

**MANDATORY — CONFIDENTIAL***

SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES

FORM BE-13A

(Report for Acquisition of a U.S. Business Enterprise)

005 3

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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

Fax reports to: (301) 278-9504

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

Name and mailing address of U.S. Business Enterprise

010 Company Name
1

011 In Care Of
1

012 Attention
1

013 Street 1
1

014 Street 2
1

015 City
1

State
2

Zip
3

Country
4

Due date: No later than 45 calendar days after the acquisition is completed.

WHO MUST REPORT

A BE-13A report must be filed by a U.S. business enterprise when a foreign entity acquires a voting interest (directly, or indirectly through an existing U.S. affiliate) in that U.S. enterprise, segment, or operating unit, and

- (1) the total cost of the acquisition is greater than \$3 million, and
- (2) by this acquisition, at least 10 percent of the voting interest in the acquired entity is now held (directly, or indirectly through an existing U.S. affiliate) by the foreign entity.

INCLUDE:

- Purchase of U.S. real estate (including land) that is intended for lease or sale without significant added construction.
- Establishment of a new U.S. business enterprise, that will not be dissolved, for the sole purpose of completely acquiring a single U.S. business enterprise within 30 days after the establishment. Consolidate the new U.S. business enterprise with the acquired U.S. business enterprise on a single BE-13A report.

EXCLUDE:

- Purchase of U.S. real estate including land, or rights to land, on which you intend to perform construction. Report either as part of the establishment of a new U.S. affiliate (Form BE-13B) or as the expansion of an existing U.S. affiliate (Form BE-13D), whichever is applicable.
- Acquisition of additional voting interest in an existing U.S. affiliate in which a foreign entity already has a 10 percent voting interest. Report on Form BE-13 Claim for Exemption, only if contacted by BEA.
- Purchase of U.S. real estate to be held exclusively for personal use and not for profit-making purposes. Report on Form BE-13 Claim for Exemption, only if contacted by BEA.
- Certain private funds are exempt from filing Form BE-13A. Review exemption criteria on page 3, question 1, response option 5 of Form BE-13 Claim for Exemption.

OTHER BE-13 FORMS

Go to www.bea.gov/be13 for more information about other BE-13 forms.

Form BE-13B covers certain establishments of a new legal entity in the United States by a foreign entity.

Form BE-13D covers certain expansions of operations of existing U.S. affiliates.

Form BE-13E covers cost updates for previously filed Form BE-13B or BE-13D.

Form BE-13 Claim for Exemption covers certain transactions that are not required to be filed on Forms BE-13A, BE-13B, and BE-13D.

*See page 11 for penalties and confidentiality statements.

BE-13A – Instructions and Contact Information

INSTRUCTIONS

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

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

\$ Bil. Mil. Thous. Dols.

1 1 335 ,000

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

1 98.7%

Estimates: If actual amounts are not available, supply estimates and specify in the notes section.

Definitions: Underlined terms are defined on page 12.

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

Notes

This historical survey form is no longer valid
 and is for information purposes only.
 Current survey forms are at
www.bea.fov/help/information-for-survey-respondents.

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-13A – Acquisition Information

Consolidating the Acquired U.S. Entity

Consolidated reporting by the acquired U.S. entity (see EXAMPLE 1): The acquired U.S. business enterprise (A) must file Form BE-13A on a fully consolidated domestic U.S. basis. Include in the consolidation every U.S. business enterprise (B) and (C), proceeding down each ownership chain, whose voting interest is more than 50 percent owned by the U.S. business enterprise directly above.

Exclude from the full consolidation all minority-owned U.S. business enterprises (D) and all foreign business enterprises owned by this U.S. business enterprise; however, include them on an equity basis when reporting financial information on page 10.

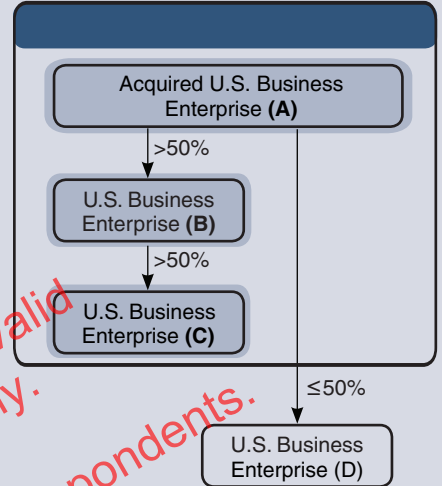
- A minority-owned U.S. business enterprise must file a Form BE-13 Claim for Exemption if the minority-owned U.S. business enterprise has not previously filed a BE-13, BE-605, BE-12, or BE-15.

Hereinafter the consolidated U.S. businesses are considered to be the **'acquired U.S. entity'**.

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.

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. Voting interest may not equal equity interest.

EXAMPLE 1.

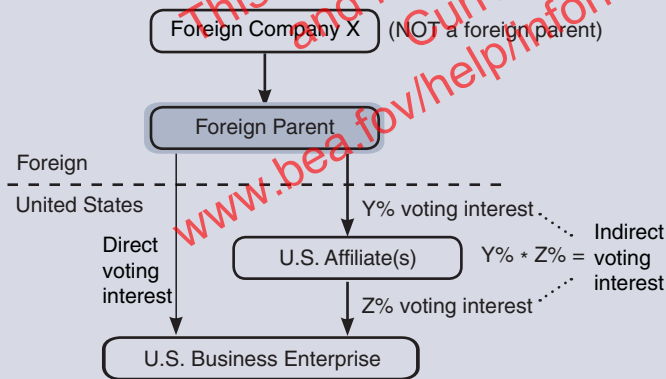


ACQUISITION INFORMATION

1 What date did a foreign parent's voting interest (direct, and/or indirect through existing U.S. affiliates) in the acquired U.S. entity first reach or exceed 10 percent? See Example 2.101

Month	Day	Year
1	___	___

EXAMPLE 2. Direct and Indirect Voting Interest



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

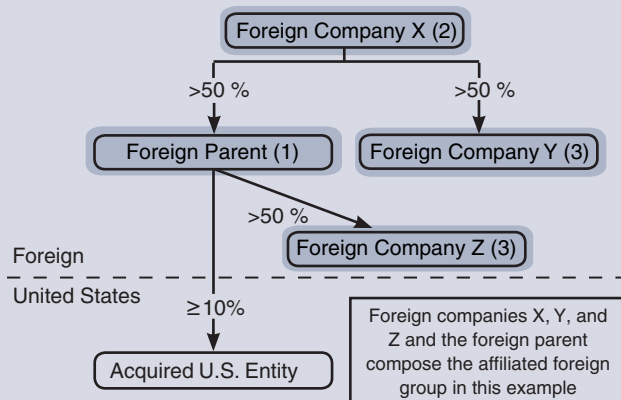
Affiliate means a business enterprise located in one country that is directly or indirectly owned or controlled by an entity of another country to the extent of 10 percent or more of its voting stock for an incorporated business or an equivalent interest for an unincorporated business enterprise.

2 What was the total cost to all foreign parents' affiliated foreign groups (see EXAMPLE 3) and their U.S. affiliates for the acquisition that occurred on the date reported in **1**?

- Include the cost of voting interest and non-voting equity interest.
- Exclude the cost to any U.S. or foreign entity that is not affiliated with any of the foreign parents.

\$ Bil. Mil. Thous. Dols.

EXAMPLE 3. Affiliated Foreign Group



Total Cost.102

1	,000
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Affiliated foreign group means:

- the foreign parent,
- 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
- any foreign entity, proceeding down the ownership chain(s) of each of these members, which is owned more than 50 percent by the member above it.

(As used here, "entity" is synonymous with "person," as that term is used in the broad legal sense.)

BE-13A – Acquisition Information

3 What was the legal name of the acquired U.S. entity at the time of the acquisition?

105 1

4 Did the acquired U.S. entity use any other names immediately before or after the acquisition?

106 1 1 YES - List and describe the names: 2

1 2 NO

5 Were any U.S. businesses established within the last 30 days solely to facilitate the complete acquisition, and will not be dissolved?

107 1 1 YES - List their names: 2

1 2 NO

If the answer is "YES", consolidate the established entities with the acquired entity while answering the remaining questions on this BE-13A Form.

6 What is the acquired U.S. entity's employer identification number used to file income and payroll taxes?

109 1

7 Are there any U.S. business enterprises consolidated in, or owned by, the acquired U.S. entity?

120 1 1 Yes

1 2 No — SKIP to **9**

8 What is the name of each U.S. business enterprise consolidated in, or owned by, the acquired U.S. entity?

Include all consolidated U.S. business enterprises (B) and (C), and unconsolidated minority-owned U.S. business enterprises (D), in EXAMPLE 4.

121 1

122 1

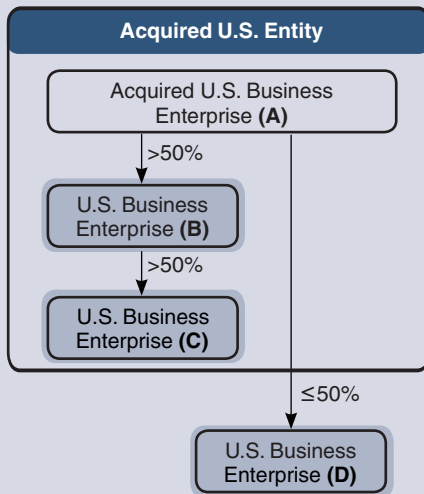
123 1

124 1

125 1

List additional entries on a separate page, if necessary.

EXAMPLE 4.



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.

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.

BE-13A – Ownership Information

OWNERSHIP INFORMATION FOR THE ACQUIRED U.S. ENTITY

As of the acquisition date reported in **1**:

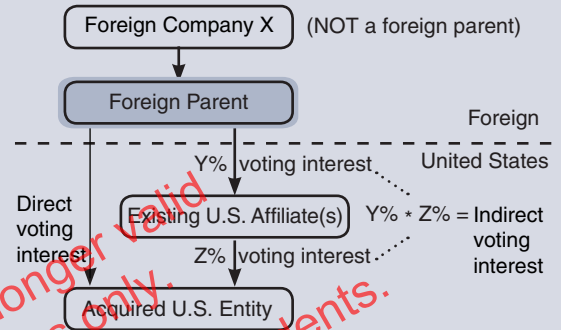
9 How many foreign parents (direct, and/or indirect through U.S. affiliates) does the acquired U.S. entity have? See Example 5.

Number of Foreign Parents **1**

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

EXAMPLE 5. Direct and Indirect Voting Interest

(Repeated from page 3)



10 What are the names of all foreign parents and the percent of direct and indirect voting interest that each holds in the acquired U.S. entity?

	Foreign Parents	DIRECT Voting Interest	INDIRECT Voting Interest, Through Existing U.S. Affiliates	TOTAL Voting Interest
191	1	2 _____ %	3 _____ %	4 _____ %
192	1	2 _____ %	3 _____ %	4 _____ %
193	1	2 _____ %	3 _____ %	4 _____ %
194	1	2 _____ %	3 _____ %	4 _____ %

If necessary, please list additional entries on a separate page.

11 What percent of voting interest in the acquired U.S. entity (see EXAMPLE 5) is held:

- A. DIRECTLY by foreign parents?
(This is the sum of direct voting interest provided in **10**.) 150
- B. DIRECTLY by existing U.S. affiliates of the foreign parents? 151
- C. DIRECTLY by other U.S. entities? 152
- D. DIRECTLY by other foreign entities?
(Each holding less than 10 percent voting interest in the acquired U.S. entity.) 153

Voting Interest

1 _____ %

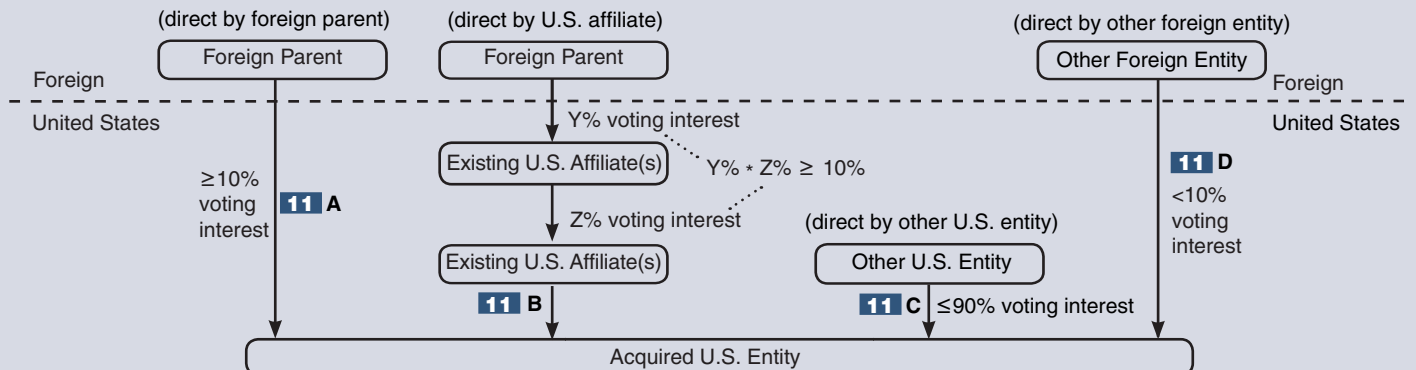
1 _____ %

1 _____ %

1 _____ %

Total of 11 A through 11 D must sum to 100.0 %

EXAMPLE 6. Different Types of Ownership



BE-13A – Existing U.S. Affiliates

EXISTING U.S. AFFILIATES

As of the acquisition date reported in **1**:

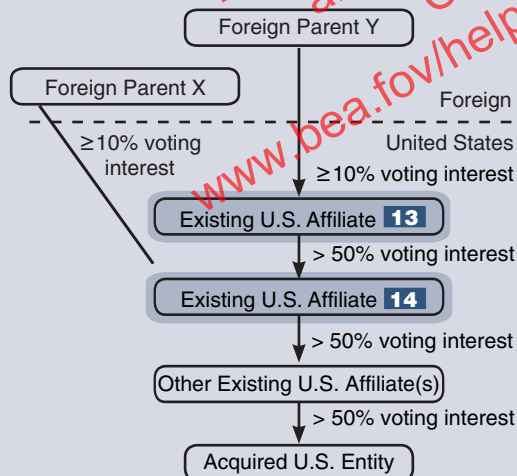
12 Does any one existing U.S. affiliate **DIRECTLY** own more than 50 percent of the voting interest in the acquired U.S. entity?

- ²³⁰ **1** Yes - Please provide an organizational chart, as of the date of the acquisition. *CONTINUE* to **13**.
- ¹ **2** No - *SKIP* to **15**.

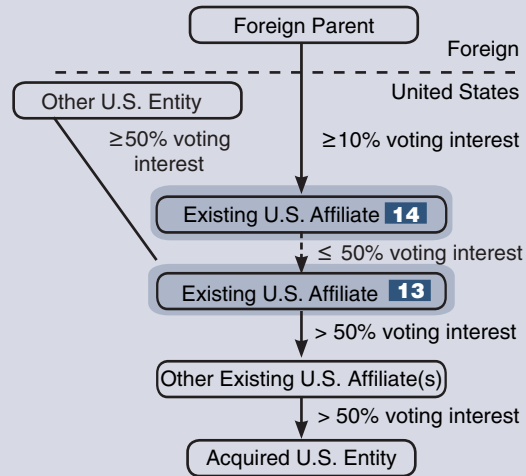
13 What are the legal name, address, and BEA ID (if it has one) of the existing U.S. affiliate that, proceeding up the ownership chain from the acquired U.S. entity, is the first that is **NOT** more than 50 percent directly owned by another existing U.S. affiliate?
See EXAMPLES 7 and 8.

231	Name			
1				
Street 1		Street 2		
2		3		
City		State	Zip	
4		5	6	
Country				
7				
BEA ID				
8				

EXAMPLE 7. Identifying the U.S. Affiliates



EXAMPLE 8. Identifying the U.S. Affiliates



14 What are the legal name, address, and BEA ID (if it has one) of the existing U.S. affiliate that, proceeding up the ownership chain from the acquired U.S. entity, is the first that is at least 10 percent **DIRECTLY** owned by a foreign parent?
See EXAMPLES 7 and 8 above.

If it is the same existing U.S. affiliate as in **13**, write "same" in the name field.

232	Name			
1				
Street 1		Street 2		
2		3		
City		State	Zip	
4		5	6	
Country				
7				
BEA ID				
8				

NOTE: If there is more than one foreign parent (direct, and/or indirect through existing U.S. affiliates), complete **15** through **27** for each additional foreign parent on separate pages. Additional copies of these pages may be downloaded from www.bea.gov/be13.

NOTE: If there is more than one foreign parent (direct, and/or indirect through existing U.S. affiliates), complete **15** through **27** for each additional foreign parent on separate pages. Additional copies of these pages may be downloaded from www.bea.gov/be13.

IDENTIFYING THE FOREIGN PARENT

15 What is the name of this foreign parent?

If this foreign parent is an individual who owns 10 percent of the voting interest (directly, and/or indirectly through existing U.S. affiliates) in the acquired U.S. entity, write "individual" instead of the individual's name.

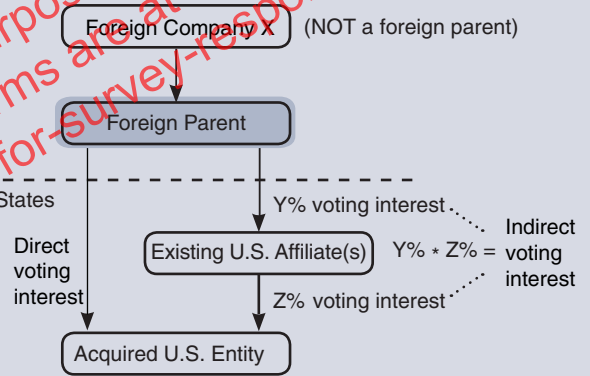
201 1

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, or indirectly through existing U.S. affiliates) in the acquired U.S. entity.

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

- 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.

EXAMPLE 11. Direct and Indirect Voting Interest
(Repeated from page 3)



This historical survey form is no longer valid and is for information purposes only. Current survey forms are at www.bea.gov/help/information-for-survey-respondents.

16 What is this foreign parent's country of incorporation?

If the foreign parent is an individual or government, provide the country of residence. For individuals who do not reside in their country of citizenship, please follow the guidelines for country of residence on page 12.

Country of Foreign Parent

_____ 1
202

17 What is this foreign parent's industry code?

- Select the category below which best describes the PRIMARY activity of the SINGLE entity named as the foreign parent. (The codes are also listed on page 11.)
- DO NOT base the code on the worldwide sales of all consolidated subsidiaries of the foreign parent.
- If the UBO is an individual, select the category "05 - Individual."

203 1

IDENTIFYING THE ULTIMATE BENEFICIAL OWNER (UBO)

18 Is this foreign parent also the ultimate beneficial owner (UBO)? (See EXAMPLES 9 and 10)

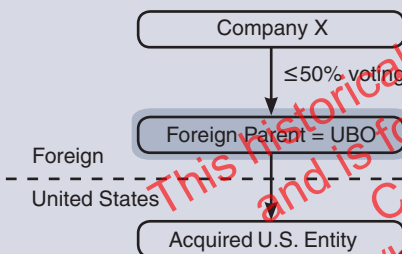
- The UBO is the entity, proceeding up the ownership chain that includes the foreign parent, whose voting interest is not more than 50 percent owned by another entity.
- If the foreign parent is owned or controlled more than 50 percent by another entity, then the foreign parent is NOT the UBO.

210 1 1 Yes — SKIP to **21**
 1 2 No

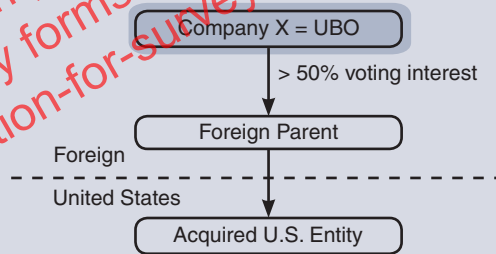
Voting interest is the percent of ownership in the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.

- 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.

EXAMPLE 12. Foreign Parent is UBO



EXAMPLE 13. Foreign Parent is Not UBO



19 What is the name of the UBO?

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

211 1

20 What is the UBO's country of incorporation?

If the UBO is an individual or government, provide the country of residence. For individuals who do not reside in their country of citizenship, please follow the guidelines for country of residence on page 12.

Country of UBO

212 1

21 What is the UBO's industry code?

- Select the category below which best reflects the consolidated worldwide sales of the UBO, including all majority-owned subsidiaries. (The codes are also listed on page 11.)
- If the UBO is an individual, select the category "05 - Individual."
- Do not use code 14 unless you receive permission from BEA.

213 1

BE-13A – Information for Foreign Parent Number ___ of

PRIOR OWNERSHIP

22 Did this foreign parent hold voting interest (directly, and/or indirectly through existing U.S. affiliate) in the acquired U.S. entity immediately prior to the acquisition date reported in **1**? 300 1 Yes
2 No — SKIP to **26**

23 What was the percent of voting interest, to a tenth of one percent, that this foreign parent held (directly, and/or indirectly through existing U.S. affiliates) in the acquired U.S. entity prior to the acquisition date reported in **1**? 301 _____ %
Month Day Year
1 _____ / _____ / _____

24 What was the date that the voting interest reported in **23** was acquired? 302 _____ / _____ / _____

25 What was the value of the investment this foreign parent had in the acquired U.S. entity prior to the acquisition date reported in **1**? \$ Bil. Mil. Thous. Dols.
1 _____ ,000
Exclude the cost of the acquisition that took place on the date reported in **1** 303 _____ ,000

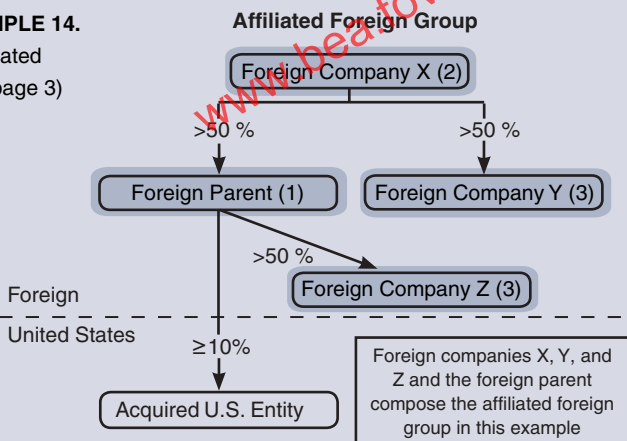
TRANSACTION INFORMATION

26 What was the total cost to this foreign parent's affiliated foreign group (see EXAMPLE 11) and its U.S. affiliates for the acquisition that occurred on the date reported in **1**? \$ Bil. Mil. Thous. Dols.
1 _____ ,000

- If there is only one foreign parent, this is the same as the total cost reported in **25**.
- If there is more than one foreign parent, the sum of the cost for each should match the total reported in **25**.
- Include the cost of voting interest and non-voting equity interest.
- Exclude the cost to any U.S. entity that is not affiliated with this foreign parent.

Total cost to this foreign parent's AFG and U.S. affiliates. 320 _____ ,000

EXAMPLE 14.
(Repeated from page 3)



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 member above it.

(As used here, "entity" is synonymous with "person," as that term is used in the broad legal sense.)

DEBT AND EQUITY BETWEEN THE AFFILIATED FOREIGN GROUP (AFG) AND U.S. AFFILIATES

27 For the acquisition, how much did: \$ Bil. Mil. Thous. Dols.

A. This affiliated foreign group DIRECTLY pay to the seller (prior owner) of the acquired U.S. entity as consideration (cash or equity)? 1 _____ ,000
381

B. This affiliated foreign group DIRECTLY loan to the acquired U.S. entity? 1 _____ ,000
382

C. This affiliated foreign group invest in existing U.S. affiliates as cash or equity? 1 _____ ,000
383

D. This affiliated foreign group loan to existing U.S. affiliates? 1 _____ ,000
384

NOTE: If there is more than one foreign parent (direct, and/or indirect through existing U.S. affiliates), complete **15** through **27** for each additional foreign parent on separate pages. Additional copies of these pages may be downloaded from www.bea.gov/be13.

BE-13A – Financial and Operating Information

FINANCIAL AND OPERATING INFORMATION

Report the acquired U.S. entity's financial and operating information for the most recently completed fiscal year. If this information is not available, provide estimates and indicate such in the notes section on page 2.

Reminder: The acquired U.S. entity includes the acquired U.S. business enterprise and all U.S. business enterprises, proceeding down an ownership chain from the acquired U.S. business enterprise, whose voting interest is more than 50 percent owned by the U.S. business enterprise directly above it.

For **29** through **32**, include on an equity basis all foreign business enterprises owned by the acquired U.S. business enterprise and all U.S. business enterprises owned 50 percent or less by the acquired U.S. business enterprise.

	Month	Day	Year
28 What is the ending date for the most recently completed fiscal year that ended on, or before, the acquisition date reported in 1 ?	1	1	1
400	___	/	___ / ___ / _____

As of the date reported in **28**, what were the acquired U.S. entity's:

		\$ Bil.	Mil.	Thous.	Dols.
29 Assets?	1				,000
401					
30 Liabilities?	1				,000
402					
31 Annual sales or gross operating revenues?	1				,000
403					
32 Annual net income (loss) after provision for income taxes?	1				,000
404					

33 Number of employees?

- Include all full-time and part-time employees 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 year end, report a number that represents normal operation.
- If the acquired U.S. entity's activity involves large seasonal variations, report a number that represents an average for the year.

405 1

34 Major activities? Check all that apply.

- 420
- 1 Producer of goods
 - 2 Seller of goods it does not produce
 - 3 Producer or distributor of information
 - 4 Provider of services
 - 5 Real estate
 - 6 Other—Specify:

35 Major products and/or services involved in the activities identified in **34**?

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

421 1

36 Four-digit industry classification?

Select the category below which best describes the industry in which the acquired U.S. entity had the largest amount of sales or gross operating revenues. (See list on page 13 or go to www.bea.gov/NAICS2012 for detailed descriptions.)

423 1

As of the date reported in **28**:

37 In which state was the acquired U.S. entity located?

- If the acquired U.S. entity operates in more than one state, then select the state where the greatest number of the employees are based.
- If there are no employees and there is no physical location, then select the state of incorporation.

422 1

38 Did the acquired U.S. entity conduct research and development activities?

- 424
- 1 Yes
 - 2 No

RETURN TO COVER PAGE FOR FILING INSTRUCTIONS

SURVEY INFORMATION

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

Authority: This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended), 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-13A form is estimated to average 2.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing burden, to: Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, 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.

FOREIGN PARENT AND UBO INDUSTRY CODES

Note: "ISI codes" are International Surveys Industry codes, as given in the *Guide to Industry Classifications for International Surveys, 2012*, available at www.bea.gov/naics2012. See the Summary of Industry Classifications on page 13 of this form.

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

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 enterprise.

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 member above it.

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

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

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

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

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

Foreign parent 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 U.S. entity.

Minority-owned U.S. business enterprise means a U.S. business enterprise in which the U.S. business enterprise above it in an ownership chain holds 50 percent or less direct voting interest.

Research and development (R&D) is planned, creative work aimed at discovering new knowledge or developing new or significantly improved goods and services. This includes

- (1) activities aimed at acquiring new knowledge or understanding without specific immediate commercial application or use (basic research);
- (2) activities aimed at solving a specific problem or meeting a specific commercial objective (applied research); and
- (3) systematic use of research and practical experience to produce new or significantly improved goods, services, or processes (development).

R&D does NOT include expenditures for costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project; market research; efficiency surveys or management studies; literary, artistic, or historical projects, such as films, music, or books and other publications; prospecting or exploration for natural resources.

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 geographic 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.

SUMMARY OF INDUSTRY CLASSIFICATIONS (ISI codes)

For a full description of each classification, see www.bea.gov/naics2012

Agriculture, Forestry, Fishing, and Hunting

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

Mining

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

Utilities

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

Construction

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

Manufacturing

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

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

Wholesale Trade, Durable Goods

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

Wholesale Trade, Nondurable Goods

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

Wholesale Trade, Electronic Markets and Agents and Brokers

4251 Wholesale electronic markets and agents and brokers

Retail Trade

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

Transportation and Warehousing

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

Information

5111 Newspaper, periodical, book, and directory publishers
5112 Software publishers

5121 Motion picture and video industries
5122 Sound recording industries
5151 Radio and television broadcasting
5152 Cable and other subscription programming
5171 Wired telecommunications carriers
5172 Wireless telecommunications carriers, except satellite
5174 Satellite telecommunications
5179 Other telecommunications
5182 Data processing, hosting, and related services
5191 Other information services

Finance and Insurance

5221 Depository credit intermediation (Banking)
5223 Activities related to credit intermediation
5224 Nondepository credit intermediation
5229 Nondepository branches and agencies
5231 Securities and commodity contract intermediation and brokerage
5238 Other financial investment activities and exchanges
5242 Agencies, brokerages, and other insurance related activities
5243 Insurance carriers, except life insurance carriers
5249 Life insurance carriers
5262 Funds, trusts, and other financial vehicles

Real Estate and Rental and Leasing

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

Professional, Scientific, and Technical Services

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

Management of Companies and Enterprises

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

Administrative and Support and Waste Management and Remediation Services

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

Educational Services

6110 Educational services

Health Care and Social Assistance

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

Arts, Entertainment, and Recreation

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

Accommodation and Food Services

7210 Accommodation
7220 Food services and drinking places

Other Services

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

Public Administration

9200 Public administration

**MANDATORY — CONFIDENTIAL***

SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES FORM BE-13B

(Report for Establishment of a New U.S. Business Enterprise)

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

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

Fax reports to: (301) 278-9504

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

Name and mailing address of U.S. Business Enterprise

010	Company Name 1		
011	In Care Of 1		
012	Attention 1		
013	Street 1 1		
014	Street 2 1		
015	City 1	State 2	Zip 3
	County 4		

Due date: No later than 45 calendar days after the new legal entity is established.

WHO MUST REPORT

A BE-13B report must be filed by a U.S. business enterprise when a foreign entity, or an existing U.S. affiliate of a foreign entity, establishes a new legal entity in the United States, and

- (1) the projected total cost to establish the new legal entity is greater than \$3 million, and
- (2) the foreign entity owns 10 percent or more of the new business enterprise's voting interest (directly, or indirectly through an existing U.S. affiliate).

INCLUDE:

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

EXCLUDE:

- Purchase of U.S. real estate that is intended for lease or sale without significant added construction.
This is deemed to be an acquisition of a U.S. business enterprise and should be reported on Form BE-13A.
- The creation of a holding company that is being set up with less than \$60 million, solely to acquire at least one target company within 180 days, and then will be dissolved.
- Establishment of a new legal entity created for the sole purpose of acquiring a single entity within 30 days after the establishment.
Consolidate the new legal entity with the acquired entity in a single report on the BE-13A.
- Certain private funds are exempt from filing Form BE-13B.
Review exemption criteria on page 3, question 1, response option 5 of Form BE-13 Claim for Exemption.

OTHER BE-13 FORMS

Go to www.bea.gov/be13 for more information about other BE-13 forms.

Form BE-13A covers certain acquisitions of a U.S. business enterprise by a foreign entity.

Form BE-13D covers certain expansions of operations of existing U.S. affiliates.

Form BE-13E covers cost updates for previously filed Form BE-13B or BE-13D.

Form BE-13 Claim for Exemption covers certain transactions that are not required to be filed on Forms BE-13A, BE-13B, and BE-13D.

*See page 11 for penalties and confidentiality statements.

BE-13B – Instructions and Contact Information

INSTRUCTIONS

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

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

\$ Bil. Mil. Thous. Dols.

1 1 335 ,000

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

1 98.7 %

Estimates: If actual amounts are not available, supply estimates and specify in the notes section.

Definitions: Underlined items are defined on page 12.

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

Notes

This historical survey form is no longer valid
 and is for information purposes only.
 Current survey forms are at
www.bea.fov/help/information-for-survey-respondents.

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-13B – New U.S. Business Enterprise Information

NEW U.S. BUSINESS ENTERPRISE INFORMATION

1 Is the new U.S. business enterprise a holding company?

A holding company is a businesses engaged in holding the securities or financial assets of companies and enterprises for the purpose of owning a controlling interest in them or influencing their management decisions. Businesses in this industry do not manage the day-to-day operations of the firms whose securities they hold.

100 1 1 Yes – Select every statement below that applies to the new U.S. business enterprise (**holding company**):

- 2 A It is being set up solely for the purpose of acquiring or establishing at least one other U.S. business enterprise.
- 3 B The initial capitalization, including debt and equity, of the **holding company** is \$60 million or less.
- 4 C The acquisition or establishment is occurring within 180 days of the creation of the **holding company**.
- 5 D The **holding company** will be dissolved after the acquisition or establishment.

If all four options A-D were selected, then the new U.S. business enterprise (**holding company**) can file a Form BE-13 Claim for Exemption instead of completing the rest of this form.

- 6 E The new U.S. business enterprise (**holding company**) was established solely to make a single acquisition within 30 days. Do not file this establishment on a Form BE-13B, report it with the acquisition on a single Form BE-13A.

1 2 No

Month	Day	Year
1	/	/

2 What date was the new U.S. business enterprise established? 101

3 What is the total expected cost to all foreign parents' affiliated foreign groups (AFG, see EXAMPLE 1) and their U.S. affiliates to set up the new U.S. business enterprise?

INCLUDE:

- Actual expenditures from past years and expected expenditures for current and future years.
- The cost of voting interest and non-voting equity interest.

EXCLUDE:

- The cost to any U.S. or foreign entity that is not affiliated with any of the foreign parents.

\$ Bil.	Mil.	Thous.	Dols.
1			,000

Total cost. 102

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 member above it.

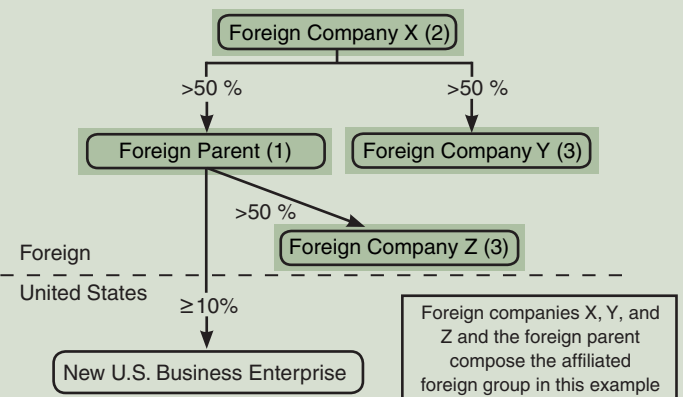
(As used here, "entity" is synonymous with "person," as that term is used in the broad legal sense.)

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 enterprise.

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.

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).

EXAMPLE 1. Affiliated Foreign Group



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, or indirectly through existing U.S. affiliates) in the new U.S. business enterprise.

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

- 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.

BE-13B – New U.S. Business Enterprise Information

4 What is the legal name of the new U.S. business enterprise?

105 1

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

Primary	Other
109 1 <input style="width: 300px; height: 25px;" type="text"/>	2 <input style="width: 300px; height: 25px;" type="text"/>

6 Is the address of the new U.S. business enterprise different from the address on the cover page?

500 1 1 Yes – Provide address:

1 2 No

	Name 2 <input style="width: 95%; height: 25px;" type="text"/>		Street 2 2 <input style="width: 95%; height: 25px;" type="text"/>
	Street 1 1 <input style="width: 95%; height: 25px;" type="text"/>		State 2 <input style="width: 20px; height: 25px;" type="text"/>
501	City 1 <input style="width: 95%; height: 25px;" type="text"/>		Zip 3 <input style="width: 20px; height: 25px;" type="text"/>
502			

OWNERSHIP INFORMATION FOR THE NEW U.S. BUSINESS ENTERPRISE

As of the establishment date reported in **2**:

7 How many **foreign parents** (direct, and indirect through U.S. affiliates) does the new U.S. business enterprise have?

Number of Foreign Parents: 1

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

8 What are the names of all **foreign parents** and the percent of direct and indirect **voting interest** that each holds in the new U.S. business enterprise?

	Foreign Parents	DIRECT Voting Interest	INDIRECT Voting Interest, Through Existing U.S. Affiliates	TOTAL Voting Interest
191	1 <input style="width: 550px; height: 25px;" type="text"/>	2 <input style="width: 50px; height: 25px;" type="text"/> %	3 <input style="width: 50px; height: 25px;" type="text"/> %	4 <input style="width: 50px; height: 25px;" type="text"/> %
192	1 <input style="width: 550px; height: 25px;" type="text"/>	2 <input style="width: 50px; height: 25px;" type="text"/> %	3 <input style="width: 50px; height: 25px;" type="text"/> %	4 <input style="width: 50px; height: 25px;" type="text"/> %

If necessary, please list additional entries on a separate page.

9 What percent of **voting interest** in the new U.S. business enterprise (see EXAMPLE 2) is held:

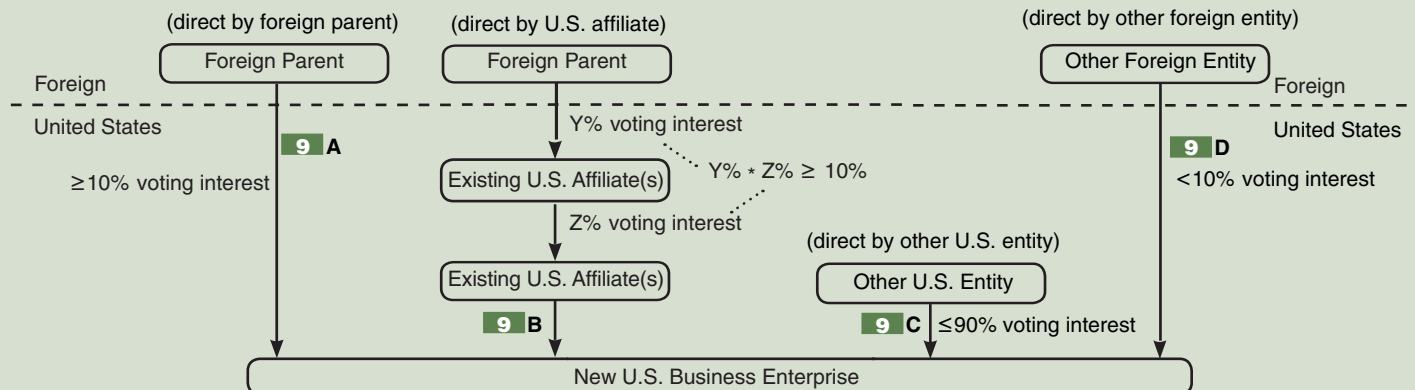
Voting Interest

- A. DIRECTLY by **foreign parents**?
(This is the sum of direct **voting interest** provided in **8**) 150 %
- B. DIRECTLY by existing U.S. **affiliates** of the **foreign parents**? 151 %
- C. DIRECTLY by other U.S. **entities**? 152 %
- D. DIRECTLY by other **foreign entities**?
(Each holding less than 10 percent **voting interest** in the new U.S. business enterprise.) 153 %

Total of **9 A** through **9 D** must sum to **100.0** %

EXAMPLE 2.

Different Types of Ownership



BE-13B – Existing U.S. Affiliates

EXISTING U.S. AFFILIATES

As of the establishment date reported in **2** :

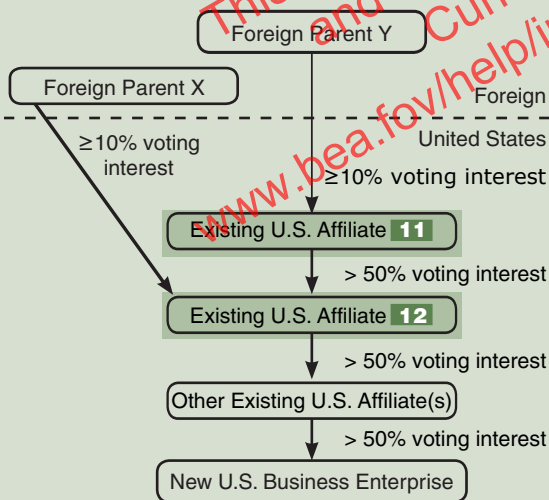
10 Does any one existing U.S. affiliate DIRECTLY own more than 50 percent of the voting interest in the new U.S. business enterprise?

- ²³⁰ **1** Yes - Please provide an organizational chart, as of the date of the acquisition. *CONTINUE* to **11**.
- 2** No - *SKIP* to **13**.

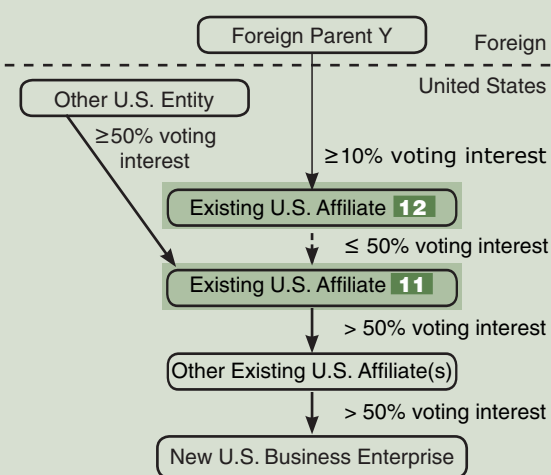
11 What are the legal name, address, and BEA ID (if it has one) of the existing U.S. affiliate that, proceeding up the ownership chain from the new U.S. business enterprise, is first that is NOT more than 50 percent directly owned by another existing U.S. affiliate?
See EXAMPLES 3 and 4.

231 Name 1					
Street 1 2			Street 2 3		
City 4				State 5	Zip 6
Country 7					
BEA ID 8					

EXAMPLE 3. Identifying the U.S. Affiliates



EXAMPLE 4. Identifying the U.S. Affiliates



12 What is the legal name, address, and BEA ID (if it has one) of the existing U.S. affiliate that, proceeding up the ownership chain from the new U.S. business enterprise, is first that is at least 10 percent DIRECTLY owned by a foreign parent?
See EXAMPLES 3 and 4 above.

If it is the same existing U.S. affiliate as in **11**, write "same" in name field.

232 Name 1					
Street 1 2			Street 2 3		
City 4				State 5	Zip 6
Country 7					
BEA ID 8					

NOTE: If there is more than one foreign parent (direct and/or indirect through existing U.S. affiliates), complete **13** through **21** for each additional foreign parent on separate pages. Additional copies of these pages may be downloaded from www.bea.gov/be13.

NOTE: If there is more than one foreign parent (direct and/or indirect through existing U.S. affiliates), complete **13** through **21** for each additional foreign parent on separate pages. Additional copies of these pages may be downloaded from www.bea.gov/be13.

IDENTIFYING THE FOREIGN PARENT

13 What is the name of this foreign parent? See Example 5.

If this foreign parent is an individual who owns 10 percent of the voting interest (directly, and/or indirectly through existing U.S. affiliates) in the acquired U.S. entity, write "individual" instead of the individual's name.

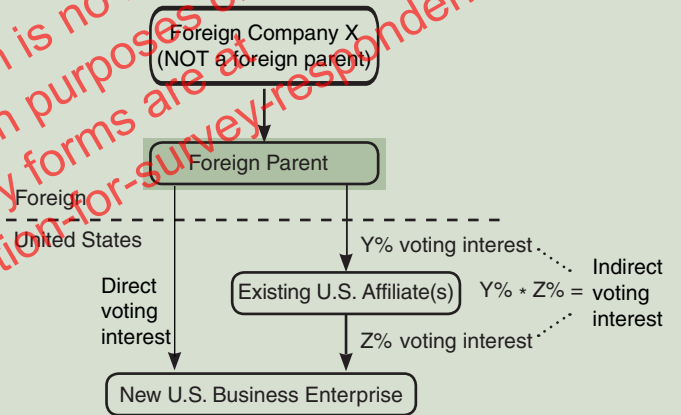
201

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, or indirectly through existing U.S. affiliates) in the new U.S. business enterprise.

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

- 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.

EXAMPLE 5. Direct and Indirect Voting Interest



This historical survey form is no longer valid and is for information purposes only. Current survey forms are at www.bea.gov/foi/foi-information-for-survey-respondents.

14 What is this foreign parent's country of incorporation?

If the foreign parent is an individual or government, enter the country of residence. For individuals who do not reside in their country of citizenship, please follow the guidelines for country of residence on page 12.

Country of Foreign Parent

202 ¹

15 What is this foreign parent's industry code?

- Select the category below which best describes the PRIMARY activity of the SINGLE entity named as the foreign parent. (The codes are also listed on page 11.)
- DO NOT base the code on the worldwide sales of all consolidated subsidiaries of the foreign parent.
- If the UBO is an individual, select the category "05 - Individual."

203 1

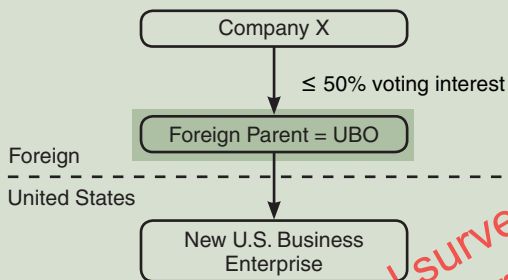
IDENTIFYING THE ULTIMATE BENEFICIAL OWNER (UBO)

16 Is this foreign parent also the ultimate beneficial owner (UBO)? See EXAMPLES 6 and 7.

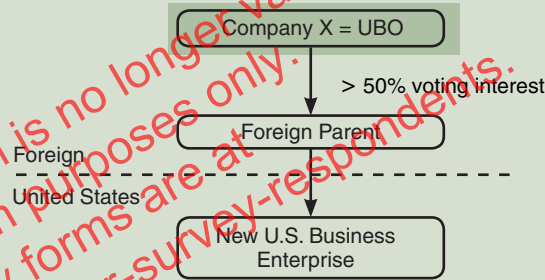
- The UBO is the entity, proceeding up the ownership chain that includes the foreign parent, whose voting interest is not more than 50 percent owned by another entity.
- If the foreign parent is owned or controlled more than 50 percent by another entity, then the foreign parent is NOT the UBO.

210 1 1 Yes — SKIP to **19**
 1 2 No

EXAMPLE 6. Foreign Parent is UBO



EXAMPLE 7. Foreign Parent is Not UBO



This historical survey form is no longer valid and is for information purposes only. Current survey forms are at www.bea.gov/help/information-for-survey-respondents.

17 What is the name of the UBO?

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

211 1

18 What is the UBO's country of incorporation?

If the UBO is an individual or government, provide the country of residence. For individuals who do not reside in their country of citizenship, please follow the guidelines for country of residence on page 12.

Country of UBO

1
212

19 What is the UBO's industry code?

- Select the category below which best reflects the consolidated worldwide sales of the UBO, including all majority-owned subsidiaries. (The codes are also listed on page 11.)
- If the UBO is an individual, select the category "05 - Individual."
- Do not use code 14 unless you receive permission from BEA.

213 1

ESTABLISHMENT INFORMATION

20 What is the total expected cost to this foreign parent's affiliated foreign group (see EXAMPLE 8) and its U.S. affiliates to establish the new U.S. business enterprise?

- If there is only one foreign parent, this is the same as the total cost reported in **3**.
- If there is more than one foreign parent, the sum of the cost for each should match the total reported in **3**.

INCLUDE:

- Actual expenditures from past years and expected expenditures for current and future years.
- The cost of voting interest and non-voting equity interest.

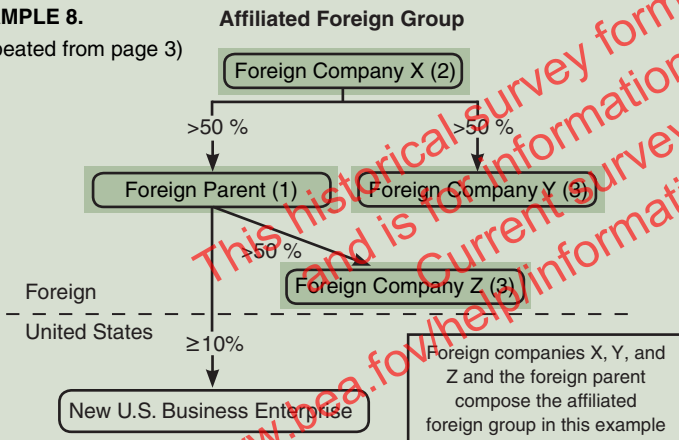
EXCLUDE:

- The cost to any U.S. entity that is not affiliated with this foreign parent.

	\$ Bil.	Mil.	Thous.	Dols.
Total cost to this <u>foreign parent's</u> AFG and U.S. <u>affiliates</u> 320				1 <input type="text"/> ,000

EXAMPLE 8.

(Repeated from page 3)



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 member above it.

(As used here, "entity" is synonymous with "person," as that term is used in the broad legal sense.)

DEBT AND EQUITY BETWEEN THE AFFILIATED FOREIGN GROUP (AFG) AND U.S. AFFILIATES

21 For the establishment of the new U.S. business enterprise, how much did:

	\$ Bil.	Mil.	Thous.	Dols.
A. This <u>affiliated foreign group</u> DIRECTLY invest in the new U.S. business enterprise as cash or equity? 381				1 <input type="text"/> ,000
B. This <u>affiliated foreign group</u> DIRECTLY loan to the new U.S. business enterprise? 382				1 <input type="text"/> ,000
C. This <u>affiliated foreign group</u> invest in existing U.S. <u>affiliates</u> as cash or equity? 383				1 <input type="text"/> ,000
D. This <u>affiliated foreign group</u> loan to existing U.S. <u>affiliates</u> ? 384				1 <input type="text"/> ,000

NOTE: If there is more than one foreign parent (direct and/or indirect through existing U.S. affiliates), complete **13** through **21** for each additional foreign parent on separate pages. Additional copies of these pages may be downloaded from www.bea.gov/be13.

BE-13B – Financial and Operating Information

FINANCIAL AND OPERATING INFORMATION FOR THE NEW U.S. BUSINESS ENTERPRISE

- Report projections for the first fiscal year of operations.
- Use projections made in the course of planning the investment if available; otherwise give best estimate.
- If the first fiscal year is less than 12 months, provide annualized numbers for **25** and **26**.

Month Day Year

22 What is the ending date for the new U.S. business enterprise's first fiscal year of operations? 400

--	--	--	--

As of the date reported in **22**, what are the new U.S. business enterprise's projected:

\$ Bil. Mil. Thous. Dols.

23 Assets? 401

			,000
--	--	--	------

24 Liabilities? 402

			,000
--	--	--	------

25 Annual sales or gross operating revenues? 403

			,000
--	--	--	------

26 Annual net income (loss) after provision for income taxes? 404

			,000
--	--	--	------

27 What is the projected number of employees of the new business enterprise when it is fully operating?

- Include all full-time and part-time employees expected to be on the payroll.
- Exclude contract workers and other workers not expected to be carried on the payroll.
- If the new U.S. business enterprise's activity will involve large seasonal variations, report a number that represents an average over a year.

Projected Number of Employees. 405

--

28 How many employees did the new U.S. business enterprise have at the time of this filing?

- Include all full-time and part-time employees on the payroll.
 - Exclude contract workers and other workers not carried on the payroll.
- Current Number of Employees. 506

1

29 What will be the major activities of the new U.S. business enterprise when it is fully operating? Check all that apply.

- | | | | | | |
|-----|---|---|---|---|--|
| 420 | 1 | 1 | 4 | 4 | Seller of goods it does not produce |
| | 2 | 2 | 5 | 5 | Producer or distributor of information |
| | 3 | 3 | 6 | 6 | Other—Specify: |

--

30 What are the major products and/or services involved in the activities identified in **29**?

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

--

31 What will be the new U.S. business enterprise's four-digit industry classification?

Select the category below which best describes the industry classification in which the new U.S. business enterprise will have the largest amount of sales or gross operating revenues. (See page 13 for list or go to www.bea.gov/NAICS2012 for detailed descriptions.)

1

32 In what state is the new U.S. business enterprise located?

- If the new U.S. business enterprise operates in more than one state, then select the state where the largest number of employees are based.
- If there are no employees and no physical location, then select the state of incorporation.

1

33 Will the new U.S. business enterprise conduct research and development activities when it is fully operating?

- | | | | |
|-----|---|---|-----|
| 424 | 1 | 1 | Yes |
| | 2 | | No |

BE-13B – Project Information

PROJECT INFORMATION

34 Is the new U.S. business enterprise currently under construction?

- 508 1 1 Yes
- 1 2 No, construction has yet to begin
- 1 3 No, construction is complete – Provide completion date:
- 1 4 No, the project has been canceled
- 1 5 No, construction is not required for this project

Month Day Year

--	--	--

For **35** and **36**, break down the total expected cost to set up the new U.S. business enterprise by type and by fiscal year.

Total expected cost reported in **3**

\$ Bil.	Mil.	Thous.	Dols.
			,000

35 How much of the total expected cost to set up the new U.S. business enterprise is for:

- A. Land? 510
- B. Property, plant, and equipment? Include construction. Exclude land. 512
- C. Intellectual property rights? 514
- D. Fees, taxes, permits, licenses? 515
- E. Other costs? Describe in notes section on page 2. 516

\$ Bil.	Mil.	Thous.	Dols.
			,000
			,000
			,000
			,000
			,000
			,000
			,000

Sum of **35 A** through **35 E**:
This should match the total expected cost reported in **3**

The difference is currently:

			,000
			,000

36 In which fiscal years will the total expected cost be incurred and how much each year?

- Only include leases until the business is fully operating.
- Provide actual cash or in-kind outlays, not depreciation.
- Use the new U.S. business enterprise's fiscal calendar for determining year.

Fiscal Year	\$ Bil.	Mil.	Thous.	Dols.
550 1				,000
551 1				,000
552 1				,000
553 1				,000
554 1				,000
555 1				,000
556 1				,000
557 1				,000
558 1				,000
559 1				,000

Sum of **36 A** through **36 E**:
This should match the total expected cost reported in **3**

The difference is currently:

			,000
			,000

NOTE: BEA will request updated project information each year until final data are collected.

RETURN TO COVER PAGE FOR FILING INSTRUCTIONS

SURVEY INFORMATION

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

Authority: This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended) 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-13B form is estimated to average 2.2 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing burden, to: Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, 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.

FOREIGN PARENT AND UBO INDUSTRY CODES

Note: "ISI codes" are International Surveys Industry codes, as given in the *Guide to Industry Classifications for International Surveys, 2012*, available at www.bea.gov/naics2012. See the Summary of Industry Classifications on page 13 of this form.

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

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 enterprise.

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.

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

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

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

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

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

Foreign parent 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 new U.S. business enterprise.

Research and development (R&D) is planned, creative work aimed at discovering new knowledge or developing new or significantly improved goods and services. This includes

- (1) activities aimed at acquiring new knowledge or understanding without specific immediate commercial application or use (basic research);
- (2) activities aimed at solving a specific problem or meeting a specific commercial objective (applied research); and
- (3) systematic use of research and practical experience to produce new or significantly improved goods, services, or processes (development).

R&D does NOT include expenditures for costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project; market research; efficiency surveys or management studies; literary, artistic, or historical projects, such as films, music, or books and other publications; prospecting or exploration for natural resources.

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 geographic 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.

SUMMARY OF INDUSTRY CLASSIFICATIONS (ISI codes)

For a full description of each classification, see www.bea.gov/naics2012

Agriculture, Forestry, Fishing, and Hunting

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

Mining

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

Utilities

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

Construction

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

Manufacturing

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

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

Wholesale Trade, Durable Goods

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

Wholesale Trade, Nondurable Goods

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

Wholesale Trade, Electronic Markets and Agents and Brokers

4251 Wholesale electronic markets and agents and brokers

Retail Trade

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

Transportation and Warehousing

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

Information

5111 Newspaper, periodical, book, and directory publishers
5112 Software publishers

5121 Motion picture and video industries
5122 Sound recording industries
5151 Radio and television broadcasting
5152 Cable and other subscription programming
5171 Wired telecommunications carriers
5172 Wireless telecommunications carriers, except satellite
5174 Satellite telecommunications
5179 Other telecommunications
5182 Data processing, hosting, and related services
5191 Other information services

Finance and Insurance

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

Real Estate and Rental and Leasing

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

Professional, Scientific, and Technical Services

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

Management of Companies and Enterprises

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

Administrative and Support and Waste Management and Remediation Services

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

Educational Services

6110 Educational services

Health Care and Social Assistance

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

Arts, Entertainment, and Recreation

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

Accommodation and Food Services

7210 Accommodation
7220 Food services and drinking places

Other Services

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

Public Administration

9200 Public administration

**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

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

Fax reports to: (301) 278-9504

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 Enterprise

010	Company Name 1		
011	In Care Of 1		
012	Attention 1		
013	Street 1		
014	Street 2		
015	City	State 2	Zip 3
	Country		

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 \$3 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.

BE-13 Claim for Exemption

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	Telephone Number 2	Extension 3
021	Street 1 1	(_ _ _) _ _ _ - _ _ _ _ _	
022	Street 2 1	Fax Number 2	
023	City 1	(_ _ _) _ _ _ - _ _ _ _ _	E-mail Address 4
	State 2		
	Zip 3		
	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		(_ _ _) _ _ _ - _ _ _ _ _	
025		(_ _ _) _ _ _ - _ _ _ _ _	

BE-13 Claim for Exemption

1 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.

3

- 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?

- 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 \$3 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.

BE-13 Claim for Exemption

TRANSACTION INFORMATION

Month Day Year

1

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

3 On the date provided in **2**, what was the legal name of the acquired, newly established, or expanding U.S. business enterprise?

105 1

Notes (optional):

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

- 052 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 **5**.
- 1 2 Establishment of a new U.S. affiliate.
When answering the following questions, report projections for the end of the first fiscal year of operations.
 PROCEED to question **5**.
- 1 4 Expansion of an existing U.S. affiliate.
When answering the following questions, report projections for the end of the first 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 **13**.

FINANCIAL AND OPERATING INFORMATION

For the acquired or newly established business enterprise, or the expansion, as of the date specified by the response in **4**, what are the total:

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

9 Number of employees when fully operating?

- Include all full-time and part-time employees 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

BE-13 Claim for Exemption

FINANCIAL AND OPERATING INFORMATION

For the acquired or newly established business enterprise, or the expansion, as of the date specified by the response in **4**:

10 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/NAICS2012 for detailed descriptions.)

423 1

11 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)

202 1

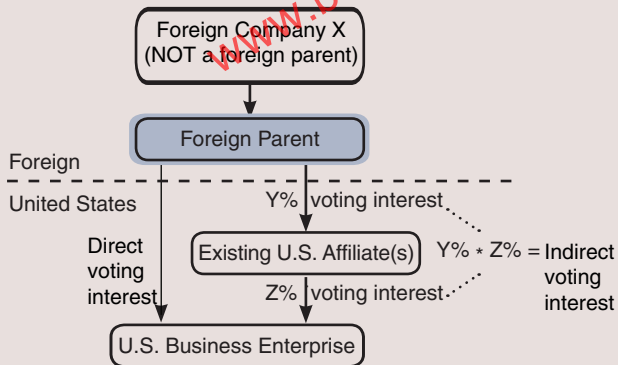
12 In which country is the U.S. business enterprise's ultimate beneficial owner (UBO) incorporated?

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

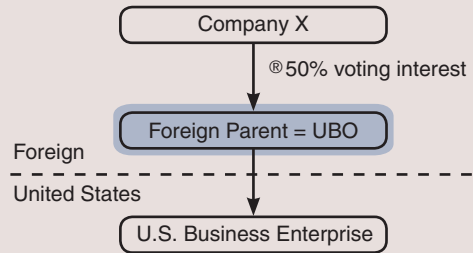
212 1

This historical survey form is no longer valid and is for information purposes only. Current survey forms are at www.bea.gov/help/information-for-survey-respondents.

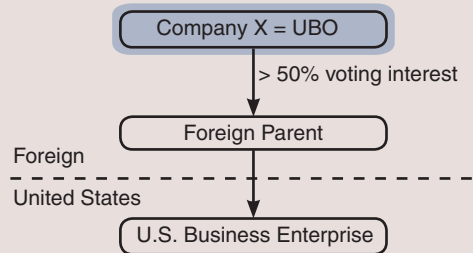
EXAMPLE 1. Foreign Parent



EXAMPLE 2. Foreign Parent is UBO



EXAMPLE 3. Foreign Parent is Not UBO



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

- If the entity operates in more than one state, then select the state where the greatest number of the employees are based.
- If there are no employees and there is no physical location, then select the state of incorporation.

422 1

RETURN TO COVER PAGE FOR FILING INSTRUCTIONS

SUMMARY OF INDUSTRY CLASSIFICATIONS (ISI codes)

For a full description of each classification, see www.bea.gov/naics2012

Agriculture, Forestry, Fishing, and Hunting

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

Mining

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

Utilities

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

Construction

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

Manufacturing

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

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

Wholesale Trade, Durable Goods

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

Wholesale Trade, Nondurable Goods

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

Wholesale Trade, Electronic Markets and Agents and Brokers

4251 Wholesale electronic markets and agents and brokers

Retail Trade

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

Transportation and Warehousing

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

Information

5111 Newspaper, periodical, book, and directory publishers
5112 Software publishers

5121 Motion picture and video industries
5122 Sound recording industries
5151 Radio and television broadcasting
5152 Cable and other subscription programming
5171 Wired telecommunications carriers
5172 Wireless telecommunications carriers, except satellite
5174 Satellite telecommunications
5179 Other telecommunications
5182 Data processing, hosting, and related services
5191 Other information services

Finance and Insurance

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

Real Estate and Rental and Leasing

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

Professional, Scientific, and Technical Services

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

Management of Companies and Enterprises

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

Administrative and Support and Waste Management and Remediation Services

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

Educational Services

6110 Educational services

Health Care and Social Assistance

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

Arts, Entertainment, and Recreation

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

Accommodation and Food Services

7210 Accommodation
7220 Food services and drinking places

Other Services

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

Public Administration

9200 Public administration

**MANDATORY — CONFIDENTIAL***

SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES FORM BE-13D

(Report for the Expansion of an Existing U.S. Affiliate)

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

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

Fax reports to: (301) 278-9504

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

Name and mailing address of U.S. Business Enterprise

010	Company Name	1		
011	In Care Of	1		
012	Attention			
013	Street 1	1		
014	Street 2	1		
015	City	State	Zip	
		2	3	
	Country	4		

Due date: No later than 45 calendar days after the expansion is initiated.

WHO MUST REPORT

A BE-13D report must be filed by an existing U.S. affiliate of a foreign parent when it expands its operations to include a new facility where business is conducted and the projected total cost of the expansion is greater than \$3 million.

INCLUDE:

- Construction or lease of a new facility by an existing U.S. affiliate.
- Construction of a facility that is intended for lease or sale by an existing U.S. affiliate.
- Expansion of an existing facility if the expansion involves new buildings or structures.
- Purchase of U.S. real estate including land, or rights to land, on which you intend to perform construction.

EXCLUDE:

- Transfer of existing operations from one location to another.
- Replacement of equipment or upgrade of an existing facility.

OTHER BE-13 FORMS

Go to www.bea.gov/be13 for more information about other BE-13 forms.

Form BE-13A covers certain acquisitions of a U.S. business enterprise by a foreign entity.

Form BE-13B covers certain establishments of a new legal entity in the United States by a foreign entity.

Form BE-13E covers cost updates for previously filed Form BE-13B or BE-13D.

Form BE-13 Claim for Exemption covers certain transaction that are not required to be filed on Forms BE-13A, BE-13B, and BE-13D.

*See page 8 for penalties and confidentiality statements.

BE-13D – Instructions and Contact Information

INSTRUCTIONS

\$ Bil. Mil. Thous. Dols.

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

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

1	1 335 ,000	
---	------------	--

Estimates: If actual amounts are not available, supply estimates and specify in the notes section.

Definitions: Underlined terms are defined on page 9.

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

Notes

This historical survey form is no longer valid
and is for information purposes only.
Current survey forms are at
www.bea.fov/help/information-for-survey-respondents.

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-13D – Expansion Information

Month Day Year

1 What date did the expansion project begin? 101

1
____ / ____ / ____

2 What is the legal name of the expanding U.S. affiliate and its BEA ID, if it has one?

105	U.S. Affiliate 1	BEA ID 2
-----	---------------------	-------------

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 enterprise.

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.

3 Is the address of the new facility different from the address on the cover page?

500	1	1	Yes – Provide address:	Name 2	
		2	No		
	501	Street 1 1		Street 2 2	
	502	City 1		State 2	Zip 3

4 What is the total expected cost to all foreign parents' affiliated foreign groups (AFG, see EXAMPLE 1) and their U.S. affiliates to set up the new facility?

INCLUDE:

- All expenses to set up the new facility including, but not limited to: land; property, plant and equipment expenditures; intellectual property rights; fees, taxes, permits, licenses, and miscellaneous other costs.
- Actual expenditures from past years and expected expenditures for current and future years.

EXCLUDE:

- The cost to any U.S. or foreign entity that is not affiliated with any of the foreign parents.

\$ Bil. Mil. Thous. Dols.

Total cost. 102 1 _____ ,000

Affiliated foreign group means:

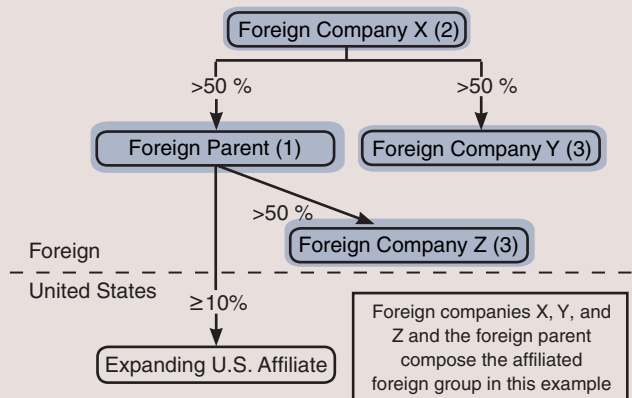
- (1) the foreign parent,
- (2) any foreign entity, proceeding up the foreign parent's ownership chain, that owns more than 50 percent of the entity below it up to and including that entity which is not owned more than 50 percent by another foreign entity, and
- (3) any foreign entity, proceeding down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

(As used here, "entity" is synonymous with "person," as that term is used in the broad legal sense.)

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

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.

EXAMPLE 1. Affiliated Foreign Group



5 How many foreign parents (direct, and/or indirect through other U.S. affiliates) does the expanding U.S. affiliate have? . . . 180

Number of
Foreign Parents

1 _____

NOTE: If there is more than one foreign parent (direct, and/or indirect through other U.S. affiliates) complete **6** through **12** for each additional foreign parent on a separate page. Additional copies of these pages may be downloaded from www.bea.gov/be13.

NOTE: If there is more than one foreign parent (direct, and/or indirect through other U.S. affiliates) complete **6** through **12** for each additional foreign parent on a separate page. Additional copies of these pages maybe downloaded from www.bea.gov/be13.

IDENTIFYING THE FOREIGN PARENT

6 What is the name of this foreign parent?

If this foreign parent is an individual who owns 10 percent of the voting interest (directly, and/or indirectly through other U.S. affiliates) in the expanding U.S. affiliate, write "individual" instead of the individual's name.

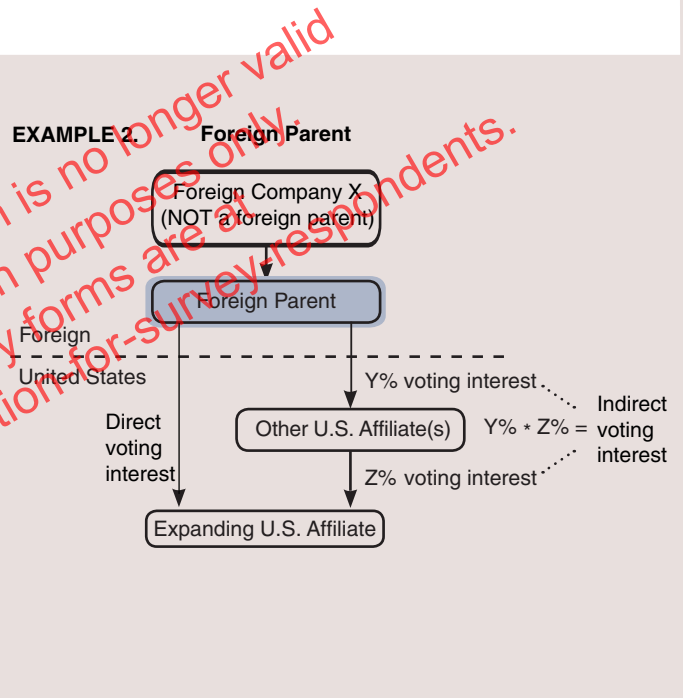
201 1

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

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

- 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.

EXAMPLE 2 Foreign Parent



7 What is this foreign parent's country of incorporation?

If the foreign parent is an individual or government, provide the country of residence. For individuals who do not reside in their country of citizenship, please follow the guidelines for country of residence on page 9.

Country of Foreign Parent

202 1

8 What is this foreign parent's industry code?

- Select the category below which best describes the PRIMARY activity of the SINGLE entity named as the foreign parent. (The codes are also listed on page 8.)
- DO NOT base the code on the worldwide sales of all consolidated subsidiaries of the foreign parent.
- If the UBO is an individual, select the category "05 - Individual."

203 1

IDENTIFYING THE ULTIMATE BENEFICIAL OWNER (UBO)

9 Is this foreign parent also the ultimate beneficial owner (UBO)? (See EXAMPLES 3 and 4)

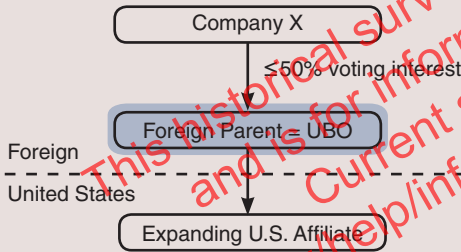
- The UBO is the entity, proceeding up the ownership chain that includes the foreign parent, whose voting interest is not more than 50 percent owned by another entity.
- If the foreign parent is owned or controlled more than 50 percent by another entity, then the foreign parent is NOT the UBO.

210 1 1 Yes — SKIP to **12**
 1 2 No

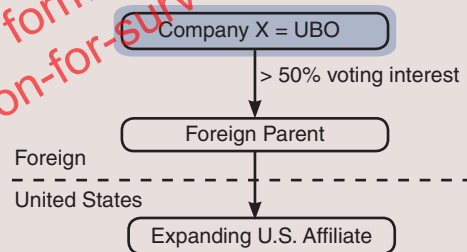
Voting interest is the percent of ownership in the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.

- 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.

EXAMPLE 3. Foreign Parent is UBO



EXAMPLE 4. Foreign Parent is Not UBO



10 What is the name of the UBO?

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

211 1

11 What is the UBO's country of incorporation?

If the UBO is an individual or government, provide the country of residence. For individuals who do not reside in their country of citizenship, please follow the guidelines for country of residence on page 9.

Country of UBO

212 1

12 What is the UBO's industry code?

- Select the category below which best reflects the consolidated worldwide sales of the UBO, including all majority-owned subsidiaries. (The codes are also listed on page 8.)
- If the UBO is an individual, select the category "05 - Individual."
- Do not use code 14 unless you receive permission from BEA.

213 1

NOTE: If there is more than one foreign parent (direct, and/or indirect through other U.S. affiliates) complete **6** through **12** for each additional foreign parent on a separate page. Additional copies of these pages may be downloaded from www.bea.gov/be13.

FINANCIAL AND OPERATING INFORMATION

13 What are the projected annual sales, or gross operating revenues, of the new facility when it is fully operating?

Only include revenue attributed to the expansion, not the entire U.S. affiliate.

\$ Bil. Mil. Thous. Dols.

403 1 ,000

14 What is the projected number of employees associated with the new facility when it is fully operating?

- Include all full-time and part-time employees expected to be on the payroll.
- Exclude contract workers and other workers not expected to be carried on the payroll.
- If the new facility's activity will involve large seasonal variations, report a number that represents an average over a year.
- Only include employees located in the new facility, not the entire U.S. affiliate.

Projected Number of Employees

405

15 How many employees did the new facility have at the time of this filing?

- Include all full-time and part-time employees on the payroll.
- Exclude contract workers and other workers not carried on the payroll.
- Exclude employees working at a previously existing facility.

Current Number of Employees

506 1

16 What will be the major activities of the new facility when it is fully operating? Check all that apply.

- 420
- 1 Producer of goods
 - 2 Seller of goods it does not produce
 - 3 Producer or distributor of information
 - 4 Provider of services
 - 5 Real estate
 - 6 Other—Specify:

17 What are the major products and/or services involved in the activities identified in 16?

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

421

18 What will be the new facility's four-digit industry classification?

Select the category below which best describes the industry classification in which the new facility is expected to have the largest amount of sales or gross operating revenues. (See list on page 10 or go to www.bea.gov/NAICS2012 for detailed descriptions.)

423 1

19 In which state will the new facility be located?

422 1

20 Will the new facility conduct research and development activities?

- 424 1 1 Yes
- 1 2 No

This historical survey form is no longer valid and is for information purposes only. www.bea.gov/help/information-for-survey-respondents.

BE-13D – Project Information

PROJECT INFORMATION

21 Is the new facility currently under construction?

- 508
- ¹ 1 Yes
 - ¹ 2 No, construction has yet to begin
 - ¹ 3 No, construction is complete – Provide completion date:
 - ¹ 4 No, the project has been canceled
 - ¹ 5 No, construction is not required for this facility

Month Day Year

--	--	--

For **22** and **23**, break down the total expected cost to set up the new facility by type and by fiscal year.

Total expected cost reported in **4**

\$	Bil.	Mil.	Thous.	Dols.
				,000

22 How much of the total expected cost to set up the new facility is for:

- A. Land?** 510
- B. Property, plant, and equipment?** Include construction. Exclude land. 512
- C. Intellectual property rights?** 514
- D. Fees, taxes, permits, licenses?** 515
- E. Other costs?** Describe in notes section on page 2 516

Sum of **22 A** through **22 E:**

This should match the total reported in **4**

The difference is currently:

\$	Bil.	Mil.	Thous.	Dols.
				,000
				,000
				,000
				,000
				,000
				,000
				,000

23 In which years will the total expected cost be incurred and how much each year?

- Only include leases until the business is fully operating.
- Provide actual cash or in-kind outlays, not depreciation.
- Use the expanding U.S. affiliate's fiscal calendar for determining year.

	Fiscal Year	\$	Bil.	Mil.	Thous.	Dols.
550	1					,000
551	1					,000
552	1					,000
553	1					,000
554	1					,000
555	1					,000
556	1					,000
557	1					,000
558	1					,000
559	1					,000

Sum of all yearly costs in **23**:

This should match the total reported in **4**

The difference is currently:

						,000
						,000

NOTE: BEA will request updated project information each year until final data are collected.

RETURN TO COVER PAGE FOR FILING INSTRUCTIONS

SURVEY INFORMATION

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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-13D form is estimated to average 1.2 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing burden, to: Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, 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 our 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.

FOREIGN PARENT AND UBO INDUSTRY CODES

Note: "ISI codes" are International Surveys Industry codes, as given in the *Guide to Industry Classifications for International Surveys, 2012*, available at www.bea.gov/naics2012. See the Summary of Industry Classifications on page 10 of this form.

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

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 enterprise.

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.

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

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

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

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

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

Foreign parent 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 new U.S. business enterprise.

Research and development (R&D) is planned, creative work aimed at discovering new knowledge or developing new or significantly improved goods and services. This includes

- (1) activities aimed at acquiring new knowledge or understanding without specific immediate commercial application or use (basic research);
- (2) activities aimed at solving a specific problem or meeting a specific commercial objective (applied research); and
- (3) systematic use of research and practical experience to produce new or significantly improved goods, services, or processes (development).

R&D does NOT include expenditures for costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project; market research; efficiency surveys or management studies; literary, artistic, or historical projects, such as films, music, or books and other publications; prospecting or exploration for natural resources.

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 geographic 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.

SUMMARY OF INDUSTRY CLASSIFICATIONS (ISI codes)

For a full description of each classification, see www.bea.gov/naics2012

Agriculture, Forestry, Fishing, and Hunting

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

Mining

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

Utilities

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

Construction

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

Manufacturing

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

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

Wholesale Trade, Durable Goods

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

Wholesale Trade, Nondurable Goods

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

Wholesale Trade, Electronic Markets and Agents and Brokers

4251 Wholesale electronic markets and agents and brokers

Retail Trade

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

Transportation and Warehousing

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

Information

5111 Newspaper, periodical, book, and directory publishers
5112 Software publishers

5121 Motion picture and video industries
5122 Sound recording industries
5151 Radio and television broadcasting
5152 Cable and other subscription programming
5171 Wired telecommunications carriers
5172 Wireless telecommunications carriers, except satellite
5174 Satellite telecommunications
5179 Other telecommunications
5182 Data processing, hosting, and related services
5191 Other information services

Finance and Insurance

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

Real Estate and Rental and Leasing

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

Professional, Scientific, and Technical Services

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

Management of Companies and Enterprises

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

Administrative and Support and Waste Management and Remediation Services

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

Educational Services

6110 Educational services

Health Care and Social Assistance

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

Arts, Entertainment, and Recreation

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

Accommodation and Food Services

7210 Accommodation
7220 Food services and drinking places

Other Services

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

Public Administration

9200 Public administration

**MANDATORY — CONFIDENTIAL**

SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES

FORM BE-13E

(2016 FYE Cost Update for Projects Originally Reported on Forms BE-13B and BE-13D)

Please enter the Project Name, BEA ID and Transaction Date from the letter you received:

	105	1			
Project Name:			Month	Day	Year
	005	3			
BEA ID:			101	1	
			/	/	/
			Transaction Date:		

Name and mailing address of U.S. Business Enterprise

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

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

Fax reports to: (301) 278-9504

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

010	Company Name				
	1				
011	In Care Of				
	1				
012	Attention				
	1				
013	Street 1				
	1				
014	Street 2				
	1				
015	City		State	Zip	
	1		2	3	
	Country				
	4				

Due date: No later than 45 days after the request date.

Who must report: A BE-13E report must be filed by a U.S. business enterprise that previously filed a BE-13B or BE-13D each year until final data are collected.

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

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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-13E form is estimated to average 45 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.

BE-13E – Instructions and Contact Information

INSTRUCTIONS

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

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

\$ Bil. Mil. Thous. Dols.

1	1 335 ,000	
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Estimates: If actual amounts are not available, supply estimates and specify in the notes section.

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

This historical survey form is no longer valid
and is for information purposes only.
Current survey forms are at
www.bea.fov/help/information-for-survey-respondents.

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-13E – Project Information Update

Please provide updates to the information reported on a previously filed BE-13B, BE-13D, or BE-13E:

1 What was the end date for the fiscal year ending in 2016?400

	Month	Day	Year
	1	/	2016
	__	/	__

2 Was this new business or facility under development, as of the date given in **1**?

508 1 Yes

1 2 No, the project has yet to begin

1 3 No, the project is complete – Provide completion date.

1 4 No, the project has been canceled

	Month	Day	Year
	2	/	__
	__	/	__

3 What is the total expected cost associated with setting up this new operation or facility?
Include actual completed and projected future expenditures517

	\$ Bil.	Mil.	Thous.	Dols.
	1			,000

4 What are the actual completed expenditures and updated projected future expenditures, by fiscal year?
 • Only include leases until the business is fully operating.
 • Provide actual cash or in-kind outlays, not depreciation.
 • Use the business's fiscal calendar for determining year.

	Fiscal Year	\$ Bil.	Mil.	Thous.	Dols.
550	1 2014	2			,000
551	1 2015	2			,000
552	1 2016	2			,000
553	1 2017	2			,000
554	1 2018	2			,000
555	1 2019	2			,000
556	1 2020	2			,000
557	1 2021	2			,000
558	1 2022	2			,000
559	1 2023	2			,000

Sum of all yearly expenditures in **4** : 525 2 ,000

This should match the total reported in **3** : ,000

The difference is currently: ,000

5 How much of the expenditures (reported in **4**) for the fiscal year ending in 2016, are for:

	\$ Bil.	Mil.	Thous.	Dols.
A. Land?750	1			,000
B. Property, plant, and equipment? Include construction. Exclude land.752	1			,000
C. Intellectual property rights?754	1			,000
D. Fees, taxes, permits, and licenses?755	1			,000
E. Other costs? Describe in notes section on page 2.756	1			,000

Sum of **5 A** through **5 E**: 757 1 ,000

This should match the expenditures for 2016 reported in **3** : ,000

The difference is currently: ,000

RETURN TO COVER PAGE FOR FILING INSTRUCTIONS