



**INSTRUCTION BOOKLET:  
GENERAL INFORMATION, INSTRUCTIONS, AND  
DEFINITIONS FOR COMMISSION FOREIGN  
PRODUCERS'/EXPORTERS' QUESTIONNAIRES**

**Aluminum Extrusions from China  
Inv. Nos. 701-TA-475 and 731-TA-1177 (Final)**

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

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

## **GENERAL INFORMATION**

(Instruction Booklet, in Inv. Nos. 701-TA-475 and 731-TA-1177, Aluminum Extrusions from China (Final))

**Background.**--The final phase of these investigations is being conducted as a result of affirmative preliminary determinations by the Department of Commerce ("Commerce") under section 703 of the Tariff Act of 1930 (19 U.S.C. § 1671b) ("the Act") that certain benefits which constitute subsidies are being provided to manufacturers, producers, or exporters in China of aluminum extrusions,<sup>1</sup> and under section 733 of the Act (19 U.S.C. § 1673b) that such products are being sold in the United States at less than fair value ("LTFV").<sup>2</sup> As a result of Commerce's preliminary subsidy and LTFV determinations, the U.S. Department of Homeland Security, Customs and Border Protection Agency ("Customs") has been instructed to suspend liquidation of all imports of aluminum extrusions from China and require a cash deposit or bond on these imports. Definitive countervailing duty ("CVD") and/or antidumping duties ("AD") may be assessed on imports of aluminum extrusions from China as a result of these investigations if the U.S. International Trade Commission ("Commission") makes an affirmative determination of injury, threat, or material retardation, and if the Commerce makes an affirmative determination of subsidization and/or dumping.

**Petition.**--The investigations were requested in a petition filed on March 31, 2010, by the Aluminum Extrusions Fair Trade Committee and the United Steel, Paper and Forestry, Rubber, Manufacturing, Energy, Allied Industrial and Service Workers International Union.

**Correspondence.**--Address all correspondence to the United States International Trade Commission, Washington, DC 20436. Hearing-impaired individuals can obtain information regarding these investigations via the Commission's TDD terminal (202-205-1810).

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

# **FEBRUARY 8, 2011**

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

**Service of questionnaire response(s).**--In the event that your firm is a party to these investigations, you are required to serve a copy of the questionnaire(s), once completed, on other parties to the proceeding that are subject to administrative protective order (see 19 CFR § 207.7). A certificate of service must accompany the copy of the completed questionnaire(s) you submit (see 19 CFR § 207.7) and a list of such parties is maintained by the Commission's Secretary online at web address:

[http://www.usitc.gov/secretary/fed\\_reg\\_notices/service\\_lists/serv\\_lists\\_antidump.htm](http://www.usitc.gov/secretary/fed_reg_notices/service_lists/serv_lists_antidump.htm)

---

<sup>1</sup> See *Aluminum Extrusions From the People's Republic of China: Preliminary Affirmative Countervailing Duty Determination*, 75 FR 54302, September 7, 2010, and *Aluminum Extrusions From the People's Republic of China: Alignment of Final Countervailing Duty Determination With Final Antidumping Duty Determination*, 75 FR 57441, September 21, 2010.

<sup>2</sup> See *Aluminum Extrusions From the People's Republic of China: Notice of Preliminary Determination of Sales at Less Than Fair Value, and Preliminary Determination of Targeted Dumping*, 75 FR 69403, November 12, 2010, and *Aluminum Extrusions From the People's Republic of China: Postponement of Final Determination of Sales at Less Than Fair Value*, 75 FR 73041, November 29, 2010.

## **GENERAL INFORMATION--Continued**

(Instruction Booklet, in Inv. Nos. 701-TA-475 and 731-TA-1177, Aluminum Extrusions from China (Final))

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

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

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

## **INSTRUCTIONS**

(Instruction Booklet, in Inv. Nos. 701-TA-475 and 731-TA-1177, Aluminum Extrusions from China (Final))

**Answer all questions.**--Do not leave any question or section blank unless a questionnaire expressly directs you to skip over certain questions or sections. If the answer to any question is "none," write "none." **If information is not readily available from your records in exactly the form requested, furnish carefully prepared estimates--and indicate in the appropriate question in section I of the questionnaire a discussion of those responses which include estimates.** Answers to questions and any necessary comments or explanations should be supplied in the space provided or on separate sheets included with your questionnaire submission.

**Consolidate all establishments in China.**--Report the requested data for your establishment(s) located in the People's Republic of China, including Hong Kong ("China"). Firms operating more than one establishment should combine the data for all establishments into a single report.

## **INSTRUCTIONS--Continued**

(Instruction Booklet, in Inv. Nos. 701-TA-475 and 731-TA-1177, Aluminum Extrusions from China (Final))

**Electronic completion.**--Your firm is encouraged (but not required) to complete the questionnaire electronically in MS Word format. The MS Word versions of all the questionnaires in these investigations are available online at the ITC web page or may be obtained directly from the Commission's Investigator, Russell Duncan (202-708-4727, [russell.duncan@usitc.gov](mailto:russell.duncan@usitc.gov)).

**Electronic submission.**--To the degree that it is possible and not overly burdensome, the Commission requests that responding firms submit their questionnaire responses electronically in MS Word format. The completion and receipt of questionnaire responses in the MS Word format allows the Commission to easily compile and analyze submitted data. There are three electronic submissions options detailed below. Paper and hardcopy submissions are also accepted.

### **SUBMISSION OPTIONS**

- 1) **Upload via Secure Drop Box.**--Upload the completed questionnaire in MS Word format along with a scanned copy of the signed certification page (page 1) through the Commission's secure upload facility:

**HTTP ADDRESS**

Pin: OINV

- 2) **E-mail.**--E-mail the completed questionnaire to Russell Duncan ([russell.duncan@usitc.gov](mailto:russell.duncan@usitc.gov)) in MS Word format and include a scanned copy of the signed certification page (page 1).<sup>3</sup>
- 3) **Compact disc (CD).**--Copy or burn the completed questionnaires in MS Word format along with a scanned copy of the signed certification page (page 1), and mail the CD to the address below via overnight mail service (regular U.S. mail undergoes security treatments that often damage CDs).
- 4) **U.S. mail or overnight mail service.**--Mail to the following address:

**United States International Trade Commission  
Office of Investigations, Room 615  
500 E Street SW  
Washington, DC 20024 (overnight)  
Washington, DC 20436 (U.S. mail)**

- 5) **Fax.**--Fax to 202.205.3205.

**Note to parties.**--If you are a party to the investigations, and service of the questionnaire(s) is required, such service should be made in paper form pursuant to the applicable Commission rules for the purposes of service. However, all parties are instructed to provide all their clients' questionnaire submissions in MS word format to the Commission's Investigator.

---

<sup>3</sup> Please note that submitting your questionnaire by e-mail may subject your firm's business proprietary information to transmission over an unsecure environment and to possible disclosure. If you choose this option, the Commission warns you that any risk involving possible disclosure of such information is assumed by the submitter and not by the Commission.

## **DEFINITIONS**

(Instruction Booklet, in Inv. Nos. 701-TA-475 and 731-TA-1177, Aluminum Extrusions from China (Final))

### **Definition of “Aluminum Extrusions” (based on Commerce’s Scope).--<sup>4</sup>**

The merchandise covered by this investigation is aluminum extrusions which are shapes and forms, produced by an extrusion process, made from aluminum alloys having metallic elements corresponding to the alloy series designations published by The Aluminum Association commencing with the numbers 1, 3, and 6 (or proprietary equivalents or other certifying body equivalents). Specifically, the subject merchandise made from aluminum alloy with an Aluminum Association series designation commencing with the number 1 contains not less than 99 percent aluminum by weight. The subject merchandise made from aluminum alloy with an Aluminum Association series designation commencing with the number 3 contains manganese as the major alloying element, with manganese accounting for not more than 3.0 percent of total materials by weight. The subject merchandise made from an aluminum alloy with an Aluminum Association series designation commencing with the number 6 contains magnesium and silicon as the major alloying elements, with magnesium accounting for at least 0.1 percent but not more than 2.0 percent of total materials by weight, and silicon accounting for at least 0.1 percent but not more than 3.0 percent of total materials by weight. The subject aluminum extrusions are properly identified by a four-digit alloy series without either a decimal point or leading letter. Illustrative examples from among the approximately 160 registered alloys that may characterize the subject merchandise are as follows: 1350, 3003, and 6060.

Aluminum extrusions are produced and imported in a wide variety of shapes and forms, including, but not limited to, hollow profiles, other solid profiles, pipes, tubes, bars, and rods. Aluminum extrusions that are drawn subsequent to extrusion (“drawn aluminum”) are also included in the scope.

Aluminum extrusions are produced and imported with a variety of finishes (both coatings and surface treatments), and types of fabrication. The types of coatings and treatments applied to subject aluminum extrusions include, but are not limited to, extrusions that are mill finished (i.e., without any coating or further finishing), brushed, buffed, polished, anodized (including bright-dip anodized), liquid painted, or powder coated. Aluminum extrusions may also be fabricated, i.e., prepared for assembly. Such operations would include, but are not limited to, extrusions that are cut-to-length, machined, drilled, punched, notched, bent, stretched, knurled, swedged, mitered, chamfered, threaded, and spun. The subject merchandise includes aluminum extrusions that are finished (coated, painted, etc.), fabricated, or any combination thereof.

Subject aluminum extrusions may be described at the time of importation as parts for final finished products that are assembled after importation, including, but not limited to, window frames, door frames, solar panels, curtain walls, or furniture. Such parts that otherwise meet the definition of aluminum extrusions are included in the scope. The scope includes aluminum extrusions that are attached (*e.g.*, by welding or fasteners) to form subassemblies, *i.e.*, partially assembled merchandise.

Subject extrusions may be identified with reference to their end use, such as heat sinks, door thresholds, or carpet trim. Such goods are subject merchandise if they otherwise meet the scope definition, regardless of whether they are finished products and ready for use at the time of importation.

The following aluminum extrusion products are excluded: Aluminum extrusions made from aluminum alloy with an Aluminum Association series designations commencing with the number 2 and containing in excess of 1.5 percent copper by weight; aluminum extrusions made from aluminum alloy with an Aluminum Association series designation commencing with the number 5

---

<sup>4</sup> Taken from *Aluminum Extrusions From the People’s Republic of China: Notice of Preliminary Determination of Sales at Less Than Fair Value, and Preliminary Determination of Targeted Dumping*, 75 FR 69403, November 12, 2010.

## **DEFINITIONS--Continued**

(Instruction Booklet, in Inv. Nos. 701-TA-475 and 731-TA-1177, Aluminum Extrusions from China (Final))

and containing in excess of 1.0 percent magnesium by weight; and aluminum extrusions made from aluminum alloy with an Aluminum Association series designation commencing with the number 7 and containing in excess of 2.0 percent zinc by weight.

The scope also excludes finished merchandise containing aluminum extrusions as parts that are fully and permanently assembled and completed at the time of entry, such as finished windows with glass, doors, picture frames, and solar panels. The scope also excludes finished goods containing aluminum extrusions that are entered unassembled in a "kit." A kit is understood to mean a packaged combination of parts that contains, at the time of importation, all of the necessary parts to fully assemble a final finished good.

The scope also excludes aluminum alloy sheet or plates produced by other than the extrusion process, such as aluminum products produced by a method of casting. Cast aluminum products are properly identified by four digits with a decimal point between the third and fourth digit. A letter may also precede the four digits. The following Aluminum Association designations are representative of aluminum alloys for casting: 208.0, 295.0, 308.0, 355.0, C355.0, 356.0, A356.0, A357.0, 360.0, 366.0, 380.0, A380.0, 413.0, 443.0, 514.0, 518.1, and 712.0. The scope also excludes pure, unwrought aluminum in any form.

The scope also excludes collapsible tubular containers composed of metallic elements corresponding to alloy code 1080A as designated by the Aluminum Association where the tubular container (excluding the nozzle) meets each of the following dimensional characteristics: (1) Length of 37 mm or 62 mm, (2) outer diameter of 11.0 mm or 12.7 mm, and (3) wall thickness not exceeding 0.13 mm.

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

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

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

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

## **DEFINITIONS--Continued**

(Instruction Booklet, in Inv. Nos. 701-TA-475 and 731-TA-1177, Aluminum Extrusions from China (Final))

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

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

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

**Production.**--All production in your establishment(s) in China, including production consumed internally within your firm.

**Shipments.**--Shipments of products produced in your establishment(s) in China. Quantities reported should be net of returns.

**Home market commercial shipments.**--Shipments, other than internal consumption and transfers to related firms, within China.

**Home market internal consumption/transfers to related firms.**--Shipments made to related firms in China, including product consumed internally by your firm.

**Export shipments.**--Shipments to destinations outside China, including shipments to related firms.

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