

BE-13A – Identifying Foreign Parent Number of and Its Ultimate Beneficial Owner

NOTE: If there is more than one foreign parent (direct and/or indirect) complete **12** through **32** for each additional foreign parent on separate pages. Additional copies of these pages may be downloaded from www.bea.gov/fdi.

IDENTIFYING THE FOREIGN PARENT

12 What is the name of this foreign parent holding a direct or indirect voting interest in the acquired U.S. affiliate?

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

201 Name
1

13 What is the country of incorporation of this foreign parent?

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

Country of Foreign Parent

202 1

14 What is the industry code of this foreign parent? Select the category below which best describes the PRIMARY activity of the SINGLE entity named as the foreign parent. DO NOT base the code on the worldwide sales of all consolidated subsidiaries of the foreign parent.

203 1

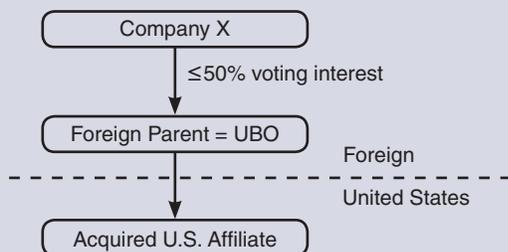
IDENTIFYING THE ULTIMATE BENEFICIAL OWNER (UBO)

15 Is this foreign parent also the ultimate beneficial owner (UBO)? (See EXAMPLES 4 and 5)

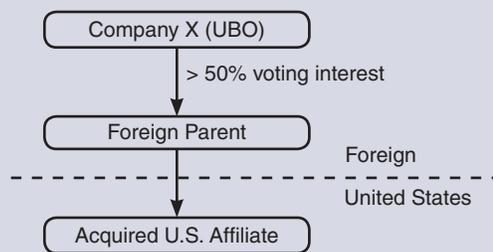
- The UBO is the entity, proceeding up the ownership chain, which is not more than 50 percent owned or controlled by another entity.
- If the foreign parent is owned or controlled more than 50 percent by another entity, then the foreign parent is NOT the UBO.

210 1 1 Yes — SKIP to **18**
1 2 No

EXAMPLE 4.
Foreign Parent is UBO



EXAMPLE 5.
Foreign Parent is Not UBO



16 What is the name of the ultimate beneficial owner?

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

211 Name
1

17 What is the country of incorporation of the ultimate beneficial owner?

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

Country of UBO

212 1

18 What is the industry code of the ultimate beneficial owner? Select the category below which best reflects the consolidated worldwide sales of the UBO, including all majority-owned subsidiaries.

213 1

IDENTIFYING THE EXISTING U.S. AFFILIATES

19 How was the U.S. affiliate acquired?

- 220 ¹ **1** Directly by the foreign parent. (See EXAMPLE 2 on page 4) – *SKIP to 24*
- ¹ **2** By existing U.S. affiliates of the foreign parent. (See EXAMPLE 3 on page 4)
- ¹ **3** Both directly by the foreign parent and by existing U.S. affiliates of the foreign parent.

In the chart below, answer the following questions:

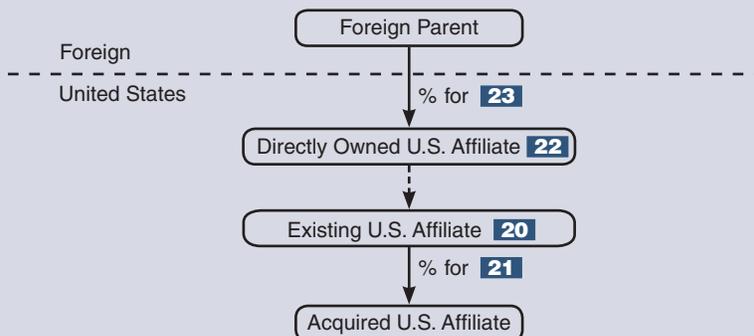
- 20** What are the names and addresses of this foreign parent’s existing U.S. affiliates through which the acquired U.S. affiliate was purchased?
- 21** What is the percent of voting interest, to a tenth of one percent, in the acquired U.S. affiliate held directly by each existing U.S. affiliate listed in **20**?
- 22** For each existing U.S. affiliate listed in **20**, what is the name and address of the U.S. affiliate in the same ownership chain that is **DIRECTLY** owned by the foreign parent? (See EXAMPLE 6) If **22** is the same as **20**, write “same” for **22**.
- 23** What is the percent of voting interest, to a tenth of one percent, held by this foreign parent in each directly-owned U.S. affiliate?

20			21	22			23
Name and Address of Existing U.S. affiliate			Voting Interest Held by 20 in the Acquired U.S. Affiliate	Name and Address of U.S. Affiliate Directly-owned by this Foreign Parent			Voting Interest Held by this Foreign Parent in 22
251	Name 1		2	Name 3		4	
			_____ . ____ %			_____ . ____ %	
252	Street 1 1			Street 1 2			
253	Street 2 1			Street 2 2			
254	City 1	State 2		Zip 3	City 4		State 5
255	Name 1		2	Name 3		4	
			_____ . ____ %			_____ . ____ %	
256	Street 1 1			Street 1 2			
257	Street 2 1			Street 2 2			
258	City 1	State 2		Zip 3	City 4		State 5

List additional entries on a separate page, if necessary.

Please provide an organizational chart if there are any U.S. businesses in the ownership chain between an existing U.S. affiliate and its corresponding directly-owned U.S. affiliate.

EXAMPLE 6.
Existing U.S. Affiliate That Purchased
the Acquired U.S. Affiliate
is Not Owned Directly by This Foreign Parent



PRIOR OWNERSHIP

24 Did this foreign parent or its existing U.S. affiliates hold a direct voting interest in the acquired U.S. affiliate immediately prior to the acquisition date reported in **1** ?

300 ¹ Yes
² No — SKIP to **28**

25 What was the percent of direct voting interest, to a tenth of one percent, that this foreign parent or its existing U.S. affiliates held in the acquired U.S. affiliate prior to the acquisition date reported in **1** ? 301 %

Month Day Year
¹ / /

26 What was the date that the voting interest reported in **25** was acquired? 302

27 What was the value of the investment this foreign parent or its existing U.S. affiliates had in the acquired U.S. affiliate prior to the acquisition date reported in **1** ? Exclude the cost of the acquisition that took place on the date reported in **1** 303

\$	Bil.	Mil.	Thous.	Dols.
¹	<input type="text"/>	<input type="text"/>	<input type="text"/>	000

TRANSACTION INFORMATION

28 What was the total cost to this foreign parent's affiliated foreign group (see EXAMPLE 7) and its U.S. affiliates for the acquisition that occurred on the date reported in **1** ? Include the cost of voting and non-voting equity interests. Exclude the cost to any U.S. entity that is not affiliated with this foreign parent. Equals sum of **29** and **30** 320

\$	Bil.	Mil.	Thous.	Dols.
¹	<input type="text"/>	<input type="text"/>	<input type="text"/>	000

29 What portion of the cost reported in **28** was provided by each of this foreign parent's U.S. affiliates? List additional entries on a separate page, if necessary.

	Name of U.S. Affiliate	\$	Bil.	Mil.	Thous.	Dols.
351	¹ <input type="text"/>	2	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
352	¹ <input type="text"/>	2	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
353	¹ <input type="text"/>	2	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
354	¹ <input type="text"/>	2	<input type="text"/>	<input type="text"/>	<input type="text"/>	000

30 What portion of the cost reported in **28** was provided by the affiliated foreign group? Include funds they borrowed in the United States and abroad. Equals sum of **31** and **32** 371

¹	<input type="text"/>	000
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31 What portion of **30** was in the form of equity? 372

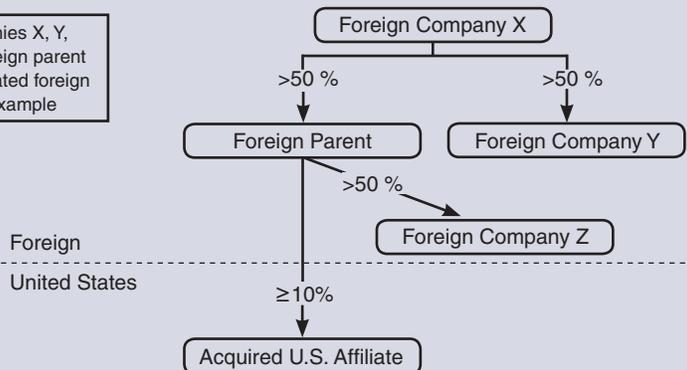
¹	<input type="text"/>	000
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32 What portion of **30** was in the form of debt? 373

¹	<input type="text"/>	000
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EXAMPLE 7. Affiliated Foreign Group

Foreign companies X, Y, and Z and the foreign parent comprise the affiliated foreign group in this example



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 percent of the person below it, up to and including that person which is not owned more than 50 percent 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 percent by the person above it. ("Person" is used in the broad legal sense and includes companies.)

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