



# SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES

## FORM BE-13B

### MANDATORY — CONFIDENTIAL

#### Name and mailing address

**Electronic filing:** Go to [www.bea.gov/efile](http://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  
Bureau of Economic Analysis, BE-49(NI)  
Shipping and Receiving Section, M-100  
1441 L Street, NW  
Washington, DC 20005

**Fax reports to:** (202) 606-5319

**Assistance:** E-mail: [be13@bea.gov](mailto:be13@bea.gov)  
Telephone: (202) 606-5577  
Copies of form: [www.bea.gov/fdi](http://www.bea.gov/fdi)

0010	Name:			
0011	In Care Of:			
0012	Attention:			
0013	Title:			
0014	Street 1:			
0015	Street 2:			
0016	City:	0017	State:	0018
				Zip:

**Definitions:** Underlined items are defined on page 12.

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

**Estimates:** If actual amounts are not available, supply estimates and label them as such.

**Who must report:** A BE-13B report must be filed by:

A U.S. business enterprise when a foreign entity or an existing U.S. affiliate of a foreign entity establishes a new legal entity in the United States and the foreign entity owns 10% or more of the new business enterprise's voting interest (directly or indirectly).

**INCLUDE:**

- Creation of a new legal entity whether incorporated or unincorporated, including a branch.
- Construction of real estate intended for lease or sale. If the construction is for purposes of an expansion see the instructions for reporting as an expansion on Form BE-13D.
- Creation of a new legal entity even if it does not have physical operations.

**EXCLUDE:**

Purchase of U.S. real estate that is intended for lease or sale without significant added construction. This is deemed to be an acquisition of a U.S. business enterprise and should be reported on Form BE-13A.

See instructions for Form BE-13A if a foreign person or entity acquires a voting interest (directly, or indirectly through an existing U.S. affiliate) in an existing U.S. business enterprise, segment, or operating unit after which (1) the U.S. business enterprise operates as a separate legal entity and (2) the foreign person or entity owns at least a 10 percent voting interest (directly or indirectly) in the acquired legal entity.

See instructions for Form BE-13C if an existing U.S. affiliate of a foreign parent acquires a U.S. business enterprise or segment that it then merges into its operations.

See instructions for Form BE-13D if an existing U.S. affiliate of a foreign parent expands its operations to include a new facility where business is conducted.

See Form BE-13 Claim for not Filing to determine if the U.S. business Enterprise is exempt from filing a BE-13 report.

# BE-13B – Acquisition of a U.S. Business Enterprise, Segment or Operating Unit that Remains a Separate U.S. Entity

\$ Bil. Mil. Thous. Dols.

**Monetary Values** — Report in U.S. dollars rounded to thousands (omitting 000).

EXAMPLE – If amount is \$1,334,891.00, report as.....

1  
1 335 000

**Percentages** — Report ownership percentages to a tenth of one percent: .....

9 8 . 7 %

**Retention of copies:** Retain a copy of each BE-13 report for three years beyond the report's original due date.

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

**Authority:** This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended), and the filing of reports is MANDATORY pursuant to Section 5(b)(2) of the Act (22 U.S.C. 3104). The implementing regulations are contained in Title 15, CFR, Part 806.

**Penalties:** Whoever fails to report may be subject to a civil penalty of not less than \$2,500, and not more than \$25,000, and to injunctive relief commanding such person to comply, or both. Whoever willfully fails to report shall be fined not more than \$10,000 and, if an individual, may be imprisoned for not more than one year, or both. Any officer, director, employee, or agent of any corporation who knowingly participates in such violation, upon conviction, may be punished by a like fine, imprisonment, or both. (22 U.S.C. 3105)

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

**Respondent burden:** Public reporting burden for this collection of information is estimated to average 2 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing burden, to: Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, Washington, DC 20230; and to the Office of Management and Budget, Paperwork Reduction Project 0608-0035, Washington, DC 20503.

**Confidentiality:** The Act provides that your report to this Bureau is CONFIDENTIAL and may be used only for analytical or statistical purposes. Without your prior written permission, the information filed in your report CANNOT be presented in a manner that allows it to be individually identified. Your report CANNOT be used for purposes of taxation, investigation, or regulation. Copies retained in your files are immune from legal process.

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

0020	Name 0			
0021	Address 0			
0022	0			
0023	0			
0024	Telephone number 0	Area code 0	Number 0	Extension 0

**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
0025	Print or type name 0	0026
0027	Telephone number 1	0028
		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)  
2  No

E-mail address 0
---------------------

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

Fax number 0
-----------------

# BE-13B – Establishment of a New U.S. Business Enterprise

**1** Is the new U.S. business enterprise 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?

xxxx 1  1 Yes – Contact BEA at 202-606-5577 or be13@bea.gov to ensure that you are reporting this transaction properly.  
 1  2 No

Month Day Year  
 1 \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**2** What date was the new U.S. business enterprise established? 0040

**3** What is the name and address of the new U.S. business enterprise?

Name and Address  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**4** What is the employer identification number of the new U.S. business enterprise used to file income and payroll taxes?

Primary

Other

1 \_\_\_\_\_ - \_\_\_\_\_

2 \_\_\_\_\_ - \_\_\_\_\_

## OWNERSHIP INFORMATION FOR THE NEW U.S. BUSINESS ENTERPRISE

**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.

**Voting Interest** is the percent of ownership, to a tenth of one percent, based on voting stock of an incorporated affiliate or an equivalent interest of an unincorporated affiliate.

What percent of voting interest, or equivalent, of the new U.S. business enterprise is held:

Percentage  
(1)

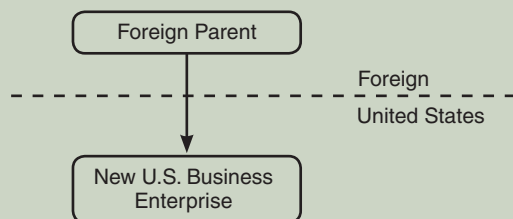
<b>5</b> DIRECTLY by foreign parents? (See example 1 below.)	xxxx	1 _____ . _____ %
<b>6</b> DIRECTLY by existing U.S. affiliate(s) of the foreign parent(s)? (See example 2 below.)	xxxx	1 _____ . _____ %
<b>7</b> by other U.S. entities?	xxxx	1 _____ . _____ %
<b>8</b> by other foreign entities?	xxxx	1 _____ . _____ %

**100.0** %

## EXAMPLES OF DIRECT AND INDIRECT FOREIGN OWNERSHIP

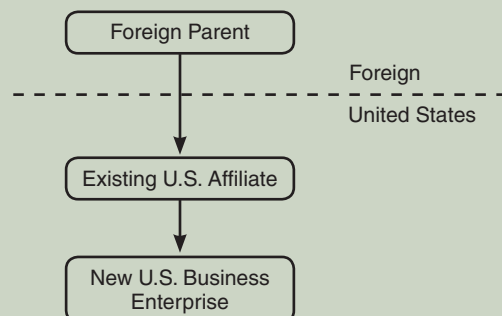
### EXAMPLE 1.

Foreign Parent Directly Owns New U.S. Business Enterprise



### EXAMPLE 2.

Foreign Parent Owns New U.S. Business Enterprise through Existing U.S. Affiliate



# BE-13B – Establishment of a New U.S. Business Enterprise

## IDENTIFYING THE EXISTING U.S. ENTERPRISE(S)

**NOTE:** If there is more than one foreign parent (direct and/or indirect) complete **9** through **20** for each additional foreign parent's ownership on a separate page.

### 9 How was the new U.S. business enterprise established?

- xxxx <sup>1</sup>  **1** Directly by the foreign parent (see example 1 on page 3). – *SKIP to 16*
- <sup>1</sup>  **2** By an existing U.S. affiliate of the foreign parent (see example 2 on page 3).
- <sup>1</sup>  **3** Both directly by the foreign parent and by an existing U.S. affiliate of the foreign parent.

### 10 What is the name and address of the existing U.S. affiliate through which the new U.S. business enterprise was established?

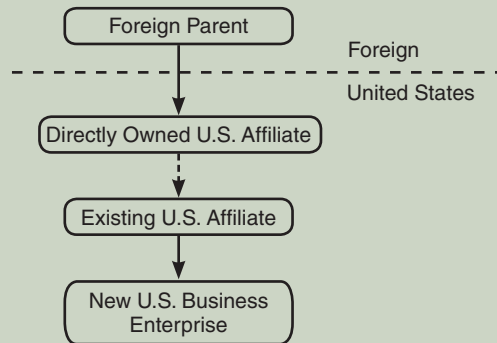
Name and Address

xxxx

### 11 Is the existing U.S. affiliate, named in 10, DIRECTLY owned by the foreign parent? (See example 3)

- xxxx <sup>1</sup>  **1** Yes — *SKIP to 13*
- <sup>1</sup>  **2** No

**EXAMPLE 3.**  
Existing U.S. affiliate that purchased the new U.S. affiliate is not owned directly by foreign parent



### 12 What is the name and address of the U.S. affiliate that is DIRECTLY owned by the foreign parent?

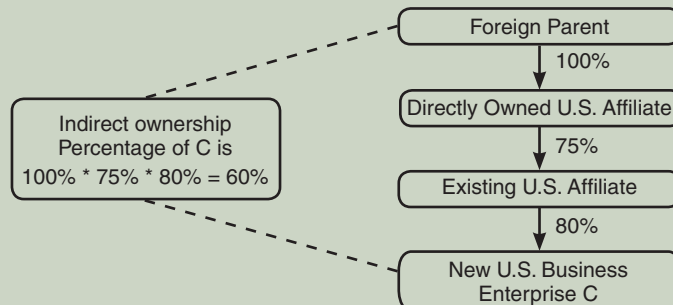
Name and Address

xxxx

Percentage

### 13 What is the percent of voting ownership held indirectly by the foreign parent in the acquired U.S. affiliate? . . . . . % (see example 4 for calculation procedure)

**EXAMPLE 4.**  
Procedure for calculating foreign parent ownership in the new U.S. business enterprise



# BE-13B – Establishment of a New U.S. Business Enterprise

## IDENTIFYING THE EXISTING U.S. ENTERPRISE(S) – CONTINUED

**14** What is the name and address of the existing U.S. affiliate through which the acquired U.S. affiliate was purchased?

- xxxx <sup>1</sup>  No, it will be filed separately – the new U.S. affiliate is not owned more than 50% by another U.S. enterprise. SKIP to **16**.
- <sup>1</sup>  Yes, it will be fully consolidated with the existing U.S. affiliate identified in **10**. SKIP to **16**.
- <sup>1</sup>  Yes, it will be fully consolidated with the directly owned U.S. affiliate identified in **12**. SKIP to **16**.
- <sup>1</sup>  Yes, it will be fully consolidated with another U.S. affiliate.

**15** What is the name and address of the U.S. business enterprise that will file the consolidated report?

Name and Address

xxxx

## ESTABLISHMENT INFORMATION

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**16** What was the cost to the foreign parent (or U.S. affiliate of the foreign parent) to establish the new U.S. business enterprise? Equals sum of items 17 and 18. . . . . <sup>1</sup> 000

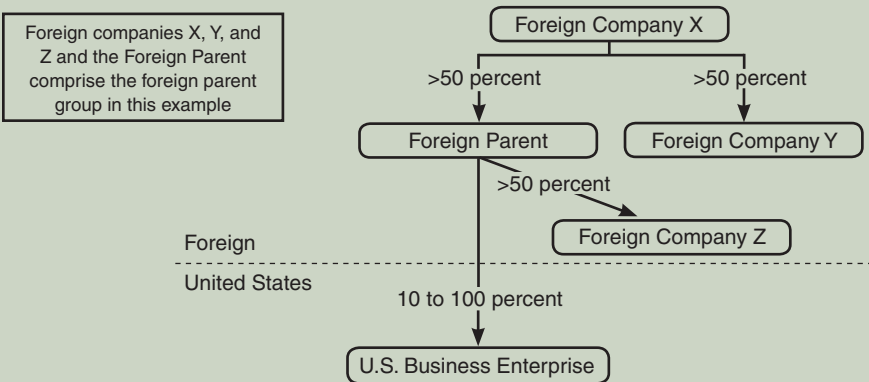
**INCLUDE:**

- All expenses to establish this company including, but not limited to: land, lease, property, plant and equipment expenditures, construction, intellectual property rights, fees, taxes, permits, licenses, and miscellaneous other costs.
- The cost of all voting and non-voting equity interests.

**17** What portion of the cost reported in **16** was provided by an existing U.S. affiliate of the foreign parent? . . . . . xxx <sup>1</sup> 000

**18** What portion of the cost reported **16** was provided by the foreign parent group (see example 7)? Include funds they borrowed in the United States and abroad. Equals sum of **19** and **20**. . . . . xxx <sup>1</sup> 000

### EXAMPLE 7. FOREIGN PARENT GROUP



**Foreign Parent Group** means (i) the foreign parent, (ii) any foreign person, proceeding up the foreign parent's ownership chain, which owns more than 50 percent of the person below it, up to and including that person which is not owned more than 50 percent by another foreign person, and (iii) any foreign person, proceeding down the ownership chain(s) of each of these members, which is owned more than 50 percent by the person above it. ("Person" is used in the broad legal sense and includes companies.)

**19** What portion of **18** was in the form of the equity? . . . . . xxx <sup>1</sup> 000

**20** What portion of **18** was in the form of debt? . . . . . xxx <sup>1</sup> 000

# BE-13B – Establishment of a New U.S. Business Enterprise

## IDENTIFYING THE FOREIGN PARENT

**21** What is the name of the foreign parent holding a direct or indirect voting interest in the new U.S. business enterprise?

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

xxxx

**22** What is the country of incorporation of the foreign parent holding a direct or indirect voting interest in the new U.S. business enterprise? If the foreign parent is an individual or government, enter the country of residence. . . . . xxxxx

**23** What is the industry code of the foreign parent holding a direct or indirect voting interest in the new U.S. business enterprise? . . . . . xxxxx

Enter 2-digit code from the list on page x that best describes the PRIMARY activity of the SINGLE entity named as the foreign parent. DO NOT base the code on the worldwide sales of all consolidated subsidiaries of the foreign parent.

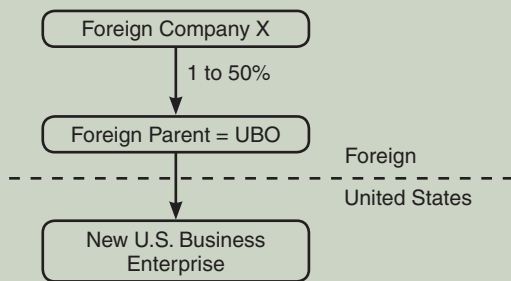
## IDENTIFYING THE ULTIMATE BENEFICIAL OWNER (UBO)

**24** Is the foreign parent also the ultimate beneficial owner (UBO)? See examples 5 and 6.

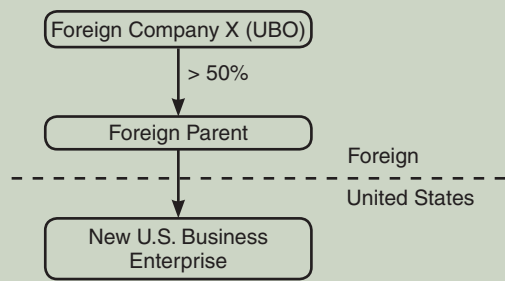
- The UBO is the entity, proceeding up the ownership chain, which is not more than 50 percent owned or controlled by another entity.
- If the foreign parent is owned or controlled more than 50 percent by another entity, then the foreign parent is NOT the UBO. See example 6.

xxxx <sup>1</sup>  Yes — SKIP to **28**  
<sup>1</sup>  No

**EXAMPLE 5.**  
Foreign Parent is UBO



**EXAMPLE 6.**  
Foreign Parent is not UBO



**25** What is the name of the ultimate beneficial owner?

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

xxxx

**26** What is the country of incorporation of the ultimate beneficial owner?

If the UBO is an individual or government, enter country of residence . . . . . xxxxx

**27** What is the industry code of the ultimate beneficial owner? . . . . . xxxxx

Enter 2-digit code from the list on page x that best reflects the consolidated worldwide sales of the UBO, including all majority-owned subsidiaries.

# BE-13B – Establishment of a New U.S. Business Enterprise

## FINANCIAL AND OPERATING INFORMATION

This section will collect financial and operating information on the new U.S. business enterprise. Report projections for, or as of, the end of the first full year of operations. Use projections made in the course of planning the investment if available; otherwise give best estimate.

Month Day Year

**28** What is the ending date for the projected fiscal year that these financial and operating data represent? . . . xxxx  \_\_\_ / \_\_\_ / \_\_\_

AS OF THE DATE REPORTED IN **28** :

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**29** What are the projected total assets of the new U.S. business enterprise? . . . . . xxxx  000

**30** What are the projected total sales, or gross operating revenues, of the new U.S. business enterprise? xxxx  000

**31** What is the projected net income (loss) of the new U.S. business enterprise after provision for U.S. Federal, state, and local income taxes? . . . . . xxxx  000

**32** What are the major activities of the new U.S. business enterprise? Check all that apply.

- xxxx
- 1  1 Producer of goods
  - 1  2 Seller of good you do not produce
  - 1  3 Producer or distributor of information
  - 1  4 Provider of services
  - 1  5 Real estate
  - 1  6 Other (specify)

**33** What are the major product(s) and/or service(s) involved in the activity identified in **32**?

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

xxxx

Industry Code

**34** What is the new U.S. business enterprise's four-digit industry code (based on sales or gross operating revenues)? . . xxxx  \_\_\_ \_\_\_ \_\_\_

- See page 12 for industry codes or visit [www.bea.gov/NAICS2012](http://www.bea.gov/NAICS2012) for detailed definitions of industry categories.

**35** Will the new U.S. business enterprise conduct research and development activities?

- xxxx
- 1  1 Yes
  - 1  2 No

# BE-13B – Establishment of a New U.S. Business Enterprise

## PROJECT INFORMATION

**36** Is the address of the new operation different than the address listed in **3** above for the new U.S. business enterprise?

- xxxx 1  Yes  
 1 2  No – SKIP to item **38**

**37** What is the address of the new operation?

Address

xxxx

1

**38** What is the current employment of the new operation? .....

- INCLUDE all full-time and part-time employees on the payroll
- EXCLUDE contract workers and other workers not carried on the payroll.

1

**39** What is the projected employment of the new operation when it is fully operating? .....

**40** Is this new operation currently under construction?

- xxxx 1  Yes  
 1 2  No, construction is not required for this operation  
 1 3  No, construction has yet to begin  
 1 4  No, construction is complete – Provide completion date. ....  
 1 5  No, the project has been canceled

Month Day Year

1

For **41** through **44**, what are the expenditures (including projected expenditures) associated with setting up this new operation for:

**INCLUDE:**

- Actual expenditures from past and current years and expected expenditures for future years.
- All expenditures – not just those of the foreign parent.

		\$	Bil.	Mil.	Thous.	Dols.
<b>41</b> Land? .....	xxxx	1				000
<b>42</b> Lease (excluding leasehold improvements)? .....	xxxx	1				000
<b>43</b> Property, plant and equipment expenditures other than land? .....	xxxx	1				000
<b>44</b> Construction (including construction of leasehold improvements)? .....	xxxx	1				000
<b>45</b> Intellectual property rights? .....	xxxx	1				000
<b>46</b> Fees, taxes, permits, licenses? .....	xxxx	1				000
<b>47</b> Other costs (specify)? .....	xxxx	1				000
<b>48</b> Total expenditures ? Sum of <b>41</b> through <b>47</b> .....	xxxx	1				000



**BE-13B – Establishment of a New U.S. Business Enterprise**

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**49** What are the total expenditures reported in **48** ? .....

1				000
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**50** In which year(s) will the total expenditures reported in **49** be expensed and how much each year?

Year	\$	Bil.	Mil.	Thous.	Dols.
1 xxxx	1				000
1 xxxx	1				000
1 xxxx	1				000
1 xxxx	1				000
1 xxxx	1				000
1 xxxx	1				000
1 xxxx	1				000
1 xxxx	1				000
1 xxxx	1				000

**YOU HAVE COMPLETED FORM BE-13B  
STOP**

## BE-13B – Establishment of a New U.S. Business Enterprise

### FOREIGN PARENT AND UBO INDUSTRY CODES

Note: "ISI codes" are International Surveys Industry codes, as given in the *Guide to Industry Classifications for International Surveys, 2012*. See the Summary of Industry Classifications on page 18.

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

### NOTE:

### DEFINITIONS

**Affiliate** means a business enterprise located in one country that is directly or indirectly owned or controlled by an entity of another country to the extent of 10 percent or more of its voting stock for an incorporated business or an equivalent interest for an unincorporated business, including a branch.

**Affiliated foreign group** means (i) the foreign parent, (ii) any foreign entity, proceeding up the foreign parent's ownership chain, that owns more than 50 percent of the entity below it up to and including that entity which is not owned more than 50 percent by another foreign entity, and (iii) any foreign entity, proceeding down the ownership chain(s) of each of these members, which is owned more than 50 percent by the entity above it.

**Associated group** means two or more persons who, by the appearance of their actions, by agreement, or by an understanding, exercise their voting privileges in a concerted manner to influence the management of a business enterprise. Each of the following are deemed to be an associated group:

- (1) Members of the same family,
- (2) A business enterprise and one or more of its officers and directors,
- (3) Members of a syndicate or joint venture, or
- (4) A corporation and its domestic subsidiaries.

**Branch** means the operations or activities conducted by an entity in a different location in its own name rather than through an incorporated entity.

**Business enterprise** means any organization, association, branch, or venture that exists for profit making purposes or to otherwise secure economic advantage, and any ownership of any real estate.

**Employment** should reflect the number of employees during normal operations of the U.S. business enterprise.

- (1) If a strike, or other interruption of operations, was in progress at the end of the year, report a number that represents normal operation.
- (2) If the business enterprises' activity involves large seasonal variations, report a number that represents an average for the year.

**Entity** (as used here, "entity" is synonymous with "person," as that term is used in the broad legal sense) means any individual, branch, partnership, associated group, association, estate, trust, corporation, or other organization (whether or not organized under the laws of any State), and any government (including a foreign government, the United States Government, a State or local government, and any agency, corporation, financial institution, or other entity or instrumentality thereof, including a government-sponsored agency).

**Foreign** when used in a geographic sense, means that which is situated outside the United States or which belongs to or is characteristic of a country other than the United States.

**Foreign direct investment in the United States** means the ownership or control, directly or indirectly, by one foreign investor of 10 percent or more of the voting securities of an incorporated U.S. business enterprise or an equivalent interest in an unincorporated U.S. business enterprise, including a branch or partnership.

**Foreign parent** means each and every foreign entity that directly holds a voting interest of 10 percent or more in the U.S. business enterprise identified as the U.S. affiliate.

**Foreign residence** for individuals who do not reside in their country of citizenship is determined using the following guidelines:

- (1) Individuals who reside, or expect to reside, outside their country of citizenship for less than one year are considered to be residents of their country of citizenship.
- (2) Individuals who reside, or expect to reside, outside their country of citizenship for one year or more are considered to be residents of the country in which they are residing, except as provided in 3 below.
- (3) If an owner or employee of a business enterprise resides outside the country of location of the enterprise for one year or more for the purpose of furthering the business of the enterprise, and the country of the business enterprise is the country of citizenship of the owner or employee, then the owner or employee is considered a resident of the country of citizenship provided he or she intends to return within a reasonable period of time.
- (4) Individuals and members of their immediate families who reside outside their country of citizenship as a result of employment by the government of that country – diplomats, consular officials, members of the armed forces, etc. – are considered to be residents of their country of citizenship.

**Real Estate** ownership is a business enterprise unless the real estate is held exclusively for personal use. See the BE-13 Claim for Not Filing for more specific information.

**U.S. affiliate** means an affiliate located in the United States in which a foreign entity has a direct investment.

**U.S. Corporation** means a business enterprise incorporated in the United States.

**Unites States** when used in a geographical sense, means the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and all territories and possessions of the United States.

**Voting interest** is the percent of ownership in the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise, including a branch or partnership.

## 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