

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

IDENTIFYING THE FOREIGN PARENT

6 What is the name of this foreign parent?

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

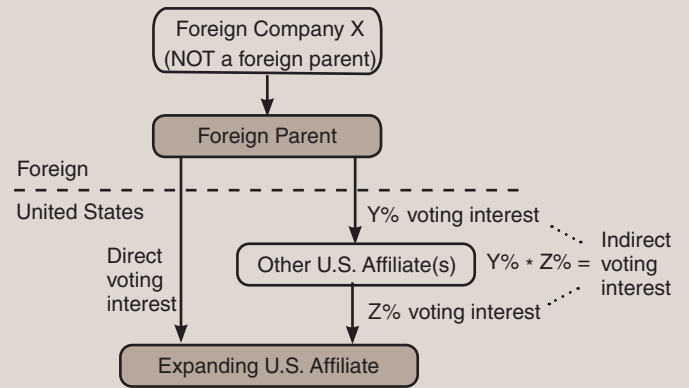
201 1

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

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

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

EXAMPLE 2. Foreign parent



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

If the foreign parent is an individual or government, provide the country of residence.

For individuals who do not reside in their country of citizenship, please follow the guidelines for country of residence on page 9.

Country of Foreign Parent

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8 What is this foreign parent’s industry code?

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

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IDENTIFYING THE ULTIMATE BENEFICIAL OWNER (UBO)

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

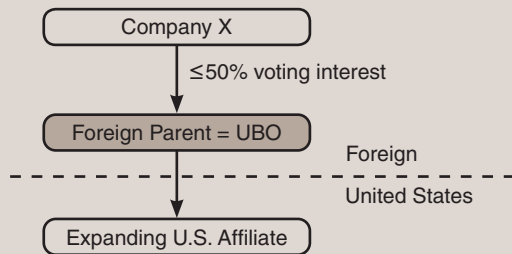
- The UBO is the entity, proceeding up the ownership chain that includes the foreign parent, whose voting interest is not more than 50 percent owned by another entity.
- If the foreign parent is owned or controlled more than 50 percent by another entity, then the foreign parent is NOT the UBO.

210 1 Yes — SKIP to **12**
 1 2 No

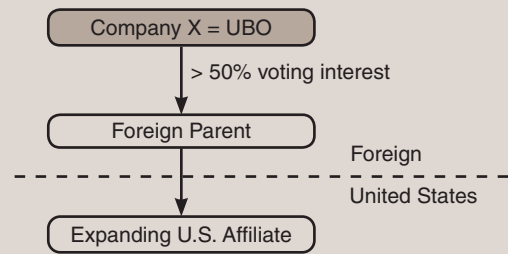
Voting interest is the percent of ownership in the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.

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

EXAMPLE 3. Foreign Parent is UBO



EXAMPLE 4. Foreign Parent is Not UBO



10 What is the name of the UBO?

If the UBO is an individual, write “individual” instead of the individual’s name.

211 1

11 What is the UBO’s country of incorporation?

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

Country of UBO

1

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12 What is the UBO’s industry code?

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

213 1

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