FORM LM-4 LABOR ORGANIZATION ANNUAL REPORT

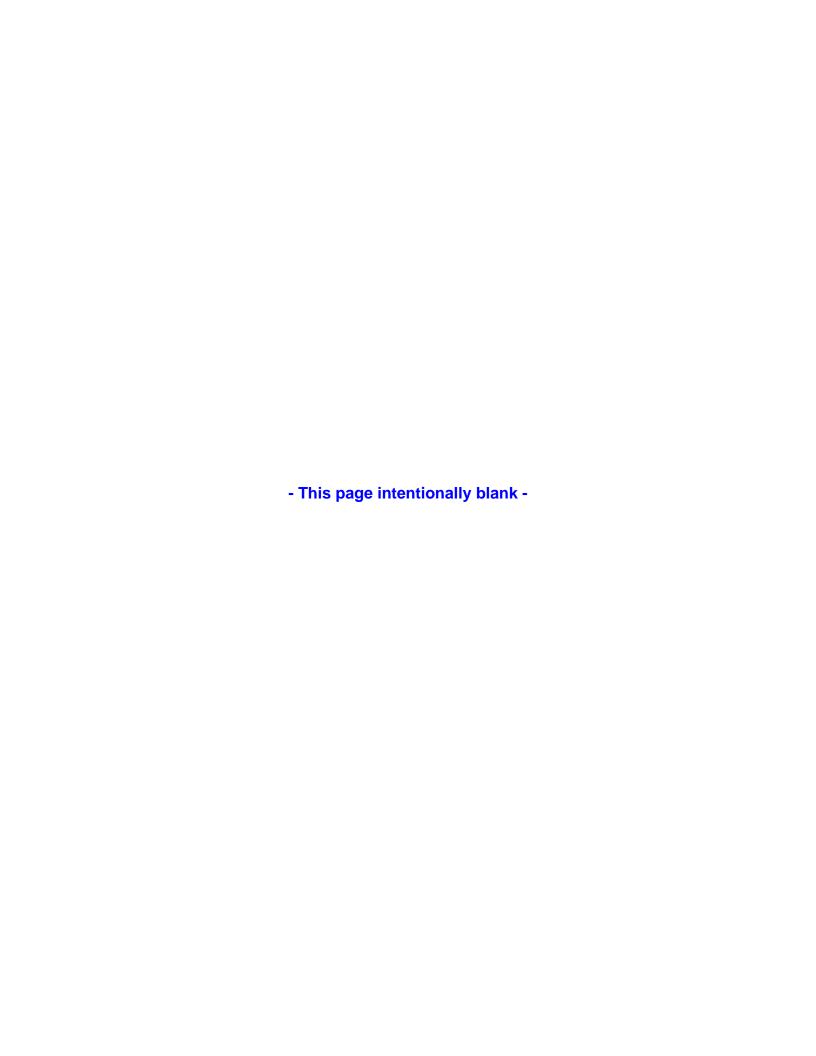
(electronic)

USER GUIDE

Version 3.0



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FORM LM-4 LABOR ORGANIZATION ANNUAL REPORT (electronic)

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Introduction

The U.S. Department of Labor's Office of Labor-Management Standards (OLMS) is pleased to introduce the new Form LM-4 electronic software. This software, which is in Adobe, replaces the previous versions, which were in Informed Filler. Using the electronic Form LM-4, you can:

Enter information directly into an online version of the form; and

either

- Have your labor organization's president and treasurer sign the report electronically; and
- Submit the signed form electronically to OLMS

or

- Print a copy of the completed report and have your labor organization's president and treasurer sign the paper copy; and
- Mail the signed copy to

U.S. Department of Labor Employment Standards Administration Office of Labor-Management Standards 200 Constitution Avenue, NW Room N-5616 Washington, DC 20210-0001

Getting Started

This document guides you through the process of completing the electronic Form LM-4, providing instructions and navigation tips to help you:

- Download the electronic Form LM-4 from the OLMS Web site;
- Navigate and enter information directly into the form; and
- Add digital signatures.

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This document's focus is "how" to enter information into the form. Two companion documents provide additional information:

Table 1: Companion Documents

Document Name	Contents	Location
Instructions for Form LM-4 Annual Report	Rules for filingDetailed directions for what information to enter	www.dol.gov/esa/regs/complianc e/olms/lm4.htm

Before You Begin

To use the electronic Form LM-4 you need the following hardware and software.

Hardware

Processor: Intel® Pentium III® (or equivalent)

Operating System options:

Microsoft® Windows 98, Second Edition

Microsoft® Windows, Millennium Edition

Microsoft® Windows NT® 4.0 with Service Pack 6

Microsoft® Windows 2000 with Service Pack 2

Microsoft® XP Professional

Microsoft® XP Home Edition

Memory: 64MB of RAM

Available hard disk space: 60MB

Note: For optimum performance, OLMS recommends using an Intel Pentium 4® (or equivalent) processor running at a minimum speed of 2.4 GHz with 1GB of memory.

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Software

Adobe® Reader®, Version 6.x or Higher Internet Browser options:
Internet Explorer, Version 5.5 or 6
Netscape, Version 4.7

Mozilla, Version 1.3 or 1.4

Using Adobe® Reader® 6.x or Higher

You will need Adobe® Reader® 6.x or Higher to use the electronic Form LM-4. If you do not have Adobe® Reader® 6.x or Higher installed on your system, you can download a free copy of Adobe® Reader® 6.x or Higher from the Adobe Web site (www.adobe.com).



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Tips for Navigating Throughout Form LM-4

ACTION	TIP			
Moving from page to page	For greater ease in navigating through the document, use the Page thumbnails on the left side of the screen to scroll from page to page. You also can highlight the page number that is displayed in the middle of the bottom of the screen, enter the page number you want to go to, and press <enter>. You are automatically taken to that page. This is very useful if you know exactly where you want to go and saves scrolling through the form and/or the thumbnails. Navigation buttons located on either side of the number box allow you to navigate forward and back one page at a time or go to the first or last page of the form.</enter>			
Moving from field to field	Either use the <tab> key to move through the fields on the screen or use the mouse to click the field in which you want to enter text.</tab>			
Saving the Document	Save your work frequently! As you fill out the form, go to the "File" Menu and select "Save As." The "Save As" function will automatically reduce the file size of the form so it is preferable to use the "Save As" function.			
Date Fields	Enter dates in the format: mm/dd/yyyy.			
State Fields	Enter two-character postal abbreviation of a U.S. state or territory. You must use the drop-down list to enter the state in any section of the form where the state is required. The state cannot be manually entered by the user. Alternatively, you can choose "00" from the drop-down list to enter a non-listed country in the state field and its corresponding postal code (e.g., NW34D2). If you choose a U.S. state or territory you must enter a properly			
	formatted U.S. ZIP code.			
Telephone Numbers	Include the area code when entering the phone number.			
Text Fields	Other than Item 19 – Additional Information 50 characters is the maximum length of any field in the form.			
ZIP Code Fields	ZIP codes must either be five or nine digits for U.S. states or territories. For example, 12345 or 12345-6789. Alternatively, choose "00" from the drop-down list to enter a non-listed country in the state field and its corresponding postal code (e.g., NW34D2).			

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Adding Additional Information (Item 19)

The Instructions for Form LM-4 identify entries that require you to provide additional information.

Using the electronic Form LM-4, you add required and optional additional information in Item 19 (Page 1 of Form LM-4) in the following instances:

- When prompted by the form to enter required additional information into an item;
- When prompted by the form to enter required additional information when the form is validated; and
- When you want to add general comments or additional information about information you are reporting on Form LM-4 (optional additional information).

Entering Required Additional Information

The following table identifies the Form LM-4 items that prompt you to enter information in Item 19.

Table 2: Additional Information Fields

Page/Schedule	Item/Column Number	Reason for Prompt to Enter Additional Information
Page 1	Item 2	Entering a reporting period that is less than one year in length
Page 1	Item 3	Selecting option "B", Terminal Report
Page 1	Item 20	Changing the President's title
Page 1	Item 21	Changing the Treasurer's title
Page 2	Items 9 – 11	Answering "Yes"

After you enter data in a field that requires additional information or when the system validates that field (see Validating the Form), a message identifying the additional information that you must enter will display.

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Adding Required Information

To add required additional information:

1. Click the **OK** button to close the message window.

The form takes you to Item 19—Additional Information.

- 2. Enter the information according to the instructions in the message window that prompted you to enter additional information.
- 3. Click the **Save** button in the upper right corner of Item 19—Additional Information.

The additional information will display on the Additional Information Summary page that is automatically added to the end of the form.

Note: You are required to enter an answer in Item 19. Entering a space, tab or return without any other text will not be accepted by Form LM-4.

Deleting Required Information

To delete additional information you were prompted to enter:

1. Go to the page and field that prompted you to enter the additional information and change or delete the entry in the field.

Example 1: If you entered an amount in a field, delete the amount.

Example 2: If you selected a check box that prompted the message to enter additional information, change the check box selection—for example, from "yes" to "no."

The additional information you entered is automatically deleted from the Additional Information page.

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Adding Optional Information

To add optional additional information:

- 1. Go to the first page of Form LM-4.
- 2. Click the **General Additional Information** button.

A message window stating that you can enter general comments will display.

3. Click the **OK** button to close the message window.

The cursor is now in Item 19—Additional Information.

- 4. Enter a comment in Item 19—Additional Information.
- 5. Click the **Save** button in the upper right corner of Item 19—Additional Information.

The comment that you entered is labeled "General Information" on the Additional Information Summary page at the end of the form.

Modifying or Deleting Optional Additional Information

To modify or delete optional additional information:

- 1. Go to the first page of Form LM-4.
- Click the General Additional Information button.

A message stating that you can enter general comments will display.

3. Click the **OK** button to close the message window.

Previously entered comments will display in Item 19—Additional Information.

- 4. Modify, including adding more information or deleting the comment(s) that displays in Item 19—Additional Information.
- 5. Click the **Save** button in the upper right corner of Item 19—Additional Information.

The revised comment will display on the Additional Information Summary page at the end of the form. When you delete a comment, it is removed from the Additional Information Summary page.

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Downloading and Prefilling Document

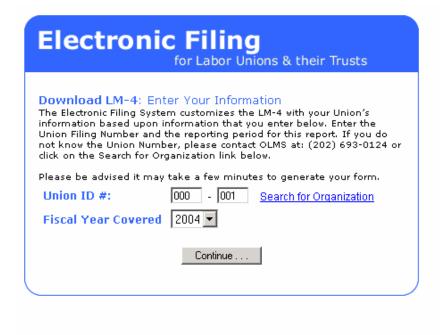
To begin the process of completing the electronic Form LM-4, download the form and prefill information by following these steps:

- Go to the OLMS home page (<u>www.olms.dol.gov</u>).
- 2. Select "Download the Electronic Form LM-2, LM-3, LM-4 and T-1" from the *Quick Links* section.



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3. Enter the first three digits of your labor organization's file number in the Union ID # field's first segment. Enter the second three digits of your labor organization's file number in the Union ID # field's second segment. Once you have entered the Union ID, select the Fiscal Year for which you are submitting the LM4.



4. Click the **Continue** button

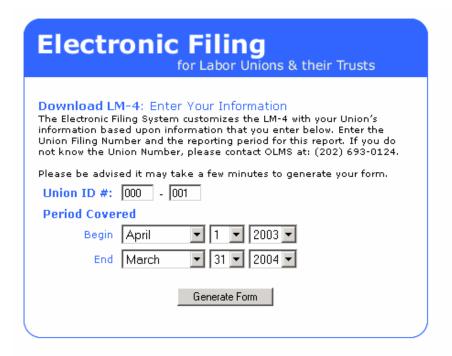
Note: Notice that the Begin and End dates are pre-populated with the Begin and End dates of your union's Fiscal Year.

- 5. If you need to change the beginning date, use the *Period Covered Begin* field's drop-down list.
- 6. If you need to change the end date, use the *Period Covered End* field's drop-down list.

Note: You cannot enter a date range that covers more than one year.

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7. Click the **Generate Form** button.

The Click Below to Start Downloading window will display.

8. Right-click the Form LM-4 link. Click "Save Target As..." and then select a location to store the PDF file. To use the downloaded form, first start the Adobe® Reader® 6.x or Higher program on your computer. Open the form by selecting "Open" from the Adobe® Reader® 6.x or Higher "File" menu, and navigating to the location where you saved the lm4.pdf and selecting it.

Some fields on page 1 of New Form LM-4 are populated with prefill information. The following table lists the fields containing prefill information and indicates whether or not those fields are editable.

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Table 3: Prefill Fields

Page	Item Number	Name	Editable
1	1	File Number	No
1	2	Period Covered Start Date	No
1	2	Period Covered End Date	No
1	4	Affiliation Name	No
1	5	Designation	No
1	6	Designation Number	No
1	7	Unit Name	No
1	8	First Name	Yes
1	8	Last Name	Yes
1	8	P.O. Box	Yes
1	8	Number and Street	Yes
1	8	City	Yes
1	8	State	Yes
1	8	Zip Code	Yes

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Employment Standards Administration	FORM LM-4	LABOR OR	GANIZ	AHON	ANNUA	IL REPORT	Office of Management and	Budget
Office of Labor-Management Standards Washington, DC 20210	FOR USE ONLY BY	LABOR ORGANIZATION	S WITH LES	THAN \$10,00	0 IN TOTAL A	NNUAL RECEIPTS	No. 1215-0188 Expires: 11-30-2006	
	his report is mandatory under P.L. 86-257	, as amended. Failure to compl	y may result in cr	iminal prosecution,	fines, or civil pen	alties as provided by 29 U.S.C		
	R	EAD THE INSTRUCTIONS CA	REFULLY BEFOR	RE PREPARING TH	HIS REPORT			
For Official Use Only	1. FILE NUMBER	2. PERIOD COVERED MON DAY From Through	YEAR	report.	, check here: RMINAL - If y		correcting a previously filed to exist and this is its terminal check here:	
4. AFFILIATION OR ORGANIZAT	ION NAME			8. MAILING AD First Name	DRESS (Type	or print in capital letters)) Last Name	-
C DECIGNATION (1 DEDICAL TIPE			First Name		Ι,	Last Name	
 DESIGNATION (Local, Lodge, et 	etc.) 6. DESIGNATION	N NUMBER	╟	P.O. Box - Buile	ding and Room	n Number (if any)		$\neg \neg$
7. UNIT NAME (if any)								
				Number and Str	reet			
			l	City				
				State		- 2	ZIP Code + 4	$\neg \neg$
			L					
19. ADDITIONAL INFORMATION								
Each of the undersigned, duly auti report (including the information co complete. (See Section VI on pena	ontained in any accompanying doo							
20.SIGNED:		PRESIDENT	21. SIG	NED:			TREASURER	
EV.OIGHED.		(If other title, see instructions.)	21. 310				(If other title, see	.
Date	Telephone Number				Date	Telephone Number	A STATE OF THE PARTY OF THE PAR	
Form LM-4 (Revised 2000)	General Additional Info	mation \	/alidate Fo	rm		Submit		

Completing Page 1:

- 1. Complete Item 3 if the report is amended or terminal.
- 2. Enter information in Items 5-8 according to the instructions.

Note: Items 5-7 are not editable.

Note: You must contact the U.S. Department of Labor's Office of Labor-Management Standards at 202-693-0124 to officially change a labor organization's affiliation or organization name in Item 4.

Important:

You are prompted to enter additional information in Item 19 if:

- The Period Covered is less than one year;
- You indicate that this is a terminal report (Item 3);
- You are changing President's title (Item 20); and/or
- You are changing Treasurer's title (Item 21).

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Enter Amounts in Dollars Only – Do Not Enter Cents	
9. During the reporting period did the labor organization had in its constitution and bylaws, other than the rates of dues are practices/procedures listed in the instructions? (If the constitutions have changed, attach two new dated copies. If practices.)	fees, or in on and the end of the reporting period (cash, bank accounts, equipment, etc).
procedures have changed, see instructions.)	No 15. Enter the total liabilities (debts) of your organization at the end of the reporting period (unpaid bills, loans owed, etc.).
10. During the reporting period did the labor organization cha of dues and fees? (If "Yes", report the new rates in Item 19 or	ge the rates
	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.)
11. During the reporting period did the labor organization dis or shortage of funds or other assets? (<i>Answer "Yes" even if t</i>	
repayment or recovery.)?	No 17. Enter the total disbursements made by your organization during the reporting period (per capita tax,
12. During the reporting period was your organization insure bond?	y a fidelity loans made, net payments to officers, payments for office supplies, etc.)
If "Yes", enter the maximum amount recoverable under to caused by any person.	bond loss 18. Enter the total payments to officers and employees during the reporting period (gross salaries, lost time payments, allowances, expenses, etc.).
13. How many members did your organization have at the er reporting period?	of the 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.

Completing Page 2:

1. Answer Items 9-18 according to the instructions.

Important:

- You are prompted to enter additional information in Item 19 if you select "Yes" as the answer to Items 9-11.
- You cannot enter negative numbers in Items 12 18.

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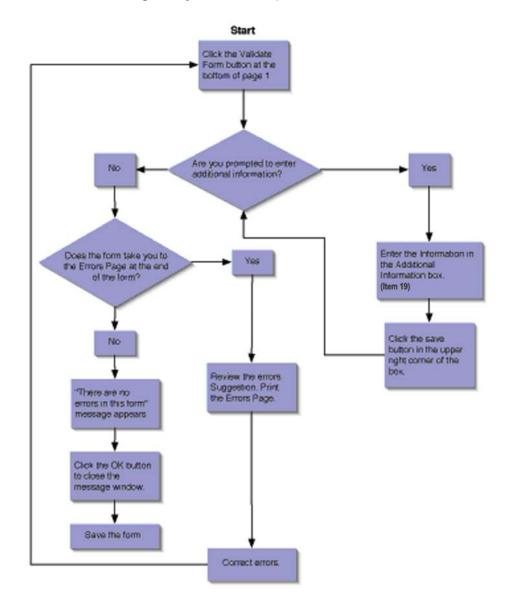
Validating the Form

After completing pages 1 and 2, validate the form. The validation process:

- Verifies that you entered information in required fields;
- Ensures that the information you entered is what the form "expected" for example, validation checks that you have entered a number, not text, into an amount field.

To validate the form:

- 1. Go to page 1 of Form LM-4.
- 2. Use the decision chart to guide your next steps.



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Adding Signatures

In order to file Form LM-4 electronically, you are required to add digital signatures to the signature block on the bottom of page one. Before being able to do so, the following must be completed:

You must obtain an Access Certificate for Electronic Services (ACES) digital certificate. See the OLMS Web site (www.dol.gov/esa/regs/compliance/olms/digital-signatures.htm) for information on obtaining an ACES certificate. Once you receive your digital signature, you must install it based on the instructions provided by the digital certificate vendor.

Note: If your organization's Form LM-4 is prepared by a third party (for example, an accounting firm), the preparer will need to save the completed form to a CD or other removable media and send it to the officers of your organization who will be signing the form. Once the completed form is loaded on an officer's computer, the officer will use his/her digital signature to sign the form. After the first officer digitally signs the form, he/she must send the form using removable media to the other officer who will then load the form on his/her computer and digitally sign the form.

Before you can digitally sign the Form LM-4, the form must pass validation. See the section on validation for more information about errors in the Form LM-4. All errors must be resolved before the form may be signed.

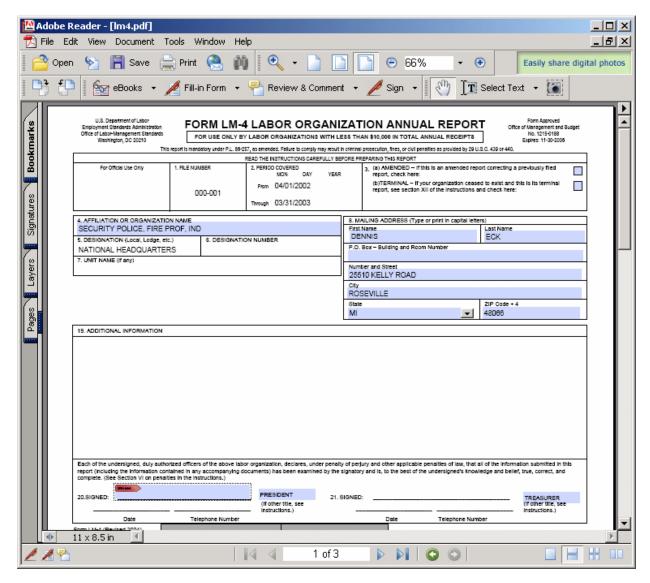
If an officer other than the President or Treasurer is signing the form, the title field next to the signature can be changed. Changing the title field to a different value prompts you to enter an explanation as to why the President or Treasurer is not signing the form.

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To affix a digital signature to the form, do the following:

- 1. Click the signature line.
- 2. A pop-up will appear with a paragraph of text starting "This form has passed the validation check and is able to be signed and submitted to the Department of Labor."
- 3. Click OK.
- 4. Another pop-up will indicate "The form is ready for signing. Click the signature again to sign."
- 5. Click **OK** and a red arrow should appear in the signature block.

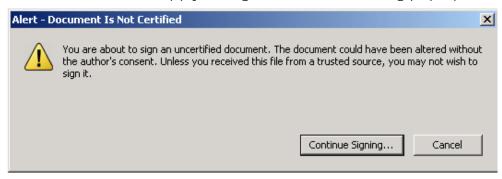


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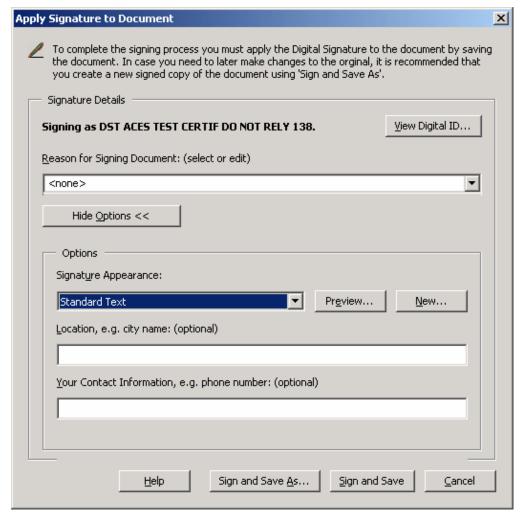
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6. Click the arrow to apply the signature. The following pop-up will appear:



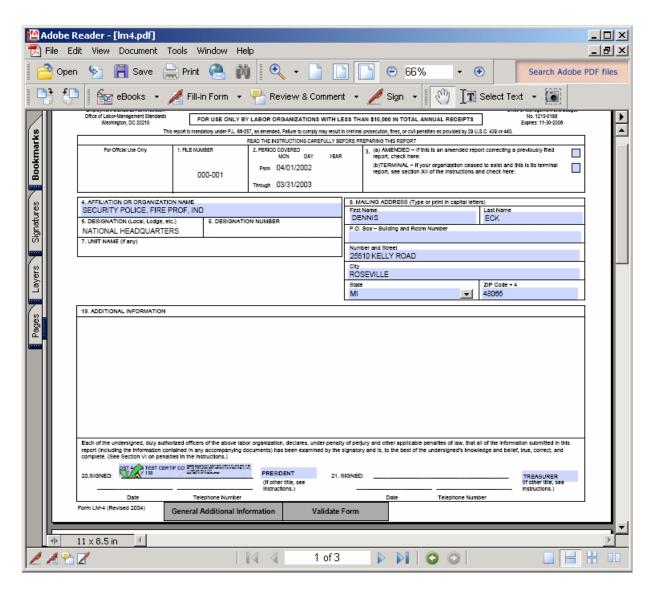
- 7. Click **Continue Signing...** button in the pop-up alert. A pop-up with a list of possible digital signatures is displayed.
- 8. Select the digital ID previously installed, and click **OK**. **Once you do, the following pop-up is displayed:**



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9. Click **Sign and Save As** to complete the form and save it with signature. Once you do, the form has been successfully signed.



Once you have successfully signed the form, a green checkmark should appear next to the red arrow. The green checkmark indicates that the form has been signed, and there have been no changes to the form since the signature was applied. If any data in the form is changed after the signature is applied, the signature will disappear, and must be re-applied.

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