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# FORM AR21

Trade Union and Labour Relations (Consolidation) Act 1992

## ANNUAL RETURN FOR A TRADE UNION

Name of Trade Union:

NATIONAL UNION OF MINING WORKERS (LEICESTER BRANCH)

Year ended:

31 DECEMBER 2012

List no:

212 T

Head or Main Office:

MINERS OFFICE  
UNIT 12  
SPRING GARDEN CENTRE  
MANVILLE LANE  
COALVILLE  
LEICESTER  
LE 67 3DN

Website address (if available)

Has the address changed during the year to which the return relates?

Yes

No

(Click the appropriate box)

General Secretary:

MR. PETER SMITH

Telephone Number:

01530 332085

Contact name for queries regarding

CHOWFOOT AND COMPANY LIMITED

Telephone Number:

01459 556143

E-mail:

enquiries@chowfootandcompany.com

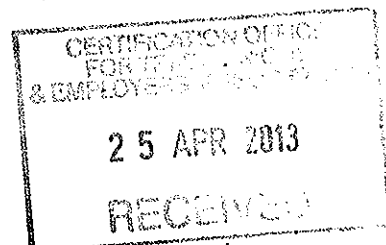
**PLEASE FOLLOW THE GUIDANCE NOTES IN THE COMPLETION OF THIS RETURN.**

Any difficulties or problems in the completion of this return should be directed to the Certification Officer as below or by telephone to: 020 7210 3734

The address to which returns and other documents should be sent are:

For Unions based in England and Wales:  
Certification Office for Trade Unions and Employers' Associations  
22<sup>nd</sup> Floor, Euston Tower, 286 Euston Road, London NW1 3JJ

For Unions based in Scotland:  
Certification Office for Trade Unions and Employers' Associations  
Melrose House, 69a George Street, Edinburgh EH2 2JG



(Revised February 2011)

# RETURN OF MEMBERS

(see notes 10 and 11)

NUMBER OF MEMBERS AT THE END OF THE YEAR					
	Great Britain	Northern Ireland	Irish Republic	Elsewhere Abroad (including Channel Islands)	TOTALS
MALE	95				95
FEMALE					
TOTAL	95				A 95

Number of members included in totals box 'A' above for whom no home or authorised address is held:

95
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Number of members at end of year contributing to the General Fund

## OFFICERS IN POST

(see note 12)

Please attach as an annexe to this form a complete list of all officers in post at the end of the year to which this form relates, with the title of each persons office.

## RETURN OF CHANGE OF OFFICERS

Please complete the following to record any changes of officers during the twelve months covered by this return.

Title of Office	Name of Officer ceasing to hold office	Name of Officer Appointed	Date
AREA VICE PRESIDENT	CAROL CLAMP	RUSS GUY	30 <sup>TH</sup> MARCH 12

State whether the union is:

a. A branch of another trade union?

Yes  No

If yes, state the name of that other union:

NATIONAL UNION OF MININGMEN

b. A federation of trade unions?

Yes  No

If yes, state the number of affiliated unions:

and names:

# GENERAL FUND

(see notes 13 to 18)

	£	£
<b>INCOME</b>		
From Members: Contributions and Subscriptions		6475
From Members: Other income from members (specify)		
<b>Total other income from members</b>		6475
<b>Total of all income from members</b>		
<b>Investment income (as at page 12)</b>		
<i>Increase in value of investments</i>		35289
<b>Other Income</b>		
Income from Federations and other bodies (as at page 4)		
Income from any other sources (as at page 4)		2543
<b>Total of other income (as at page 4)</b>		37832
		<b>44307</b>
	<b>TOTAL INCOME</b>	
<b>EXPENDITURE</b>		
Benefits to members (as at page 5)		2500
Administrative expenses (as at page 10)		59090
Federation and other bodies (specify)		
<b>Total expenditure Federation and other bodies</b>		61590
<b>Taxation</b>		1036
	<b>TOTAL EXPENDITURE</b>	62626
Surplus (deficit) for year		(18319)
Amount of general fund at beginning of year		54181
Amount of general fund at end of year		522862

# ANALYSIS OF INCOME FROM FEDERATION AND OTHER BODIES AND OTHER INCOME

(see notes 19 and 20)

DESCRIPTION	£	£
Federation and other bodies		
<b>TOTAL FEDERATION AND OTHER BODIES</b>		
Other income		
Bank interest received		2543
Increase in value of investments		36289
<b>TOTAL OTHER INCOME</b>		37832
<b>TOTAL OF ALL OTHER INCOME</b>		37832

# ANALYSIS OF BENEFIT EXPENDITURE SHOWN AT GENERAL FUND

(see notes 21 to 23)

	£		£
Representation – Employment Related Issues		<b>brought forward</b>	
		Education and Training services	
Representation – Non Employment Related Issues		Negotiated Discount Services	
Communications		Salary Costs	
Advisory Services		Other Benefits and Grants (specify)	
Dispute Benefits		MATERNITY	100
		DISTRESS	2100
Other Cash Payments			
<b>carried forward</b>		<b>Total (should agree with figure in General Fund)</b>	<b>2500</b>

(See notes 24 and 25)

FUND 2		Fund Account	
Name: PROPAGANDA FUND		£	£
<b>Income</b>			
From members			365
Investment income (as at page 12)			
Other income (specify)			
	<b>Total other income as specified</b>		365
	<b>Total Income</b>		365
<b>Expenditure</b>			
Benefits to members			
Administrative expenses and other expenditure (as at page 10)	200		200
	<b>Total Expenditure</b>		200
	<b>Surplus (Deficit) for the year</b>		165
	<b>Amount of fund at beginning of year</b>		850
	<b>Amount of fund at the end of year (as Balance Sheet)</b>		1015
	<b>Number of members contributing at end of year</b>		95

FUND 3		Fund Account	
Name:		£	£
<b>Income</b>			
From members			
Investment income (as at page 12)			
Other income (specify)			
	<b>Total other income as specified</b>		
	<b>Total Income</b>		
<b>Expenditure</b>			
Benefits to members			
Administrative expenses and other expenditure (as at page 10)			
	<b>Total Expenditure</b>		
	<b>Surplus (Deficit) for the year</b>		
	<b>Amount of fund at beginning of year</b>		
	<b>Amount of fund at the end of year (as Balance Sheet)</b>		
	<b>Number of members contributing at end of year</b>		

(See notes 24 and 25)

<b>FUND 4</b>		<b>Fund Account</b>	
<b>Name:</b>		<b>£</b>	<b>£</b>
<b>Income</b>	From members		
	Investment income (as at page 12)		
	Other income (specify)		
	<b>Total other income as specified</b>		
	<b>Total Income</b>		
<b>Expenditure</b>	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		
	<b>Total Expenditure</b>		
	<b>Surplus (Deficit) for the year</b>		
	<b>Amount of fund at beginning of year</b>		
	<b>Amount of fund at the end of year (as Balance Sheet)</b>		
	<b>Number of members contributing at end of year</b>		

<b>FUND 5</b>		<b>Fund Account</b>	
<b>Name:</b>		<b>£</b>	<b>£</b>
<b>Income</b>	From members		
	Investment income (as at page 12)		
	Other income (specify)		
	<b>Total other income as specified</b>		
	<b>Total Income</b>		
<b>Expenditure</b>	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		
	<b>Total Expenditure</b>		
	<b>Surplus (Deficit) for the year</b>		
	<b>Amount of fund at beginning of year</b>		
	<b>Amount of fund at the end of year (as Balance Sheet)</b>		
	<b>Number of members contributing at end of year</b>		

(See notes 24 and 25)

<b>FUND 6</b>		<b>Fund Account</b>	
<b>Name:</b>		<b>£</b>	<b>£</b>
<b>Income</b>			
From members			
Investment income (as at page 12)			
Other income (specify)			
<b>Total other income as specified</b>			
<b>Total Income</b>			
<b>Expenditure</b>			
Benefits to members			
Administrative expenses and other expenditure (as at page 10)			
<b>Total Expenditure</b>			
<b>Surplus (Deficit) for the year</b>			
<b>Amount of fund at beginning of year</b>			
<b>Amount of fund at the end of year (as Balance Sheet)</b>			
<b>Number of members contributing at end of year</b>			

<b>FUND 7</b>		<b>Fund Account</b>	
<b>Name:</b>		<b>£</b>	<b>£</b>
<b>Income</b>			
From members			
Investment income (as at page 12)			
Other income (specify)			
<b>Total other income as specified</b>			
<b>Total Income</b>			
<b>Expenditure</b>			
Benefits to members			
Administrative expenses and other expenditure (as at page 10)			
<b>Total Expenditure</b>			
<b>Surplus (Deficit) for the year</b>			
<b>Amount of fund at beginning of year</b>			
<b>Amount of fund at the end of year (as Balance Sheet)</b>			
<b>Number of members contributing at end of year</b>			



(see notes 26 to 31)

POLITICAL FUND ACCOUNT 1		To be completed by trade unions which maintain their own fund		
		£	£	
<b>Income</b>	Members contributions and levies			
	Investment income (as at page 12)			
	Other income (specify)			
		Total other income as specified		
		Total income		
<b>Expenditure</b>	Expenditure under section 82 of the Trade Union and Labour Relations (Consolidation) Act 1992 (specify)			
	Administration expenses in connection with political objects (specify)			
	Non-political expenditure			
			Total expenditure	
			Surplus (deficit) for year	
			Amount of political fund at beginning of year	
			Amount of political fund at the end of year (as Balance Sheet)	
			Number of members at end of year contributing to the political fund	
			Number of members at end of the year not contributing to the political fund	
			Number of members at end of year who have completed an exemption notice and do not therefore contribute to the political fund	

POLITICAL FUND ACCOUNT 2		To be completed by trade unions which act as components of a central trade union		
		£	£	
<b>Income</b>	Contributions and levies collected from members on behalf of central political fund			
	Funds received back from central political fund			
	Other income (specify)			
		Total other income as specified		
		Total income		
<b>Expenditure</b>	Expenditure under section 82 of the Trade Union and Labour Relations (Consolidation) Act 1992 (specify)			
	Administration expenses in connection with political objects (specify)			
	Non-political expenditure			
			Total expenditure	
			Surplus (deficit) for year	
			Amount held on behalf of trade union political fund at beginning of year	
			Amount remitted to central political fund	
			Amount held on behalf of central political fund at end of year	
			Number of members at end of year contributing to the political fund	
			Number of members at end of the year not contributing to the political fund	
		Number of members at end of year who have completed an exemption notice and do not therefore contribute to the political fund		

# ANALYSIS OF ADMINISTRATIVE EXPENSES AND OTHER OUTGOINGS EXCLUDING AMOUNTS CHARGED TO POLITICAL FUND ACCOUNTS

(see notes 32 and 33)

	£
<b>Administrative Expenses</b>	
Remuneration and expenses of staff	44,449
Salaries and Wages included in above	
<i>Grants received in respect of salary</i>	(10,000)
Auditors' fees	3120
Legal and Professional fees	4262
Occupancy costs	3349
Stationery, printing, postage, telephone, etc.	2735
Expenses of Executive Committee (Head Office)	1278
Expenses of conferences	4723
Other administrative expenses (specify)	
<i>MANAGE OFFICE AND RECOMMENDING</i>	170
<i>AFFILIATION FEES</i>	35
<i>BONDS</i>	98
<i>WATER SIDE HOUSE</i>	282
<i>DIARIES AND BOOKS</i>	1335
<i>PLANS</i>	232
<i>PHONE EXPENSES</i>	24
<b>Other Outgoings</b>	
Interest payable:	
Bank loans (including overdrafts)	
Mortgages	
Other loans	
Depreciation	190
Taxation	
Outgoings on land and buildings (specify)	
Other outgoings (specify)	
<i>GRANTS AND DONATIONS</i>	2818
<b>Total</b>	<b>59,090</b>
Charged to:	
General Fund (Page 3)	59,090
Fund (Account )	
Fund (Account )	
Fund (Account )	
Fund (Account )	
<b>Total</b>	<b>59,090</b>



# ANALYSIS OF INVESTMENT INCOME

(see notes 45 and 46)

	Political Fund £		Other Fund(s) £
Rent from land and buildings			
Dividends (gross) from:			
Equities (e.g. shares)			
Interest (gross) from:			
Government securities (Gilts)			
Mortgages			
Local Authority Bonds			
Bank and Building Societies			2643
Other investment income (specify)			
<i>Increase in value of investments</i>			35289
			37832
		Total investment income	37832
		Credited to:	
		General Fund (Page 3)	37832
		Fund (Account )	
		Fund (Account )	
		Fund (Account )	
		Fund (Account )	
		Fund (Account )	
		Political Fund	
		Total Investment Income	37832

# BALANCE SHEET as at 31 DECEMBER 2012

(see notes 47 to 50)

Previous Year		£	£
1220	<b>Fixed Assets</b> (at page 14)		
	<b>Investments</b> (as per analysis on page 15)		1030
463148	Quoted (Market value £ )		437535
	Unquoted		
	<b>Total Investments</b>		438565
	<b>Other Assets</b>		
5936	Loans to other trade unions		
76498	Sundry debtors	4207	
	Cash at bank and in hand	87310	
	Income tax to be recovered		
	Stocks of goods		
	Others (specify)		
	<b>Total of other assets</b>		91517
546802	<b>TOTAL ASSETS</b>		530082
54181	General Fund (Account )		522862
856	POLITICAL FUND (Account )		1011
	Fund (Account )		
	Superannuation Fund (Account )		
	Political Fund (Account )		
	Revaluation Reserve		
	<b>LIABILITIES</b>		
	Amount held on behalf of central trade union political fund		
	Loans: From other trade unions		
	Loans: Other		
	Bank overdraft		
	Tax payable		
4765	Sundry creditors	6209	
	Accrued expenses		
	Provisions		
	Other liabilities		
	<b>TOTAL LIABILITIES</b>		6209
546802	<b>TOTAL ASSETS</b>		530082

# FIXED ASSETS ACCOUNT

(see notes 51 to 55)

	Land and Buildings		Furniture and Equipment £	Motor Vehicles £	Not used for union business £	Total £
	Freehold	Leasehold				
<b>Cost or Valuation</b>						
At start of year			6496			6496
Additions						
Disposals						
Revaluation/Transfer s						
At end of year			6496			6496
<b>Accumulated Depreciation</b>						
At start of year			5276			5276
Charges for year			190			190
Disposals						
Revaluation/Transfer s						
At end of year			5466			5466
<b>Net book value at end of year</b>			1030			1030
<b>Net book value at end of previous year</b>			1220			1220

# ANALYSIS OF INVESTMENTS

(see notes 56 and 57)

QUOTED	All Funds Except Political Funds £	Political Fund  £
<p>Equities (e.g. Shares) <i>STANDARD LIFE PLC</i></p>	<p><i>87335</i></p>	
<p>Government Securities (Gilts)</p>		
<p>Other quoted securities (to be specified) <i>COOPERATIVE BANK - FIXED RATE DEPOSIT</i></p>	<p><i>360000</i></p>	
<p>TOTAL QUOTED (as Balance Sheet)</p>	<p><i>123335</i></p>	
<p>Market Value of Quoted Investment</p>		
<p>UNQUOTED</p>		
<p>Equities</p>		
<p>Government Securities (Gilts)</p>		
<p>Mortgages</p>		
<p>Bank and Building Societies</p>		
<p>Other unquoted investments (to be specified)</p>		
<p>TOTAL UNQUOTED (as Balance Sheet)</p>		
<p>Market Value of Unquoted Investments</p>		

# ANALYSIS OF INVESTMENT INCOME (CONTROLLING INTERESTS)

(see notes 58 and 59)

<b>Does the union, or any constituent part of the union, have a controlling interest in any limited company?</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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If YES name the relevant companies:

COMPANY NAME	COMPANY REGISTRATION NUMBER (if not registered in England & Wales, state where registered)

<b>Are the shares which are controlled by the union registered in the names of the union's trustees?</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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If NO, state the names of the persons in whom the shares controlled by the union are registered.

COMPANY NAME	NAMES OF SHAREHOLDERS



# SUMMARY SHEET

(see notes 60 to 71)

	All funds except Political Funds £	Political Funds £	Total Funds £
<b>INCOME</b>			
From Members	6,830		6,830
From Investments	35,289		35,289
Other Income (including increases by revaluation of assets)	2,543		2,543
<b>Total Income</b>	44,662		44,662
<b>EXPENDITURE</b> (including decreases by revaluation of			
<b>Total Expenditure</b>	62,826		62,826
 <b>Funds at beginning of year</b> (including reserves)	 542,037		 542,037
<b>Funds at end of year</b> (including reserves)	523,873		523,873
 <b>ASSETS</b>			
Fixed Assets			1,030
Investment Assets			437,535
Other Assets			91,517
		<b>Total Assets</b>	530,082
<b>LIABILITIES</b>		<b>Total Liabilities</b>	0
<b>NET ASSETS (Total Assets less Total Liabilities)</b>			6,209

# NOTES TO THE ACCOUNTS

(see notes 72 and 73)

All notes to the accounts must be entered on or attached to this part of the return.

A large, empty rectangular box with a black border, intended for the user to enter or attach notes to the accounts. The box occupies most of the page below the instructions.

# ACCOUNTING POLICIES

(see notes 74 and 75)

## SIGNATURES TO THE ANNUAL RETURN

(see notes 76 and 77)

including the accounts and balance sheet contained in the return.

Secretary's Signature: <u>P. Smith</u> Name: <u>PETER SMITH</u> Date: <u>20<sup>th</sup> APRIL 2013</u>	Chairman's Signature: <u>[Signature]</u> (or other official whose position should be stated) Name: <u>IAN WEST</u> Date: <u>23<sup>rd</sup> APRIL 2013</u>
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## CHECK LIST

(see notes 78 to 80)

(please tick as appropriate)

IS THE RETURN OF OFFICERS ATTACHED? (see Page 2 and Note 12)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE RETURN OF CHANGE OF OFFICERS BEEN COMPLETED? (see Page 2 and Note 12)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE RETURN BEEN SIGNED? (see Pages 19 and 21 and Notes 76 and 77)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE AUDITOR'S REPORT BEEN COMPLETED? (see Pages 20 and 21 and Notes 2 and 77)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
IS A RULE BOOK ENCLOSED? (see Notes 8 and 78)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
A MEMBER'S STATEMENT IS: (see Note 80)	ENCLOSED	<input checked="" type="checkbox"/>	TO FOLLOW	<input type="checkbox"/>
HAS THE SUMMARY SHEET BEEN COMPLETED (see Page 17 and Notes 7 and 59)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>

# NATIONAL UNION OF MINeworkERS

## [LEICESTER AREA]

### STATEMENT TO MEMBERS ISSUED IN CONNECTION WITH THE UNION'S ANNUAL RETURN FOR PERIOD ENDED 31 DECEMBER 2012 AS REQUIRED BY SECTION 32A OF TRADE UNION AND LABOUR RELATIONS (CONSOLIDATION) ACT 1992

#### **Income and Expenditure**

The total income of the union for the period was £44,307. This amount included payments of £6,475 in respect of membership of the union. The union's total expenditure for the period was £62,626.

#### Political Fund

In respect of the union's political fund, its total income was £355 and total expenditure was £200.

#### **Salary paid to and other benefits provided to the General Secretary,**

The General Secretary of the union was paid £36,135 in respect of salary and £nil. in respect of benefits.

#### **Irregularity statement**

A member who is concerned that some irregularity may be occurring, or have occurred, in the conduct of the financial affairs of the union may take steps with a view to investigating further, obtaining clarification and, if necessary, securing regularisation of that conduct.

The member may raise any such concern with such one or more of the following as it seems appropriate to raise it with: the officials of the union, the trustees of the property of the union, the auditor or auditors of the union, the Certification Officer (who is an independent officer appointed by the Secretary of State) and the police.

Where a member believes that the financial affairs of the union have been or are being conducted in breach of the law or in breach of the rules of the union and contemplates bringing civil proceedings against the union or responsible officials or trustees, he should consider obtaining independent legal advice.

**AUDITORS' REPORT TO THE MEMBERS OF**  
**NATIONAL UNION OF MINeworkERS**  
**[LEICESTER AREA]**

We have audited the financial statements of the National Union of Mineworkers [Leicester Area] for the year ended 31 December 2012 as set out on pages 3 to 11 in accordance with approved auditing standards.

This report is made solely to the Union's members, as a body, in accordance with Sections 495 and 496 of the Companies Act 2006. Our audit work has been undertaken so that we might state to the company's members those matters we are required to state to them in an auditors' report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the company and the company's members as a body, for our audit work, for this report, or for the opinions we have formed.

**Respective Responsibilities of Directors and Auditors**

As described in the Union's rulebook, the Union's officers are responsible for the preparation of the financial statements. It is our responsibility to form an independent opinion, based on our audit, on these financial statements and to report our opinion to you.

**Basis of Opinion**

We conducted our examination in accordance with the appropriate standards for reporting accountants issued by the Auditing Practices Board. This examination consisted of comparing the financial statements with the accounting records kept by the Union and making such limited enquiries of the Union's officers as we considered necessary for the purposes of this report. The examination was not an audit conducted in accordance with Auditing Standards. Accordingly, we do not express an audit opinion on the financial statements. Therefore, our examination does not provide any assurance that the accounting records and the financial statements are free from material misstatement.

**Opinion**

In our opinion, the financial statements give a true and fair view of the state of the Union's affairs as at 31 December 2011 and of its transactions and source and application of funds for the year ended 31 December 2012 and have been prepared in accordance with the requirements of the Trade Union and Labour Relations [Consolidation] Act 1992.

  
Registered Auditor

5 February 2013

Chartered Accountants

# AUDITOR'S REPORT

(see notes 81 to 86)

made in accordance with section 36 of the Trade Union and Labour Relations (Consolidation) Act 1992.

1. In the opinion of the auditors or auditor do the accounts they have audited and which are contained in this return give a true and fair view of the matters to which they relate?  
(See section 36(1) and (2) of the 1992 Act and notes 83 and 84)

YES/NO

If "No" please explain below.

2. Have the auditors or auditor carried out such investigations in the preparation of their audit report as will enable them to form an opinion as to:
- (a) whether the trade union has kept proper accounting records in accordance with section 28 of the 1992 Act;
  - (b) whether it has maintained a satisfactory system of control over its transactions in accordance with the requirements of that section; and
  - (c) whether the accounts to which the report relates agree with the accounting records?  
(See section 36(3) of the 1992 Act, set out in note 83)

YES/NO

If "No" please explain below.

3. Are the auditors or auditor of the opinion that the union has complied with section 28 of the 1992 Act and has:
- (a) kept proper accounting records with respect to its transactions and its assets and liabilities; and
  - (b) established and maintained a satisfactory system of control of its accounting records, its cash holding and all its receipts and remittances.  
(See section 36(4) of the 1992 Act set out in rule 83)

YES/NO

If "No" please explain below.

4. Please set out a copy of the report made by the auditors or auditor to the union on the accounts to which this AR21 relates. The report is to set out the basis upon which the audit has been conducted and/or such other statement as the auditor considers appropriate. Such a statement may be provided as a separate document.  
(See note 85)

# AUDITOR'S REPORT (continued)

Signature(s) of auditor or auditors:	<i>Amfub and Gynny Lind</i>	
Name(s):	A. Crawford	
Profession(s) or Calling(s):	FCA	
Address(es):	LOWSDALE HOUSE HIGH STREET LUTTERWORTH LEICESTER LE 19 9NN	
Date:	21/03/2013	
Contact name and telephone number:	01455 556143	

N.B. When notes to the accounts are referred to in the auditor's report a copy of those notes must accompany this return.