



## 2019 BENCHMARK SURVEY OF U.S. DIRECT INVESTMENT ABROAD MANDATORY — CONFIDENTIAL BE-10 Claim for Not Filing

**Reporter ID Number**

\*Do not enter Social Security Number in Reporter ID box

**Electronic Filing:** Go to [www.bea.gov/efile](http://www.bea.gov/efile) for details

**Mail reports to:** Bureau of Economic Analysis  
Direct Investment Division, BE-69(A)  
4600 Silver Hill Road  
Washington, DC 20233

**Deliver reports to:** Bureau of Economic Analysis  
Direct Investment Division, BE-69(A)  
4600 Silver Hill Road  
Suitland, MD 20746

**Fax reports to:** (301) 278-9502

**Assistance:** E-mail: [be10/11@bea.gov](mailto:be10/11@bea.gov)  
Telephone: (301) 278-9418  
Copies of form: [www.bea.gov/dia](http://www.bea.gov/dia)

**Please include your BEA Identification Number with all requests.**

**NOTE:** If you were **NOT** contacted by BEA about reporting in this survey, and you do **NOT** meet BE-10 filing requirements, no action is necessary. If you were contacted by BEA but are exempt from filing, enter the Reporter name, address, and BEA assigned Identification Number (Reporter ID).

**Name and address of U.S. Reporter**

900	Name of U.S. Reporter:	1						
900	c/o (care of):	2						
900	Street or P.O. Box:	3						
900	City	4	900	State	900	Zip	5	6

A 2019 BE-10, Benchmark Survey of U.S. Direct Investment Abroad, is required from any U.S. person that had a foreign affiliate — that is, that had direct or indirect ownership or control of at least 10 percent of the voting stock of an incorporated foreign business enterprise or an equivalent interest in an unincorporated foreign business enterprise — at the end of, or for, its 2019 fiscal year. (The U.S. person's 2019 fiscal year is defined to be the person's financial reporting year that has an ending date in calendar year 2019.)

Section 801.8 of 15 CFR, Chapter VIII, requires that all persons subject to the reporting requirements of the BE-10 survey respond, whether or not they are contacted by BEA.

It also requires that persons, or their agents, who are contacted by BEA about reporting in this survey, either by sending them report forms or by written inquiry, must respond in writing. They may respond by:

- filing the properly completed BE-10 report by May 29, or June 30, 2020, as required;
- completing and returning the "BE-10 Claim for Not Filing" by May 29, 2020; or
- certifying in writing, by May 29, 2020, to the fact that the person had no direct investment within the purview of the reporting requirements of the BE-10 survey.

**CONTACT INFORMATION**

Provide information of person to consult about this report:

0990	Name	0					
0991	Street 1	0	0994	Telephone Number		Extension	0
0992	Street 2	0	0997	Fax Number			
0993	City	0	0999	E-mail Address			
	State	0					
	Zip	0					

**NOTE:** BEA uses a Secure Messaging System to correspond with you via encrypted message to discuss questions relating to this form. We may use your e-mail address for survey-related announcements and to inform you about secure messages. **When communicating with BEA by e-mail, please do not include any confidential business or personal information. This includes your Social Security Number which should never be provided to BEA via any method of transmission.**

**CERTIFICATION**

The undersigned official certifies that the information contained in this claim is correct and complete to the best of his/her knowledge.

0995	Signature of Authorized Official	0	0996	Telephone Number		Extension	1
	Name	0	1001	Fax Number			
	Title	0					1

## BE-10 Claim for Not Filing

### BASIS OF CLAIM FOR NOT FILING — Mark (X) and complete either Part I or Part II

#### Part I. Basis of Claim for Not Filing BE-10 Forms

1002

**A.** <sup>1</sup>  This U.S. person did **not** own or control 10 percent or more of the voting securities of an incorporated foreign business enterprise, or an equivalent interest in an unincorporated foreign business enterprise (including a branch or real estate held for other than personal use) at the end of its 2019 fiscal year.

<sup>2</sup>  But *did* file the 2018 BE-11, Annual Survey of U.S. Direct Investment Abroad with this Bureau.

<sup>2</sup>  And *did not* file the 2018 BE-11, Annual Survey of U.S. Direct Investment Abroad with this Bureau.

**B.** <sup>1</sup>  This U.S. person **did** own or control 10 percent or more of the voting securities of an incorporated foreign business enterprise, or an equivalent interest in an unincorporated foreign business enterprise (including a branch or real estate held for other than personal use), at the end of the 2019 fiscal year, but (*Mark (X) one*) —

<sup>3</sup>  The owners are citizens of a foreign country who (a) are residing in the U.S. as a result of official employment by a foreign government (including the immediate family of such persons), or (b) have been and expect to be residing in the U.S. for less than one year.

<sup>3</sup>  Is fully consolidated in the BE-10 report of another U.S. person — *Give name and address of that person and their BEA Identification Number, if known.* →

Name		
Address — Number and street or P.O. Box		
City	State	ZIP Code
BEA Identification Number →		

<sup>3</sup>  Other — *Specify and include reference to section of regulations or instructions on which the claim is based.*

#### Part II. Basis of Claim for Not Filing for Foreign Affiliate(s)

**A.** Did this U.S. Reporter have one or more foreign affiliates identified by BEA as required to file a 2019 BE-10B, BE-10C, or BE-10D form but the U.S. Reporter no longer owns or controls, directly or indirectly, 10 percent or more of the voting securities of the incorporated foreign business enterprise (or an equivalent interest in an unincorporated foreign business enterprise)?

<sup>1003</sup> <sup>1</sup>  **Yes** — *Please complete page 3 of this Claim form for each of these foreign affiliates and check the corresponding box. Do not list foreign affiliates that BEA did not identify to file.*

<sup>1</sup>  **No**

**B.** Did this U.S. Reporter own one or more foreign affiliates identified by BEA as required to file a 2019 BE-10B, BE-10C, or BE-10D form but for which ALL of the following apply: **1)** the foreign affiliate is a private fund, **AND 2)** the private fund foreign affiliate does not own, directly or indirectly through another business enterprise, an “operating company” — i.e., a business enterprise that is not a private fund or a holding company — in which the consolidated U.S. Reporter owns at least 10 percent of the voting interest, **AND 3)** If the U.S. Reporter owns the private fund indirectly (through one or more other business enterprises), there are no “operating companies” between the consolidated U.S. Reporter and the indirectly-owned foreign private fund? For more information regarding private funds visit [www.bea.gov/privatefunds](http://www.bea.gov/privatefunds).

<sup>1004</sup> <sup>1</sup>  **Yes** — *Please complete page 3 of this Claim form for each of these foreign affiliates and check the corresponding box. Do not list foreign affiliates that BEA did not identify to file.*

The U.S. Reporter’s investment in the foreign private fund may be required to be reported on Treasury International Capital (TIC) surveys, review reporting requirements for TIC surveys at [www.treasury.gov/tic](http://www.treasury.gov/tic).

<sup>1</sup>  **No**

**MANDATORY** — This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101–3108, as amended — hereinafter “the Act”), and the filing of reports is mandatory under Section 5(b)(2) of the Act (22 U.S.C. 3104).

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

**PENALTIES** — Whoever fails to report shall be subject to a civil penalty and to injunctive relief commanding such person to comply, or both. Whoever willfully fails to report shall be fined 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 violations, upon conviction, may be punished by a like fine, imprisonment, or both (22 U.S.C. 3105). The civil penalties are subject to inflationary adjustments. Those adjustments are found in 15 C.F.R. 6.3.

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

If you are claiming exemption based upon the criteria on page 2, Part II, complete the items below for those affiliates identified by BEA as required to file.

**NOTE:** Mark only one choice for each foreign affiliate listed.

5001

**1** Name of foreign affiliate:  
0 \_\_\_\_\_

Affiliate ID:  
1 \_\_\_\_\_

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_.

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_. If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name: \_\_\_\_\_  
<sup>5</sup> Address: \_\_\_\_\_

5002

**2** Name of foreign affiliate:  
0 \_\_\_\_\_

Affiliate ID:  
1 \_\_\_\_\_

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_.

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_. If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name: \_\_\_\_\_  
<sup>5</sup> Address: \_\_\_\_\_

5003

**3** Name of foreign affiliate:  
0 \_\_\_\_\_

Affiliate ID:  
1 \_\_\_\_\_

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_.

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_. If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name: \_\_\_\_\_  
<sup>5</sup> Address: \_\_\_\_\_

5004

**4** Name of foreign affiliate:  
0 \_\_\_\_\_

Affiliate ID:  
1 \_\_\_\_\_

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_.

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_\_/\_\_\_\_/\_\_\_\_. If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name: \_\_\_\_\_  
<sup>5</sup> Address: \_\_\_\_\_

If you are claiming exemption based upon the criteria on page 2, Part II, complete the items below for those affiliates identified by BEA as required to file.

**NOTE:** Mark only one choice for each foreign affiliate listed.

5005

**5** Name of foreign affiliate:  
0

Affiliate ID:  
1

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ .

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ . If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name:  
<sup>5</sup> Address:

5006

**6** Name of foreign affiliate:  
0

Affiliate ID:  
1

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ .

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ . If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name:  
<sup>5</sup> Address:

5007

**7** Name of foreign affiliate:  
0

Affiliate ID:  
1

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ .

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ . If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name:  
<sup>5</sup> Address:

5008

**8** Name of foreign affiliate:  
0

Affiliate ID:  
1

**2 1**  This private fund affiliate meets the exemption criteria stated on page 2, Part II. B. (Answer to Part II. B has to be 'Yes'.)

**2 2**  This affiliate was liquidated, seized, or the U.S. Reporter's direct and indirect ownership interest in the affiliate otherwise fell below 10 percent as of <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ .

**2 3**  This affiliate was sold on <sup>3</sup> \_\_\_/\_\_\_/\_\_\_ . If it was sold to another U.S. entity, provide name and contact information for the new owner:

<sup>4</sup> Name:  
<sup>5</sup> Address: