

**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
<b>1. Contact Information</b>			
1a. The filer fails to provide information in item A.	<b>Accept</b>	9-520(a)	None
1b. The filer fails to provide information in Item B.	<b>Accept</b> – acknowledgement not required	9-520(a) 9-523(a)	None
<b>2. Section 1. Debtor Information</b>			
2a. The filer provides an organization name in item 1a and an individual name in item 1b.	<b>Reject</b> – Filer failed to indicate that the debtor was an individual or an organization	9-516(b)(5)(B)	<b>KS, MD, NE, TX, GA, WV:</b> Accept and index both debtors with same address <b>CA:</b> Accept – Index 1a and 1c, if info in Item 1e, 1f or 1g. If no org information index 1b and 1c. <b>LA:</b> Accept and index one debtor <b>AR:</b> Accept and index 1a, if 1e, 1f and 1g are complete; otherwise reject

<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><b>Reject</b> – Filer failed to indicate that the debtor was an individual or an organization</p>	<p>9-516(b)(5)(B)</p>	<p><b>GA, KS, MD:</b> Accept  <b>NE, TX:</b> Accept &amp; index as to 1 a and 1b using address in 1c. Send notification letter to filer  <b>CA:</b> Accept – Index 1a and 1c, if info in Item 1e, 1f or 1g. If no org information index 1b and 1c.  <b>AR:</b> Accept and index 1a, if 1e, 1f and 1g are complete; otherwise reject  <b>LA:</b> Accept &amp; index one debtor</p>
<p>2c. The filer provides an organization name in item 1a. Items 1c-1g are completed. Debtor name is provided in item 2a. No information is provided in item 2c.</p>	<p><b>Accept</b> as to debtor 1, do not index as to debtor 2</p>	<p>9-520(d)</p>	<p><b>NY:</b> Reject as did not adopt 9-520(d)  <b>UT:</b> Reject–failure to provide 2c, e, f &amp; g  <b>KY, MT:</b> We send a notice advising them why debtor 2 was not indexed along with a UCC Amendment form.  <b>IL:</b> Reject (810ILCS 5/9-516(c)(1)(2))  <b>ND:</b> Reject (Administrative Rules)  <b>LA:</b> Accept  <b>NV:</b> Reject (NAC 104.200 (b))  <b>PA:</b> Reject per 9-516(b)(5)(i)</p>

2d. The filer provides information in the city field and either the state or foreign country field of item 1c.	<b>Accept</b>	9-520(a)	<p><b>CA, GA, ME, OH</b> (ORC §1309-516(B)(5)(a)), <b>DE, IL, OR, RI, KY, NC, NJ, TN, UT, WV</b> (516(b)(5)(A)):  Reject as must have address, city, state and zip code or USPS standard</p> <p><b>AL, PA:</b> Requires street address and zip code <b>or</b> a street address, city and state</p> <p><b>CO:</b> Reject, requires address, city and state</p> <p><b>MI, MN, ND:</b> Requires city, state and zip code only.</p> <p><b>NV:</b> Reject for state (if “N/A” or “XX”) accepts for counties. (NAC 104.200 (b))</p> <p><b>SD:</b> Reject according to administrative rules</p>
2e. The filer fails to provide information in item 1d.	<b>Accept</b>	9-520(a)	<p><b>ND:</b> Reject (NDCC 41-09-87 (2h))</p> <p><b>SD:</b> 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>	<b>Accept</b>	9-520(a)	<p><b>NV, MO, OH (HB46), OR:</b> Reject, cannot file with an SSN</p>
2g. The filer fails to provide any information in item 1e (assuming a debtor name was provided in item 1a).	<b>Reject</b>	9-516(b)(5)(C)(i)	<p><b>TN, LA:</b> Accept</p> <p><b>CA, PA:</b> Accept, Requires only that 1e, 1f <b>or</b> 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.	<b>Accept</b>	9-520(a)	<b>ID:</b> Reject if “other” or left blank. <b>NJ:</b> 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).	<b>Reject</b>	9-516(b)(5)(C)(ii)	<b>CA, TN, LA:</b> Accept <b>PA:</b> Only requires that 1e, 1f <b>or</b> 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.	<b>Accept</b>	9-520(a)	<b>ID:</b> Reject <b>NJ:</b> 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).	<b>Reject</b>	9-516(b)(5)(C)(iii)	<b>AR, CA, GA, OH (ORC §1309.503(A)(1)), TN, LA:</b> Accept <b>DE:</b> Accept. Requires only 1e and 1f (9-516(5)(C)) <b>NJ, NV:</b> Possibly accept – 12A: 9-516(b)(6) <b>AL, NY:</b> Accept – Does not have 9-516(b)(5)(C)(iii) <b>PA:</b> Only requires that 1e, 1f <b>or</b> 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.	<b>Accept</b>	9-520(a)	<b>ID:</b> Reject

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

<b>Section 4. Collateral Information</b>			
4a. The filer fails to provide information in item 4.	<b>Accept</b>	9-520(a)	<b>MT:</b> Reject, MCA 30-9A-502(c) <b>ND:</b> Reject, NDCC 41-09-87 (3a)
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).	<b>Accept</b> and take no action	9-520(a)	<b>NJ:</b> Possibly – 12A: 9-516(c)(1) <b>IL:</b> Accept if the intent is clear as to the debtor or secured party name and address, Transmitting Utility requires a UCC-1AD be filed. <b>OH, SD, TX, WV:</b> Accept and if filer intent is clear will add debtor or secured party information to index
<b>Section 5. Alternate Designation</b>			
5a. The filer checks “Non-UCC filing” box in item 5.	<b>Accept</b>	9-520(a)	<b>UT:</b> Accept and take no action
5b. The filer checks multiple boxes in item 5.	<b>Accept</b>	9-520(a)	<b>UT, WA:</b> Accept and take no action
<b>Section 6. Real Estate Recording Designation</b>			
6a. The filer checks the box in item 6.	<b>Accept</b>	9-520(a)	<b>ND:</b> Reject at state level; accept at local level <b>LA:</b> Not applicable <b>UT:</b> Accept and take no action

6b. The filer checks the box in item 6 but fails to provide an addendum.	<b>Accept</b> at State level <b>Reject</b> at local level	9-520(a) 9-516(b)(3)(D)	<b>ND:</b> Reject at state level; accept at local level if filing contains required information  <b>LA:</b> Not applicable  <b>UT:</b> Accept and take no action
<b>Section 7. Search Report Requests:</b>			
7a. The filer checks a box in item 7.	<b>Accept</b> and conduct a search that includes the through date	9-520(a) 9-523(c) See instructions for item 7 on the form. <b>Note:</b> 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.	Search that does not include the filing: <b>TN, AL</b>  Search only upon separate UCC-11 request: <b>CO, GA, IL, MA, ME, NE, NH, NJ, OR, RI, UT, VA</b>  Other: <b>MD</b> and <b>NM</b> do not do searches <b>DE</b> performs search if requested with the filing, even though they do not search via the UCC 11  <b>AR, MO-</b> Will accept the filing but rejects the search and send a letter stating to send search request  <b>MN:</b> Search includes filing, but not wait for the through date
<b>Section 8. Optional Filer Reference Data</b>			
8a. The filer provides information in item 8 that appears to require filing officer action.	<b>Accept</b> and take no action	9-520(a)	<b>None</b>

<b>Financing Statement Addendum</b>			
<b>Section 9. Name of First Debtor on Related Financing Statement</b>			
9a. The filer fails to replicate information in item 9 as provided in item 1.	<b>Accept</b>	9-520(a)	<b>None</b>
9b. The filer truncates the information in item 9 that was provided in item 1.	<b>Accept</b>	9-520(a)	<b>None</b>
9c. The filer abbreviates the information in item 9 that was provided in item 1.	<b>Accept</b>	9-520(a)	<b>None</b>
9d. The filer fails to provide information in item 9.	<b>Accept</b>	9-520(a)	<b>None</b>
<b>Section 10. Miscellaneous</b>			
10a. The filer provides information that appears to require filing officer action.	<b>Accept</b> and take no action	9-520(a)	<b>SD:</b> Takes action <b>CO, DE, GA, WV:</b> Accept and take action if intent is clear <b>KS:</b> Takes action for non-UCC filings only <b>TX:</b> Indexes party information if intent is clear
<b>Section 11. Additional Debtor</b>			
<b>11a. See debtor information in Section 1 of this document</b>			



<b>Section 12. Additional Secured Party</b>			
12a. The filer provides information in the city field, and either the state or foreign country field in 12c.	<b>Accept</b>	9-520(a)	<p><b>CA, DE, GA, IL, ME, MA, MD, OH</b> (ORC §1309-513(B)(5)(a)), <b>RI, KY, NC, NJ, UT, WV:</b> Reject as must have address, city, state and zip code or USPS standard</p> <p><b>AL, PA:</b> Requires street address and zip code <b>or</b> a street address, city and state</p> <p><b>MI, MN, ND:</b> Requires city, state and zip code only.</p> <p><b>NV:</b> Reject for state, accepts for counties per Administrative Rules Section 18(2)</p> <p><b>OR:</b> Accepts the filing, but rejects the additional Secured Party for incomplete address. 9-516(4)</p> <p><b>CO:</b> Accept, but do not index additional Secured Party</p> <p><b>SD:</b> Reject according to administrative rules</p> <p><b>TN:</b> 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.	<b>Accept</b> – index the information as a secured party	9-514(a)	<p><b>AL, DE, TN, IL:</b> Accept and take no action</p> <p><b>WV:</b> 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.	<b>Accept</b> – index the information as a secured party	9-514(a)	<b>CO:</b> Accept, but do not index additional Secured Party <b>MI</b> (MR R 440.202(1)(b)(iv): Partial reject for missing address if no city, state or zip code. <b>TN,:</b> 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)) <b>WV:</b> Rejects
<b>Sections 13, 14 and 15. Real Estate Recording Designation</b>			
If filer checks item 6 on initial financing statement, and:			
a. The filer fails to complete item 13.	<b>Accept</b> at State level and take no action	9-520(a)	<b>ND:</b> Reject at state level (filed in local level only) Accept at local level
b. The filer fails to complete item 14.	<b>Accept</b> at State level <b>Reject</b> at local level	9-520(a) 9-516(b)(3)(D)	<b>ND:</b> Reject at state level; <b>UT:</b> Accept and take no action
c. The filer fails to complete item 15.	<b>Accept</b> at State level	9-520(a)	<b>ND:</b> Reject at state level; Accept at local level <b>UT:</b> Accept and take no action
<b>Section 16. Additional Collateral Description</b>			
16a. See information in Section 4 of this document.			
<b>Section 17. Debtor Designation</b>			
17a. Boxes are checked in item 17.	<b>Accept</b> and take no action	9-520(a)	<b>CO, DE, ME:</b> index and code debtors as indicated in boxes

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

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

1c. The filer provided a number assigned to an amendment (UCC3) rather than an initial financing statement number.	<b>Reject</b>	9-516(b)(3)(B)(i)	<b>AL, NJ, WV:</b> Does not assign a new number to a UCC-3 filing
<b>Section 2. Termination</b>			
2a. A termination is received after other termination(s) filed.	<b>Accept</b>	9-520(a)	<b>WV:</b> Reject <b>NE:</b> Accept only if originally terminated post RA9
<b>Section 3. Continuation</b>			
3a. Multiple continuations received within the six-month continuation window.	<b>Accept</b> – only extend lapse date on first continuation	9-520(a)	<b>MT:</b> Not currently accepting but will accept when new computer system is designed. <b>MD, MO, WV:</b> Will not accept second continuation <b>CO:</b> Accept first continuation, reject all others
3b. Continuation statement received within the six-month continuation window but after termination and prior to lapse date.	<b>Accept</b> and extend lapse date	9-520(a)	<b>None</b>
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.	<b>Reject</b>	9-510(c) 9-515(d)	<b>MI, TN</b> (TCA 1-3-102), <b>UT</b> (113.6.1): Accept: if last day is a weekend or legal holiday, filing is timely on next business day <b>MN</b> (MNR 8280.0020, 645.15): Accept if last day is a holiday, Reject if the office is closed due to inclement weather <b>TX</b> (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.	<b>Accept:</b> the relevant anniversary date for a February 29 <sup>th</sup> filing is March 1 <sup>st</sup> .	9-510(c) 9-515(d)	<b>IL (IARC 14 §180.15b(2)), ND, NE, VA</b>
<b>Section 4. Assignment</b>			
4a. The filer checks the assignment item 4 and provides no other information.	<b>Reject</b>	9-516(b)(6)	<b>None</b>
4b. The filer fails to provide assignor's name in item 9.	<b>Accept</b>	9-520(a)	<b>OH:</b> Reject ORC 1309.514 requires name of assignor & mailing address of assignee  <b>MT:</b> 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 the form).	<b>Reject</b>	9-516(b)(6)	<b>CO, DE, GA, MD,:</b> Accept and index if intent is clear. <b>TX:</b> Accept and index “see attached.”
Also See information about SP on IFS.			

<b>Sections 5, 6 and 7. Amendment (Party Information)</b>			<b>ID:</b> 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.
<b>Assumption:</b> Name “change” and Name “add” as indicated in item 5 and item 7a or item 7b <b>means</b> name not previously provided, i.e., new name. This assumption applies to both secured party and debtor.			<b>CA, WA: Change or Add means new.</b> <b>AL, DE, MO, NC:</b> Rejects assumption. Recognize “Change” as a party that has been previously indexed and “Add” as a party that has not previously been indexed <b>OR, ND, UT:</b> 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.	<b>Reject</b>	9-516(b)(5)(C)	<b>CO, LA, TN:</b> Accept <b>DE, ND:</b> Accept per 9-520(a) name change does not affect jurisdiction <b>OR:</b> If information is given in item 6, accept and index. If no info is given, accept and take no action. <b>PA:</b> Only requires 7e, f, or g per Section 9-516 (b)(5)(iii)

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



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

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.	<b>Accept</b> and take no action	9-520(a)	<b>AR, MO, NY, WV:</b> Reject <b>MA, MI, ND, NV, TX, UT:</b> Reject need an indication of debtor or secured party <b>MT, OH (ORC §1309.512):</b> Reject require form to indicate the type of amendment (change debtor, delete secured party, continuation, etc.) <b>TN:</b> Reject; record not communicated by an authorized method - 516(b)(1) <b>CA, IL, PA:</b> 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.	<b>Reject</b>	9-516(b)(5)(A)	<b>AR , DE, ID, LA, OR, TX, WV:</b> Accept and take no action <b>CO, UT:</b> Accept and index <b>ND, SD:</b> 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.	<b>Reject</b>	9-516(b)(4)	<b>AR , DE, ID, IL, LA, SD, TN, TX:</b> Accept and add name with existing address (TX reject if name in 6 does not match the index) <b>CO, MD, ND, OR, UT:</b> 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.	<b>Reject</b>	9-516(b)(4)	<b>LA:</b> 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.	<b>Reject</b>	9-516(b)(4), (5)	<b>AL, CO, DE, GA, LA, MD, MI, OH (ORC 1309.516(B)(4) and (B)(5)) AR, IL, OR, RI, ND, SD, TN, TX, UT, VA:</b> Accept and index new address information as 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.	<b>Reject</b>	9-516(b)(5)(C)	<b>CO, DE, GA, LA, MI, ND, OR, PA</b> (Section 9-516 (b)(5)(iii)), <b>TN:</b> Accept and index
5o. The filer checks both “Debtor” and “Secured Party” boxes in item 5.	<b>Reject</b>	9-516(c)(1) with respect to 9-516(b)(4), (5) and (6)	<b>LA, OR:</b> Accept and take no action <b>ND, SD:</b> Accepts multiple changes on one amendment form.  <b>MT:</b> 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.	<b>Accept</b> and index (Filer is adding organizational information to the record)	9-520(a)	<b>None</b>
5q. The filer checks “Debtor” and “delete” in item 5 and provides a name in item 6.	<b>Accept</b> and take no action	9-520(a)	<b>CO, DE, GA, LA, MD, MT, ND, NV, OR, RI, UT:</b> Accept and index.  <b>ID, MO:</b> Accept and delete the debtor.
<b>Section 8. Amendment (Collateral Change)</b>			
8a. The filer provides information in item 8 and fails to indicate requested action “deleted, added, restated, or assigned”.	<b>Accept</b> and take no action	9-520(a)	<b>MO, MT, NV, UT, WV:</b> Reject. Requires the form to indicate the type of amendment (change debtor, delete secured party, continuation, etc)  <b>AR, GA, IL, ND, NE, PA:</b> Reject per 9-516(c)(2). Need indication of type of amendment.  <b>LA:</b> Accept and enter exactly as given in 8.

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

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

<p>b. The filer checks item 2 (termination) and item 4 (assignment).</p>	<p><b>Accept;</b> index both item 2 and item 4</p>	<p>9-520(a)</p>	<p><b>DE:</b> Accept and index assignment if item 7 is completed. Management system will not accept multiple actions  <b>CA, OH, WV:</b> Reject, invalid combination.  <b>MT, NE, NY and SD:</b> Reject per Administrative Rules  <b>NH:</b> Reject, 9-512(f), 9-512(b)(8)  <b>AL, GA, IL</b> (Admin Rule 180.12 e), <b>LA, MA</b> (950 CMR 140.14), <b>MD, MI, MS, NE, NH, NV, PA, RI:</b> Reject, will not allow multiple actions</p>
<p>c. The filer checks item 2 (termination) and item 5 (party information).</p>	<p><b>Accept;</b> index item 2 and item 5</p>	<p>9-520(a)</p>	<p><b>MN:</b> Accept, index the termination, accept the other as an amendment and take no action (if 6 and 7 are blank).  <b>MT, NE, NY and SD:</b> Reject per Administrative Rules  <b>AL, GA, IL</b> (Admin Rule 180.12 e), <b>LA, MA</b> (950 CMR 140.14), <b>MD, MI, MS, NE, NH, NV, PA, RI:</b> Reject, will not allow multiple actions  <b>CA, OH, WV:</b> Reject, invalid combination.</p>

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

f. The filer checks item 3 (continuation) and item 5 (party information).	<b>Accept;</b> extend lapse date and index item 5	9-520(a)	<p><b>DE:</b> Accept, index continuation, ignore party amendment as management system will not allow multiple actions.</p> <p><b>MN:</b> Accept, index the continuation, accept the other as an amendment and take no action (if 6 and 7 are blank).</p> <p><b>NH:</b> Reject, 9-512(f), 9-512(b)(8)</p> <p><b>SD, NE:</b> Reject per Administrative Rules</p> <p><b>GA, IL</b> (Admin Rule 180.12 e), <b>LA, MA, MD, MI, MS, NE, NH, NV, PA, RI:</b> Reject, will not allow multiple actions</p>
g. The filer checks item 3 (continuation) and item 8 (collateral change).	<b>Accept</b> and extend lapse date and index item 8	9-520(a)	<p><b>NH:</b> Reject, 9-512(f), 9-512(b)(8)</p> <p><b>SD, NE:</b> Reject per Administrative Rules</p> <p><b>GA, IL, LA, MA, MD, MI, MS, NE, NH, NV, PA, RI:</b> Reject, will not allow multiple actions</p>
h. The filer checks item 4 (assignment). The filer checks box in item 5 (party information- <b>debtor</b> ) other than “delete.” Items 6 & 7 are left blank.	<b>Reject</b>	9-516(c)(1) with respect to 9-516(b)(5) and (6)	<p><b>WV:</b> Accept</p> <p><b>SD:</b> Accept per Administrative Rules</p>
i. The filer checks item 4 (assignment). The filer checks box in item 5 (party information- <b>secured party</b> ) other than delete. Items 6 & 7 are left blank.	<b>Reject</b>	9-516(c)(1) with respect to 9-516(b)(4) and (6)	<b>SD, WV:</b> Accept



<p>j. The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information-<b>debtor</b>).</p>	<p><b>Accept;</b> index both item 4 and item 5</p>	<p>9-520(a)</p>	<p><b>DE, OR:</b> Accept and index for assignment only (if item 7 is complete).</p> <p><b>MN:</b> Accept, index the assignment, accept the other as an amendment and take no action (if 6 is blank).</p> <p><b>CA:</b> Reject, invalid combination.</p> <p><b>GA, IL</b> (Admin Rule 180.12 e), <b>LA, MA, MD, MI, MS, NE</b> (per Administrative Rules), <b>NH, NV, NY, PA, RI:</b> Reject, will not allow multiple actions  <b>UT:</b> Reject as intent is unclear</p>
<p>k. The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information-<b>secured party</b>).</p>	<p><b>Accept;</b> index both item 4 and item 5</p>	<p>9-520(a)</p>	<p><b>WV:</b> Accept and index both if 7 is complete.</p> <p><b>MN:</b> Accept, index the assignment, accept the other as an amendment and take no action (if 6 is blank).</p> <p><b>CA:</b> Reject, invalid combination.</p> <p><b>UT:</b> Reject as intent is unclear</p> <p><b>DE, OR:</b> If item 7 is completed, accept and index for assignment only</p> <p><b>GA, IL</b> (Admin Rule 180.12 e)<b>LA, MA, MD, MI, MS, NE, NY</b> (per Administrative Rules), <b>NH, NV, NY, PA, RI:</b> Reject, will not allow multiple actions</p>

<p>l. The filer checks item 4 (assignment) and item 8 (collateral change).</p>	<p><b>Accept;</b> index both item 4 and item 8</p>	<p>9-520(a)</p>	<p><b>DE, OR:</b> Accept and index as assignment, if item 7 is complete. If not complete accept as an amendment. <b>UT:</b> Accept if item 7 is complete; otherwise Reject. <b>CA:</b> Reject, invalid combination. <b>GA, IL, LA, MA, MD, MI, MS, NE</b> (per Administrative Rules), <b>NH, NV, PA, RI:</b> Reject, will not allow multiple actions</p>
<p>m. The filer checks item 5 (party information) and item 8 (collateral change).</p>	<p><b>Accept;</b> index both item 5 and item 8</p>	<p>9-520(a)</p>	<p><b>DE:</b> Accept and index as to item 5, ignore collateral change as management system will not allow multiple actions. <b>MN:</b> Accept, index the collateral change, accept the other as an amendment and take no action (if 6 and 7 are blank). <b>UT:</b> Accept and index as to item 8, disregard item 5 if action is required. <b>GA, IL, LA, MA, MD, MI, MS, NH, NV, PA, RI:</b> Reject, will not allow multiple actions</p>
<p><b>MISCELLANEOUS ITEMS</b></p>			
<p>a. Use of words such as “same,” “N/A,” “not applicable,” “none;” or “see attached,” “see addendum,” “see exhibit;” or comparable phrases.</p>	<p><b>Accept -</b> Words used in the form fields should not be interpreted by the filing office. Filing Office should index all form fields exactly as given.</p>	<p>9-520(a)</p>	<p><b>IL, TX, WV:</b> Ignores words or reviews attachments.</p>

<p>b. Forms</p> <p>1. Forms other than national or model forms</p>	<p><b>Reject</b></p>	<p>9-521</p>	<p><b>AL:</b> File as nonstandard with additional \$5 fee, <b>LA:</b> addl. \$15 fee.</p> <p><b>CO, DE, MD, MO, ND, NM, NJ, OH, WV:</b> Accept</p> <p><b>FL, ND, SD:</b> Accept, also accept own forms.</p>
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2. Forms that mimic national or model forms (fields are different sizes, etc.):	<b>Accept</b>	9-521	<b>AL, SD:</b> Reject as nonstandard form.
3. IACA Model forms:	<b>Accept and Index</b>	9-521	
UCC-1 Initial Financing Statement	<b>Accept</b> and Index	9-521	<b>None</b>
UCC-1 Initial Financing Statement Addendum	<b>Accept</b> and Index	9-521	<b>None</b>
UCC-3 Amendment	<b>Accept</b> and Index	9-521	<b>None</b>
Additional Party Addendum (UCC-1 and UCC-3	<b>Accept</b> and Index	9-521	<b>None</b>
c. Attached Pages			
• Filer adds an attachment that is not the national addendum form.	<b>Accept</b> – do not index information on attachment.		<b>CO, GA, LA, ND, SD, WV, WY:</b> Index <b>IL, DE, NY, TX:</b> Accept and index if content is clear
• Filer adds an attachment that is not the national addendum form, but that contains properly formatted information.	<b>Accept</b> – do not index information on the attachment.		<b>MD, :</b> Reject  <b>MT:</b> In both cases, we will accept if adding additional collateral but will reject if adding additional parties
d. Bogus or fraudulent filings			<b>For Item d.1:</b>
1. Filer provides the same name in items 1 and 3 of IFS (i.e., debtor and secured party are the same).	<b>Accept</b>	9-520(a)	<b>AL, MI (MCL 440.9520(5)(e)), MT, ND, OR,, SD:</b> Reject per administrative rule  <b>NC, WV:</b> Reject per statute  <b>TX</b> (Gov. Code 405.022)– Submit to Attorney General for review – most get rejected  <b>NE, NJ, VA:</b> Reject

<p>2. Individual debtor is listed and box 18 is checked indicating the debtor is a transmitting utility.</p>	<p><b>Accept</b> – set lapse date to be effective until terminated.</p>	<p>9-520(a), 9-515(f)</p>	<p><b>For Item d.2:</b>  <b>AL, DE, ID, IL, MI (MCL 440.9520(5)(e)), MT, ND, NJ, NM, NV, OH (ORC 111.24(A)), OR (ORS 79.102(1)(bbbb), SD: Reject</b></p> <p><b>PA:</b> Reject if it appears that the debtor is not a legitimate TU, 9-516(c)(1).</p> <p><b>WV:</b> Reject without proof of transmitting utility</p> <p><b>TX (Gov. Code 405.022)</b> – Submit to Attorney General for review – most get rejected</p> <p><b>MN(MNR 8280.0150(D)):</b> Do not lapse TU because they don't know if all Secured Parties terminated.</p>
<p>3. Copies of personal documents, such as birth certificate, social security number, etc. are attached.</p>	<p><b>Accept</b></p>	<p>9-520(a)</p>	<p><b>For Item d.3:</b>  <b>AL (Administrative Rules 820-4-3.02(3)(b)), MI (MCL 440.9520(5)(e)), MT, NJ, OH (ORC 111.24(A)), OR (ORS 79.0516(2)(h), SD, TX: Reject</b></p> <p><b>MO:</b> Reject social security numbers, others accepted.</p>

<p>4. Debtor listed is a public official.</p>	<p><b>Accept</b></p>	<p>9-520(a)</p>	<p><b>For Item d.4:</b>  <b>AL</b>, (Administrative Rules 820-4-3.02(3)(b)) <b>DE, ID, IL, MI (MCL 440.9520(5)(d)), NJ, NV, OH (ORC 111.24(A)), OR, PA, SD:</b> Reject   <b>TX</b> (Gov. Code 405.022)– Submit to Attorney General for review – most get rejected   <b>NE, WA (RCW 60.70.030(2)):</b> May reject, if recognized on the record</p>
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<p>5. The filing appears on its face to be bogus or fraudulent.</p>	<p><b>Accept</b></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><b>For Item d.5:</b></p> <p><b>AL</b> (AAR 820-4-3.02(3)(b)), <b>DE, MI</b> (MCL 440.9520(5)(c)), <b>MT</b> (MCA 30-9A-420), <b>NC, NJ, OH</b> (ORC 111.24(A)), <b>OR</b> (ORS 79-516(2)(h)), <b>SD</b>: Reject per Administrative Rule</p> <p><b>NV</b>: Reject unless proven to be registered utility based on opinion by AG</p> <p><b>PA</b>: Reject, 9-516(c)(1)</p> <p><b>TX</b> (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"> <li>Filing requests made in cover letters or post-it-notes, such as “file first.”</li> </ul>	<p>Use reasonable judgment to accommodate request</p>	<p>9-520(a),</p>	<p><b>None.</b></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><b>Accept</b> - 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><b>For Item f.1:</b></p> <p><b>DE, MT:</b> 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><b>NE, WV:</b> 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><b>UT:</b> 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><b>MO:</b> 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><b>Accept</b> –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><b>For Item f.2:</b></p> <p><b>UT:</b> 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><b>WV:</b> Correct error at no charge, no filing officer statement</p>
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**Jurisdictions that have validated information for 2009 Conference:**

AR, CO, DE, GA, IL, KS, KY, LA, ME, MA, MI, MN, MO, MT, NC, ND, NH, NJ, NE, NV, OH, OR, PA, RI, UT, VA, WA, WY

**Jurisdictions that have not provided input:**

AZ, DC, FL, HI, OK, SC, WI, VT