

The seal of the Department of the Treasury is a circular emblem. It features a central shield with a yellow background. On the shield, there are scales of justice, a banner with stars, and a key. The shield is surrounded by a blue ring containing the text "THE DEPARTMENT OF THE TREASURY" at the top and "1789" at the bottom.

**Before the
Outbound Investment Security Program**

Blank Notification Template for
§ 850.403 Notification of Post-Transaction Knowledge

**Before the
Outbound Investment Security Program**

U.S. Person Primary Representative Information

Full Name:

Title:

Email:

Phone Number:

Employer:

U.S. Person Primary Representative Information

International

Country:

Street Address:

City:

State:

Postal Code:

Persons Associated with the Transaction

Name	Company/Firm of Representative	Primary Representative?
		YES/NO
		YES/NO
		YES/NO

U.S. Person Information

Is the U.S. Person an individual or entity?

Individual/Entity

Full Name:

Principal Place of Business [City]:

Principal Place of Business [Country]:

Place of Incorporation or Legal Organization:

Primary NAICS Code:

**Before the
Outbound Investment Security Program**

Please provide a brief description of the U.S. Person:

Website Address (if any):

U.S. Person Parent(s):

Type	Name	Principle Place of Business	Place of Incorporation
Entity/Individual			
Entity/Individual			
Entity/Individual			

Does the U.S. Person have any Intermediate Parent(s)?

Yes/No

Intermediate Parent(s)

Entity Name	Principle Place of Business	Place of Incorporation

U.S. Company Address

Street Address:

City:

State:

Zip Code:

Additional Information:

Covered Transaction

Notification Type:

**Before the
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Provide a brief description of why the U.S. person has determined the transaction is a covered transaction that includes an explanation of the nature of the transaction, its structure, reference to the paragraph of § 850.210(a) that best describes the transaction type, and whether the notification is being submitted pursuant to § 850.401, § 850.402, or § 850.403:

Briefly describe the commercial rationale for the transaction:

Please provide the date upon which the U.S. Person acquired such knowledge:

Please describe the status of the transaction:

Total transaction value (in U.S. dollars):

Please provide an explanation of how the transaction value was determined:

Provide the consideration from the U.S. Person (including cash, securities, other assets, and debt forgiveness) for the transaction:

Pre-transaction equity interest percentage:

Post-transaction equity interest percentage:

Provide the aggregate equity interest, voting interest, board seat (or equivalent holdings) of the U.S. person and its affiliates in the covered foreign person (or in the joint venture, as applicable) following the completion date of the transaction:

Was this transaction undertaken directly or indirectly?

Directly/Indirectly

Agreements or Future Investments

Are there any agreements or commitments for future investment or options to make future investment(s) not discussed above?

Yes/No

If yes, please include a description of any agreements or commitments for future investment or options to make future investments in the covered foreign person (or joint venture):

**Before the
Outbound Investment Security Program**

Post-Transaction Knowledge

Please provide an identification of the fact or circumstance of which the U.S. Person acquired knowledge post-transaction:

Please provide the date upon which the U.S. Person acquired such knowledge:

Please provide a statement explaining why the U.S. Person did not possess or obtain such knowledge at the time of the transaction:

Provide a description of any pre-transaction diligence undertaken by the U.S. Person, including, as applicable, any steps described in § 850.104(c):

Select the type of transaction undertaken:

Equity Interest	
Equity Interest Type	
Contingent Equity Interest	
Conversion of Equity Interest	
Debt Financing	
Assets	
Acquisition	
Leasing	
Development	
Joint Venture	
Acquisition of Interest in a Fund	

Prior Transactions

Is the transaction identified in this notification related to a prior transaction (e.g., between similar parties, acquiring additional interests, etc.)

Yes/No

If yes, please provide the related Notification ID, if applicable.

Notification ID

Has any party to this notification ever submitted a prior notification to the U.S. Department of the Treasury under 31 CFR Part 850?

Yes/No

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If yes, please provide the relevant Notification ID, if applicable.

Notification ID

Covered Transaction Additional Information:

Covered Foreign Person

If Covered Foreign Person is not applicable, please use the below space to describe the Covered Activities' location.

Full Name:

Principal Place of Business [City]:

Principal Place of Business [Country]:

Place of Incorporation or Legal Organization:

Was the Covered Foreign Person established as a result of the Transaction?

Yes/No

Website Address (If any):

Please include a statement identifying and describing the attributes that cause the entity to be a covered foreign person, and any other relevant information regarding the covered foreign person and covered activity or activities:

Please select all Countries of Concern related to the Covered Foreign Person or Covered Activities:

People's Republic of China	<input type="checkbox"/>
Hong Kong SAR	<input type="checkbox"/>
Macau SAR	<input type="checkbox"/>

Fund Information

If this notice is related to § 850.210(a)(6), please provide the below information

Full Name:

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Principal Place of Business [City]:

Principal Place of Business [Country]:

Place of Incorporation or Legal Organization:

Describe the fund in which the U.S. person acquired interest, including the fund name and identification of any general partner, managing member, and investment adviser:

Describe the process by which the U.S. Person became aware that the relevant fund likely would invest in a Person of a Country of Concern in the semiconductors and microelectronics, quantum information technologies, or artificial intelligence sectors:

Describe the process by which the U.S. Person became aware that the relevant fund may undertake or undertook a transaction that would be a Covered Transaction if undertaken by a U.S. Person:

Is the information above attributable to a person of a country of concern?

Yes/No

Person of a Country of Concern

Full Name:

Principal Place of Business [City]:

Principal Place of Business [Country]:

Place of Incorporation or Legal Organization:

Website Address (if any):

Covered Foreign Person Company Address

Address:

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City:

Country:

Postal Code:

Does the Covered Foreign Person have any Intermediate or Ultimate Parents not referenced above?

Yes/No

Intermediate and Ultimate Parent(s)

Parent Type	Parent Name	Principal Place of Business	Place of Incorporation/Organization
Intermediate/Ultimeate			
Intermediate/Ultimeate			
Intermediate/Ultimeate			

Corporate Leadership

Please provide the full legal names and titles of each officer, director, and other members of management of the covered foreign person.

Title/Position	First Name	Middle Name	Last Name

Covered Activity

Select all the Technology Activities that apply:

Artificial Intelligence	<input type="checkbox"/>	Semiconductors and Microelectronics	<input type="checkbox"/>	Quantum Information Technologies	<input type="checkbox"/>
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Artificial Intelligence Option(s):

Develops any AI system designed exclusively for or intended to be used for military, government intelligence, or mass surveillance end use	<input type="checkbox"/>	Develops any AI system trained using a quantity of computing power greater than 10 ²⁵ computational operations	<input type="checkbox"/>
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Develops any AI system trained using a quantity of computer power greater than 10 ²⁴ computational operations using primarily biological sequence data		Develops any Other AI system trained using a quantity of computing power greater than 10 ²³ computational operations	
Develops any Other AI system designed to be used for government intelligence or mass-surveillance end use		Develops any Other AI system intended to be used for cybersecurity applications	
Develops any Other AI system intended to be used for digital forensics tools		Develops any Other AI systems intended to be used for penetration testing tools	
Develops any Other AI systems intended to be used for the control of robotic systems			

Semiconductors and Microelectronics Option(s):

Integrated Circuits	
Design of any integrated circuit meeting or exceeding performance parameters in ECCN 3A090.a, or designed for operation at or below 4.5 Kelvin	
Fabricates any logic integrated circuits (using a non-planar transistor architecture or with a production technology node of 16/14 nanometers or less)	
Fabricates any NAND memory integrated circuits (at least 128 layers)	
Fabricates any DRAM integrated circuits (technology node of 18 nanometer half-pitch or less)	
Fabricates any ICs manufactured from gallium-based semiconductor	
Fabricates any ICs using graphene transistors or nanotubes	
Fabricates any ICs designed for operation at or below 4.5 Kelvin	

IC Equipment	
Develops or produces any front-end semiconductor fabrication equipment designed for performing volume fabrication of integrated circuits	
Develops or produces any commodity, material, software, or technology designed exclusively for use in/with extreme ultraviolet lithography fabrication equipment	
Develops, installs, sells, or produces any supercomputer enabled by advanced integrated circuits with certain levels of processing power	

IC Design	
Develops or produces any electronic design automation software for design of integrated circuits or advanced packaging	
Other IC Design	

IC Fabrication	
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IC Packaging	<input type="checkbox"/>
Develops or produces any equipment for performing volume advanced packaging	<input type="checkbox"/>
Advanced packaging techniques used to package any IC	<input type="checkbox"/>
Other IC Packaging	<input type="checkbox"/>

Quantum Information Technologies Option(s):

Develops any Quantum Computer	<input type="checkbox"/>
Producing any critical components required to produce a quantum computer	<input type="checkbox"/>

Develops or produces any quantum product designed or intended to be used for any military, government intelligence, or mass-surveillance end use	<input type="checkbox"/>
Quantum Sensing	<input type="checkbox"/>
Quantum Network	<input type="checkbox"/>
Quantum Communication	<input type="checkbox"/>

Develops or produces any quantum product designed or intended to be used for networking to scale up capabilities of quantum computers	<input type="checkbox"/>
Quantum Network	<input type="checkbox"/>
Quantum Communication	<input type="checkbox"/>

Develops or produces any quantum Product designed or intended to be used for secure communications	<input type="checkbox"/>
Quantum Network	<input type="checkbox"/>
Quantum Communication	<input type="checkbox"/>

Please identify and describe each of the covered activity or activities undertaken by the covered foreign person that makes the transaction a covered transaction:

Please describe the known end use(s) and end user(s) of the covered foreign person's technology, products, or services:

If a transaction involves a covered activity identified in § 850.217(a), (b), or (c), identification of the technology node(s) at which any applicable product is produced: