

**IACA:  
Jurisdictional Guidelines for  
the Processing and Reporting  
of a UCC Search Request  
Survey**

Model Administrative Rules, Section 5

May 21, 2008

# UCC Search Request Shall Contain the Following:

## 1a. Name searched.

(i) A search request must set forth the name of the debtor to be searched using designated fields for organization and individual first, middle and last names.

MARS 501.1

Yes, my office applies this rule as stated.

# UCC Search Request Shall Contain the Following:

## 1a. Name searched.

(ii) A search request will be processed using the data and designated fields exactly as submitted, including the submission of no data in a given field, without regard to the nature or character of the debtor that is the subject of the search.

MARS 501.1

Yes, my office applies this rule as stated.

# UCC Search Request Shall Contain the Following:

## 1b. Requesting party.

The name and address of the person to whom the search results is to be sent.

MARS 501.2

Yes, my office applies this rule as stated.

# UCC Search Request Shall Contain the Following:

## 1c. Fee.

The appropriate fee shall be enclosed, payable by a method described in rule 106.

MARS 501.3

Yes, my office applies this rule as stated.

# UCC Search Request Shall Contain the Following:

## 1d. Search logic.

The request shall specify if a search methodology other than that described in rule 503.1 is to be applied in conducting the search. If no such methodology is specified, the one described in rule 503.1 shall be applied.

MARS 501.4

Yes, my office applies this rule as stated.

## **2. Optional information. A UCC search request may contain any of the following information:**

### **2a. Copies.**

**The request may limit the copies of UCC records that would normally be provided with a search report by requesting that no copies be provided or that copies be limited to those UCC records that: include a particular debtor address; include a particular city in the debtor address; were filed on a particular date or within a particular range of dates; or include a particular secured party name.**

**MARS 502.1**

**Limiting Copies is an available service.**

## **2. Optional information. A UCC search request may contain any of the following information:**

### **2b. Scope of search.**

**A search request may ask for a search that reports all Active Records retrieved by the search rather than only Unlapsed Records retrieved by the search.**

MARS 502.2

Requesting all Active Records is an available search.



## **2. Optional information. A UCC search request may contain any of the following information:**

### **2c. Mode of Delivery.**

**A search request may specify a mode of delivery for search results and that request will be honored if the requested mode is made available by the filing office, and all requisite fees are tendered.**

MARS 502.3

Requesting a specific mode of delivery is an available service.

## 2. Optional information. A UCC search request may contain any of the following information:

### 2d. Search request with filing.

If a filer requests a search at the time an initial financing statement is filed by [checking the appropriate box or populating the appropriate field in or on the initial financing statement or by] submitting a search request with the initial financing statement at the time it is tendered for filing, the search request shall be deemed to request a search to be conducted as soon as practicable such that it would retrieve all relevant UCC records filed on or prior to the date [time] the initial financing statement is filed.

MARS 502.4

Requesting a search at the time of filing is an available service.

# Filing Office Standard Search Logic, applied to all searches:

## 3a. Limitations on Number of Matches.

There is no limit to the number of matches that may be returned in response to the search criteria.

MARS 503.1.1

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

## **3b. Upper and Lower Case.**

**No distinction is made between upper and lower case letters.**

MARS 503.1.2

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

**3c. The "&" (the ampersand).**

**The character "&" (the ampersand) is deleted and replaced with the characters "and" each place it appears in the name.**

MARS 503.1.3

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

## 3d. Punctuation.

Punctuation marks and accents are disregarded. For the purposes of this rule, punctuation and accents include all characters other than the numerals 0 through 9 and the letters A through Z (in any case) of the English alphabet.

MARS 503.1.4

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

## 3e. Ending Noise Words.

The following words and abbreviations at the end of an organization name that indicate the existence or nature of the organization are “disregarded” to the extent practicable as determined by the filing office’s programming of its UCC information management system: (“Ending Noise Words”) \*

MARS 503.1.5

Yes, my office publishes an ending noise word list as stated.

# Filing Office Standard Search Logic, applied to all searches:

## 3f. The treatment of "The".

The word "the" at the beginning of an organization debtor name is disregarded.

503.1.6

Yes, my office applies this rule as stated.



# Filing Office Standard Search Logic, applied to all searches:

## **3g. Spaces.**

**All spaces are disregarded.**

MARS 503.1.7

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

## 3h. Individual Names.

For first and middle names of individual debtor names, initials are treated as the logical equivalent of all names that begin with such initials, and first name and no middle name or initial is equated with all middle names and initials.

MARS 503.1.8

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

## 3i. Individual Names.

If the name being searched is the last name of an individual debtor name without any first or middle name provided, the search will retrieve from the UCC information management system all Unlapsed Records or, if requested by the searcher, all Active Records that pertain to financing statements with individual debtor names that consist of such last name, any or no middle name or initial and no first name

MARS 503.1.9

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

## 3j. Individual Names.

After using the preceding rules to modify the name being searched, the search will retrieve from the UCC information management system all Unlapsed Records, or, if requested by the searcher, all Active Records, that pertain to financing statements with debtor names that, after being modified as provided in this rule 503, exactly match the modified name being searched.

MARS 503.1.10

Yes, my office applies this rule as stated.

# Filing Office Standard Search Logic, applied to all searches:

## 3k. Notice.

Changes in standard search logic. If the filing office changes its standard search logic or the implementation of its standard search logic in a manner that could alter search results the filing office will provide public notice of such change.

MARS 504

Yes, my office applies this rule as stated.

# Search responses - Reports shall include the following:

## 4a. Copies.

(i)

Copies of all UCC records retrieved by the search unless only limited copies are requested by the searcher.

MARS 505.1

Yes, my office provides the search results according to the expectations of the searcher.

# Search responses - Reports shall include the following:

4a. Copies.

(ii)

Copies will reflect any redaction of personal information required by law.

MARS 505.1

Yes, my office currently redacts as provided by statute.

# Search responses - Reports shall include the following:

## 4b. Limited copies language.

A report generated by a filing officer in response to a copy limiting request shall contain the following statement “You have not requested copies of all UCC records that might apply to the debtor of the name you have searched.”

MARS 505.2

Yes, my office includes this statement.



# Search responses - Reports shall include the following:

## 4c. Filing office identification.

Identification of the filing officer responsible for search report.

MARS 505.2.1

Yes, my office provides an identification.

# Search responses - Reports shall include the following:

4d. Unique search report identification number.  
Unique number which identifies the search report [and enables the filing office to obtain a record of the search report]. \*

\*Please identify whether your office provides a unique number, regardless of whether the number may retrieve a record of the search report.

MARS 505.3.2

Yes, my office provides an identification number.

# Search responses - Reports shall include the following:

## 4e. Report date and time.

The date and time the report was generated.

MARS 505.3.3

Yes, my office reports the date and time.

# Search responses - Reports shall include the following:

4f. Through date and time.

The date and time at or prior to which a UCC record must have been filed with the filing office in order for it to be reflected on the search.

MARS 505.3.4

Yes, my office reports through date and time.

# Search responses - Reports shall include the following:

4g. Certification language.  
[insert template language]\*

*\*Please identify whether your office does or does not provide certification language on a search report. A copy of your jurisdiction's language is not necessary.*

MARS 505.3.5

Yes, my office states certification language.

# Search responses - Reports shall include the following:

4h. Search Logic Disclaimer Language.  
[if any, insert template language]\*

*\*Please identify whether your office does or does not provide search logic disclaimer language on a search report. A copy of your jurisdiction's language is not necessary.*

MARS 505.3.6

Yes, my office states a disclaimer.

# Search responses - Reports shall include the following:

4i. Name provided.

Name as provided by searcher.

MARS 505.3.7

Yes, my office indicates the name on the search request.

# Search responses - Reports shall include the following:

4j. Search string.

Normalized name as provided by rule 503.

MARS 505.3.8

Yes, my office indicates the normalized name.



# Search responses - Reports shall include the following:

4k. Lien type searched.

[UCC or other type of documents searched.]\*

*\* Please identify whether your office does or does not identify the lien type searched (ex. UCC, FTL) on a search report.*

MARS 505.3.9

Yes, my office indicates the type of search performed.

# Search responses - Reports shall include the following:

4l. Scope of search.  
[Unlapsed/All.]\*

*\* Please identify whether your office does or does not identify the scope of the search on a search report.*

MARS 505.3.10

Yes, my office indicates the type of scope of the search.

# Search responses - Reports shall include the following:

4m. Search logic used.

[IACA recommended search logic/Other]\*

*\* Please identify whether your office does or does not identify the search logic used on a search report.*

MARS 505.3.11

Yes, my office indicates the search logic used.

# Search responses - Reports shall include the following:

4n. Copies.

[Certified/Copies not Requested/Partial Copies/Specified Copies \_\_\_\_/Date Range]\*

*\* Please identify whether your office does or does not identify the status of copies provided on a search report.*

MARS 505.3.12

Yes, my office indicates the status of copies provided by this rule.

# Search Reports shall contain the following:

**5a. Identification of the Filing Office.**  
**Identification of the filing office responsible for  
the search report.**

MARS 505.4.1

Yes, my office includes the filing office identification.

# Search Reports shall contain the following:

**5b. Search report identification number.**  
**Unique number assigned under rule 505.3.2.**

MARS 505.4.2

Yes, my office assigns an identification number and reports  
such on the search report.

# Search Reports shall contain the following:

## 5c. Identification of financing statement.

Identification of each initial financing statement, including a listing of all related amendments, correction statements, or filing officer notices, filed on or prior to the through date corresponding to the search criteria (including whether the searcher has requested All Records or only Unlapsed Records). Financing statement information shall include, but is not limited to the following:

MARS 505.4.3

Yes, my office indicates the initial and all related documents.

# Search Reports shall contain the following:

5c (1). Initial financing statement file number.  
The initial financing statement file number

MARS 505.4.3.1

Yes, my office includes the initial file number.



# Search Reports shall contain the following:

5c (2). Initial financing statement filing date and time.  
The date and time it was filed.

MARS 505.4.3.2

Yes, my office includes the initial file date and time.

# Search Reports shall contain the following:

## 5c (3). Lapse date.

Provide the lapse date as calculated as of the through date and time established under rule 505.3.4.

MARS 505.4.3.3

Yes, my office includes the lapse date.

# Search Reports shall contain the following:

## 5c (4). Debtor name.

The debtor name(s) that appear(s) of record.

MARS 505.4.3.4

Yes, my office includes the debtor name(s).

# Search Reports shall contain the following:

## 5c (5). Debtor address.

The debtor address(es) that appear of record.

MARS 505.4.3.5

Yes, my office includes the debtor address(es).

# Search Reports shall contain the following:

## 5c (6). Secured party name.

The secured party name(s) that appear of record.

MARS 505.4.3.6

Yes, my office includes the secured party name(s).

# Search Reports shall contain the following:

## 5c (7). Secured party address.

The secured party address(es) that appear of record.

MARS 505.4.3.7

Yes, my office includes the secured party address(es).

# Search Reports shall contain the following:

## 5c (8). Amendment type.

An indication of type of each amendment, if any.

MARS 505.4.3.7

Yes, my office includes the secured party address(es).

# Search Reports shall contain the following:

## 5c (9). Amendment file date and time.

The amendment file date and time each amendment, if any, was filed.

MARS 505.4.3.9

Yes, my office includes amendment file date and time.



# Search Reports shall contain the following:

## 5c (10). Amendment file number.

The amendment file number of each amendment, if any.

MARS 505.4.3.10

Yes, my office includes amendment file number.

# Search Reports shall contain the following:

5c (11). Correction statement filing date and time.  
The date and time a correction statement, if any, was filed.

MARS 505.4.3.11

Yes, my office includes correction statement file date and  
time.

# Search Reports shall contain the following:

5c (12). Filing officer statement filing date and time.

The date and time a filing officer statement, if any, was filed.

MARS 505.4.3.12

Yes, my office includes the filing officer statement file date  
and time.