



IACA

SALT LAKE CITY
UTAH 2008
UNITING LOCAL AND
GLOBAL PERSPECTIVES

Jurisdictions Guidelines for Accepting a UCC Record Presented for Filing Chart

2008 Update

The Initial Financing Statement Part I

Initial Financing Statement

1. Contact Information


1a. The filer fails to provide information in Item A.

UCC FINANCING STATEMENT
FOLLOW INSTRUCTIONS (front and back) CAREFULLY

A. NAME & PHONE OF CONTACT AT FILER [optional]

B. SEND ACKNOWLEDGMENT TO: (Name and Address)

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only one debtor name (1 a or 1 b) - do not abbreviate or com



Accept

Initial Financing Statement

2. Section 1. Debtor Information

2a. The filer provides the name of an organization in item 1a and an individual name in 1b.

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only one debtor name (1a or 1b) - do not abbreviate or combine names					
1a. ORGANIZATION'S NAME					
THE MEGA-BIG CORPORATION					
OR					
1b. INDIVIDUAL'S LAST NAME		FIRST NAME	MIDDLE NAME	SUFFIX	
Oxnard		Stephen	William	III	
1c. MAILING ADDRESS		CITY	STATE	POSTAL CODE	COUNTRY
123 MAIN ST		SPRINGFIELD	IL	77777	
1d. SEE INSTRUCTIONS	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION	1f. JURISDICTION OF ORGANIZATION	1g. ORGANIZATIONAL ID #, if any	<input type="checkbox"/> NC
		CORPORATION	ILLINOIS	123456	

Reject – Filer failed to indicate debtor was an individual or organization.

Initial Financing Statement

2. Section 1. Debtor Information

2b. The filer provides an organization name in item 1a and an individual name in 1b. Item 2a and 2b are blank. Items 1c and 2c are completed as well as all other pertinent information.

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (1a or 1b) - do not abbreviate or combine names					
OR	1a. ORGANIZATION'S NAME THE MEGA-BIG CORPORATION				
	1b. INDIVIDUAL'S LAST NAME MUNSTER		FIRST NAME HERMAN	MIDDLE NAME F.	SUFFIX
1c. MAILING ADDRESS 123 MAIN ST		CITY SPRINGFIELD	STATE IL	POSTAL CODE 77777	COUNTRY
1d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION CORPORATION	1f. JURISDICTION OF ORGANIZATION ILLINOIS	1g. ORGANIZATIONAL ID #, if any 123456	<input type="checkbox"/> NONE
2. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (2a or 2b) - do not abbreviate or combine names					
OR	2a. ORGANIZATION'S NAME				
	2b. INDIVIDUAL'S LAST NAME		FIRST NAME	MIDDLE NAME	SUFFIX
2c. MAILING ADDRESS 1313 MOCKINGBIRD LANE		CITY SPRINGFIELD	STATE IL	POSTAL CODE 77777	COUNTRY
2d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE	2e. TYPE OF ORGANIZATION	2f. JURISDICTION OF ORGANIZATION	2g. ORGANIZATIONAL ID #, if any	

Reject – Filer failed to indicate debtor was an individual or organization.

Initial Financing Statement

Section 2. Debtor Information

2c. The filer provides an organization name in item 1a. Items 1c – 1g are completed. Debtor name is provided in Item 2a. No other information provided in 2c.

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (1a or 1b) - do not abbreviate or combine names				
OR	1a. ORGANIZATION'S NAME THE MEGA-BIG CORPORATION			
	1b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	
1c. MAILING ADDRESS 123 MAIN ST		CITY SPRINGFIELD	STATE IL	POSTAL CODE 77777
1d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION CORPORATION	1f. JURISDICTION OF ORGANIZATION ILLINOIS	1g. ORGANIZATIONAL ID: 123456
2. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (2a or 2b) - do not abbreviate or combine names				
OR	2a. ORGANIZATION'S NAME BIGGER COMPANY, LLC			
	2b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	
2c. MAILING ADDRESS		CITY	STATE	POSTAL CODE

Accept – Only as to debtor 1. Do not index as to debtor 2.

Initial Financing Statement

Section 2. Debtor Information

2d. The filer provides information in the city field and either the state or country field of item 1c.

1c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY
123 Main Street	Springfield			USA
1d. SEE INSTRUCTIONS	ADD'L INFO RE	1e. TYPE OF ORGANIZATION	1f. JURISDICTION OF ORGANIZATION	1g. ORGANIZATIONAL ID #, if any

or

1c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY
123 MAIN ST	SPRINGFIELD	IL		

Accept

Initial Financing Statement

Section 2. Debtor Information

2e. The filer fails to provide information in Item 1d.

1. DEBTOR'S EXACT FULL LEGAL NAME - Insert only one debtor name (1a or 1b) - do not abbreviate

1a. ORGANIZATION'S NAME			
THE MEGA-BIG CORPORATION			
OR	1b. INDIVIDUAL'S LAST NAME	FIRST NAME	
1c. MAILING ADDRESS		CITY	
123 MAIN ST		SPRINGFIELD	
1d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION	1f. JURISDICTION
		CORPORATION	ILLINOIS

Accept

Initial Financing Statement

Section 2. Debtor Information

2f. The filer provides information in Item 1d (assumes name in 1b).

OR	1b. INDIVIDUAL'S LASTNAME		F
	HASENFEFFER		
	1c. MAILING ADDRESS		C
	123 MAIN ST		
	1d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION
	444-88-9999		
	9. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME		

Accept

(Acceptance with redaction is still "accept")

Initial Financing Statement

Section 2. Debtor Information

2g. The filer fails to provide information in Item 1e (assumes name in 1a).

1a. ORGANIZATION'S NAME THE MEGA-BIG CORPORATION				
OR	1b. INDIVIDUAL'S LASTNAME		FIRST NAME	MID
1c. MAILING ADDRESS 123 MAIN ST			CITY SPRINGFIELD	STA IL
1d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION	1f. JURISDICTION OF ORGANIZATION ILLINOIS	1g. 1

Reject

Initial Financing Statement

Section 2. Debtor Information

2h. The filer provides information in Item 1e that does not appear to be a type of organization.

THE MEGA-BIG CORPORATION			
1b. INDIVIDUAL'S LAST NAME		FIRST NAME	
MAILING ADDRESS		CITY	
23 MAIN ST		SPRING	
<u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION DEBTOR	1f. JURISDICTION ILLINO

Accept

Initial Financing Statement

Section 2. Debtor Information

2i. The filer fails to provide any information in Item 1f (assumes name in 1a).

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (1a or 1b) - do not abbreviate or combine names				
OR	1a. ORGANIZATION'S NAME THE MEGA-BIG CORPORATION			
	1b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	
1c. MAILING ADDRESS 123 MAIN ST		CITY SPRINGFIELD	STATE IL	POSTAL CODE 77777
1d. SEE INSTRUCTIONS	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION CORPORATION	1f. JURISDICTION OF ORGANIZATION	1g. ORGANIZATIONAL ID #, if any 123456

Reject

Initial Financing Statement

Section 2. Debtor Information

2j. The filer provides information that does not appear to be a jurisdiction in in Item 1f (assumes name in 1a).

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (1a or 1b) - do not abbreviate or combine names			
OR	1a. ORGANIZATION'S NAME THE MEGA-BIG CORPORATION		
	1b. INDIVIDUAL'S LAST NAME		FIRST NAME
1c. MAILING ADDRESS 123 MAIN ST		CITY SPRINGFIELD	
1d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION CORPORATION	1f. JURISDICTION OF ORGANIZATION NATIONAL

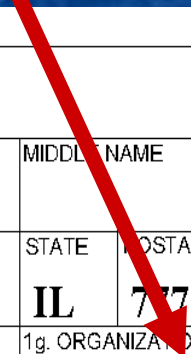
Accept

Initial Financing Statement

Section 2. Debtor Information

2k. The filer fails to provide information or check "none" in Item 1g (assumes name in 1a).

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (1a or 1b) - do not abbreviate or combine names				
OR	1a. ORGANIZATION'S NAME THE MEGA-BIG CORPORATION			
	1b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX
1c. MAILING ADDRESS 123 MAIN ST		CITY SPRINGFIELD	STATE IL	POSTAL CODE 77777
1d. <u>SEE INSTRUCTIONS</u>	ADD'L INFO RE ORGANIZATION DEBTOR	1e. TYPE OF ORGANIZATION CORPORATION	1f. JURISDICTION OF ORGANIZATION ILLINOIS	1g. ORGANIZATIONAL ID #, if any <input type="checkbox"/> NONE



Reject

Initial Financing Statement

Section 2. Debtor Information

2l. The filer provides information that does not appear to be an Org ID# in Item 1g.

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only <u>one</u> debtor name (1a or 1b) - do not abbreviate or combine names				
OR	1a. ORGANIZATION'S NAME THE MEGA-BIG CORPORATION			
	1b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX
1c. MAILING ADDRESS 123 MAIN ST		CITY SPRINGFIELD	STATE IL	POSTAL CODE 77777
1d. <u>SEE INSTRUCTIONS</u>		1e. TYPE OF ORGANIZATION CORPORATION	1f. JURISDICTION OF ORGANIZATION ILLINOIS	1g. ORGANIZATIONAL ID #, if any EXEMPT <input type="checkbox"/> NONE

Accept

Initial Financing Statement

Section 3. Secured Party Information

3a. The filer provides the name of an organization in item 3a and an individual name in 3b. One address is provided in Item 3c.

3. SECURED PARTY'S NAME (or NAME of TOTAL ASSIGNEE of ASSIGNOR S/P) - insert only <u>one</u> secured party name (3a or 3b)				
OR	3a. ORGANIZATION'S NAME CLD LENDING, LLC			
	3b. INDIVIDUAL'S LAST NAME DAVIS	FIRST NAME CARLA	MIDDLE NAME LOUISE	
3c. MAILING ADDRESS P.O. BOX 99999		CITY SHERMAN OAKS	STATE CA	POSTAL CODE 99999

Option 1 – Reject

Option 2 – Accept as to item 3a and item 3b using item 3c as address for both

Initial Financing Statement

Section 3. Secured Party Information

3b. The filer provides information in the city field and either the state or country field in 3c.

3. SECURED PARTY'S NAME (or NAME of TOTAL ASSIGNEE of ASSIGNOR S/P) - insert only <u>one</u> secured party name (3a or 3b)					
3a. ORGANIZATION'S NAME					
CLD LENDING, LLC					
OR	3b. INDIVIDUAL'S LAST NAME				
	FIRST NAME	MIDDLE NAME	SUFFIX		
3c. MAILING ADDRESS		CITY	STATE	POSTAL CODE	COUNTRY
P.O. BOX 99999		SHERMAN OAKS		99999	USA

or

3. SECURED PARTY'S NAME (or NAME of TOTAL ASSIGNEE of ASSIGNOR S/P) - insert only <u>one</u> secured party name (3a or 3b)					
3a. ORGANIZATION'S NAME					
CLD LENDING, LLC					
OR	3b. INDIVIDUAL'S LAST NAME				
	FIRST NAME	MIDDLE NAME	SUFFIX		
3c. MAILING ADDRESS		CITY	STATE	POSTAL CODE	COUNTRY
P.O. BOX 99999		SHERMAN OAKS	CA	99999	

Accept

Initial Financing Statement

Section 4. Collateral Information

4a. The filer fails to provide information in Item 4.

4. This FINANCING STATEMENT covers the following collateral:

Blank



Accept

Initial Financing Statement

Section 4. Collateral Information

4b. The filer provides information in Item 4 that appears to require filing officer action.

4. This FINANCING STATEMENT covers the following collateral:

ALL ASSETS.

DEBTOR IS A TRANSMITTING UTILITY.

Accept – take no action.

Initial Financing Statement

Section 5. Alternate Designation

5a. The filer checks the "Non-UCC filing" box in Item 5.



5. ALTERNATIVE DESIGNATION [if applicable]:		<input type="checkbox"/>	LESS
6.	<input type="checkbox"/>	This FINANCING STATEMENT is to be filed [for record] ESTATE RECORDS. Attach Addendum	




BUYER	<input type="checkbox"/>	AG. LIEN	<input checked="" type="checkbox"/>	NON-UCC FILING
Debtor(s)	<input type="checkbox"/>	All Debtors	<input type="checkbox"/>	Debtor 1 <input type="checkbox"/> Debtor 2 <input type="checkbox"/>

Accept

Initial Financing Statement

Section 5. Alternate Designation

5b. The filer checks multiple boxes in Item 5.



5. ALTERNATIVE DESIGNATION [if applicable]	
6. <input type="checkbox"/>	This FINANCING STATEMENT is to be filed in the PUBLIC RECORDS. Attach Additional Financing Statement if applicable.
8. OPTIONAL FILER REFERENCE DATA	

<input type="checkbox"/>	SELLER/BUYER	<input checked="" type="checkbox"/>	AG. LIEN	<input checked="" type="checkbox"/>	NON-UCC FILING	
REPORT(S) on Debtor(s) [optional]	<input type="checkbox"/>	All Debtors	<input type="checkbox"/>	Debtor 1	<input type="checkbox"/>	Debtor 2

Accept

Initial Financing Statement

Section 6. Real Estate Recording Designation

6a. The filer checks the box in Item 6.

5. ALTERNATIVE DESIGNATION [if applicable]:		<input type="checkbox"/> LESSEE/LESSOR	<input type="checkbox"/> CONSIGNEE/CONS
6.	<input checked="" type="checkbox"/> This FINANCING STATEMENT is to be filed [for record] (or recorded) in the REAL ESTATE RECORDS. Attach Addendum	<input type="checkbox"/> [if applicable]	7. Che [AD]
8. OPTIONAL FILER REFERENCE DATA			
999-123456			
FILING OFFICE COPY — LICC FINANCING STATEMENT (FORM LICC1) (REV			

Accept

Initial Financing Statement

Section 6. Real Estate Recording Designation

6b. The filer checks the box in Item 6 but fails to provide an addendum.

5. ALTERNATIVE DESIGNATION [if applicable]:		<input type="checkbox"/> LESSEE/LESSOR	<input type="checkbox"/> CONSIGNEE/CONS
6.	<input checked="" type="checkbox"/> This FINANCING STATEMENT is to be filed [for record] (or recorded) in the REAL ESTATE RECORDS. Attach Addendum	<input type="checkbox"/> [for record] (or recorded) in the REAL ESTATE RECORDS. Attach Addendum [if applicable]	7. Che [AD]
8. OPTIONAL FILER REFERENCE DATA			
999-123456			
FILING OFFICE COPY — UCC FINANCING STATEMENT (FORM UCC1) (REV			

Accept at state level but **Reject** at local level.

Initial Financing Statement

Section 7. Search Report Requests

7a. The filer checks a box in Item 7.

<input type="checkbox"/>	LESSOR/CONSIGNOR	<input type="checkbox"/>	BAILEE/BAILOR	<input type="checkbox"/>	SELLER/BUYER	<input type="checkbox"/>	AG. LIEN	<input type="checkbox"/>	NON-UCC FILING		
<input type="checkbox"/>	7. Check to REQUEST SEARCH REPORT(S) on Debtor(s) [ADDITIONAL FEE]			<input type="checkbox"/>	[optional]	<input type="checkbox"/>	All Debtors	<input checked="" type="checkbox"/>	Debtor 1	<input type="checkbox"/>	Debtor 2

Accept and conduct a search that includes the filing.

Initial Financing Statement

Section 8. Optional Filer Reference Data

8a. The filer provides information in Item 8 that appears to require filing officer action.

<input type="checkbox"/> ESTATE RECORDS.	<input type="checkbox"/> Attach Addendum	<input type="checkbox"/> If applicable	<input type="checkbox"/> ADDITIONAL FEE
8. OPTIONAL FILER REFERENCE DATA			
999-123456 - THIS IS A MANUFACTURED HOUSING TRANSACTION			
			Inte

Accept and take no action.