

International Association of Commercial Administrators

Jurisdictions Guidelines for Accepting a UCC Record Presented for Filing Chart

Participating Jurisdictions are Reflected on the Last Page

The following assumptions apply:

1. The problem described is the only issue; all other information on the form is correct.
2. The procedure outlined is filing officer action only; it does not indicate legal correctness or perfection.
3. Where options are provided, the order of options does not indicate preference. The listing of options indicates that IACA's STS Section members were unable to reach a consensus on one course of action.

Initial Financing Statement	Action	Revised Article 9 Section	Jurisdictions that will deviate and legal authority to do so
1. Contact Information			
1a. The filer fails to provide information in item A.	Accept	9-520(a)	None
1b. The filer fails to provide information in Item B.	Accept – acknowledgement not required	9-520(a) 9-523(a)	None
2. Section 1. Debtor Information			
2a. The filer provides an organization name in item 1a and an individual name in item 1b.	Reject – Filer failed to indicate that the debtor was an individual or an organization	9-516(b)(5)(B)	IN, KS, MD, NE, TX, OK, WV: Accept and index both debtors with same address CA: Accept and index 1a and 1c, if info in Item 1e, 1f or 1g. If no org information index 1b and 1c. AR: Accept and index 1a, if 1e, 1f and 1g are complete; otherwise reject LA: Accept and index one debtor

<p>2b. The filer provides an organization name in item 1a and an individual name in item 1b. Item 2a and 2b are blank and item 1c and item 2c are completed as well as all other pertinent information.</p>	<p>Reject – Filer failed to indicate that the debtor was an individual or an organization</p>	<p>9-516(b)(5)(B)</p>	<p>IN, KS, MD, OK: Accept NE, TX: Accept and index as to 1a and 1b using address in 1c. Send notification letter to filer. CA: Accept and index 1a and 1c, if info in Item 1e, 1f or 1g. If no org information index 1b and 1c. AR: Accept and index 1a, if 1e, 1f and 1g are complete; otherwise reject. LA: Accept & index one debtor.</p>
<p>2c. The filer provides an organization name in item 1a. Items 1c and 1g are completed. Debtor name is provided in item 2a. No information is provided in item 2c.</p>	<p>Accept as to debtor 1, do not index as to debtor 2</p>	<p>9-520(d)</p>	<p>NY: Reject as did not adopt 9-520(d) IN, UT: Reject, failure to provide 2c, e, f & g KY, MT, NE: We send a notice advising them why debtor 2 was not indexed along with a UCC Amendment form. IL: Reject (810ILCS 5/9-516(c)(1)(2)) KS: Accept only if 1c, 1e-1f are included ND: Reject (Administrative Rules), NV, OK, PA (9-516(b)(5)(i)): Reject. LA: Accept</p>

2d. The filer provides information in the city field and either the state or foreign country field of item 1c.	Accept	9-520(a)	<p>CA, DE, GA, IL, KY, ME, NC, NJ, OH (ORC §1309-516(B)(5)(a)), OK, OR, ND, RI, TN, UT, WV (516(b)(5)(A)): Reject as must have address, city, state and zip code or USPS standard</p> <p>AL, PA: Requires street address and zip code or a street address, city and state</p> <p>CO: Reject, requires address, city and state</p> <p>MI, MN: Requires city, state and zip code only.</p> <p>NV: Reject for state (if “N/A” or “XX”) accepts for counties. (NAC 104.200 (b))</p> <p>SD: Reject according to administrative rules</p>
2e. The filer fails to provide information in item 1d.	Accept	9-520(a)	<p>ND: Reject (NDCC 41-09-87 (2h))</p> <p>SD: Reject (57A-9-502(1))</p>
2f. The filer provides a social security or federal identification number in item 1d.* <i>*Acceptance with redaction of the social security or federal identification number is still qualified as an “Accept” response.</i>	Accept	9-520(a)	<p>NV, MO, OR, VA,: Reject, cannot file with an SSN</p> <p>OH: Redact or reject social security or federal identification numbers pursuant to ORC 111.241.</p>
2g. The filer fails to provide any information in item 1e (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(i)	<p>LA, OK, TN,: Accept</p> <p>CA, PA: Accept, Requires only that 1e, 1f or 1g be completed or indicate none per Section 9-516 (b)(5)(C)(iii)</p>

2h. The filer provides information in item 1e that does not appear to be a type of organization.	Accept	9-520(a)	NJ: Reject – 12A:9-516(c)(1)
2i. The filer fails to provide any information in item 1f (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(ii)	LA, OK, TN: Accept CA, PA: Only requires that 1e, 1f or 1g be completed per Section 9-516 (b)(5)(C)(iii)
2j. The filer provides information that does not appear to be a jurisdiction in item 1f.	Accept	9-520(a)	NJ: Reject – 12A: 9-516(b)(6)
2k. The filer fails to provide information or check “none” in item 1g (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(iii)	AR, CA, GA, OH (ORC §1309.503(A)(1)), OK, TN, LA: Accept DE: Accept. Requires only 1e and 1f (9-516(5)(C)) NJ: Possibly accept – 12A: 9-516(b)(6) AL, NY: Accept – Does not have 9-516(b)(5)(C)(iii) PA: Only requires that 1e, 1f or 1g be completed per Section 9-516 (b)(5)(C)(iii)
2l. The filer provides information that does not appear to be an organization identification number in item 1g.	Accept	9-520(a)	
2m. The filer provides a debtor name that wraps to multiple lines in the name field.* <i>* Acceptance implies that the font and character size are legible.</i>	Accept	9-520(a)	

<p>2n. The filer provides part of a long debtor name in item 1a and continues the name in another debtor name field (item 2a or on the UCC1Ad in item 11a).</p>	<p>Accept and index 1a as first debtor name and index 2a and/or 11a as separate additional debtor(s)</p>	<p>9-520(a)</p>	<p>IL, IN, TX: Accept, will accommodate requests if intent is clear. KS: If no address is provided for 2a or 11a in addition to fields c, e & f, would file the debtor in 1a and return to the customer with an explanation that the other debtor cannot be indexed and why</p> <p>ND: Accept. Do not index as two different name fields. Enter as much as will fit.</p>
<p>2o. The filer provides part of a long debtor name in item 1a and continues the name in the collateral or miscellaneous field (item 4 or on the UCC1Ad in item 10 or item 16).</p>	<p>Accept and index the debtor name as only what is presented in item 1a.</p>	<p>9-520(a)</p>	<p>IL, IN, TX: Accept, will accommodate requests if intent is clear. MT: requires the extended name be reflected on the addendum form and it must be clearly noted that the name is continued from 1a. If reflected in the collateral box, customer is contacted and requested to submit an addendum or debtor will be indexed only as reflected in item 1a.</p>

Section 3. Secured Party Information			
3a. The filer provides an organization name in item 3a and an individual name in item 3b. One address is provided in item 3c.	<p>Option 1 – Reject</p> <p>Option 2 – Accept as to item 3a and item 3b using item 3c as address for both</p>	9-516(b)(5)(B)	<p>Option 1: AL, CO, ID, IL, KY, LA, MA, ME, MI, MN, MO, MT, NC, ND, NJ, NM, NV, NY, OH, RI, TN, VA, WA, WI, WY, UT</p> <p>Option 2: DE, GA, IN, KS, MD, MT, NC, NE, NH, OK, OR, PA, SD, TX, WV</p> <p>AR- Accept by paper only</p>
3b. The filer provides information in the city field and either the state or foreign country field in 3c.	Accept	9-520(a)	<p>CA, DE, GA, IL (IARC 14 §180.15b), KY, ME, MA, NC, NJ, OH (ORC §1309-513(B)(5)(a)), OK, OR, RI, TN, ND, UT, WV (516(b)(5)(A)): Reject as must have address, city, state and zip code or USPS standard</p> <p>AL, PA: Requires street address and zip code or a street address, city and state</p> <p>CO: Reject, requires address, city and state</p> <p>MI, MN: Requires city, state and zip code only</p> <p>NV: Reject for state, accepts for counties. (NAC 104.200 (b))</p> <p>SD: Reject per Administrative Rule</p>

Section 4. Collateral Information			
4a. The filer fails to provide information in item 4.	Accept	9-520(a)	MT (MCA 30-9A-502(c)), ND (NDCC 41-09-87 (3a)), OK : Reject
4b. The filer provides information in item 4 that appears to require filing officer action (for example: additional debtor or indicate debtor is a transmitting utility).	Accept and take no action	9-520(a)	NJ : Possibly – 12A: 9-516(c)(1) IL, IN : Accept if the intent is clear as to the debtor or secured party name and address, Transmitting Utility requires a UCC-1AD be filed. SD, TX, WV : Accept and if filer intent is clear will add debtor or secured party information to index MT : Attempts to contact the customer to submit the addendum. If unsuccessful, document is filed and notification sent along with confirmation letter that filer may want to amend their lien to include transmitting utility or name extension.
Section 5. Alternate Designation			
5a. The filer checks “Non-UCC filing” box in item 5.	Accept and take no action	9-520(a)	None
5b. The filer checks multiple boxes in item 5.	Accept	9-520(a)	None
Section 6. Real Estate Recording Designation			
6a. The filer checks the box in item 6.	Accept and take no action	9-520(a)	ND, OK : Reject at state level; accept at local level

6b. The filer checks the box in item 6 but fails to provide an addendum.	Accept at State level Reject at local level	9-520(a) 9-516(b)(3)(D)	ND, OK: Reject at state level; accept at local level if filing contains required information
Section 7. Search Report Requests:			
7a. The filer checks a box in item 7.	Accept and take no action	9-520(a) 9-523(c) See instructions for item 7 on the form. Note: Not all states do searches and not all states will honor a search request made via this form; some states require a separate UCC-11 request form. Some states may conduct the search, but the search will not include this filing.	Accept and conduct a search that includes the through date of financing statement: CA, ID, IN, KS, MT, ND, OH, TX, WA Accept and conduct a search that does not include the financing statement: TN, AL Other: MN: Search includes filing, but not wait for the through date of financing statement MD and NM do not do searches DE performs search if requested with the filing, even though they do not search via the UCC 11 OK: Accept if payment is enclosed
Section 8. Optional Filer Reference Data			
8a. The filer provides information in item 8 that appears to require filing officer action.	Accept and take no action	9-520(a)	None

Financing Statement Addendum			
Section 9. Name of First Debtor on Related Financing Statement			
9a. The filer fails to replicate information in item 9 as provided in item 1.	Accept	9-520(a)	None
9b. The filer truncates the information in item 9 that was provided in item 1.	Accept	9-520(a)	None
9c. The filer abbreviates the information in item 9 that was provided in item 1.	Accept	9-520(a)	None
9d. The filer fails to provide information in item 9.	Accept	9-520(a)	None
Section 10. Miscellaneous			
10a. The filer provides information that appears to require filing officer action.	Accept and take no action	9-520(a)	<p>SD: Takes action</p> <p>CO, DE, GA, WV: Accept and take action if intent is clear</p> <p>KS: Takes action for non-UCC filings only</p> <p>MT: Attempts to contact the customer and advise them which form to use for the transaction attempted. If unsuccessful, box 10 is ignored and customer sent a notice along with confirmation letter.</p> <p>TX: Indexes party information if intent is clear</p>
Section 11. Additional Debtor			
11a. See debtor information in Section 1 of this document			

Section 12. Additional Secured Party			
12a. The filer provides information in the city field, and either the state or foreign country field in 12c.	Accept	9-520(a)	<p>CA, DE, GA, IL, KY, ME, MA, MD, NC, NJ, OH (ORC §1309-513(B)(5)(a)), ND, RI, UT, WV: Reject as must have address, city, state and zip code or USPS standard</p> <p>AL, PA: Requires street address and zip code or a street address, city and state</p> <p>MI, MN: Requires city, state and zip code only.</p> <p>NV: Reject for state, accepts for counties per Administrative Rules Section 18(2)</p> <p>OR: Accepts the filing, but rejects the additional Secured Party for incomplete address. 9-516(4)</p> <p>CO: Accept, but do not index additional Secured Party</p> <p>SD: Reject according to administrative rules</p> <p>TN: Partial reject if no state and 12 not indexed; must have complete mailing address (earlier version of MAR providing partial rejects for SPs and 516(b)(4))</p>
12b. The “Assignor” box is checked.	Accept – index the information as a secured party	9-514(a)	<p>AL, DE, IL, OK, TN,: Accept and take no action</p> <p>WV: Accept and add Assignee</p>

12c. The filer provides a secured party name in item 12a or item 12b but has not checked either the “Additional Secured Party’s or Assignor” box.	Accept – index the information as a secured party	9-514(a)	CO, OK: Accept, but do not index additional Secured Party MI (MR R 440.202(1)(b)(iv): Partial reject for missing address if no city, state or zip code. TN: Partial reject if no state and #12 not indexed; must have complete mailing address (earlier version of MAR providing partial rejects for SPs and 516(b)(4)) WV: Rejects
Sections 13, 14 and 15. Real Estate Recording Designation			
If filer checks item 6 on initial financing statement, and:			
a. The filer fails to complete item 13.	Accept at State level and take no action	9-520(a)	GA, ND: Reject at state level (filed in local level only) Reject at local level OK: Reject at state level (filed in local level only) Accept at local level
b. The filer fails to complete item 14.	Accept at State level and take no action Reject at local level	9-520(a) 9-516(b)(3)(D)	GA, ND: Reject at state level (filed in local level only) Reject at local level OK: Reject
c. The filer fails to complete item 15.	Accept at State level and take no action	9-520(a)	GA, ND, OK: Reject at state level; (filed in local level only) Accept at local level
Section 16. Additional Collateral Description			
16a. See information in Section 4 of this document.			
Section 17. Debtor Designation			
17a. Boxes are checked in item 17.	Accept and take no action	9-520(a)	DE, ME: index and code debtors as indicated in boxes

Section 18. Duration Of Filing			
18a. Filer checks a box in item 18.	Accept and set appropriate lapse date	9-515(b) and (f)	<p>IL, ND, WV: index as transmitting utility only if valid</p> <p>GA: Gives 5 years regardless of type of lien</p> <p>OK: Accept and index as transmitting utility only at state level, accept and index only as PFT at county level</p>
18b. Filer checks more than one (1) box in item 18.	Accept and set longest time frame for lapse	9-520(a)	<p>LA: Accept and sets a 30-year lapse period</p> <p>GA, WA: Accept and set a 5-year lapse period</p> <p>OK: Accept and index as transmitting utility only at state level, accept and index only as PFT at county level</p> <p>AL, AR, CA, CO, ID, IL, IN, NV, NY, MA, MO, MS, MT, NE, OR, PA, RI, SD, TX, UT, WI (9A-516(c)(1)): Reject</p>

AMENDMENT	Action	Revised Article 9 Section	Jurisdictions that will deviate and legal authority to do so
Section 1a. Initial Financing Statement File No.			
1a. The filer provides the initial financing statement number, but fails to provide any other information on the form.	Accept and take no action	9-520(a)	<p>AR, GA, IL, MD, MO, ND, WI: Reject (system will not allow this action and cannot generate a file number without an action)</p> <p>CO: Reject, need an initial financing statement number and original file date and country code (CRS 9-516(b)(3)(B)(i) and 9-512(a)(2))</p> <p>KS: Accept; file a Miscellaneous Amendment</p> <p>NY: Reject</p> <p>MT: Reject (9A-512(a)) and by admin. Rule)</p> <p>NE, LA, OK, PA, UT, WV: Reject per 9-516(c)(2). Need indication of type of amendment</p> <p>TN: Reject; record not communicated by an authorized method – 516(b)(1)</p>
1b. The filer provides the initial financing statement number and provides other information on an attachment(s).	Accept and take no action	9-520(a)	<p>CO, GA, IN, ND, TX: Accept and index if intent is clear</p> <p>AR, MO, MT, NY, WI, WV: Reject</p> <p>IL, LA, NE, PA: Reject per 9-516(c)(2). Need indication of type of amendment</p> <p>KS: Accept; file a Miscellaneous Amendment</p> <p>SD: Takes action</p>

			OK, TN: Reject; record not communicated by an authorized method – 516(b)(1)
1c. The filer provided a number assigned to an amendment (UCC3) rather than an initial financing statement number.	Reject	9-516(b)(3)(B)(i)	AL, NJ, WV: Does not assign a new number to a UCC-3 filing IN, OK: Accept, filer must make sure number is original number
Section 2. Termination			
2a. A termination is received after other termination(s) filed.	Accept	9-520(a)	WV: Reject NE: Accept only if originally terminated post RA9
Section 3. Continuation			
3a. Multiple continuations received within the six-month continuation window.	Accept – only extend lapse date on first continuation	9-520(a)	MT: Not currently accepting but will accept when new computer system is designed. MD, MO, WV: Will not accept second continuation MN: Reject online, accept if filed by paper. CO: Accept first continuation, reject all others
3b. Continuation statement received within the six-month continuation window but after termination and prior to lapse date.	Accept and extend lapse date	9-520(a)	None

3c. A filer submits a continuation on the last day within the continuation window and the filing office is closed (Due to inclement weather, holiday, weekend, etc.) therefore the filing is processed on the next business day.	Reject	9-510(c) 9-515(d)	MI, TN (TCA 1-3-102), UT (113.6.1): Accept: if last day is a weekend or legal holiday, filing is timely on next business day MN (MNR 8280.0020, 645.15): Accept if last day is a weekend or holiday. Reject if the office is closed due to inclement weather. TX (TAC 95.404): Accept: filings cannot lapse on weekends or holidays and exceptions are made in inclement weather
3d. A filer who filed an initial financing statement on February 29th files a continuation on March 1st five years later.	Accept: the relevant anniversary date for a February 29 th filing is March 1 st .	9-510(c) 9-515(d)	IL (IARC 14 §180.15b(2)), ND, NE, OK, VA: Reject KS: Reject; relevant anniversary date for a February 29 th filing is February 28 th MT: Currently reject until new system is in place to accommodate
Section 4. Assignment			
4a. The filer checks the assignment item 4 and provides no other information.	Reject	9-516(b)(6)	None
4b. The filer fails to provide assignor's name in item 9.	Accept	9-520(a)	OH: Reject ORC 1309.514 requires name of assignor & mailing address of assignee IL: Reject (810 ILCS 5/9-509(d)(1), 810 ILCS 5/9-514) MT: Reject – administrative rules require the current secured party and debtor (per our records) to appear on the amendment form
4c. The filer fails to provide assignment information in item 7 (filer provided information in another field on	Reject	9-516(b)(6)	CO, DE, GA, IN, MD: Accept and index if intent is clear.

the form).			TX: Accept and index “see attached.”
Also See information about SP on IFS.			

Sections 5, 6 and 7. Amendment (Party Information)			ID: With regard to sections 5, 6, and 7, accept and take no action when filer does not check change, delete, or add but has completed information in item 7.
Assumption: Name “change” and Name “add” as indicated in item 5 and item 7a or item 7b means name not previously provided, i.e., new name. This assumption applies to both secured party and debtor.			AL, DE, GA, MO, NC, NE, OK, UT: Rejects assumption. Recognize “Change” as a party that has been previously indexed and “Add” as a party that has not previously been indexed OR, ND: Rejects assumption.
5a. The amendment affects the debtor. The filer checks “Change” in item 5 and provides information in item 7a and omits item 7e, item 7f, or item 7g.	Reject	9-516(b)(5)(C)	IN, LA, TN: Accept DE, ND: Accept per 9-520(a) name change does not affect jurisdiction OR: If information is given in item 6, accept and index. If no info is given, accept and take no action. CA, PA: Only requires 7e, f, or g per Section 9-516 (b)(5)(iii)

5b. The amendment affects the debtor. The filer checks “Change” in item 5 and provides information in item 7a or item 7b, and presents information in the city field and either the state or foreign country field of item 7c.	Accept	9-520(a)	<p>CA, GA, IL, KY (516(b)(4) and (5)(A)), ME, MA, MD, MO, NJ, OH (ORC §1309.516(B)(5)(a)), OK, RI, TN (516(b)(5)(A)), UT: Reject as must have address, city, state and zip code or USPS standard</p> <p>AL, PA: Requires street address and zip code or a street address, city and state</p> <p>MI, MN: Requires city, state and zip code only</p> <p>NV: Reject for state, accepts for counties. (NAC 104.200 (b))</p> <p>SD: Reject according to administrative rules</p>
5c. The filer checks “Change” and only provides information in item 6 (current record information).	Reject	9-516(b)(4), (5)	DE, IN, LA, OR : Accept and take no action
5d. The filer checks “Delete” and only provides information in item 7 (Changed (New) or Added Information).	Accept and take no action	9-520(a)	<p>MT, MO, NC, ND, OH (ORC §1309.512(E)(1) & (E)(2)), UT, WI, WV: Reject as need an indication of debtor or secured party</p> <p>KS: Accept; file a Miscellaneous Amendment</p> <p>TN: Reject; record not communicated by an authorized method 9-516(b)(1)</p>
5e. The filer checks “Add” and only provides information in item 6 (current record information).	Reject	9-516(b)(4), (5)	DE, IN, LA, OR : Accept and take no action

<p>5f. The filer does not check “change,” “delete,” or “add” in item 5. The filer has only provided information in item 6 (current record information).</p>	<p>Accept and take no action</p>	<p>9-520(a)</p>	<p>GA, MO, MT, OK, TX, WI, WV: Reject, must indicate the type of amendment AR, NY: Reject KS: Accept; file a Miscellaneous Amendment NE, ND, NV, UT: Reject per 9-516(c)(2). Need indication of type of amendment TN: Reject; record not communicated by an authorized method - 516(b)(1) IL, PA: Reject (9A-516(c)(1))</p>
<p>5g. The filer does not check “change,” “delete,” or “add” but does check “secured party” or “debtor” in item 5. The filer has only completed information in item 7 (Change (New) or Added Information).</p>	<p>Accept and add debtor/secured party</p>	<p>9-520(a)</p>	<p>AR, GA, MD, MA, MO, MT, ND, NV, OH (ORC §1309.512), OK, TX, WI, WV: Reject, form must indicate the type of amendment (change debtor, delete secured party, continuation, etc.) CO, ID, ME, MN, RI, OR, NE: Accept and take no action IL, TN: Reject; record not communicated by an authorized method - 516(b)(1) NY, PA, UT: Reject (9A-516(c)(1))</p>
<p>5h. The filer checks “Change” or “Add”. No other information is provided.</p>	<p>Reject</p>	<p>9-516(b)(4), (5)</p>	<p>CO, DE, IN, LA, OR: Accept and take no action</p>

5i. The filer fails to check either “Debtor” or “Secured Party” but an action is indicated in item 5 and required information is provided in item 7.	Accept and take no action	9-520(a)	AR, GA, MO, NY, WV: Reject MA, MI, ND, NV, OK, TX, UT, WI: Reject need an indication of debtor or secured party KS: Accept; file a Miscellaneous Amendment MT, OH (ORC §1309.512): Reject require form to indicate the type of amendment (change debtor, delete secured party, continuation, etc.) TN: Reject; record not communicated by an authorized method - 516(b)(1) CA, IL, PA: Reject (9A-516(c)(1))
5j. The filer checks “Debtor” and “Change” in item 5, only provides debtor name in item 6 and information in item 7e, item 7f and item 7g.	Reject	9-516(b)(5)(A)	AR, DE, ID, IN, LA, OR, TX, WV: Accept and take no action CO, ND, OK, UT: Accept and index SD: Accept and index if on original debtor information
5k. The filer checks “Secured Party” and “Change” in item 5, only provides a secured party name in item 6a or item 6b, and a secured party name in item 7a or item 7b.	Reject	9-516(b)(4)	AR, DE, ID, IL, IN, LA, SD, TN, TX, WI: Accept and add name with existing address (TX reject if name in 6 does not match the index) CO, MD, ND, OK, OR, UT: Accept and index
5l. The filer checks “Secured Party” and “Add” in item 5, only provides a secured party name in item 6a or item 6b and a secured party name in item 7a or item 7b.	Reject	9-516(b)(4)	IN, LA: Accept and add name
5m. The filer checks “Debtor” or “Secured Party” and “Change” in item 5, only provides a name in item 6a or item 6b and information in item 7c.	Reject	9-516(b)(4), (5)	AL, AR, CO, DE, GA, IL, IN, LA, MD, MI, ND, OH (ORC 1309.516(B)(4) and (B)(5)) OR, RI, SD, TN, TX, UT, VA: Accept and index new address indicated

5n. The filer checks “Debtor” and “Change” in item 5 and provides the same name in item 6a and item 7a and information in item 7c only, omitting item 7e, item 7f or item 7g.	Reject	9-516(b)(5)(C)	CO, DE, GA, IN, LA, MI, ND, OR, PA (Section 9-516 (b)(5)(iii)), TN: Accept and index
5o. The filer checks both “Debtor” and “Secured Party” boxes in item 5.	Reject	9-516(c)(1) with respect to 9-516(b)(4), (5) and (6)	IN, LA, OR: Accept and take no action SD: Accepts multiple changes on one amendment form. OK: Will accept if amendment is clear as to the debtor and secured party being modified and they have checked the “add”, “delete” or “change” box.
5p. The filer checks “Debtor” and “Change” in item 5, provides debtor name in item 6a or 6b and same debtor name in item 7a or 7b, plus completes information in items c, e, f, and g.	Accept and index (Filer is adding organizational information to the record)	9-520(a)	None
5q. The filer checks “Debtor” and “delete” in item 5 and provides a name in item 6.	Accept and take no action	9-520(a)	CO, DE, GA, LA, MD, MT, ND, NV, OK, OR, RI, UT: Accept and index. ID, MO: Accept and delete the debtor.
Section 8. Amendment (Collateral Change)			
8a. The filer provides information in item 8 and fails to indicate requested action “deleted, added, restated, or assigned”.	Accept and take no action	9-520(a)	MO, MT, NV, OK, UT, WI, WV: Reject. Requires the form to indicate the type of amendment (change debtor, delete secured party, continuation, etc) AR, GA, IL, ND, NE, PA: Reject per 9-516(c)(2). Need indication of type of amendment. LA: Accept and enter exactly as given in 8.

8b. The filer checks all boxes in item 8.	Accept	9-520(a)	AR, GA, ID, IL, MO, MT, ND, NE, NV, OK, PA, UT, WI: Reject as indecipherable.
Section 9. Name of Secured party Authorizing this Amendment			
9a. The filer does not provide a Secured Party or Debtor name in item 9.	Accept	9-520(a)	FL, GA, IL, ND (810 ILCS 5/9-509(d)(1), 5/9-514), MT: Reject if the current secured party and debtor of record does not appear on the amendment form.
Section 10. Optional Filer Reference Data			
10a. The filer provides information in item 10.	Accept and take no action	9-520(a) Note: Jurisdictions that require more information than simply the file number, the filing office has the duty to locate such information on the form	None
AMENDMENT ADDENDUM:			
a. The filer provides information in item 13. The filer has not provided the initial financing statement number in item 11.	Accept	9-520(a)	None
b. The filer provides information in item 13. The filer does not provide the Name of Party Authorizing the amendment in item 12.	Accept	9-520(a)	None

c. The filer provides information in item 13 that appears to require filing office action.	Accept and take no action	9-520(a)	CO, DE, GA, MD, ND, OK, SD, TX, UT: Accept and index if intent is clear MT: Will reject if adding or changing a party name because they must identify whether party is an individual or organization
AMENDMENT COMBINATIONS			
a. The filer checks item 2 (termination) and item 3 (continuation).	Accept; index item 2 and extend lapse date	9-520(a)	CA, OH, OK, WV: Reject, invalid combination CO: Reject, 9-516(c)(1) GA, MT, NE, NY, SD, WI: Reject per Administrative Rules IL (Admin Rule 180.12 e), LA, MA (950 CMR 140.14), MD, MI, MS, NE, NH, NM, NV, PA, RI: Reject, will not allow multiple actions

<p>b. The filer checks item 2 (termination) and item 4 (assignment).</p>	<p>Accept; index both item 2 and item 4</p>	<p>9-520(a)</p>	<p>DE: Accept and index assignment if item 7 is completed. Management system will not accept multiple actions CA, OH, OK, WV: Reject, invalid combination. GA, MT, NE, NY, SD, WI: Reject per Administrative Rules NH: Reject, 9-512(f), 9-512(b)(8) UT: If termination is checked, only the termination is recognized. If money is sent in, reject for multiple actions on one form. AL, IL (Admin Rule 180.12 e), LA, MA (950 CMR 140.14), MD, MI, MS, NE, NH, NV, PA, RI: Reject, will not allow multiple actions</p>
<p>c. The filer checks item 2 (termination) and item 5 (party information).</p>	<p>Accept; index item 2 and item 5</p>	<p>9-520(a)</p>	<p>GA, MT, NE, NY, SD, WI: Reject per Administrative Rules UT: If termination is checked, only the termination is recognized. If money is sent in, reject for multiple actions on one form. AL, IL (Admin Rule 180.12 e), LA, MA (950 CMR 140.14), MD, MI, MS, NE, NH, NV, PA, RI: Reject, will not allow multiple actions CA, OH, OK, WV: Reject, invalid combination.</p>

<p>d. The filer checks item 2 (termination) and item 8 (collateral change).</p>	<p>Accept; index both item 2 and item 8</p>	<p>9-520(a)</p>	<p>DE: Accept and index as collateral change. Management system will not accept multiple actions</p> <p>SD: Accept and disregard item 8</p> <p>GA, MT, NE, WI: Reject per Administrative Rules</p> <p>UT: If termination is checked, only the termination is recognized. If money is sent in, reject for multiple actions on one form.</p> <p>AL, IL (Admin Rule 180.12 e), LA, MA (950 CMR 140.14), MI, MS, NE, NH, NV, PA, RI: Reject, will not allow multiple actions</p> <p>CA, OH, OK, WV: Reject, invalid combination.</p>
<p>e. The filer checks item 3 (continuation) and item 4 (assignment).</p>	<p>Accept; extend lapse date and index item 4</p>	<p>9-520(a)</p>	<p>DE: Accept and extend lapse date; no action taken on assignment</p> <p>NH: Reject, 9-512(f), 9-512(b)(8)</p> <p>GA, MT, NE, SD, WI: Reject per Administrative Rules</p> <p>IL (Admin Rule 180.12 e), LA, MA (950 CMR 140.14), MD, MI, MS, NE, NH, NV, PA, RI: Reject, will not allow multiple actions</p>

f. The filer checks item 3 (continuation) and item 5 (party information).	Accept; extend lapse date and index item 5	9-520(a)	DE, OK: Accept, index continuation, ignore party amendment as management system will not allow multiple actions. NH: Reject, 9-512(f), 9-512(b)(8) GA, MT, NE, SD, WI: Reject per Administrative Rules IL (Admin Rule 180.12 e), LA, MA (950 CMR 140.14), MD, MI, MS, NE, NH, NV, PA, RI: Reject, will not allow multiple actions
g. The filer checks item 3 (continuation) and item 8 (collateral change).	Accept and extend lapse date and index item 8	9-520(a)	NH: Reject, 9-512(f), 9-512(b)(8) GA, MT, NE, SD, WI: Reject per Administrative Rules IL, LA, MA (950 CMR 140.14), MD, MI, MS, NE, NH, NV, PA, RI: Reject, will not allow multiple actions
h. The filer checks item 4 (assignment). The filer checks box in item 5 (party information- debtor) other than “delete.” Items 6 & 7 are left blank.	Reject	9-516(c)(1) with respect to 9-516(b)(5) and (6)	SD, WV: Accept
i. The filer checks item 4 (assignment). The filer checks box in item 5 (party information- secured party) other than delete. Items 6 & 7 are left blank.	Reject	9-516(c)(1) with respect to 9-516(b)(4) and (6)	SD, WV: Accept

<p>j. The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information-debtor).</p>	<p>Accept; index both item 4 and item 5</p>	<p>9-520(a)</p>	<p>DE, OR: Accept and index for assignment only (if item 7 is complete).</p> <p>CA, OK: Reject. Invalid combination.</p> <p>IL, (Admin Rule 180.12 e), LA, GA, MA, MD, MI, MS, MT, NE, NH, NV, NY, PA, RI, WI: Reject, will not allow multiple actions</p> <p>UT: Reject as intent is unclear</p>
<p>k. The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information-secured party).</p>	<p>Accept; index both item 4 and item 5</p>	<p>9-520(a)</p>	<p>WV: Accept and index both if 7 is complete.</p> <p>CA, OK: Reject, invalid combination.</p> <p>UT: Reject as intent is unclear</p> <p>DE, ND, OR: If item 7 is completed, accept and index for assignment only</p> <p>IL (Admin Rule 180.12 e) GA, LA, MA, MD, MI, MS, MT, NE, NH, NY , NV, NY, PA, RI, WI: Reject, will not allow multiple actions</p>

<p>l. The filer checks item 4 (assignment) and item 8 (collateral change).</p>	<p>Accept; index both item 4 and item 8</p>	<p>9-520(a)</p>	<p>DE, OR: Accept and index as assignment, if item 7 is complete. If not complete accept as an amendment.</p> <p>UT: Accept if item 7 is complete; otherwise Reject.</p> <p>CA: Reject, invalid combination.</p> <p>GA,IL, LA, MA, MD,MI, MS, MT, NE (per Administrative Rules), NH, NV, PA, RI: Reject, will not allow multiple actions</p> <p>WI: Accept only if the "describe collateral assigned" box is checked in #8. Otherwise, will reject as per Administrative Rules, will not allow multiple actions.</p>
<p>m. The filer checks item 5 (party information) and item 8 (collateral change).</p>	<p>Accept; index both item 5 and item 8</p>	<p>9-520(a)</p>	<p>DE, WI: Accept and index as to item 5, ignore collateral change as management system will not allow multiple actions.</p> <p>OK, UT: Accept and index as to item 8, disregard item 5 if action is required.</p> <p>GA, IL, LA, MA, MD, MI, MS, MT, NH, NV, PA, RI: Reject, will not allow multiple actions</p>

MISCELLANEOUS ITEMS			
a. Use of words such as “same,” “N/A,” “not applicable,” “none;” or “see attached,” “see addendum,” “see exhibit;” or comparable phrases.	Accept - Words used in the form fields should not be interpreted by the filing office. Filing Office should index all form fields exactly as given.	9-520(a)	IL, OK, TX, WV: Ignores words or reviews attachments.
b. Forms			
1. Forms other than national or model forms	Reject	9-521	AL: File as nonstandard with additional \$5 fee, LA: addl. \$15 fee, WI: addl. fee. CO, DE, MD, MO, NM, NJ, WV: Accept FL, IN, ND, SD: Accept, also accept own forms.

2. Forms that mimic national or model forms (fields are different sizes, etc.):	Accept	9-521	AL, KS, SD: Reject as non-standard form.
3. IACA Model forms:	Accept and Index	9-521	
UCC-1 Initial Financing Statement	Accept and Index	9-521	None
UCC-1 Initial Financing Statement Addendum	Accept and Index	9-521	None
UCC-3 Amendment	Accept and Index	9-521	None
Additional Party Addendum (UCC-1 and UCC-3	Accept and Index	9-521	None
c. Attached Pages			
• Filer adds an attachment that is not the national addendum form.	Accept – do not index information on attachment.		CO, GA, LA, ND, SD, WV, WY: Index IL, DE, NY, OK, TX: Accept and index if content is clear
• Filer adds an attachment that is not the national addendum form, but that contains properly formatted information.	Accept – do not index information on the attachment.		MD: Reject MT: In both cases, we will accept if adding additional collateral but will reject if adding additional parties
d. Bogus or fraudulent filings			
1. Filer provides the same name in items 1 and 3 of IFS (i.e., debtor and secured party are the same).	Accept	9-520(a)	For Item d.1: AL, MT, ND, OR, SD: Reject per administrative rule ID: Reject per Idaho Code, 28-9-516A MI (MCL 440.9520(5)(c) and (e)), NC, WV: Reject per statute IL, TX (Gov. Code 405.022)– Submit to Attorney General for review – most get rejected NE, NJ, VA: Reject

<p>2. Individual debtor is listed and box 18 is checked indicating the debtor is a transmitting utility.</p>	<p>Accept – set lapse date to be effective until terminated.</p>	<p>9-520(a), 9-515(f)</p>	<p>For Item d.2: GA: Accept and set 5-year lapse period. AL, DE, ID, IL, MI (MCL 440.9520(5)(c) and (e)), MT, ND, NJ, NM, NV, OH (ORC 111.24(A)), OR (ORS 79.102(1)(bbbb)), SD: Reject ID: Reject without proof of transmitting utility per Idaho Code, 28-9-516A OK: Transmitting Utilities filed at state level only; reject at county level. PA: Reject if it appears that the debtor is not a legitimate TU, 9-516(c)(1). WV: Reject without proof of transmitting utility TX (Gov. Code 405.022) – Submit to Attorney General for review – most get rejected MN (MNR 8280.0150(D)): Do not lapse TU because they don't know if all Secured Parties terminated. UT: Does not process individuals as transmitting utilities. Filing is accepted by staff and rejected by administration.</p>
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<p>3. Copies of personal documents, such as birth certificate, social security number, etc. are attached.</p>	<p>Accept</p>	<p>9-520(a)</p>	<p>For Item d.3: AL (Administrative Rules 820-4-3.02(3)(b)), MI (MCL 440.9520(5)(c) and (e)), MT, NJ, OH (ORC 111.24(A)), OR (ORS 79.0516(2)(h)), SD, TX: Reject MO: Reject social security numbers, others accepted.</p>
<p>4. Debtor listed is a public official.</p>	<p>Accept</p>	<p>9-520(a)</p>	<p>For Item d.4: AL(Administrative Rules 820-4-3.02(3)(b)), DE, ID, MI (MCL 440.9520(5)(d)), NJ, NV, OH (ORC 111.24(A)), OK, OR, PA, SD: Reject TX (Gov. Code 405.022)– Submit to Attorney General for review – most get rejected MT: Rejects NE, WA (RCW 60.70.030(2)): May reject, if recognized on the record</p>

<p>5. The filing appears on its face to be bogus or fraudulent.</p>	<p>Accept</p> <p>*Filing officer can only reject if a statutory rejection reason is present. The filing officer may choose to notify the debtor of a bogus filing, but is not required to do so.</p>	<p>9-520(a)</p>	<p>WI: Accept or reject based on legal review</p> <p>IL, IN(810 ILCS 5/9-516(b)(3.5)): Reject and submit to General Counsel for further review</p> <p>For Item d.5:</p> <p>AL (AAR 820-4-3.02(3)(b)), DE, MI (MCL 440.9520(5)(c)), MT (MCA 30-9A-420), NC, NJ, OH (ORC 111.24(A)), OR (ORS 79-516(2)(h)), SD: Reject per Administrative Rule</p> <p>NV: Reject unless proven to be registered utility based on opinion by Attorney General</p> <p>PA: Reject, 9-516(c)(1)</p> <p>IL, TX (Gov. Code 405.022): Submit to Attorney General for review – most get rejected</p>
<p>e. Customer Service Issues</p> <ul style="list-style-type: none"> Filing requests made in cover letters or post-it-notes, such as “file first.” 	<p>Use reasonable judgment to accommodate request</p>	<p>9-520(a),</p>	<p>NONE</p>

<p>f. Refusal errors and errors by the Filing Office.</p> <p>1. Filer submits a UCC record that was wrongfully rejected.</p>	<p>Accept - File the UCC record with the filing date and time the UCC record was originally tendered for filing. (which means backdate the filing)</p> <p>File a filing officer statement record relating to the relevant initial financing statement in the UCC Information Management System on the date that the corrective action was taken.</p>	<p>9-520(a), MARS 208</p>	<p>For Item f.1:</p> <p>DE, MT: Instead of filing a “Filing Officers’ Statement,” reflects an electronic comment that only office personnel can view. The comment reflects the date the filing was corrected, the incorrect information and the reason for the correction. The comment is retained for as long as the filing exists on our database.</p> <p>NE, WV: File the UCC document with the filing date and time assigned <u>when such filing occurs</u>. Filing Office Statement states effective date/time UCC document originally tendered for filing.</p> <p>UT: Should a filer successfully demonstrate that a filing was wrongfully rejected within 30 days after the date of filing the Division will backdate the rejected document to its submitted date without the filing of a Filing Officer Statement. Should the filer exceed the 30-day timeframe for resubmission a new fee and date of submission are tendered.</p> <p>MO: Accepts and backdates the filing, but does not file a filing officer statement record.</p>
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<p>2. A filer points out an error that the filing office overtly made while entering the UCC record.</p>	<p>Accept –File a filing officer statement record relating to the relevant initial financing statement in the UCC Information Management System on the date that the corrective action was taken.</p>	<p>9-520(a), MARS 405</p>	<p>For Item f.2:</p> <p>UT: Any errors relating to a filing whether submitted in error by the filer or errors by the data entry personal may only be fixed, at no charge, by the filer within thirty days of submission. After the thirty-day timeframe, all errors must be corrected by submission of an Amendment (with appropriate fee) to correct the error in question. The disclaimer at the bottom of the Acknowledgement of Filing states that it is the duty of the filer to review the document for any errors and inform the state of them within the 30-day timeframe at no charge.</p> <p>MT: Enters a filing comment as noted in answer for Item 1 in the Guideline</p> <p>OK, WV: Correct error at no charge, no filing officer statement</p>
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Jurisdictions (28) that have validated information for 2011 Conference: CO, DE, FL, GA, ID, IN, KS, LA, MA, ME, MI, MN, MO, MT, NC, ND, NE, NH, NJ, OH, OR, RI, TX, UT, VA, WA, WI, WV