



SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES

FORM BE-13 Claim for Not Filing

MANDATORY — CONFIDENTIAL

Electronic filing: Go to www.bea.gov/efile for details

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

Deliver reports to: U.S. Department of Commerce
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Copies of form: www.bea.gov/fdi

Name and mailing address

| | | | |
|------|-------------|--------|------|
| 0010 | Name: | | |
| 0011 | In Care Of: | | |
| 0012 | Attention: | | |
| 0013 | Title: | | |
| 0014 | Street 1: | | |
| 0015 | Street 2: | | |
| 0016 | City: | State: | Zip: |

- 1** This U.S. business enterprise is submitting a claim for not completing form BE-13 because:
Select the statement that applies:
- xxxx **1** A. This U.S. business enterprise is not a U.S. affiliate of a foreign entity, i.e. is not owned to the extent of 10 percent or more, directly or indirectly, by a foreign entity. Skip to Person to Contact and Certification below
- 2** B. This acquisition is not required to be reported since it represents U.S. real estate acquired by a foreign person(s) held exclusively for personal use and not for profit making purposes. Skip to Person to Contact and Certification below
- A residence which is an owner's primary residence that is then leased by the owner while outside the United States, but which the owner intends to reoccupy, is considered real estate held for personal use.
 - Ownership of U.S. residential real estate by a corporation whose sole purpose is to hold the real estate for the personal use of the owner(s) of the corporation is considered to be real estate held for personal use and not subject to the reporting requirements.
- 3** C. This acquisition is not required to be reported since it involves the acquisition of all or part of an existing U.S. affiliate by one foreign investor from another foreign investor. Skip to Person to Contact and Certification below
- 4** D. This established business is not required to be reported since the new U.S. business enterprise is a holding company that is being set up solely for the purpose of acquiring a target company(ies) and after the acquisition(s) the holding company will be dissolved. Reporting will be deferred for this type of (multi-step) transaction until 45 days after completion of the holding company's acquisition or establishment of the U.S. business enterprise if:
- The initial capitalization (including debt and equity) of the U.S. holding company is \$30,000,000 or less, and
 - The U.S. business enterprise is acquired or established within 180 days of the creation of the U.S. holding Company
- NOTE: This exemption attempts to minimize reporting when a foreign parent creates a U.S. holding company whose sole purpose is to acquire or establish another U.S. business enterprise. Skip to Person to Contact and Certification below
- 5** E. This U.S. business enterprise is a U.S. affiliate of a foreign entity but is submitting this claim because:
- (a) The total cost of the acquisition, establishment, or merger was \$3 million or less;
- OR
- (b) The total actual or expected cost of the expansion is \$3 million or less.
- AND
- (c) On a fully consolidated domestic U.S. basis total assets (not the foreign parent's or existing U.S. affiliates share) at the time of acquisition or immediately after being established were \$3 million or less.

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If your answer to **1** is E complete **2** through **9**

2 What type of transaction occurred? (see form BE-13 for more information on transactions types):

- xxxx ¹ **1** Acquisition of an existing U.S. business enterprise, segment or operating unit that remains a separate U.S. affiliate.
(When answering the following questions, report the financial data for the fiscal year on, or immediately preceding, the acquisition date.)
- ¹ **2** Establishment of a new U.S. affiliate.
(When answering the following questions for an establishment report projections for the end of the first full year of operations.)
- ¹ **3** Acquisition of U.S. business enterprise, segment, or operating unit that is merged with an existing U.S. affiliate.
(When answering the following questions for a merger report data as of the end of the most recent financial year preceding merger.)
- ¹ **4** Expansion of an existing U.S. affiliate
*(When answering the following questions for an expansion provide only the data that pertains to the expansion, **NOT** the entire U.S. affiliate. Also, report projections for the end of the first full year of operations.)*

FINANCIAL AND OPERATING INFORMATION

| | \$ | Bil. | Mil. | Thous. | Dols. |
|---|----|------|------|--------|-------|
| 3 What are the U.S. affiliate's total assets (do NOT net out liabilities)? | 1 | | | | 000 |
| 4 What are the U.S. affiliate's total sales or gross operating revenues, excluding sale taxes? | 1 | | | | 000 |
| 5 What is the U.S. affiliate's net income (loss) after provision for U.S. income taxes? | 1 | | | | 000 |

6 What is the expected number of employee of the newly acquired, established, merged or expanded entity? Number of Employees

1

7 What is the industry of the U.S. affiliate (based on the industry of largest sales)? Industry Code

1

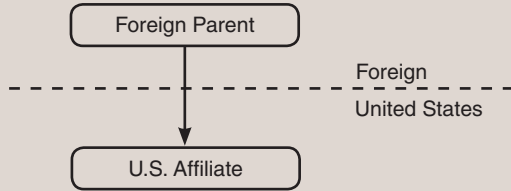
See industry code list on page XX

8 What is the country of the U.S. affiliate's foreign parent? A foreign parent is the FIRST entity outside the United States in a chain of ownership that has a 10 percent or more **voting** interest in the U.S. affiliate. (See example 1.)

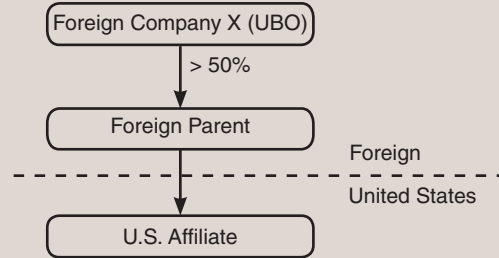
9 What is the country of the U.S. affiliate's ultimate beneficial owner (UBO)? The UBO is the entity, proceeding up the ownership chain that is not more than 50 percent owned or controlled by another entity. (See example 2.)

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EXAMPLE 1.
Foreign Parent Owner



EXAMPLE 2.
Ultimate Beneficial



**Person to consult concerning questions about this report —
Enter name and address**

| | | | |
|-----------------------|-----------|--------|-----------|
| Name 0 | | | |
| Address 0 | | | |
| 0 | | | |
| 0 | | | |
| Telephone number 0 | Area code | Number | Extension |

Certification — The undersigned official certifies that this report has been prepared in accordance with the applicable instructions, is complete, and is substantially accurate including estimates that may have been provided.

| | | |
|---------------------------------|--------------------------|------|
| Authorized official's signature | | Date |
| Print or type name 0 | Print or type title 0 | |
| Telephone number 1 | Fax number 2 | |

May fax and/or e-mail be used in correspondence between your enterprise and BEA?

Note — If you choose to communicate with BEA via fax or electronic mail, BEA cannot guarantee the security of the information during transmission, but will treat information we receive as confidential in accordance with Section 5(c) of the International Investment and Trade in Services Survey Act.

0030 E-mail: 1 Yes (If yes, enter your e-mail address)
 1 2 No

0031 Fax: 1 Yes (If yes, enter your fax number)
 1 2 No

| |
|---------------------|
| E-mail address 0 |
| Fax number 0 |

Summary of Industry Classifications

Agriculture, Forestry, Fishing, and Hunting

1110 Crop production
1120 Animal production
1130 Forestry and logging
1140 Fishing, hunting, and trapping
1150 Support activities for agriculture and forestry

Mining

2111 Oil and gas extraction
2121 Coal
2123 Nonmetallic minerals
2124 Iron ores
2125 Gold and silver ores
2126 Copper, nickel, lead, and zinc ores
2127 Other metal ores
2132 Support activities for oil and gas operations
2133 Support activities for mining, except for oil and gas operations

Utilities

2211 Electric power generation, transmission, and distribution
2212 Natural gas distribution
2213 Water, sewage, and other systems

Construction

2360 Construction of buildings
2370 Heavy and civil engineering construction
2380 Specialty trade contractors

Manufacturing

3111 Animal foods
3112 Grain and oilseed milling
3113 Sugar and confectionery products
3114 Fruit and vegetable preserving and specialty foods
3115 Dairy products
3116 Meat products
3117 Seafood product preparation and packaging
3118 Bakeries and tortillas
3119 Other food products
3121 Beverages
3122 Tobacco
3130 Textile mills
3140 Textile product mills
3150 Apparel
3160 Leather and allied products
3210 Wood products
3221 Pulp, paper, and paperboard mills
3222 Converted paper products
3231 Printing and related support activities
3242 Integrated petroleum refining and extraction
3243 Petroleum refining without extraction
3244 Asphalt and other petroleum and coal products
3251 Basic chemicals
3252 Resins, synthetic rubbers, and artificial and synthetic fibers and filaments
3253 Pesticides, fertilizers, and other agricultural chemicals
3254 Pharmaceuticals and medicines
3255 Paints, coatings, and adhesives
3256 Soap, cleaning compounds, and toilet preparations
3259 Other chemical products and preparations
3261 Plastics products
3262 Rubber products
3271 Clay products and refractories
3272 Glass and glass products
3273 Cement and concrete products
3274 Lime and gypsum products
3279 Other nonmetallic mineral products
3311 Iron and steel mills and ferroalloys
3312 Steel products from purchased steel
3313 Alumina and aluminum production and processing
3314 Nonferrous metal (except aluminum) production and processing
3315 Foundries
3321 Forging and stamping
3322 Cutlery and handtools
3323 Architectural and structural metals
3324 Boilers, tanks, and shipping containers
3325 Hardware
3326 Spring and wire products
3327 Machine shops; turned products; and screws, nuts, and bolts
3328 Coating, engraving, heat treating, and allied activities
3329 Other fabricated metal products
3331 Agriculture, construction, and mining machinery
3332 Industrial machinery
3333 Commercial and service industry machinery

3334 Ventilation, heating, air-conditioning, and commercial refrigeration equipment
3335 Metalworking machinery
3336 Engines, turbines, and power transmission equipment
3339 Other general purpose machinery
3341 Computer and peripheral equipment
3342 Communications equipment
3343 Audio and video equipment
3344 Semiconductors and other electronic components
3345 Navigational, measuring, electromedical, and control instruments
3346 Manufacturing and reproducing magnetic and optical media
3351 Electric lighting equipment
3352 Household appliances
3353 Electrical equipment
3359 Other electrical equipment and components
3361 Motor vehicles
3362 Motor vehicle bodies and trailers
3363 Motor vehicle parts
3364 Aerospace products and parts
3365 Railroad rolling stock
3366 Ship and boat building
3369 Other transportation equipment
3370 Furniture and related products
3391 Medical equipment and supplies
3399 Other miscellaneous manufacturing

Wholesale Trade, Durable Goods

4231 Motor vehicles and motor vehicle parts and supplies
4232 Furniture and home furnishing
4233 Lumber and other construction materials
4234 Professional and commercial equipment and supplies
4235 Metal and mineral (except petroleum)
4236 Electrical and electronic goods
4237 Hardware, and plumbing and heating equipment and supplies
4238 Machinery, equipment, and supplies
4239 Miscellaneous durable goods

Wholesale Trade, Nondurable Goods

4241 Paper and paper product
4242 Drugs and druggists' sundries
4243 Apparel, piece goods, and notions
4244 Grocery and related product
4245 Farm product raw material
4246 Chemical and allied products
4247 Petroleum and petroleum products
4248 Beer, wine, and distilled alcoholic beverage
4249 Miscellaneous nondurable goods

Wholesale Trade, Electronic Markets and Agents and Brokers

4251 Wholesale electronic markets and agents and brokers

Retail Trade

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

Transportation and Warehousing

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

Information

5111 Newspaper, periodical, book, and directory publishers
5112 Software publishers
5121 Motion picture and video industries
5122 Sound recording industries
5151 Radio and television broadcasting

5152 Cable and other subscription programming
5171 Wired telecommunications carriers
5172 Wireless telecommunications carriers, except satellite
5174 Satellite telecommunications
5179 Other telecommunications
5182 Data processing, hosting, and related services
5191 Other information services

Finance and Insurance

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

Real Estate and Rental and Leasing

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

Professional, Scientific, and Technical Services

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

Management of Companies and Enterprises

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

Administrative and Support and Waste Management and Remediation Services

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

Educational Services

6110 Educational services

Health Care and Social Assistance

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

Arts, Entertainment, and Recreation

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

Accommodation and Food Services

7210 Accommodation
7220 Food services and drinking places

Other Services

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

Public Administration

9200 Public administration