

**U.S. PROCESSORS' QUESTIONNAIRE**

**FROZEN WARMWATER SHRIMP FROM CHINA, ECUADOR, INDIA, INDONESIA,  
MALAYSIA, THAILAND, AND VIETNAM**

**This questionnaire must be received by the Commission by no later than January 11, 2013**

*See page 4 of the Instruction Booklet for filing instructions.*

The information called for in this questionnaire is for use by the United States International Trade Commission in connection with its countervailing duty investigations concerning frozen warmwater shrimp from China, Ecuador, India, Indonesia, Malaysia, Thailand, and Vietnam (Inv. Nos. 701-TA-491-497 (Preliminary)). The information requested in the questionnaire is requested under the authority of the Tariff Act of 1930, title VII. This report is mandatory and failure to reply as directed can result in a subpoena or other order to compel the submission of records or information in your possession (19 U.S.C. § 1333(a)).

<b>Name of firm</b> _____
<b>Address</b> _____
<b>City</b> _____ <b>State</b> _____ <b>Zip Code</b> _____
<b>World Wide Web address</b> _____
Has your firm processed frozen warmwater shrimp (as defined in the instruction booklet) at any time since January 1, 2009?
<input type="checkbox"/> <b>NO</b> (Sign the certification below and promptly return only this page of the questionnaire to the Commission)
<input type="checkbox"/> <b>YES</b> (Read the instruction booklet carefully, complete all parts of the questionnaire, and return the entire questionnaire to the Commission so as to be received by the date indicated above)

**CERTIFICATION**

*I certify that the information herein supplied in response to this questionnaire is complete and correct to the best of my knowledge and belief and understand that the information submitted is subject to audit and verification by the Commission.*

*By means of this certification I also grant consent for the Commission, and its employees and contract personnel, to use the information provided in this questionnaire and throughout this proceeding in any other import-injury proceedings conducted by the Commission on the same or similar merchandise.*

*I acknowledge that information submitted in this questionnaire response and throughout this proceeding may be used by the Commission, its employees, and contract personnel who are acting in the capacity of Commission employees, for developing or maintaining the records of this proceeding or related proceedings for which this information is submitted, or in internal audits and proceedings relating to the programs and operations of the Commission pursuant to 5 U.S.C. Appendix 3. I understand that all contract personnel will sign non-disclosure agreements.*

_____ <i>Name of Authorized Official</i>	_____ <i>Title of Authorized Official</i>	_____ <i>Date</i>
_____ <i>Signature</i>	_____ <i>Phone:</i>	_____ <i>Email address</i>
	_____ <i>Fax:</i>	

**PART I.—GENERAL INFORMATION**

The questions in this questionnaire have been reviewed with market participants to ensure that issues of concern are adequately addressed and that data requests are sufficient, meaningful, and as limited as possible. Public reporting burden for this questionnaire is estimated to average 50 hours per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the questionnaire. Send comments regarding the accuracy of this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Investigations, U.S. International Trade Commission, 500 E Street, SW, Washington, DC 20436.

I-1a. **OMB statistics.**--Please report below the actual number of hours required and the cost to your firm of preparing the reply to this questionnaire and completing the form.

\_\_\_\_\_hours \_\_\_\_\_dollars

I-1b. **OMB feedback.**--We are interested in any comments you may have for improving this questionnaire in general or the clarity of specific questions. Please attach such comments to your response or send them to the above address.

I-2. **Establishments covered.**--Provide the name and address of establishment(s) covered by this questionnaire (see page 3 of the instruction booklet for reporting guidelines). If your firm is publicly traded, please specify the stock exchange and trading symbol.

---

---

---

I-3. **Petition support.**--Do you support or oppose the petition?

China	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position
Ecuador	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position
India	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position
Indonesia	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position
Malaysia	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position
Thailand	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position
Vietnam	<input type="checkbox"/> Support	<input type="checkbox"/> Oppose	<input type="checkbox"/> Take no position

---

---

**PART I.--GENERAL INFORMATION--Continued**

I-4. **Ownership.**--Is your firm owned, in whole or in part, by any other firm?

No       Yes--List the following information.

<u>Firm name</u>	<u>Address</u>	<u>Extent of ownership</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I-5. **Related importers/exporters.**--Does your firm have any related firms, either domestic or foreign, that are engaged in importing frozen warmwater shrimp from China, Ecuador, India, Indonesia, Malaysia, Thailand, or Vietnam into the United States or that are engaged in exporting frozen warmwater shrimp from those subject countries to the United States?

No       Yes--List the following information.

<u>Firm name</u>	<u>Address</u>	<u>Affiliation</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I-6. **Related producers.**--Does your firm have any related firms, either domestic or foreign, that are engaged in the production of frozen warmwater shrimp?

No       Yes--List the following information.

<u>Firm name</u>	<u>Address</u>	<u>Affiliation</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

**PART II.--TRADE AND RELATED INFORMATION**

Further information on this part of the questionnaire can be obtained from Amy Sherman (202-205-3289, [amy.sherman@usitc.gov](mailto:amy.sherman@usitc.gov)). **Supply all data requested on a calendar-year basis.**

II-1. **Contact information.**-- Please identify the responsible individual and the manner by which Commission staff may contact that individual regarding the confidential information submitted in part II.

Name	
Title	
Email	
Telephone	
Fax	

II-2. **Changes in operations.**--Please indicate whether your firm has experienced any of the following changes in relation to the production of frozen warmwater shrimp since January 1, 2009.

- (check as many as appropriate)*                      *(please describe)*
- plant openings ..... \_\_\_\_\_  
\_\_\_\_\_
  - plant closings..... \_\_\_\_\_  
\_\_\_\_\_
  - relocations ..... \_\_\_\_\_  
\_\_\_\_\_
  - expansions..... \_\_\_\_\_  
\_\_\_\_\_
  - acquisitions..... \_\_\_\_\_  
\_\_\_\_\_
  - consolidations..... \_\_\_\_\_  
\_\_\_\_\_
  - prolonged shutdowns or  
production curtailments..... \_\_\_\_\_  
\_\_\_\_\_
  - revised labor agreements..... \_\_\_\_\_  
\_\_\_\_\_
  - other (*e.g.*, technology) ..... \_\_\_\_\_  
\_\_\_\_\_

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-3. **Same equipment, machinery, and workers.**--Has your firm since 2009 produced, or does your firm anticipate producing in the future, other products on the same equipment and machinery used in the production of frozen warmwater shrimp and/or using the same production and related workers employed to produce frozen warmwater shrimp?

- No                       Yes--List the following information and report your firm's combined production capacity and production of these products and frozen warmwater shrimp in the periods indicated.

<b>Product</b>	<b>Period</b>	<b>Basis for allocation of capacity and employment data (indicate if different)</b>
_____	_____	_____
_____	_____	_____
_____	_____	_____

(Quantity in 1,000 pounds)					
Item	Calendar years			January-September	
	2009	2010	2011	2011	2012
<b>Overall Production Capacity</b>					
<b>Production of:</b>					
Frozen warmwater shrimp					
Other product 1 _____					
Other product 2 _____					

II-4. **Freezing capacity.**--Please provide your firm's total and allocated freezing capacity data for all freeze-processed products at your facilities since 2009 based on your firm's typical product mix of frozen products.

(Quantity in 1,000 pounds)					
Item	Calendar years			January-September	
	2009	2010	2011	2011	2012
Total potential freezing capacity <sup>1</sup> (A)					
of which, allocated to frozen warmwater shrimp <sup>2</sup> (B)					
Total block freezing capacity					
Total IQF freezing capacity					

<sup>1</sup> The total potential freezing capacity reported is based on your firm's typical operations: *i.e.*, operating \_\_\_\_\_ hours per week, \_\_\_\_\_ weeks per year. Do not report changes in capacity due to cyclical of operations, *i.e.*, hold average operating hours per week and weeks per year constant over the period.

<sup>2</sup> If the allocation of freezing capacity changed over the period since 2009, please describe why your firm allocated more or less freezing capacity to frozen warmwater shrimp as a share of total freezing capacity.


**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-5a. **Constraints on production.**--Please rank the following constraint(s) that limited your firm's production capacity of frozen warmwater shrimp during the period under review. If a given potential constraint was not actually applicable to your firm's operation over the period under review, please indicate "not applicable" even if it would be or would have potentially been a constraint.

Item	Not applicable over period	Most important	2 <sup>nd</sup> most important	3 <sup>rd</sup> most important	4 <sup>th</sup> most important	5 <sup>th</sup> most important
Freezing capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Live shrimp supply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Machinery or equipment other than freezers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storage capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Labor availability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II-5b. If you indicated above that there were constraints on your production capacity for frozen warmwater shrimp other than freezing capacity, please discuss the magnitude and timing of these constraints on your firm's operations since 2009.

---



---

II-5c. Please indicate the percentage of frozen warmwater shrimp processed by your firm in 2011.

Type	Percentage
wild-caught (ocean harvested)	
farm-raised (produced by aquaculture)	

II-6. **Tolling.**--Since January 1, 2009, has your firm been involved in a toll agreement (see definition in the instruction booklet) regarding the production of frozen warmwater shrimp?

No       Yes--Name firm(s): \_\_\_\_\_.

II-7. **Foreign trade zone.**--Does your firm produce frozen warmwater shrimp in a foreign trade zone (FTZ)?

No       Yes--Identify FTZ(s): \_\_\_\_\_.

II-8. **Importer.**--Since January 1, 2009, has your firm imported frozen warmwater shrimp?

No       Yes--**COMPLETE AND RETURN A U.S. IMPORTERS' QUESTIONNAIRE**

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-9. **Trade data.**--Report your firm's production capacity, production, shipments, inventories, and employment related to the production of frozen warmwater shrimp in your U.S. establishment(s) during the specified periods. (See definitions in the instruction booklet.)

Item	Quantity (in 1,000 pounds) and value (in \$1,000)				
	Calendar years			January-September	
	2009	2010	2011	2011	2012
<b>Average production capacity</b> <sup>1</sup> (quantity)					
<b>Beginning-of-period inventories</b> (quantity)					
<b>Production</b> (quantity)					
<b>U.S. shipments:</b>					
<b>Commercial shipments:</b>					
Quantity of commercial shipments					
Value of commercial shipments					
<b>Internal consumption:</b>					
Quantity of internal consumption					
Value <sup>2</sup> of internal consumption					
<b>Transfers to related firms:</b>					
Quantity of transfers					
Value <sup>2</sup> of transfers					
<b>Export shipments:</b> <sup>3</sup>					
Quantity of export shipments					
Value of export shipments					
<b>End-of-period inventories</b> <sup>4</sup> (quantity)					
<b>Channels of distribution:</b>					
U.S. shipments to distributors (quantity)					
U.S. shipments to end users (quantity)					
U.S. shipments to retailers <sup>5</sup> / institutional buyers <sup>6</sup> (quantity)					
<b>Employment data:</b>					
Average number of PRWs (number)					
Hours worked by PRWs (1,000 hours)					
Wages paid to PRWs (value)					

<sup>1</sup> The production capacity (see definitions in instruction booklet) reported is based on operating \_\_\_ hours per week, \_\_\_ weeks per year. Please describe the methodology used to calculate production capacity, and explain any changes in reported capacity (use additional pages as necessary).

<sup>2</sup> Internal consumption and transfers to related firms must be valued at fair market value. In the event that you use a different basis for valuing these transactions, please specify that basis (e.g., cost, cost plus, etc.) and provide value data using that basis for each of the periods noted above:

<sup>3</sup> Identify your principal export markets: \_\_\_\_\_.

<sup>4</sup> Reconciliation of data.--Please note that the **quantities** reported above should reconcile as follows: beginning-of-period inventories, plus production, less total shipments, equals end-of-period inventories. Do the data reported reconcile?

Yes     No--Please explain: \_\_\_\_\_.

<sup>5</sup> Entities that purchase and resell to end users (i.e., supermarket and other retailers that sell to customers).

<sup>6</sup> Entities such as restaurants, hotels, hospitals, etc.

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-10. **Related firms.**--If you reported transfers to related firms in question II-9, please indicate the nature of the relationship between your firm and the related firms (*e.g.*, joint venture, wholly owned subsidiary), whether the transfers were priced at market value or by a non-market formula, whether your firm retained marketing rights to all transfers, and whether the related firms also processed inputs from sources other than your firm.

---

---



**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-11. **Purchases**.--Other than direct imports, has your firm otherwise purchased frozen warmwater shrimp since January 1, 2009? (See definitions in the instruction booklet.)

No                       Yes--Report such purchases below for the specified periods.<sup>1</sup>

<i>(Quantity in 1,000 pounds, value in \$1,000)</i>					
Item	Calendar years			January-September	
	2009	2010	2011	2011	2012
<b>PURCHASES FROM U.S. IMPORTERS<sup>2</sup></b>					
<b>OF PRODUCT FROM—</b>					
<b>CHINA:</b>					
<i>Quantity</i>					
<i>Value</i>					
<b>ECUADOR:</b>					
<i>Quantity</i>					
<i>Value</i>					
<b>INDIA:</b>					
<i>Quantity</i>					
<i>Value</i>					
<b>INDONESIA:</b>					
<i>Quantity</i>					
<i>Value</i>					
<b>MALAYSIA:</b>					
<i>Quantity</i>					
<i>Value</i>					
<b>THAILAND:</b>					
<i>Quantity</i>					
<i>Value</i>					
<b>VIETNAM:</b>					
<i>Quantity</i>					
<i>Value</i>					
All Other Countries:					
<i>Quantity</i>					
<i>Value</i>					
<b>PURCHASES FROM DOMESTIC PRODUCERS:<sup>2</sup></b>					
<i>Quantity</i>					
<i>Value</i>					
<b>PURCHASES FROM OTHER SOURCES:<sup>2</sup></b>					
<i>Quantity</i>					
<i>Value</i>					
<sup>1</sup> Please indicate your reasons for purchasing this product. If your reasons differ by source, please elaborate. <hr/>					
<sup>2</sup> Please list the name of the firm(s) from which you purchased this product. If your suppliers differ by source, please identify the source for each listed supplier. <hr/>					

**PART III.--FINANCIAL INFORMATION**

Address questions on this part of the questionnaire to David Boyland (202-708-4725, David.Boyland@usitc.gov).

III-1. **Contact information**-- Please identify the responsible individual and the manner by which Commission staff may contact that individual regarding the confidential information submitted in part III.

Name	
Title	
Email	
Telephone	
Fax	

III-2. **Accounting system**--Briefly describe your financial accounting system.

- A. When does your fiscal year end (month and day)? \_\_\_\_\_  
If your fiscal year changed during the period examined, explain below: \_\_\_\_\_
- B.1. Describe the lowest level of operations (e.g., plant, division, company-wide) for which financial statements are prepared that include frozen warmwater shrimp: \_\_\_\_\_
- 2. Does your firm prepare profit/loss statements for frozen warm water shrimp:  
 Yes       No
- 3. How often did your firm (or parent company) prepare financial statements (including annual reports, 10Ks)? Please check relevant items below.  
 Audited,    unaudited,    annual reports,    10Ks,    10 Qs,  
 Monthly,    quarterly,    semi-annually,    annually
- 4. Accounting basis:  GAAP,    cash,    tax, or    other comprehensive basis of accounting (specify) \_\_\_\_\_

*Note: The Commission may request that your company submit copies of its financial statements, including internal profit-and-loss statements for the division or product group that includes frozen warmwater shrimp, as well as those statements and worksheets used to compile data for your firm's questionnaire response.*

III-3. **Cost accounting system**--Briefly describe your cost accounting system (e.g., standard cost, job order cost, etc.).

---



---

**PART III.--FINANCIAL INFORMATION--Continued**

III-4. **Allocation basis.**--Briefly describe your allocation basis, if any, for COGS, SG&A, and interest expense and other income and expenses.

---

---

III-5. **Other products.**--Please list the products you produced in the facilities in which you produced frozen warmwater shrimp, and provide the share of net sales accounted for by these other products in your most recent fiscal year:

<u>Products</u>	<u>Share of sales</u>
<u>Frozen warmwater shrimp</u>	_____ %
_____	_____ %
_____	_____ %
_____	_____ %
_____	_____ %
<u>Total</u>	<u>100</u> %

III-6. Does your firm purchase **inputs** (raw materials, labor, energy, or any other services) used in the production of frozen warmwater shrimp from any related firms?

Yes--Continue to question III-7 below.       No--Continue to question III-9 below.

III-7. **Inputs from related firms.**--In the space provided below, identify the inputs used in the production of drawn stainless steel sinks that your firm purchases from related parties.

<u>Input</u>	<u>Related party</u>
_____	_____
_____	_____
_____	_____
_____	_____

**PART III.--FINANCIAL INFORMATION--Continued**

III-8. **Inputs from related firms at cost.**--All intercompany profit on inputs purchased from related parties should be eliminated from the costs reported to the Commission in question III-10 (i.e., costs reported in question III-10 should only reflect the related party's cost and not include an associated profit component). Reasonable methods for determining and eliminating the associated profit on inputs purchased from related parties are acceptable.

Has your firm complied with the Commission's instructions regarding costs associated with inputs purchased from related parties?

Yes       No--Please contact David Boyland (202-708-4725, [David.Boyland@usitc.gov](mailto:David.Boyland@usitc.gov)).

III-9. **Nonrecurring items (charges and gains) included in reported financial results on frozen warmwater shrimp.**--For each annual period and specified interim period for which financial results are reported in question III-10, please specify all material (significant) nonrecurring items (charges and gains) in the schedule below, the specific table III-10 line item where the nonrecurring items are included, a brief description of the relevant nonrecurring items, and the associated values (*in \$1,000*), as reflected in table III-10; i.e., if an aggregate nonrecurring item has been allocated to table III-10, only the allocated value amount included in table III-10 should be reported in the schedule below. Note: The Commission's objective here is to gather information only on material (significant) nonrecurring items which impacted the reported financial results on frozen warmwater shrimp in table III-10.

	<b><u>Fiscal years ended</u></b>			<b><u>January-September</u></b>	
	<u>      </u>	<u>      </u>	<u>      </u>	<b>2011</b>	<b>2012</b>
<b>Nonrecurring item:</b> In this column please provide a brief description of each nonrecurring item and indicate the specific table III-10 designation (e.g., COGS, SG&A) where the nonrecurring item is included.	<b>Nonrecurring item:</b> In these columns please report the amount ( <i>in \$1,000</i> ) of the relevant nonrecurring item reported in table III-10.				
1.					
2.					
3.					
4.					
5.					
6.					
7.					

**PART III.--FINANCIAL INFORMATION--Continued**

**III-10. Operations on frozen warmwater shrimp.**--Report the revenue and related cost information requested below on the frozen warmwater shrimp operations of your U.S. establishment(s).<sup>1</sup> Do not report resales of products. Note that internal consumption and transfers to related firms must be valued at fair market value and purchases from related firms must be at cost.<sup>2</sup> Provide data for your three most recently completed fiscal years in chronological order from left to right and the specified interim periods. If your firm was involved in tolling operations (either as the toller or as the tollee), please contact David Boyland (202-708-4725) before completing this section of the questionnaire.

Item	Quantity (in 1,000 pounds) and value (in \$1,000)				
	Fiscal years ended--			January-September	
	_____	_____	_____	2011	2012
<b>Net sales quantities:</b> <sup>3</sup>					
Commercial sales ("CS")					
Internal consumption ("IC")					
Transfers to related firms ("Transfers")					
Total net sales quantities					
<b>Net sales values:</b> <sup>3</sup>					
Commercial sales					
Internal consumption					
Transfers to related firms					
Total net sales values					
<b>Cost of goods sold (COGS):</b> <sup>4</sup>					
Raw materials:					
Shrimp and prawns:					
Procured domestically					
Imported					
All other raw materials					
Direct labor					
Other factory costs					
Total COGS					
<b>Gross profit or (loss)</b>					
<b>Selling, general, and administrative (SG&amp;A) expenses:</b>					
Selling expenses					
General and administrative expenses					
Total SG&A expenses					
<b>Operating income (loss)</b>					
<b>Other income and expenses:</b>					
Interest expense					
All other expense items					
All other income items					
All other income or expenses, net					
<b>Net income or (loss) before income taxes</b>					
<b>Depreciation/amortization included above</b>					

<sup>1</sup> Include only sales (whether domestic or export) and costs related to your U.S. manufacturing operations.

<sup>2</sup> Please eliminate any profits or (losses) on inputs from related firms pursuant question III-8.

<sup>3</sup> Less discounts, returns, allowances, and prepaid freight. The quantities and values should approximate the corresponding shipment quantities and values reported in Part II of this questionnaire.

<sup>4</sup> COGS should include costs associated with CS, IC, and Transfers, as well as export shipments in question II-8.

**PART III.--FINANCIAL INFORMATION--Continued**

III-11. Was your firm involved in a toll agreement (either as the toller or the tollee) in the production of frozen warmwater shrimp?

No             Yes--Please complete the section below.

Identify the name of the company your firm was engaged in a toll agreement with, the contact person and phone number at that firm, a description of the toll work performed under the toll agreement, and the volume and value of the toll work for each of the three most recently completed fiscal years and the specified interim periods.

Company name: \_\_\_\_\_

Contact and phone number: \_\_\_\_\_

Description of work performed: \_\_\_\_\_

Item	Fiscal years ended--			January-September	
	_____	_____	_____	2011	2012
Volume (1,000 pounds)					
Value (\$1,000)					

III-12. **Asset values.**--Report the total assets (i.e., both current and long-term assets) associated with the production, warehousing, and sale of frozen warmwater shrimp. If your firm does not maintain some or all of the specific asset information necessary to calculate total assets for frozen warmwater shrimp in the normal course of business, please estimate this information based upon a method (such as production, sales, or costs) that is consistent with your cost allocations in the previous question. Provide data as of the end of your three most recently completed fiscal years in chronological order from left to right.

**Note:** Total assets should reflect net assets after any accumulated depreciation and allowances deducted. Total assets should be allocated to the subject products if these assets are also related to other products. Please provide a brief explanation if there are any substantial changes in total asset value during the period; e.g., due to asset write-offs, revaluation, and major purchases.

Item	Value (in \$1,000)		
	Fiscal years ended--		
	_____	_____	_____
<b>Total assets (frozen warmwater shrimp) (net)</b>			

**PART III.--FINANCIAL INFORMATION--Continued**

III-13. **Capital expenditures and research and development expenses (frozen warmwater shrimp).**-  
 -Report your firm's capital expenditures and research and development expenses on certain frozen warmwater shrimp. Provide data for your three most recently completed fiscal years in chronological order from left to right and the specified interim periods.

	Value (in \$1,000)				
	Fiscal years ended--			January-September	
	_____	_____	_____	2011	2012
<b>Capital expenditures</b>					
<b>Research and development expenses</b>					

III-14. **Data consistency and reconciliation.**--Please indicate whether your financial data for questions III-10, III-12, and III-13 are based on a calendar year or your fiscal year:

- Calendar year
- Fiscal year (specify \_\_\_\_\_)

Please note the quantities and values reported in question III-10 should reconcile with the data reported in question II-8 (including export shipments) as long as they are reported on the same calendar year basis.

Do the above-referenced data in questions III-10 reconcile with the above-referenced data in questions II-8?

- Yes     No--Please explain \_\_\_\_\_

**PART III.--FINANCIAL INFORMATION--Continued**

III-15. **Effects of imports.**--Since January 1, 2009, has your firm experienced any actual negative effects on its return on investment or its growth, investment, ability to raise capital, existing development and production efforts (including efforts to develop a derivative or more advanced version of the product), or the scale of capital investments as a result of imports of frozen warmwater shrimp from China, Ecuador, India, Indonesia, Malaysia, Thailand, or Vietnam?

- No             Yes--My firm has experienced actual negative effects as follows:
- Cancellation, postponement, or rejection of expansion projects
  - Denial or rejection of investment proposal
  - Reduction in the size of capital investments
  - Rejection of bank loans
  - Lowering of credit rating
  - Problem related to the issue of stocks or bonds
  - Other (specify) \_\_\_\_\_

III-16. **Anticipated effects of imports.**--Does your firm anticipate any negative effects due to imports of frozen warmwater shrimp from China, Ecuador, India, Indonesia, Malaysia, Thailand, or Vietnam?

- No             Yes--My firm anticipates negative effects as follows:
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_



**PART IV.--PRICING AND RELATED INFORMATION**

Further information on this part of the questionnaire can be obtained from Amelia Preece (202-205-3250 Amelia.Preece@usitc.gov).

IV-1. **Contact information.**--Please identify the individual that Commission staff may contact regarding the confidential information submitted in part IV.

Name	
Title	
Email	
Telephone	
Fax	

**PRICE DATA**

IV-2. This question requests quarterly quantity and value data, f.o.b. your U.S. point of shipment, for your commercial shipments to unrelated U.S. customers since January 1, 2009 of the following products produced by your firm.

**Product 1.**-- Frozen, raw warmwater shrimp or prawns, all species, 71 to 90 count, headless, peeled (whether or not deveined), tail-off, block frozen (cut or not cut).

**Product 2.**-- Frozen, raw warmwater shrimp or prawns, all species, 41 to 50 count, P&D (peeled and deveined), tail-off, block frozen (cut or not cut).

**Product 3.**-- Frozen, raw warmwater shrimp or prawns, all species, 10 to 15 count, headless, shell-on, block frozen.

**Product 4.**-- Frozen, cooked warmwater shrimp or prawns, all species, 26 to 30 count, P&D (peeled and deveined), headless, tail-on or tail-off, IQF (individually quick frozen).

**Please note that total dollar values should be f.o.b., U.S. point of shipment and should not include U.S.-inland transportation costs. Total dollar values should reflect the *final net* amount paid to you (i.e., should be net of all deductions for discounts or rebates). See instruction booklet.**

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-2. **Pricing data.**--Report below the quarterly price data<sup>1</sup> for pricing products<sup>2</sup> produced and sold by your firm.

<b>(Quantity in pounds, value in dollars)</b>								
<b>Period of shipment</b>	<b>Product 1</b>		<b>Product 2</b>		<b>Product 3</b>		<b>Product 4</b>	
	<b>Quantity</b>	<b>Value</b>	<b>Quantity</b>	<b>Value</b>	<b>Quantity</b>	<b>Value</b>	<b>Quantity</b>	<b>Value</b>
<b>2009:</b>								
January-March								
April-June								
July-September								
October-December								
<b>2010:</b>								
January-March								
April-June								
July-September								
October-December								
<b>2011:</b>								
January-March								
April-June								
July-September								
October-December								
<b>2012:</b>								
January-March								
April-June								
July-September								

<sup>1</sup> Net values (*i.e.*, gross sales values less all discounts, allowances, rebates, prepaid freight, and the value of returned goods), f.o.b. your U.S. point of shipment.

<sup>2</sup> Pricing product definitions are provided on the first page of Part IV.

Product 1, please indicate species (e.g., white, tiger, etc.): \_\_\_\_\_

Product 2, please indicate species (e.g., white, tiger, etc.): \_\_\_\_\_

Product 3, please indicate species (e.g., white, tiger, etc.): \_\_\_\_\_

Product 4, please indicate species (e.g., white, tiger, etc.): \_\_\_\_\_

**Note.**--If your product does not exactly meet the product specifications but is competitive with the specified product, provide a description of your product. Also, please explain any anomalies in your reported pricing data.

Product 1: \_\_\_\_\_

Product 2: \_\_\_\_\_

Product 3: \_\_\_\_\_

Product 4: \_\_\_\_\_

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-3. **Price setting.**-- How does your firm determine the prices that it charges for sales of frozen warmwater shrimp (*check all that apply*)? If your firm issues price lists, please submit sample pages of a recent list.

Transaction by transaction	Contracts	Set price lists	Other	If other, describe
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

IV-4. **Discount policy.**-- Please indicate and describe your firm's discount policies (*check all that apply*).

Quantity discounts	Annual total volume discounts	No discount policy	Other	Describe
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

IV-5. **Pricing terms for frozen warmwater shrimp.**--

(a) What are your firm's typical sales terms for its U.S.-produced frozen warmwater shrimp?

Net 30 days	Net 60 days	2/10 net 30 days	Other (specify)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

(b) On what basis are your prices of domestic frozen warmwater shrimp usually quoted (*check one*)?

Delivered	F.o.b.	If f.o.b., specify point
<input type="checkbox"/>	<input type="checkbox"/>	

IV-6. **Contract versus spot.**-- Approximately what share of your firm's sales of its U.S.-produced frozen warmwater shrimp in 2011 was on a (1) long-term contract basis, (2) short-term contract basis, and (3) spot sales basis?

<u>Type of sale</u>	<u>Share of 2011 sales</u>
<b>Long-term contracts</b> (multiple deliveries for more than 12 months)	_____ %
<b>Short-term contracts</b> (multiple deliveries up to and including 12 months)	_____ %
<b>Spot sales</b> (for a single delivery)	_____ %
<b>Total</b>	<b>100 %</b>

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-7. **Contract provisions.**— Please fill out the table with respect to provisions of your typical sales contracts for frozen warmwater shrimp (or check “not applicable” if your firm does not sell on a long-term and/or short-term contract basis).

<b>Typical sales contract provisions</b>	<b>Item</b>	<b>Short-term contracts</b> (multiple deliveries up to and including 12 months)	<b>Long-term contracts</b> (multiple deliveries for more than 12 months)
Average contract duration	<i>Number of days</i>		
Price renegotiation (during the contract period)	<i>Yes</i>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>No</i>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed quantity and/or price	<i>Quantity</i>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Price</i>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Both</i>	<input type="checkbox"/>	<input type="checkbox"/>
Meet or release provision	<i>Yes</i>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>No</i>	<input type="checkbox"/>	<input type="checkbox"/>
Not applicable		<input type="checkbox"/>	<input type="checkbox"/>

IV-8. **Lead times.**--What is your share of sales both from inventory and produced to order and what is the average lead time between a customer's order and the date of delivery for your firm's sales of your U.S.-produced frozen warmwater shrimp?

<b>Source</b>	<b>Share of 2011 sales</b>	<b>Lead time (days)</b>
From inventory	_____ %	_____
Produced to order	_____ %	_____
<b>Total</b>	<b>100 %</b>	

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

**IV-9. Shipping information.--**

- (a) What is the approximate percentage of the total delivered cost of frozen warmwater shrimp that is accounted for by U.S. inland transportation costs? \_\_\_\_\_ %
- (b) Who generally arranges the transportation to your customers' locations (*check one*)?  
Your firm  Purchaser
- (c) Indicate the approximate percentage of your sales of frozen warmwater shrimp that are delivered the following distances from your production facility.

<b>Distance from production facility</b>	<b>Share</b>
Within 100 miles	%
101 to 1,000 miles	%
Over 1,000 miles	%
<b>Total</b>	<b>100 %</b>

IV-10. **Geographical shipments.**-- What is the geographic market area in the United States served by your firm's shipments of frozen warmwater shrimp? (check all that apply)

<b>Geographic area</b>	<b>√ if applicable</b>
<b>Northeast.</b> --CT, ME, MA, NH, NJ, NY, PA, RI, and VT.	<input type="checkbox"/>
<b>Midwest.</b> --IL, IN, IA, KS, MI, MN, MO, NE, ND, OH, SD, and WI.	<input type="checkbox"/>
<b>Southeast.</b> --AL, DE, DC, FL, GA, KY, MD, MS, NC, SC, TN, VA, and WV.	<input type="checkbox"/>
<b>Central Southwest.</b> --AR, LA, OK, and TX.	<input type="checkbox"/>
<b>Mountains.</b> --AZ, CO, ID, MT, NV, NM, UT, and WY.	<input type="checkbox"/>
<b>Pacific Coast.</b> --CA, OR, and WA.	<input type="checkbox"/>
<b>Other.</b> --All other markets in the United States not previously listed, including AK, HI, PR, and VI, among others.	<input type="checkbox"/>

IV-11. **End uses.**--List the end uses (for example, breaded shrimp and prawns, or shrimp and prawns in prepared meals) of the frozen warmwater shrimp that you manufacture. For each end-use product, what percentage of the total cost is accounted for by frozen warmwater shrimp and other inputs?

<b>End use product</b>	<b>Share of total cost of end use product accounted for by</b>		<b>Total</b>
	<b>Frozen warmwater shrimp (percent)</b>	<b>Other inputs (percent)</b>	
	%	%	100%
	%	%	100%
	%	%	100%

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-12. **Substitutes.**-- Can other products be substituted for frozen warmwater shrimp?

No                       Yes--Please fill out the table.

	Substitute	End use in which this substitute is used	Have changes in the prices of this substitute affected the price for frozen warmwater shrimp?		
			No	Yes	Explanation
1.			<input type="checkbox"/>	<input type="checkbox"/>	
2.			<input type="checkbox"/>	<input type="checkbox"/>	
3.			<input type="checkbox"/>	<input type="checkbox"/>	

IV-13. **Demand trends.**-- Indicate how demand within the United States and outside of the United States (if known) for frozen warmwater shrimp has changed since January 1, 2009. Describe the principal factors that have affected these changes in demand.

Market	Increase	No change	Decrease	Fluctuate	Factors
Within the United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Outside the United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

IV-14. **Product changes.**--Have there been any significant changes in the product range, product mix, or marketing of frozen warmwater shrimp since January 1, 2009?

No                       Yes--Please describe and quantify if possible.

---



---



---

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-15. **Business cycles.**--

(a) Is the frozen warmwater shrimp market subject to business cycles or conditions of competition (including seasonal business) distinctive to frozen warmwater shrimp?

No (skip to question IV-16.)       Yes-- Please describe below and then answer part (b).

---

---

---

(b) If yes, have there been any changes in the business cycles or conditions of competition for frozen warmwater shrimp since January 1, 2009?

No       Yes-- Please describe.

---

---

---

IV-16a. **Supply constraints.**--Has your firm refused, declined, or been unable to supply frozen warmwater shrimp since January 1, 2009 (examples include placing customers on allocation or "controlled order entry," declining to accept new customers or renew existing customers, delivering less than the quantity promised, been unable to meet timely shipment commitments, etc.)?

No       Yes-- Please describe.

---

---

---

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-16b. **Supply constraints.**—Please describe the effect that regulations (e.g., USDA, etc.) have on your ability to supply frozen warmwater shrimp. To your knowledge, does imported shrimp and prawns meet the same regulations?

---

---

---

IV-16c Please describe any regulations in other countries that affect the U.S. market for frozen warmwater shrimp.

---

---

---

IV-16d Please describe any manmade disasters (e.g. Gulf Oil Spill), natural disasters, or diseases that affect the U.S. market for frozen warmwater shrimp.

---

---

---

IV-17. **Raw materials.**--Please describe any trends in the prices of raw materials used to produce frozen warmwater shrimp and whether your firm expects these trends to continue.

---

---

---



**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-18. **Interchangeability.**--Is frozen warmwater shrimp produced in the United States and in other countries interchangeable (*i.e.*, can they physically be used in the same applications)?

Please indicate A, F, S, N, or 0 in the table below:

- A = the products from a specified country-pair are *always* interchangeable
- F = the products are *frequently* interchangeable
- S = the products are *sometimes* interchangeable
- N = the products are *never* interchangeable
- 0 = *no familiarity* with products from a specified country-pair

<b>Country-pair</b>	China	Ecuador	India	Indonesia	Malaysia	Thailand	Vietnam	Other countries
United States								
China	X							
Ecuador	X	X						
India	X	X	X					
Indonesia	X	X	X	X				
Malaysia	X	X	X	X	X			
Thailand	X	X	X	X	X	X		
Vietnam	X	X	X	X	X	X	X	

For any country-pair producing frozen warmwater shrimp that is *sometimes* or *never* interchangeable, please explain the factors that limit or preclude interchangeable use:

---



---



---



---



---



---



---



---



---



---

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-19. **Factors other than price.**--Are differences other than price (*i.e.*, quality, availability, transportation network, product range, technical support, *etc.*) between frozen warmwater shrimp produced in the United States and in other countries a significant factor in your firm's sales of the products?

Please indicate A, F, S, N, or 0 in the table below:

A = such differences are *always* significant

F = such differences are *frequently* significant

S = such differences are *sometimes* significant

N = such differences are *never* significant

0 = *no familiarity* with products from a specified country-pair

<b>Country-pair</b>	China	Ecuador	India	Indonesia	Malaysia	Thailand	Vietnam	Other countries
United States								
China	X							
Ecuador	X	X						
India	X	X	X					
Indonesia	X	X	X	X				
Malaysia	X	X	X	X	X			
Thailand	X	X	X	X	X	X		
Vietnam	X	X	X	X	X	X	X	

For any country-pair for which factors other than price *always* or *frequently* are a significant factor in your firm's sales of frozen warmwater shrimp, identify the country-pair and report the advantages or disadvantages imparted by such factors:

---



---



---



---



---



---



---



---



---



---

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

IV-20. **Customer Identification**--Please identify the names and contact information for your firm's 10 largest U.S. customers for frozen warmwater shrimp since January 1, 2009. Indicate the share of the quantity of your firm's total shipments of frozen warmwater shrimp that each of these customers accounted for in 2011.

Customer's name	Contact person	Email	Telephone	Street address (not P.O. box), city, state, and zip code	Share of 2011 sales (%)
1				Street Address City        '        State        Zip Code	
2				Street Address City        '        State        Zip Code	
3				Street Address City        '        State        Zip Code	
4				Street Address City        '        State        Zip Code	
5				Street Address City        '        State        Zip Code	
6				Street Address City        '        State        Zip Code	
7				Street Address City        '        State        Zip Code	
8				Street Address City        '        State        Zip Code	
9				Street Address City        '        State        Zip Code	
10				Street Address City        '        State        Zip Code	

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

**IV-21. COMPETITION FROM IMPORTS--LOST REVENUES.--**

Since January 1, 2009: To avoid losing sales to competitors selling frozen warmwater shrimp from China, Ecuador, India, Indonesia, Malaysia, Thailand, and Vietnam, did your firm:

	<b>No</b>	<b>Yes</b>
<b>Reduce prices</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Roll back announced price increases</b>	<input type="checkbox"/>	<input type="checkbox"/>

**THE TABLE BELOW IS TO BE COMPLETED ONLY BY NON-PETITIONERS.** (Note: petitioners may provide allegations involving quotes made AFTER the filing of the petition.)

If you indicated "yes" above, please furnish the following information for each affected transaction. If possible, provide documentation (e.g., copies of invoices, sales reports, or letters from customers). **Please note that the Commission may contact the firms named to verify the allegations reported.**

- Customer name, contact person, phone and fax numbers
- Specific product(s) involved
- Date of your initial price quotation
- Quantity involved
- Your initial *rejected* price quotation (total delivered value)
- Your *accepted* price quotation (total delivered value)
- The country of origin of the competing imported product
- The competing price quotation of the imported product (total delivered value)

Customer name, contact person, phone and fax numbers	Product	Country of origin	Date of quote	Quantity (pounds)	Initial rejected U.S. price (total value-- dollars)	Accepted U.S. price (total value-- dollars)	Competing import price (total value-- dollars)
Firm  Contact  Phone      Fax							
Firm  Contact  Phone      Fax							
Firm  Contact  Phone      Fax							
Firm  Contact  Phone      Fax							

**PART IV.--PRICING AND RELATED INFORMATION--Continued**

**IV-22. COMPETITION FROM IMPORTS--LOST SALES.—**

Since January 1, 2009: Did your firm lose sales of frozen warmwater shrimp to imports of these products from China, Ecuador, India, Indonesia, Malaysia, Thailand, and Vietnam?

**No**            **Yes**  
           

**THE TABLE BELOW IS TO BE COMPLETED ONLY BY NON-PETITIONERS.** (Note: petitioners may provide allegations involving quotes made AFTER the filing of the petition.)

If you indicated “yes” above, please furnish the following information for each affected transaction. If possible, provide documentation (e.g., copies of invoices, sales reports, or letters from customers). **Please note that the Commission may contact the firms named to verify the allegations reported.**

- Customer name, contact person, phone and fax numbers
- Specific product(s) involved
- Date of your price quotation
- Quantity involved
- Your rejected price quotation (total delivered value)
- The country of origin of the competing imported product
- The accepted price quotation of the imported product (total delivered value)

Customer name, contact person, phone and fax numbers	Product	Country of origin	Date of quote	Quantity (pounds)	Rejected U.S. price (total value-- dollars)	Competing import price (total value— dollars)
Firm Contact Phone      Fax						
Firm Contact Phone      Fax						
Firm Contact Phone      Fax						
Firm Contact Phone      Fax						