



BE-15 Identification Number

2013 ANNUAL SURVEY OF FOREIGN DIRECT INVESTMENT IN THE UNITED STATES CLAIM FOR EXEMPTION FROM FILING FORM BE-15A, BE-15B, OR BE-15C

Due date: May 31, 2014

Electronic filing:

www.bea.gov/efile

Mail reports to:

U.S. Department of Commerce
Bureau of Economic Analysis BE-49(A)
Washington, DC 20230

Deliver reports to:

U.S. Department of Commerce
Bureau of Economic Analysis BE-49(A)
Shipping and Receiving Section, M100
1441 L Street, NW
Washington, DC 20005

Fax reports to:

(202) 606-1905

Assistance: E-mail: be12/15@bea.gov
Telephone: (202) 606-5615
Copies of blank forms: www.bea.gov/fdi

Include your BE-15 Identification Number with all requests.

Response Required

All persons who are contacted by BEA about reporting in this survey, either by sending them forms or by written inquiry, must respond pursuant to Section 801.3 of 15 CFR pt. 801 and the survey instructions. They may respond by:

- filing the properly completed Form BE-15A, BE-15B, or BE-15C by May 31, 2014;
- completing and returning the Form BE-15 Claim for Exemption from Filing Form BE-15A, BE-15B, or BE-15C, by May 31, 2014;
- certifying in writing, by May 31, 2014, to the fact that the person had no direct investment within the purview of the reporting requirements of the BE-15 survey.

Mandatory Confidentiality Penalties

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). The filing of reports is mandatory and the Act provides that your report to this Bureau is confidential. Whoever fails to report may be subject to penalties. See page 4 for more details.

**Person to consult concerning questions about this report —
Enter name and address**

| | | | | |
|------|------------------|-----------|--------|-----------|
| 1000 | Name | | | |
| 1029 | Address | | | |
| 1030 | | | | |
| 1031 | | | | |
| 1001 | Telephone number | Area code | Number | Extension |
| | | | | |

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

| | | | |
|------|--------------------|------|---------------------|
| | | Date | |
| 0990 | Print or type name | 0991 | Print or type title |
| | | | |
| 0992 | Telephone number | 0993 | Fax number |
| | | | |

May fax and/or e-mail be used in correspondence between your enterprise and BEA?

* **Note** — If you choose to communicate with BEA via fax or electronic mail, BEA cannot guarantee the security of the information during transmission, but will treat information we receive as confidential in accordance with Section 5(c) of the International Investment and Trade in Services Survey Act.

1027 E-mail: 1 ☐ Yes (If yes, enter your e-mail address)
2 ☐ No

1032 Fax: 1 ☐ Yes (If yes, enter your fax number)
2 ☐ No

| | |
|----------------|--|
| E-mail address | |
| 1028 | |
| Fax number | |
| 0999 | |

WHICH SECTIONS TO COMPLETE?

Provide the name and address of U.S. business enterprise, the person to consult concerning questions about this report, and the certification on page 1. Also, review the questions below to determine the additional information required.

- I** Were at least 10 percent of the voting rights in your business enterprise directly or indirectly owned by a foreign person or entity at the end of your fiscal year that ended in calendar year 2013?
- ☐ Yes – Continue with question II.
- ☐ No – Complete item 2(a) or (b) or (c) or (e) on page 3. If your business has been liquidated or dissolved, complete (a) or (b). Do not complete questions II, III or IV.
- II** Were more than 50 percent of the voting rights in this U.S. business enterprise owned by another U.S. affiliate, or was this U.S. business enterprise merged into another U.S. affiliate before the end of this U.S. business enterprise's fiscal year that ended in calendar year 2013? Note: U.S. affiliate is defined on page 4.
- ☐ Yes – Continue with question III.
- ☐ No – Skip to question IV.
- III** Will the data for this U.S. business enterprise be consolidated into the 2013 BE-15 report filed for the U.S. affiliate that owns it more than 50 percent, or be included on the 2013 BE-15 report filed for the U.S. affiliate into which it was merged?
- ☐ Yes – Complete item 2d(1) or 2d(2) on page 3.
- ☐ No – Contact BEA for guidance.
- IV** Did **any one** of the items – Total assets, Sales or gross operating revenues, or Net income (loss) – for the U.S. affiliate (not just the foreign parent's share) exceed **\$40 million** at the end of, or for, its fiscal year that ended in calendar year 2013?
- ☐ Yes – You are not eligible to file Form BE-15 Claim for Exemption and must file either a Form BE-15A, BE-15B, or BE-15C. ☐ No – Complete items 1a through 1h. Do NOT complete page 3.
- Copies of blank forms can be found at: www.bea.gov/fdi

BASIS OF CLAIM FOR EXEMPTION

Select **ONE** type of exemption – either based on Value (#1 below) or based on one of the reasons listed under Other Exemptions (#2 on page 3). Please check box corresponding to the type of exemption you are claiming.

- 0100
(1) ☐ **Exemption based on Value. Complete if item IV was "NO".**

Rounding – Report currency amounts in U.S. dollars rounded to thousands (omitting 000). **Do not enter amounts in the shaded portions of each line.**

Example – If amount is \$1,334,891.00 report as:

| \$ Bil. | Mil. | Thous. | Dols. |
|---------|------|--------|-------|
| | 1 | 335 | 000 |

| \$ Bil. | Mil. | Thous. | Dols. |
|---------|------|--------|-------|
|---------|------|--------|-------|

- (a) Total assets at the close of the fiscal year that ended in calendar year 2013 – Do not net out liabilities..... 2109

| | | | |
|---|--|--|-----|
| 1 | | | 000 |
|---|--|--|-----|

- (b) Sales or gross operating revenues for the fiscal year that ended in calendar year 2013, excluding sales taxes – Do not give gross margin..... 2149

| | | | |
|---|--|--|-----|
| 1 | | | 000 |
|---|--|--|-----|

- (c) Net income (loss) for the fiscal year that ended in calendar year 2013, after provision for U.S. Federal, state, and local income taxes. 2159

| | | | |
|---|--|--|-----|
| 1 | | | 000 |
|---|--|--|-----|

- (d) Total liabilities at the close of the fiscal year that ended in calendar year 2013..... 2114

| | | | |
|---|--|--|-----|
| 1 | | | 000 |
|---|--|--|-----|

☐ **Please check box if total liabilities are zero.**

- (e) **Major product(s) or service(s) of the fully consolidated domestic U.S. affiliate** – Briefly describe the major product(s) and/or service(s) of the U.S. affiliate. If a product, also state what is done to it, i.e., whether it is mined, manufactured, sold at wholesale, transported, packaged, etc. (For example, "manufacture widgets.")

0

1163

- (f) **Industry code of the fully consolidated domestic U.S. affiliate** – Enter the 4-digit International Surveys Industry (ISI) code of the industry with the largest sales or gross operating revenues. For a full explanation of each code, see the *Guide to Industry Classifications for International Surveys, 2012*. A copy of this guide can be found on our web site at: www.bea.gov/naics2012

ISI Code

1

1164

- (g) **Enter the country in which the foreign parent is incorporated or organized, if a business enterprise, or is resident, if an individual or government.** The foreign parent is the FIRST person or entity outside the U.S. in a chain of ownership that has a 10 percent or more **voting** interest in this U.S. affiliate. See diagram on page 4 for an illustration of foreign parent.

BEA USE ONLY

Country of foreign parent

1

3016

- (h) **Enter the country in which the ultimate beneficial owner (UBO) is incorporated or organized, if a business enterprise, or is resident, if an individual or government.** The UBO is that person or entity, 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 or entity. See diagram on page 4 for an illustration of UBO.

BEA USE ONLY

Country of UBO

1

3022

Check ONE box corresponding to the type of exemption you are claiming.

This U.S. business enterprise is exempt from filing a Form BE-15A, BE-15B, or BE-15C because:

(2) Other exemptions (check box below)

- (a) ⁰¹⁷⁰ 1 ☐ This U.S. business enterprise was a U.S. affiliate of a foreign person or entity at some time during calendar year 2013, but ceased to be a U.S. affiliate before the end of the fiscal year that ended in calendar year 2013.

Give date foreign ownership ceased or went below 10 percent, or when the business was liquidated or dissolved.

| | Month | Day | Year |
|--------|-------|-----|------|
| 7012 1 | | | |

- (b) ⁰¹¹⁰ 1 ☐ This U.S. business enterprise was not a U.S. affiliate of a foreign person or entity at any time during calendar year 2013, but had been a U.S. affiliate of a foreign person at some time before January 1, 2013.

Give date foreign ownership ceased or went below 10 percent, or when the business was liquidated or dissolved.

| | Month | Day | Year |
|--------|-------|-----|------|
| 7010 1 | | | |

- (c) ⁰¹⁸⁰ 1 ☐ This U.S. business enterprise is a U.S. affiliate of a foreign person or entity, but became a U.S. affiliate after the end of its fiscal year that ended in calendar year 2013, or if a newly formed company, its first fiscal year did not or will not end until after the end of calendar year 2013.

Complete items (1) and (2).

(1) *Give date when the U.S. business enterprise became a U.S. affiliate of a foreign person.*

| | Month | Day | Year |
|--------|-------|-----|------|
| 7013 1 | | | |

(2) *Give the ending date of the U.S. business enterprise's fiscal year that ended in calendar year 2013. If a newly formed company, give the ending date of the U.S. business enterprise's first fiscal year. NOTE: For a newly formed company this must be a date in calendar year 2014.*

| | Month | Day | Year |
|--------|-------|-----|------|
| 7014 1 | | | |

- (d) This U.S. business enterprise was controlled by a U.S. affiliate of a foreign person or entity during the fiscal year that ended in calendar year 2013 and is (check appropriate box (1) or (2)):

(1) ⁰¹¹² 1 ☐ **Fully consolidated** into the 2013 BE-15 report filed for that U.S. affiliate;

OR

(2) ⁰¹¹² 2 ☐ **Merged** into, and included on the 2013 BE-15 report filed for, that U.S. affiliate.

On the lines below give the name, address, and BE-15 Identification Number of the U.S. affiliate into which this U.S. business enterprise is fully consolidated or merged.

| | | |
|------|------|--|
| 0120 | Name | |
| 0 | | |

| | | |
|------|--------------------|--|
| 0130 | Street or P.O. Box | |
| 0 | | |

| | | | | | |
|------|------|------|-------|------|----------|
| 0140 | City | 0141 | State | 0150 | Zip Code |
| 0 | | 0 | | 0 | |

| | |
|------|-----------------------------|
| 7011 | BE-15 Identification Number |
| 0 | |

- (e) ⁰¹⁹⁰ 1 ☐ Other – Specify and include reference to section of regulations or instructions on which claim is based – attach remarks on a separate sheet if necessary.

| | |
|------|---|
| 7015 | 0 |
| | |

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), 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 Title 15, CFR, Part 801.

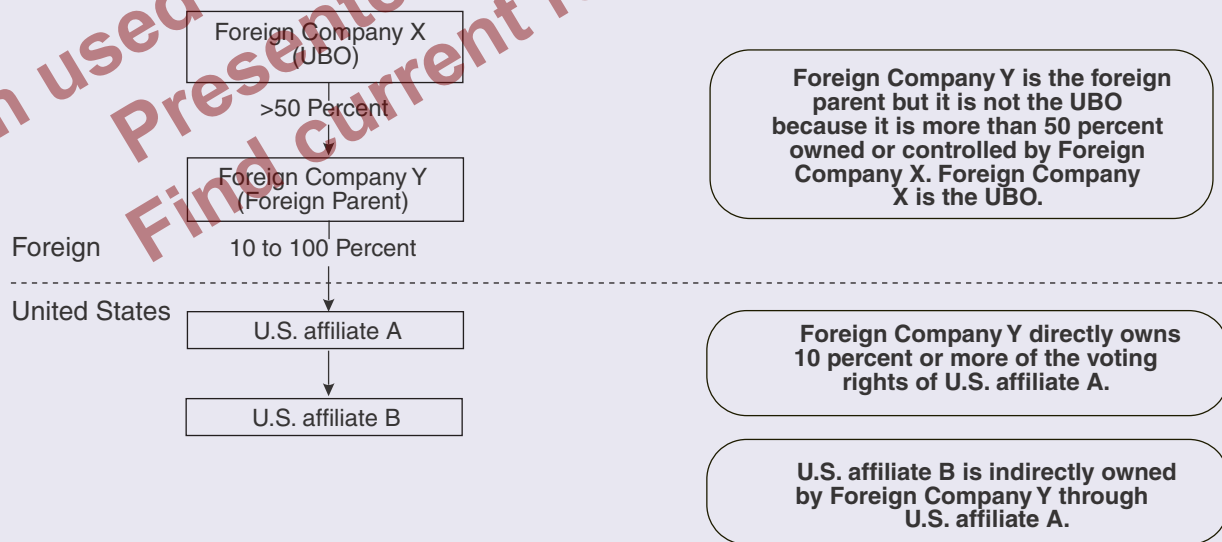
Penalties – Whoever fails to report may be subject to a civil penalty of not less than \$2,500, and not more than \$25,000, and to injunctive relief commanding such person to comply, or both. The civil penalties are subject to inflationary adjustments. Those adjustments are found in 15 CFR 6.4. Whoever 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 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. The control number for this survey is at the top of page 1.

Respondent Burden – Public reporting burden for this form is estimated to vary from 20 to 75 minutes per response, with an average of 1 hour 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, 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 0608-0042, 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.

ILLUSTRATION OF FOREIGN PARENT AND ULTIMATE BENEFICIAL OWNER (UBO)



NOTE: In the illustration above, if Foreign Company Y does not have at least a 10 percent indirect voting interest in U.S. affiliate B, then U.S. affiliate B is exempt from filing Form BE-15. In addition, if U.S. affiliate A owns more than 50 percent of U.S. affiliate B, then the data for U.S. affiliate B should be consolidated on the BE-15 report filed for U.S. affiliate A.

DEFINITIONS OF KEY TERMS

Affiliate means a business enterprise located in one country that is directly or indirectly owned or controlled by a person or 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, including a branch.

Direct investment means the ownership or control, directly or indirectly, by one person or entity of 10 percent or more of the voting securities of an incorporated business enterprise or an equivalent interest in an unincorporated business enterprise.

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