

INSTRUCTIONS FOR FORM LM-4

Form LM-4 is for labor organizations

- with total annual receipts of **less than \$10,000**
- that are **not in trusteeship**.

NOTE: If your labor organization's total annual receipts are \$10,000 or more, you cannot file Form LM-4. You may file Form LM-3 if total annual receipts are less than \$250,000. If total annual receipts are \$250,000 or more, you must file Form LM-2. For additional information on Form LM-2 and Form LM-3, visit www.olms.dol.gov, e-mail olms-public@dol.gov, or contact any of the offices listed on page 6 of these instructions.

This booklet does not contain any reporting forms.



Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Persons are not required to respond to the collection of information unless it displays a currently valid OMB control number. Reporting of this information is mandatory and is required by the Labor-Management Reporting and Disclosure Act of 1959, as amended, for the purpose of public disclosure. As this is public information, there are no assurances of confidentiality. If you have any comments regarding this estimate or any other aspect of this information collection, including suggestions for reducing this burden, please send them to the U.S. Department of Labor, Employment Standards Administration, Office of Labor-Management Standards, Division of Interpretations and Standards, Room N-5605, 200 Constitution Avenue, NW, Washington, DC 20210.

A Message to Financial Officers

As your labor organization's financial officer, you are responsible for completing the Labor Organization Annual Report, Form LM-4, which must be filed with the U.S. Department of Labor **within 90 days** after the end of your organization's fiscal year. Since the law requires that these reports be available for public disclosure, it is important that the Form LM-4 filed for your organization is complete, accurate, and filed on time. Here are some suggestions to make filing Form LM-4 easier.

Start Early — prepare your organization's report as soon as possible after the fiscal year ends. Don't wait until the end of the 90-day period.

Read the Instructions Carefully — the enclosed instructions are comprehensive and easy to follow. You can avoid reporting errors if you use the instructions as a step-by-step guide for completing the report. Be sure to review the instructions on page 2 which explain how to properly enter information on the report.

Gather All Needed Records — you will need your organization's financial records for the year this report will cover, including records showing receipts, disbursements, assets, liabilities, and number of members. You should also get a copy of last year's annual report to help you complete this year's report.

Do Not Use a Photocopy of Form LM-4 — if you do not file the electronic Form LM-4 as discussed below, you must file an original copy of the paper Form LM-4; a photocopy of the form will not be accepted.

If an Outside Accountant Prepares Your Organization's Report — be sure to give the accountant this report package with the latest Form LM-4.

If You Need Assistance — the Office of Labor-Management Standards has field offices located in various cities across the country to assist you if you have any questions about completing Form LM-4. A list of the cities is on page 6 of the instructions.

Electronic Form LM-4

You can quickly and easily complete Form LM-4 in the new Adobe Reader version which you can download from www.olms.dol.gov. (However, if your labor organization is in trusteeship you must file Form LM-2.)

Why should you choose to complete your organization's Form LM-4 electronically, rather than manually on paper? There are several advantages to using the electronic version:

- It's easy to enter information on the form.
- You can download some information from the Office of Labor-Management Standards Web site and load it directly onto the form.
- Before your officers sign the form, the system checks for errors and discrepancies and allows you to correct or explain them, reducing the likelihood of having to file an amended report.

Your organization's president and treasurer can sign the electronic form using easily obtainable digital signatures and submit it to the U.S. Department of Labor over the Internet. Information on obtaining digital signatures is available on the Office of Labor-Management Standards Web site at: www.olms.dol.gov.

Alternatively, you can print a paper copy of the form, have your organization's president and treasurer sign it manually, and mail it to the U.S. Department of Labor. The mailing address is on page 1 of the instructions in this booklet under GENERAL INSTRUCTIONS, item IV, Where to File.

We encourage you to use the electronic Form LM-4 instead of the paper form to make filing your organization's Form LM-4 quicker, easier, and more accurate. The *User Guide* for the electronic Form LM-4 is available on the Office of Labor-Management Standards Web site at: www.olms.dol.gov.

INSTRUCTIONS FOR FORM LM-4 LABOR ORGANIZATION ANNUAL REPORT

GENERAL INSTRUCTIONS

I. WHO MUST FILE

Every labor organization subject to the Labor-Management Reporting and Disclosure Act of 1959, as amended (LMRDA), the Civil Service Reform Act (CSRA), or the Foreign Service Act (FSA) must file a financial report, Form LM-2, LM-3, or LM-4, each year with the Office of Labor-Management Standards (OLMS) of the U.S. Department of Labor's Employment Standards Administration. These laws cover labor organizations that represent employees who work in private industry, employees of the U.S. Postal Service, and most Federal government employees. Labor organizations that represent only state, county, or municipal government employees are not covered by these laws and, therefore, are not required to file, except that any "conference, general committee, joint or system board, or joint council" that is subordinate to a national or international labor organization is a labor organization under the LMRDA and is required to file a financial report if the national or international labor organization is a labor organization engaged in an industry affecting commerce within the meaning of section 3(j) of the LMRDA. If you have a question about whether your organization is required to file, contact the nearest OLMS field office listed at the end of these instructions.

II. WHAT FORM TO FILE

Labor organizations with total annual receipts of less than \$10,000 may file the abbreviated 2-page annual report Form LM-4, if not in trusteeship as defined in Section VIII of these instructions. The term "total annual receipts" means all financial receipts of the labor organization during its fiscal year, regardless of the source, including receipts of any subsidiaries and any special funds.

Labor organizations with \$10,000 or more in total annual receipts cannot use Form LM-4. These labor organizations must file either Form LM-3 or Form LM-2.

For information on these forms, visit www.olms.dol.gov, e-mail olms-public@dol.gov, or contact any of the offices listed on page 6 of these instructions.

III. WHEN TO FILE

Form LM-4 must be filed within 90 days after the end of your organization's fiscal year (12-month reporting period). The law does not authorize the U.S. Department of Labor to grant an extension of time for filing reports for any reason.

If your organization went out of existence during its fiscal year, a terminal financial report must be filed within 30 days after the date it ceased to exist. See Section X of these instructions for information on filing a terminal financial report.

IV. WHERE TO FILE

One completed Form LM-4 and any required attachments must be filed with the U.S. Department of Labor at the following address:

U.S. Department of Labor
Employment Standards Administration
Office of Labor-Management Standards
200 Constitution Avenue, NW, Room N-1519
Washington, DC 20210-0001

If available, use the pre-addressed envelope enclosed with this report package to file Form LM-4.

V. PUBLIC DISCLOSURE

The LMRDA requires that the U.S. Department of Labor make labor organization financial reports available for inspection by the public. Reports for the year 2000 and later may be viewed and downloaded from the OLMS Web site at www.union-reports.dol.gov. Copies of reports and union constitutions and bylaws can be ordered at the same Web site. Reports may also be examined and copies purchased at the OLMS Public Disclosure Room at the above address.

VI. OFFICER RESPONSIBILITIES AND PENALTIES

The president and treasurer or the corresponding principal officers of the labor organization required to sign Form LM-4 are personally responsible for its filing and accuracy. Under the LMRDA, officers are subject to criminal penalties for willful failure to file a required report and for false reporting. False reporting includes making any false statement or misrepresentation of a material fact while knowing it to be false, or for knowingly failing to disclose a material fact in a required report or in the information required to be contained in it or in any information required to be submitted with it.

The reporting labor organization and the officers required to sign Form LM-4 are also subject to civil prosecution for violations of the filing requirements. Section 210 of the LMRDA (29 U.S.C. 440) provides that "whenever it shall appear that any person has violated or is about to violate any of the provisions of this title, the Secretary may bring a civil action for such relief (including injunctions) as may be appropriate."

Under the CSRA and FSA and implementing regulations, false reporting and failure to report may result in administrative enforcement action and litigation. The officers responsible for signing Form LM-4 are also subject to criminal penalties for false reporting under Sections 1001 of Title 18 and 1746 of Title 28 of the United States Code.

VII. RECORDKEEPING

The officers required to file Form LM-4 are responsible for maintaining records which will provide in sufficient detail the information and data necessary to verify the accuracy and completeness of the report. The records must be kept for at least 5 years after the date the report is filed. Any record necessary to verify, explain, or clarify the report must be retained, including, but not limited to, vouchers, worksheets, receipts, and applicable resolutions, and electronic documents.

VIII. LABOR ORGANIZATIONS IN TRUSTEESHIP

Any labor organization which has placed a subordinate labor organization in trusteeship is responsible for filing the subordinate's annual financial report. A trusteeship is defined in section 3(h) of the LMRDA as "any receivership, trusteeship, or other method of supervision or control whereby a labor organization suspends the autonomy otherwise available to a subordinate body under its constitution or bylaws."

Annual financial reports filed for any labor organization in trusteeship must be filed on Form LM-2 rather than Form LM-4. The report must be signed by the president and treasurer or corresponding principal officers of the labor organization which imposed the trusteeship and by the trustees of the subordinate labor organization. Form LM-2 can be downloaded from the OLMS Web site at www.olms.dol.gov. For additional information contact any of the offices listed on page 6.

IX. COMPLETING FORM LM-4

Number of Copies

Complete one of the two blank copies of Form LM-4 included in this report package; do not use a photocopy of this form. The completed Form LM-4 must be filed with OLMS. A copy should also be maintained in your organization's records.

Address Label

If this report package was mailed to you with an address label, peel off the label and place it in the designated box on page 1 of the form. Use the preprinted label even if the information on it is incorrect.

Information Entry

Entries on Form LM-4 should be typed or clearly printed in black ink. Do not use a pencil or any other color ink.

For items displaying separate boxes, enter only one letter or number in each box as illustrated below. Use all capital letters and print or type inside the boxes. Leave a blank box between words and/or numbers as appropriate. Print clearly so the information can be accurately scanned.

Entering Number and Street:

| | | | | | | | | | | | | | | | | | |
|---|---|---|---|--|---|---|---|---|---|---|---|--|---|---|---|---|---|
| 1 | 4 | 0 | 4 | | R | E | D | W | O | O | D | | C | O | U | R | T |
|---|---|---|---|--|---|---|---|---|---|---|---|--|---|---|---|---|---|

Report amounts in Items 14 through 18 in dollars only. Do not enter cents. Round cents to the nearest dollar. Enter a single "0" in the boxes for reporting dollars if your organization has nothing to report.

Entering Dollars:

\$

| | | | | |
|--|---|---|---|---|
| | 2 | 5 | 4 | 5 |
|--|---|---|---|---|

 Do not enter cents.

Entering Zero:

\$

| | | | | |
|--|--|--|--|---|
| | | | | 0 |
|--|--|--|--|---|

For items requiring a "Yes" or "No" answer, enter an "X" in the appropriate box. Do not use check marks or other marks.

Entering X:

| | |
|-------------------------------------|--------------------------|
| Yes | No |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> |

| |
|--|
| A sample completed Form LM-4 can be found on pages 7 and 8 of these instructions. |
|--|

ITEMS 1—21

Answer Items 1 through 21 as instructed. Enter an “X” in the appropriate box for those questions requiring a “Yes” or “No” answer; do not leave both boxes blank. Enter a single “0” in the boxes for items requiring a number or dollar amount if there is nothing to report.

1. FILE NUMBER — Enter the 6-digit file number which OLMS assigned to your organization. If this Form LM-4 was mailed to you with an address label, your organization’s file number is the 6-digit number on the first line of the label. If you do not have a label and you cannot obtain the number from prior reports filed by your organization, contact the nearest OLMS field office listed on page 6 of these instructions to obtain your organization’s file number. Your organization’s 6-digit file number must also be entered in the File Number boxes at the top of page 2 of Form LM-4.

2. PERIOD COVERED — Enter the beginning and ending dates of the period covered by this report. Your organization’s report should never cover more than a 12-month period. For example, if your organization’s 12-month fiscal year begins on January 1 and ends on December 31 enter these dates as

| | |
|---|---|
| 0 | 1 |
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| | |
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| 0 | 1 |
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| | | | |
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 and

| | |
|---|---|
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. It would be incorrect to enter January 1 of one year through January 1 of the next year.

If your organization changed its fiscal year, enter in Item 2 the ending date for the period of less than 12 months, which is your organization’s new fiscal year ending date, and report in Item 19 that your organization changed its fiscal year. For example, if your organization’s fiscal year ending date changes from June 30 to December 31, a report must be filed for the partial year from July 1 to December 31. Thereafter, your organization’s report should cover a full 12-month period from January 1 to December 31.

3. AMENDED OR TERMINAL REPORT — Enter an “X” in the box in Item 3(a) if your organization is filing an amended report correcting a previously filed report. Enter an “X” in the box in Item 3(b) if your labor organization has gone out of business by disbanding, merging into another labor organization, or being merged and consolidated with one or more labor organizations to form a new labor organization, and this is your organization’s terminal report. Be sure the date your organization ceased to exist is entered in Item 2 after the word “Through.” See Section X of these instructions for more information on filing a terminal report.

If this report package does not have an address label or if any of the information on the label is incorrect, complete Items 4 through 8 in their entirety. If the label information is correct, leave Items 4 through 8 blank.

4. AFFILIATION OR ORGANIZATION NAME — Enter the name of the national or international labor organization that granted the labor organization a charter. “Affiliates,” within the meaning of these instructions, are labor organizations chartered by the same parent body, governed by the same constitution and bylaws, or having the relationship of parent and subordinate. For example, a parent body is an affiliate of all of its subordinate bodies, and all subordinate bodies of the same parent body are affiliates of each other.

If the labor organization has not reported such an affiliation, enter the name of the labor organization as currently identified in the labor organization’s constitution and bylaws or other organizational documents.

5. DESIGNATION — Enter the designation that specifically identifies your organization, such as Local, Lodge, Branch, Joint Board, Joint Council, District Council, etc.

6. DESIGNATION NUMBER — Enter the number or other identifier, if any, by which your organization is known.

7. UNIT NAME — Enter any additional or alternate name by which your organization is known, such as “Chicago Area Local.”

8. MAILING ADDRESS — Enter the current address where mail is most likely to reach the labor organization as quickly as possible. The first and last name of the person, if any, to whom such mail should be sent and any building and room number should be included.

9. CHANGES IN CONSTITUTION AND BYLAWS OR PRACTICES/PROCEDURES — If Item 9 is answered “Yes” because your organization’s constitution and bylaws were changed during the reporting period (other than rates of dues and fees), a dated copy of the new constitution and bylaws must either be submitted as an electronic attachment to the Form LM-4 the labor organization submits to OLMS, or the labor organization may submit a dated copy of the new constitution and bylaws to:

Office of Labor-Management Standards
200 Constitution Ave., NW, Room N-1519
Washington, DC 20210-0001

If your organization is governed by a uniform constitution and bylaws prescribed by your organization's parent national or international body, your organization's parent body may file the constitution and bylaws on your behalf. If your parent body files a constitution and bylaws on your behalf, answer Item 9 "Yes" and state that fact in Item 19.

If Item 9 is answered "Yes" because your organization changed any of the practices/procedures listed below during the reporting period the practices/procedures are not described in your organization's constitution and bylaws, your organization must file an amended Form LM-1 (Labor Organization Information Report) with its Form LM-4 to update information on file with OLMS:

- qualifications for or restrictions on membership;
- levying assessments;
- participating in insurance or other benefit plans;
- authorizing disbursement of labor organization funds;
- auditing financial transactions of the labor organization;
- calling regular and special meetings;
- authorizing bargaining demands;
- ratifying contract terms;
- authorizing strikes;
- disciplining or removing officers or agents for breaches of their trust;
- imposing fines and suspending or expelling members including the grounds for such action and any provision made for notice, hearing, judgment on the evidence, and appeal procedures;
- selecting officers and stewards and any representatives to other bodies composed of labor organizations' representatives;
- invoking procedures by which a member may protest a defect in the election of officers (including not only procedures for initiating an election protest but also all procedures for subsequently appealing an adverse decision, e.g., procedures for appeals to superior or parent bodies, if any); and
- issuing work permits.

Form LM-1 can be downloaded from the OLMS Web site at www.olms.dol.gov. If you are unable to download the form, contact any of the offices listed on page 6 of these instructions to obtain a copy.

NOTE: *Federal employee labor organizations subject solely to the Civil Service Reform Act or Foreign Service Act are not required to submit an amended Form LM-1 to describe revised or changed practices/procedures.*

10. CHANGES IN RATES OF DUES AND FEES —

Answer Item 10 "Yes" if your organization changed its rates of dues and fees during the reporting period. If Item 10 is answered "Yes," report the rates of dues and fees in Item 19. If more than one rate applies, report the minimum and maximum rates. Also report the calendar basis for payment (per month, per year, etc.).

Dues and fees include initiation fees charged to new members, fees (other than dues) from transferred members, fees for work permits, and regular dues or fees. Include only the dues and fees of regular members and not the dues and fees of members with special rates, such as apprentices, retirees, or unemployed members.

Answer "No" if your organization did not change its rates of dues and fees during the reporting period.

11. LOSSES OR SHORTAGES —

Answer Item 11 "Yes" if any loss or shortage of funds or other property of your organization was discovered during the reporting period whether or not there has been repayment or an agreement to make restitution. If Item 11 is answered "Yes," describe the loss or shortage in detail in Item 19 including such information as the amount of the loss or shortage of funds or a description of the property that was lost, how it was lost, and to what extent, if any, there has been an agreement to make restitution or any recovery by means of repayment, fidelity bond, insurance, or other means. Answer "No" if no losses or shortages were discovered.

12. FIDELITY BOND —

Answer Item 12 "Yes" if your organization was insured by a fidelity bond against losses through fraud or dishonesty during the reporting period. If Item 12 is answered "Yes," enter the maximum amount recoverable for a loss caused by any officer, employee, or agent of your organization who handled your organization's funds. Answer "No" if your organization was not insured by a fidelity bond during the reporting period.

NOTE: Section 502(a) of the LMRDA requires every officer, employee, or agent of a labor organization (which has property and annual financial receipts over \$5,000 in value) who handles funds or other property of the organization to be bonded. The amount of the bond must be at least 10% of the value of the funds handled by the individual during the last reporting period. The bond must be obtained from a surety company approved by the Secretary of the Treasury. If you have any questions or need more information about bonding requirements, contact the nearest OLMS field office listed on page 6 of these instructions.

13. NUMBER OF MEMBERS — Enter the number of members in your organization at the end of the reporting period. Include all categories of members who pay dues. Do not include nonmember employees who make payments in lieu of dues as a condition of employment under a union security provision in a collective bargaining agreement.

14. ASSETS — Enter the total value of all your organization's assets at the end of the reporting period including, for example, cash on hand and in banks, property, loans owed to your organization, investments, office furniture, automobiles, and anything else owned by your organization. Enter "0" if your organization had no assets at the end of the reporting period.

15. LIABILITIES — Enter the total amount of all your organization's liabilities at the end of the reporting period including, for example, unpaid bills, loans owed, total amount of mortgages owed, and other debts of your organization. Enter "0" if your organization had no liabilities at the end of the reporting period.

16. RECEIPTS — Enter the total amount of all receipts of your organization during the reporting period including, for example, dues, fees, fines, assessments, interest, dividends, rent, money from the sale of assets, and loans received by your organization. Also include payments in lieu of dues received from any nonmember employees as a condition of employment under a union security provision in a collective bargaining agreement. Enter "0" if your organization had no receipts during the reporting period.

NOTE: If your organization's annual receipts were \$10,000 or more, your organization is not eligible to file Form LM-4 and must report on Form LM-2 or Form LM-3 as explained in Section II of these instructions.

17. DISBURSEMENTS — Enter the total amount of all disbursements made by your organization during the reporting period including, for example, net payments to officers and employees, per capita tax and any

other fees or assessments which your organization paid to any other organization, payments for administrative expenses, loans made by your organization, and taxes paid. Enter "0" if your organization made no disbursements during the reporting period.

18. PAYMENTS TO OFFICERS AND EMPLOYEES

— Enter the total amount of all payments to officers and employees made by your organization during the reporting period. The amount should include, for example, gross salaries (before tax withholdings and other payroll deductions); lost time pay; monthly, weekly, or daily allowances; and disbursements for conducting official business of the organization as well as disbursements which were essentially for the personal benefit of the officer or employee. Enter "0" if your organization made no payments to officers or employees during the reporting period.

NOTE: Section 503(a) of the LMRDA prohibits labor organizations from making direct or indirect loans to any officer or employee of the labor organization which results in a total indebtedness on the part of such officer or employee to the labor organization in excess of \$2,000 at any time.

19. ADDITIONAL INFORMATION — Use Item 19 to provide additional information as indicated in Items 9, 10, 11, 20, and 21 and in Section X of these instructions. Enter the number of the item to which the information relates in the Item Number column. If there is not enough space in Item 19, report the additional information on a separate letter-size page(s). At the top of each page clearly print the name of your organization, its 6-digit file number as reported in Item 1, and the ending date of the reporting period as reported on the second line of Item 2.

20—21. SIGNATURES — The completed Form LM-4 which is filed with OLMS must be signed by both the president and treasurer or corresponding principal officers of your organization. Original signatures are required on the Form LM-4 filed with OLMS; stamped or mechanical signatures are not acceptable. If the duties of the principal executive or principal financial officer are performed by an officer other than the president or treasurer, the report may be signed by the other officer. If the report is signed by an officer other than the president or treasurer, cross out the printed title, enter the correct title in Item 20 or 21, and explain in Item 19 why the president or treasurer did not sign the report. Enter the date the report was signed and the telephone number at which the signatories conduct official business; you do not have to report a private, unlisted telephone number.

X. LABOR ORGANIZATIONS WHICH HAVE CEASED TO EXIST

If your organization has gone out of existence as a reporting labor organization, the last president and treasurer or the officials responsible for winding up the affairs of your organization must file a terminal financial report for the period from the beginning of the fiscal year to the date of termination. A terminal financial report must be filed if your organization has gone out of business by disbanding, merging into another organization, or being merged and consolidated with one or more labor organizations to form a new labor organization. A terminal financial report is not required if your organization changed its affiliation but continues to function as a separate reporting labor organization.

The terminal financial report may be filed on Form LM-4 if your organization filed its previous annual report on Form LM-4 and your organization's total annual receipts, as defined in Section II of these instructions, were less than \$10,000 for the part of the last fiscal year during which your organization existed. (If total annual receipts were \$10,000 or more, your organization must use Form LM-2 or LM-3 to file its terminal financial report as explained in Section II of these instructions.) Your organization's terminal financial report must be submitted to the U.S. Department of Labor, Employment Standards

Administration, Office of Labor-Management Standards, 200 Constitution Avenue, NW, Room N-1519, Washington, DC 20210, within 30 days after the date of termination.

To complete a terminal on Form LM-4, follow the instructions in Section IX and, in addition:

- Enter the date your organization ceased to exist in Item 2 after the word "Through."
- Enter an "X" in the box in Item 3(b) indicating that your organization ceased to exist during the reporting period and that this is your organization's terminal Form LM-4.
- Enter "3(b)" in the Item Number column in Item 19 and provide a detailed statement of the reason your organization ceased to exist. Also report in Item 19 plans for the disposition of your organization's cash and other assets, if any (for example, transfer of cash and assets to the parent body). Provide the name and address of the person or organization that will retain the records of the terminated organization. If your organization merged with another labor organization, give that organization's name, address and 6-digit file number.

Contact the nearest OLMS field office listed below if you have questions about filing a terminal report.

OLMS Field Offices

Staff is available to answer questions at OLMS offices in the following cities.

| | | |
|------------------|------------------|-------------------|
| Atlanta, GA | Guaynabo, PR | New Haven, CT |
| Birmingham, AL | Honolulu, HI | New Orleans, LA |
| Boston, MA | Houston, TX | New York, NY |
| Buffalo, NY | Indianapolis, IN | Newark, NJ |
| Chicago, IL | Kansas City, MO | Philadelphia, PA |
| Cincinnati, OH | Las Vegas, NV | Pittsburgh, PA |
| Cleveland, OH | Los Angeles, CA | St. Louis, MO |
| Dallas, TX | Miami, FL | San Francisco, CA |
| Denver, CO | Milwaukee, WI | Seattle, WA |
| Detroit, MI | Minneapolis, MN | Tampa, FL |
| Grand Rapids, MI | Nashville, TN | Washington, DC |

Consult local telephone directory listings under United States Government, Labor Department, Office of Labor-Management Standards, for the address and phone number of your nearest field office.

U.S. Department of Labor
Employment Standards Administration
Office of Labor-Management Standards
Washington, DC 20210

Form Approved
Office of Management and Budget
No. 1215-0188
Expires: 11-30-2002

FORM LM-4 LABOR ORGANIZATION ANNUAL REPORT

FOR USE ONLY BY LABOR ORGANIZATIONS WITH LESS THAN \$10,000 IN TOTAL ANNUAL RECEIPTS

This report is mandatory under P.L. 86-257, as amended. Failure to comply may result in criminal prosecution, fines, or civil penalties as provided by 29 U.S.C. 439 or 440.

For Official Use Only

1. FILE NUMBER
1 2 3 - 4 5 6

2. PERIOD COVERED
From MO 0 1 DAY 0 1 YEAR 2 0 0 0
Through MO 1 2 DAY 3 1 YEAR 2 0 0 0

3. (a) AMENDED — If this is an amended report correcting a previously filed report, check here:
(b) TERMINAL — If your organization ceased to exist and this is its terminal report, see Section X of the instructions and check here:

READ THE INSTRUCTIONS CAREFULLY BEFORE PREPARING THIS REPORT.

IMPORTANT

Peel off the address label from the back of the package and place it here.

If the label information is correct, leave Items 4 through 8 blank. If any of the label information is incorrect, complete Items 4 through 8.

8. MAILING ADDRESS (Type or print in capital letters.)

First Name
W I L L I A M

Last Name
H I R S C H

P.O. Box • Building and Room Number (if any)
R O O M 1 2 3

Number and Street
2 6 9 E V E R G R E E N S T R E E T

City
J O H N S T O W N

State
P A

ZIP Code + 4
1 5 9 0 2 - 1 2 3 4

4. AFFILIATION OR ORGANIZATION NAME
INTERNATIONAL ASSOCIATION OF FACTORY WORKERS LOCAL

5. DESIGNATION (Local, Lodge, etc.)
LOCAL

6. DESIGNATION NUMBER
88

7. UNIT NAME (if any)

19. ADDITIONAL INFORMATION (If more space is needed, attach additional pages properly identified.)

Item Number
10

DUES INCREASED FROM \$10 PER MONTH TO \$11 PER MONTH ON JULY 1, 2000.

Each of the undersigned, duly authorized officers of the above labor organization, declares, under the applicable penalties of law, that all of the information submitted in this report (including the information contained in any accompanying documents) has been examined by the signatory and is, to the best of the undersigned's knowledge and belief, true, correct, and complete. (See Section VI on penalties in the instructions.)

20. SIGNED: Paul Sampson (814) 555 - 1234
Date 1 / 30 / 2001 Telephone Number (814) 555 - 1234

21. SIGNED: William Howard (814) 555 - 1234
Date 1 / 30 / 2001 Telephone Number (814) 555 - 1234

TREASURER (If other title, see instructions.)

Enter Amounts in Dollars Only — Do Not Enter Cents

FILE NUMBER: 1 2 3 - 4 5 6

Complete Items 9 through 18.

9. During the reporting period, did your organization have any changes in its constitution and bylaws (other than rates of dues and fees) or in practices/procedures listed in the instructions?
 (If the constitution and bylaws have changed, attach two new dated copies. If practices/procedures have changed, see the instructions.)

Yes No

10. Did your organization change its rates of dues and fees during the reporting period?
 (If "Yes," report the new rates in Item 19 on page 1.)

Yes No

11. Did your organization discover any loss or shortage of funds or property during the reporting period?
 (If "Yes," provide details in Item 19 on page 1. Answer "Yes" even if there has been repayment or recovery.)

Yes No

12. Was your organization insured by a fidelity bond during the reporting period?

Yes No

If "Yes," enter the maximum amount recoverable under the bond for loss caused by any person.

\$ 2 5 0 0

13. How many members did your organization have at the end of the reporting period?

4 7

14. Enter the total value of your organization's assets at the end of the reporting period (cash, bank accounts, equipment, etc.).

\$ 4 4 5 6

15. Enter the total liabilities (debts) of your organization at the end of the reporting period (unpaid bills, loans owed, etc.).

\$ 0

16. Enter the total receipts of your organization during the reporting period (dues, fees, interest received, etc.). (If \$10,000 or more, your organization must file Form LM-2 or LM-3 instead of this form.)

\$ 7 4 8 8

17. Enter the total disbursements made by your organization during the reporting period (per capita tax, loans made, net payments to officers, payments for office supplies, etc.).

\$ 6 5 3 8

18. Enter the total payments to officers and employees during the reporting period (gross salaries, lost time payments, allowances, expenses, etc.).

\$ 2 1 8 6

Please be sure to:

- Enter your union's 6-digit file number in Item 1.
- Report a time period of no more than one year in Item 2.
- Have your union's president and treasurer sign the Form LM-4 in Items 20 and 21.
- **FILE ON TIME.** Form LM-4 must be filed within 90 days after the end of your union's fiscal year.

FORM LM-4 CHECKLIST

To help ensure that you completed Form LM-4 properly, please take time to review your organization's report and answer these questions before mailing it to the Office of Labor-Management Standards.

Did you:

- Make sure that the address label is affixed to the completed Form LM-4 being sent to the Office of Labor-Management Standards (and that Items 4 through 8 are completed if address label information is incorrect)?
- Enter your labor organization's 6-digit file number in Item 1 and at the top of page 2?
- Report a time period of no more than one year in Item 2?
- Complete Items 9 through 18?
- Verify the totals in Items 14 through 18 and enter "0" if appropriate?
- Report all amounts in dollars only? Cents must be rounded to the nearest dollar.
- Provide an explanation in Item 19 for all items requiring additional information?
- Make sure that all entries are legible with only one number or capital letter entered in each box when required?
- Sign the completed Form LM-4 being sent to the Office of Labor-Management Standards? Original signatures are required in Items 20 and 21.
- Keep a copy of your completed Form LM-4 for your organization's records?
- FILE ON TIME?** Form LM-4 must be filed within 90 days after the end of your organization's fiscal year. For example, if your organization's

fiscal year ends

December 31
March 31
June 30
September 30

you must file by

March 31
June 29
September 28
December 29