

**MANDATORY — CONFIDENTIAL**

SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES

FORM BE-13 Claim for Exemption

If you received a letter from BEA with a Lead_ID, please enter it here:

005 3

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

Fax reports to: (301) 278-9504

Mail reports to: U.S. Department of Commerce
Bureau of Economic Analysis
Direct Investment Division, BE-49(NI)
4600 Silver Hill Road
Washington, DC 20233

Deliver reports to: U.S. Department of Commerce
Bureau of Economic Analysis
Direct Investment Division, BE-49(NI)
4600 Silver Hill Road
Suitland, MD 20746

Assistance: E-mail: be13@bea.gov
Telephone: (301) 278-9419
Copies of form: www.bea.gov/be13

Definitions: Selected terms are defined on page 2.

Name and mailing address of U.S. Business Enterprise010 Company Name
1011 In Care Of
1012 Attention
1013 Street 1
1014 Street 2
1015 City
1State
2Zip
3Country
4**WHO MUST REPORT:**

A U.S. business enterprise, whether or not contacted by BEA, that meets all requirements for filing forms BE-13A, BE-13B, or BE-13D except the \$40 million reporting threshold

A U.S. business enterprise that was contacted by BEA but does not meet the requirements for filing forms BE-13A, BE-13B, or BE-13D

DUE DATE:

No later than 45 calendar days after the transaction occurred

No later than 45 calendar days after contacted by BEA

Purpose: The BE-13 survey collects data on the acquisition or establishment of U.S. business enterprises by foreign investors and the expansion of existing U.S. affiliates of foreign companies to establish a new production facility. The data collected on the survey are used to measure the amount of new foreign direct investment in the United States, assess the impact on the U.S. economy, and based on this assessment, make informed policy decisions regarding foreign direct investment in the United States.

Authority: This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended), hereinafter "the Act", and the filing of reports is MANDATORY pursuant to Section 5(b)(2) of the Act (22 U.S.C. 3104). The implementing regulations are contained in 15 CFR Part 801.

Penalties: Whoever fails to report may be subject to a civil penalty of not less than \$4,450, and not more than \$44,539, and to injunctive relief commanding such person to comply, or both. Whoever willfully fails to report shall be fined not more than \$10,000 and, if an individual, may be imprisoned for not more than one year, or both. Any officer, director, employee, or agent of any corporation who knowingly participates in such violation, upon conviction, may be punished by a like fine, imprisonment, or both (22 U.S.C. 3105). Civil penalties are subject to inflationary adjustments. Those adjustments are found in 15 CFR 6.4.

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

Respondent burden: Public reporting burden for this BE-13 Claim for Exemption form is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing burden, to: Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, 4600 Silver Hill Road, Washington, DC 20233; and to the Office of Management and Budget, Paperwork Reduction Project 0608-0035, Washington, DC 20503.

Confidentiality: The Act provides that your report to this Bureau is CONFIDENTIAL and may be used only for analytical or statistical purposes. Without your prior written permission, the information filed in your report CANNOT be presented in a manner that allows it to be individually identified. Your report CANNOT be used for purposes of taxation, investigation, or regulation. Copies retained in your files are immune from legal process. Per the Cybersecurity Enhancement Act of 2015, your data are protected from cybersecurity risks through security monitoring of the BEA information systems.

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DEFINITIONS

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

Affiliated foreign group means:

- (1) the foreign parent;
- (2) any foreign entity, proceeding up the foreign parent's ownership chain, that owns more than 50 percent of the entity below it, up to and including that entity which is not owned more than 50 percent by another foreign entity; AND
- (3) any foreign entity, proceeding down the ownership chain(s) of each of these members, which is owned more than 50 percent by the entity above it.

Business enterprise means any organization, association, branch, or venture that exists for profit-making purposes or to otherwise secure economic advantage, and ownership of any real estate that is not held for personal use.

Direct investment means the ownership or control, directly or indirectly, by one entity of 10 percent or more of the voting interest in a business enterprise.

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

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

Foreign parent is the FIRST entity incorporated outside the United States, proceeding up a chain of ownership, that has 10 percent or more voting interest (directly, and/or indirectly through existing U.S. affiliates) in the acquired, newly established, or expanding U.S. business enterprise.

Private fund refers to the same class of financial entities defined by the Securities and Exchange Commission as private funds on Form PF: "any issuer that would be an investment company as defined in section 3 of the Investment Company Act of 1940 but for section 3(c)(1) or 3(c)(7) of ... [that] Act."

Ultimate beneficial owner (UBO) means the entity, proceeding up the ownership chain that includes the foreign parent, which is not more than 50 percent owned or controlled by another entity.

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

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

Voting interest is the percent of ownership in the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.

- In a **general** or **limited partnership**, voting interest is presumed to be divided evenly between the general partners, and limited partners are presumed to have zero voting interest, unless otherwise stated in the partnership agreement.
- In the case of a **limited liability corporation (LLC)**, voting interest is presumed to be divided equally between the members (owners), unless otherwise stated in the articles of organization or in the operating agreement.

CONTACT INFORMATION

Provide information of person to consult about this report:

020	Name 1				
021	Street 1 1		Telephone Number 2	Extension 3	
022	Street 2 1		Fax Number 2		
023	City 1	State 2	Zip 3	E-mail Address 4	
	Country 5				

NOTE: BEA uses a Secure Messaging System to correspond with you via encrypted message to discuss questions relating to this form. We may use your e-mail address for survey-related announcements and to inform you about secure messages. When communicating with BEA by e-mail, please do not include any confidential business or personal information.

CERTIFICATION

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

024	Signature of Authorized Official		Date	Telephone Number 1	Extension 2
025	Name 1		Title 2	Fax Number 3	

BE-13 Claim for Exemption

Why is this U.S. business enterprise filing a claim for exemption from forms BE-13A, BE-13B, and BE-13D? Select one:

050

- 1** ☐ This U.S. business enterprise was contacted by BEA; however, there is no reporting requirement because there was no acquisition, establishment, or expansion by a foreign entity OR because a transaction occurred but did not result in a direct investment relationship. For more information for transactions that must be reported on a BE-13, please refer to the "Who Must Report" section on the BE-13A, BE-13B, and BE-13D forms.

3 ☐ Explanation (optional):

- 2** ☐ This U.S. business enterprise was contacted by BEA; however, the acquisition that occurred is not required to be reported since it represents U.S. real estate acquired and held exclusively for personal use and not for profit making purposes.
- A residence which is an owner's primary residence that is then leased by the owner while outside the United States, but which the owner intends to reoccupy, is considered real estate held for personal use and not subject to the reporting requirements.
 - Ownership of U.S. residential real estate by a corporation whose sole purpose is to hold the real estate for the personal use of the owner(s) of the corporation is considered to be real estate held for personal use and not subject to the reporting requirements.

- 3** ☐ This U.S. business enterprise was contacted by BEA; however, the acquisition that occurred is not required to be reported since it involves the acquisition of voting interest in an existing U.S. affiliate in which a foreign entity already owns 10 percent or more, directly or indirectly.

What is the BEA ID number, if known, used to file the BE-605, BE-12, or BE-15 forms for this existing U.S. affiliate?

2

- 4** ☐ This U.S. business enterprise was contacted by BEA; however, this new U.S. business enterprise is a holding company, AND is being set up solely for the purpose of acquiring or establishing at least one other U.S. business enterprise, AND the initial capitalization, including debt and equity, of the holding company is \$60 million or less, AND the acquisition or establishment will occur within 180 days of the creation of the holding company, AND the holding company will be dissolved after the acquisition or establishment.

NOTE: A BE-13 form will be required when the holding company acquires or establishes a U.S. business enterprise.

- 5** ☐ This U.S. business enterprise was contacted by BEA; however, there is no reporting requirement because the U.S. business enterprise is a private fund, AND the private fund does not own, directly or indirectly through another business enterprise, an operating company (a business enterprise that is not a private fund or a holding company) in which the foreign parent owns at least 10 percent of the voting interest (directly, or indirectly through another U.S. business enterprise), AND if the foreign parent owns the private fund indirectly (through one or more other U.S. business enterprises), there are no U.S. operating companies between the foreign parent and the indirectly-owned U.S. private fund.

NOTE: The foreign investment in the U.S. private fund may be required to be reported on Treasury International Capital (TIC) Surveys. Review reporting requirements for TIC surveys at www.treasury.gov/tic.

For more information regarding private funds visit www.bea.gov/privatefunds.

- 6** ☐ This U.S. business enterprise has not previously filed a BE-13, BE-605, BE-12, or BE-15 AND the voting interest in this U.S. business enterprise is owned to the extent of 50 percent or less by another U.S. business enterprise that is subject to the filing requirements of the BE-13A.

What is the name of the U.S. business enterprise that is filing the BE-13A?

051

1

PROCEED to question **2**.

- 7** ☐ The total cost of the acquisition, establishment, or expansion is \$40 million or less. The "total cost" consists of all actual and expected costs to all foreign parents' affiliated foreign groups and their U.S. affiliates, including costs funded through debt. *PROCEED* to question **2**.

If your answer to question **1** is 6 or 7, complete questions **2** through **13**.

If your answer to question **1** is 1, 2, 3, 4, or 5, you have completed this form. RETURN TO COVER PAGE FOR FILING INSTRUCTIONS.

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TRANSACTION INFORMATION

2 What was the total cost of the acquisition, establishment, or expansion? The "total cost" consists of all actual and expected costs to foreign parents' affiliated foreign groups and their U.S. affiliates, including costs funded through debt.099

1 Month Day Year

3 What date was the acquisition completed, the new legal entity established, or the expansion begun?101

4 On the date provided in **3**, what was the legal name of the acquired, newly established, or expanding U.S. business

105 1
enterprise

Notes (optional):

5 What type of transaction occurred? (See "Which BE-13 form do I file?" on www.bea.gov/be13 for more information.) Select one: 052 1

1 Acquisition of a U.S. business enterprise, segment, or operating unit.

When answering the following questions, report for the most recently completed fiscal year that ended on, or before, the acquisition date.

PROCEED to question **6**.

1 **2** Establishment of a new U.S. affiliate.

When answering the following questions, report projections for the end of the first full fiscal year of operations.

PROCEED to question **6**.

1 **4** Expansion of an existing U.S. affiliate.

When answering the following questions, report projections for the end of the first full fiscal year of operations.

Include only the data that pertain to the expansion, NOT the entire U.S. affiliate.

SKIP to and complete only questions **8** through **14**.

FINANCIAL AND OPERATING INFORMATION

If this information is not available, provide estimates and indicate as such in the notes section above.

For the acquired or newly established business enterprise, or the expansion, as of the fiscal year instructed by the response in **5**, what are the total:

		\$	Bil.	Mil.	Thous.	Dols.
6 Assets?	401	1				000
7 Liabilities?	402	1				000
8 Net income (loss) after provision income taxes?	404	1				000
9 Sales or gross operating revenues?	403	1				000

10 Number of employees when fully operating?

- Include all full-time and part-time employees in the United States on the payroll.
- Exclude contract workers and other workers not carried on the payroll.
- If a strike, or other interruption of operations, was in progress at the end of the year, report a number that represents normal operation.
- If the business enterprises' activity involves large seasonal variations, report a number that represents an average for the year.

Number of Employees

405 1

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FINANCIAL AND OPERATING INFORMATION

For the acquired or newly established business enterprise, or the expansion, as of the date specified by the response in **5** :

11 What is the U.S. business enterprise's four-digit industry classification?

Select the category below which best describes the industry in which the U.S. business enterprise, or expansion, had (or is expected to have) the largest amount of sales or gross operating revenues. (See list on page 6 or go to www.bea.gov/naics_2022 for detailed descriptions.)

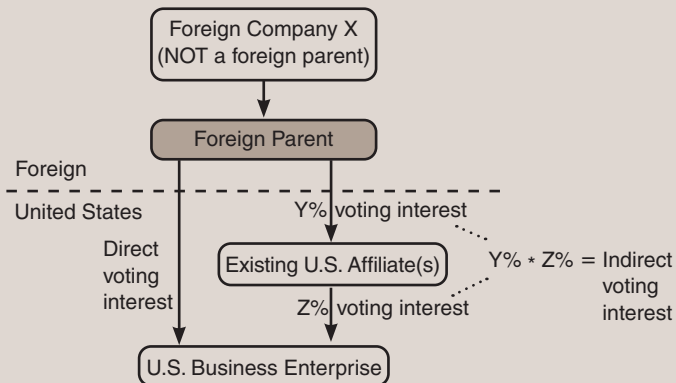
12 In which country is the U.S. business enterprise's foreign parent incorporated?

If the U.S. affiliate has more than one foreign parent, choose the country for the foreign parent with greatest control of the U.S. business enterprise. (See EXAMPLE 1 below and definition on page 2)

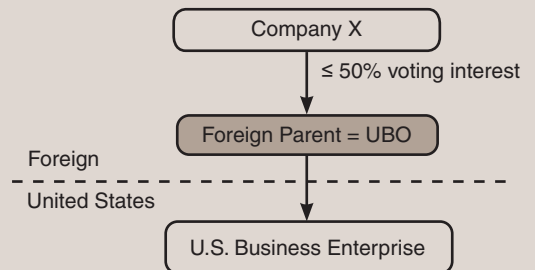
13 In which country is the U.S. business enterprise's ultimate beneficial owner (UBO) incorporated?

(See EXAMPLES 2 and 3 below and definition on page 2)

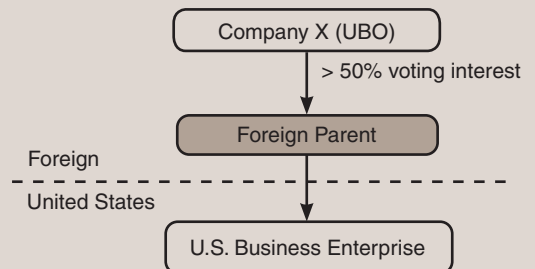
EXAMPLE 1. Foreign Parent



EXAMPLE 2. Foreign Parent is UBO



EXAMPLE 3. Foreign Parent is not UBO



14 In which state is the acquired or newly established U.S. business enterprise, or expansion, located?

- Select the state where the greatest number of employees are based.
 - For newly established U.S. business enterprises and expansions, select the state where the greatest number of employees will be based when fully operational.
- Only select the state of incorporation if there are no employees and no physical location.

RETURN TO COVER PAGE FOR FILING INSTRUCTIONS

Summary of Industry Classifications (ISI codes) – For a full explanation of each code see www.bea.gov/naics_2022

Agriculture, Forestry, Fishing, and Hunting

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

Mining

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

Utilities

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

Construction

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

Manufacturing

- 3111 Animal food manufacturing
- 3112 Grain and oilseed milling
- 3113 Sugar and confectionery products
- 3114 Fruit and vegetable preserving and specialty foods
- 3115 Dairy products
- 3116 Meat products
- 3117 Seafood product preparation and packaging
- 3118 Bakeries and tortilla manufacturing
- 3119 Other food products
- 3121 Beverages
- 3122 Tobacco
- 3130 Textile mills
- 3140 Textile product mills
- 3150 Apparel
- 3160 Leather and allied products
- 3210 Wood products
- 3221 Pulp, paper, and paperboard mills
- 3222 Converted paper products
- 3231 Printing and related support activities
- 3242 Integrated petroleum refining and extraction
- 3243 Petroleum refining without extraction
- 3244 Asphalt and other petroleum and coal products
- 3251 Basic chemicals
- 3252 Resins, synthetic rubbers, and artificial and synthetic fibers and filaments
- 3253 Pesticides, fertilizers, and other agricultural chemicals
- 3254 Pharmaceuticals and medicines
- 3255 Paints, coatings, and adhesives
- 3256 Soap, cleaning compounds, and toilet preparations
- 3259 Other chemical products and preparations
- 3261 Plastics products
- 3262 Rubber products
- 3271 Clay products and refractories
- 3272 Glass and glass products
- 3273 Cement and concrete products
- 3274 Lime and gypsum products
- 3279 Other nonmetallic mineral products
- 3311 Iron and steel mills
- 3312 Steel products from purchased steel
- 3313 Alumina and aluminum production and processing
- 3314 Nonferrous metal (except aluminum) production and processing
- 3315 Foundries
- 3321 Forging and stamping
- 3322 Cutlery and hand tools
- 3323 Architectural and structural metals
- 3324 Boilers, tanks, and shipping containers
- 3325 Hardware
- 3326 Spring and wire products
- 3327 Machine shop products, turned products, and screws, nuts, and bolts
- 3328 Coating, engraving, heat treating, and allied activities
- 3329 Other fabricated metal products
- 3331 Agriculture, construction, and mining machinery
- 3332 Industrial machinery
- 3333 Commercial and service industry machinery
- 3334 Ventilation, heating, air-conditioning, and commercial refrigeration equipment
- 3335 Metalworking machinery

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

Wholesale Trade, Durable Goods

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

Wholesale Trade, Nondurable Goods

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

Wholesale Trade, Electronic Markets and Agents and Brokers

- 4251 Wholesale trade agents and brokers

Retail Trade

- 4410 Motor vehicle and parts dealers
- 4440 Building material and garden equipment and supplies dealers
- 4450 Food and beverage retailers
- 4491 Furniture and home furnishings retailers
- 4492 Electronics and appliance retailers
- 4550 General merchandise retailers
- 4561 Health and personal care retailers
- 4571 Gasoline stations
- 4572 Fuel dealers
- 4580 Clothing, clothing accessories, shoe, and jewelry retailers
- 4591 Sporting goods, hobby, and musical instrument retailers
- 4592 Book retailers and news dealers
- 4596 Miscellaneous retailers

Transportation and Warehousing

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

Information

- 5121 Motion picture and video industries
- 5122 Sound recording industries
- 5131 Newspaper, periodical, book, and directory publishers
- 5132 Software publishers
- 5161 Radio and television broadcasting stations
- 5162 Media streaming distribution services, social networks, and other media networks and content providers
- 5171 Wired and wireless telecommunications (except satellite)
- 5174 Satellite telecommunications
- 5178 All other telecommunications
- 5182 Computing infrastructure providers, data processing, web hosting, and related services
- 5192 Web search portals, libraries, archives, and other information services

Finance and Insurance

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

Real Estate and Rental and Leasing

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

Professional, Scientific, and Technical Services

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

Management of Companies and Enterprises

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

Administrative and Support, Waste Management, and Remediation Services

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

Educational Services

- 6110 Educational services

Health Care and Social Assistance

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

Arts, Entertainment, and Recreation

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

Accommodation and Food Services

- 7210 Accommodation
- 7220 Food services and drinking places

Other Services

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

Public Administration

- 9200 Public administration