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# FORM AR21

Trade Union and Labour Relations (Consolidation) Act 1992

## ANNUAL RETURN FOR A TRADE UNION

Name of Trade Union:

Ellington Branch of the North East Area of the National Union of Mineworkers

Year ended:

31 December 2016

List no:

728T

Head or Main Office:

National Union of Mineworkers  
Northumberland Area  
7 Esther Court  
Wansbeck Business Park  
Ashington NE63 8QZ

Website address (if available)

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

Yes

No

X

(Click the appropriate box)

General Secretary:

Denis Murphy

Telephone Number:

01670853300

Contact name for queries regarding

Denis Murphy

Telephone Number:

016708053300

E-mail:

dm@link-connect.co.uk

**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)

Annexe 1

## Annual Return for a Trade Union Form AR21

Name of Trade Union: Ellington Branch of the North East Area of the National Union of Mineworkers

Year ended: 31 December 2016

List no: **728T**

### Officers in Post

Denis Murphy  
Allan Stewart

Secretary  
Chairman

# 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	0				<b>0</b>
FEMALE					
TOTAL	0				<b>A 0</b>

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

None
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Number of members at end of year contributing to the General Fund

0
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## 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

State whether the union is:

a. A branch of another trade union?

Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
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If yes, state the name of that other union:

NUM Northumberland Area
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b. A federation of trade unions?

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
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If yes, state the number of affiliated unions:

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and names:

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# GENERAL FUND

(see notes 13 to 18)

	£	£
<b>INCOME</b>		
<b>From Members:</b> Contributions and Subscriptions		0
<b>From Members:</b> Other income from members (specify)		
<b>Total other income from members</b>		
<b>Total of all income from members</b>		0
<b>Investment income (as at page 12)</b>		
<b>Other Income</b>		
Income from Federations and other bodies (as at page 4)		
Income from any other sources (as at page 4)		
<b>Total of other income (as at page 4)</b>		
	<b>TOTAL INCOME</b>	0
<b>EXPENDITURE</b>		
<b>Benefits to members (as at page 5)</b>		
<b>Administrative expenses (as at page 10)</b>		0
<b>Federation and other bodies (specify)</b>		
NUM Northumberland Area	0	
Donations to other than members	0	
<b>Total expenditure Federation and other bodies</b>		0
<b>Taxation</b>		
	<b>TOTAL EXPENDITURE</b>	0
Surplus (deficit) for year		0
Amount of general fund at beginning of year		0
General fund transferred to NUM Northumberland		0
Amount of general fund at end of year		0

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

(see notes 19 and 20)

DESCRIPTION	£	£
<b>Federation and other bodies</b>		
<b>TOTAL FEDERATION AND OTHER BODIES</b>		
<b>Other income</b>		
<b>TOTAL OTHER INCOME</b>		
<b>TOTAL OF ALL OTHER INCOME</b>		

# 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			
Other Cash Payments			
<b>carried forward</b>		<b>Total (should agree with figure in General Fund)</b>	

(See notes 24 and 25)

<b>FUND 2</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 3</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)

<b>POLITICAL FUND ACCOUNT 1</b>		<b>To be completed by trade unions which maintain their own fund</b>		
		<b>£</b>	<b>£</b>	
<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)			
	Donation to NUM Northumberland	0		
	Non-political expenditure			
			Total expenditure	0
			Surplus (deficit) for year	0
			Amount of political fund at beginning of year	0
			Amount of political fund at the end of year (as Balance Sheet)	0
			Number of members at end of year contributing to the political fund	0
			Number of members at end of the year not contributing to the political fund	0
Number of members at end of year who have completed an exemption notice and do not therefore contribute to the political fund			0	

<b>POLITICAL FUND ACCOUNT 2</b>		<b>To be completed by trade unions which act as components of a central trade union</b>		
		<b>£</b>	<b>£</b>	
<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		0
Salaries and Wages included in above	£	
Auditors' fees		0
Legal and Professional fees		
Occupancy costs		
Stationery, printing, postage, telephone, etc.		0
Expenses of Executive Committee (Head Office)		
Expenses of conferences		
Other administrative expenses (specify)		
Loan written back		0
 <b>Other Outgoings</b>		
Interest payable:		
Bank loans (including overdrafts)		
Mortgages		
Other loans		
Depreciation		
Taxation		
 Outgoings on land and buildings (specify)		
 Other outgoings (specify)		
	<b>Total</b>	0
Charged to:	General Fund (Page 3)	
	Fund (Account )	
	Fund (Account )	
	Fund (Account )	
	Fund (Account )	
	<b>Total</b>	0



# 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			
Other investment income (specify)			
		Total investment income	
		Credited to:	
		General Fund (Page 3)	
		Fund (Account )	
		Fund (Account )	
		Fund (Account )	
		Fund (Account )	
		Fund (Account )	
		Political Fund	
		Total Investment Income	

# BALANCE SHEET as at 31 December 2016

(see notes 47 to 50)

Previous Year		£	£
	<b>Fixed Assets</b> (at page 14)		
	<b>Investments</b> (as per analysis on page 15)		
	Quoted (Market value £        )		
	Unquoted		
	<b>Total Investments</b>		
	<b>Other Assets</b>		
0	Loans to other trade unions	0	
	Sundry debtors		
0	Cash at bank and in hand	0	
	Income tax to be recovered		
	Stocks of goods		
	Others (specify)		
0	<b>Total of other assets</b>		0
0	<b>TOTAL ASSETS</b>		0
0	Fund (Account    )		0
	Fund (Account    )		
	Fund (Account    )		
	Superannuation Fund (Account    )		
0	Political Fund (Account    )		0
	Revaluation Reserve		
	<b>LIABILITIES</b>		
	Amount held on behalf of central trade union political fund		
	Loans: From other trade unions		
	Loans: Other		0
	Bank overdraft		
	Tax payable		
	Sundry creditors		
0	Accrued expenses		0
	Provisions		
	Other liabilities		
0	<b>TOTAL LIABILITIES</b>		0
0	<b>TOTAL ASSETS</b>		0

# 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						
Additions						
Disposals						
Revaluation/Transfer s						
At end of year						
<b>Accumulated Depreciation</b>						
At start of year						
Charges for year						
Disposals						
Revaluation/Transfer s						
At end of year						
<b>Net book value at end of year</b>						
<b>Net book value at end of previous year</b>						

# ANALYSIS OF INVESTMENTS

(see notes 56 and 57)

QUOTED	All Funds Except Political Funds £	Political Fund  £
Equities (e.g. Shares)		
Government Securities (Gilts)		
Other quoted securities (to be specified)		
TOTAL QUOTED (as Balance Sheet)		
Market Value of Quoted Investment		
UNQUOTED		
Equities		
Government Securities (Gilts)		
Mortgages		
Bank and Building Societies		
Other unquoted investments (to be specified)		
TOTAL UNQUOTED (as Balance Sheet)		
Market Value of Unquoted Investments		



# 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"/>
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"/>
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	0		0
From Investments			
Other Income (including increases by revaluation of assets)			
<b>Total Income</b>	0		0
<b>EXPENDITURE</b> (including decreases by revaluation of			
<b>Total Expenditure</b>	0		0
<b>Funds at beginning of year</b> (including reserves)	0	0	0
<b>Transferred to NUM</b> <b>Northumberland</b>	0	0	0
<b>Funds at end of year</b> (including reserves)	0	0	0
<b>ASSETS</b>			
Fixed Assets			
Investment Assets			
Other Assets			0
<b>Total Assets</b>			0
<b>LIABILITIES</b>			
<b>Total Liabilities</b>			0
<b>NET ASSETS (Total Assets less Total Liabilities)</b>			0

# 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.

<b>Remuneration and expenses of staff</b>	<b>2016</b>	<b>2015</b>
	<b>£</b>	<b>£</b>
<b>Officials</b>		
Salary	-	-
Expenses	-	-
	-	-
<b>Others</b>		
Salary	-	-
Expenses	0	932
	0	932
<b>Total salaries and benefits of staff</b>	<b>0</b>	<b>932</b>
<b>Loans to other trade unions</b>	<b>2016</b>	<b>2015</b>
	<b>£</b>	<b>£</b>
NUM Northumberland Area	0	0

# ACCOUNTING POLICIES

(see notes 74 and 75)

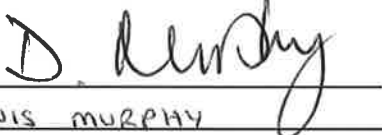
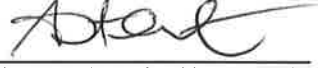
**Basis of preparation**

The financial statements are drawn up under the historical cost convention and in accordance with the Financial Reporting Standard FRS 102.

## SIGNATURES TO THE ANNUAL RETURN

(see notes 76 and 77)

including the accounts and balance sheet contained in the return.

Secretary's Signature: <u></u> Name: <u>DENIS MURPHY</u> Date: <u>26.07.2017</u>	Chairman's Signature: <u></u> (or other official whose position should be stated) Name: <u>ALLAN STEWART</u> Date: <u>26.07.2017</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	X	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"/>

# 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

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

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

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)

**Independent auditors' report to the members of the Ellington Branch of the North East Area of the National Union of Mineworkers**

We have audited the financial statements of Ellington Branch of the North East Area of the National Union of Mineworkers for the year ended 31 December 2016 which comprise the General and Political Fund Income and Expenditure Accounts, Balance Sheet and the related notes. The financial reporting framework that has been applied in the preparation is the applicable law and the Financial Reporting Standard 102.

This report is made solely to the union's members, as a body. Our audit work has been undertaken so that we might state to the union'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 union and the union'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 explained more fully in the statement of officers' responsibilities, the officers are responsible for the preparation of the accounts and for being satisfied that they give a true and fair view. Our responsibility is to audit and express an opinion on the accounts in accordance with applicable law and International Standards on Auditing (UK and Ireland). Those standards require us to comply with the Auditing Practices Board's (APB's) Ethical Standards for Auditors.

**Scope of the audit of the accounts**

A description of the scope of an audit of financial statements is provided on the APB's website at [www.frc.org.uk/apb/scope/private.cfm](http://www.frc.org.uk/apb/scope/private.cfm).

**Opinion on the accounts**

In our opinion the accounts:

- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice applicable to Smaller Entities; and
- have been prepared in accordance with the Trade Union and Labour Relations (Consolidation) Act 1992.

**Opinion on other matters**

In our opinion the information given in the Officers' Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

**Matters on which we are required to report by exception**

We have nothing to report in respect of the following matters where the Trade Union and Labour Relations (Consolidation) Act 1992 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept, or returns adequate for our audit have not been received from branches not visited by us; or
- the financial statements are not in agreement with the accounting records and returns; or
- we have not received all the information and explanations we require for our audit.

Signature(s) of auditor or auditors:

*Mai Mak*

Name(s):

Mai Mak

Profession(s) or Calling(s):

Chartered Accountant

Address(es):

Kinnair and Company  
Aston House, Redburn Road  
Newcastle upon Tyne  
NE5 1NB

Date:

26 / 7 / 17

Contact name and telephone number:

Mai Mak 0191 2867777

**Ellington Branch of the North East Area of the National Union of Mineworkers  
Notes to the accounts for the year ended 31 December 2016**

**1 Accounting policies**

***Basis of preparation***

The financial statements are drawn up under the historical cost convention and in accordance with the Financial Reporting Standard FRS 102.

***Revenue Recognition***

Income from members is recognised on a receivable basis. Investment income and all other income is recognised when receivable.

***Expenditure***

Expenditure is accounted for when incurred on an accruals basis.

***Fund accounting***

The union operates a separate political fund which is used to collect funds on behalf of the National Union of Mineworkers.

<b>2 Remuneration and expenses of staff</b>	<b>2016</b>	<b>2015</b>
	<b>£</b>	<b>£</b>
<b><i>Officials</i></b>		
Salary	-	-
Pension contributions	-	-
National insurance contributions	-	-
Expenses	-	-
	<hr/>	<hr/>
	-	-
<b><i>Others</i></b>		
Salary	-	-
Expenses	-	932
	<hr/>	<hr/>
	-	932
	<hr/>	<hr/>
<b>Total salaries and benefits of staff</b>	<hr/>	<hr/>
	-	932
<b>3 Loans to other trade unions</b>	<b>2016</b>	<b>2015</b>
	<b>£</b>	<b>£</b>
NUM Northumberland Area	-	-
	<hr/>	<hr/>