

**MANDATORY — CONFIDENTIAL**

SURVEY OF NEW FOREIGN DIRECT INVESTMENT IN THE UNITED STATES

FORM BE-13 Claim for Exemption

If you received a letter from BEA with a Lead ID, please enter it here:

005 3

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

Mail reports to: U.S. Department of Commerce
Bureau of Economic Analysis
Direct Investment Division, BE-49(NI)
4600 Silver Hill Road
Washington, DC 20233

Deliver reports to: U.S. Department of Commerce
Bureau of Economic Analysis
Direct Investment Division, BE-49(NI)
4600 Silver Hill Road
Suitland, MD 20746

Fax reports to: (301) 278-9504

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

Definitions: Selected terms are defined on page 2.

Name and mailing address of U.S. Business Enterprise

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

WHO MUST REPORT:

A U.S. business enterprise, whether or not contacted by BEA, that meets all requirements for filing forms BE-13A, BE-13B, or BE-13D except the \$3 million reporting threshold

A U.S. business enterprise that was contacted by BEA but does not meet the requirements for filing forms BE-13A, BE-13B, or BE-13D

DUE DATE:

No later than 45 calendar days after the transaction occurred

No later than 45 calendar days after contacted by BEA

Purpose: The BE-13 survey collects data on the acquisition or establishment of U.S. business enterprises by foreign investors and the expansion of existing U.S. affiliates of foreign companies to establish a new production facility. The data collected on the survey are used to measure the amount of new foreign direct investment in the United States, assess the impact on the U.S. economy, and based on this assessment, make informed policy decisions regarding foreign direct investment in the United States.

Authority: This survey is being conducted under the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended), hereinafter "the Act", and the filing of reports is MANDATORY pursuant to Section 5(b)(2) of the Act (22 U.S.C. 3104). The implementing regulations are contained in 15 CFR Part 801.

Penalties: Whoever fails to report may be subject to a civil penalty of not less than \$4,450, and not more than \$44,539, and to injunctive relief commanding such person to comply, or both. Whoever willfully fails to report shall be fined not more than \$10,000 and, if an individual, may be imprisoned for not more than one year, or both. Any officer, director, employee, or agent of any corporation who knowingly participates in such violation, upon conviction, may be punished by a like fine, imprisonment, or both (22 U.S.C. 3105). Civil penalties are subject to inflationary adjustments. Those adjustments are found in 15 CFR 6.4.

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

Respondent burden: Public reporting burden for this BE-13 Claim for Exemption form is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing burden, to: Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, 4600 Silver Hill Road, Washington, DC 20233; and to the Office of Management and Budget, Paperwork Reduction Project 0608-0035, Washington, DC 20503.

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

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DEFINITIONS

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

Affiliated foreign group means:

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

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

Direct investment means the ownership or control, directly or indirectly, by one entity of 10 percent or more of the voting interest in a business enterprise.

Entity as used here, "entity" is synonymous with "person," as that term is used in the broad legal sense) means any individual, branch, partnership, associated group, association, estate, trust, corporation, or other organization (whether or not organized under the laws of any state), and any government (including a foreign government, the United States Government, a state or local government, and any agency, corporation, financial institution, or other entity or instrumentality thereof, including a government-sponsored agency).

Foreign when used in a geographic sense, means that which is situated outside the United States or which belongs to or is characteristic of a country other than the United States.

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

Private fund refers to the same class of financial entities defined by the Securities and Exchange Commission as private funds on Form PF: "any issuer that would be an investment company as defined in section 3 of the Investment Company Act of 1940 but for section 3(c)(1) or 3(c)(7) of ... [that] Act."

Ultimate beneficial owner (UBO) means the entity, proceeding up the ownership chain that includes the foreign parent, which is not more than 50 percent owned or controlled by another entity.

United States when used in a geographical sense, means the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, and all territories and possessions of the United States.

U.S. affiliate means an affiliate located in the United States in which a foreign entity has a direct investment.

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

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

CONTACT INFORMATION

Provide information of person to consult about this report:

Name 1			
020	Street 1 1	Telephone Number 2	Extension 3
021	Street 2 1	Fax Number 2	
022	City 1	State 2	Zip 3
023	E-mail Address 4		
	Country 5		

NOTE: BEA uses a Secure Messaging System to correspond with you via encrypted message to discuss questions relating to this form. We may use your e-mail address for survey-related announcements and to inform you about secure messages. When communicating with BEA by e-mail, please do not include any confidential business or personal information.

CERTIFICATION

The undersigned official certifies that this report has been prepared in accordance with the applicable instructions, is complete, and is substantially accurate including estimates that may have been provided.

Signature of Authorized Official	Date	Telephone Number 1	Extension 2
024		Fax Number 3	
025	Name 1	Title 2	

BE-13 Claim for Exemption

1 Why is this U.S. business enterprise filing a claim for exemption from forms BE-13A, BE-13B, and BE-13D? Select one:

050

1 This U.S. business enterprise was contacted by BEA; however, there is no reporting requirement because there was no acquisition, establishment, or expansion by a foreign entity OR because a transaction occurred but did not result in a direct investment relationship.

3 Explanation (optional):

2 This U.S. business enterprise was contacted by BEA; however, the acquisition that occurred is not required to be reported since it represents U.S. real estate acquired and held exclusively for personal use and not for profit making purposes.

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

3 This U.S. business enterprise was contacted by BEA; however, the acquisition that occurred is not required to be reported since it involves the acquisition of voting interest in an existing U.S. affiliate in which a foreign entity already owns 10 percent or more, directly or indirectly.

What is the BEA ID number, if known, used to file the BE-605, BE-12, or BE-15 forms for this existing U.S. affiliate?

2

4 This U.S. business enterprise was contacted by BEA; however, this new U.S. business enterprise is a holding company, AND is being set up solely for the purpose of acquiring or establishing at least one other U.S. business enterprise, AND the initial capitalization, including debt and equity, of the holding company is \$60 million or less, AND the acquisition or establishment will occur within 180 days of the creation of the holding company, AND the holding company will be dissolved after the acquisition or establishment.

NOTE: A BE-13 form will be required when the holding company acquires or establishes a U.S. business enterprise.

5 This U.S. business enterprise was contacted by BEA; however, there is no reporting requirement because the U.S. business enterprise is a private fund,

AND the private fund does not own, directly or indirectly through another business enterprise, an operating company (a business enterprise that is not a private fund or a holding company) in which the foreign parent owns at least 10 percent of the voting interest (directly, or indirectly through another U.S. business enterprise),

AND if the foreign parent owns the private fund indirectly (through one or more other U.S. business enterprises), there are no U.S. operating companies between the foreign parent and the indirectly-owned U.S. private fund.

NOTE: The foreign investment in the U.S. private fund may be required to be reported on Treasury International Capital (TIC) Surveys. Review reporting requirements for TIC surveys at www.treasury.gov/tic.

For more information regarding private funds visit www.bea.gov/privatefunds.

6 This U.S. business enterprise has not previously filed a BE-13, BE-605, BE-12, or BE-15 AND the voting interest in this U.S. business enterprise is owned to the extent of 50 percent or less by another U.S. business enterprise that is subject to the filing requirements of the BE-13A.

What is the name of the U.S. business enterprise that is filing the BE-13A?

051 **1**

PROCEED to question **2**.

7 The total cost of the acquisition, establishment, or expansion is \$3 million or less. The "total cost" consists of all actual and expected costs to all foreign parents' affiliated foreign groups and their U.S. affiliates, including costs funded through debt.

PROCEED to question **2**.

If your answer to question **1** is 6 or 7, complete questions **2** through **13**.

If your answer to question **1** is 1, 2, 3, 4, or 5, you have completed this form. RETURN TO COVER PAGE FOR FILING INSTRUCTIONS.

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TRANSACTION INFORMATION

Month Day Year

2 What date was the acquisition completed, the new legal entity established, or the expansion begun?101 1
____/____/____

3 On the date provided in **2**, what was the legal name of the acquired, newly established, or expanding U.S. business enterprise?
105 1

Notes (optional):

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

- 052 1 **1** Acquisition of a U.S. business enterprise, segment, or operating unit.
When answering the following questions, report for the most recently completed fiscal year that ended on, or before, the acquisition date.
PROCEED to question **5**.
- 1 **2** Establishment of a new U.S. affiliate.
When answering the following questions, report projections for the end of the first fiscal year of operations.
PROCEED to question **5**.
- 1 **4** Expansion of an existing U.S. affiliate.
When answering the following questions, report projections for the end of the first fiscal year of operations.
Include only the data that pertain to the expansion, NOT the entire U.S. affiliate.
SKIP to and complete only questions **8** through **13**.

FINANCIAL AND OPERATING INFORMATION

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

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

9 Number of employees when fully operating?

- Include all full-time and part-time employees on the payroll
- Exclude contract workers and other workers not carried on the payroll
- If a strike, or other interruption of operations, was in progress at the end of the year, report a number that represents normal operation.
- If the business enterprises' activity involves large seasonal variations, report a number that represents an average for the year.

Number of Employees
405 1

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FINANCIAL AND OPERATING INFORMATION

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

10 What is the U.S. business enterprise's four-digit industry classification?

Select the category below which best describes the industry in which the U.S. business enterprise, or expansion, had (or is expected to have) the largest amount of sales or gross operating revenues. (See list on page 6 or go to www.bea.gov/NAICS2017 for detailed descriptions.)

423 1

11 In which country is the U.S. business enterprise's foreign parent incorporated?

If the U.S. affiliate has more than one foreign parent, choose the country for the foreign parent with greatest control of the U.S. business enterprise. (See EXAMPLE 1 below and definition on page 2)

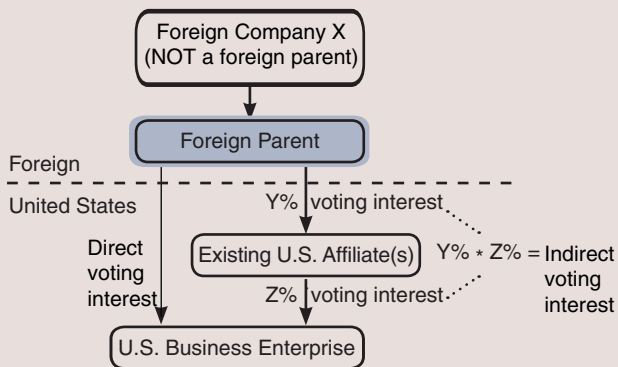
202 1

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

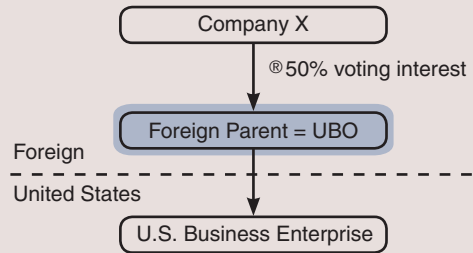
(See EXAMPLES 2 and 3 below and definition on page 2)

212 1

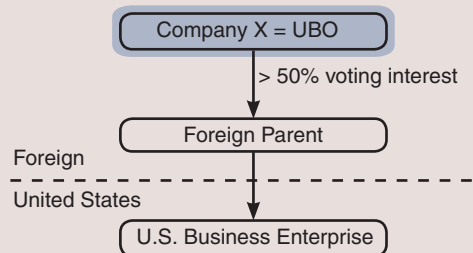
EXAMPLE 1. Foreign Parent



EXAMPLE 2. Foreign Parent is UBO



EXAMPLE 3. Foreign Parent is Not UBO



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

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

422 1

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SUMMARY OF INDUSTRY CLASSIFICATIONS (ISI codes)

For a full description of each classification, see www.bea.gov/naics2017

Agriculture, Forestry, Fishing, and Hunting

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

Mining

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

Utilities

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

Construction

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

Manufacturing

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

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

Wholesale Trade, Durable Goods

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

Wholesale Trade, Nondurable Goods

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

Wholesale Trade, Electronic Markets and Agents and Brokers

4251 Wholesale electronic markets and agents and brokers

Retail Trade

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

Transportation and Warehousing

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

Information

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

5121 Motion picture and video industries
5122 Sound recording industries
5151 Radio and television broadcasting
5152 Cable and other subscription programming
5173 Wired and wireless telecommunications carriers
5174 Satellite telecommunications
5179 Other telecommunications
5182 Data processing, hosting, and related services
5191 Other information services

Finance and Insurance

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

Real Estate and Rental and Leasing

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

Professional, Scientific, and Technical Services

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

Management of Companies and Enterprises

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

Administrative and Support and Waste Management and Remediation Services

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

Educational Services

6110 Educational services

Health Care and Social Assistance

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

Arts, Entertainment, and Recreation

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

Accommodation and Food Services

7210 Accommodation
7220 Food services and drinking places

Other Services

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

Public Administration

9200 Public administration