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public reporting burden for related Forms BE- to 4 hours per response, with an average of 1. ime for reviewing instructions, searching exist maintaining the data needed, and completing a formation. Send comments regarding this burn collection of information, including suggestions read of Economic Analysis (BE-1), U.S. Departr IC 20230; and to the Office of Management and ect 0608-0035, Washington, DC 20503.	5 hours p ing data s and review den estim s for reduction ment of C	er respources wing to ate or coing the comme	ponse s, he any onis bu erce,	other
/hoever fails to report shall be subject to a civil to more than \$25,000, and to injunctive relief coth. Whoever willfully fails to report shall be fine vidual, may be imprisoned for not more than or oyee, or agent of any corporation who knowing in conviction, may be punished by a like fine, im 5)	mmandin ed not mo ne year, o gly partici	g such re than r both pates	n \$10 n \$10 . Any in suc	on to ,000 officer th
IT – Read instructions before completing	report.	A		
or 5 is marked, complete Parts II, IV, V, an oplete Parts II through VI; if item 4 is mari	d VI; if it ked, com	em 3 plete	is Part	s III
entification and Ownership Structure of				
nis Part is to be completed only if item 1 and address of new U.S. affiliate			mar	ked.
Name of new U.S. affiliate	USE	103 1		
104 1	Ш	П	П	
Street or PO Box		ALE IE		
105-11				
City and State		ZI	P Co	de
of new U.S. affiliate - Percent of		Perc	ent	
s and equity interest for an incorporated or an equivalent interest for an	Votin	g	Total	equit
ed U.S. affiliate, owned DIRECTLY by -	(1)	1913		(2)
ign parent(s), including the parent(s) with a newly acquired		0/		
nvestment ownership interest 109  affiliate(s) of foreign parent(s),	2	_ %	3	%
ng the existing U.S. affiliate(s) newly acquired ownership				
110		_%		%
	2		3	
oreign persons 111	2	_%	3	%
	2		3	
J.S. persons 112  - Sum of items 11–14	100.0	_%	3	% 0.0%
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INITIAL REPORT ON A FOREIGN PERSON'S DIRECT OR INDIRECT ACQUISITION, ESTABLISHMENT, OR PURCHASE OF THE OPERATING ASSETS, OF A U.S. BUSINESS ENTERPRISE, INCLUDING REAL ESTATE MANDATORY – CONFIDENTIAL The combine to vary from including the gathering and collection of aspect of this to Director, B **U.S. Department of Commerce** MAIL REPORTS Bureau of Economic Analysis BE-49(NI) Washington, Reduction Pr Washington, DC 20230 Penalties - \ \$2,500, and n OR U.S. Department of Commerce Bureau of Economic Analysis, BE-49(NI) DELIVER REPORTS TO comply, or be Shipping and Receiving Section M-100 1441 L Street, NW Washington, DC 20005 director, emp violation, upo (22 U.S.C. 31) This report is to be completed either (a) by a U.S. business enterprise when a foreign person (hereinafter, the "foreign parent") establishes or acquires directly, or indirectly through an existing U.S. affiliate, a 10 percent or more voting interest in that enterprise, including an enterprise that results from the direct or indirect acquisition by a foreign person of a business segment or operating unit of an existing U.S. business enterprise that is then organized as a separate legal entity; or
(b) by the existing U.S. affiliate of a foreign person (hereinafter, the "existing U.S. affiliate") when it acquires a U.S. business enterprise, that the existing U.S. affiliate merges into its own operations rather than continuing or organizing as a separate legal entity.
NOTE: Real estate purchased for other than personal use constitutes. IMPORTA If item 1, 2, marked, co through VI Part II 10. Name a NOTE: Real estate purchased for other than personal use constitutes a "business enterprise." Separate parts V and VI must be completed and filed for each foreign parent or existing U.S. affiliate that established or acquired a direct voting interest in the U.S. business enterprise, business segment, operating unit, or real estate. Part I Type of Transaction and Date of Completion The foreign parent or existing U.S. affiliate (Mark (X) one of items through 5) -Ownership voting share 1. 101 1 1 created a new legal entity, either incorporated or unincorporated, including a branch, that it organized and began operating as a new U.S. business unincorpora 11. All for enterprise. secured a voting equity interest in a previously existing, separate legal entity that was already organized and operating as a U.S. business enterprise and that it continued to operate as a separate legal entity, either incorporated or unincorporated, including a branch. direct All U. includ with a intere 13 bought a business segment or operating unit of an existing U.S. business enterprise, that it organized as a new separate legal entity, either incorporated or unincorporated, including a branch. 3. 13. Other 14 The existing U.S. affiliate bought a U.S. busines Other enterprise, or business segment or operating unit of a U.S. business enterprise, and merged it into its own operations rather than continuing or organizing it as 15. TOTA a separate legal entity. Part III Id <sup>1</sup>5 directly purchased U.S. real estate The newly created legal entity, the newly acquired U.S. business enterprise, business segment, or operating unit, and the directly purchased real estate are hereinafter referred to as the "new U.S. affiliate" 16a. Name Month Day Year office 6. Date on which transaction 102 was completed 7. Did the foreign parent or existing U.S. affiliate hold a direct ownership interest in the new U.S. affiliate immediately prior to 114 1 1 Yes 12 No the date given in item 6? 8. If the answer to item 7 is "Yes," give the percent ownership interest that the new foreign parent or existing U.S. affiliate previously held in the new U.S. affiliate, the cost of such investment and the date(s) acquired. (The cost entered here should not be included in the cost of the transaction that qualified the U.S. business enterprise as a U.S. affiliate and that is reported in item (6). in item 46.) 16b. Name Cost Date(s) acquired Percent Thous. Month Day Year Mil. Ril Dols. Primary employer identification number to be used by the new U.S. affiliate to file income and payroll taxes. Enter E.I. Number 107 1 108 USE Continue in next column BE **BEA USE ONLY** 122 123 138 PERSON TO CONSULT CONCERNING QUESTIONS ABOUT THIS REPORT – Enter name and address CERTIFIC/ substantiall estimates h accounting records or precise data could not be obtained without undue burden. Authorized official's signature Area code Print or type name and title Date U.S. TELEPHONE NUMBER

FORM **BE-13** 

U.S. DEPARTMENT OF COMMERCE

BUREAU OF ECONOMIC ANALYSIS

CONTROL

Part IV Selected Financial and Operating Data This Part is to be completed in the case of all types of transactions covered by items 1 through 5, Part I, on previous page.	U.S. AFFILIATE IND If for an incorporated U.S. af from the viewpoint of	filiate,	this item	is to b	be con	nplete	ed
BEA 124 1 2 USE	22. Major activity of fully consol acquired or established – Mai intended activity.						
For items 17 through 20	Extracting of oil or minerals and development)	(includi	ng explora	ation			
If Item 1 or 5, Part I, is marked – Where the investment represents the establishment of a new U.S. business enterprise, or the direct purchase of real estate, the data should be projections for or as of the end of the first full year of operations. Use projections made in the course of planning the investment if available; otherwise give best estimate. (Exception – For direct purchase of real estate, the asset value should be the value at time	☐ Manufacturing (fabricating, a ☐ Construction ☐ Selling or distributing goods ☐ Real estate (investing in, or manager, developer, lessor,	angagin	g in as an	operat		*5	
of closing.)	☐ Providing a service ☐ Other - Specify →	Ura			der	10	
If item 2, 3, or 4, Part I, is marked – Data should be for the fully consolidated U.S. business enterprise, or business segment or operating unit, acquired. Data	is here	*	40	OU			
should be for or as of the end of the most recent financial year preceding acquisition. Exclude from full consolidation all foreign business enterprises owned by this U.S. affiliate; include such foreign enterprises only by the equity or cost method of accounting. (See	23. Major product or service inversely also state what is done to it, i.e. sold at wholesale, transported,	whethe	er it is mir				
Section II.G. of Instructions.)  For item 21	the form result						
If item 1, 4, or 5, Part I, is marked - The data should	24. Sales of newly acquired or es						ry -
show the number of acres included in the purchase.  If item 2 or 3, Part I, is marked The data should	Enter (beginning with the larges code(s) and the amount of sales sales figures should represent the annual sales or gross operating	associa ne new a revenue	ated with e affiliate's a es (exclud	each co most re ing sal	ode. The ecent es taxe	ne es).	
show the number of acres owned by the new U.S. affiliate upon completion of the investment transaction.	In the case of a new or non-ope breakdown of sales. See the list of industry codes on		ISI code	T THE		les	
17. Give ending date for the	page 4. If you use fewer than eight codes, you must account for total sales.		(1)	Bil.		Thous.	Dols
year that these Part IV data are for, or as of	a. Enter code with	1		2	1	I	1
Amount  Bil.   Mil.   Thous,   Dols.	largest sales  b. Enter code with	201		2			
18. Total assets – If assets are to be revalued due to the acquisition, show the value after revaluation.	2nd largest sales  c. Enter code with 3rd largest sales	202		2	 	   	i !
19. Net income after provision for	d. Enter code with	1		2			
U.S. Federal, State, and local income taxes 133	4th largest sales  e. Enter code with 5th largest sales	204		2	 		!
20. Number of employees – Include	f. Enter code with	1		2	1		
part-time employees. (See Section VIII of Instructions.)	6th largest sales g. Enter code with	206		2			
21. All acres of U.S. land owned, whether carried in a fixed asset, investment	7th largest sales	207			1	I	1
or other asset account – Give number to nearest whole acre. 135	h. Enter code with 8th largest sales	208		2	1	 	<u> </u>
BEA USE ONLY	i. Sales not accounted for above	209		2	1		
Continue in next column	TOTAL SALES – Sum of lines a through i	132		2	1	l I	l I
Part V Investment Incentives and Services Provided by State Including Quasi-government Entities	or Local Governments -						
This Part to be completed in the case of all types of tr	ransactions covered by						
items 1 through 5, Part I, on previous page.				Mark ()	X) one	box	
25. Were any specific State or local government incentives or detailed in items 27 through 29 below) received in connect transaction?		140	1 1	Ves	1	2 N	lo.
26. If the answer to item 25 is "Yes," were these incentives or serv	vices a significant factor in the		1		1		
decision to invest in a given region of the United States or  If the answer to item 25 is "Yes," indicate the category(ies) which		141	1 🗆	Yes		2 🗆 N	10
or local incentives or services. Mark (X) yes or no for each category is applicable, and complete item 30.		ate	1		1		
27. Taxation – Such as investment tax credit; tax exemption; and tax	x reduction or holiday.	142	1 🗆	Yes		2 🗆 N	lo
28. Financing programs – Such as industrial revenue bonds; direct credits from development credit corporations; grants; and prefere		143	1 1 🗆	Yes	1	2 🗆 N	lo
29. Other – Such as State-financed recruiting programs, training pro R&D assistance, road building, and other services or incentives the	grams, relocation services, studies, nat are of monetary value.	144	1 1 🗆	Yes	1	2 🗆 N	lo
30. State, or State of location of local government unit, from v	which the incentives or services w	ere rec	eived.				
If more than one, enter all States from which received.  a. State							
		BEA U	SF 145	1			
							-1-0
b. State							
		BEA U	SE 145	2			
c. State							
		BEA U	SE 145	3			

3-Digit ISI Codes for the Industry Classification of New U.S. Affiliate (Item 24) and 2-Digit Industry Codes for Classification of Foreign Parent and Ultimate Beneficial Owner (UBO) (Items 38 and 43)

The International Surveys Industry (ISI) classifications below are to be used in completing item 24. The classifications are defined in the "Guide to Industry and Foreign Trade Classifications for International Surveys," prepared by the Bureau of Economic Analysis. The guide is available upon request. The titles of some ISI classifications, by themselves, may be insufficient to determine the classifications of certain activities. Consult the more detailed descriptions provided in the guide to be sure of the correct classification.

The 2-digit industry codes for the foreign parent and the UBO are to be used in completing items 38 and 43.

# SUMMARY OF INTERNATIONAL SURVEYS INDUSTRY (ISI) CLASSIFICATIONS

AGRICULTURE, FORESTRY, AND FISHING	MANUFACTURING - Continued	1

010	Agricultural production - crops
020	Agricultural production - livestock
	and animal specialties

Agricultural services 070

080 Forestry

090 Fishing, hunting, and trapping

### MINING

Iron ores

Copper, lead, zinc, gold, and silver ores

102 107 Other metallic ores

108 Metal mining services

120 Coal

Coal mining services 124

Crude petroleum extraction (no refining) 133 and natural gas

Oil and gas field services 138

Nonmetallic minerals, except fuels 140

148 Nonmetallic minerals services, except fuels

## CONSTRUCTION

150 Construction

## MANUFACTURING

201 Meat products

Meat products
Dairy products
Preserved fruits and vegetables 202 203

Grain mill products 204

205 Bakery products

208 Beverages

Other food and kindred products 209

210 Tobacco products

Textile mill products 220 Apparel and other textile products 230

240

250

Lumber and wood products Furniture and fixtures 262

Pulp, paper, and board mills Other paper and allied products 265

271 Newspapers

272 Miscellaneous publishing

275 Commercial printing and services

281 Industrial chemicals and synthetics

283 Drugs

284 Soap, cleaners, and toilet goods

Agricultural chemicals 287

289 Chemical products, n.e.c. 291

Integrated petroleum refining and extraction

292 Petroleum refining without extraction

299 Petroleum and coal products, n.e.c.

305 Rubber products

308 Miscellaneous plastics products

310 Leather and leather products

Glass products 321

329 Stone, clay, concrete, gypsum, and other nonmetallic mineral products

331

Primary metal industries, ferrous Primary metal industries, nonferrous 335

Metal cans, forgings, and stampings 341

342 Cutlery, hardware, and screw products Heating equipment, plumbing fixtures,

and structural metal products

Metal services; ordnance; and fabricated 517 349 metal products, n.e.c.

351 Engines and turbines

Farm and garden machinery 352 Construction, mining, and materials 353

handling machinery Metalworking machinery Special industry machinery 354

355 356

General industrial machinery Computer and office equipment 357

Refrigeration and service industry 358 machinery

359 Industrial and commercial machinery, n.e.c.

363

Household appliances Household audio and video, and 366 communications equipment

Electronic components and accessories Electrical machinery, n.e.c. 367

369

Motor vehicles and equipment Other transportation equipment 379

381 Measuring, scientific, and optical instruments

384 Medical instruments and supplies and ophthalmic goods Photographic equipment and supplies

386 Miscellaneous manufacturing industries 390

# TRANSPORTATION, COMMUNICATION, AND PUBLIC UTILITIES

401 Railroads

Petroleum tanker operations 441

449 Other water transportation

450 Transportation by air

Pipelines, petroleum and natural gas Pipelines, except petroleum and 461

natural gas

470

Petroleum storage for hire Passenger transportation arrangement 472

Transportation, n.e.c., warehousing, terminal facilities, and related 477 services

481 Telephone and telegraph communications

Other communications services 483 490

Electric, gas, and sanitary services

# WHOLESALE TRADE

501 Motor vehicles and equipment 503 Lumber and construction materials

504 Professional and commercial equipment and supplies

505 Metals and minerals, except petroleum

506 Electrical goods

Hardware, and plumbing and heating 507 equipment and supplies

Machinery, equipment, and supplies Durable goods, n.e.c. 508

509

Paper and paper products

512 Drugs, proprietaries, and sundries

# WHOLESALE TRADE - Continued

513 Apparel, piece goods, and notions

Groceries and related products

Farm-product raw materials
Petroleum and petroleum products 515

519 Nondurable goods, n.e.c.

# RETAIL TRADE

530 General merchandise stores

540

Food stores
Gasoline service stations 554 560 Apparel and accessory stores

Eating and drinking places Retail trade, n.e.c. 580 590

## FINANCE, INSURANCE, AND REAL **ESTATE**

600 Banks

603

Savings institutions and credit unions

Other finance 612

Life insurance 631

Accident and health insurance 632

Other insurance 639 650 Real estate

Holding companies, except bank 671 holding companies

679 Franchising, business - selling or licensing

### **SERVICES**

Hotels and other lodging places 700

Advertising

734

Services to buildings Equipment rental and leasing, except 735 automobiles and computers

736

Personnel supply services Computer processing and data 741 preparation services

Information retrieval services Computer related services, n.e.c. 742

743

Other business services 749 751 Automotive rental and leasing,

without drivers 752 Automotive parking, repair, and other services

Miscellaneous repair services 760

Motion pictures, including television tape 780 and film

Amusement and recreation services 790

Health services 800 810

Legal services 820

Educational services Engineering, architectural, and surveying 871 services

Accounting, auditing, and bookkeeping services

Research, development, and testing 873 services 874 Management and public relations

services Other services provided on a commercial 890

# **NONBUSINESS ENTITIES**

Government entities 900

Nonbusiness entities, except government

# FOREIGN PARENT AND UBO INDUSTRY CODES

01 Government and government-owned or -sponsored enterprise, or quasi-government organization or agency

02 Pension fund — Government run 03 Pension fund — Privately run

04 Estate, trust, or nonprofit organization

Private business enterprise, investment organization, or group engaged in:

06 Petroleum and natural gas: exploration, development and extraction; oil and gas field services; refining; transport; storage; and wholesale and retail trade (ISI codes 133, 138, 291, 292, 299, 441, 461, 470, 517, and 554)

**NOTE** — All industries listed below exclude petroleum subindustries included in "Petroleum and natural gas," as defined above.

07 Agriculture (ISI codes 010-090, except 070) **88** Mining (ISI codes 101—107, 120, and 140) **99** Construction (ISI code 150)

11 Transportation, communication, and public utilities (ISI codes 401, 449, 450, 462, 472, 477, 481, 483, and 490)
12 Wholesale and retail trade (ISI codes 501—515, 519, 530, 540, 560, 580, and 590)

590)

13 Banking (including bank holding companies) (ISI codes 600 and 603)

14 Holding companies (ISI code 671) 15 Other finance and insurance (ISI codes 612,

631, 632, 639, and 679) 16 Real estate — Including investing or engaging in real estate as an operator, manager, lessor, agent, or broker (ISI code 650)

17 Services (ISI codes 070, 108, 124, 148, and 700-890)

Manufacturing, including fabricating, assembly, and processing

20 Food and kindred products (ISI codes 201—209) 21 Drugs (ISI code 283)

22 Chemicals, other than drugs (ISI codes 281, 284—289) 23 Stone, clay and glass products (ISI codes 321 and 329)

24 Primary and fabricated metals (ISI codes 331, 335, 341—349)

25 Computers and office equipment (ISI code 357)

26 Nonelectrical machinery other than computers and office equipment (ISI codes 351—356, 358, and 359)
27 Electric and electronic equipment (ISI codes

363-369) 28 Motor vehicles and equipment (ISI code 29 Other transportation equipment (ISI code

379) 30 Instruments and related products (ISI codes 381-386)

31 Other manufacturing (ISI codes 210—275, 305—310, and 390)

FORM BE-13 (REV. 3/96)

05 Individual

# BE-13 INITIAL REPORT ON A FOREIGN PERSON'S DIRECT OR INDIRECT ACQUISITION, ESTABLISHMENT, OR PURCHASE OF THE OPERATING ASSETS, OF A U.S. BUSINESS ENTERPRISE, INCLUDING REAL ESTATE

# INSTRUCTIONS

### INTRODUCTION

Purpose – BE-13 reports are required in order to obtain comprehensive initial data concerning new foreign direct investment in the United States that may affect the U.S. and foreign economies.

Authority – BE-13 reports are mandatory pursuant to 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"). In Section 3 of Executive Order 11961, the President designated the Department of Commerce as the federal agency responsible for collecting the required data on direct investment, and the Secretary of Commerce has assigned this responsibility to the Bureau of Economic Analysis. The implementing regulations are contained in Title 15 CFR Part 806.

This report has been approved by the Office of Management and Budget under the Paperwork Reduction Act (44 U.S.C. 3501, et seq.).

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

Notwithstanding the above, a U.S. person is not subject to any penalty for failure to report if a valid Office of Management and Budget control number is not displayed on the form; such a number is displayed on this form.

is not displayed on the form; such a number is displayed on this form.

Confidentiality – The information filed in this report may be used only for analytical and statistical purposes and access to the information shall be available only to officials and employees (including consultants and contractors and their employees) of agencies designated by the President to perform functions under the Act. The President may authorize the exchange of the information between agencies or officials designated to perform functions under the Act, but only for analytical and statistical purposes. No official or employee (including consultants and contractors and their employees) shall publish or make available any information collected under the Act in such a manner that the person to whom the information relates can be specifically identified. Reports and copies of reports prepared pursuant to the Act are confidential and their submission or disclosure shall not be compelled by any person without the prior written permission of the person filing the report and the customer of such person where the information supplied is identifiable as being derived from the records of such customer (22 U.S.C. 3104).

Response to this inquiry is required by law. By the same law, your report to

Response to this inquiry is required by law. By the same law, your report to this Bureau is CONFIDENTIAL. It may be used only for analytical or statistical purposes and CANNOT be used for purposes of taxation, investigation, or regulation. The law also provides that copies retained in your files are immune from legal process

### I. DEFINITIONS

- **United States**, when used in a geographic sense, means the several States, the District of Columbia, the Commonwealth of Puerto Rico, and all territories and possessions of the United States.
- **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.
- Person 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).
- D. Foreign person means any person resident outside the United States or subject to the jurisdiction of a country other than the United States.
- **Direct investment** means the ownership or control, directly or indirectly, by one person of 10 per centum or more of the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.
- F. Foreign direct investment in the United States means the ownership or control, directly or indirectly, by one foreign person of 10 per centum 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.
- G. Branch means the operations or activities conducted by a person in a different location in its own name rather than through an incorporated entity.
- Affiliate means a business enterprise located in one country which is directly or indirectly owned or controlled by a person of another country to the extent of 10 per centum or more of its voting stock for an incorporated business or an equivalent interest for an unincorporated business, including a branch.
- U.S. affiliate means an affiliate located in the United States in which a foreign person has a direct investment.
- Foreign parent means the first foreign person in the ownership chain of the U.S. affiliate.
- Affiliated foreign group means (i) the foreign parent, (ii) any foreign person, proceeding up the foreign parent's ownership chain, which owns more than 50 per centum of the person below it up to and including that person which is not owned more than 50 per centum by another foreign person, and (iii) any foreign person, proceeding down the ownership chain(s) of each of these members, which is owned more than 50 per centum by the person above it.
- Foreign affiliate of foreign parent means, with reference to a given U.S. affiliate, any member of the affiliated foreign group owning the affiliate that is not a foreign parent of the affiliate.
- **U.S. corporation** means a business enterprise incorporated in the United States.
- **Business enterprise** means any organization, association, branch, or venture which exists for profitmaking purposes or to otherwise secure economic advantage, and any ownership of any real estate.
- Intermediary means an agent, nominee, manager, custodian, trust, or any person acting in a similar capacity.

### I. DEFINITIONS (Continued)

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

  - (1) Members of the same family, (2) A business enterprise and one or more of its officers and
  - directors,
    (3) Members of a syndicate or joint venture, or
    (4) A corporation and its domestic subsidiaries.
- Q. Ultimate beneficial owner (UBO) is that person, proceeding up the ownership chain beginning with and including the foreign parent, that is not more than 50 percent owned or controlled by another person. (A person who creates a trust, proxy, power of attorney, an angement, or device with the purpose or effect of divesting such owner of the ownership of an equity interest as part of a plan or scheme to avoid reporting information, is deemed to be the owner of the equity interest.)

# II. GENERAL INSTRUCTIONS

A. Who must report BE-13, Initial Report on a Foreign Person's Direct or Indirect Acquisition, Establishment, or Purchase of the Operating Assets, of a U.S. Business Enterprise, Including Real Estate, must be completed either:

- 1. by a U.S. business enterprise when a foreign person establishes or acquires directly, or indirectly through an existing U.S. affiliate, a 10 percent or more voting interest in that enterprise, including an enterprise that results from the direct or indirect acquisition by a foreign person of a business segment or operating unit of an existing U.S. business enterprise that is then organized as a separate legal entity; or
- 2. by the existing U.S. affiliate of a foreign person when it acquires a U.S. business enterprise, or a business segment or operating unit of a U.S. business enterprise, that the existing U.S. affiliate merges into its own operations rather than continuing or organizing as a separate legal entity.

One complete BE-13 report must be filed for every new U.S. affiliate. However, separate Parts V and VI must be completed and filed for each foreign parent or existing U.S. affiliate that established or acquired a direct voting interest in the U.S. business enterprise, business segment, operating unit, or real estate.

**NOTE** – Real estate purchased for other than personal use constitutes a "business enterprise."

## B. Exclusions and exemptions -

- 1. Residential real estate held exclusively for personal use and not for profitmaking purposes is not subject to the reporting requirements. A U.S. residence which is an owner's primary residence that is then leased by the owner while outside the United States but which the owner intends to reoccupy, is considered real estate held for personal use. Ownership of residential real estate by a corporation whose sole purpose is to hold the real estate and where the real estate is for the personal use of the individual owner(s) of the corporation is considered. personal use of the individual owner(s) of the corporation, is considered real estate held for personal use.
- real estate held for personal use.
  An existing U.S. affiliate is exempt from reporting the acquisition of a U.S. business enterprise, or a business segment or operating unit of a U.S. business enterprise, that it then merges into its own operations, if the total cost of the acquisition was \$1,000,000 or less, and does not involve the purchase of 200 acres or more of U.S. land. (If the acquisition involves the purchase of 200 acres or more of U.S. land, it must be reported regardless of the total cost of the acquisition.)
  An established or acquired U.S. business enterprise, as consolidated, is exempt if its total assets (not the foreign parent's or existing U.S. affiliate's share) at the time of acquisition or immediately after being established, were \$1,000,000 or less and it does not own 200 acres or more of U.S. land. (If it owns 200 acres or more of U.S. land, it must report regardless of the value of total assets.)
- report regardless of the value of total assets.)

If exempt under 2 or 3, Supplement C, "Exemption Claim, Form BE-13," which accompanies this Form, must be filed to validate the exemption.

which accompanies this Form, must be filed to validate the exemption.

NOTE: All exempt U.S. affiliates should be aware of the quarterly and annual surveys of foreign direct investment in the United States (Forms BE-15, BE-605, and BE-605 Bank) conducted by this Bureau and the exemption criteria pertaining to each (see 15 CFR Part 806.15). If a U.S. affiliate is exempt on Form BE-13, it is also exempt from filing in any of the quarterly or annual surveys at this time. However, if through internal growth, acquisitions, new infusions of capital, the purchase of land, etc., a previously exempt affiliate exceeds the exemption criteria of the quarterly and annual surveys in the future, it is the affiliate's legal responsibility to secure and file the appropriate forms. In the year that the quinquennial BE-12 benchmark survey is conducted, this Bureau will mail forms to each U.S. affiliate on our mailing list, including those exempted from filing in other surveys. If a U.S. affiliate is exempt from filing in the BE-12 survey, it may file a claim for exemption at that time. may file a claim for exemption at that time.

- C. Determining whether an individual is a foreign person or a U.S. person based on residence An individual will be considered a resident of, and subject to the jurisdiction of, the country in which physically located, subject to the following qualifications:
  - 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.
  - 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. Notwithstanding 2, 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, then such owner or employee shall nevertheless be considered a resident of the country of citizenship provided there is the intent to return within a reasonable period of time.
  - 4. Individuals and members of their immediate families who are residing 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

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## II. GENERAL INSTRUCTIONS (Continued)

- D. Reporting by intermediaries If a particular foreign direct investment in the United States is held, exercised, administered, or managed by a U.S. intermediary for the foreign beneficial owner, such intermediary shall be responsible for reporting the required information for, and in the name of, the new U.S. affiliate, and shall report on behalf of the new U.S. affiliate or shall instruct the new U.S. affiliate to submit the required information. Upon so instructing the new U.S. affiliate, the intermediary shall be released from further liability to report provided it has informed this Pureau of the data such instructions were given and intermediary shall be released from further liability to report provided it has informed this Bureau of the date such instructions were given and the name and address of the U.S. affiliate, and has supplied the new U.S. affiliate with any information in the possession of, or which can be secured by, the intermediary that is necessary to permit the new U.S. affiliate to complete the required reports. If the new U.S. affiliate is in the form of real property that includes no entity from which a report can be solicited, the U.S. intermediary of the foreign beneficial owner is required to report. When acting in the capacity of an intermediary, the accounts or transactions of the U.S. intermediary with a foreign beneficial owner shall be considered as accounts or transactions of the new U.S. affiliate with the foreign beneficial owner. To the extent such transactions or accounts are unavailable to the new U.S. affiliate, they may be required to be reported by the intermediary.

  \*\*Unusual reporting situations\*\* – It may be unclear from the forms and
- E. Unusual reporting situations It may be unclear from the forms and related instructions how certain unusual situations should be reported. This will be true particularly where there is a combination of direct plus indirect ownership interests, or where members of an affiliated foreign group have, or acquire, more than one fractional interest of less than 10 percent, but which in total adds to more than a 10 percent interest when all lines of ownership are considered. Rather than further complicating the instructions by trying to allow for all possible reporting situations, we request that those who must report for an unusual situation call us to discuss how best to report it.
- Consolidated reporting by a new U.S. affiliate A new U.S. affiliate shall file Form BE-13 on a fully consolidated basis, including in the consolidation all other U.S. affiliates in which it directly or indirectly owns more than 50 percent of the outstanding voting stock. (Foreign subsidiaries of the new U.S. affiliate are not to be included in the consolidation, except as provided below under the equity method of accounting.) However, separate reports may be filed where a given U.S. affiliate is not normally consolidated due to lack of control, provided written permission has been requested from and granted by BEA. Hereinafter, the consolidated entity is considered to be one U.S. affiliate.
  - A U.S. affiliate that is not consolidated must file its own Form BE-13
- G. Equity method of accounting Investments by the new U.S. affiliate in business enterprises not included in the consolidation and which are 20 percent or more owned shall be accounted for following the equity method of accounting. However, in these cases, intercompany items are not to be eliminated. not to be eliminated.
- H. Business segment Business segment as used in these reports is not limited to those "segments" meeting the criteria set forth in Financial Accounting Standards Board Statement Number 14.
- Accounting Standards Board Statement Number 14.

  1. Calculation of total ownership percentage A person's ownership interest in a given business enterprise may be held directly or indirectly or both. It is directly held if the person itself holds the ownership interest in the enterprise. It is indirectly held if the person holds an ownership interest in another business enterprise that, in turn, owns the given business enterprise. A person's percentage of indirect voting ownership in a given business enterprise is the product of the person's direct voting ownership percentage in the first business enterprise in the ownership chain times that first enterprise's direct voting ownership percentage of each other intervening business enterprise in the ownership chain between the person and the given business enterprise exists, the percentages of person and the given business enterprise exists, the percentages of direct and indirect ownership in all chains are summed to determine the person's total ownership percentage.

# **III. ACCOUNTING METHODS AND REPORTING PROCEDURES**

- A. Accounting methods and records Generally accepted U.S accounting principles should be followed. Corporations should generally use the same methods and records that are used to generate reports to stockholders except where the instructions indicate a variance.
- B. Annual stockholder's report U.S. affiliates issuing annual reports to stockholders are requested to furnish a copy of their annual report to
- C. Estimates If actual figures are not available, estimates should be supplied and labeled as such. When a data item cannot be fully subdivided as required, a total and an estimated breakdown of the total should be
- D. Space on form insufficient When space on a form is insufficient to permit a full answer to any item, the required information should be submitted on supplementary sheets, appropriately labeled and referenced to the item number and the form or supplement.
- E. Figures such as the number of acres and the number of employees should be reported to the nearest whole unit.
- Currency amounts should be reported in U.S. dollars rounded to thousands (omitting 000). **Do not enter** amounts in the shaded portions of each line.

EXAMPLE: If amount is \$1,334,615.00, report as:

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- G. If an item is between + or \$500.00, enter "0."
- H. Use parentheses to indicate negative numbers.

# **IV. FILING REPORTS**

- A. Extension Requests for an extension of the reporting deadline will not normally be granted. However, in a hardship case, a written request for an extension will be considered provided it is received at least 15 days prior to the due date of the report and enumerates substantive reasons necessitating the extension. BEA will provide a written response to such requests.
- Assistance If there are any questions concerning the report, telephone (202) 606–5577 during office hours 8:30 to 4:30 eastern time.

## **IV. FILING REPORTS (Continued)**

- C. Number of copies A single original copy of each form is to be filed with the Bureau of Economic Analysis. In addition, each person filing a form must retain a copy to facilitate resolution of any problems that may arise covering the data reported. (Both copies are protected by law; see statement on confidentiality in the Introduction.) File copies should be retained for 3 years after the date on which the form is due.
- D. Filing of report Reports filed by mail through the U.S. Postal Service should be sent to: U.S. Department of Commerce, Bureau of Economic Analysis, BE-49(NI), Washington, DC 20230. Reports filed by direct private delivery should be directed to: U.S. Department of Commerce, Bureau of Economic Analysis, BE-49(NI), Shipping and Receiving Section M-100, 1441 L Street, NW, Washington, DC 20005.
- Retention of copies A copy of all reports filed should be retained for 3 years beyond the report's original due date.
- F. Due date Form BE-13 is due no later than 45 days after the investment transaction occurs.

V. SPECIAL INSTRUCTIONS FOR INSURANCE COMPANIES When there is a difference, the financial and operating data are to be prepared on the same basis as an annual report to the stockholders, rather than on the basis of an annual statement to an insurance department. Valuation should be according to normal commercial accounting procedures, not at the rates promulgated by the National Association of Insurance Commissioners. Include both nonadmitted assets not acceptable for the annual statement to an insurance department and trusteed, as well as non-trusteed, assets. Specific instructions for income statement items are:

Costs and expenses relating to operations (to be used in determining net income) – Include costs relating to sales or gross operating revenues, such as policy losses incurred, death benefits, matured endowments, other policy benefits, increases in liabilities for future policy benefits, other underwriting expenses, and investment expenses.

Sales or gross operating revenues, excluding sales taxes – Include items such as earned premiums, annuity considerations, gross investment income, and items of a similar nature. Exclude income from foreign affiliates

## VI. SPECIAL INSTRUCTIONS FOR REAL ESTATE

If a business enterprise, otherwise required to report, is in the form of real property not identifiable by name, reports are required to be filed by and in the name of the beneficial owner, or in the name of such beneficial owner by the intermediary of such beneficial owner.

# Part I, items 1 through 5:

The direct purchase of real estate - unimproved land, farms, office buildings, shopping centers, etc. – shall be considered to be an item 5 transaction except where the purchase is effected by buying shares in an existing corporation, in which case it will be an item 2 transaction.

Item 10 – For real estate investments being reported, BEA is not seeking a legal description of the property, nor necessarily the address of the property itself. Since there may be no operating business enterprise as such for the investment, what is wanted is a consistently identifiable investment (i.e., U.S. affiliate) together with an address to which report forms can be mailed so that the investment (affiliate) can be reported on a consistent basis from survey to survey, or period to period. Thus, in item 10, the "name and address" of the U.S. affiliate might be:

XYZ Corp. N.V., Real Estate Investments; c/o B&K Inc., Accountants; 120 Major Street; Miami, FL XXXXX

If the investment property has a name, such as Sunrise Apartments, Acme Building, etc., the name and address in item 6 might be:

Building, etc., the name and address in item 6 might be:
Sunrise Apartments; c/o ABC Real Estate;
120 Major Street; Miami, FL XXXXX

Items 11 through 15 – If the new U.S. affiliate is not incorporated, give the percent ownership in item 11 for direct purchases by the foreign parent; and in item 12 for direct purchases by an existing U.S. affiliate.

VII. SPECIAL INSTRUCTIONS CONCERNING THE ESTABLISHMENT
OF A HOLDING COMPANY, WITH MINIMAL CAPITALIZATION,
PREPARATORY TO ACQUIRING OR ESTABLISHING
A U.S. BUSINESS ENTERPRISE
The following procedures attempt to minimize reporting of multiple step
transactions that would otherwise require the filing of several BE-13 reports
or exemption claims. The transaction date for reporting an initial
investment in a U.S. holding company, or similar entity, by a foreign
person or by an existing U.S. affiliate of a foreign person may be deferred
from the date of the initial investment if:

(1) The initial capitalization (both debt and equity) of the U.S. holding

from the date of the initial investment if:

(1) The initial capitalization (both debt and equity) of the U.S. holding company, or similar entity, is \$5,000,000 or less, and

(2) The purpose of setting up the U.S. holding company, or similar entity, is to facilitate the subsequent acquisition of a U.S. business enterprise or to establish an operating U.S. affiliate, within 180 days.

A report must be filed within 45 days of the completion of the holding company's acquisition of the U.S. business enterprise or the establishment of an operating U.S. affiliate. When the BE-13 is filed, if the holding company has not been dissolved, the report must fully consolidate the holding company and the newly acquired or established U.S. affiliate. The cost of investment, item 46, must account for all funds for both investments. A brief letter of explanation describing the situation and transaction dates should accompany the filing.

In order to qualify for this deferral, the secondary investment transaction must occur within 180 days of the acquisition or establishment of the holding company. If it does not, a BE-13 report (or exemption claim) must be filed by the U.S. holding company no later than 45 days beyond the 180-day deferral period.

VIII. SPECIFIC INSTRUCTIONS FOR REPORTING EMPLOYMENT

# VIII. SPECIFIC INSTRUCTIONS FOR REPORTING EMPLOYMENT

VIII. SPECIFIC INSTRUCTIONS FOR REPORTING EMPLOYMENT
Employment (item 20) should relate to all employees regardless of whether
they are engaged in an activity the cost of which was, or will be, charged
as an expense on the income statement, charged to inventories, or
capitalized. Include part-time and full-time workers, but exclude home
workers and independent sales personnel who are not employees. Where
the investment being reported represents the acquisition of a U.S.
business enterprise, business segment, operating unit, or the direct
purchase of real estate, (i.e., item 2, 3, 4, or 5 of Form BE-13 is marked),
give the number of employees as of the ending date for the year shown in
item 17. Employment as of a different date during the year may be used if
employment did not vary significantly during the year. If a strike or other
disruption was in progress at the end of the year, give a number that
reflects normal operations. If a business activity involves large seasonal
variation, give a number that reflects an average for the year. Where the
investment being reported represents the establishment of a new U.S.
business enterprise (i.e., item 1 of Form BE-13 is marked), give the number
of persons expected to be on the payroll at the end of the first full year of
operations.

TEAR OFF – DO NOT RETURN INSTRUCTIONS.

TEAR OFF - DO NOT RETURN INSTRUCTIONS.

FORM <b>BE-13</b> U.S. DEPARTMENT OF COMMERCE BUREAU OF ECONOMIC ANALYSIS	CONTROL NUMBER
INITIAL REPORT ON A FOREIGN PERSON'S DIRECT OR INDIRECT ACQUISITION, ESTABLISHMENT, OR PURCHASE OF THE OPERATING ASSETS, OF A U.S. BUSINESS ENTERPRISE, INCLUDING REAL ESTATE MANDATORY – CONFIDENTIAL  U.S. Department of Commerce	The combined public reporting burden for related Forms BE-13 and BE-14 is estimated to vary from 1 to 4 hours per response, with an average of 1.5 hours per response, including the 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 this burden,
MAIL REPORTS TO Bureau of Economic Analysis BE-49(NI) Washington, DC 20230	to Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, Washington, DC 20230; and to the Office of Management and Budget, Paperwork Reduction Project 0608-0035, Washington, DC 20503.
OR	Penalties – Whoever fails to report shall be subject to a civil penalty of not less than \$2,500, and not more than \$25,000, and to injunctive relief commanding such person to
U.S. Department of Commerce Bureau of Economic Analysis, BE-49(NI) Shipping and Receiving Section M-100 1441 L Street, NW Washington, DC 20005	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)
This report is to be completed either	IMPORTANT - Read instructions before completing report.
(a) by a U.S. business enterprise when a foreign person (hereinafter, the "foreign parent") establishes or acquires directly, or indirectly through an existing U.S. affiliate, a 10 percent or more voting interest in that enterprise, including an enterprise that results from the direct or indirect acquisition by a foreign person of a business segment or	If item 1, 2, or 5 is marked, complete Parts II, IV, V, and VI, if item 3 is marked, complete Parts II through VI; if item 4 is marked, complete Parts III through VI.
operating unit of an existing U.S. business enterprise that is then	Part II Identification and Ownership Structure of the New U.S. Affiliate This Part is to be completed only if item 1, 2, 3, or 5 is marked.
organized as a separate legal entity; or  (b) by the existing U.S. affiliate of a foreign person (hereinafter, the	10. Name and address of new U.S. affiliate BEA 103 1
"existing U.S. affiliate") when it acquires a U.S. business enterprise, or	Name of new U.S. affiliate
a business segment or operating unit of a U.S. business enterprise, that the existing U.S. affiliate merges into its own operations rather	104 1 GOVERNOUS. Allimate
than continuing or organizing as a separate legal entity.  NOTE: Real estate purchased for other than personal use constitutes	
a "business enterprise."	Street or PO Box
Separate parts V and VI must be completed and filed for each foreign parent or existing U.S. affiliate that established or acquired a direct	
voting interest in the U.S. business enterprise, business segment,	City and State ZIP Code
operating unit, or real estate.	106 1
Part I Type of Transaction and Date of Completion The foreign parent or existing U.S. affiliate (Mark (X) one of items 1	Ownership of new U.S. affiliate - Percent of Percent
through 5) -	voting shares and equity interest for an incorporated Voting Total equity
1. 101 1 1 created a new legal entity, either incorporated or unincorporated, including a branch, that it organized	unincorporated U.S. affiliate, owned DIRECTLY by – (1) (2)
and began operating as a new U.S. business	11. All foreign parent(s), including the
enterprise.  2. 12 secured a voting equity interest in a previously	foreign parent(s) with a newly acquired
existing, separate legal entity that was already	direct investment ownership interest 109%%
organized and operating as a U.S. business enterprise and that it continued to operate as a separate legal	12. All U.S. affiliate(s) of foreign parent(s), including the existing U.S. affiliate(s)
entity, either incorporated or unincorporated, including a branch.	with a newly acquired ownership interest 110 %
3. 13 Dought a business segment or operating unit of an	2 3
existing U.S. business enterprise, that it organized as a new separate legal entity, either incorporated or	13. Other foreign persons 111%%
unincorporated, including a branch.	2 3
4. 14 the existing U.S. affiliate bought a U.S. business enterprise, or business segment or operating unit of a	14. Other U.S. persons
U.S. business enterprise, and merged it into its own	
	15. TOTAL - Sum of items 11-14 > 100.0% 100.0%
U.S. business enterprise, and merged it into its own operations rather than continuing or organizing it as	Part III Identification of U.S. Business Enterprise or a Business Segment or Operating Unit of a U.S. Business Enterprise, that has been
U.S. business enterprise, and merged it into its own operations rather than continuing or organizing it as a separate legal entity.  5. 15 directly purchased U.S. real estate  The newly created legal entity, the newly acquired U.S. business	Part III Identification of U.S. Business Enterprise or a Business Segment
U.S. business enterprise, and merged it into its own operations rather than continuing or organizing it as a separate legal entity.  5. 15 directly purchased U.S. real estate  The newly created legal entity, the newly acquired U.S. business enterprise, business segment, or operating unit, and the directly purchased real estate are hereinafter referred to as the "new U.S.	Part III Identification of U.S. Business Enterprise or a Business Segment or Operating Unit of a U.S. Business Enterprise, that has been Acquired by and Merged into an Existing U.S. Affiliate
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Part IV Selected Financial and Operating Data  This Part is to be completed in the case of all types of transactions covered by items 1 through 5, Part I, on previous page.	gh	U.S. AFFILIATE INDUSTF If for an incorporated U.S. affiliate from the viewpoint of the	, this cons	item olida	is to t	e contity.		ed
BEA 124 1 USE	2	<ol> <li>Major activity of fully consolidate acquired or established – Mark (X) intended activity.</li> </ol>						
For items 17 through 20	19ERINT	Extracting of oil or minerals (inclu	ding e	xplora	ition			
If Item 1 or 5, Part I, is marked – Where the investment represents the establishment of a new U.S. business enterprise, or the direct purchase of real estate, the data should be projections for or as of the end of the first full year of operations. Use projections made in the course of planning the investment if available; otherwise give best estimate. (Exception – For direct purchase of real estate, the asset value should be the value at time of closing.)		☐ Manufacturing (fabricating, assem☐ Construction☐ Selling or distributing goods☐ Real estate (investing in, or engagmanager, developer, lessor, agent☐ Providing a service	ali ing in	as an	operat	or,	nts	•
If item 2, 3, or 4, Part I, is marked – Data should be for the fully consolidated U.S. business enterprise, or		Other - Specify			20	9e		
business segment or operating unit, acquired. Data should be for or as of the end of the most recent financial year preceding acquisition. Exclude from full consolidation all foreign business enterprises owned by this U.S. affiliate; include such foreign enterprises only by the equity or cost method of accounting. (See	W .	23. Major product or service involved also state what is done to it, i.e., whe sold at wholesale, transported, packa	ther it	is min	ivity -	if a pr	oduct,	
Section II.G. of Instructions.)	6,	ation forms sull						
If item 1, 4, or 5, Part I, is marked. The data should	Lu,	24. Sales of newly acquired or establi	shed	U.S. a	affiliat	e by i	ndust	ry –
If item 2 or 3, Part I, is marked. The data should	i su	Enter (beginning with the largest) the code(s) and the amount of sales asso sales figures should represent the new annual sales or gross operating rever in the case of a new or non-operating	ciated w affili lues (e	with e ate's r excludi	each co most re ing sal	de. Thecent es taxe	e es).	
show the number of acres owned by the new U.S. affiliate upon completion of the investment transaction.	$U_{I_{C}}$	breakdown of sales. See the list of industry codes on page 4. If you use fewer	ISI c			Sa	les	
17. Give ending date for the year that these Part IV data	Year	than eight codes, you must account for total sales.	(1	1)	Bil.		2) Thous.	Dols.
are for, or as of 130 Amount	1	a. Enter code with largest sales 201	1		2		l I	
18. Total assets - If assets are to	s. Dols.	b. Enter code with 2nd largest sales 202	1		2			
be revalued due to the acquisition, show the value after revaluation.	İ	c. Enter code with 3rd largest sales 203	1		2			
19. Net income after provision for U.S. Federal, State, and local	1	d. Enter code with 4th largest sales 204	1		2			
Income taxes 133 Number		e. Enter code with 5th largest sales 205	1		2		l	
20. Number of employees – Include part-time employees. (See Section		f. Enter code with 6th largest sales 206	1		2			
VIII of Instructions.) 134  21. All acres of U.S. land owned, whether 1	_	g. Enter code with 7th largest sales 207	1		2	l I	l I	
carried in a fixed asset, investment or other asset account – Give number to nearest whole acre. 135		h. Enter code with 8th largest sales 208	1		2			
BEA USE ONLY 136		i. Sales not accounted for above 209	1		2			
Continue in next column		TOTAL SALES - Sum of lines a through i  132	1		2			
Part V Investment Incentives and Services Provided by Including Quasi-government Entities	y State							
This Part to be completed in the case of all type	es of tra	ansactions covered by						
items 1 through 5, Part I, on previous page.  25. Were any specific State or local government incentive	ves or r	alated services (such as those		1	Mark ()	() one	box	
detailed in items 27 through 29 below) received in cotransaction?		ion with this investment	40	1 🗆 🤊	Yes	1	2 🗆 N	lo
26. If the answer to item 25 is "Yes," were these incentives decision to invest in a given region of the United Sta			41	1 🗆 🤊	Yes	1	2 🗆 N	lo
If the answer to item 25 is "Yes," indicate the category(ies) or local incentives or services. Mark (X) yes or no for each category is applicable, and complete item 30.	n catego	ry to indicate whether or not the	1			1	۰	
<ul><li>27. Taxation – Such as investment tax credit; tax exemption;</li><li>28. Financing programs – Such as industrial revenue bonds;</li></ul>			1	1 🗆 `	Yes	1	2 L N	
credits from development credit corporations; grants; and 29. Other – Such as State-financed recruiting programs, traini	prefere	ntial rates on loans or leases.	43	1 🗆 '	Yes	1	2 N	lo
R&D assistance, road building, and other services or incen	ntives th	at are of monetary value.	44	1 🗆 ,	Yes		2 🗆 N	lo
<ol> <li>State, or State of location of local government unit, If more than one, enter all States from which received.</li> <li>a. State</li> </ol>	from w	/hich the incentives or services were r	eceive	ed.				
	Marie Marie	BEA	USE	145	1			
b. State								
		BEA	USE	145	2			
c. State								
		BEA	USE	145	3			

3-Digit ISI Codes for the Industry Classification of New U.S. Affiliate (Item 24) and 2-Digit Industry Codes for Classification of Foreign Parent and Ultimate Beneficial Owner (UBO) (Items 38 and 43)

The International Surveys Industry (ISI) classifications below are to be used in completing item 24. The classifications are defined in the "Guide to Industry and Foreign Trade Classifications for International Surveys," prepared by the Bureau of Economic Analysis. The guide is available upon request. The titles of some ISI classifications, by themselves, may be insufficient to determine the classifications of certain activities. Consult the more detailed descriptions provided in the guide to be sure of the correct classification.

The 2-digit industry codes for the foreign parent and the UBO are to be used in completing items 38 and 43.

### SUMMARY OF INTERNATIONAL SURVEYS INDUSTRY (ISI) CLASSIFICATIONS

AGRICULTURE, FORESTRY, AND FISHING	MANUFACTURING – Continued
010 A	242 Custom bandings and source and control

Agricultural production – crops Agricultural production – livestock 020 and animal specialties

070 Agricultural services

080 Forestry

090 Fishing, hunting, and trapping

### MINING

101 Iron ores

102 Copper, lead, zinc, gold, and silver ores

107 Other metallic ores

Metal mining services 108

120 Coal

Coal mining services 124

Crude petroleum extraction (no refining) and natural gas

Oil and gas field services 138

Nonmetallic minerals, except fuels 140

Nonmetallic minerals services, except 148 fuels

# CONSTRUCTION

150 Construction

# MANUFACTURING

201 Meat products

Meat products
Dairy products
Preserved fruits and vegetables 202 203

Grain mill products 204

205 Bakery products

208 Beverages

209 Other food and kindred products

210 Tobacco products

Textile mill products
Apparel and other textile products 220 230

240

Lumber and wood products Furniture and fixtures 250

262

Pulp, paper, and board mills Other paper and allied products 265

271 Newspapers

272 Miscellaneous publishing

275 Commercial printing and services

281 Industrial chemicals and synthetics

283 Drugs

284 Soap, cleaners, and toilet goods

287 Agricultural chemicals

Chemical products, n.e.c. 289

291 Integrated petroleum refining and extraction

292 Petroleum refining without extraction

299 Petroleum and coal products, n.e.c. Rubber products 305

Miscellaneous plastics products

310 Leather and leather products Glass products

321 329

Stone, clay, concrete, gypsum, and other nonmetallic mineral products Primary metal industries, ferrous

331

Primary metal industries, nonferrous

341 Metal cans, forgings, and stampings

Cutlery, hardware, and screw products Heating equipment, plumbing fixtures, 343

and structural metal products 515
Metal services; ordnance; and fabricated 517 349 metal products, n.e.c.

351

Engines and turbines Farm and garden machinery 352 Construction, mining, and materials 353

handling machinery Metalworking machinery 354

355 Special industry machinery

General industrial machinery Computer and office equipment 356 357

Refrigeration and service industry machinery

359 Industrial and commercial machinery,

363 366

Household appliances Household audio and video, and communications equipment

Electronic components and accessories Electrical machinery, n.e.c. 369

371 Motor vehicles and equipment

379 Other transportation equipment Measuring, scientific, and optical 381

instruments 384 Medical instruments and supplies and

ophthalmic goods Photographic equipment and supplies 386 390 Miscellaneous manufacturing industries

# TRANSPORTATION, COMMUNICATION, AND PUBLIC UTILITIES

401 Railroads

Petroleum tanker operations 441

449 Other water transportation

450 Transportation by air

Pipelines, petroleum and natural gas Pipelines, except petroleum and 461

natural gas

470

Petroleum storage for hire Passenger transportation arrangement 472

Transportation, n.e.c., warehousing, terminal facilities, and related 477 services

481 Telephone and telegraph communications

Other communications services 483

490 Electric, gas, and sanitary services

# WHOLESALE TRADE

501 Motor vehicles and equipment

Lumber and construction materials 503 Professional and commercial equipment 873 504

and supplies 505 Metals and minerals, except petroleum

506 Electrical goods

Hardware, and plumbing and heating 507 equipment and supplies

508 Machinery, equipment, and supplies

509 Durable goods, n.e.c.

511 Paper and paper products

Drugs, proprietaries, and sundries 512

# Groceries and related products

WHOLESALE TRADE - Continued

513 Apparel, piece goods, and notions

Farm-product raw materials
Petroleum and petroleum products

519 Nondurable goods, n.e.c.

# RETAIL TRADE

530 General merchandise stores

540 Food stores

554 Gasoline service stations Apparel and accessory stores
Eating and drinking places 560

580 590 Retail trade, n.e.c.

### FINANCE, INSURANCE, AND REAL **ESTATE**

600 Banks

Savings institutions and credit unions Other finance 603

612

Life insurance 631

Accident and health insurance 632

Other insurance 639

650 Real estate

Holding companies, except bank 671 holding companies

679 Franchising, business - selling or licensing

# **SERVICES**

700 Hotels and other lodging places

Advertising 731

734

Services to buildings
Equipment rental and leasing, except 735 automobiles and computers

736 Personnel supply services

Computer processing and data 741 preparation services

Information retrieval services
Computer related services, n.e.c. 742

743

Other business services 749 751

Automotive rental and leasing, without drivers 752 Automotive parking, repair, and

other services Miscellaneous repair services 760

780 Motion pictures, including television tape and film

Amusement and recreation services 790

800 Health services Legal services 810

820 Educational services

Engineering, architectural, and surveying services

Accounting, auditing, and bookkeeping 872 services

Research, development, and testing services Management and public relations 874

services Other services provided on a commercial 890

# NONBUSINESS ENTITIES

900 Government entities

basis

371)

381-386)

Nonbusiness entities, except government

# FOREIGN PARENT AND UBO INDUSTRY CODES

01 Government and government-owned or -sponsored enterprise, or quasi-government organization or agency

02 Pension fund — Government run 03 Pension fund — Privately run

05 Individual Private business enterprise, investment organization, or group engaged in:

04 Estate, trust, or nonprofit organization

06 Petroleum and natural gas: exploration, development and extraction; oil and gas field services; refining; transport; storage; and wholesale and retail trade (ISI codes 133, 138, 291, 292, 299, 441, 461, 470, 517, and 554)

**NOTE** — All industries listed below exclude petroleum subindustries included in "Petroleum and natural gas," as defined above.

07 Agriculture (ISI codes 010-090, except 070) **88** Mining (ISI codes 101—107, 120, and 140) **99** Construction (ISI code 150)

590) 13 Banking (including bank holding companies) (ISI codes 600 and 603)

14 Holding companies (ISI code 671) 15 Other finance and insurance (ISI codes 612, 631, 632, 639, and 679)

16 Real estate — Including investing or engaging in real estate as an operator, manager, lessor, agent, or broker (ISI code 650)

17 Services (ISI codes 070, 108, 124, 148, and 700-890)

Manufacturing, including fabricating, assembly, and processing

20 Food and kindred products (ISI codes 201—209) 21 Drugs (ISI code 283)

22 Chemicals, other than drugs (ISI codes 281, 284—289)

23 Stone, clay and glass products (ISI codes 321 and 329) 24 Primary and fabricated metals (ISI codes 331, 335, 341—349)

25 Computers and office equipment (ISI code 357)

26 Nonelectrical machinery other than computers and office equipment (ISI codes 351—356, 358, and 359)

27 Electric and electronic equipment (ISI codes 363—369) 28 Motor vehicles and equipment (ISI code

29 Other transportation equipment (ISI code 379) 30 Instruments and related products (ISI codes

31 Other manufacturing (ISI codes 210—275, 305—310, and 390)

# BE-13 INITIAL REPORT ON A FOREIGN PERSON'S DIRECT OR INDIRECT ACQUISITION, ESTABLISHMENT, OR PURCHASE OF THE OPERATING ASSETS, OF A U.S. BUSINESS ENTERPRISE, INCLUDING REAL ESTATE

## INSTRUCTIONS

### INTRODUCTION

Purpose - BE-13 reports are required in order to obtain comprehensive initial data concerning new foreign direct investment in the United States that may affect the U.S. and foreign economies.

Authority – BE-13 reports are mandatory pursuant to 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"). In Section 3 of Executive Order 11961, the President designated the Department of Commerce as the federal agency responsible for collecting the required data on direct investment, and the Secretary of Commerce has assigned this responsibility to the Bureau of Economic Analysis. The implementing regulations are contained in Title 15 CFR Part 806.

This report has been approved by the Office of Management and Budget under the Paperwork Reduction Act (44 U.S.C. 3501, et seq.).

the Paperwork Reduction Act (44 U.S.C. 3501, et seq.).

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

Notwithstanding the above, a U.S. person is not subject to any penalty for failure to report if a valid Office of Management and Budget control number is not displayed on the form; such a number is displayed on this form.

Confidentiality – The information filed in this report may be used only for analytical and statistical purposes and access to the information shall be available only to officials and employees (including consultants and contractors and their employees) of agencies designated by the President to perform functions under the Act. The President may authorize the exchange of the information between agencies or officials designated to perform functions under the Act, but only for analytical and statistical purposes. No official or employee (including consultants and contractors and their employees) shall publish or make available any information collected under the Act in such a manner that the person to whom the information relates can be specifically identified. Reports and copies of reports prepared pursuant to the Act are confidential and their submission or disclosure shall not be compelled by any person without the prior written permission of the person filing the report and the customer of such person where the information supplied is identifiable as being derived from the records of such customer (22 U.S.C. 3104).

Response to this inquiry is required by law. By the same law, your report to

Response to this inquiry is required by law. By the same law, your report to this Bureau is CONFIDENTIAL. It may be used only for analytical or statistical purposes and CANNOT be used for purposes of taxation, investigation, or regulation. The law also provides that copies retained in your files are immune from legal process.

### I. DEFINITIONS

- **United States**, when used in a geographic sense, means the several States, the District of Columbia, the Commonwealth of Puerto Rico, and all territories and possessions of the United States.
- 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.
- Person 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).
- D. Foreign person means any person resident outside the United States or subject to the jurisdiction of a country other than the United States.
- **Direct investment** means the ownership or control, directly or indirectly, by one person of 10 per centum or more of the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.
- F. Foreign direct investment in the United States means the ownership or control, directly or indirectly, by one foreign person of 10 per centum 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.
- G. Branch means the operations or activities conducted by a person in a different location in its own name rather than through an incorporated
- Affiliate means a business enterprise located in one country which is directly or indirectly owned or controlled by a person of another country to the extent of 10 per centum or more of its voting stock for an incorporated business or an equivalent interest for an unincorporated business, including a branch.
- U.S. affiliate means an affiliate located in the United States in which a foreign person has a direct investment.
- Foreign parent means the first foreign person in the ownership chain of the U.S. affiliate.
- Affiliated foreign group means (i) the foreign parent, (ii) any foreign person, proceeding up the foreign parent's ownership chain, which owns more than 50 per centum of the person below it up to and including that person which is not owned more than 50 per centum by another foreign person, and (iii) any foreign person, proceeding down the ownership chain(s) of each of these members, which is owned more than 50 per centum by the person above it.
- Foreign affiliate of foreign parent means, with reference to a given U.S. affiliate, any member of the affiliated foreign group owning the affiliate that is not a foreign parent of the affiliate.
- M. U.S. corporation means a business enterprise incorporated in the United States.
- **Business enterprise** means any organization, association, branch, or venture which exists for profitmaking purposes or to otherwise secure economic advantage, and any ownership of any real estate.
- **Intermediary** means an agent, nominee, manager, custodian, trust, or any person acting in a similar capacity.

### I. DEFINITIONS (Continued)

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

  - (1) Members of the same family, (2) A business enterprise and one or more of its officers and
  - directors,
    (3) Members of a syndicate or joint venture, or
    (4) A corporation and its domestic subsidiaries.
- O. Ultimate beneficial owner (UBO) is that person, proceeding up the ownership chain beginning with and including the foreign parent, that is not more than 50 percent owned or controlled by another person. (A person who creates a trust, proxy, power of attorney, arrangement, or device with the purpose or effect of divesting such owner of the ownership of an equity interest as part of a plan or scheme to avoid reporting information, is deemed to be the owner of the equity interest.)

# II. GENERAL INSTRUCTIONS

A. Who must report BE-13, Initial Report on a Foreign Person's Direct or Indirect Acquisition, Establishment, or Purchase of the Operating Assets, of a U.S. Business Enterprise, Including Real Estate, must be completed either:

- 1. by a U.S. business enterprise when a foreign person establishes or acquires directly, or indirectly through an existing U.S. affiliate, a 10 percent or more voting interest in that enterprise, including an enterprise that results from the direct or indirect acquisition by a foreign person of a business segment or operating unit of an existing U.S. business enterprise that is then organized as a separate legal entity; or
- 2. by the existing U.S. affiliate of a foreign person when it acquires a U.S. business enterprise, or a business segment or operating unit of a U.S. business enterprise, that the existing U.S. affiliate merges into its own operations rather than continuing or organizing as a separate legal entity.

One complete BE-13 report must be filed for every new U.S. affiliate. However, separate Parts V and VI must be completed and filed for each foreign parent or existing U.S. affiliate that established or acquired a direct voting interest in the U.S. business enterprise, business segment, operating unit, or real estate.

NOTE - Real estate purchased for other than personal use constitutes a "business enterprise."

## B. Exclusions and exemptions -

- 1. Residential real estate held exclusively for personal use and not for profitmaking purposes is not subject to the reporting requirements. A U.S. residence which is an owner's primary residence that is then leased by the owner while outside the United States but which the owner intends to reoccupy, is considered real estate held for personal use. Ownership of residential real estate by a corporation whose sole purpose is to hold the real estate and where the real estate is for the personal use of the individual owner(s) of the corporation, is considered real estate held for personal use.

  2. As existing U.S. efficience assert formers the real estate in the personal use.
- 2. An existing U.S. affiliate is exempt from reporting the acquisition of a U.S. business enterprise, or a business segment or operating unit of a U.S. business enterprise, that it then merges into its own operations, if the total cost of the acquisition was \$1,000,000 or less, and does not involve the purchase of 200 acres or more of U.S. land. (If the acquisition involves the purchase of 200 acres or more of U.S. land, it must be reported regardless of the total cost of the acquisition.)
- 3. An established or acquired U.S. business enterprise, as consolidated, is exempt if its total assets (not the foreign parent's or existing U.S. affiliate's share) at the time of acquisition or immediately after being established, were \$1,000,000 or less and it does not own 200 acres or more of U.S. land. (If it owns 200 acres or more of U.S. land, it must report regardless of the value of total assets.)

If exempt under 2 or 3, Supplement C, "Exemption Claim, Form BE-13," which accompanies this Form, must be filed to validate the exemption.

which accompanies this Form, must be filed to validate the exemption.

NOTE: All exempt U.S. affiliates should be aware of the quarterly and annual surveys of foreign direct investment in the United States (Forms BE-15, BE-605, and BE-605 Bank) conducted by this Bureau and the exemption criteria pertaining to each (see 15 CFR Part 806.15). If a U.S. affiliate is exempt on Form BE-13, it is also exempt from filing in any of the quarterly or annual surveys at this time. However, if through internal growth, acquisitions, new infusions of capital, the purchase of land, etc., a previously exempt affiliate exceeds the exemption criteria of the quarterly and annual surveys in the future, it is the affiliate's legal responsibility to secure and file the appropriate forms. In the year that the quinquennial BE-12 benchmark survey is conducted, this Bureau will mail forms to each U.S. affiliate on our mailing list, including those exempted from filing in other surveys. If a U.S. affiliate is exempt from filing in the BE-12 survey, it may file a claim for exemption at that time. may file a claim for exemption at that time.

- C. Determining whether an individual is a foreign person or a U.S. person based on residence – An individual will be considered a resident of, and subject to the jurisdiction of, the country in which physically located, subject to the following qualifications:
  - 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.
  - 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. Notwithstanding 2, 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, then such owner or employee shall nevertheless be considered a resident of the country of citizenship provided there is the intent to return within a reasonable period of time.
  - 4. Individuals and members of their immediate families who are residing 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.

segment or operating unit of a U.S. business enterprise, and merged it into its own operations.  A lame and address of either the foreign parent finciding country's or existing U.S. effiliate that directly circular decidence of the result of the country of the	I SHOW THE SAME		s Part is	bei	ng c	omp	lete	ed fo	er (M.	ark	(X) o	ne o	f ite	ems .	31 th	rou	ıgh :	33.)	-					ent												
38. Name and address of either the foreign parent funcidating country's or existing U.S. effiliate that directly wintbillahed or acquired the new U.S. affiliate or that merged the acquired business enterprise, etc., into its own opporations.  Name  10		1 -	The ex	cistii	ng U	J.S. a	ffil	iate in a	of a U.S.	for	eign sine:	per	son	tha	t di	rec f su	tly e	esta a m	ablis	hed	d a	nev	v U	e es	tal											
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Set I fixem 31 or 22 was marked, give the percent of direct ownership voting) field by the foreign parent or axisting U.S. affiliate named in item 34.  36. If item 32 or 33 is marked, give the name and occurry of the foreign parent, fixed, on a separate select, the information requested in item 34 of roughe additional, furning ageing.  37. If item 32 or 33 is marked and if the existing U.S. affiliate and in item 34 in our information requested in item 34 of storage and item 34 or 33 is marked and if the existing U.S. affiliate that is directly owned by the foreign parent and defenses of the U.S. affiliate that is directly owned by the foreign parent and defenses of the U.S. affiliate that is directly owned by the foreign parent and defenses of the U.S. affiliate that is directly owned by the foreign parent and the percent of ownership by the foreign parent.  Name  156  157  158  158  159  159  159  159  159  159		Coun	try				_									4	7			5	20	2	16		7		۲.	S	51	1	BEA	US	E			
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37. If item 32 or 31 is marked and if the existing U.S. edifflike named in item 34 is not directly owned by the foreign parent.  Name  16.  Address 17.  18.  18.  Address 18.  18.  18.  18.  18.  19.  19.  19.	36.	interest	in the e	xisti	ng l	J.S. a	affi	liate	nan	ied	in it	em :	34.	If m	ore t	hai	n on	e fo	reig	n pa	<b>g th</b> aren	ne c	urni	ct, (	on a	ndii a sej	<b>ect</b> para	te:	shee	et, t	he					
37. If item 32 or 33 is marked and if the existing U.S. effiliate named in least 34 is not directly owned by the foreign parent, give the name and address of the U.S. effiliate that is directly owned by the foreign parent and the percent of ownership by the foreign parent.  Name  186		153 1			1	15	L		KT		-	4	T	7	K	ď			Ш				11171							E	BEA	US	SE.			
Address of the U.S. affiliate that is directly owned by the foreign parent and the percent of ownership by the foreign parent.  Name  Address 157   1		154 1				1	ф.		d	7			V	10																5 1		I				
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38. Industry code of foreign parent named in either item 34 or item 36.  NOTE - Information regarding the UBO and government ownership is essential, failure to properly complete items 39 through 44, to the extent required by the line instructions, will constitute an incomplete report, which will be returned to the reporter for completion.  39. Is the foreign parent named in either item 34 or 36 also the ultimate beneficial owner (UBO)? See definition of UBO.  40. Is the UBO an individual?  152   1   Ves - If the answer is "Yes," skip to item 44.  154   1   Ves - If the answer is "No," continue with item 40.  41. Name of UBO  155   1   Ves - If the answer to item 40 is "Yes," then the name of the individual need not be given in item 41, but the country of residence of the individual need not be given in item 42.  42. Country of UBO named in item 41, or of the individual who is the UBO if item 40 was answered "Yes."  8EA USE  156   1   Ves - If the answer to item 40 was answered "Yes."  8EA USE  156   1   Ves - If the answer to item 40 was answered "Yes."  8EA USE  156   1   Ves - If the answer to item 40 was answered "Yes."  8EA USE  157   Ves - If the answer to item 41 item 40 was answered "Yes."  158   1   Ves - If the answer to item 44 is "Yes," then the name of the individual need not be given in item 41, but the country of residence of the individual need not be given in item 41, but the country of residence of the individual need not be given in item 41, but the country of residence of the individual need not be given in item 41, but the country of residence of the individual need not be given in item 41, but the country of residence of the individual need not be given in item 42.  158   1   Ves - If the answer is "Yes," then the name of the individual need not be given in item 42.  159   1   Ves - If the answer is not item 44 is very item 45.  160   1   Ves - If the answer is not item 45 or item 45.  160   1   Ves - If the answer is not item 45 or item 45.  160   1   Ves - If the answer is not item 45 or	REA		IN	H	• 1	+	+	-		+		+	-	+		_				+	-	$\dashv$			_	-	Т		15	9				$\overline{}$	_%	_
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42. Country of UBO named in item 41, or of the individual who is the UBO if item 40 was answered "Yes."  43. Industry code of UBO named in item 41.  44. Item 44 must be completed unless industry code 01 or 02 (indicating ownership by a foreign government or government-run pension fund) is entered in either item 38 or item 43; if code 01 or 02 is entered in either item 38 or item 44, skip to item 45.  Does a foreign government (including a government-owned or -sponsored enterprise, or a quasi-government organization or agency) or a government-run pension fund have a combined direct and indirect voting ownership interest, or its equivalent, of 5% or more in the foreign parent, or any entity in the parent's chain of ownership up to, and including, the UBO?  169 1   Yes   2   No   If the answer to item 44 is "Yes," give on a separate sheet, the chain of ownership from level the name of, and the percent ownership held by cahe entity in the entity below it.  45. If item 32 was marked, will data for the new U.S. affiliate be fully consolidated with that of the existing or another U.S. affiliate in other international investment reports filed with this Bureau?  170 1   Yes   12   No   If "Yes," give name under which consolidated report will be filed if it is not the name of the existing U.S. affiliate given in item 34 or item 37 BEA USE  171   They must be consolidated if the ownership is more than 50 percent, except that separate reports may be filed where the new U.S. affiliate will not normally be fully consolidated due to lack of control, provided written permission has been requested from and granted by BEA.)  46. Cost of investment - For all types of investments covered by items 1 through 5, Part I, give the value of the consideration given for the new interest acquired, at transactions, not book, value. Include cost of voting as well as other equity interests. Exclude cost, if any, entered in item 8. Note that the sum of lines 47 and 48 must equal the total cost in this item  47. Funding by foreign parent(s)	41.	Name of	f UBO									2	No	0																						
44. Item 44 must be completed unless industry code 01 or 02 (indicating ownership by a foreign government or government-run pension fund) is entered in either item 38 or item 43; if code 01 or 02 is entered in either item 38 or item 43, do not complete item 44, skip to item 45.  Does a foreign government (including a government-owned or -sponsored enterprise, or a quasi-government organization or agency) or a government-run pension fund have a combined direct and indirect voting ownership interest, or its equivalent, of 5% or more in the foreign parent, or any entity in the parent's chain of ownership up to, and including, the UBO?  If the answer to item 44 is "Yes," give on a separate sheet, the chain of ownership from the foreign parent to the government-run pension fund, showing at each level the name of, and the percent ownership held by, each entity in the entity below it.  If item 32 was marked, will data for the new U.S. affiliate be fully consolidated with that of the existing or another U.S. affiliate in other international investment reports filed with this Bureau?  If yes 1 2 No If "Yes," give name under which consolidated report will be filed if it is not the name of the existing U.S. affiliate given in item 34 or item 37  BEA USE  (They must be consolidated if the ownership is more than 50 percent, except that separate reports may be filed where the new U.S. affiliate will not normally be fully consolidated due to lack of control, provided written permission has been requested from and granted by BEA.)  46. Cost of investment – For all types of investments covered by items 1 through 5, Part I, give the value of the consideration given for the new interest acquired, at transactions, not book, value.  Include cost of voting as well as other equity interests. Exclude cost, if any, entered in item 8.  Note that the sum of lines 47 and 48 must equal the total cost in this item  47. Funding by foreign parent(s) or foreign affiliate(s) of foreign parent(s) or foreign affiliates	42.	Country	of UBO	nan	ned	in ite	em	41, 0	or of	the	ind	ivid	ual	who	is t	he	UB	O if	fite	m 4	0 v	/as	ans	we	red	"Ye	es."		16	[a	BEA	US	SE			
entered in either item 38 or item 43; if code 01 or 02 is entered in either item 38 or item 44, skip to item 45.  Does a foreign government (including a government-owned or -sponsored enterprise, or a quasi-government organization or agency) or a government-run pension fund have a combined direct and indirect voting ownership interest, or its equivalent, of 5% or more in the foreign parent, or any entity in the parent's chain of ownership up to, and including, the UBO?  If the answer to item 44 is "Yes," give on a separate sheet, the chain of ownership from the foreign parent to the government or government-run pension fund, showing at each level the name of, and the percent ownership held by, each entity in the entity below it.  45. If item 32 was marked, will data for the new U.S. affiliate be fully consolidated with that of the existing or another U.S. affiliate in other international investment reports filed with this Bureau?  170  1  Yes  12  No	172-173-12-1-02		THE RESERVE OF THE PARTY OF THE	PORD MANAGES	OVER STREET	233552000004515	A 200		100000000000000000000000000000000000000				277					COLUMN CO	SHOW STATES	STATE OF THE PARTY	CAN COLOR	E-CAN INC.		1.000.000												
Section   169   1   Yes   1   2   No   If the answer to item 44 is "Yes," give on a separate sheet, the chain of ownership from the foreign parent to the government or government-run pension fund, showing at each level the name of, and the percent ownership held by, each entity in the entity below it.   169   3	44.	Does a fagency)	n either oreign or a go	tem gove vern	38 o rnm men	r item ent ( it-run	inc ipe	3; if c ludi ensic	ode ( ng a on fu	gov nd	r 02 verni have	is en men a c	tere t-o om	ed in wne bine	eith d or d di	er i	item pons et ar	38 sore	or it ed e indir	em nte ect	43, rpri	do ise, ting	or g ov	con a qu	nple uas rsh	te it i-go ip i	em ver	44, nm res	skip ent t, o	or or it	iter gan s eq	n 4 iza	5. <b>tion</b>	or		
45. If item 32 was marked, will data for the new U.S. affiliate be fully consolidated with that of the existing or another U.S. affiliate in other international investment reports filed with this Bureau?  170  1  1  Yes  1  2  No						{ If the	ne a for	nswe eign	er to i	tem nt to	44 is	"Yes	s," g	give o	n a s	sepa veri	arate nmei	she nt-ru	eet, t un pe	he d	chair on f	n of	owi	ners owir	hip ng a	fron t ead	n ch			1		US	SE			
170	45.	If item 32	2 was ma	arked	. wil	leve	a f	ne na	me o	t, ar	J.S. a	perc	ent iate	be	full	ip i	reld	by,	each	ent	ity i	n th	e er	itity	bel	ow I		or			r U.	S.	affil	iate	9	
(They must be consolidated if the ownership is more than 50 percent, except that separate reports may be filed where the new U.S. affiliate will not normally be fully consolidated due to lack of control, provided written permission has been requested from and granted by BEA.)  46. Cost of investment – For all types of investments covered by items 1 through 5, Part I, give the value of the consideration given for the new interest acquired, at transactions, not book, value.  Include cost of voting as well as other equity interests. Exclude cost, if any, entered in item 8.  Note that the sum of lines 47 and 48 must equal the total cost in this item  47. Funding by foreign parent(s) or foreign affiliate(s) of foreign parent(s) (affiliated foreign affiliate(s))						[If "Y	Yes.	" aiv	e nar	me	unde	r wh	ich	con	soli	dat	ed r	epo	rt w	ill b	e fi	led	if it	t is ı	not											
will not normally be fully consolidated due to lack of control, provided written permission has been requested from and granted by BEA.)  46. Cost of investment – For all types of investments covered by items 1 through 5, Part I, give the value of the consideration given for the new interest acquired, at transactions, not book, value.  Include cost of voting as well as other equity interests. Exclude cost, if any, entered in item 8.  Note that the sum of lines 47 and 48 must equal the total cost in this item  47. Funding by foreign parent(s) or foreign affiliate(s) of foreign parent(s) (affiliated foreign group) – Enter the portion of the cost in item 46 provided by foreign parent(s) or foreign affiliate(s)		171 1				Line	Isca			, GA	131111	9 0	J. a		l g	100				. 0.								1	72 1			BE/	A US	E		
46. Cost of investment – For all types of investments covered by items 1 through 5, Part I, give the value of the consideration given for the new interest acquired, at transactions, not book, value.  Include cost of voting as well as other equity interests. Exclude cost, if any, entered in item 8.  Note that the sum of lines 47 and 48 must equal the total cost in this item  173  47. Funding by foreign parent(s) or foreign affiliate(s) of foreign parent(s) (affiliated foreign group) – Enter the portion of the cost in item 46 provided by foreign parent(s) or foreign affiliate(s)		(They mu will not r	ust be co normally	nsoli be fu	date	d if th	ne d	owne ated	rship due t	is o la	more ck of	thai	n 50 trol,	per , pro	cent vide	, ex	cept ritte	t tha	at se	para	ate on h	repo	orts bee	ma n re	y bo	e file	d w	he m	re th	ne n gra	ew	U.S I by	aff BE	liate 4.)	е	
47. Funding by foreign parent(s) or foreign affiliate(s) of foreign parent(s) (affiliated foreign group) – Enter the portion of the cost in item 46 provided by foreign parent(s) or foreign affiliate(s)	46.	value of Include of	the cons	idera oting	tion as и	giver vell as	fo ot	r the her e	new	inte	erest teres	acqu	uire kclu	d, at ide c	tran ost,	sac if a	ny, e	s, n	ot b	ook	, va	lue.				173	1	Bil.	-				15	-+	Dols.	
of the foreign parent(s), including funds they borrowed in the United States or abroad. Include funds to finance the investment that were supplied by the foreign parent or its foreign affiliate through an existing U.S. affiliate, as well as funds supplied directly by the foreign parent or its foreign affiliate.	47.	Fund grou of th fund throu	ding by ap) - Ente e foreign s to final ugh an e	forei er the pare nce the xistin	gn per portent(she in g U.	paren rtion o ), incl	of the	or the co	forei ost in unds t wei	gn iter the	affili n 46 y bor	proverowed b	s) c	of fo	reig fore Un	n p	pare par i Sta	ent tes t or	(s) o or a its f	r for broa	reig ad.	n at Incl affil	ffilia ude	ite(s	;)	174	1				1					
48. Funding by existing U.S. affiliate – Equals sum of items 48a and 48b	42					U.S.	aff	iliat	e – <i>F</i>	aua	ls su	m of	ite	ms 4	18a a	nd	48h										1 \$		1							
a. Foreign borrowing by existing U.S. affiliate – Enter the portion of the cost in item 46 provided by the existing U.S. affiliate out of borrowing from unaffiliated foreign persons.	-70		. Foreig	n bo	rrow the	ving l	ng	exist	ing l	U.S	. affi	iliat	e –	Ente	r the	po n ui	rtion	liate	ed fo	reig							-		1					-		
Exclude loans from the affiliated foreign group that were included in item 47.		b	Other to	loár fund existi	ing I	om th by ex J.S. at	e a ffilia	ffilia ing l ate a	J.S. a	orei affi ot ir	gn gr lliate clud	oup - Er ed in	tha nter ite	the	<i>re in</i> port Ba (e	<i>clu</i> ion	ded of t	<i>in i</i>	tem cost	47. in it	em	46	prov	vide	d		1		1					1		
b. Other funding by existing U.S. affiliate – Enter the portion of the cost in item 46 provided			by the	existi	ng U	J.S. af	ffilia	ate a	nd no	ot ir	clud	ed ir	ite	m 48	Ba (e	.g.,	inte	rna	lly g	ene	rate	ed fi	und	S		177			I.					1		

## **II. GENERAL INSTRUCTIONS (Continued)**

- II. GENERAL INSTRUCTIONS (Continued)
  D. Reporting by intermediaries If a particular foreign direct investment in the United States is held, exercised, administered, or managed by a U.S. intermediary for the foreign beneficial owner, such intermediary shall be responsible for reporting the required information for, and in the name of, the new U.S. affiliate, and shall report on behalf of the new U.S. affiliate or shall instruct the new U.S. affiliate to submit the required information. Upon so instructing the new U.S. affiliate, the intermediary shall be released from further liability to report provided it has informed this Bureau of the date such instructions were given and the name and address of the U.S. affiliate, and has supplied the new U.S. affiliate with any information in the possession of, or which can be secured by, the intermediary that is necessary to permit the new U.S. affiliate to complete the required reports. If the new U.S. affiliate is in the form of real property that includes no entity from which a report can be solicited, the U.S. intermediary of the foreign beneficial owner is required to report. When acting in the capacity of an intermediary, the accounts or transactions of the U.S. intermediary with a foreign beneficial owner shall be considered as accounts or transactions of the new U.S. affiliate with the foreign beneficial owner. To the extent such transactions or accounts are unavailable to the new U.S. affiliate, they may be required to be reported by the intermediary.
  E. Unusual reporting situations It may be unclear from the forms and
- Unusual reporting situations It may be unclear from the forms and related instructions how certain unusual situations should be reported. This will be true particularly where there is a combination of direct plus indirect ownership interests, or where members of an affiliated foreign group have, or acquire, more than one fractional interest of less than 10 percent, but which in total adds to more than a 10 percent interest when all lines of ownership are considered. Rather than further complicating the instructions by trying to allow for all possible reporting situations, we request that those who must report for an unusual situation call us to discuss how best to report it.
- Consolidated reporting by a new U.S. affiliate A new U.S. affiliate shall file Form BE-13 on a fully consolidated basis, including in the consolidation all other U.S. affiliates in which it directly or indirectly owns more than 50 percent of the outstanding voting stock. (Foreign subsidiaries of the new U.S. affiliate are not to be included in the consolidation, except as provided below under the equity method of accounting.) However, separate reports may be filed where a given U.S. affiliate is not normally consolidated due to lack of control, provided written permission has been requested from and granted by BEA. Hereinafter, the consolidated entity is considered to be one U.S. affiliate.

  A U.S. affiliate that is not consolidated must file its own Form BE 12
  - A U.S. affiliate that is not consolidated must file its own Form BE-13.
- G. Equity method of accounting Investments by the new U.S. affiliate in business enterprises not included in the consolidation and which are 20 percent or more owned shall be accounted for following the equity method of accounting. However, in these cases, intercompany items are not to be eliminated.
- H. Business segment Business segment as used in these reports is not limited to those 'segments" meeting the criteria set forth in Financial Accounting Standards Board Statement Number 14.
- Accounting Standards Board Statement Number 14.

  I. Calculation of total ownership percentage A person's ownership interest in a given business enterprise may be held directly or indirectly or both. It is directly held if the person itself holds the ownership interest in the enterprise. It is indirectly held if the person holds an ownership interest in another business enterprise that, in turn, owns the given business enterprise. A person's percentage of indirect voting ownership in a given business enterprise is the product of the person's direct voting ownership percentage in the first business enterprise in the ownership chain times that first enterprise's direct voting ownership percentage of each other intervening business enterprise in the ownership chain between the person and the given business enterprise exists, the percentages of person and the given business enterprise exists, the percentages of direct and indirect ownership in all chains are summed to determine the person's total ownership percentage.

# III. ACCOUNTING METHODS AND REPORTING PROCEDURES

- Accounting methods and records Generally accepted U.S. accounting principles should be followed. Corporations should generally use the same methods and records that are used to generate reports to stockholders except where the instructions indicate a variance.
- B. Annual stockholder's report U.S. affiliates issuing annual reports to stockholders are requested to furnish a copy of their annual report to
- C. Estimates If actual figures are not available, estimates should be supplied and labeled as such. When a data item cannot be fully subdivided as required, a total and an estimated breakdown of the total should be
- D. Space on form insufficient When space on a form is insufficient to permit a full answer to any item, the required information should be submitted on supplementary sheets, appropriately labeled and referenced to the item number and the form or supplement.
- Figures such as the number of acres and the number of employees should be reported to the nearest whole unit.
- Currency amounts should be reported in U.S. dollars rounded to thousands (omitting 000). **Do not enter** amounts in the shaded portions of each line

# EXAMPLE: If amount is \$1,334,615.00, report as:

Bil.	Mil.	Thous.	Dols
	1	335	

- G. If an item is between + or \$500.00, enter "0."
- H. Use parentheses to indicate negative numbers.

# **IV. FILING REPORTS**

- A. Extension Requests for an extension of the reporting deadline will not normally be granted. However, in a hardship case, a written request for an extension will be considered provided it is received at least 15 days prior to the due date of the report and enumerates substantive reasons necessitating the extension. BEA will provide a written response to such requests.
- Assistance If there are any questions concerning the report, telephone (202) 606–5577 during office hours 8:30 to 4:30 eastern time.

## IV. FILING REPORTS (Continued)

- IV. FILING REPORTS (Continued)
   C. Number of copies A single original copy of each form is to be filed with the Bureau of Economic Analysis. In addition, each person filing a form must retain a copy to facilitate resolution of any problems that may arise covering the data reported. (Both copies are protected by law; see statement on confidentiality in the Introduction.) File copies should be retained for 3 years after the date on which the form is due.
   D. Filing of report Reports filed by mail through the U.S. Postal Service should be sent to: U.S. Department of Commerce, Bureau of Economic Analysis, BE-49(NI), Washington, DC 20230. Reports filed by direct private delivery should be directed to: U.S. Department of Commerce, Bureau of Economic Analysis, BE-49(NI), Shipping and Receiving Section M-100, 1441 L Street, NW, Washington, DC 20005.
   E. Retention of copies A copy of all reports filed should be retained
- E. Retention of copies A copy of all reports filed should be retained for 3 years beyond the report's original due date.

  F. Due date Form BE-13 is due no later than 45 days after the investment transaction could be
- investment transaction occurs

# V. SPECIAL INSTRUCTIONS FOR INSURANCE COMPANIES

When there is a difference, the financial and operating data are to be prepared on the same basis as an annual report to the stockholders, rather than on the basis of an annual statement to an insurance department. Valuation should be according to normal commercial accounting procedures, not at the rates promulgated by the National Association of Insurance Commissioners, Include both nonadmitted assets not acceptable for the annual statement to an insurance department and trusteed, as well as non-trusteed, assets. Specific instructions for income statement items are:

Costs and expenses relating to operations (to be used in determining net income) – Include costs relating to sales or gross operating revenues, such as policy losses incurred, death benefits, matured endowments, other policy benefits, increases in liabilities for future policy benefits, other underwriting expenses, and investment expenses. Sales or gross operating revenues, excluding sales taxes – Include items such as earned premiums, annuity considerations, gross investment income, and items of a similar nature. Exclude income from foreign affiliates

affiliates.

## VI. SPECIAL INSTRUCTIONS FOR REAL ESTATE

If a business enterprise, otherwise required to report, is in the form of real property not identifiable by name, reports are required to be filed by and in the name of the beneficial owner, or in the name of such beneficial owner by the intermediary of such beneficial owner.

Part I, items 1 through 5:

The direct purchase of real estate – unimproved land, farms, office buildings, shopping centers, etc. – shall be considered to be an item 5 transaction except where the purchase is effected by buying shares in an existing corporation, in which case it will be an item 2 transaction.

Item 10 – For real estate investments being reported, BEA is not seeking a legal description of the property, nor necessarily the address of the property itself. Since there may be no operating business enterprise as such for the investment, what is wanted is a consistently identifiable investment (i.e., U.S. affiliate) together with an address to which report forms can be mailed so that the investment (affiliate) can be reported on a consistent basis from survey to survey, or period to period. Thus, in item 10, the "name and address" of the U.S. affiliate might be:

XYZ Corp. N.V., Real Estate Investments; c/o B&K Inc., Accountants; 120 Major Street; Miami, FL XXXXXX

If the investment property has a name, such as Sunrise Apartments, Acme Building, etc., the name and address in item 6 might be:

Sunrise Apartments; c/o ABC Real Estate;
120 Major Street; Miami, FL XXXXXX

Items 11 through 15 – If the new U.S. affiliate is not incorporated, give the percent ownership in item 11 for direct purchases by the foreign parent; and in item 12 for direct purchases by an existing U.S. affiliate.

VII. SPECIAL INSTRUCTIONS CONCERNING THE ESTABLISHMENT
OF A HOLDING COMPANY, WITH MINIMAL CAPITALIZATION,
PREPARATORY TO ACQUIRING OR ESTABLISHING
A U.S. BUSINESS ENTERPRISE
The following procedures attempt to minimize reporting of multiple step
transactions that would otherwise require the filing of several BE-13 reports
or exemption claims. The transaction date for reporting an initial
investment in a U.S. holding company, or similar entity, by a foreign
person or by an existing U.S. affiliate of a foreign person may be deferred
from the date of the initial investment if:
(1) The initial capitalization (both debt and equity) of the U.S. holding

from the date of the initial investment if:

(1) The initial capitalization (both debt and equity) of the U.S. holding company, or similar entity, is \$5,000,000 or less, and

(2) The purpose of setting up the U.S. holding company, or similar entity, is to facilitate the subsequent acquisition of a U.S. business enterprise or to establish an operating U.S. affiliate, within 180 days.

A report must be filed within 45 days of the completion of the holding company's acquisition of the U.S. business enterprise or the establishment of an operating U.S. affiliate. When the BE-13 is filed, if the holding company has not been dissolved, the report must fully consolidate the holding company and the newly acquired or established U.S. affiliate. The cost of investment, item 46, must account for all funds for both investments. A brief letter of explanation describing the situation and transaction dates should accompany the filing.

transaction dates should accompany the filing.

In order to qualify for this deferral, the secondary investment transaction must occur within 180 days of the acquisition or establishment of the holding company. If it does not, a BE-13 report (or exemption claim) must be filed by the U.S. holding company no later than 45 days beyond the 180-day deferral period.

# VIII. SPECIFIC INSTRUCTIONS FOR REPORTING EMPLOYMENT

VIII. SPECIFIC INSTRUCTIONS FOR REPORTING EMPLOYMENT
Employment (item 20) should relate to all employees regardless of whether
they are engaged in an activity the cost of which was, or will be, charged
as an expense on the income statement, charged to inventories, or
capitalized. Include part-time and full-time workers, but exclude home
workers and independent sales personnel who are not employees. Where
the investment being reported represents the acquisition of a U.S.
business enterprise, business segment, operating unit, or the direct
purchase of real estate, (i.e., item 2, 3, 4, or 5 of Form BE-13 is marked),
give the number of employees as of the ending date for the year shown in
item 17. Employment as of a different date during the year may be used if
employment did not vary significantly during the year. If a strike or other
disruption was in progress at the end of the year, give a number that
reflects normal operations. If a business activity involves large seasonal
variation, give a number that reflects an average for the year. Where the
investment being reported represents the establishment of a new U.S.
business enterprise (i.e., item 1 of Form BE-13 is marked), give the number
of persons expected to be on the payroll at the end of the first full year of
operations.

TEAR OFF – DO NOT RETURN INSTRUCTIONS

TEAR OFF - DO NOT RETURN INSTRUCTIONS.

(REV. 1/98)	Supplement C	EMPTION CL	AIM FOR					NALYSIS	INCINIDE	R					
	port on a Foreign of the Operating	n Person's Dire	ct or Indire	ct Acquis	sition, Es				your report for analyti	rt to thi cal or s	s Bureau tatistical	s required b is CONFIDE purposes a	ENTIAL. It nd CANN(	may be u OT be use	sed only
MAIL REPORTS TO	U.S. Department Bureau of Econd BE-49(NI) Washington, DC	t of Commerce mic Analysis 20230	OR DELIVE REPOR TO	U.S Bur BE- Shi S 144 Was	Departi eau of Ed 49(NI) pping an ection N 11 L Stree shington	ment o conom d Rece l-100 et, NW , DC 2	of Comic Ana lic Ana living	merce lysis,	provides ti process. Notwithsta required to penalty for subject to unless tha OMB Cont NOTE: Re constitut	hat cop anding o respo r failure the red t collec- trol Nur eal esta- es a "I	any other and to, not be to compute the to compute the to compute the total and the to	restigation, or red in your or shall any of with, a c ts of the Pap of mation of hased for c	of the law person be collection of perwork Redisplays a cother than 3."	nmune from person subject to finformal eduction currently n person	om legal on is o a ation Act, valid
	ewed the instruction of items 1 throu		Report and	determine	ed that fili	ing of	Form B	E-13 is	not requi	ired fo	or the f	ollowing	reason	nt	۶.
1. 01	This U.S. busines	s enterprise is no	ot a U.S. affil	iate of a f	oreian pe	rson. i	.e., is r	ot own	ed to the	),,		Am	ount of	total	cost
	extent of 10 perce							ح	S	*		Bil.	Mil.	Thous.	Dols.
2. 02	This acquisition is business segmen U.S. affiliate who \$3 million or less, involves 200 acres acquisition.) Enter	t or operating ur then <b>merged</b> it and did not inves or more of U.S	nit of a U.S. b into its own olve the purc . land, it mus	ousiness e operations hase of 20 st be repo	nterprise s <b>and</b> the 00 acres o rted rega	, was a total or mor	cost of e of U.	d by an the acq S. land.	existing uisition v (If it	was	y- <b>x</b> 8		Number nearest		
3. 05	This acquisition is									1	0	4			
4. 06	foreign person(s) This U.S. busines fully consolidated (a) Total assets (n acquisition or and	s enterprise is a basis	U.S. affiliate	of a foreign	gn persor	n but is	e) at the	pt beca	use, on a						
		te owns 200 acre	es or more of	U.S. land	U.S. land I, it must	l (if		Bil.	Amou Mil. T		Dols.				
	report regardle Enter value or	ess of the value of	of the total as	ssets).					. !						
	amount for ea	ch → i. Total as:	sets (do not r	net out lia	bilities)		07	\$							
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		→ i. Country	of foreign pa	rent								12			
5. "	Other – Specify an	nd include refere	ence to sectio	n of regu	lations or	instru	ctions	Month				ear T T			
6. If item 2	or item 4 was ma	rked, give date ti	ransaction w	as comple	eted		→ 15	1	1		1	1 1			
(i) If ite who (ii) If ite tran <b>b.</b> b	nd address (enter in 1, 3, or 5 was mid address made. mid 2 or 4 was mark saction involved arelow) that made the and address of nee	earked, give named and give the name acquisition by a eacquisition and	e and addres ne and addre an existing U d the percent	ss (in <b>a.</b> be ss of the i .S. affiliat age of ow	elow) of t new U.S. e, also gi vnership i	he U.S affiliat ve nan it acqu	e acqu ne and ired.	ired or address	establishes of the e	ed (in existin	a. bel	ow). If the	e		
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