heat sinks. <i>Quantity</i>			
<i>Value</i>			

**PART V.--ALTERNATIVE PRODUCTS --Continued**

(b) **Output/trade and related data.--**

<b>Quantity (in short tons) and value (in \$1,000)</b>			
<b>Item</b>	<b>Calendar years</b>		
	<b>2008</b>	<b>2009</b>	<b>2010</b>
<b>Output:</b>			
<b>Average production capacity<sup>1</sup></b>			
<b>Beginning-of-period inventories</b> of finished heat sinks ( <i>quantity</i> )			
<b>Production</b> of finished heat sinks ( <i>quantity</i> )			
<b>U.S. shipments</b> of finished heat sinks:			
<b>Commercial shipments:</b>			
<i>Quantity</i>			
<i>Value</i>			
<b>Internal consumption/transfers to related firms:</b>			
<i>Quantity</i>			
<i>Value<sup>2</sup></i>			
<b>Export shipments</b> of finished heat sinks:			
<i>Quantity</i>			
<i>Value</i>			
<b>Scrap or loss</b> ( <i>quantity</i> )			
<b>End-of-period inventories</b> of finished heat sinks ( <i>quantity</i> )			
<b>Channels of distribution:</b> ( <i>quantity</i> )			
U.S. shipments of finished heat sinks to wholesalers/distributors			
U.S. shipments of finished heat sinks to end users			
<b>Employment data:</b>			
Average number of PRWs ( <i>number</i> )			
Hours worked by PRWs ( <i>1,000 hours</i> )			
Total wages paid to PRWs (in \$1,000s)			
<p><sup>1</sup> The capacity to produce finished heat sinks should not be understood to include the extrusion process. The capacity reported here should be the average production capacity (see instruction booklet for definition) for your firm for the transformation of heat sink blanks (or partially fabricated heat sink blanks) into the end product, finished heat sinks. In question V-3, please provide a discussion of the fixed and variable aspects of this production capacity.</p> <p><sup>2</sup> Internal consumption and transfers to related firms must be valued at fair market value. In the event that you use a different basis for valuing these transactions, please specify that basis (e.g., cost, cost plus, etc.) and provide value data using that basis for each of the periods noted above:</p>			

**PART V.--ALTERNATIVE PRODUCTS --Continued**

(c) **Financial data.--**

Quantity (in short tons) and value (in \$1,000)			
Item	Calendar year <sup>1</sup>		
	2008	2009	2010
<b>Net sales of finished heat sinks:</b>			
<i>Quantity</i>			
<i>Value</i>			
<b>Cost of goods sold (COGS):<sup>2</sup></b>			
Raw materials			
Direct labor			
Other factory costs			
Total COGS			
<b>Gross profit or (loss)</b>			
<b>Selling, general, and administrative (SG&amp;A) expenses:</b>			
<b>Operating income (loss)</b>			
<b>Capital Expenditures</b>			
<sup>1</sup> If the data are on a fiscal-year basis, please indicate here: (year ending _____). <sup>2</sup> Cost of goods sold should be reported with the purchase or transfer price of the heat sink blanks as the primary raw material used in the production of finished heat sinks.			

V-5. **Imports.--**Does your firm import finished heat sinks, partially fabricated heat sink blanks, or unfabricated heat sink blanks from China?

No

Yes.--**COMPLETE AND RETURN A U.S. IMPORTERS' QUESTIONNAIRE**

**PART V.--ALTERNATIVE PRODUCTS --Continued**

V-6. **Comparability of finished heat sinks to other aluminum extrusions.**--Compare each of the following.

- (a) Please rank and then describe the similarities and/or differences between the physical characteristics and end uses of finished heat sinks with all other types of aluminum extrusions (including heat sink blanks).

Physical characteristics

- Finished heat sinks are FULLY comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of physical characteristics.
  - Finished heat sinks are MOSTLY comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of physical characteristics.
  - Finished heat sinks are SOMEWHAT comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of physical characteristics.
  - Finished heat sinks are NOT AT ALL comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of physical characteristics.
  - No familiarity with the products in question.
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End Uses

- Finished heat sinks are FULLY comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of end uses.
  - Finished heat sinks are MOSTLY comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of end uses.
  - Finished heat sinks are SOMEWHAT comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of end uses.
  - Finished heat sinks are NOT AT ALL comparable to all other types of aluminum extrusions (including heat sink blanks) in terms of end uses.
  - No familiarity with the products in question.
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**PART V.--ALTERNATIVE PRODUCTS --Continued**

(b) Please rank and then describe the interchangeability between finished heat sinks with all other types of aluminum extrusions (including heat sink blanks).

- Finished heat sinks are FULLY interchangeable with all other types of aluminum extrusions (including heat sink blanks).
- Finished heat sinks are MOSTLY interchangeable with all other types of aluminum extrusions (including heat sink blanks).
- Finished heat sinks are SOMEWHAT interchangeable with all other types of aluminum extrusions (including heat sink blanks).
- Finished heat sinks are NOT AT ALL interchangeable with all other types of aluminum extrusions (including heat sink blanks).
- No familiarity with the products in question.

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(c) Please rank the comparability of and then describe the differences, if any, in the manufacturing processes involved with finished heat sinks to all other types of aluminum extrusions (including heat sink blanks).

- The manufacturing processes for finished heat sinks are FULLY comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- The manufacturing processes for finished heat sinks are MOSTLY comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- The manufacturing processes for finished heat sinks are SOMEWHAT comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- The manufacturing processes for finished heat sinks are NOT AT ALL comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- No familiarity with the products in question.

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**PART V.--ALTERNATIVE PRODUCTS --Continued**

(d) Please rank the comparability of and then describe the differences, if any, in the channels of distribution involved with finished heat sinks to all other types of aluminum extrusions (including heat sink blanks).

- The channels of distribution for finished heat sinks are FULLY comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- The channels of distribution for finished heat sinks are MOSTLY comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- The channels of distribution for finished heat sinks are SOMEWHAT comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- The channels of distribution for finished heat sinks are NOT AT ALL comparable to those used in the manufacture of other types of aluminum extrusions (including heat sink blanks).
- No familiarity with the products in question.

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(e) Please rank and then describe the interchangeability in customers' perceptions of finished heat sinks compared to all other types of aluminum extrusions (including heat sink blanks).

- Customers' perceptions of finished heat sinks are FULLY comparable to those of all other types of aluminum extrusions (including heat sink blanks).
- Customers' perceptions of finished heat sinks are MOSTLY comparable to those of all other types of aluminum extrusions (including heat sink blanks).
- Customers' perceptions of finished heat sinks are SOMEWHAT comparable to those of all other types of aluminum extrusions (including heat sink blanks).
- Customers' perceptions of finished heat sinks are NOT AT ALL comparable to those of all other types of aluminum extrusions (including heat sink blanks).
- No familiarity with the products in question.

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**PART V.--ALTERNATIVE PRODUCTS --*Continued***

(f) Please rank and then describe any differences in prices for finished heat sinks compared to all other types of aluminum extrusions (including heat sink blanks).

- Prices of finished heat sinks are FULLY comparable to prices of all other types of aluminum extrusions (including heat sink blanks).
- Prices of finished heat sinks are MOSTLY comparable to prices of all other types of aluminum extrusions (including heat sink blanks).
- Prices of finished heat sinks are SOMEWHAT comparable to prices of all other types of aluminum extrusions (including heat sink blanks).
- Prices of finished heat sinks are NOT AT ALL comparable to prices of all other types of aluminum extrusions (including heat sink blanks).
- No familiarity with the products in question.

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