



**The City of New York**  
**BUSINESS INTEGRITY COMMISSION**  
100 Church Street · 20th Floor  
New York · New York 10007  
Tel. (212) 437-0500 · Fax (646) 500-7096

## **INSTRUCTIONS**

### **LABOR UNION OR LABOR ORGANIZATION REGISTRATION APPLICATION (Class 3 Registration Application)**

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**PLEASE READ THESE INSTRUCTIONS AND ALL QUESTIONS CAREFULLY  
AS THE APPLICATION HAS RECENTLY BEEN REVISED**

Definitions of terms used in the application are set forth in Title 16-A, Chapter 1 of the Administrative Code of the City of New York (“Code”) and in Title 17, Chapter 1 of the Rules of the City of New York. Before completing this application, the applicant and all others required to execute documents hereunder should read and familiarize themselves with Title 16-A of the Code and the related rules. These instructions are not a substitute for such a complete review and may not be relied on in lieu of the law and rules. Copies of applicable laws and rules are available at the office of the New York City Business Integrity Commission (the “Commission”) or from the Commission’s website, [www.nyc.gov/bic](http://www.nyc.gov/bic).

Attached is the application for a labor union or labor organization registration. To apply for a Class 3 Registration, the applicant must complete each and every question set forth therein. If a question is not applicable, write “not applicable” or “N.A.” An application that has not been completed may be denied or the application may be returned to the applicant without being processed. An application returned as incomplete will not be deemed submitted.

## **DOCUMENTS TO BE SUBMITTED**

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As indicated in this application and the relevant rules set forth in the Rules of the City of New York, a number of documents must be filed with the Commission in order for the application to be considered. Those documents include, but are not limited to, the following:

- Labor Union or Labor Organization Registration Application;
- Notarized Certification (signed by each officer);
- Officer Disclosure Form (for each officer of the labor union or labor organization); and
- Payment by credit card, money order, or check made **payable to the “New York City Business Integrity Commission”** to cover the following fees:
  - \$4000 – Labor Union Registration application fee; and
  - \$600 – for each Officer Disclosure Form.<sup>1</sup>

***ALL FEES ARE NON-REFUNDABLE***

***THE APPLICANT MUST SUBMIT AN ORIGINAL APPLICATION AND ALL REQUIRED DOCUMENTS.***

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<sup>1</sup> Effective Monday, October 15, 2018, due to City-wide policy, all credit card and debit card transactions will be charged a fee of 2% of the payment amount.

## **LABOR UNION OR LABOR ORGANIZATION REGISTRATION APPLICATION**

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Each page submitted by the applicant must contain in the lower left hand corner the applicant's tax identification number and each page must be numbered sequentially as "Page \_\_\_ of \_\_\_ Pages" (*i.e.*, if a twenty-five (25) page application were submitted, the first page would be marked: "Page 1 of 25 Pages").

Applicants that require additional space to complete any answer may attach additional pages to the application. Indicate on the top of each such additional page, the Part and question number to which the additional page relates. The Schedules in the application also may be copied if additional schedule pages are needed. All additional pages and Schedules also must be identified in the lower left-hand corner with the applicant's tax identification number. Each added page must be numbered sequentially like the rest of the application (*i.e.*, "Page \_\_\_ of \_\_\_ Pages").

In addition to the information required on this application, an applicant may submit any materials or explanations relevant to the application. If the explanations or materials relate to a question on the application, the applicant should identify the Part(s) and question(s) to which it has provided additional materials or explanations.

The applicant is under a continuing obligation to update answers to application questions marked with an asterisk (\*). Any change in the answer to such a question must be provided to the Commission in writing, no later than ten (10) business days after the change occurs. The applicant's continuing obligation begins upon filing of the registration application.

### **FEDERAL REPORTING**

No labor union or labor organization is required to furnish information which is included in a report filed with the Secretary of Labor pursuant to 29 U.S.C. § 431, *et seq.* or § 1001, *et seq.*, if a copy of the report or the portion of the report containing the requested information is attached to this application and indicated as such in response to the question.

If the federal report does not contain all the information requested by the question, or if the federal report is no longer completely accurate, you must supply the additional or corrective information.

The use of a federal report does not excuse you from the obligation to provide complete and accurate answers.

### **NOTARIZED CERTIFICATIONS**

Upon completion of the application and all of its attachments, the applicant shall submit signed and notarized certification form. Officers of the applicant must also separately provide the Officer Disclosure as noted above.

### **OFFICER REGISTRATION DISCLOSURES**

Each officer identified in this application must complete an officer disclosure form including a signed and notarized certification form (in addition to the signed and notarized certification for the registration application itself).

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**All applications may be submitted in person or sent to:**

**NYC Business Integrity Commission  
100 Church Street, 20<sup>th</sup> Floor  
New York, New York 10007**

**If you have any questions about this application, please call 212-437-0555.**



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**LABOR UNION/LABOR ORGANIZATION  
 REGISTRATION APPLICATION  
 (Class 3 Registration Application)**

-----OFFICE USE ONLY-----

APPLICATION #: \_\_\_\_\_ DATE RECEIVED: \_\_\_\_\_  
 RECEIVED BY: \_\_\_\_\_

**\*(Asterisk) denotes material information in the application. Any change in this information must be reported to the Business Integrity Commission in a notarized writing within ten (10) business days of the change. See Chapter 17, Rules of the City of New York §1-01.**

\*1. Name of the applicant labor union or labor organization and local number:

\_\_\_\_\_

\*2. Main Office: \_\_\_\_\_

\*3. Mailing Address: \_\_\_\_\_

\*4. Business Telephone Number(s): \_\_\_\_\_

\*5. Applicant's Primary E-mail Address: \_\_\_\_\_ 6. Website, if any: \_\_\_\_\_

7. Affiliated national or international union's business name, address, and telephone number:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ E-Mail Address: \_\_\_\_\_

8. Provide the applicant's US Department of Labor file number as it appears on the applicant's labor union or labor organization LM filing: \_\_\_\_\_

\*9. On Schedule A below, identify all current officers and anyone who has been an officer at any point during the past five (5) years. For each individual, provide the following information. If needed, copy and attach additional Schedule A form(s).

**SCHEDULE A – CURRENT AND PAST OFFICERS OF THE APPLICANT**

	<b>Officer #1</b>	<b>Officer #2</b>
Name (First, Middle, and Last; include maiden name)		
Home Address(es)		
Primary Telephone Number (Home/Cell/Work)		
Date of Birth		
Business Name, Address, and Telephone Number		
Position or Title		
From (date) to (date)		

	<b>Officer #3</b>	<b>Officer #4</b>
Name (First, Middle, and Last; include maiden name)		
Home Address(es)		
Primary Telephone Number (Home/Cell/Work)		
Date of Birth		
Business Name, Address, and Telephone Number		
Position or Title		
From (date) to (date)		

\*10. On Schedule B below, identify all individuals who are or have been members of the Executive Board of the applicant labor union or labor organization at any point during the past five (5) years. *For individuals who have been previously identified on this application, provide that individual's name, position, and applicable dates.* If needed, copy and attach additional Schedule B form(s).

**SCHEDULE B – CURRENT AND PAST EXECUTIVE BOARD MEMBERS**

	<b>Executive Board Member #1</b>	<b>Executive Board Member #2</b>
Name (First, Middle, and Last; include maiden name)		
Home Address(es)		
Primary Telephone Number (Home/Cell/Work)		
Date of Birth		
Business Name and Address		
Position Held in Labor Union		
From (date) to (date)		

	<b>Executive Board Member #3</b>	<b>Executive Board Member #4</b>
Name (First, Middle, and Last; include maiden name)		
Home Address(es)		
Primary Telephone Number (Home/Cell/Work)		
Date of Birth		
Business Name and Address		
Position Held in Labor Union		
From (date) to (date)		

\*11. Has the applicant or any officer, or Executive Board members, ever been convicted of any criminal offense in any jurisdiction?

**NOTE:** In answering this question, **DO NOT** include information regarding any criminal action or proceeding against the applicant labor union or organization, any current officer of the applicant, or any past officer of the applicant that was followed by a termination in favor of that person or business pursuant to New York Criminal Procedure Law § 160.50, by a youthful offender adjudication pursuant to New York Criminal Procedure Law § 720.35, by a conviction for a violation sealed pursuant to New York Criminal Procedure Law § 160.55, or by a conviction sealed pursuant to New York Criminal Procedure Law § 160.58 (conditional sealing of certain controlled substance, marihuana, or specified offenses). **It is not necessary to provide information relating exclusively to traffic violations.**

\_\_\_\_\_ Yes \_\_\_\_\_ No

If “Yes,” provide the following information:

Applicant or Officer Name	Date of Arrest	Date of Conviction	Indictment, Docket or Index No.	Charge(s) and Sentence	Court and Jurisdiction

\*12. Are there any criminal charges pending against the applicant labor union or labor organization or any officer, or Executive Board member in any jurisdiction? **It is not necessary to provide information relating exclusively to traffic violations.**

**NOTE:** In answering this question, **DO NOT** include information regarding any criminal action or proceeding against the applicant labor union or organization, any current officer of the applicant, or any past officer of the applicant that was followed by a termination in favor of that person or business pursuant to New York Criminal Procedure Law § 160.50, by a youthful offender adjudication pursuant to New York Criminal Procedure Law § 720.35, by a conviction for a violation sealed pursuant to New York Criminal Procedure Law § 160.55, or by a conviction sealed pursuant to New York Criminal Procedure Law § 160.58 (conditional sealing of certain controlled substance, marihuana, or specified offenses). **It is not necessary to provide information relating exclusively to traffic violations.**

\_\_\_\_\_ Yes \_\_\_\_\_ No

If “Yes,” provide the following information:

Applicant of Officer Name	Date of Arrest	Indictment No.	Charge	Status	Court and Jurisdiction



\*13. During the past five (5) years has the applicant or any officer, or Executive Board member:

a. been informed that you have been the target or subject of any criminal investigation by a federal, state or local prosecutorial, investigative or regulatory agency in any jurisdiction?

\_\_\_\_\_Yes\_\_\_\_\_No

b. been informed that you have been the target or subject of any civil investigation by a federal, state or local prosecutorial, investigative or regulatory agency in any jurisdiction? It is not necessary to provide information relating exclusively to administrative proceedings before the National Labor Relations Board, the Equal Employment Opportunity Commission, the Department of Labor, or the Occupational Health and Safety Administration, or their state counterparts.

\_\_\_\_\_Yes\_\_\_\_\_No

c. been informed that you have been the target or subject of civil proceeding involving allegations of racketeering, including offenses listed in the Racketeer Influenced and Corrupt Organization statute (18 U.S.C. §§ 1961 *et seq.*) or New York Penal Law § 460.10(1).

\_\_\_\_\_Yes\_\_\_\_\_No

d. been informed that you have been the target or subject of an administrative proceeding involving allegations of racketeering, including offenses listed in the Racketeer Influenced and Corrupt Organization statute (18 U.S.C. §§ 1961 *et seq.*) or New York Penal Law § 460.10(1).

\_\_\_\_\_Yes\_\_\_\_\_No

If you answered “Yes” to any of questions 14 (a) - (b) above, provide the following information:

Name	Name and Address of Court or Agency	Nature of Proceedings or Investigation	Name and Position of Person Who Provided Testimony	Date on Which Testimony was Given	Date of Investigation or Consent Decree

**CERTIFICATION**

**This certification must be completed by the applicant and all of its current officers before a notary public.**

**ANY MATERIAL FALSE STATEMENT MADE IN CONNECTION WITH THIS APPLICATION MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.**

I, \_\_\_\_\_, being duly sworn, state: that I am  
(Full Name)

\_\_\_\_\_ of \_\_\_\_\_; and  
(Title/Position) (Applicant Name)

I have read and understood the questions contained in the attached application and its attachments, which consist of a total of \_\_\_\_\_ pages. To the best of my knowledge, the information given in response to each question and in the attachment is full, complete and truthful. I understand that the New York City Business Integrity Commission may independently determine the accuracy and truth of the statements made in this application.

\_\_\_\_\_  
(Signature of Applicant)

By: \_\_\_\_\_  
(title)

Sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
Notary Public