



## **GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS FOR COMMISSION QUESTIONNAIRES**

### **DRAMS AND DRAM MODULES FROM KOREA Investigation No. 701-TA-431 (Final)**

***Further information.--If you have any questions concerning the enclosed questionnaire(s) or other matters related to this investigation, you may contact the following members of the Commission's staff (Fax 202-205-3205):***

***Mary Messer, investigator (202-205-3193; E-mail [MMESSER@USITC.GOV](mailto:MMESSER@USITC.GOV))  
regarding general questions and trade and related information;***

***James Stewart, auditor (202-205-3196; E-mail [JSTEWART@USITC.GOV](mailto:JSTEWART@USITC.GOV))  
regarding financial information; and***

***John Giamalva, economist (202-205-2785; E-mail [JGIAMALVA@USITC.GOV](mailto:JGIAMALVA@USITC.GOV))  
regarding pricing, market, and related information.***

## GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS

### GENERAL INFORMATION

***Background.***--This investigation was instituted in response to a petition filed on November 1, 2002, by Micron Technology, Inc., Boise, Idaho. Countervailing duties may be assessed on the subject imports as a result of this investigation if the Commission makes an affirmative determination of injury, threat, or material retardation, and if the U.S. Department of Commerce makes an affirmative determination of subsidization.

Additional questionnaires will be supplied promptly upon request, or photocopies of the enclosed questionnaire(s) may be used; these questionnaires are also available in both PDF and WordPerfect format at the Commission's web site ([www.usitc.gov](http://www.usitc.gov)). Address all correspondence to Mary Messer, room 615-J, United States International Trade Commission, Washington, DC 20436. Hearing-impaired individuals can obtain information regarding this investigation via the Commission's TDD terminal (202-205-1810).

***Due date of questionnaire(s).***--Return the completed questionnaire(s) to the United States International Trade Commission by no later than **May 9, 2003**. Although the enclosed postpaid envelope may be used to return the completed questionnaire, use of an overnight mail service may be necessary to ensure that your response actually reaches the Commission by May 9, 2003. If you do not use the enclosed envelope, please make sure the completed questionnaire is sent to the attention of Mary Messer, room 615-J. **Return only one copy of the completed questionnaire(s), but please keep a copy for your records so that you can refer to it if the Commission staff contacts you with any questions during the course of the investigation.**

***Service of questionnaire response(s).***--In the event that your firm is a party to this investigation, you are required to serve a copy of the questionnaire(s), once completed, on parties to the proceeding that are subject to administrative protective order (see 19 CFR § 207.7). A list of such parties is maintained by the Commission's Secretary and may be obtained by calling 202-205-1803. A certificate of service must accompany the copy of the completed questionnaire(s) you submit (see 19 CFR § 207.7).

***Confidentiality.***--The commercial and financial data furnished in response to the enclosed questionnaire(s) that reveal the individual operations of your firm will be treated as confidential by the Commission to the extent that such data are not otherwise available to the public and will not be disclosed except as may be required by law (see 19 U.S.C. § 1677f). Such confidential information will not be published in a manner that will reveal the individual operations of your firm; however, nonnumerical characterizations of numerical business proprietary information (such as discussion of trends) will be treated as confidential business information only at the request of the submitter for good cause shown.

***Verification.***--The information submitted in the enclosed questionnaire(s) is subject to audit and verification by the Commission. To facilitate possible verification of data, please keep all your workpapers and supporting documents used in the preparation of the questionnaire response(s).

## GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued

### GENERAL INFORMATION--Continued

**Release of information.**--The information provided by your firm in response to the questionnaire(s), as well as any other business proprietary information submitted by your firm to the Commission in connection with the investigation, may become subject to, and released under, the administrative protective order provisions of the Tariff Act of 1930 (19 U.S.C. § 1677f) and section 207.7 of the Commission's Rules of Practice and Procedure (19 CFR § 207.7). This means that certain lawyers and other authorized individuals may temporarily be given access to the information for use in connection with this investigation or other import-injury investigations conducted by the Commission on the same or similar merchandise; those individuals would be subject to severe penalties if the information were divulged to unauthorized individuals. In addition, if your firm is a U.S. producer, the information you provide on your production and imports of DRAMs and DRAM modules and your responses to the questions in Part I of the producer questionnaire will be provided to the U.S. Department of Commerce, upon its request, for use in connection with (and only in connection with) its requirement pursuant to section 702(c)(4) of the Act (19 U.S.C. § 1671a(c)(4)) to make a determination concerning the extent of industry support for the petition requesting this investigation. Any information provided to Commerce will be transmitted under the confidentiality and release guidelines set forth above. Your response to these questions constitutes your consent that such information be provided to Commerce under the conditions described above.

### INSTRUCTIONS

**Answer all questions.**--Do not leave any question or section blank unless a questionnaire expressly directs you to skip over certain questions or sections. If the answer to any question is "none," write "none." **If information is not readily available from your records in exactly the form requested, furnish carefully prepared estimates--designated as such by the letter "E"--and explain the basis of your estimates.** Answers to questions and any necessary comments or explanations should be supplied in the space provided or on separate sheets attached to the appropriate page of the questionnaire(s). If your firm is completing more than one questionnaire in connection with this investigation (i.e., a producer, importer, and/or purchaser questionnaire), you need not respond to duplicated questions in the questionnaires.

**Consolidate all U.S. establishments.**--Report the requested data for your establishment(s) located in the United States. **Firms operating more than one establishment should combine the data for all establishments into a single report.**

**GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

**DEFINITIONS**

***DRAMs.***--Dynamic random access memory semiconductors, whether assembled (cased) or unassembled (uncased), as defined below, classifiable in subheading 8542.21.80 of the 2003 Harmonized Tariff Schedule of the United States (HTS).<sup>1</sup> DRAMs include, but are not limited to, synchronous DRAM (SDRAM), double data rate synchronous DRAM (DDR SDRAM), fast page-mode (FPM) DRAM, extended-data-out (EDO) DRAM, burst extended-data-out (BEDO) DRAM, “Rambus” DRAM (RDRAM), video RAM (VRAM), Windows RAM (WRAM), and synchronous graphics RAM (SGRAM). Not included are DRAMs re-imported for repair or replacement.

***Uncased DRAMs.***--Processed silicon wafers, uncut dice, and cut dice, that are not encapsulated in plastic, ceramic, or other materials, as covered by 2003 HTS statistical reporting number 8542.21.8005.<sup>2</sup>

***Cased DRAMs.***--Processed and cut silicon dice that are encapsulated in plastic, ceramic, or other materials, as covered by 2003 HTS statistical reporting numbers 8542.21.8021 through 8542.21.8029.<sup>3</sup>

***DRAM modules.***--A collection of DRAMs, the sole function of which is memory, classifiable in HTS subheading 8473.30.10. Modules include single in-line packages (“SIPs”), single in-line memory modules (SIMMs), dual in-line memory modules (DIMMs), small outline dual in-line memory module (SODIMMs), Rambus memory modules, memory cards or other collections of DRAMs whether mounted or unmounted on a circuit board. Modules that contain other parts that are needed to support the function of memory are included. Only those modules that contain additional items that alter the function of the module to something other than memory, such as video graphics adapter (VGA) boards and cards, are not included. Also not included are DRAM modules re-imported for repair or replacement.<sup>4</sup>

***DRAM densities.***--The following definitions should be applied: 1 kilobit=1,024 bits; 1 megabit=1,048,576 bits; 8 bits=1 byte; and 1 billion bits=1,000,000,000 bits.

**PLEASE NOTE THAT DRAM MODULE QUANTITY DATA REQUESTED IN TERMS OF BILLION BITS ARE NOT TO BE REPORTED IN TERMS OF BILLION BYTES. The following two examples are provided for reporting purposes:**

Module examples	Total density in megabits	Total density in bits	Total density in billion bits
One DRAM module containing 36 256 megabit DRAMs (also known as a 1 gigabyte module)	36 x 256 =9,216	9,216 x 1,048,576 = 9,663,676,416	9,663,676,416 ÷ 1,000,000,000 = 9.66
One DRAM module containing eight 256 megabit DRAMs	8 x 256 = 2,048	2,048 x 1,048,576 = 2,147,483,648	2,147,483,648 ÷ 1,000,000,000 = 2.15
One DRAM module containing four 256 megabit DRAMs (also known as a 128 megabyte module)	4 x 256 = 1,024	1,024 x 1,048,576 = 1,073,741,824	1,073,741,824 ÷ 1,000,000,000 = 1.07

<sup>1</sup> In the 2000-2001 HTS, the subheading was 8542.13.80.

<sup>2</sup> During 2000-2001, the statistical reporting number was 8542.13.8005.

<sup>3</sup> During 2000, the statistical reporting numbers were 8542.13.8021 through 8542.13.8034; in 2001, the statistical reporting numbers were 8542.13.8012 through 8542.13.8032.

<sup>4</sup> Also included are removable DRAM modules placed on motherboards, with or without a central processing unit, if the importer or a related party or a party controlled by the importer removes the modules from the motherboards after importation.

**GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

**DEFINITIONS--Continued**

**Die or dice.**--A unit(s) on a wafer separated by scribe lines; after all of the wafer fabrication steps are completed, die or dice are separated by sawing.

**3<sup>rd</sup> sources or 3<sup>rd</sup> countries.**--All foreign locations except Korea, i.e., all locations other than the United States and Korea.

**8-inch-equivalent wafers.**--Wafers should be reported on an 8-inch-equivalent basis using the following conversions: if you produce 6-inch wafers, you should multiply your total by 0.5625 and if you produce 12-inch wafers, you should multiply your total by 2.25.

**Subject Korean DRAMs and DRAM modules:**

**Subject Korean DRAMs:**

**Subject Korean uncased DRAMs.**--Uncased DRAMs fabricated in Korea,

**Subject Korean cased DRAMs.**--Cased DRAMs made from Korean fabricated dice (regardless of where assembled), and

**Subject Korean DRAM modules.**--DRAM modules that are made from Korean fabricated dice, regardless of location of casing or module assembly.

**U.S.-produced DRAMs and DRAM modules:**

**U.S.-produced DRAMs:**

**U.S.-produced uncased DRAMs.**--Uncased DRAMs fabricated in the United States,

**U.S.-produced cased DRAMs.**--Cased DRAMs made from U.S.-fabricated dice assembled anywhere in the world plus cased DRAMs assembled in the United States from dice fabricated in 3<sup>rd</sup> sources (as defined above),

**U.S.-produced DRAM modules.**--DRAM modules, regardless of module assembly location, that are made from U.S.-fabricated dice assembled anywhere in the world or nonsubject dice that were cased in the United States.

**Nonsubject foreign (3<sup>rd</sup>-source) DRAMs and DRAM modules:**

**Nonsubject foreign (3<sup>rd</sup>-source) DRAMs:**

**Nonsubject foreign (3<sup>rd</sup>-source) uncased DRAMs.**--Uncased DRAMs fabricated in 3<sup>rd</sup> sources,

**Nonsubject foreign (3<sup>rd</sup>-source) cased DRAMs.**--Cased DRAMs made from 3<sup>rd</sup>-source fabricated dice assembled anywhere but in the United States,<sup>5</sup>

**Nonsubject foreign (3<sup>rd</sup>-source) DRAM modules.**--DRAM modules, regardless of module assembly location, that are made from 3<sup>rd</sup>-source fabricated dice that were assembled into a cased DRAM anywhere but in the United States.<sup>6</sup>

**To case.**--Assembly of uncased DRAMs into cased DRAMs. E.g., in these questionnaires, the term “cased in Korea” is synonymous with “assembled into cased DRAMs in Korea.”

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<sup>5</sup> Note that cased DRAMs assembled in the United States from 3<sup>rd</sup>-source fabricated dice are **NOT** considered to be 3<sup>rd</sup>-source product and are instead included in U.S.-produced cased DRAMs.

<sup>6</sup> Note that modules made from 3<sup>rd</sup>-source fabricated dice that were assembled into cased DRAMs in the United States (regardless of where assembled into modules) are **NOT** considered to be 3<sup>rd</sup>-source product and are instead included in U.S.-produced DRAM modules.

## **GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

### **DEFINITIONS--Continued**

**Firm**--An individual proprietorship, partnership, joint venture, association, corporation (including any subsidiary corporation), business trust, cooperative, trustee in bankruptcy, or receiver under decree of any court.

**Related firm**--A firm that your firm solely or jointly owned, managed, or otherwise controlled; a firm that solely or jointly owned, managed, or otherwise controlled your firm; and/or a firm that was solely or jointly owned, managed, or otherwise controlled by a firm that also solely or jointly owned, managed, or otherwise controlled your firm.

**Establishment**--Each facility of a firm in the United States involved in the production, importation, and/or purchase of DRAMs or DRAM modules (as defined above), including auxiliary facilities operated in conjunction with (whether or not physically separate from) such facilities.

**United States**--For purposes of this investigation, the 50 States, Puerto Rico, the U.S. Virgin Islands, and the District of Columbia.

**Importer**--Any person or firm engaged, either directly or through a parent company or subsidiary, in importing DRAMs or DRAM modules (as defined above) into the United States from a foreign manufacturer or through its selling agent.

**Imports**--Those products identified for Customs purposes as imports for consumption for which your firm was the importer of record (i.e., was responsible for paying any import duty) or consignee (i.e., to which the merchandise was first delivered).

**Import quantities**--Quantities reported should be net of returns.

**Import values**--Values reported should be landed, duty-paid values at the U.S. port of entry, including ocean freight and insurance costs, brokerage charges, and import duties (i.e., all charges except inland freight in the United States) less the value of returned goods.

**Purchaser**--Any person or firm engaged, either directly or through a parent company or subsidiary, in purchasing DRAMs or DRAM modules (as defined above) from another firm that produces, imports, or otherwise distributes DRAMs or DRAM modules.

**Purchases**--Purchases from all sources, NOT including direct imports from foreign producers (which should be reported in an importer questionnaire).

**Purchase quantities**--Quantities reported should be net of returns.

**Purchase values**--Values reported should be net values (i.e., gross purchase values less all discounts, allowances, rebates, and the value of returned goods), delivered to your U.S. receiving point.

**GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

**DEFINITIONS--Continued**

**Shipments.**--Shipments of products produced in or imported by your U.S. establishment(s). Include shipments to the contracting firm of product produced by your firm under a toll agreement.

**Shipment quantities.**--Quantities reported should be net of returns.

**Shipment values.**--Values reported should be 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. producing establishment(s) (for PRODUCER QUESTIONNAIRES) or U.S. point of shipment (for IMPORTER QUESTIONNAIRES). The value of domestic shipments to the contracting firm under a toll agreement is the conversion fee (including profit).

**Types of shipments:**

**U.S. shipments.**--Commercial shipments, internal consumption, and transfers to related firms within the United States.

**Domestic commercial shipments.**--Shipments, other than internal consumption and transfers to related firms, within the United States.

**Internal consumption.**--Product consumed internally by your firm.

**U.S. company transfers.**--Shipments made to related domestic firms.

**Export shipments.**--Shipments to destinations outside the United States, including both company transfers to foreign affiliates and other (i.e., commercial) export shipments.

**Inventories.**--Finished goods inventory, not raw materials or work-in-progress. Include your inventories that are held in customer hubs in the United States.

**PC OEMs.**--For the purposes of these questionnaires, "PC OEMs" are the original equipment manufacturers, or assemblers, of computers such as personal computers, servers, and workstations. **NOT** included in this definition are sales to firms that manufacture peripherals for computers such as monitors, printers, and disc drives. Also not included are value added resellers such as DRAM module manufacturers.

**Other OEMs.**--For purposes of these questionnaires, "other OEMs" include firms that manufacture computer peripherals (e.g., monitors, printers, and disc drives), telecommunications equipment, and consumer electronics. **NOT** included are value-added resellers such as DRAM module manufacturers.

**All other customers.**--For purposes of these questionnaires, "all other customers" includes all customers other than the PC and other OEMs defined above (e.g., distributors, brokers, value-added resellers, and DRAM module manufacturers are included in "all other customers").

**GENERAL INFORMATION, INSTRUCTIONS, AND DEFINITIONS--Continued**

**DEFINITIONS--Continued**

**The following definitions apply only to the PRODUCER QUESTIONNAIRE.**

**Average production capacity.**--The level of production that your establishment(s) could reasonably have expected to attain during the specified periods. Assume normal operating conditions (i.e., using equipment and machinery in place and ready to operate; normal operating levels (hours per week/weeks per year) and time for downtime, maintenance, repair, and cleanup; and a typical or representative product mix).

**Toll agreement.**--Agreement between two firms whereby the first firm furnishes the raw materials and the second firm uses the raw materials to produce a product that it then returns to the first firm with a charge for processing costs, overhead, etc.

**Production.**--All production in your U.S. establishment(s), including production consumed internally within your firm and production for another firm under a toll agreement.

**PRWs.**--Production and related workers, including working supervisors and all nonsupervisory workers (including group leaders and trainees) engaged in fabricating, processing, assembling, inspecting, receiving, storage, handling, packing, warehousing, shipping, trucking, hauling, maintenance, repair, janitorial and guard services, product development, auxiliary production for plant's own use (e.g., power plant), recordkeeping, and other services closely associated with the above production operations.

**Average number employed.**--Add the number of employees, both full-time and part-time, for the 12 pay periods ending closest to the 15th of the month and divide that total by 12. For the January-March periods, calculate similarly and divide by 3.

**Hours worked.**--Include time paid for sick leave, holidays, and vacation time. Include overtime hours actually worked; do not convert overtime pay to its equivalent in straight-time hours.

**Wages paid.**--Total wages paid before deductions of any kind (e.g., withholding taxes, old-age and unemployment insurance, group insurance, union dues, bonds, etc.). Include wages paid directly by your firm for overtime, holidays, vacations, and sick leave.

**Fiscal year.**--The 12-month period between settlement of your firm's financial accounts.

**Purchases other than direct imports.**--Purchases from U.S. producers, U.S. importers, and other U.S. sources.