

CSC Data and Information Collection Form

DOE XX-XXXX

Please read the instructions before completing this form. Forms should be completed and submitted by mail to: Office of General Counsel, U.S. Department of Energy, 1000 Independence Avenue, SW, Room 6A-167, Washington, D.C. 20585.

1. Nuclear Supplier name and address:

2. Name, phone number and email address of Nuclear Supplier's contact in the U.S.:

3. Did the Nuclear Supplier become a successor in interest to another entity between January 1, 2008 and December 31, 2015? (Check One)

Yes _____ No _____

If yes, please provide the name/title of the predecessor entity.

4. Provide a brief description of the Nuclear Supplier's nuclear goods or services, e.g., type or category of the commodity, and purpose and function in nuclear commerce.

5. Is the Nuclear Supplier a publicly or privately held entity? (Check One)

Public _____ Private _____

6. Is the Nuclear Supplier considered a "small business" under Small Business Administration size standards at 13 CFR part 121? (Check One)

Yes _____ No _____

7. Reportable Information. Fill in the information requested in Tables 1 through 5, as applicable, for each nuclear installation located outside the United States where the Nuclear Supplier has supplied its nuclear goods or services or transported nuclear material in the time period January 1, 2008 to December 31, 2015.

8. Certification. I, the Nuclear Supplier's authorized official, hereby certify that the information provided is correct to the best of my knowledge.

Name: _____ **Signature:** _____ **Date:** _____

Table 5: Nuclear Material Transportation

Nuclear Installation Transported (Name & Address)	Export License or Authorization	Year(s) Transported	Value of Nuclear Material Transportation

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INSTRUCTIONS FOR COMPLETING FORM DOE XX-XXXX

Who is Required to File Form DOE XX-XXXX?

You are a Nuclear Supplier required to file Form DOE XX-XXXX if you have directly supplied nuclear goods or services or transported nuclear material to a nuclear installation outside the United States (also referred to as a foreign nuclear installation), or have reasonable knowledge that your nuclear goods or services, without substantial transformation prior to export, were supplied to a foreign nuclear installation during the reporting time period. Stated otherwise, you are a Nuclear Supplier if you are the principal party in interest in the supply of the nuclear goods or services or nuclear material transport, meaning you are the person receiving the primary monetary benefit from the export transaction, whether you, your authorized agent, a carrier, or another Nuclear Supplier obtained the applicable U.S. government license or authorization for the export of your nuclear goods or services.

Who is Not Required to File Form DOE XX-XXXX?

Nuclear Suppliers that did not supply nuclear goods or services to a foreign nuclear installation in the reporting time period; do not have reasonable knowledge that your nuclear goods or services in any form were supplied to a foreign nuclear installation in the reporting time period; or did not transport nuclear material to a nuclear installation in the reporting time period. In addition, you are not required to file Form DOE XX-XXXX if you are a Nuclear Supplier that supplied nuclear goods or services, or transported nuclear material to a foreign installation under contract with the United States government.

What is the Reporting Time Period?

The reporting period applies to nuclear goods or services that were supplied to a nuclear installation, or nuclear material that was transported to a nuclear installation outside the United States in the time period starting January 1, 2008 through December 31, 2015.

How Do I Interpret Key Terms in the Form?

For purposes of this form, a “person” means – (1) a United States person; or (2) an individual or entity (including an agency or instrumentality of a foreign country) that is located in the United States, or carries out an activity in the United States. Except that, a “person” does not include (a) the United States, or (b) any agency or instrumentality of the United States. A United States person means (a) any individual who is a resident, national, or citizen of the United States (other than an individual residing outside of the United States and employed by a person who is not a United States person); and (b) any corporation, partnership, association, joint stock company, business trust, unincorporated organization, or sole proprietorship that is organized under the laws of the United States.

For purposes of this form, a “Nuclear Supplier” is any person (or successor in interest of a person) that supplies goods or services that are: (a) facilities, equipment, fuel, services, or technology pertaining to the design, construction, operation, or decommissioning of a nuclear installation, or (b) transportation of nuclear materials to a foreign nuclear installation.

For purpose of this form, a “nuclear good or service” means – goods or services that are: (a) facilities, equipment, fuel, services, or technology pertaining to the design, construction, operation, or decommissioning of a nuclear installation, or (b) transportation of nuclear materials to foreign nuclear installations.

For purposes of this form, a “nuclear installation” means – (1) civilian nuclear power reactor plants; (2) civilian nuclear research reactor plants; (3) uranium enrichment facilities; (4) nuclear fuel fabrication facilities; (5) spent or used nuclear fuel reprocessing facilities; and (6) nuclear material storage facilities, except for storage of nuclear materials incidental to the transport of such materials.

For purposes of this form, “nuclear material” means – nuclear fuel, other than natural or depleted uranium, capable of producing energy by a self-sustaining chain process of nuclear fission outside a nuclear reactor, either alone or in combination with some other material, and radioactive products or waste, where radioactive products or waste means any radioactive material produced in, or any material made radioactive by exposure to the radiation incidental to the production or utilization of nuclear fuel, but does not include radioisotopes which have reached the final stage of fabrication so as to be usable for any scientific, medical, agricultural, commercial or industrial purpose.

How Do I Report the Value of Nuclear Goods or Services?

Value should be expressed in adjusted U.S. dollars, and represent the sales price of the nuclear goods or services, or the price charged for the transportation of nuclear material. Value should be provided in the aggregate, representing the total value of all nuclear goods or services supplied to each nuclear installation during the reporting time period. The value should be expressed in the following increments: for aggregate value exceeding \$100 million, \$100 million increments; for example, \$200 million to \$300 million; for aggregate value less than \$100 million, \$10 million increments, for example, \$10 to 20 million; for aggregate value less than \$10 million, \$1 million increments, for example, \$4 to \$5 million; and for aggregate value less than \$1 million increments, \$10,000 increments, for example, \$50,000 to \$60,000.

What Export License or Authorization Information is Requested?

It is expected that the supply of nuclear goods or services and the transportation of nuclear material to a foreign nuclear installation would require one or more of the following U.S. government licenses or authorizations: Nuclear Regulatory Commission (NRC) specific or general license pursuant to 10 CFR Part 110; Department of Energy, National Nuclear Security Administration (NNSA) specific or general authorization pursuant to 10 CFR Part 810, or Department of Commerce export license pursuant to 15 CFR Part 730. You are required to report, to the extent you have reasonable knowledge, any and all applicable U.S. regulatory regimes authorizing the export of the nuclear goods or services; however, you are not required to itemize the authorizing regime(s) corresponding to the specific nuclear goods or services supplied.

How Do I Report Information that is Potentially Confidential or Proprietary?

If you believe the information requested on Form DOE XX-XXXX is exempt by law from public disclosure, you should submit one complete copy containing the information claimed to be confidential or proprietary clearly marked as such, as well as one copy from which the information claimed to be exempt by law from public disclosure has been deleted. DOE is responsible for the final determination with regard to disclosure or nondisclosure of the information and for treating it accordingly under applicable regulations, including the DOE Freedom of Information regulations at 10 CFR 1004.11.

What Tables Do I Need to Complete?

Nuclear Suppliers are required to complete only those Table(s) for which they have supplied nuclear goods or services, or transported nuclear material to a nuclear installation outside the United States. For example, for a Nuclear Supplier that only supplied nuclear goods or services to fuel fabrication facilities and spent or used fuel processing facilities, only Tables 3 and 4 would be completed, and Tables 1, 2, and 5 would remain blank.

Example Table Entries

The following example entries are provided as guidance to complete the requested information in Tables 1 through 4.

Column 1, Nuclear Installation and Address. Provide the name and/or title of the nuclear installation supplied, the nuclear installation owner or operator, and the address of the nuclear installation, by city and country.

An example entry in this column would read: Genkai Reactor 4, Kyushu Electric Power Co., Inc.; Genkai, Japan.

Column 2, Export License or Authorization. Provide the applicable U.S. government license or authorization required for the export of the nuclear goods or services supplied to the nuclear installation. If multiple license or authorizations were required, provide all such approvals.

An example entry in this column would read: NRC Part 110 specific license; NNSA Part 810 general authorization.

Column 3, Year(s) supplied. Provide the calendar year or years in which the nuclear goods or services were supplied to the nuclear installation listed in column 1.

An example entry in this column would read: 2008, 2010 and 2013.

Column 4, Aggregate Value of All Goods or Services Supplied. Provide the estimated aggregate amount, expressed in adjusted U.S. dollars, of the value of all nuclear goods or services provided to each nuclear installation identified in column 1.

An example entry in this column would read: \$200 to \$300 million.

The following example entry is provided as guidance to complete the requested information in Table 5.

Column 1, Nuclear Installation Transported To. Provide the name and/or title of the nuclear installation, the nuclear installation owner or operator, and the address of the nuclear installation, by city and country.

An example entry in this column would read: Atucha-1, -2 Reactors, Nucleoelectrica Argentina, Lima, Argentina.

Column 2, Export License or Authorization. Provide the type of U.S. government export license or authorization required for the transportation of nuclear material to the foreign nuclear installation. If multiple license or authorizations were required, provide all such approvals.

An example entry in this column would read: NRC Part 110 specific license.

Column 3, Year(s) supplied. Provide the calendar year or years in which the nuclear material was transported to the nuclear installation listed in column 1.

An example entry in this column would read: 2010 and 2012.

Column 4, Value of Nuclear Material Transportation. Provide the estimated aggregate amount, expressed in adjusted U.S. dollars, of the value of all nuclear material transportation services provided to each of the nuclear installations identified in column 1.

An example entry in this column would read: \$2 to \$3 million.