

U.S. PRODUCERS' QUESTIONNAIRE

CRYSTALLINE SILICON PHOTOVOLTAIC CELLS AND MODULES FROM CHINA

This questionnaire must be received by the Commission by **September 19, 2018**
See last page for filing instructions.

The information called for in this questionnaire is for use by the United States International Trade Commission in connection with its review of the antidumping and countervailing duty orders concerning Crystalline Silicon Photovoltaic ("CSPV") Cells and Modules from China (Inv. Nos. 701-TA-481 and 731-TA-1190 (Review)). 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 firm's possession (19 U.S.C. § 1333(a)).**

| |
|--|
| <p>Name of firm _____</p> <p>Address _____</p> <p>City _____ State _____ Zip Code _____</p> <p>Website _____</p> <p>Has your firm produced CSPV cells and/or modules (as defined on the next page) at any time since January 1, 2012?</p> <p><input type="checkbox"/> NO (Sign the certification below and promptly return only this page of the questionnaire to the Commission)</p> <p><input type="checkbox"/> YES (Complete all parts of the questionnaire, and return the entire questionnaire to the Commission)</p> <p>Return questionnaire via the Commission <i>Drop Box</i> by clicking on the following link: https://dropbox.usitc.gov/oinv/ (PIN: CSPV1)</p> |
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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 this proceeding in any other import-injury proceedings or reviews conducted by the Commission on the same or similar merchandise.

I, the undersigned, acknowledge that information submitted in response to this request for information and throughout this proceeding or other proceedings may be disclosed to and used: (i) by the Commission, its employees and Offices, and contract personnel (a) for developing or maintaining the records of this or a related proceeding, or (b) in internal investigations, audits, reviews, and evaluations relating to the programs, personnel, and operations of the Commission including under 5 U.S.C. Appendix 3; or (ii) by U.S. government employees and contract personnel, solely for cybersecurity purposes. I understand that all contract personnel will sign appropriate nondisclosure agreements.

| | | |
|--------------------------------------|---------------------------------------|------------------------|
| _____ Name of Authorized Official | _____ Title of Authorized Official | _____ Date |
| _____ Signature | _____ Phone: | _____ Email address |

PART I.—GENERAL INFORMATION

Background.-- On December 7, 2012, the Department of Commerce (“Commerce”) issued antidumping and countervailing duty orders on imports of crystalline silicon photovoltaic (“CSPV”) cells and modules from China (77 FR 73017–73021). On November 1, 2017, the Commission instituted reviews pursuant to section 751(c) of the Tariff Act of 1930 (19 U.S.C. § 1675(c)) (the Act) to determine whether revocation of the orders would be likely to lead to continuation or recurrence of material injury to the domestic industry within a reasonably foreseeable time. If both the Commission and Commerce make affirmative determinations, the orders will remain in place. If either the Commission or Commerce makes negative determinations, Commerce will revoke the orders. Questionnaires and other information pertinent to this proceeding are available at

https://www.usitc.gov/investigations/701731/2017/crystalline_silicon_photovoltaic_cells_and_modules/first_review_full.htm

CSPV Cells and Modules covered by these reviews are defined by Commerce as follows:

The merchandise covered by the order are crystalline silicon photovoltaic cells, and modules, laminates, and panels, consisting of crystalline silicon photovoltaic cells, whether or not partially or fully assembled into other products, including, but not limited to, modules, laminates, panels and building integrated materials.

The order covers crystalline silicon photovoltaic cells of thickness equal to or greater than 20 micrometers, having a p/n junction formed by any means, whether or not the cell has undergone other processing, including, but not limited to, cleaning, etching, coating, and/or addition of materials (including, but not limited to, metallization and conductor patterns) to collect and forward the electricity that is generated by the cell.

Merchandise under consideration may be described at the time of importation as parts for final finished products that are assembled after importation, including, but not limited to, modules, laminates, panels, building-integrated modules, building-integrated panels, or other finished goods kits. Such parts that otherwise meet the definition of merchandise under consideration are included in the scope of the orders.

Excluded from the scope of the order are thin film photovoltaic products produced from amorphous silicon (a-Si), cadmium telluride (CdTe), or copper indium gallium selenide (CIGS). Also excluded from the scope of the order are crystalline silicon photovoltaic cells, not exceeding 10,000 mm² in surface area, that are permanently integrated into a consumer good whose function is other than power generation and that consumes the electricity generated by the integrated crystalline silicon photovoltaic cell. Where more than one cell is permanently integrated into a consumer good, the surface area for purposes of this exclusion shall be the total combined surface area of all cells that are integrated into the consumer good.

Additionally, excluded from the scope of this order are panels with surface area from 3,450 mm² to 33,782 mm² with one black wire and one red wire (each of type 22 AWG or 24 AWG not more than 206 mm in length when measured from panel extrusion), and not exceeding 2.9 volts, 1.1 amps, and 3.19 watts. For the purposes of this exclusion, no panel shall contain an internal battery or external computer peripheral ports.

Modules, laminates, and panels produced in a third-country from cells produced in China are covered by the orders; however, modules, laminates, and panels produced in China from cells produced in a third-country are not covered by the order.

Merchandise covered by this order is currently classified in the Harmonized Tariff System of the United States (HTSUS) under subheadings 8501.61.0000, 8507.20.80, 8541.40.6020, 8541.40.6030, and 8501.31.8000. These HTSUS subheadings are provided for convenience and customs purposes; the written description of the scope of the order is dispositive.

Module--A joined group of CSPV cells, regardless of the number of cells or the shape of the joined group, that are capable of generating electricity. The term “**module**” is frequently used interchangeably with the term “**panel**.” A “**laminated**” is a module that does not have a frame.

Building Integrated Materials--Materials integrated into the building envelope, such as the façade or roof, containing CSPV cells. These building integrated materials replace conventional construction materials, such as glass or roof shingles, taking over the function that conventional materials would otherwise perform while also producing electricity.

Reporting of information--If information is not readily available from your records in exactly the form requested, furnish carefully prepared estimates. If your firm is completing more than one questionnaire in connection with this proceeding (i.e., a producer, importer, and/or purchaser questionnaire), you need not respond to duplicated questions in the questionnaires.

Confidentiality--The commercial and financial data furnished in response to this questionnaire 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, general 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 this questionnaire is subject to audit and verification by the Commission. To facilitate possible verification of data, please keep all of your files, worksheets, and supporting documents used in the preparation of the questionnaire response. Please also retain a copy of the final document that you submit.

Release of information--The information provided by your firm in response to this questionnaire, as well as any other business proprietary information submitted by your firm to the Commission in connection with this proceeding, 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 this proceeding or other import-injury proceedings 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.

D-GRIDS tool.--The Commission has a tool that firms can use to move data from their own MS Excel compilation files into self-contained data tables within this MS Word questionnaire, thereby reducing the amount of cell-by-cell data entry that would be required to complete this form. This tool is a macro-enabled MS Excel file available for download from the Commission's generic questionnaires webpage (https://www.usitc.gov/trade_remedy/question.htm) called the "D-GRIDs tool." Use of this tool to help your firm complete this questionnaire is *optional*. Firms opting to use the D-GRIDs tool to populate their data into this questionnaire will need the D-GRIDs specification sheet PDF file specific to this proceeding (available on the case page which is linked under the "Background" above) which includes the necessary references relating to this questionnaire, as well as the macro-enable MS Excel D-GRIDs tool itself from the generic questionnaires page. More detailed instructions on how to use the D-GRIDs tool are available within the D-GRIDs tool itself.

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

| Hours | Dollars |
|-------|---------|
| | |

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, gathering data, and completing and reviewing the questionnaire.

We welcome comments regarding the accuracy of this burden estimate, suggestions for reducing the burden, and any suggestions for improving this questionnaire. Please attach such comments to your response or send to the Office of Investigations, USITC, 500 E St. SW, Washington, DC 20436.

I-2. **Establishments covered.**--Provide the city, state, zip code, and brief description of each establishment covered by this questionnaire. If your firm is publicly traded, please specify the stock exchange and trading symbol in the footnote to the table. **Firms operating more than one establishment should combine the data for all establishments into a single report.**

"Establishment"--Each facility of a firm involved in the production of CSPV cells or the assembly (full or partial) of CSPV cells into other products (e.g., laminates, panels, modules), including auxiliary facilities operated in conjunction with (whether or not physically separate from) such facilities.

| Establishments Covered ¹ | City, State | Zip (5 digit) | Description |
|---|-------------|---------------|-------------|
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |
| 6 | | | |
| ¹ Additional discussion on establishments consolidated in this questionnaire: <hr/> | | | |

I-3. **Position regarding continuation of orders.**--Does your firm support or oppose continuation of the following antidumping and/or countervailing duty orders currently in place for CSPV cells and modules?

| Country | Support | Oppose | Take no position |
|-----------------------------|--------------------------|--------------------------|--------------------------|
| China (Antidumping Duty) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| China (Countervailing Duty) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

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

No Yes--List the following information.

| Firm name | Address | Extent of ownership (percent) |
|------------------|----------------|--|
| | | |
| | | |
| | | |

I-5. **Related importers/exporters.**--Does your firm have any related firms, either domestic or foreign, that are engaged in importing CSPV cells and modules into the United States or that are engaged in exporting CSPV cells and modules to the United States?

No Yes--List the following information.

| Firm name | Country | Affiliation |
|------------------|----------------|--------------------|
| | | |
| | | |
| | | |

I-6. **Related producers.**--Does your firm have any related firms, either domestic or foreign, that are engaged in the production of CSPV cells or the assembly (full or partial) of CSPV cells into other products?

No Yes--List the following information.

| Firm name | Country | Affiliation |
|-----------|---------|-------------|
| | | |
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I-7. **Business plan.**--In Parts II and IV of this questionnaire we request a copy of your company's business plan. Does your company or any related firm have a business plan or any internal documents that describe, discuss, or analyze expected market conditions for CSPV cells and modules?

| No | Yes | If yes, please provide the requested documents. If you are not providing the requested documents, please explain why not. |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | |

PART II.--TRADE AND RELATED INFORMATION

Further information on this part of the questionnaire can be obtained from Mary Messer (202-205-3193, mary.messer@usitc.gov). **Supply all data requested on a calendar-year basis.**

II-1. **Contact information.**--Please identify the responsible individual and the manner by which Commission staff may contact that individual regarding the confidential information submitted in part II.

| | |
|-----------|--|
| Name | |
| Title | |
| Email | |
| Telephone | |

II-2a. **Changes in operations.**--Please indicate whether your firm has experienced any of the following changes in relation to the production of CSPV cells or the assembly (full or partial) of CSPV cells into other products since January 1, 2012.

| <i>Check as many as appropriate.</i> | <i>If checked, please describe; leave blank if not applicable.</i> |
|---|--|
| <input type="checkbox"/> Plant openings | |
| <input type="checkbox"/> Plant closings | |
| <input type="checkbox"/> Relocations | |
| <input type="checkbox"/> Expansions | |
| <input type="checkbox"/> Acquisitions | |
| <input type="checkbox"/> Bankruptcy | |
| <input type="checkbox"/> Consolidations | |
| <input type="checkbox"/> Prolonged shutdowns or production curtailments | |
| <input type="checkbox"/> Revised labor agreements | |
| <input type="checkbox"/> Other (e.g., technology) | |

II -2b. **Anticipated changes in operations.**--Does your firm anticipate any changes in in the character of its operations or organization relating to the production of CSPV cells or the assembly (full or partial) of CSPV cells into other products in the future?

| | | |
|--------------------------|--------------------------|--|
| No | Yes | If yes, supply details as to the time, nature, and significance of such changes and provide underlying assumptions, along with relevant portions of business plans or other supporting documentations that address this issue. Include in your response a specific projection of your firm's capacity to produce CSPV cells or the assembly (full or partial) of CSPV cells into other products (in kilowatts) for 2018 and 2019. |
| <input type="checkbox"/> | <input type="checkbox"/> | |

II-3. **Product shifting (CSPV cells).**—

(i) Is your firm able to switch production (capacity) between CSPV cells and other products using the same equipment and/or labor?

| | | |
|--------------------------|--------------------------|--|
| No | Yes | If yes—(i.e., have produced other products or are able to produce other products) Please identify other actual or potential products: |
| <input type="checkbox"/> | <input type="checkbox"/> | |

(ii) Please describe the factors that affect your firm's ability to shift production capacity between products (e.g., time, cost, relative price change, etc.), and the degree to which these factors enhance or constrain such shifts.

II-4. **Product shifting (CSPV modules).**—

(i) Is your firm able to switch production (capacity) between CSPV modules and other products using the same equipment and/or labor?

| | | |
|--------------------------|--------------------------|--|
| No | Yes | If yes—(i.e., have produced other products or are able to produce other products) Please identify other actual or potential products: |
| <input type="checkbox"/> | <input type="checkbox"/> | |

(ii) Please describe the factors that affect your firm's ability to shift production capacity between products (e.g., time, cost, relative price change, etc.), and the degree to which these factors enhance or constrain such shifts.

“Integrated producers of CSPV modules” (those U.S. firms that produce CSPV cells to be used in the production of their CSPV modules) should report data regarding their CSPV cell production in questions II-8 through II-10 (while reporting any cells used in downstream production of laminates, panels, modules, etc. as “internal consumption”) and report data regarding their CSPV module production in questions II-9 through II-13.

“Assemblers of CSPV modules” (those U.S. firms that purchase or import CSPV cells from an unrelated firm and assemble CSPV modules) should report data regarding their production in questions II-11 through II-14 (while indicating the various sources of their CSPV cells in the production data).

“Average production capacity” or “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” or “Assembly” – All production or assembly in your U.S. establishment(s), including production or assembly of items consumed internally within your firm and production or assembly of items for another firm under a toll agreement.

“Commercial U.S. shipments” – Shipments made within the United States as a result of an arm’s length commercial transaction in the ordinary course of business. Report net values (i.e., gross sales values less all discounts, allowances, rebates, prepaid freight, and the value of returned goods) in U.S. dollars, f.o.b. your point of shipment.

“Internal consumption” – Product consumed internally by your firm, including CSPV cells used to assemble other CSPV products, such as modules, panels, and laminates.

“Transfers to related firms” – Shipments made to related domestic firms. Such transactions are valued at fair market value.

“Related firm” – A firm that your firm solely or jointly owns, manages, or otherwise controls, including for example, parent companies, subsidiaries owned by the same parent company, and other affiliates. Such transactions are valued at fair market value.

“Export shipments” – Shipments to destinations outside the United States, including shipments to related firms.

“Inventories” – Finished goods inventory, not raw materials or work-in-progress.

Note: As requested in Part I of this questionnaire, please keep all supporting documents/records used in the preparation of the trade data, as Commission staff may contact your firm regarding questions on the trade data. The Commission may also request that your company submit copies of the supporting documents/records (such as production and sales schedules, inventory records, etc.) used to compile these data.

II-5. **Production, shipment and inventory data: CSPV cells.**--Report your firm's production capacity, production, shipments, and inventories related to the production of CSPV cells in your U.S. establishment(s) during the specified periods.

CELLS

| Quantity (in kilowatts) and value (in \$1,000) | | | | | | | | |
|---|---------------|------|------|------|------|------|--------------|------|
| Item | Calendar year | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Average production capacity¹ (quantity) (A) | | | | | | | | |
| Beginning-of-period inventories (quantity) (B) | | | | | | | | |
| Production (quantity) (C) | | | | | | | | |
| U.S. shipments: | | | | | | | | |
| Commercial shipments: | | | | | | | | |
| <i>quantity (D)</i> | | | | | | | | |
| <i>value (E)</i> | | | | | | | | |
| Internal consumption:² | | | | | | | | |
| <i>quantity (F)</i> | | | | | | | | |
| <i>value (G)</i> | | | | | | | | |
| Transfers to related firms:² | | | | | | | | |
| <i>quantity (H)</i> | | | | | | | | |
| <i>value (I)</i> | | | | | | | | |
| Export shipments to-- | | | | | | | | |
| Related firms:³ | | | | | | | | |
| <i>quantity (J)</i> | | | | | | | | |
| <i>value (K)</i> | | | | | | | | |
| Unrelated firms:⁴ | | | | | | | | |
| <i>quantity (L)</i> | | | | | | | | |
| <i>value (M)</i> | | | | | | | | |
| End-of-period inventories (quantity) (N) | | | | | | | | |

¹ The production capacity reported is based on operating _____ hours per week, _____ weeks per year. Please describe the methodology used to calculate production capacity, explain any changes in reported capacity, and describe the constraint(s) that set the limit(s) on your firm's average production capacity (use additional pages as necessary). _____.

² Internal consumption and transfers to related firms must be valued at fair market value. If your firm uses a different basis for valuing these transactions in your records, please specify that basis (e.g., cost, cost plus, etc.): _____. However, the data provided above in this table should be based on fair market value.

³ Identify your firm's principal export markets to related firms: _____.

⁴ Identify your firm's principal export markets to unrelated firms: _____.

II-5. **Production, shipment and inventory data: CSPV cells.--Continued**

CELLS

RECONCILIATION OF SHIPMENTS, PRODUCTION, AND INVENTORY.--Generally, the data reported for the end-of-period inventories (i.e., line N) should be equal to the beginning-of-period inventories (i.e., line B), plus production (i.e., line C), less total shipments (i.e., lines D, F, H, J, and L). Please ensure that any differences are not due to data entry errors in completing this form, but rather actually reflect your firm's records; and also provide any likely explanations for any differences (e.g., theft, loss, damage, record systems issues, etc.) if they exist.

| Item | Calendar year | | | | | | January-June | |
|---|---------------|------|------|------|------|------|--------------|------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| B + C – D – F – H – J – L – N = should equal zero ("0") or provide an explanation. ¹ | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| ¹ Explanation if the calculated fields above are returning values other than zero (i.e., "0") but are nonetheless accurate: _____. | | | | | | | | |

II-7. **Employment data.**--Report your firm's employment-related data related to the production of **CSPV cells** and provide an explanation for any trends in these data. If your firm assembles CSPV modules from its own production of CSPV cells, the employment data reported here should exclude employment data relating to your firm's assembly operations (so that PRW, hours worked, and wages paid can be added to those reported in II-13 to arrive at your firm's total employment data).

CELLS

"Production Related Workers" (PRWs) includes working supervisors and all nonsupervisory workers (including group leaders and trainees) engaged in fabricating, processing, assembling, inspecting, receiving, storage, handling, packing, warehousing, shipping, trucking, hauling, maintenance, repair, janitorial and guard services, product development, auxiliary production for plant's own use (e.g., power plant), recordkeeping, and other services closely associated with the above production operations. Average number employed may be computed by adding the number of employees, both full time and part time, for the 12 pay periods ending closest to the 15th of the month and dividing that total by 12. For the January to June periods, calculate similarly and divide by 6.

"Hours worked" includes time paid for sick leave, holidays, and vacation time. Include overtime hours actually worked; do not convert overtime pay to its equivalent in straight time hours.

"Wages paid" – Total wages paid before deductions of any kind (e.g., withholding taxes, old-age and unemployment insurance, group insurance, union dues, bonds, etc.). Include wages paid directly by your firm for overtime, holidays, vacations, and sick leave.

| Item | Calendar year | | | | | | January-June | |
|---|---------------|------|------|------|------|------|--------------|------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Average number of PRWs (number) (T) | | | | | | | | |
| Hours worked by PRWs (1,000 hours) (U) | | | | | | | | |
| Wages paid to PRWs (\$1,000) (V) | | | | | | | | |

Explanation of trends:

II-8. **CSPV Modules.**--Since January 1, 2012, has your firm produced CSPV laminates, panels, or modules?

No—Skip to question II-14.

Yes—Continue to question II-9.

II-9. **Production, shipment and inventory data: CSPV modules.**--Report your firm's production capacity, production, shipments, and inventories related to the production of CSPV modules in your U.S. establishment(s) during the specified periods.

MODULES

| Quantity (in kilowatts) and value (in \$1,000) | | | | | | | | |
|---|---------------|------|------|------|------|------|--------------|------|
| Item | Calendar year | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Average production capacity¹ (quantity) (W) | | | | | | | | |
| Beginning-of-period inventories (quantity) (X) | | | | | | | | |
| Production (quantity) (Y) | | | | | | | | |
| U.S. shipments: | | | | | | | | |
| Commercial shipments: | | | | | | | | |
| quantity (Z) | | | | | | | | |
| value (AA) | | | | | | | | |
| Internal consumption:² | | | | | | | | |
| quantity (AB) | | | | | | | | |
| value (AC) | | | | | | | | |
| Transfers to related firms:² | | | | | | | | |
| quantity (AD) | | | | | | | | |
| value (AE) | | | | | | | | |
| Export shipments to-- | | | | | | | | |
| Related firms:³ | | | | | | | | |
| quantity (AF) | | | | | | | | |
| value (AG) | | | | | | | | |
| Unrelated firms:⁴ | | | | | | | | |
| quantity (AH) | | | | | | | | |
| value (AI) | | | | | | | | |
| End-of-period inventories (quantity) (AJ) | | | | | | | | |

¹ The production capacity reported is based on operating ____ hours per week, ____ weeks per year. Please describe the methodology used to calculate production capacity, explain any changes in reported capacity, and describe the constraint(s) that set the limit(s) on your firm's average production capacity (use additional pages as necessary). ____.

² Internal consumption and transfers to related firms must be valued at fair market value. If your firm uses a different basis for valuing these transactions in your records, please specify that basis (e.g., cost, cost plus, etc.): _____. However, the data provided above in this table should be based on fair market value.

³ Identify your firm's principal export markets for related firms: _____.

⁴ Identify your firm's principal export markets for unrelated firms: _____.

II-9. **Production, shipment and inventory data: CSPV modules.—Continued**

MODULES

RECONCILIATION OF SHIPMENTS, PRODUCTION, AND INVENTORY.--Generally, the data reported for the end-of-period inventories (i.e., line AJ) should be equal to the beginning-of-period inventories (i.e., line X), plus production (i.e., line Y), less total shipments (i.e., lines Z, AB, AD, AF, and AH). Please ensure that any differences are not due to data entry errors in completing this form, but rather actually reflect your firm's records; and also provide any likely explanations for any differences (e.g., theft, loss, damage, record systems issues, etc.) if they exist.

| Item | Calendar year | | | | | | January-June | |
|---|---------------|------|------|------|------|------|--------------|------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| X + Y - Z - AB - AD - AF - AH - AJ = should equal zero ("0") or provide an explanation. ¹ | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| ¹ Explanation if the calculated fields above are returning values other than zero (i.e., "0") but are nonetheless accurate: _____. | | | | | | | | |

II-13. **Employment data.**--Report your firm's employment-related data related to the production of **CSPV modules** and provide an explanation for any trends in these data. If your firm assembles CSPV modules from its own production of CSPV cells, the employment data reported here should exclude employment data relating to your firm's assembly operations (so that PRW, hours worked, and wages paid can be added to those reported in II-7 to arrive at your firm's total employment data).

MODULES

"Production Related Workers" (PRWs) includes working supervisors and all nonsupervisory workers (including group leaders and trainees) engaged in fabricating, processing, assembling, inspecting, receiving, storage, handling, packing, warehousing, shipping, trucking, hauling, maintenance, repair, janitorial and guard services, product development, auxiliary production for plant's own use (e.g., power plant), recordkeeping, and other services closely associated with the above production operations.

Average number employed may be computed by adding the number of employees, both full time and part time, for the 12 pay periods ending closest to the 15th of the month and dividing that total by 12. For the January to June periods, calculate similarly and divide by 6.

If your firm had the same number of PRWs in all calendar years and had not experienced any changes in PRWs in the most recent interim period, you would have the same number of PRWs for the interim periods.

"Hours worked" includes time paid for sick leave, holidays, and vacation time. Include overtime hours actually worked; do not convert overtime pay to its equivalent in straight time hours.

"Wages paid" – Total wages paid before deductions of any kind (e.g., withholding taxes, old-age and unemployment insurance, group insurance, union dues, bonds, etc.). Include wages paid directly by your firm for overtime, holidays, vacations, and sick leave.

| Item | Calendar year | | | | | | January-June | |
|--|---------------|------|------|------|------|------|--------------|------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Average number of PRWs (number) (BD) | | | | | | | | |
| Hours worked by PRWs (1,000 hours) (BE) | | | | | | | | |
| Wages paid to PRWs (\$1,000) (BF) | | | | | | | | |

Explanation of trends:

II-14. **Transfers to related firms.**--If your firm reported transfers to related firms in questions II-5 or II-9, 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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| |
|--|

II-15. **Purchases: CSPV cells.**--Has your firm purchased **CSPV cells** produced in the United States or in other countries since January 1, 2012? (Do not include imports for which your firm was the importer of record. These should be reported in an importer questionnaire).

"Purchase" – A transaction to buy product from a U.S. corporate entity such as another U.S. producer, a U.S. distributor, or a U.S. firm that has directly imported the product.

"Import" –A transaction to buy from a foreign supplier where your firm is the importer of record.

| | | |
|--------------------------|--------------------------|---|
| No | Yes | If yes-- Report such purchases in the table below and explain the reasons for your firms' purchases: |
| <input type="checkbox"/> | <input type="checkbox"/> | |

Note: If your firm served as the importer of record for any purchases from foreign suppliers, either for your own account or as a service for another entity, those purchases are to be considered "imports" not "purchases" and **should not** be included in the table below

| (Quantity in kilowatts) | | | | | | | | |
|--|-----------------------|-------------|-------------|-------------|-------------|-------------|---------------------|-------------|
| Item | Calendar years | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Purchases from U.S. importers¹ of CSPV cells from— China | | | | | | | | |
| All other sources | | | | | | | | |
| Purchases from domestic producers² | | | | | | | | |
| Purchases from other sources² | | | | | | | | |
| ¹ Please list the name of the importer(s) from which your firm purchased this product. If your firm's import suppliers differ by source, please identify the source for each listed supplier: _____. ² Please list the name of the producer(s) or U.S. distributor(s) from which your firm purchased this product: _____. | | | | | | | | |

II-16. **Purchases: CSPV modules.**--Has your firm purchased **CSPV modules** produced in the United States or in other countries since January 1, 2012? (Do not include imports for which your firm was the importer of record. These should be reported in an importer questionnaire).

"Purchase" – A transaction to buy product from a U.S. corporate entity such as another U.S. producer, a U.S. distributor, or a U.S. firm that has directly imported the product.

"Import" –A transaction to buy from a foreign supplier where your firm is the importer of record.

| | | |
|--------------------------|--------------------------|---|
| No | Yes | If yes-- Report such purchases in the table below and explain the reasons for your firms' purchases: |
| <input type="checkbox"/> | <input type="checkbox"/> | |

Note: If your firm served as the importer of record for any purchases from foreign suppliers, either for your own account or as a service for another entity, those purchases are to be considered "imports" not "purchases" and **should not** be included in the table below.

| (Quantity in kilowatts) | | | | | | | | |
|---|-----------------------|-------------|-------------|-------------|-------------|-------------|---------------------|-------------|
| Item | Calendar years | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Purchases from U.S. importers¹ of CSPV modules from— China² | | | | | | | | |
| All other sources² | | | | | | | | |
| Purchases from domestic producers² | | | | | | | | |
| Purchases from other sources³ | | | | | | | | |
| ¹ Please list the name of the importer(s) from which your firm purchased this product. If your firm's import suppliers differ by source, please identify the source for each listed supplier: _____. ² Classify modules made with Chinese origin cells regardless of the country in which the module was assembled as "China". Classify modules made with non-Chinese origin cells as "All other sources" even if assembled in China. ³ Please list the name of the producer(s) or U.S. distributor(s) from which your firm purchased this product: _____. | | | | | | | | |

II-17. **Toll production.**--Since January 1, 2012, has your firm been involved in a toll agreement regarding the production of CSPV cells or assembly (full or partial) of CSPV cells into other products (e.g., laminates, panels, modules)?

“Toll agreement”--Agreement between two firms whereby the first firm furnishes the raw materials and the second firm uses the raw materials to produce a product that it then returns to the first firm with a charge for processing costs, overhead, etc.

| No | Yes | If yes-- Please describe the toll arrangement(s) and name the firm(s) involved. |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | |

II-18. **Foreign trade zones.**--

(a) **Firm's FTZ operations.**--Does your firm produce CSPV cells or assemble (fully or partially) CSPV cells into other products in and/or admit these items into a foreign trade zone (FTZ)?

“Foreign trade zone” is a designated location in the United States where firms utilize special procedures that allow delayed or reduced customs duty payments on foreign merchandise. A foreign trade zone must be designed as such pursuant to the rules and procedures set forth in the Foreign-Trade Zones Act.

| No | Yes | If yes-- Describe the nature of your firms operations in FTZs and identify the specific FTZ site(s). |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | |

(b) **Other firms' FTZ operations.**--To your knowledge, do any firms in the United States import CSPV cells (whether or not partially or fully assembled into other products) into a foreign trade zone (FTZ) for use in distribution of these items and/or the production of downstream articles?

| No | Yes | If yes--Identify the firms and the FTZs. |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | |

II-19. **Direct imports.**--Since January 1, 2012, has your firm imported CSPV cells or modules?

"Importer" – The person or firm primarily liable for the payment of any duties on the merchandise, or an authorized agent acting on his behalf. The importer may be the consignee, or the importer of record.

| | | |
|--------------------------|--------------------------|--|
| No | Yes | |
| <input type="checkbox"/> | <input type="checkbox"/> | |

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

For questions II-20 and II-21, if your response differs for particular orders, please indicate and explain the particular effect of imposition and/or revocation of specific orders.

II-20. **Effect of order.**--Describe the significance of the existing antidumping and countervailing duty orders covering imports of CSPV cells and modules from China in terms of its effect on your firm's production capacity, production, U.S. shipments, inventories, purchases, employment, revenues, costs, profits, cash flow, capital expenditures, research and development expenditures, and asset values. You may wish to compare your firm's operations before and after the imposition of the order.

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II-21. **Likely impact of revocation.**--Would your firm anticipate any changes in in the character of its operations or organization, including its production capacity, production, U.S. shipments, inventories, purchases, employment, revenues, costs, profits, cash flow, capital expenditures, research and development expenditures, or asset values relating to the production of CSPV cells and modules in the future if the antidumping and countervailing duty orders on CSPV cells and modules from China were to be revoked?

| | | |
|--------------------------|--------------------------|--|
| | | If yes, supply details as to the time, nature, and significance of such changes and provide underlying assumptions, along with relevant portions of business plans or other supporting documentations that address this issue. Include in your response a specific projection of your firm's capacity to produce CSPV cells and modules (in kilowatts) for 2018 and 2019. |
| No | Yes | |
| <input type="checkbox"/> | <input type="checkbox"/> | |

- II-22. **Other explanations:**--If your firm would like to explain further a response to a question in Part II that did not provide a narrative box, please note the question number and the explanation in the space provided below. Please also use this space to highlight any issues your firm had in providing the data in this section, including but not limited to technical issues with the MS Word questionnaire.

| |
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PART III.--FINANCIAL INFORMATION

Address questions on this part of the questionnaire to **Joanna Lo (202-205-1888, joanna.lo@usitc.gov)**.

III-1. **Contact information.**--Please identify the responsible individual and the manner by which Commission staff may contact that individual regarding the confidential information submitted in part III.

| | |
|-----------|--|
| Name | |
| Title | |
| Email | |
| Telephone | |

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

A. When does your firm's fiscal year end (month and day)? _____
If your firm's fiscal year changed during the data-collection period, explain below:

B.1. Describe the lowest level of operations (e.g., plant, division, company-wide) for which financial statements are prepared that include CSPV cells and/or CSPV modules:

2. Does your firm prepare profit/loss statements for CSPV cells and/or CSPV modules:

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 basis of accounting (specify) _____

Note: As requested in Part I of this questionnaire, please keep all supporting documents/records used in the preparation of the financial data, as Commission staff may contact your firm regarding questions on the financial data. The Commission may also request that your company submit copies of the supporting documents/records (financial statements, including internal profit-and-loss statements for the division or product group that includes CSPV cells and/or CSPV modules, as well as specific statements and worksheets) used to compile these data.

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

“Integrated producers of CSPV modules”--those U.S. firms that produce CSPV cells to be used in the production of their CSPV modules) should report data regarding only their CSPV cell operations in questions questions III-7, III-9a, and III-9b (similar to the instructions provided on page 10 for questions II-5 through II-7 on production of CSPV cells). **Report any cells used in downstream production of laminates, panels, modules, etc. as "internal consumption"**. Report data regarding their CSPV module operations in questions III-8, III-9c, and III-9d, and III-9e (similar to the instructions provided on page 10 for questions II-9 through II-13 on production of CSPV modules).

“Assemblers of CSPV modules”--those U.S. firms that purchase or import CSPV cells from an unrelated firm and assemble CSPV modules) should report data regarding their operations in questions III-9c, III-9d, and III-9e (similar to the instructions provided on page 10 for questions II-9 through II-13 on production of CSPV cells).

III-4. **Allocation basis**--Briefly describe your firm’s allocation basis, if any, for COGS, SG&A, and interest expense and other income and expenses. **If your firm is an integrated producer of CSPV modules, provide the details of your firm’s allocation basis for CSPV cell operations and confirm that internal consumption has been excluded from your CSPV cell financial data.**

| |
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| |
|--|

III-5. **Product listing**--Please list the products your firm produces in the facilities in which it produces CSPV cells and/or CSPV modules, and provide the share of net sales accounted for by these products in your firm’s most recent fiscal year.

| Products | Share of sales |
|---|----------------|
| CSPV cells (not including internal consumption) | % |
| CSPV modules | % |
| | % |
| | % |
| | % |

III-6a. Does your firm purchase **inputs** (raw materials, labor, energy, or any services) used in the production of CSPV cells from any related suppliers (e.g., inclusive of transactions between related firms, divisions and/or other components within the same company)?

Yes--Continue to question III-7. No--Skip to question III-9a.

III-6b. Does your firm purchase **inputs** (raw materials, labor, energy, or any services) used in the production of CSPV modules from any related suppliers (e.g., inclusive of transactions between related firms, divisions and/or other components within the same company)?

Yes--Continue to question III-8. No--Skip to question III-9c.

III-7. **Inputs from related suppliers for CSPV cells.**--Please identify the inputs used in the production of CSPV cells and/or CSPV modules that your firm purchases from related suppliers and that are reflected in question III-9a (Operations on CSPV cells (commercial sales and transfers)). For “*share of total COGS*” please report this information by relevant input on the basis of your most recently completed fiscal year. For “*input valuation*” please describe the basis, as recorded in the company’s own accounting system, of the purchase cost from the related supplier; e.g., the related supplier’s actual cost, cost plus, negotiated transfer price to approximate fair market value.

| III-9a: Operations on CSPV cells (commercial sales and transfers) | | |
|--|-------------------------|--------------------------------------|
| Input^{1 2} | Related supplier | Share of total COGS (percent) |
| | | |
| | | |
| | | |
| | | |

¹ What are the cost basis of your firm’s input valuations?
² Are the input valuations above consistent with the firm’s accounting books and records and reported in III-9a? Yes No--Please report the valuation basis of inputs purchased from related suppliers as reported in question III-9a:

III-8. **Inputs from related suppliers for CSPV modules.**--Please identify the inputs used in the production of CSPV modules that your firm purchases from related suppliers and that are reflected in question III-9c (Operations on CSPV modules). For “*share of total COGS*” please report this information by relevant input on the basis of your most recently completed fiscal year. For “*input valuation*” please describe the basis, as recorded in the company’s own accounting system, of the purchase cost from the related supplier; e.g., the related supplier’s actual cost, cost plus, negotiated transfer price to approximate fair market value.

| III-9c: Operations on CSPV modules | | |
|---|-------------------------|--------------------------------------|
| Input^{1 2} | Related supplier | Share of total COGS (percent) |
| | | |
| | | |
| | | |
| | | |

¹ What are the cost basis of your firm’s input valuations?
² Are the input valuations above consistent with the firm’s accounting books and records and reported in III-9c? Yes No--Please report the valuation basis of inputs purchased from related suppliers as reported in question III-9c:

III-9a. **Operations on CSPV cells (commercial sales and transfers).**--Report the revenue and related cost information requested below on the CSPV cell operations of your firm's U.S. establishment(s).¹ **Do not report resales of products or internal consumption.** Note that transfers to related firms must be valued at fair market value. Input purchases from related suppliers should be consistent with and based on information in the firm's accounting books and records and reflect the data reported in question III-7. Provide data for your firm's six most recently completed fiscal years, and for the specified interim periods. Companies whose fiscal years are not calendar years should report the fiscal years which most closely correspond to calendar years 2012 through 2017. **This table should be completed by integrated producers of CSPV modules.**

Note: The table below should reflect commercial sales and transfers and corresponding costs/expenses associated with CSPV cells manufactured and sold by your firm as CSPV cells. CSPV cells manufactured and/or purchased by your firm which were used internally to produce CSPV modules, if any, should be reported as a component of raw material costs in table III-9c (Operations on CSPV modules).

CELLS (commercial sales and transfers only)

| Item | Quantity (in kilowatts) and value (in \$1,000) | | | | | | | |
|--|--|------|------|------|------|------|--------------|------|
| | Fiscal years ended-- | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Net sales quantities: ² | | | | | | | | |
| Commercial sales | | | | | | | | |
| Transfers to related firms | | | | | | | | |
| Total net sales quantities | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Net sales values: ² | | | | | | | | |
| Commercial sales | | | | | | | | |
| Transfers to related firms | | | | | | | | |
| Total net sales values | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cost of goods sold (COGS): ³ | | | | | | | | |
| Polysilicon, Ingots | | | | | | | | |
| Wafers | | | | | | | | |
| All other raw material costs (CSPV cells) | | | | | | | | |
| Direct labor (CSPV cells) | | | | | | | | |
| All other factory costs (CSPV cells) | | | | | | | | |
| Total COGS | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Gross profit or (loss) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SG&A expenses: | | | | | | | | |
| Selling expenses | | | | | | | | |
| General and administrative expenses | | | | | | | | |
| Total SG&A expenses | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Operating income or (loss) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Continued on following page.

III-9a. **Operations on CSPV cells (commercial sales and transfers).**— *Continued*

| Quantity (in kilowatts) and value (in \$1,000) | | | | | | | | |
|--|----------------------|------|------|------|------|------|--------------|------|
| Item | Fiscal years ended-- | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Other expenses and income: | | | | | | | | |
| Interest expense | | | | | | | | |
| All other expense items | | | | | | | | |
| All other income items | | | | | | | | |
| Net income or (loss) before income taxes | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Depreciation/amortization included above | | | | | | | | |
| ¹ Include only CSPV cells commercial sales and/or transfers (whether domestic or export) and corresponding costs related to your U.S. manufacturing operations. ² Less discounts, returns, allowances, and prepaid freight. The quantities and values should approximate the corresponding CSPV cells shipment quantities and values reported in Part II of this questionnaire. ³ COGS (whether for domestic or export sales) should include costs associated with CSPV cells commercial sales and transfers. | | | | | | | | |

Note -- The table above contains calculations that will appear when you have entered data in the MS Word form fields.

III-9b. **CSPV cells (commercial sales and transfers) variable and fixed costs.**--For the total COGS and total SG&A expenses reported for the most recently completed annual period in table III-9a, please estimate the share of variable and fixed costs for each category, with the sum adding to 100 percent. The specified variable and fixed cost shares should be representative of the relevant range of production that the company could achieve under current capacity constraints.

| Item | Share of 2017: COGS (percent) | Share of 2017: SG&A (percent) |
|-------------------------------------|-------------------------------------|-------------------------------------|
| Share of costs that are-- | | |
| Variable | % | % |
| Fixed | % | % |
| Total (should sum to 100.0%) | 0.0 % | 0.0 % |

III-9c. **Operations on CSPV modules.**--Report the revenue and related cost information requested below on the CSPV modules operations of your firm's U.S. establishment(s).¹ Do not report resales of products. Note that internal consumption, to the extent applicable, and transfers to related firms must be valued at fair market value. Input purchases from related suppliers should be consistent with and based on information in the firm's accounting books and records and reflected the data reported in question III-8. Provide data for your firm's six most recently completed fiscal years, and for the specified interim periods. Companies whose fiscal years are not calendar years should report the fiscal years which most closely correspond to calendar years 2012 through 2017. **This table should be completed by integrated producers of CSPV modules and assemblers of CSPV modules.**

MODULES

| Item | Quantity (in kilowatts) and value (in \$1,000) | | | | | | | |
|---|--|------|------|------|------|------|--------------|------|
| | Fiscal years ended-- | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Net sales quantities: ² | | | | | | | | |
| Commercial sales | | | | | | | | |
| Internal consumption | | | | | | | | |
| Transfers to related firms | | | | | | | | |
| Total net sales quantities | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Net sales values: ² | | | | | | | | |
| Commercial sales | | | | | | | | |
| Internal consumption | | | | | | | | |
| Transfers to related firms | | | | | | | | |
| Total net sales values | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cost of goods sold (COGS): ³ | | | | | | | | |
| Raw material costs ⁴ | | | | | | | | |
| Direct labor (CSPV modules) | | | | | | | | |
| Other factory costs (CSPV modules) | | | | | | | | |
| Total COGS | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Gross profit or (loss) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SG&A expenses: | | | | | | | | |
| Selling expenses | | | | | | | | |
| General and administrative expenses | | | | | | | | |
| Total SG&A expenses | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Operating income (loss) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Other expenses and income: | | | | | | | | |
| Interest expense | | | | | | | | |
| All other expense items | | | | | | | | |
| All other income items | | | | | | | | |
| Net income or (loss) before income taxes | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Depreciation/amortization included above | | | | | | | | |

Footnotes continued on following page.

III-9c. Operations on CSPV modules.—*Continued*

¹ Include CSPV modules commercial sales, internal consumption, and/or transfers (whether domestic or export) and corresponding costs related to your U.S. manufacturing operations.
² Less discounts, returns, allowances, and prepaid freight. The quantities and values should approximate the corresponding CSPV modules shipment quantities and values reported in Part II of this questionnaire.
³ COGS (whether for domestic or export sales) should include costs associated with CSPV modules commercial sales, internal consumption, and transfers.
⁴ Table III-9d requests a breakout of the total raw material costs and will populate the raw material line item in this table.

Note -- The table on the previous page contains calculations that will appear when you have entered data in the MS Word form fields.

III-9d. Components of total raw material costs of CSPV modules.--Provide a breakout of the relevant components of total raw material costs reported in question III-9c (Operations on CSPV modules). Provide data for your firm's six most recently completed fiscal years, and for the specified interim periods. Companies whose fiscal years are not calendar years should report the fiscal years which most closely correspond to calendar years 2012 through 2017.

MODULES: Raw Materials

| Item | Value (in \$1,000) | | | | | | | |
|--|----------------------|------|------|------|------|------|--------------|------|
| | Fiscal years ended-- | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Internally-produced CSPV cells recognized in III-9c raw material costs: | | | | | | | | |
| Polysilicon, ingots | | | | | | | | |
| Wafers | | | | | | | | |
| All other raw material costs (CSPV cells) | | | | | | | | |
| Direct labor (CSPV cells) | | | | | | | | |
| All other factory costs (CSPV cells) | | | | | | | | |
| Total cost of internally-produced CSPV cells recognized in III-9c raw material costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Purchased CSPV cells recognized in III-9c raw material costs: | | | | | | | | |
| CSPV cells purchased from related suppliers | | | | | | | | |
| CSPV cells purchased from unrelated suppliers | | | | | | | | |
| Total cost of purchased CSPV cells recognized in III-9c raw material costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Other raw material costs recognized in III-9c raw material costs: | | | | | | | | |
| All other raw material costs | | | | | | | | |
| Total raw material costs ¹ (CSPV modules) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

¹ The total raw material costs calculated in this table will populate the raw material cost line item in table III-9c.

Note -- The table above contains calculations that will appear when you have entered data in the MS Word form fields.

III-9e. **CSPV modules variable and fixed costs.**--For the total COGS and total SG&A expenses reported for the most recently completed annual period in table III-9c, please estimate the share of variable and fixed costs for each category with the sum adding to 100 percent. The specified variable and fixed cost shares should be representative of the relevant range of production that the company could achieve under current capacity constraints.

| Item | Share of 2017: COGS (percent) | Share of 2017: SG&A (percent) |
|-------------------------------------|--|--|
| Share of costs that are.-- | | |
| Variable | % | % |
| Fixed | % | % |
| Total (should sum to 100.0%) | 0.0 % | 0.0 % |

III-9f. **Financial data reconciliation.**--The calculable line items from question III-9a and III-9c (i.e., total net sales quantities and values, total COGS, gross profit (or loss), total SG&A, and net income (or loss)) have been calculated from the data submitted in the other line items. Do the calculated fields return the correct data according to your firm's financial records ignoring non-material differences that may arise due to rounding?

Yes No--If the calculated fields do not show the correct data, please double check the feeder data for data entry errors and revise.

Also, check signs accorded to the post operating income line items; the two expense line items should report positive numbers (i.e., expenses are positive and incomes or reversals are negative--instances of the latter should be rare in those lines) while the income line item also in most instances should have its value be a positive number (i.e., income is positive, expenses or reversals are negative).

If after reviewing and potentially revising the feeder data your firm has provided, the differences between your records and the calculated fields persist please identify and discuss the differences in the space below.

III-10. **Nonrecurring items (charges and gains) included in CSPV cells and/or CSPV modules financial results.**--For each annual and interim period for which financial results are reported in question III-9a (Operations on CSPV cells (commercial sales and transfers)) and/or III-9c (Operations on CSPV modules), please specify all material (significant) nonrecurring items (charges and gains) in the schedule below, the specific question III-9a and/or III-9c line item where the nonrecurring items are included, a brief description of the relevant nonrecurring items, and the associated values (*in \$1,000*), as reflected in question III-9a and/or III-9c; i.e., if an aggregate nonrecurring item has been allocated to question III-9a and/or III-9c, only the allocated value amount included in question III-9a and/or III-9c should be reported in the schedule below. Note: The Commission's objective here is to gather information only on material (significant) nonrecurring items which impacted the reported financial results of the subject product in question III-9a and/or III-9c.

| Value (\$1,000) | | | | | | | | |
|---|----------------------|------|------|------|------|------|--------------|------|
| Item | Fiscal years ended-- | | | | | | January-June | |
| | 2012 | 2017 | 2018 | 2015 | 2016 | 2017 | 2017 | 2018 |
| III-9a--Operations on CSPV cells (commercial sales and transfers): | | | | | | | | |
| Nonrecurring item 1 | | | | | | | | |
| Nonrecurring item 2 | | | | | | | | |
| Nonrecurring item 3 | | | | | | | | |
| Nonrecurring item 4 | | | | | | | | |
| Nonrecurring item 5 | | | | | | | | |
| Nonrecurring item 6 | | | | | | | | |
| Nonrecurring item 7 | | | | | | | | |
| III-9c--Operations on CSPV modules: | | | | | | | | |
| Nonrecurring item 1 | | | | | | | | |
| Nonrecurring item 2 | | | | | | | | |
| Nonrecurring item 3 | | | | | | | | |
| Nonrecurring item 4 | | | | | | | | |
| Nonrecurring item 5 | | | | | | | | |
| Nonrecurring item 6 | | | | | | | | |
| Nonrecurring item 7 | | | | | | | | |

Continued on following page.

III-10. Nonrecurring items (charges and gains) included in CSPV cells and/or CSPV modules financial results.--Continued

Nonrecurring item: In this table please provide a brief description of each nonrecurring item reported above and indicate the specific line item in table III-9a and/or III-9c where the nonrecurring item is classified.

| | Description of the nonrecurring item | Income statement classification of the nonrecurring item |
|---|--------------------------------------|--|
| III-9a--Operations on CSPV cells (commercial sales and transfers): | | |
| Nonrecurring item 1 | | |
| Nonrecurring item 2 | | |
| Nonrecurring item 3 | | |
| Nonrecurring item 4 | | |
| Nonrecurring item 5 | | |
| Nonrecurring item 6 | | |
| Nonrecurring item 7 | | |
| III-9c--Operations on CSPV modules: | | |
| Nonrecurring item 1 | | |
| Nonrecurring item 2 | | |
| Nonrecurring item 3 | | |
| Nonrecurring item 4 | | |
| Nonrecurring item 5 | | |
| Nonrecurring item 6 | | |
| Nonrecurring item 7 | | |

III-11. Classification of identified nonrecurring items (charges and gains) in the accounting books and records of the company.--If non-recurring items were reported in question III-10 above, please identify where your company recorded these items in your accounting books and records in the normal course of business; i.e., just as responses to question III-10 identify where these items are reported in question III-9a and/or III-9c.

III-12. **Asset values.**--Report the total assets (i.e., both current and long-term assets) associated with the production, warehousing, and sale of CSPV cells and CSPV modules. If your firm does not maintain some or all of the specific asset information necessary to calculate total assets for CSPV cells and/or CSPV modules in the normal course of business, please estimate this information based upon a method (such as production, sales, or costs) that is consistent with relevant cost allocations in questions III-9a and/or III-9c. Provide data as of the end of your firm's six most recently completed fiscal years. Companies whose fiscal years are not calendar years should report the fiscal years which most closely correspond to calendar years 2012 through 2017.

Note: Total assets should reflect net assets after any accumulated depreciation and allowances deducted. Total assets should be allocated to CSPV products if these assets are also related to other non-CSPV products. Assets used in the production of CSPV cells should be further allocated to CSPV cells for commercial sales and/or transfer and CSPV cells for internal consumption. In the notes to the table below, please provide a brief explanation if there were any substantial changes in total asset value during the period; e.g., due to asset write-offs, revaluation, and/or major capital equipment purchases.

| Item | Value (in \$1,000) | | | | | |
|--|----------------------|------|------|------|------|------|
| | Fiscal years ended-- | | | | | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 |
| CSPV cell assets (net):-- | | | | | | |
| Used for commercial sales & transfers ¹ | | | | | | |
| Used for internal consumption ¹ | | | | | | |
| Total CSPV cell assets (net) ² | | | | | | |
| Total CSPV modules (net) ³ | | | | | | |
| ¹ Please allocate the total dollar amount of your firm's CSPV cell assets <u>separately</u> for commercially sold and/or transferred CSPV cells (reported in question III-9a) and internally consumed CSPV cells (reported in III-9c and III-9d). | | | | | | |
| ² Describe assets used for CSPV cells and explain substantial changes: _____ | | | | | | |
| ³ Describe assets used for CSPV modules and explain substantial changes: _____ | | | | | | |

III-13. **Capital expenditures and research and development ("R&D") expenses.**--Report your firm's capital expenditures and R&D for CSPV cells and CSPV modules. Provide data for your firm's six most recently completed fiscal years and the specified interim periods. Companies whose fiscal years are not calendar years should report the fiscal years which most closely correspond to calendar years 2012 through 2017.

| Value (in \$1,000) | | | | | | | | |
|--|----------------------|------|------|------|------|------|--------------|------|
| Item | Fiscal years ended-- | | | | | | January-June | |
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| CSPV cells: | | | | | | | | |
| Capital expenditures ¹ | | | | | | | | |
| R&D expenses ² | | | | | | | | |
| CSPV modules: | | | | | | | | |
| Capital expenditures ³ | | | | | | | | |
| R&D expenses ⁴ | | | | | | | | |
| ¹ Please describe the nature, focus, and significance of your firm's capital expenditures on CSPV cells. _____ ² Please describe the nature, focus, and significance of your firm's R&D expenses related to CSPV cells. _____ ³ Please describe the nature, focus, and significance of your firm's capital expenditures on CSPV modules. _____ ⁴ Please describe the nature, focus, and significance of your firm's R&D expenses related to CSPV modules. _____ | | | | | | | | |

III-14. **Data consistency and reconciliation.**--Please indicate whether your firm's financial data for questions III-9a, III-9c, III-12, and III-13 are based on a calendar year or your firm's fiscal year:

| Calendar year | Fiscal year | Specify fiscal year |
|--------------------------|--------------------------|---------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | |

Please note the quantities and values reported in question III-9a and/or III-9c should reconcile with the data reported in question II-8 and/or II-11 (including export shipments) as long as they are reported on the same calendar year basis.

Continued on following page.

III-14. **Data consistency and reconciliation.**--Continued

RECONCILIATION OF TRADE VS FINANCIAL DATA.--Please ensure that the quantities and values reported for total shipments in part II (questions II-5 and II-9) equal the quantities and values reported for total net sales in part III (questions III-9a and III-9c) of this questionnaire in each time period unless the financial data from part III are reported on a fiscal year basis, in which case only the interim periods must reconcile. If the calculated fields below return values other than zero (i.e., "0") and both are being reported on a calendar basis, please explain the discrepancy below.

CSPV cells (commercial sales and transfers only)

| Reconciliation | Full year data | | | | | | Partial year periods | |
|--|----------------|------|------|------|------|------|----------------------|------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Quantity: Trade data from question II-5 less financial data from question III-9a, = zero ("0"). | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Value: Trade data from question II-5 less financial data from question III-9a, = zero ("0"). | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Do these data in question III-9a (CSPV cells) reconcile with data in question II-5?

| Yes | No | If no, please explain. |
|--------------------------|--------------------------|------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | |

CSPV modules (commercial sales, internal consumption, and transfers)

| Reconciliation | Full year data | | | | | | Partial year periods | |
|---|----------------|------|------|------|------|------|----------------------|------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2017 | 2018 |
| Quantity: Trade data from question II-9 less data from question III-9c, = zero ("0"). | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Value: Trade data from question II-9 less financial data from question III-9c, = zero ("0"). | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Do these data in question III-9c (CSPV modules) reconcile with data in question II-9?

| Yes | No | If no, please explain. |
|--------------------------|--------------------------|------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | |

III-15. **Other explanations.**--If your firm would like to further explain a response to a question in Part III that did not provide a narrative box, please note the question number and the explanation in the space provided below. Please also use this space to highlight any issues your firm had in providing the data in this section, including but not limited to technical issues with the MS Word questionnaire.

PART IV.--PRICING AND MARKET FACTORS

Further information on this part of the questionnaire can be obtained from James Horne (202-205-2722, James.Horne@usitc.gov).

IV-1. **Contact information.**--Please identify the responsible individual and the manner by which Commission staff may contact that individual regarding the confidential information submitted in part IV.

| | |
|-----------|--|
| Name | |
| Title | |
| Email | |
| Telephone | |

PRICE DATA

IV-2. This question requests quarterly quantity and value data for your firm's commercial shipments to unrelated U.S. customers of the following products produced by your firm.

Product 1.-- 60 cell multicrystalline silicon module, with a the peak power wattage between 240w to 265w, inclusive, p-max or Wp

Product 2.-- 60 cell multicrystalline silicon module, with a peak power wattage between 266w to 290w, inclusive, P-max or Wp

Product 3.-- 60 cell monocrystalline silicon module, with a peak power wattage between 250w to 280w, inclusive, P-max or Wp

Product 4.-- 60 cell monocrystalline silicon module, with a peak power wattage between 281w to 310w, inclusive, P-max or Wp

Product 5.-- 72 cell multicrystalline silicon module, with a peak power wattage between 290w to 315w, inclusive, P-max or Wp

Product 6.-- 72 cell multicrystalline silicon module, with a peak power wattage between 316w to 340w, inclusive, P-max or Wp

Product 7.-- 72 cell monocrystalline silicon module, with a peak power wattage between 300w to 330w, inclusive, P-max or Wp

Product 8.-- 72 cell monocrystalline silicon module, with a peak power wattage between 331w to 360w, inclusive, P-max or Wp

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

(a) During January 2012-June 2018, did your firm produce and sell to unrelated U.S. customers any of the above listed products (or any products that were competitive with these products)?

| | |
|--------------------------|---|
| <input type="checkbox"/> | Yes. --Please complete the following pricing data table(s) as appropriate. |
| <input type="checkbox"/> | No. --Skip to question IV-3. |

IV-2(b). **Price data.**--Report below the quarterly price data¹ for pricing products² produced and sold by your firm.

Report data in **kilowatts** and **actual dollars** (not 1,000s).

| (Quantity in kilowatts, value in dollars) | | | | | | | | |
|---|-----------|-------|-----------|-------|-----------|-------|-----------|-------|
| Period of shipment | Product 1 | | Product 2 | | Product 3 | | Product 4 | |
| | Quantity | Value | Quantity | Value | Quantity | Value | Quantity | Value |
| 2012: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2013: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2014: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2015: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2016: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2017: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2018: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |

¹ Net values (i.e., gross sales values less all discounts, allowances, rebates, prepaid freight, and the value of returned goods), f.o.b. your firm's U.S. point of shipment.

² Pricing product definitions are provided on the first page of Part III.

Note.--If your firm's product does not exactly meet the product specifications but is competitive with the specified product, provide a description of the product. Also, please explain any anomalies in your firm's reported pricing data.

Product 1:

Product 2:

Product 3:

Product 4:

IV-2(b). Continued

| <i>(Quantity in kilowatts, value in dollars)</i> | | | | | | | | |
|--|-----------|-------|-----------|-------|-----------|-------|-----------|-------|
| Period of shipment | Product 5 | | Product 6 | | Product 7 | | Product 8 | |
| | Quantity | Value | Quantity | Value | Quantity | Value | Quantity | Value |
| 2012: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2013: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2014: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2015: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2016: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2017: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |
| Jul-Sep | | | | | | | | |
| Oct-Dec | | | | | | | | |
| 2018: | | | | | | | | |
| Jan-Mar | | | | | | | | |
| Apr-Jun | | | | | | | | |

¹ Net values (i.e., gross sales values less all discounts, allowances, rebates, prepaid freight, and the value of returned goods), f.o.b. your firm's U.S. point of shipment.

² Pricing product definitions are provided on the first page of Part III.

Note.--If your firm's product does not exactly meet the product specifications but is competitive with the specified product, provide a description of the product. Also, please explain any anomalies in your firm's reported pricing data.

Product 5:
 Product 6:
 Product 7:
 Product 8:

IV-2(c). **Price data checklist.**--Please check that the pricing data in question IV-2(a) has been correctly reported.

| Is the price data reported above: | ✓ if Yes |
|--|--------------------------|
| In actual dollars (not \$1,000)? | <input type="checkbox"/> |
| F.o.b. U.S. point of shipment (i.e., does not include U.S. transport costs)? | <input type="checkbox"/> |
| Net of all discounts and rebates? | <input type="checkbox"/> |
| Have returns credited to the quarter in which the sale occurred? | <input type="checkbox"/> |
| Less than reported commercial shipments in question II-9 in each year? | <input type="checkbox"/> |

IV-2(d). **Pricing data methodology.**--Please describe the method and the kinds of documents/records that were used to compile your price data.

Note: As requested in Part I of this questionnaire, please keep all supporting documents/records used in the preparation of the price data, as Commission staff may contact your firm regarding questions on the price data. The Commission may also request that your company submit copies of the supporting documents/records (such as sales journal, invoices, etc.) used to compile these data.

IV-3. **Price setting.**--How does your firm determine the prices that it charges for sales CSPV cells and modules (*check all that apply*)? If your firm issues price lists, please submit sample pages of a recent list.

| Transaction by transaction | Contracts | Set price lists | Other | If other, describe |
|----------------------------|--------------------------|--------------------------|--------------------------|--------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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

| Quantity discounts | Annual total volume discounts | No discount policy | Other | Describe |
|--------------------------|-------------------------------|--------------------------|--------------------------|----------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-5. **Pricing terms.--**

(a) What are your firm's typical sales terms for its U.S.-produced CSPV cells and modules?

| Net 30 days | Net 60 days | 2/10 net 30 days | Other | Other (specify) |
|--------------------------|--------------------------|--------------------------|--------------------------|-----------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

(b) On what basis are your firm's prices of domestic CSPV cells and modules usually quoted (check one)?

| Delivered | F.o.b. | If f.o.b., specify point |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | |

IV-6. **Contract versus spot.--**Approximately what share of your firm's sales of its U.S.-produced CSPV cells and modules in 2017 was on a (1) long-term contract basis, (2) annual contract basis, (3) short-term contract basis, and (4) spot sales basis?

| | Type of sale | | | | Total (should sum to 100.0%) |
|---|---|--|--|------------------------------------|------------------------------|
| | Long-term contracts (multiple deliveries for more than 12 months) | Annual contracts (multiple deliveries for 12 months) | Short-term contracts (multiple deliveries for less than 12 months) | Spot sales (for a single delivery) | |
| Share of your 2017 sales (CSPV cells) | % | % | % | % | 0.0 % |
| Share of your 2017 sales (CSPV modules) | % | % | % | % | 0.0 % |

IV-7. **Contract provisions.**--Please fill out the table regarding your firm's typical sales contracts for U.S.-produced CSPV cells and modules (or check "not applicable" if your firm does not sell on a long-term, short-term and/or annual contract basis).

| Typical sales contract provisions | Item | Short-term contracts (multiple deliveries for less than 12 months) | Annual contracts (multiple deliveries for 12 months) | Long-term contracts (multiple deliveries for more than 12 months) |
|--|--------------------|--|--|--|
| Average contract duration | <i>No. of days</i> | | 365 | |
| Price renegotiation (during contract period) | <i>Yes</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <i>No</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Fixed quantity and/or price | <i>Quantity</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <i>Price</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <i>Both</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Meet or release provision | <i>Yes</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <i>No</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Not applicable | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

IV-8. **Lead times.**--What is the typical lead time between a customer's order and the date of delivery for your firm's sales of its U.S.-produced CSPV cells and modules?

| Source | Share of 2017 sales | Lead time (Average number of days) |
|-------------------------------------|----------------------------|---|
| From inventory | % | |
| Produced to order | % | |
| Total (should sum to 100.0%) | 0.0 % | |

IV-9. Shipping information.--

- (a) What is the approximate percentage of the cost of U.S.-produced CSPV cells and modules that is accounted for by U.S. inland transportation costs? _____ %
- (b) Who generally arranges the transportation to your firm's customers' locations?
 Your firm Purchaser (*check one*)
- (c) Indicate the approximate percentage of your firm's sales of CSPV cells and modules that are delivered the following distances from your firm's production facility.

| Distance from production facility | Share |
|--|--------------|
| Within 100 miles | % |
| 101 to 1,000 miles | % |
| Over 1,000 miles | % |
| Total (should sum to 100.0%) | 0.0 % |

IV-10. **Geographical shipments.**-- In which U.S. geographic market area(s) has your firm sold its U.S.-produced CSPV cells and modules since January 1, 2012 (check all that apply)?

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

IV-11. **End uses.**--

- (a) Estimate the percent of your total production cost that is accounted for by CSPV cells and by other inputs (such as labor, energy, and other raw materials) in modules.?)

| End use product | Share of total cost of end use product accounted for by | | Total (should sum to 100.0% across) |
|-----------------|---|--------------|--|
| | CSPV Cells | Other inputs | |
| Module | % | % | 0.0 % |

- (a) For products you make using CSPV modules, please estimate the percent of your total production cost that is accounted for by CSPV modules and by other inputs (such as labor, energy, and other raw materials).

| End use product | Share of total cost of end use product accounted for by | | Total (should sum to 100.0% across) |
|----------------------------------|---|--------------|--|
| | CSPV Modules | Other inputs | |
| Residential system | % | % | 0.0 % |
| Commercial system | % | % | 0.0 % |
| Utility system | % | % | 0.0 % |
| Off grid portable consumer goods | % | | 0.0 % |

- (c) Have there been any changes in the end uses of CSPV cells and modules since January 1, 2012? Do you anticipate any future changes?

| Changes in end uses | No | Yes | Explain |
|-------------------------------|--------------------------|--------------------------|---------|
| Changes since January 1, 2012 | <input type="checkbox"/> | <input type="checkbox"/> | |
| Anticipated changes | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-12. **Substitutes.--**

(a) Are thin film solar products considered substitutes for CSPV cells and modules in the same end use(s)?

| Substitutes | Are these considered substitutes in the market? | | End use(s) in which this substitute is used | Have changes in the price of this substitute affected the price for CSPV cells and modules? | | |
|--------------------------|---|--------------------------|---|---|--------------------------|-------------|
| | No | Yes | | No | Yes | Explanation |
| Thin film solar products | <input type="checkbox"/> | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | |

(b) Can other products not already listed in part "a" of this question be substituted for CSPV cells and modules?

No Yes--Please fill out the table.

| | Other substitutes | End use in which this substitute is used | Have changes in the price of this substitute affected the price for CSPV cells and modules? | | |
|----|-------------------|--|---|--------------------------|-------------|
| | | | No | Yes | Explanation |
| 1. | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. | | | <input type="checkbox"/> | <input type="checkbox"/> | |

(c) Have there been any changes in the number or types of products that can be substituted for CSPV cells and modules since January 1, 2012? Do you anticipate any future changes?

| Changes in substitutes | No | Yes | Explain |
|-------------------------------|--------------------------|--------------------------|---------|
| Changes since January 1, 2012 | <input type="checkbox"/> | <input type="checkbox"/> | |
| Anticipated changes | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-13. Availability of supply.--Has the availability of CSPV cells and modules in the U.S. market changed since January 1, 2012? Do you anticipate any future changes?

| Availability in the U.S. market | No | Yes | Please explain, noting the countries and reasons for the changes. |
|---------------------------------------|--------------------------|--------------------------|---|
| Changes since January 1, 2012: | | | |
| U.S.-produced product | <input type="checkbox"/> | <input type="checkbox"/> | |
| Imports from China | <input type="checkbox"/> | <input type="checkbox"/> | |
| Imports from all other countries | <input type="checkbox"/> | <input type="checkbox"/> | |
| Anticipated changes: | | | |
| U.S.-produced product | <input type="checkbox"/> | <input type="checkbox"/> | |
| Imports from China | <input type="checkbox"/> | <input type="checkbox"/> | |
| Imports from all other countries | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-14. Demand trends.-- Indicate how demand within the United States and outside of the United States (if known) for CSPV cells and modules has changed since January 1, 2012, and how you anticipate demand will change in the future. Explain any trends and describe the principal factors that have affected, and that you anticipate will affect, these changes in demand.

| Market | Overall increase | No change | Overall decrease | Fluctuate with no clear trend | Explanation and factors |
|--|--------------------------|--------------------------|--------------------------|-------------------------------|-------------------------|
| Demand since January 1, 2012 | | | | | |
| Within the United States (Residential) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Within the United States (Utility) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Outside the United States | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Anticipated future demand | | | | | |
| Within the United States (Residential) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Within the United States (Utility) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Outside the United States | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-15. **Product changes.**--Have there been any significant changes in the product range, product mix, or marketing of CSPV cells and modules since January 1, 2012? Do you anticipate any future changes?

| Changes in product range, product mix, or marketing | No | Yes | Explain |
|--|--------------------------|--------------------------|----------------|
| Changes since January 1, 2012 | <input type="checkbox"/> | <input type="checkbox"/> | |
| Anticipated changes | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-16. **Conditions of competition.**--

(a) Are CSPV cells and modules market subject to business cycles (other than general economy-wide conditions) and/or other conditions of competition distinctive to CSPV cells and modules?

| Check all that apply. | Please describe. |
|---|-------------------------|
| <input type="checkbox"/> No | Skip to question IV-17. |
| <input type="checkbox"/> Yes-Business cycles (e.g. seasonal business) | |
| <input type="checkbox"/> Yes-Other distinctive conditions of competition | |

(b) If yes, have there been any changes in the business cycles or conditions of competition for CSPV cells and modules since January 1, 2012?

| No | Yes | If yes, describe. |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | |

IV-17. Government Incentives.--

- (a) Indicate how the level or availability of government incentives for CSPV cells and modules has affected demand for CSPV has changed since January 1, 2012, and how you anticipate demand will change in the future based on the level or availability of government incentives? In the last column, list or describe the principal incentive programs (e.g., Section 1603 program, Renewable Portfolio Standards, or California Solar Initiative) whose change in level or availability might affect demand.

| Market | Overall increase | No change | Overall decrease | Fluctuate with no clear trend | Explanation and factors |
|---------------------------------------|--------------------------|--------------------------|--------------------------|-------------------------------|-------------------------|
| Demand since January 1, 2012 | | | | | |
| State and local government incentives | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Federal government incentives | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Anticipated future demand | | | | | |
| State and local government incentives | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Federal government incentives | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

- (b) How have changes in the availability of government incentives affected the price of solar generated electricity since January 1, 2012? Explain any trends and describe the principal factors that might affect these changes in price

| Overall price increase | No Change in price | Overall price decrease | Fluctuate with no clear trend | Explanation and factors |
|--------------------------|--------------------------|--------------------------|-------------------------------|-------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-18. Impact of the section 201 safeguard on firm and market.—

(a) Did the announcement on January 22, 2018 and subsequent implementation of remedies in the section 201 safeguard proceeding have any discernible impact on your firm's CSPV cell and module operations and/or the market as a whole? Include in this discussion the impact of the 2.5 GW exemption and tariff-rate quotas for CSPV cells if applicable.

No Yes--Please specify.

| Item | Response |
|--|----------|
| Impact on firm ¹ | |
| Impact on overall market ² | |
| ¹ Please identify the magnitude and timing of any effects, and compare your firm's operations before and after the announcement of the safeguard measures on January 22, 2018. ² Please identify the magnitude and timing of any effects, and compare the overall market before and after the announcement of the safeguard measures on January 22, 2018. | |

(b) **Assessment of specific impacts of the section 201 safeguard.**--Please indicate the impact that your firm has observed with regards to the announcement on January 22, 2018 and subsequent implementation of remedies in the section 201 safeguard proceeding.

| Item | Overall improve | No change | Overall worsen | Fluctuate with no clear trend | Explanation and factors |
|--|--------------------------|--------------------------|--------------------------|-------------------------------|-------------------------|
| Overall demand for CSPV cells and modules in the U.S. market | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Prices for CSPV cells and modules in the U.S. market | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Impact on your firm's CSPV cell and module operations in the United States | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

(b) Changes to forward looking outlook due to the section 201 safeguard.--What impact did the announcement on January 22, 2018 and subsequent implementation of remedies in the section 201 safeguard proceeding have on your firm's forward-looking outlook?

| Item | Strongly worsened | Somewhat worsened | No change | Somewhat improved | Strongly improved |
|--------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Firm's forward looking outlook | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Narrative explanation:

IV-19. Conventional energy sources.--

(a) How have prices of electricity generated from U.S. conventional energy sources such as natural gas and coal impacted demand for CSPV cells and modules (whether or not partially or fully assembled into other products) in each sector below since January 1, 2012? Describe the principal factors that have affected these changes in demand.

| Market | Overall increase | No change | Overall decrease | Fluctuate with no clear trend | Factors |
|-------------|--------------------------|--------------------------|--------------------------|-------------------------------|---------|
| Residential | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Commercial | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Utility | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

(b) How have changes in the price of electricity generated from U.S. conventional energy sources affected the price of solar generated electricity since January 1, 2012? Explain any trends and describe the principal factors that have affected these changes in price.

| Overall price increase | No Change in price | Overall price decrease | Fluctuate with no clear trend | Explanation and factors |
|--------------------------|--------------------------|--------------------------|-------------------------------|-------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-20. Supply constraints.--Has your firm refused, declined, or been unable to supply CSPV cells and modules since January 1, 2012 (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, being unable to meet timely shipment commitments, etc.)?

| No | Yes | If yes, please describe. |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | |

IV-21. **Raw materials.**--Indicate how CSPV cells and modules raw material prices have changed since January 1, 2012, and how you expect they will change in the future.

| Raw materials prices | Overall increase | No change | Overall decrease | Fluctuate with no clear trend | Explain, noting how raw material price changes have affected your firm's selling prices for CSPV cells and modules. |
|-------------------------------|--------------------------|--------------------------|--------------------------|-------------------------------|---|
| Changes since January 1, 2012 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Anticipated changes | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

IV-22. **Price comparisons.**--Please compare market prices of CSPV cells and modules in U.S. and non-U.S. markets, if known. Provide specific information as to time periods and regions for any price comparisons.

IV-23. **Market studies.**--Please provide as a separate attachment to this request any studies, surveys, etc. that you are aware of that quantify and/or otherwise discuss CSPV cells and modules supply (including production capacity and capacity utilization) and demand in (1) the United States, (2) each of the other major producing/consuming countries, including China, and (3) the world as a whole. Of particular interest is such data from 2012 to the present and forecasts for the future.

IV-24. **Export constraints.**--Describe how easily your firm can shift its sales of CSPV cells and modules between the U.S. market and alternative country markets. In your discussion, please describe any contracts, other sales arrangements, or other constraints that would prevent or retard your firm from shifting cells and modules between the U.S. and alternative country markets within a 12-month period.

IV-25. **Barriers to trade.**--Are your firm's exports of CSPV cells and modules subject to any tariff or non-tariff barriers to trade in other countries?

| | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | |
|--------------------------|--------------------------|--|

IV-26. **Interchangeability.**—Are CSPV cells and modules produced in the United States and in other countries interchangeable (i.e., can they physically be used in the same applications)?

Please indicate A, F, S, N, or O in the table below:

A = the products from a specified country-pair are *always* interchangeable

F = the products are *frequently* interchangeable

S = the products are *sometimes* interchangeable

N = the products are *never* interchangeable

O = *no familiarity* with products from a specified country-pair

| Country-pair | China | Other countries |
|---|-------|-----------------|
| United States | | |
| China | | |
| For any country-pair producing CSPV cells and modules that is <i>sometimes</i> or <i>never</i> interchangeable, identify the country-pair and explain the factors that limit or preclude interchangeable use: | | |

IV-27. **Factors other than price.**--Are differences other than price (e.g., quality, availability, transportation network, product range, technical support, etc.) between CSPV cells and modules produced in the United States and in other countries a significant factor in your firm's sales of the products?

Please indicate A, F, S, N, or O in the table below:

A = such differences are *always* significant

F = such differences are *frequently* significant

S = such differences are *sometimes* significant

N = such differences are *never* significant

O = *no familiarity* with products from a specified country-pair

| Country-pair | China | Other countries |
|--|-------|-----------------|
| United States | | |
| China | | |
| For any country-pair for which factors other than price <i>always</i> or <i>frequently</i> are a significant factor in your firm's sales of CSPV cells and modules, identify the country-pair and report the advantages or disadvantages imparted by such factors: | | |

IV-28. **Other explanations.**--If your firm would like to further explain a response to a question in Part IV that did not provide a narrative response box, please note the question number and the explanation in the space provided below. Please also use this space to highlight any issues your firm had in providing the data in this section, including but not limited to technical issues with the MS Word questionnaire.

| |
|--|
| |
|--|

HOW TO FILE YOUR QUESTIONNAIRE RESPONSE

This questionnaire is available as a “fillable” form in MS Word format on the Commission’s website at:

https://usitc.gov/investigations/701731/2017/crystalline_silicon_photovoltaic_cells_and_modules/first_review_full.htm

Please do not attempt to modify the format or permissions of the questionnaire document. Please submit the completed questionnaire using one of the methods noted below. If your firm is unable to complete the MS Word questionnaire or cannot use one of the electronic methods of submission, please contact the Commission for further instructions.

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

Web address: <https://dropbox.usitc.gov/oinv/> **Pin:** **CSPV1**

- **E-mail.**—E-mail the MS Word questionnaire to mary.messer@usitc.gov; include a scanned copy of the signed certification page (page 1). *Submitters are strongly encouraged to encrypt nonpublic documents that are electronically transmitted to the Commission to protect your sensitive information from unauthorized disclosure. The USITC secure drop-box system and the Electronic Document Information System (EDIS) use Federal Information Processing Standards (FIPS) 140-2 cryptographic algorithms to encrypt data in transit. Submitting your nonpublic documents by a means that does not use these encryption algorithms (such as by email) may subject your firm’s nonpublic information to unauthorized disclosure during transmission. If you choose a non-encrypted method of electronic transmission, the Commission warns you that the risk of such possible unauthorized disclosure is assumed by you and not by the Commission.*

If your firm does not produce this product, please fill out page 1, print, sign, and submit a scanned copy to the Commission.

Parties to this proceeding.—If your firm is a party to this proceeding, it is required to serve a copy of the completed questionnaire on parties to the proceeding that are subject to administrative protective order (see 19 CFR § 207.7). A list of such parties may be obtained from the Commission’s Secretary (202-205-1803). A certificate of service must accompany the completed questionnaire you submit (see 19 CFR § 207.7). Service of the questionnaire must be made in paper form.