



## 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](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) 606-2894

**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)

**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.

# BE-13 Claims for Not Filing

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 <sup>1</sup>  **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.)*
- <sup>1</sup>  **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.)*
- <sup>1</sup>  **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.)*
- <sup>1</sup>  **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.
<b>3</b> What are the U.S. affiliate's total assets (do NOT net out liabilities)? . . . . . xxxxx	1				000
<b>4</b> What are the U.S. affiliate's total sales or gross operating revenues, excluding sale taxes? . . . . . xxxxx	1				000
<b>5</b> What is the U.S. affiliate's net income (loss) after provision for U.S. income taxes? . . . . . xxxxx	1				000

**6** What is the expected number of employee of the newly acquired, established, merged or expanded entity? . . . . . xxxxx

Number of Employees

1

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

Industry Code

1

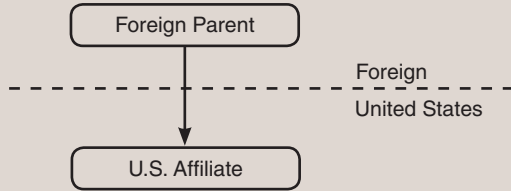
*See industry code list on page XX*

**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.) . . . . . xxxxx

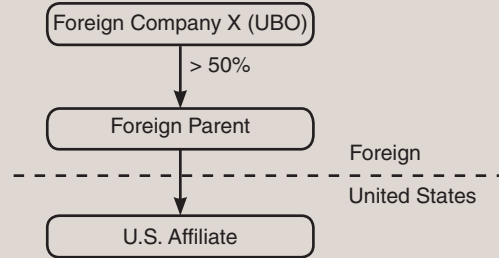
**9** What is the country of the U.S. affiliate's ultimate beneficial owner (UBO)? The UBO is the entity, proceeding up the ownership chain that is not more than 50 percent owned or controlled by another entity. (See example 2.) . . . . . xxxxx

# BE-13 Claims for Not Filing

**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