



## 2013 ANNUAL SURVEY OF U.S. DIRECT INVESTMENT ABROAD MANDATORY — CONFIDENTIAL BE-11 Claim for Not Filing

**Reporter ID Number**

**Mail reports to:** U.S. Department of Commerce  
Bureau of Economic Analysis, BE-69(A)  
Washington, DC 20230

**Deliver reports to:** U.S. Department of Commerce  
Bureau of Economic Analysis, BE-69(A)  
Shipping and Receiving, Section M-100  
1441 L Street, NW  
Washington, DC 20005

**Fax reports to:** (202) 606-5312

**Assistance:** E-mail: [be10/11@bea.gov](mailto:be10/11@bea.gov)  
Telephone: (202) 606-5566  
Copies of form: [www.bea.gov/dia](http://www.bea.gov/dia)

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

**Name and address of U.S. business enterprise for which this claim is filed** — If the enterprise received a Form BE-11A but is exempt from filing, enter below the Reporter name, address, and BEA assigned Identification Number (Reporter ID) from the preprinted information provided in Part I, **1**, of Form BE-11A. If a Form BE-11A was not received, enter name and address.

Name and address of U.S. Reporter

A BE-11, 2013 Annual 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 its 2013 fiscal year, unless all of the person's affiliates are exempt. (The U.S. person's 2013 fiscal year is defined to be the person's financial reporting year that has an ending date in calendar year 2013.)

All 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 pursuant to section 801.3 of 15 C.F.R., part 801 and the survey instructions. They may respond by:

- filing the properly completed BE-11 report by May 30, 2014, as required;
- completing and returning the "BE-11 Claim for Not Filing" by May 30, 2014; or
- certifying in writing, by May 30, 2014, to the fact that the person had no direct investment within the purview of the reporting requirements of the BE-11 survey.

**PERSON TO CONSULT CONCERNING QUESTIONS ABOUT THIS REPORT — Enter name and address**

0990	Name		
0991	Address		
0992			
0993			
0994	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, in accordance with Part IV.E of the **Instruction Booklet**, estimates may have been provided.

Authorized official's signature	Date
0995	Print or type name and title
0996	Telephone number
0997	Fax number

**May fax and/or e-mail be used in correspondence between your enterprise and BEA**, including faxed reports, and/or to discuss questions relating to this survey that may contain information about your company that you may consider confidential? **NOTE:** The internet and telephone systems are not secure means of transmitting confidential information unless it is encrypted. 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.

0998	E-mail:	1	1	Yes (If yes, please print your e-mail address.)	→	0999	E-mail address (Please print)
		1	2	No			
1000	Fax:	1	1	Yes (If yes, please print your fax number.)	→	1001	Fax number
		1	2	No			

**BASIS OF CLAIM FOR NOT FILING**

Mark (X) and complete either A, B, or C

**A.**  This U.S. person did **not** own or control, directly and/or indirectly, 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 2013 fiscal year.

But *did* file the 2012 BE-11, Annual Survey of U.S. Direct Investment Abroad, with this Bureau.

**B.**  This U.S. person **did** own or control, directly or indirectly, 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 2013 fiscal year, but (Mark (X) one) –

1  None of its foreign affiliates are required to be reported on Form BE-11B, BE-11C, BE-11D, or BE-11E because all affiliates are exempt. **You must complete page 3 of this claim for those affiliates for which you received a preprinted form.** See **Instruction Booklet, Section I.C.**, for exemption criteria.

2  Is fully consolidated in the BE-11 report for 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 →		

**C.**  Other – Specify and include reference to section of regulations or instructions on which claim is based.


**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.

**PENALTIES** — Whoever fails to report shall be subject to a civil penalty of not less than \$2,500, and not more that \$25,000, 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 violations, upon conviction, may be punished by a like fine, imprisonment, or both (22 U.S.C. 3105). These civil penalties are subject to inflationary adjustments. Those adjustments are found in 15 C.F.R. 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.

Remarks

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If you are claiming exemption based upon the criteria on page 2, B.1, complete the items below for those affiliates for which you received preprinted forms. Copy the foreign affiliate name and Affiliate ID from the preprinted form and complete the remaining items.

<p><b>1</b> Name of foreign affiliate:</p>    <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
<p><b>2</b> Name of foreign affiliate:</p>    <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
<p><b>3</b> Name of foreign affiliate:</p>    <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
<p><b>4</b> Name of foreign affiliate:</p>    <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
<p><b>5</b> Name of foreign affiliate:</p>    <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>

If you are claiming exemption based upon the criteria on page 2, B.1, complete the items below for those affiliates for which you received preprinted forms. Copy the affiliate name and Affiliate ID from the preprinted form and complete the remaining items.

<p><b>6</b> Name of foreign affiliate:</p>   <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
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<p><b>7</b> Name of foreign affiliate:</p>   <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
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<p><b>8</b> Name of foreign affiliate:</p>   <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
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<p><b>9</b> Name of foreign affiliate:</p>   <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
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<p><b>10</b> Name of foreign affiliate:</p>   <p>Affiliate ID:</p>	<p><b>a.</b> Percent ownership at close of fiscal year 2013 – <i>Enter to the nearest tenth of one percent</i> . . . . . <input type="text"/> %</p> <p style="text-align: right;">\$ Bil. Mil. Thous. Dols.</p> <p><b>b.</b> Total assets – <i>Balance at close of fiscal year</i> . . . . . <input type="text"/> 000</p> <p><b>c.</b> Annual sales or gross operating revenues, excluding sales taxes. . . . . <input type="text"/> 000</p> <p><b>d.</b> Net income (loss) . . . . . <input type="text"/> 000</p>
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Additional foreign affiliates should be reported on additional copied sheets.