



**IACA**

SALT LAKE CITY  
**UTAH 2008**  
UNITING LOCAL AND  
GLOBAL PERSPECTIVES

# Jurisdictions Guidelines for Accepting a UCC Record Presented for Filing Chart

2008 Update

## **The Initial Financing Statement Part I**

# Initial Financing Statement

## 1. Contact Information


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

**UCC FINANCING STATEMENT**  
FOLLOW INSTRUCTIONS (front and back) CAREFULLY

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

B. SEND ACKNOWLEDGMENT TO: (Name and Address)

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



**Accept**

# Initial Financing Statement

## 1. Contact Information


1b. The filer fails to provide information in Item B.

**UCC FINANCING STATEMENT**  
FOLLOW INSTRUCTIONS (front and back) CAREFULLY

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

B. SEND ACKNOWLEDGMENT TO: (Name and Address)

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



**Accept** – Acknowledgement not required

# Initial Financing Statement

## 2. Section 1. Debtor Information

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

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

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

# Initial Financing Statement

## 2. Section 1. Debtor Information

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

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

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

# Initial Financing Statement

## Section 2. Debtor Information

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

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

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

# Initial Financing Statement

## Section 2. Debtor Information

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

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

or

1c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY
<b>123 MAIN ST</b>	<b>SPRINGFIELD</b>	<b>IL</b>		

Accept

# Initial Financing Statement

## Section 2. Debtor Information

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

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

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

**Accept**



# Initial Financing Statement

## Section 2. Debtor Information

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

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

**Accept**

*(Acceptance with redaction is still "accept")*

# Initial Financing Statement

## Section 2. Debtor Information

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

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

**Reject**

# Initial Financing Statement

## Section 2. Debtor Information

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

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

**Accept**

# Initial Financing Statement

## Section 2. Debtor Information

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

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

**Reject**

# Initial Financing Statement

## Section 2. Debtor Information

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

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

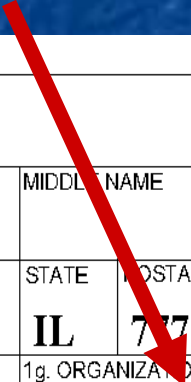
**Accept**

# Initial Financing Statement

## Section 2. Debtor Information

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

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



**Reject**

# Initial Financing Statement

## Section 2. Debtor Information

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

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

**Accept**

# Initial Financing Statement

## Section 3. Secured Party Information

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

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

**Option 1** – Reject

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



# Initial Financing Statement

## Section 3. Secured Party Information

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

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

or

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

Accept

# Initial Financing Statement

## Section 4. Collateral Information

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

4. This FINANCING STATEMENT covers the following collateral:

**Blank**



**Accept**

# Initial Financing Statement

## Section 4. Collateral Information

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

4. This FINANCING STATEMENT covers the following collateral:

**ALL ASSETS.**

**DEBTOR IS A TRANSMITTING UTILITY.**

**Accept** – take no action.

# Initial Financing Statement

## Section 5. Alternate Designation

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



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




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

**Accept**

# Initial Financing Statement

## Section 5. Alternate Designation

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



5. ALTERNATIVE DESIGNATION [if app	
6. <input type="checkbox"/>	This FINANCING STATEMENT is t
ESTATE RECORDS. Attach Ac	
8. OPTIONAL FILER REFERENCE DATA	

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

**Accept**

# Initial Financing Statement

## Section 6. Real Estate Recording Designation

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

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

**Accept**

# Initial Financing Statement

## Section 6. Real Estate Recording Designation

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

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

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

# Initial Financing Statement

## Section 7. Search Report Requests

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

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

**Accept** and conduct a search that includes the filing.



# Initial Financing Statement

## Section 8. Optional Filer Reference Data

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

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

**Accept** and take no action.