



Filing Form LM-30

An Overview of Union Officer and Employee Reporting

The Labor-Management Reporting and Disclosure Act (LMRDA) requires union officers and employees to file a report annually with the Department of Labor's Office of Labor-Management Standards if they engage in certain activities or have certain financial interests. The LMRDA applies to labor organizations that represent private sector employees and U.S. Postal Service employees. This publication includes general information about the requirements for filing Form LM-30, *Labor Organization Officer and Employee Report*. Specific reporting information and detailed instructions for completing the report are included with the form which is available on the OLMS Web site at www.olms.dol.gov.

How do I know if I am required to file a Form LM-30?

Union officers or employees (except employees performing exclusively clerical or custodial services) must file a Form LM-30 if they or their spouses or minor children:

- Have any of the following interests or dealings related to an employer whose employees their union represents or is actively seeking to represent:
 - hold any securities or other interest in, or have any income or other benefit from, such an employer (except wages or other benefits received as bona fide employees);
 - have a part in any transaction involving securities or other interests in, or loans to or from, such an employer;
 - have any business transaction or arrangement with such an employer; or
 - have any securities or other interest in, or income or other benefit from, any business consisting in substantial part of buying from, selling or leasing to, or otherwise dealing with, such an employer;
- Have received any payment of money or other thing of value from an employer or a person who acts as a labor relations consultant for an employer, except payments permitted by § 302(c) of the Labor Management Relations Act, 1947 (see LMRDA § 505); or
- Have any securities or other interest in, or income or other benefit from, a business which buys from, or sells or leases to, or otherwise deals with, their union or any trusts in which their union is interested.

Must I report wages I receive as an employee of the employer with whom my union has a collective bargaining agreement?

Payments and benefits received as a bona fide employee of the employer for past or present services are not reportable. Transactions involving purchases and sales of goods and services from the employer in the regular course of business at prices generally available to any employee of the employer are also not reportable.

What financial holdings are not reportable?

Reports are not required on bona fide investments in securities traded on a registered national securities exchange, in shares of a registered investment company, in securities of a registered public utility holding company, or on any income from such bona fide investments. Further guidance on this exemption is available on the OLMS Web site.

Holdings of, transactions in, or income from, securities not listed or registered as described above are also not reportable if the holdings or transactions involve \$1,000 or less and the income received from any one security is \$100 or less.

These exceptions do not apply to gifts of stock which are reportable.

Must I report gifts or loans of small value?

Sporadic or occasional gifts, gratuities, or loans of \$250 or less do not have to be reported if they are given under circumstances unrelated to the recipient's status in a labor organization. For example, if an employer frequently provides a catered lunch during long meetings with various groups, a union officer would not have to report the receipt of such a lunch, so long as the combined value of the lunch or other gifts during the year does not exceed \$250 for the union officer or employee. If the combined value of gifts from one employer to a union official exceeds \$250 in the fiscal year, the total value of the gifts must be reported. Gifts from multiple employees of one employer should be considered as gifts from the single employer.

Although numerous small gifts, such as coffee at bi-weekly meetings, would appear to be outside this exception because they are not provided on an "infrequent or sporadic" basis, the Department will not enforce the reporting requirement so long as the combined value of these gifts does not exceed \$250 per union official.

Must I complete all three parts of Form LM-30?

The first five items on Form LM-30 and Item 15 (Signature and verification) must be completed by all filers. The remainder of the form is divided into Parts A, B, and C. Which Part or Parts you are required to complete depends on the type of activities or interests that you are reporting.

When must I complete Part A of Form LM-30?

Part A consists of Items 6 and 7. You must complete Part A if you, your spouse, or your minor child have any of the following interests or dealings related to an employer whose employees your union represents or is actively seeking to represent:

- hold any securities (except exempt securities as discussed above) or other interest in such an employer
- have any income or other benefit from such an employer (except wages or other benefits received as a bona fide employee);
- have a part in any transaction involving securities (except exempt securities as discussed above) or other interests in, or loans to or from, such an employer; or
- have any business transaction or arrangement with such an employer.

What are some examples of situations that I must report in Part A?

- You are an officer of a union that represents Widget Company employees. Your wife owns 5,000 shares of Widget Company stock that Widget's CEO gave her on Mother's Day two years ago.
- You are a full-time officer of a union that represents employees of several different employers. One of the employers pays your expenses on a trip with management officials to a plant in another part of the country to view some new equipment that the employer is thinking of purchasing.
- You are an officer of a union that represents actors. You own a production company that hires employees represented by your union.
- You are a union employee and your minor child receives 100 shares of stock as a high school graduation gift from an employer whose employees your union represents.
- You are a union officer and your husband receives a loan from an employer whose employees your union represents.

When must I complete Part B of Form LM-30?

Part B consists of Items 8 through 12. You must complete Part B if you, your spouse, or your minor child held an interest in or received income or other benefits from a business which meets either of the following two conditions:

- a substantial part of the business consists of buying from, selling or leasing to, or otherwise dealing with the business of an employer whose employees your union represents or is actively seeking to represent, or
- any part of the business consists of buying from, selling or leasing directly or indirectly to, or otherwise dealing with your labor organization or a trust in which your labor organization is interested.

What are some examples of situations that I must report in Part B?

- You are a union officer and also own a small machine parts business. The employer of the employees your union represents purchased a large quantity of machine parts from your business. The employer's purchases represented a substantial part of the total income of your machine parts business for the year. You must report your ownership of the business, and any payments and benefits you received from it.
- You are a union employee and your spouse owns a vending machine business a substantial part of which consists of revenue from machines placed in employee break rooms and public areas controlled by the employer. You must report your spouse's ownership of the business and any payments or benefits she received from it.
- You are a union officer. Your wife owns an accounting firm and last year a substantial part of the income of her firm was from an employer whose employees your union represents. Your wife's interest in the accounting firm and any payments or benefits she received from it are reportable.
- You are a union officer and your husband is employed by a law firm that received a substantial part of its income last year from an employer whose employees your union represents. Your husband's salary from the law firm and any other payments or benefits he received from it are reportable.
- You are the business manager of a local union that represents stage technicians. You have a business supplying lighting and other equipment to companies putting on shows and conventions within the jurisdiction of your local. 100% of your company's income comes from employers whose employees are represented by your union. Your interest in the equipment company and any payments or benefits you received from it are reportable.
- You are an officer of a district council and your wife owns and operates a small catering business. Your union purchases catering services from your wife's business during the fiscal year. Your wife's interest in the catering business and any payments or benefits she received from it are reportable.
- You are a local union officer and you own a business that did maintenance work on the heating and air conditioning system at the union hall. Your interest in the maintenance company and any payments or benefits you received from it are reportable.
- You are a business manager of a local union. Your spouse works for a plumbing supply company that sold tools and other supplies to a training fund created by your union for the benefit of its members. Your spouse's salary and any other payments or benefits received from the company are reportable.
- You are an officer of an international union. You and your husband own a printing company that prints the union magazine and other material for locals affiliated with your international union. You and your husband's interest in the printing company and any payments or benefits you received from it are reportable.

When must I complete Part C of Form LM-30?

Part C consists of Items 13 and 14. You must complete Part C if you received any payment of money or other thing of value from any employer not covered under Part A or B or from any labor relations consultant to an employer if the payments are a conflict of interest or a potential conflict of interest. You are not required to report any payments of the kind referred to in section 302(c) of the Labor Management Relations Act (a list of these types of payments is available on the OLMS Web site). You are also not required to report bona fide loans, interest, or dividends from banks, credit unions, savings and loan associations, insurance companies, or other bona fide credit institutions.

What are some examples of situations that I must report in Part C?

- You are a union officer and are running for a local public office. Employers in the industry organized by your union make campaign contributions. This is reportable under Part C. (If a contribution were made by an employer whose employees your union represents or actively seeks to represent, you must complete Part A.)
- You are a union employee involved in obtaining accounting services for your union. An accountant that your union does not do business with gives you a holiday gift of golf clubs. This is a reportable in Part C.
- You are a local union president. An employer outside the jurisdiction of your local offers your 20-year old daughter a paid summer internship on the understanding that you will seek to have your members go on strike against an employer who is one of their competitors. Your daughter's income and benefits from the internship are reportable.
- You are an officer of a national union. Your wife is hired as a senior executive of an employer on the understanding that your union will not seek to organize that employer. Your wife's interest in the employer and any payments or benefits she received from it are reportable.

Who must sign Form LM-30?

Form LM-30 must be signed by the union officer or the employee required to file it.

When is the filing deadline?

Labor organization officers and employees must file Form LM-30 within 90 days after the end of their fiscal year.

Where do I file Form LM-30?

The completed Form LM-30 must be mailed to:

U.S. Department of Labor
ESA/OLMS, Room N-5616
200 Constitution Avenue, NW
Washington, DC 20210-0001

Are Form LM-30 reports available to the public?

Yes, all reports required to be filed under the LMRDA are public information. You can view and print Form LM-30 reports for the year 2000 and later at www.union-reports.dol.gov. You can also order earlier reports at this Web site. In addition, Form LM-30 reports may be examined, and copies purchased, at the OLMS Public Disclosure Room at the above address.

How can I get more information?

Additional information about Form LM-30 is available on the Internet at http://www.dol.gov/esa/olms_org.htm. You can also contact the nearest OLMS field office listed at: <http://www.dol.gov/esa/contacts/olms/lmskeyp.htm> or send an e-mail to OLMS-Public@dol.gov.