

How to file your local unit's LM report electronically

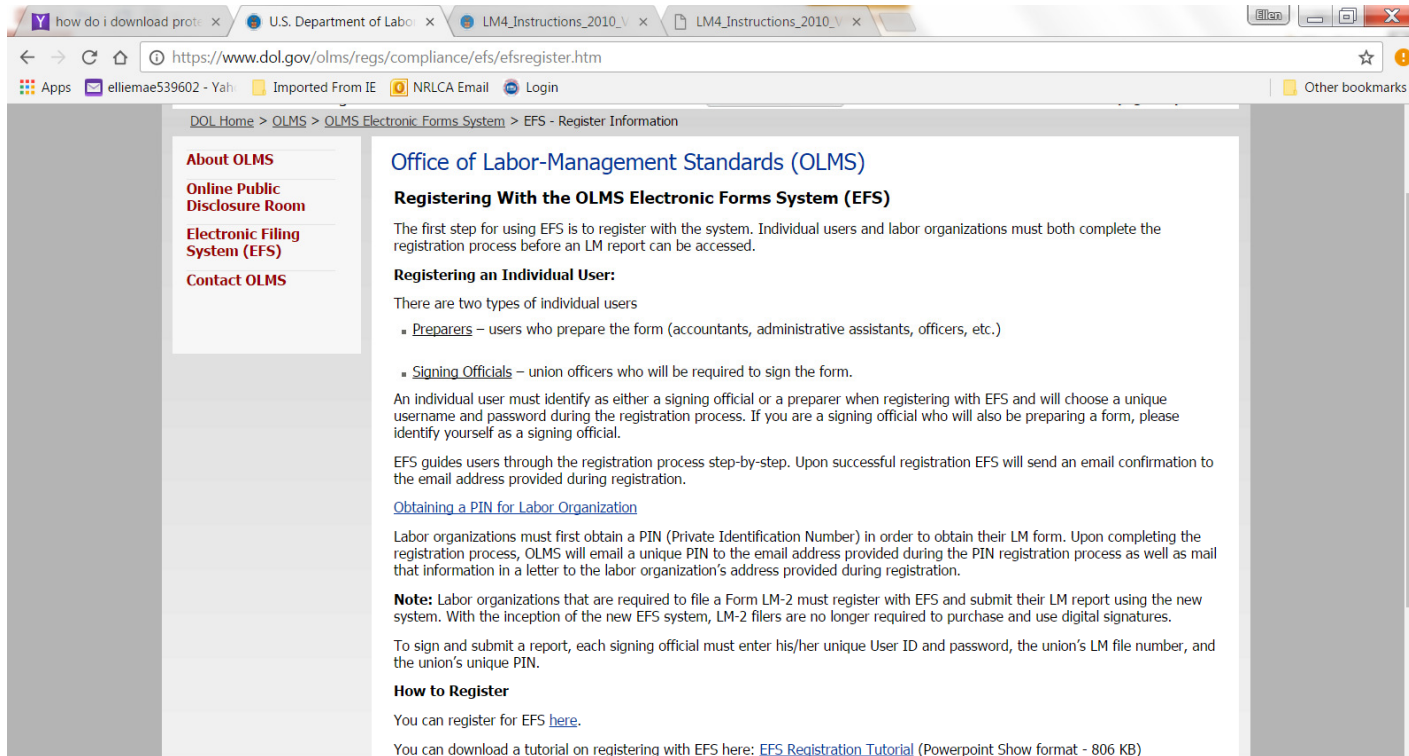


Ver. 8.1.18

Filing Electronically.... Convenient

- [Electronic filing for LM-3 and LM-4 filers](#) is now easier and more convenient than ever. Since 2004, Form LM-2 filers (unions with \$250,000 or more in annual receipts) have been required to file their annual report electronically. Electronic filing has been and still is an option for Form LM-3 and LM-4 filers. Until recently however, electronic filers had to use cumbersome third party software, and purchase expensive digital signatures to file their annual report. We at the Office of Labor-Management Standards heard many complaints regarding the costs and difficulties of this system, and relatively few LM-3 and -4 filers used it.
- OLMS has replaced this system with a free, secure, web-based electronic filing system called the Electronic Forms System (EFS), which requires no digital signature purchase and only a web browser and Internet connection to use. It has been available to LM-2 filers since October 1, 2010, and to LM-3 and -4 filers since May 1, 2011. With many LM-3 and -4 reports due before the end of March, this is the perfect time to register for and use EFS to file your annual report.
- EFS is ideal if you are a smaller union with a computer and Internet access. The system features built-in, context-sensitive help, eliminating the need to flip through paper instructions. Key information from the previous year's form is pre-filled into your EFS form. EFS has built-in math functions so you needn't worry about rounding or math errors. Before you file with EFS, a verification step identifies all incomplete entries and errors. Once you transmit the form, it is received and posted on-line the same day, which greatly reduces the chances of late filing. You can easily save a copy of the report electronically for your records. EFS will save you time, paper and money.

Preparing to file...



The screenshot shows a web browser window with the URL <https://www.dol.gov/olms/regs/compliance/efs/efsregister.htm>. The page title is "Office of Labor-Management Standards (OLMS) Registering With the OLMS Electronic Forms System (EFS)". The page content includes a navigation menu on the left with links for "About OLMS", "Online Public Disclosure Room", "Electronic Filing System (EFS)", and "Contact OLMS". The main content area contains the following text:

Office of Labor-Management Standards (OLMS)

Registering With the OLMS Electronic Forms System (EFS)

The first step for using EFS is to register with the system. Individual users and labor organizations must both complete the registration process before an LM report can be accessed.

Registering an Individual User:

There are two types of individual users

- **Preparers** – users who prepare the form (accountants, administrative assistants, officers, etc.)
- **Signing Officials** – union officers who will be required to sign the form.

An individual user must identify as either a signing official or a preparer when registering with EFS and will choose a unique username and password during the registration process. If you are a signing official who will also be preparing a form, please identify yourself as a signing official.

EFS guides users through the registration process step-by-step. Upon successful registration EFS will send an email confirmation to the email address provided during registration.

[Obtaining a PIN for Labor Organization](#)

Labor organizations must first obtain a PIN (Private Identification Number) in order to obtain their LM form. Upon completing the registration process, OLMS will email a unique PIN to the email address provided during the PIN registration process as well as mail that information in a letter to the labor organization's address provided during registration.

Note: Labor organizations that are required to file a Form LM-2 must register with EFS and submit their LM report using the new system. With the inception of the new EFS system, LM-2 filers are no longer required to purchase and use digital signatures.

To sign and submit a report, each signing official must enter his/her unique User ID and password, the union's LM file number, and the union's unique PIN.

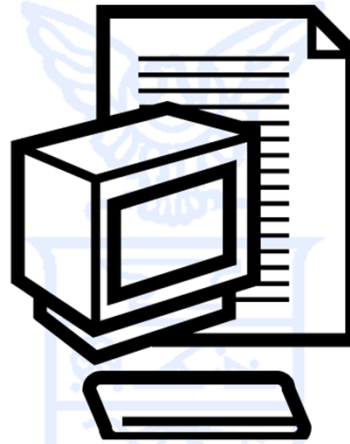
How to Register

You can register for EFS [here](#).

You can download a tutorial on registering with EFS here: [EFS Registration Tutorial](#) (Powerpoint Show format - 806 KB)

ELECTRONIC FORMS SYSTEM (EFS)

Guide to Preparing the LM-4



Office of Labor-Management Standards (OLMS)

<http://www.olms.dol.gov>

ELECTRONIC FORMS SYSTEM (EFS)

LM-4

EFS is a web-based system for completing and filing Form LM-4 Labor Organization Annual Report.

This tutorial demonstrates basic features and functionality of the EFS LM-4 form. It does not contain instructions for what information should be provided on your report.

You can download a complete set of LM-4 Instructions from the OLMS website at:

http://www.dol.gov/olms/regs/compliance/LM-4_Instructions_AR.pdf

System Requirements and Settings

To access and use the EFS, OLMS recommends you use one of the following browsers:

- Microsoft Internet Explorer – Version 6 or higher
- Firefox – Version 3 or higher

Screen Resolution:

For optimal viewing, set your screen resolution to 1280 x 1024 or greater. OLMS recommends that at a minimum you set your screen resolution to 1152 x 864 to avoid horizontal scrolling.

Accessing the System

Log into EFS using your user ID and password and the filing union's six-digit file number and unique union PIN.

(Please see the tutorial on how to register if you do not have a user ID or a union PIN.)

The screenshot shows the Electronic Forms System (EFS) login page. At the top, there is a red header with the United States Department of Labor logo and navigation links. Below the header, there is a navigation bar with links to DOL Home, EFS, and Text Size. The main content area features a welcome message and a registration section. A dashed box highlights the sign-in form, which includes fields for User ID, User Password, File Number, and Union PIN, along with a Sign In button and links for forgot password and forgot user ID.

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Electronic Forms System Text Size

[OLMS Help](#)

**Welcome to the Office of Labor Management Standards
Electronic Forms System (EFS)**

Click [here](#) for a brief tutorial of the system

Registration:

Register for an EFS User account and password - [Click here](#).

Obtain a [Union Pin](#) - [Click here](#).

If you wish to edit your account information - [Click here](#).

Sign in:

User ID

User Password

File Number -

Union PIN

[Forgot your password?](#) [Forgot your User ID?](#)

Frequently Asked Questions | Freedom of Information Act | Privacy & Security Statement | Disclaimers | Customer Survey | Important Web Site Notices

EFS SYSTEM ACCESS

Two separate processes are required to assure a union's secure access to the EFS:

- User Registration

Every person who needs to prepare, review, or sign the LM Forms will need to register for an EFS user account and password to access the system.

- Union Registration

A union representative will register to obtain a unique Private Identification Number (PIN) for the union.

User Registration is the first step in gaining access to EFS.

REGISTRATION HOME PAGE

The screenshot shows the top navigation bar of the EFS website. On the left is the United States Department of Labor logo. On the right, there are links for 'Subscribe to E-mail Updates' with an input field and 'SUBSCRIBE' button, and 'Find It In DOL' with a 'SEARCH' button. Below these are links for 'All DOL', 'ESA', and 'Advanced Search'. A secondary navigation bar contains links for 'A to Z Index', 'Site Map', 'FAQs', 'DOL Forms', 'About DOL', and 'Contact Us'. The main content area has a breadcrumb trail 'DOL Home > EFS' and the title 'Electronic Forms System'. The central heading reads 'Welcome to the Office of Labor Management Standards Electronic Forms System(EFS)' with a link to a tutorial. Under 'Registration:', there are three links: 'Register for an EFS User account and password - Click here.', 'Obtain a Union Pin - Click here.', and 'If you wish to edit your account information - Click here.'. An orange arrow points to the first link. The 'Sign in:' section includes input fields for 'User ID', 'User Password', 'File Number', and 'Union PIN', along with a 'Sign In' button and links for 'Forgot your password?' and 'Forgot your User ID?'. A 'Text Size' control is in the top right.

Left-click on the “click here” hyperlink to continue to the User Registration page.

USER REGISTRATION

User Registration

Please enter following information to register yourself in the EFS System

Are you an officer responsible for signing the form?

Yes No

First Name

Middle Initial

Last Name

Title

Phone Number

Email Address Ex. joe@dol.gov

Re-type Email Address

Choose a User ID

Choose a password

(Minimum 8 characters and must include 1 capital letter and 1 number)

Re-type password

Select security question

Enter your answer to security question

If you have any questions about your privacy or use of this data, please visit the Department of Labor Privacy and Security Statement page linked below.

USER REGISTRATION – COMPLETING THE FORM

If you prepare, review, or sign the LM Report Form, you will need to register and establish a User ID and password.

Are you an officer responsible for signing the form?

Yes No

Select **“Yes”** if you are an officer responsible for signing the form.

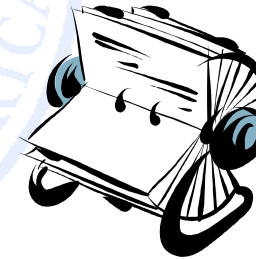
Select **“No”** if you are not an officer responsible for signing the form, **BUT** are responsible for reviewing or preparing the report.

USER REGISTRATION – COMPLETING THE FORM

First Name	<input type="text"/>
Middle Initial	<input type="text"/>
Last Name	<input type="text"/>
Title	<input type="text"/>

Enter the following information:

- First Name**
- Middle Initial**
- Last Name**



Enter your complete title (i.e. Secretary-Treasurer, Accountant)

USER REGISTRATION – COMPLETING THE FORM

Phone Number	<input type="text"/>	
Email Address	<input type="text"/>	Ex. joe@dol.gov
Re-type Email Address	<input type="text"/>	



Enter your telephone number with area code. (i.e. 555-555-5555)

Enter the email address to which a confirmation can be sent.



USER REGISTRATION – COMPLETING THE FORM

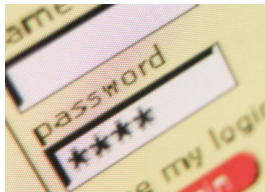
Choose a User ID

Create a User ID that you can easily remember. Your User ID can be a maximum of 30 characters and can include letters, number, and symbols.

Choose a password
(Minimum 8 characters and must include 1 capital letter and 1 number)

Re-type password

When creating your **password**, keep in mind these requirements:



- It must be 8-15 characters.
- It must include at least one **CAPITAL** letter.
- It must include at least one number.
- It may include special characters.

USER REGISTRATION – COMPLETING THE FORM

Select security question

Enter your answer to security question

What is your oldest cousin's name?
What is your youngest child's nickname?
What is the first name of your oldest niece?
What is the first name of your favorite uncle?
What town/city was your father born in?
What is the last name of your favorite musician?
What was the make of your first car?
What was your first pet's name?
What is the last name of your favorite teacher?
What is the name of the street on which you grew up?



For additional security, you will be asked to select one of the security questions and provide an appropriate response.

USER REGISTRATION – COMPLETING THE FORM

When you have completed the registration form, click on the button at the bottom of the page

Cancel

Register Me

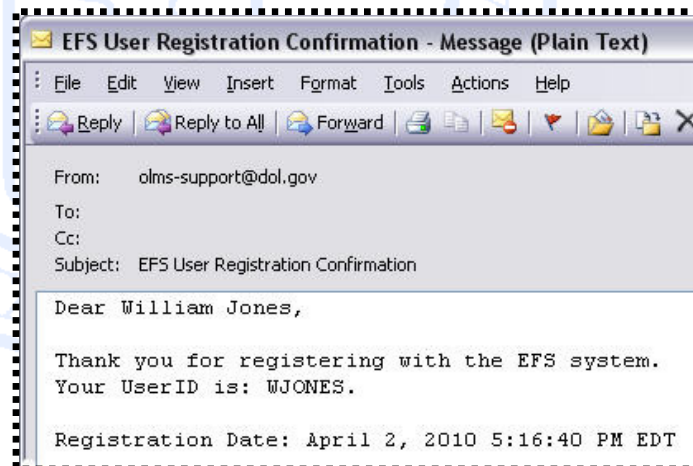
If you have any questions about your privacy or use of this data, please visit the Department of Labor Privacy and Security Statement page linked below.

USER REGISTRATION – COMPLETING THE FORM

If you have entered all required fields, a registration confirmation will display on the screen.



In addition, an email confirmation will be sent to the email address you provided on your registration form.



OBTAINING A PIN FOR YOUR UNION

Each reporting union must obtain a PIN to gain access to the EFS

- A PIN is a Private Identification Number assigned to a union, and known ONLY by those who need to access the union's information through EFS.
- A union should select one representative to obtain the unique PIN.
- Only one PIN will be assigned to each filing union.
- The union representative assigned to obtain the PIN will then distribute this PIN to any individuals who prepare, review, or sign the LM forms.
- The union will need to obtain a new PIN every year to maintain authorized access to its LM forms.
- There is no charge associated with obtaining a PIN.

OBTAINING A PIN FOR YOUR UNION

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Electronic Forms System

OLMS Help

**Welcome to the Office of Labor Management Standards
Electronic Forms System(EFS)**
Click [here](#) for a brief tutorial of the system

Registration:

Register for an EFS User account and password - [Click here.](#)

Obtain a [Union Pin](#) - [Click here.](#)

If you wish to edit your account information - [Click here.](#)

Sign in:

User ID

User Password

File Number -

Union PIN

[Forgot your password?](#) [Forgot your User ID?](#)

Left-click on the “Click here” hyperlink to continue to the Union Registration page.

OBTAINING A PIN FOR YOUR UNION

The screenshot shows the Electronic Forms System (EFS) interface. At the top, there is a red header with the United States Department of Labor logo and navigation links. Below the header, the page title is "Electronic Forms System" and the breadcrumb is "DOL Home > EFS". The main content area is titled "Obtain a Union PIN" and contains a form with the following fields:

- User ID:
- User Password:
- File Number: -

There are "Cancel" and "Submit" buttons at the bottom of the form. A "Logout" link is located in the top right corner of the form area. The footer contains links for "Frequently Asked Questions", "Freedom of Information Act", "Privacy & Security Statement", "Disclaimers", "Customer Survey", and "Important Web Site Notices".

- Enter your User ID from the User Registration Process.
- Enter your User Password.
- Enter the File Number of your labor organization.

IMPORTANT!

**ONLY ONE REPRESENTATIVE FROM THE
UNION WILL OBTAIN THE PIN**

OBTAINING A PIN FOR YOUR UNION

Electronic Forms System

[Logout](#)

Union PIN Registration


User ID WJONES
File Number **123-456**
Union Name **FACTORY WORKERS**

Please verify that the Union address is correct

PO BOX 5426
WASHINGTON,DC 20210

Note: If the above address is not correct, please telephone OLMS at (202)693-0124 and enter an updated address (in the following fields) to send a letter confirming the Union PIN registration.

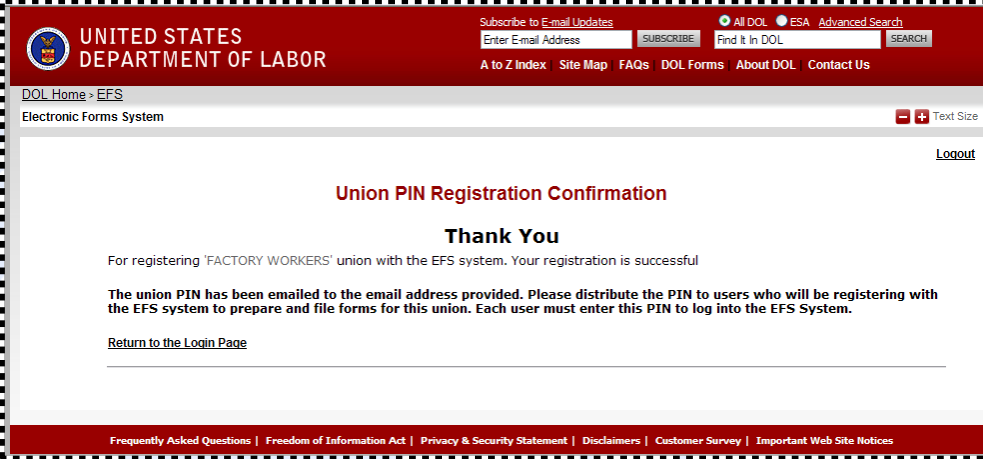
Address to send the Union PIN registration letter

P.O.Box
Number & Street
City
State 
Zip Code + 4

Please visit the [Department of Labor Privacy and Security Statement](#) page linked below.

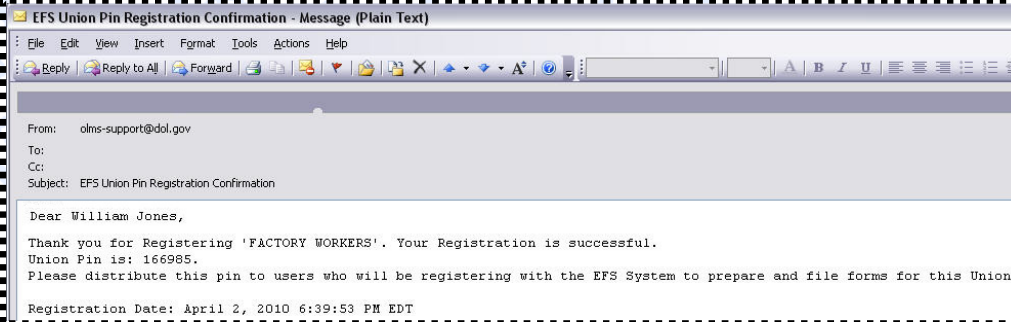
OBTAINING A PIN FOR YOUR UNION

If you have successfully submitted your Union PIN Registration form, a **Union PIN Registration Confirmation** will display on the screen.

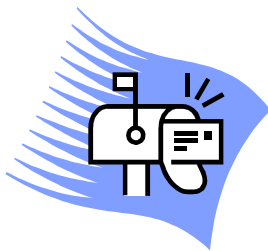


The screenshot shows the top navigation bar of the United States Department of Labor website. It includes the DOL logo, the text "UNITED STATES DEPARTMENT OF LABOR", and links for "Subscribe to Email Updates", "All DOL", "ESA", "Advanced Search", "Enter Email Address", "SUBSCRIBE", "Find It In DOL", and "SEARCH". Below the navigation bar, the breadcrumb trail reads "DOL Home > EFS" and "Electronic Forms System". The main content area features a "Logout" link in the top right corner. The central heading is "Union PIN Registration Confirmation" followed by "Thank You". The text below states: "For registering 'FACTORY WORKERS' union with the EFS system. Your registration is successful. The union PIN has been emailed to the email address provided. Please distribute the PIN to users who will be registering with the EFS system to prepare and file forms for this union. Each user must enter this PIN to log into the EFS System." A link "Return to the Login Page" is provided at the bottom of the main content area. The footer contains links for "Frequently Asked Questions", "Freedom of Information Act", "Privacy & Security Statement", "Disclaimers", "Customer Survey", and "Important Web Site Notices".

The PIN will be sent to the email address provided by the union representative.



The screenshot shows an email client interface with the title "EFS Union Pin Registration Confirmation - Message (Plain Text)". The email header includes: "From: olms-support@dol.gov", "To:", "Cc:", and "Subject: EFS Union Pin Registration Confirmation". The body of the email reads: "Dear William Jones, Thank you for Registering 'FACTORY WORKERS'. Your Registration is successful. Union Pin is: 166985. Please distribute this pin to users who will be registering with the EFS System to prepare and file forms for this Union. Registration Date: April 2, 2010 6:39:53 PM EDT".



In addition, a letter will be mailed to the address(es) on record for the union notifying the union officials of any activities relating to obtaining or updating a PIN.

This is another security measure to prevent unauthorized access to the forms.

Accessing the System

Select one of the options displayed on the screen.

(Please note that the only forms that you can amend in EFS are ones that were filed using EFS.)

What would you like to do?

- Continue to work on forms in progress
- Start a new form
- Amend an already submitted form

New Form

The Electronic Forms System customizes the LM report with your Union's information.

Fiscal Year Selected

Form Selected

Period Covered

Begin Date

End Date

Select LM-4
from the
dropdown

**Note: You must
change the "period
covered" dates before
obtaining the form!**

Accessing the System

Log into EFS using your user ID and password and the filing union's six-digit file number and unique union PIN.

(Please see the tutorial on how to register if you do not have a user ID or a union PIN.)

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Electronic Forms System Text Size

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User Password

File Number -

Union PIN

[Forgot your password?](#) [Forgot your User ID?](#)

Frequently Asked Questions | Freedom of Information Act | Privacy & Security Statement | Disclaimers | Customer Survey | Important Web Site Notices

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What would you like to do?

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New Form

The Electronic Forms System customizes the LM report with your Union's information.

Fiscal Year Selected

Form Selected

Period Covered

Begin Date

End Date

Select LM-4
from the
dropdown

**Note: You must
change the "period
covered" dates before
obtaining the form!**

LM-4 Page 1

The EFS form looks similar to the old Adobe form. Your union information is pre-filled.

<p>PAGE 1</p> <p>PAGE 2</p> <p>ADDNL INFO</p> <p>VALIDATION SUMMARY</p>	<p>Save Validate Submit Help Print</p>
<p>FORM LM-4 LABOR ORGANIZATION ANNUAL REPORT</p> <p>FOR USE ONLY BY LABOR ORGANIZATIONS WITH LESS THAN \$10,000 IN TOTAL ANNUAL RECEIPTS</p>	
<p>U.S. Department of Labor Office of Labor-Management Standards Washington, DC 20210</p>	
<p>Form Approved Office of Management and Budget No. 1245-0003 Expires: 10-31-2013</p>	
<p>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.</p>	
<p>READ THE INSTRUCTIONS CAREFULLY BEFORE PREPARING THIS REPORT.</p>	
<p>For Official Use Only</p> <p>E</p>	<p>1. FILE NUMBER 544446</p>
<p>2. PERIOD COVERED MO DAY YEAR From 01/01/2011 Through 12/31/2011</p>	
<p>3. (a) AMENDED - If this is an amended report, check here: <input type="checkbox"/> (b) TERMINAL - If your organization ceased to exist and this is its terminal report, see section XII of the instructions and check here: <input type="checkbox"/></p>	
<p>4. AFFILIATION OR ORGANIZATION NAME FACTORY WORKERS</p>	
<p>5. DESIGNATION (Local, Lodge, etc.)</p>	
<p>6. DESIGNATION NUMBER</p>	
<p>7. UNIT NAME (if any) PITTSBURGH REGION</p>	
<p>8. MAILING ADDRESS (Type in capital letters)</p> <p>First Name: JOHN Last Name: SMITH</p> <p>P.O. Box - Building and Room Number (if any): ROOM 1A</p> <p>Number and Street: 1234 MAIN STREET</p> <p>City: PITTSBURGH</p> <p>State: PA ZIP Code + 4: 543211234</p>	
<p>Each of the undersigned, duly authorized officers of the above labor organization, declares, under penalty of perjury and other 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.)</p>	
<p>20. SIGNED: _____ PRESIDENT 21. SIGNED: _____ TREASURER</p> <p>(If other title, see instructions) (If other title, see instructions)</p>	
<p>Date: _____ Telephone Number: _____ Date: _____ Telephone Number: _____</p>	

Navigation

You can easily move through the form by using the navigation links to the left to go directly to a page or by scrolling through pages using the arrows at the top.

<p>PAGE 1</p> <p>PAGE 2</p> <p>ADDNL INFO</p> <p>VALIDATION SUMMARY</p>	<p>Save Validate Submit Help Print</p>
<p>FORM LM-4 LABOR ORGANIZATION ANNUAL REPORT</p> <p>FOR USE ONLY BY LABOR ORGANIZATIONS WITH LESS THAN \$10,000 IN TOTAL ANNUAL RECEIPTS</p>	
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<p>For Official Use Only E</p>	<p>1. FILE NUMBER 544446</p>
<p>2. PERIOD COVERED MO DAY YEAR From 01/01/2011 Through 12/31/2011</p>	
<p>3. (a) AMENDED - If this is an amended report, check here: <input type="checkbox"/> (b) TERMINAL - If your organization ceased to exist and this is its terminal report, see section XII of the instructions and check here: <input type="checkbox"/></p>	
<p>4. AFFILIATION OR ORGANIZATION NAME FACTORY WORKERS</p>	
<p>5. DESIGNATION (Local, Lodge, etc.) PITTSBURGH REGION</p>	
<p>6. DESIGNATION NUMBER</p>	
<p>8. MAILING ADDRESS (Type in capital letters)</p> <p>First Name: JOHN Last Name: SMITH</p> <p>P.O. Box - Building and Room Number (if any): ROOM 1A</p> <p>Number and Street: 1234 MAIN STREET</p> <p>City: PITTSBURGH</p> <p>State: PA ZIP Code + 4: 54321234</p>	
<p>Each of the undersigned, duly authorized officers of the above labor organization, declares, under penalty of perjury and other 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.)</p>	
<p>20. SIGNED: _____ PRESIDENT _____ 21. SIGNED: _____ TREASURER _____ (If other title, see instructions) (If other title, see instructions)</p>	
<p>Date: _____ Telephone Number: _____ Date: _____ Telephone Number: _____</p>	

Getting Help Within the Form

The form has several built-in help functions.

Mouse-over text that displays information on what to report or how to enter data into a field is available on many items.

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

Enter the number of members in the labor 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.

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

Please be sure to:

- Enter your union's 6-digit
- Report a time period of
- Have your union's pres

Enter the total amount of all payments to officers and employees made by the labor 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 labor organization as well as disbursements which were essentially for the personal benefit of the officer or employee.

Getting Help Within the Form

Click the Help link at the top of each page to open the form instructions for the current page in a new window.



The screenshot shows the top portion of the Form LM-4 instructions page. At the top, there are navigation links: [Save](#), [Validate](#), [Help](#) (circled in red with a dashed arrow pointing to it), and [Print](#). Below these links, the text reads "COMPLETE ITEMS 9 THROUGH 18" and "Enter Amounts in Dollars Only - Do Not Enter Cents". On the right side, the file number "FILE NUMBER: 544-446" is displayed. The main content area is titled "Office of Labor-Management Standards (OLMS)" and contains instructions for items 9 through 18. A sidebar on the left lists various navigation options: Compliance Assistance, Regulatory Library, News Room, About OLMS, and Contact Us. The top of the page features the United States Department of Labor logo and a subscription form for email updates.

PAGE 1
PAGE 2
ADDNL INFO
VALIDATION SUMMARY

[Save](#) [Validate](#) [Help](#) [Print](#)

COMPLETE ITEMS 9 THROUGH 18

Enter Amounts in Dollars Only - Do Not Enter Cents

FILE NUMBER: 544-446

9. During the reporting period did the labor organization's constitution and bylaws change during the reporting period? (If the labor organization answered "Yes" to Item 9 because the labor 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 constitution and bylaws to:

14. Enter the total value of your organization's assets at the end of the reporting period.

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INFORMATION ITEMS 9-18

Answer Items 9 through 18 as instructed. Select 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.

9. CHANGES IN CONSTITUTION AND BYLAWS OR PRACTICES/PROCEDURES — If the labor organization answered "Yes" to Item 9 because the labor 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 constitution and bylaws to:

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

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

If Item 9 is answered "Yes" because the labor organization changed any of the practices/procedures listed below during the reporting period and the practices/ procedures are not described in the labor organization's constitution and bylaws, the labor 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;

Menu Items

The menu across the top of the form contains the following items:

Save

Add Attachments



Validate

Help

Print

1. **Save and Calculate** – Click this item to save the current page and perform all mathematical calculations. Calculations are not performed automatically because doing so would dramatically reduce the speed of the application. It is important to click Save and Calculate at regular intervals when entering data in the form. If you do not save, you will be prompted to do so when you navigate away from a page.
2. **Add Attachments** – Click this item to open the Add Attachments page where supplemental information (like a constitution and bylaws or audit report) can be uploaded. The uploaded data can then be submitted with the form.
3. **Validate** – Click this item to run the form validation routine, which checks the form for missing data. Each page has its own set of validations, and you will be prompted to fix these items before leaving the page if you wish. All validations must be satisfied before the form can be signed and submitted.
4. **Help** – Click this item to take you to page-specific instructions for completing the form. You can navigate through the instructions page by page, or download/print a copy from our website at: http://www.dol.gov/olms/regs/compliance/LM-4_Instructions_AR.pdf
5. **Print** – Click this item to open a facsimile of the electronically completed LM-4. You can save a copy of this report to your computer and share it with others who may need to prepare or review the document. You may save a copy of the final signed report prior to submission.

Additional Information

Throughout the form, there are places where the system will prompt you to enter additional information. You have the option to check a box to enter the information later, and the Additional Information prompt will remain red to remind you that you will need to enter additional information before submitting your report.

To go back and enter the additional information, double-click on the **AI** icon and enter the additional information. The prompt will turn green, indicating that additional information has been entered.

The Additional Information Summary can be found in the left navigation pane.

Additional Information - RateChange

If "Yes" to item 10, you must report the new rates of dues and fees in Additional Information. Please refer to the Item 10 instructions for specific reporting requirements.

Please Note: Once you begin entering information, you must press SAVE or ENTER LATER button to exit the Additional Information data entry process.

New rate is 1.45% + .02 p/hr per month

Yes **AI** ← Additional Information entered
No

Yes ***AI** ← Additional Information needs to
No be entered

Additional Information

Click the "ADDNL INFO" link in the left navigation pane to display the Additional Information Summary page.

To enter any other additional information required by the form instructions, click the General Information link.

To go to the item, click on the blue additional information text.

The image shows a screenshot of a web application interface. On the left, there is a vertical navigation pane with four items: "PAGE 1", "PAGE 2", "ADDNL INFO", and "VALIDATION SUMMARY". The "ADDNL INFO" item is highlighted with a yellow background and a dashed black border. A dashed arrow points from this item to the main content area. In the main content area, there is a horizontal menu with several options: "Save", "Add Attachments", "Validate", "General Information", "Help", and "Print". The "General Information" option is highlighted with a yellow background and a dashed black border. A dashed arrow points from a text box above to this option. Below the menu, the page title is "19. ADDITIONAL INFORMATION SUMMARY" and the file number is "FILE NUMBER:544-446". The main content area contains a form with a header "1Question 10: New rate is 1.45% + .02 p/hr per month" and several empty rows for input. A dashed arrow points from a text box below to the first row of the form.

Attachments: Attaching Supplemental Data

As with the previous forms system, EFS allows you to attach data, such as constitutions and bylaws, that may be required to be submitted with the report.

To begin the process of adding an attachment, click the Add Attachments link on the top menu bar.

[Add Attachments](#)

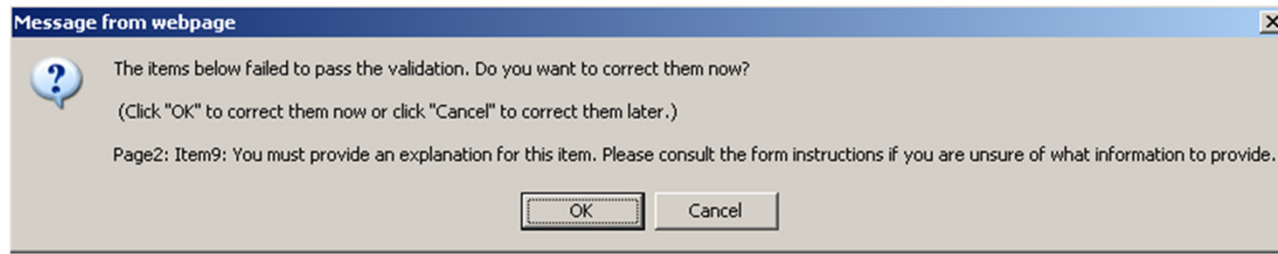
Note: While the system does not prevent them from being uploaded, certain file formats cannot be read by our system. The following file formats **can** be read:

- Adobe PDF
- Microsoft Word
- Microsoft Excel
- Rich Text Format
- HTML
- Standard Picture formats JPEG, BMP, GIF
- Text files

Validation

There are two types of validations built into the form to help ensure that the correct data is being entered into the form: Page Level Validations and Form Level Validations.

Page Level Validations occur before you navigate away from a page. A pop up message will alert you of items that must be corrected before the form can be signed and submitted.



If you click **OK** you can correct the item before leaving the page.

If you click **Cancel**, you can correct the item later. You will be prompted to make the correction during form validation.

Validation

Form Level Validations occur as a final check before the form can be submitted. You must click the [Validate](#) link on the top menu bar.

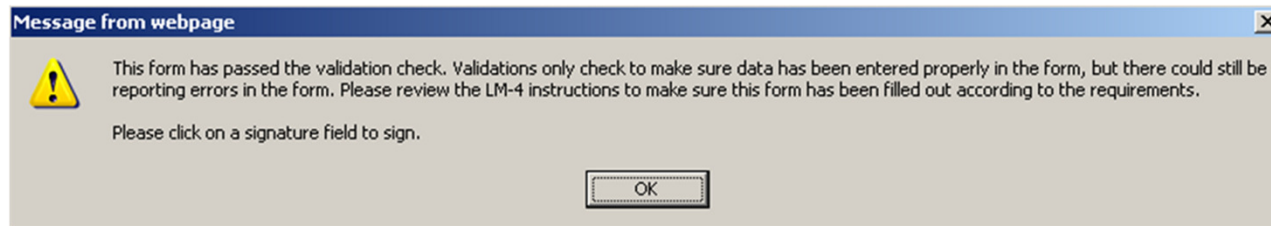
The screenshot shows a web application interface. On the left is a vertical navigation menu with the following items: PAGE 1, PAGE 2, ADDNL INFO, VALIDATION SUMMARY (highlighted in red), and another red item. The top navigation bar contains links for Save, Add Attachments, Validate, Help, and Print. On the right side of the top bar, the text 'FILE NUMBER:544-446' is displayed. The main content area is titled 'VALIDATION SUMMARY PAGE' and contains a list of validation items. The first item is: '1. Page2:Item 9: You must provide an explanation for this item. Please consult the form instructions if you are unsure of what information to provide.' Below this item are several empty horizontal lines for text entry.

The system will open the Validation Summary Page containing a list of items that must be corrected.

You can click on each item and be taken to the page where the item can be corrected. For more information on what should be provided for these items, consult the form instructions.

Signing the Form

Once all of the validation items have been corrected, the form is ready to be signed.



The signature blocks will turn red, indicating the form can be signed.

Each of the undersigned, duly authorized officers of the above labor organization, declares, under penalty of perjury and other 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:	Click Here to Sign	<input type="text" value="PRESIDENT"/>	21. SIGNED:	Click Here to Sign	<input type="text" value="TREASURER"/>		
		(If other title, see instructions)			(If other title, see instructions)		
Date:	<input type="text"/>	Telephone Number:	<input type="text"/>	Date:	<input type="text"/>	Telephone Number:	<input type="text"/>

Note: All officers who must sign the form must have established user accounts and must log into EFS with their account information to sign the form.

Signing the Form



You must re-enter your password to 'sign' the form. By doing so, you are legally attesting that you are the person identified by name in the signature block and a duly authorized officer of the union.

President's Signature	
By entering my name and password below, I attest that I am John Smith , a duly authorized officer of the above labor organization, and declare, under penalty of perjury and other applicable penalties of law, that all of the information submitted in this report (including the information contained in any attached documents) has been examined by me and is, to the best of my knowledge and belief, true, correct, and complete.	
First Name	<input type="text" value="John"/>
Middle Initial	<input type="text"/>
Last Name	<input type="text" value="Smith"/>
Date	<input type="text" value="04/05/2011"/>
Password	<input type="password" value="••••••••"/>
Phone Number	<input type="text" value="2025551212"/>
<input type="button" value="Sign"/> <input type="button" value="Cancel"/>	

Signing the Form

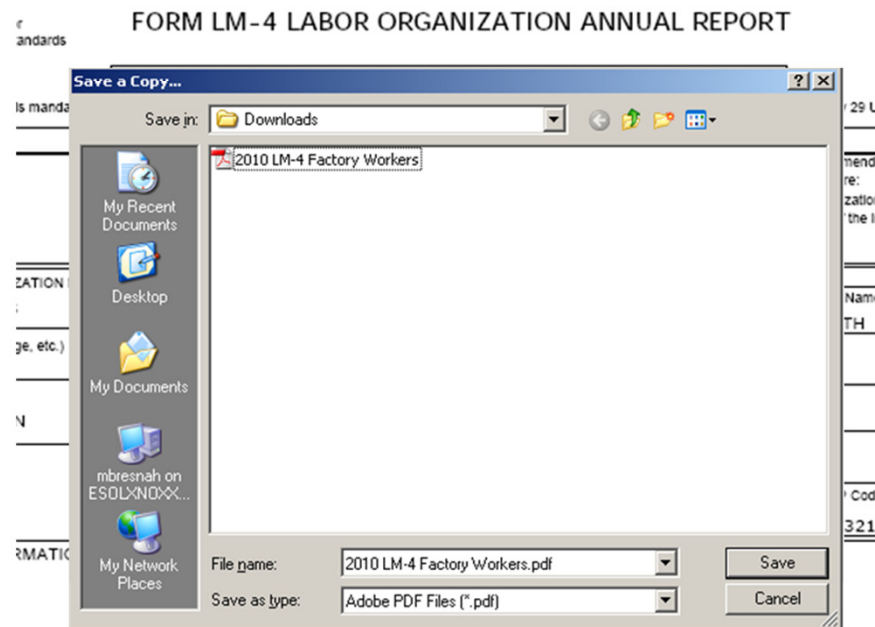
A minimum of two signatures are required to submit the report.

Each officer will have to log in separately to sign the form.

Once the report has been signed, if any changes are made to any fields on the form, the signatures will be removed and the form must be validated and signed again.

Save a Signed Copy

Click the Print item and click File → Save As to save a signed copy of the report as a PDF to your computer. Do this before submitting the report.



Note: You can obtain a copy of the submitted report from the Online Public Disclosure site. Please see the next section for information on this.

Submitting the Form

Once the signatures have been applied, the form can be submitted.

Click the Submit button from the top menu bar. Once the form has been processed (this may take a few minutes) a confirmation message will display:

[Logout](#)

Your LM-4 Form has been successfully accepted for processing.
Your confirmation number is: 544446-441258-20110405114851
Please make a note of this number for your records.

To view your submitted LM-4 report, visit the OLMS Online Public Disclosure Room
OLMS Online Public Disclosure Room link:
<http://www.dol.gov/olms/regs/compliance/rrlo/lmrda.htm>

You can print this message by going to File→ Print, or simply copy and paste the text from the page into an email or word processing document.

You should now be able to view your submitted report in the Online Public Disclosure Room, by using the link shown above.

Troubleshooting

During peak filing periods, you may experience a slowdown in saving and validating the report.

During these busy periods, you may see an error that looks like this:



The screenshot shows the top navigation bar of the United States Department of Labor website. It includes the DOL logo, the text "UNITED STATES DEPARTMENT OF LABOR", and links for "Subscribe to E-mail Updates", "All DOL", "ESA", and "Advanced Search". Below this is a search bar with the text "Enter Email Address" and a "SUBSCRIBE" button, and another search bar with the text "Find it in DOL" and a "SEARCH" button. A secondary navigation bar contains links for "A to Z Index", "Site Map", "FAQs", "DOL Forms", "About DOL", and "Contact Us". The main content area is titled "DOL Home > EFS" and "Electronic Forms System". It features a "Logout" link in the top right corner. The error message reads: "Error condition 1001 has occurred during the prefill processing. If this error continues to occur, please contact the OLMS Help Desk at 1-866-401-1109. Please select the Back link below to return to the schedule." Below the error message is a red "Back" link. The footer contains links for "Frequently Asked Questions", "Freedom of Information Act", "Privacy & Security Statement", "Disclaimers", "Customer Survey", and "Important Web Site Notices".

Please wait a few minutes and try again. However, if you continue to experience the problem, please contact our technical support desk. See the next page for information on how to get help.

Getting Help

**If you experience difficulty using EFS, please contact
OLMS Form Technical Support toll-free at:
1-866-401-1109**

This PowerPoint presentation and other information regarding EFS can be found on our website by accessing the following URL:

<http://www.dol.gov/olms/regs/compliance/efs/efsintro.htm>

If you have additional questions or comments please contact OLMS:

E-mail OLMS at olms-public@dol.gov

or contact your local OLMS District Office

If you experience difficulty with determining what to enter, please contact Assistant State Secretary Treasurer, Ellen Pulver.

Via email (best): ellen.pulver@nrlca.org

Via cell: (608) 617-4704