

International Association of Commercial Administrators
Indexing Standards Workgroup Survey – BOS Organization Names

Section I: Business Organizations Survey

Survey Question	Response	
<p>1a. Does your jurisdiction have written materials providing direction and procedural guidelines regarding the review and data entry of business documents?</p>	<p>1a. Yes: AR, AZ, CO, DE, DC, FL, HI, ID, IL, IN, KY, LA, MA, MD, MI, MN, MT, NE, NH, NY, NC, ND, OH, PA, SD, UT, VA, WV, BC, MB, ON, SK, Romania, New Zealand.</p> <p>No: CA, CT, IA, KS, ME, MS, MO, NV, NJ, OK, OR, RI, TN, TX, VT, WY, Canada.</p>	<p>Comments: CA: Key as shown with the exception of LPs and LLCs – “The” entered at the end. CO: Format is a requirements document; or else follow Web site user interface and instructions. DE: It is part of our in-house training material for staff. IL: Standard IACA LA: we have an instruction manual. MA: Regulations 950 CMR 113. MI: Review manuals are online. MT: The written materials are for manuals for Compliance Staff in the SOS office. NH: Names are keyed exactly as they appear on the documents. NJ: We have administrative rules. ND: Outdated. Update not a high priority given that we've not had any staff turnover. OR: Electronic desk manuals, on the intranet. TX: Rules have always been to enter exactly what was submitted. Current database allows up to 150 characters. If name exceeds 150 characters, it will be truncated.</p>

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<p>1b. Could you provide a copy to the Indexing Standards Workgroup?</p>	<p>1b. Yes: AR, AZ, CO, FL, HI, ID, IL, IN, LA, MA, MD, OH, PA, SD, UT, WV, ON, New Zealand.</p> <p>No: DE, DC, IA, KS, KY, MN, MT, NE, NJ, NY, ND, OK, OR, VT, VA, MB, SK, Romania</p>	<p>Comments: CO: see above. MN: These procedures are used for internal use only. FL: The instructions are in our procedural manual used for training new employees and as a reference tool. IL: Standard IACA. MT: Since these materials are for compliance staff only, we are unable to provide a copy. NE: We do not have an electronic copy of our training manual. NC: Possible, the procedural guidelines are on an internet site for the office staff. I will find out if an electronic copy can be made available. ND: Not in the current format. OH: However, the information may not be helpful. It's system driven. TX: Not applicable. UT: We have an electronic book, but it is over 400 pages long, we can provide specific entries if requested. VA: They are voluminous and incomplete and are based on VA law and our 1982 computer system. MB: The instructions are too voluminous and disparate (in some cases hard copy). Romania: All comments are in Romanian.</p>

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<p>2a. Does your office currently perform manual review of documents that create or change organization names that are submitted in paper form?</p>	<p>2a. Yes: AR, AZ, CA, CT, DE, DC, FL, ID, IN, KS, KY, LA, ME, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NY, NC, ND, OH, OK, OR, PA, RI, TN, TX, UT, VT, VA, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p> <p>No: CO, HI, IL, IA, SD</p>	<p>Comments: IL: All documents are accepted at face value. MO: Review, yes; but change no. VA: Name availability is primarily performed by computer, but there is also a manual review for nuances that the computer will not catch (including prohibited words for certain businesses).</p>
<p>2b. Does your office currently perform manual review of documents that create or change organization names that are submitted in electronic form?</p>	<p>2b. Yes: AR, DE, FL, HI, IN, IA, MA, MI, NY, OK, OR, PA, TX, UT, Canada, BC, ON, New Zealand.</p> <p>No: AZ, CO, ID, IL, KS, LA, MD, ME, MN, MO, MT, NE, NV, NC, SD, TN, RI, VT, VA, MB, SK.</p>	<p>Comments: CT: Only annual reports are available to file on-line. DE: We do not accept business entity documents via web or XML. DC: Not applicable. No documents are reviewed in e-format yet. IL: All electronic filings are accepted at face value. KY: This option is not available in Kentucky. LA: No on-line filings. MT: These documents are not submitted in electronic format. NE: We do not have electronic filings in Nebraska. NH: Currently, we do not have this capability, but if we did, we</p>

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Survey Question	Response	
		<p>would manually check the name. NY: At this time, only two types of certificates can be submitted in electronic format: Cert. of Inc. (Domestic Bus. Corp) and Articles of Org. Domestic LLC. Both certificates are printed, then processed similar to non-electronic submissions with manual review. NC: We do not offer electronic filing of amendments. ND: Not yet receiving electronic filings except faxed documents which are treated like any other paper submission. OH: Not applicable. Corporate documents are not currently filed electronically. OR: Assumed Business Name new filings only. RI: We do not offer electronic filing at this time. SD: We do not file electronic forms. TN: No electronic submissions. UT: We do not have electronic capability to change names online, but do for creating names. VA: We are not accepting electronic submission yet. WV: Not applicable. MB: Documents are not submitted electronically</p>

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<p>3a. Does your staff currently modify organization names when presented on a paper document for filing (such as moving a leading “A” or “The” to the end)? If your answer to 3a is “Yes”, what modifications are performed?</p> <p>3b. Does your office currently modify organization names when</p>	<p>3a. Yes: CA, DC, ID, IN, MN, NE, UT, VT, VA.</p> <p>No: AR, AZ, CO, CT, DE, FL, HI, IL, IA, KS, KY, LA, MA, ME, MA, MD, MI, MS, MO, MT, NV, NH, NJ, NY, NC, ND, OH, OK, OR, PA, RI, SD, TN, TX, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments: CA: "The" is being moved to the end for LPs and LLCs. DC: "The" is being moved to the end. MN: A document is only altered with the customer's approval. Example, the zip code is needed for the Registered Office Address. If the customer provided consent, we will write the zip code on the paper document. NE: We drop the words "the" and "and" along with the ampersand sign. We file all VFW's starting with Veterans of Foreign Wars and all American Legions starting with American Legion. UT: Articles are placed at the end after a comma during data entry. VA: If he entity name begins with "The" it is moved to the end after an inserted comma. If the entity name begins with a person's name, all words and abbreviations before the person's last name are moved to the end, after an inserted comma. However, our database includes numerous inconsistent entries. We also have difficulty when the entity name can be construed as a person's name or two last names appearing together. ON: Staff will key only one space between words if two or more are presented.</p>

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Survey Question	Response	
	<p>3b. Yes: UT.</p> <p>No: AR, AZ, CO, CT, DE, FL, HI, ID, IL, IN, IA, KS, KY, LA, MD, ME, MI, MN, MS, MO, MT, NV, NJ, NY, NC, OK, OR, PA, RI, SD, TX, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments: DC: Not applicable. MA: not applicable. MT: Not accepted in electronic format. OH: Not applicable. Currently, corporate documents are not filed electronically. SD: No electronic filings. UT: Same as 3a. VT: Not applicable. VA: Not applicable. No electronic filings. WV: Not applicable.</p>
	<p>3c. Yes: AR, CA, CO, CT, FL, IL, LA, MA, MN, NV, NH, PA, UT, WV, ON.</p> <p>No: AZ, DE, HI, ID, IA, KS, KY, MD, ME, MI, MS, MO, MT, NE, NJ, NY, NC, ND, OK, OR, RI, SD, TX, VT, WY, Canada, BC, MB, SK, New Zealand.</p>	<p>Comments: AR: During computer conversions, entity names have been restored to reflect the name as presented to the filing office originally. CO: As part of our data conversion from one system to another, IT programmed to correct these names. However due to some inconsistencies with the way the data had been entered, i.e. extra spaces, no spaces, etc., we find some which we correct as we go along. CT: No, we have not undertaken the process of bringing these records to current practice. DC:</p>

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Survey Question	Response	
		<p>Modifications were done on consistent basis. FL: Years ago, (more than 15 years) we re-updated records where "the" and "a" had been moved to the end of the name. The names were originally updated with "the" and "a" in parenthesis, so they were identifiable by our IT staff. The names were corrected by staff. IL: Trust names were inverted in the filing office at one time to put the identifiable trust number at the beginning of the data entered. In November 2005, the Trust filings were all corrected to read the way that they were originally submitted to the filing office. LA: Name modified when name started with "the" or "Person's name." Database has been corrected. MA: Years ago, names were entered with the "the" and "a" moved to the end of the name. Currently, the database search will ignore the "the" and "a" regardless of its location in the name. It returns all names to display those entered with "the" and "a" at the beginning or end. MN: Same practice as described in 3a. MT: However, when doing a name search of our corporate names, the word "the" is not</p>

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Survey Question	Response	
		<p>included. The word will be at the beginning of the name; however, the name will appear in alphabetical order with the first word after the word "the." NV: During the Conversion to Revised Article 9, Nevada changed moving (, The) from the end of the document back to the beginning. NH: In the Legacy System, there was provision to enter the exact name as well as the modified name. During conversion from our legacy system, the exact name was converted and not the modified name. OH: Not applicable. See 3b comment. SD: No electronic filings. TX: Only thing the office does that effects the name is truncate when the name exceeds maximum field length. WV: When searching, we search without "the" and if there is nothing, we will search "the." ON: At one time "The" was moved to the end of the name. This is no longer done and names of active corporations have been corrected.</p>

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Survey Question	Response	
<p>4a. Does your office follow a data entry format when indexing organization names that might be recognizable or are partially composed of individual names?</p>	<p>4a. Yes: DC, FL, HI, IL, IN, ME, MT, NE, NC, OH, PA, SD, UT, VT, VA, BC.</p> <p>No: AR, AZ, CA, CO, CT, DE, ID, IA, KS, KY, LA, MA, MD, MN, MS, MO, NH, NJ, NY, ND, OK, OR, RI, TN, TX, WV, WY, Canada, MB, ON, SK, New Zealand.</p>	<p>Comments: DE: Names are entered as stated on document. FL: Business entity names that include an individual's name are updated exactly as the business name reads – there is no rearrangement of words in the business name. IL: We enter the names exactly as they appear on the submitted document. LA: Now entered exactly as submitted. ME: Enter as presented for filing by filer. MO: Key as submitted. MT: The company name is entered exactly as it is provided in the organizing or amendment documents. NV: Not sure. ND: Business names are entered exactly as presented on the documents. PA: The names are entered exactly as on the form. UT: Only if the organization name is that of a PC or PLLC or some such entity, but would follow organization name conventions. Canada: The only format that we follow is to data enter the name as it is entered on the document.</p>

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Survey Question	Response	
<p>4b. Are adjustments made to the word order when the organization name is entered into your system? Two example names to consider are “John Deere Company, Inc” and “The Robert Jones Trust”.</p>	<p>4b. Yes: CA, NE, UT, VT, VA.</p> <p>No: AR, AZ, CO, CT, DE, DC, FL, HI, ID, IL, IN, IA, KS, KY, LA, MD, ME, MA, MI, MN, MS, MO, MT, NV, NH, NJ, NY, NC, ND, OH, OK, OR, PA, RI, SD, TN, TX, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments: CA: “The” moved to the end for LPs and LLCs. ND: Business names are entered exactly as presented on the documents. UT: but only as all other organization names (article issue).</p>
<p>4c. In the past, has your office followed the practice described above in the answer to 4b?</p>	<p>4c. Yes: AR, CA, CT, FL, KS, LA, MO, NE, NV, NC, ND, TN, UT, VT, VA.</p> <p>No: AZ, CO, DE, DC, ID, IL, IN, IA, KY, ME, MA, MD, MI, MN, MS, MT, NH, NJ, NY, OH, OK, OR, PA, RI, SD, TX, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments: IL: Please see explanation in 3C.</p>

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Survey Question	Response	
<p>4d. Has your office standard practice changed? If your answer to 4d is “Yes”, have you undertaken to bring these records into compliance with current practice? Please describe any steps you have taken to bring these names/records into compliance.</p> <p>*If yes, please describe the nature of and the approximate dates of any changes.</p>	<p>4d. Yes: AR, CT, LA, NE, PA.</p> <p>No: CA, CO, DE, DC, FL, HI, ID, IL, IN, IA, KS, KY, ME, MA, MD, MI, MN, MS, MO, MT, NV, NJ, NY, NC, ND, OK, OR, OH, RI, SD, TN, TX, UT, VT, VA, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments: LA: As of June 9, 2003, names are entered as listed on documents. PA: We began changing the indexing of these names in Nov. 2005 as we came across them i.e. copy requests, amendments, searches. VA: It will on the next computer system.</p>
	<p>Description: AR: Entity names have been changed to reflect the entity name that was presented to the filing office. ID: Not applicable. LA: The database has been corrected to show the name as presented. NH: In the Legacy System, there was provision to enter the exact name as well as the modified name. During conversion from our legacy system, the exact name was converted and not the modified name. WV: Not applicable.</p>	

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Survey Question	Response	
<p>5a. Has your office ever required or allowed abbreviation by data entry personnel of words submitted as part of an organization name?</p>	<p>5a. Yes: IL, KS, ME, NV, SD, UT, MB.</p> <p>No: AR, AZ, CA, CO, CT, DE, DC, FL, HI, ID, IN, IA, KY, LA, MA, MD, MI, MN, MS, MO, MT, NH, NJ, NY, NC, ND, OH, OK, OR, PA, RI, TN, TX, VT, WV, WY, Canada, BC, ON, SK, New Zealand.</p>	<p>Comments: KS: Perhaps 20 years ago, when there wasn't enough space for a long name, some abbreviations were used. MI: Names are entered exactly the same as on the document, except for about 20 entities with names longer than the data field in which we enter the name. For those entities, as much of the name as possible is entered with a message to "see history" and we put the entire name in history where we have a longer data field. MT: Again the name is entered exactly as listed in the document. NV: Because of space limitation on our mainframe system, we would abbreviate endings. SD: Abbreviated the name to fit the space prior to RA9 UT: In a previous system, some entity identifiers were sometimes abbreviated. Or if the name is longer than the field allows, the database name ends where the field ends. MB: Only in rare cases where names are extremely long.</p>

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Survey Question	Response	
<p>5b. Does your office currently abbreviate words submitted as part of an organization name?</p> <p>If your answer to 5a or 5b is “Yes”, have you undertaken to bring these records into compliance with current practice? Please describe any steps you have taken to bring these names/records into compliance.</p> <p>*If yes, please describe the nature of and the approximate dates of any changes.</p>	<p>5b. Yes: <none></p> <p>No: AR, AZ, CA, CO, CT, DE, DC, FL, HI, ID, IL, IN, IA, KS, KY, LA, ME, MA, MD, MI, MN, MS, MO, MT, NE, NH, NJ, NY, NV, NC, ND, OH, OK, OR, PA, RI, SD, TN, TX, UT, VT, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments: MI: Above practice will be used for "long names" until new system is in place in about two years.</p>

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Survey Question	Response
	<p>Description: ID: Not applicable. IL: There was no abbreviation after RA9. Prior to RA9, records that were abbreviated have not been altered unless it has been brought to the attention of the filing officer. If it is brought to the filing officer's attention, a data entry correction is made and a filing officer statement is added to the record. KS: As we find names in our system that don't match names on a new filing document, we research the situation and change the name in our system if needed. We rarely have to do this. ME: During the conversion from main frame application and card file system in January 1992, our office reviewed all names that were currently in an electronic format against the paper record to ensure the name was correct. SD: There was a manual review of all documents prior to RA9 and corrections were made at that time. UT: We have not changed any database names unless directed by filers. MB: Not applicable.</p>

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Survey Question	Response	
6a. Has your office ever removed corporate name endings during data entry?	<p>6a. Yes: NV.</p> <p>No: AR, AZ, CA, CO, CT, DE, DC, FL, HI, ID, IL, IN, IA, KS, KY, LA, ME, MA, MD, MI, MN, MS, MO, MT, NE, NH, NJ, NY, NC, ND, OH, OK, OR, PA, RI, SD, TN, TX, UT, VT, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments: IL: Only abbreviation. NV: If the name was too long. UT: Unless the ending is inappropriate to the entity type.</p>

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Survey Question	Response	
<p>6b. Does your office currently remove corporate endings during data entry?</p> <p>*If “yes”, do you remove the first ending, all endings, a set number of endings or other? Please indicate your response in the box to the right.</p> <p>If your answer to 6a or 6b is “Yes”, have you undertaken to bring these records into compliance with current practice, if current and past practice are not the same? Please describe any steps you have taken to bring these names/records into compliance.</p>	<p>6b. Yes: *</p> <p>No: AR, AZ, CA, CO, CT, DE, DC, FL, HI, ID, IL, IN, IA, KS, KY, LA, ME, MA, MD, MI, MN, MS, MO, MT, NE, NV, NJ, NH, NY, NC, ND, OH, OK, OR, PA, RI, SD, TN, TX, UT, VT, WV, WY, Canada, BC, MB, ON, SK, New Zealand.</p>	<p>Comments:</p>
	<p>First ending: Yes No: OH, RI All endings: Yes No: OH, RI A set number of endings: Yes No: OH, RI Other: Please describe: BC: Not applicable.</p>	
<p>7. Do you currently connect the true or legal name of an entity to any and all former name or other fictitious names or assumed names used by that entity? For example, will searches on the former name of “ABC Original Investments” and/or the</p>	<p>Yes: AR: Fictitious and Former names are shown on the corporate data file for each entity. These names are also searchable and reflect the status of the corporate name when displayed for the corporate rep. CO. CT: Assumed names are</p>	

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Survey Question	Response
<p>fictitious or assumed name of “Quick Monies, Inc.” find and connect to the true or legal name now on your records of “ABC Modified Investments”?</p>	<p>not filed with this office. DE: Yes, we connect but only to the true and legal former name as our office does not recognize fictitious or assumed names. DC: Corporations division uses two separate databases: one for company management and another for trade names/fictitious names. Specialists can look in the trade name database and get information about legal owner of the name – be it individual or the company. FL: Current and former business entity names, if applicable are all "tied together" and can be found on a search regardless of how many name changes there are. If a foreign corporation adopts an alternate name for use in Florida because its name is not available, it too is tied to the "real" name and can be found on a search. Fictitious names are on a separate database and if "owned" by a business entity, are tied together in a fictitious name search. HI. ID: Use of an assumed name by an entity is noted in the comments. Searches will not find or connect assumed names with the entities using them. IA, KS: a Search will list previous names. LA: The current name can be connected to former names, MD, ME, MI, MS: began this practice 1/2/2004). MO, MT: If the applicant listed on a fictitious (assumed business name) is a corporation, a limited liability company or a limited partners, the fictitious name is entered on the history page of the applicant which does not directly tie the two together, but by going to the history page of the corporation, limited liability company or limited partnership, you can determine which fictitious names they have registered. NE: Currently yes, and we are working on bringing old records into compliance. We have a selection in our database to search for previous names. NH: Searches of names will return both current and previous names. NJ, NY: The complete name</p>

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Survey Question	Response
	<p>history of the true and fictitious name will be listed on one search if formed after 1978. The assumed name information is listed on a separate database. The complete name history will generally incur more than one search. NC: yes to the former names. However, fictitious names, and d/b/a names are not of record in the SOS's office. Rather, they are filed with the Register of Deeds in the county the entity is located. ND. OH, OK. OR: Only previous names of the same business entity, and current assumed names held by a business entity. That is, you can see the history of all the entity names a corporation, for example, has had. You can also see, via a special search, any assumed names it's associated with. Conversely, if an assumed name is held by a corporation, you can connect back to that corporation's record. PA: Yes but only for internal searching. RI: If you query under "Quick Monies, Inc." the search will yield "Quick Monies, Inc." identified as a "fictitious business name" and opens to the record of "ABC Original Investments" TX. UT: Current system connects all fictitious names and former (aliases) when searching in house, but does not on the public website. WV. WY.</p> <p>Canada: The current corporate name of the organization is connected on our database only to former names that were approved by Corporations Canada. No fictitious or assumed names will be found on this database. BC: Yes, our Corporate Online filing system and database provide this type of cross-reference for all incorporated BC companies and foreign entities registered in BC as extra-provincial companies. ON: Current and former names are all recorded under the same Ontario corporation number. SK.</p>

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	<p>No: AZ: We do not do searches or connect to other assumed names by an entity. IL, IN, MN, NV, SD, TN, MB, New Zealand.</p> <p>KY: They follow the trail.</p> <p>Romania: Until Oct. 2002, Business Names registration used to be performed by the Chambers of Commerce. Since Oct. 2002, Business Names registration (Trade Registries) are under the Ministry of Justice jurisdiction. Business Names are selected following some rules: (for instance there are "forbidden" words that cannot be used in business names. Business Name has to be unique in the county (a regional division of the county. There are 41 counties in Romania).</p>

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<p>Revised Question 7: Do you currently index the true and legal name of an entity along with all former and/or fictitious or assumed names?</p>	<p>Yes, we index current, former and fictitious/assumed names:</p> <p>AK, CA, CO, FL, HI, KY, ME, MN, MO, MT (for internal queries), NC, ND, OH, OK, TN, TX, UT, WY, Canada Federal, BC, SK</p> <p>Yes, we index current and former names but our jurisdiction doesn't record/index fictitious/assumed names:</p> <p>KS, LA, MS, NV</p> <p>No, we do not index anything other than the current name:</p> <p>IL, MT (for external queries), NE, Bermuda</p>