

Jurisdictions Guidelines for Accepting a UCC Record Presented for Filing Chart

The following assumptions apply:

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

Initial Financing Statement	Action	Revised Article 9 Section	Jurisdictions that will deviate and legal authority to do so
1. Contact Information			
1a. The filer fails to provide information in item A.	Accept	9-520(a)	
1b. The filer fails to provide information in Item B.	Accept – acknowledgement not required	9-520(a) 9-523(a)	
2. Section 1. Debtor Information			
2a. The filer provides an organization name in item 1a and an individual name in item 1b.	Reject – Filer failed to indicate that the debtor was an individual or an organization	9-516(b)(5)(B)	KS, MD, NE, TX: Accept and index both debtors with same address NC: Accept and index 1b & 1c. Send letter of omission for 1a due to missing info in 1e, 1f & 1g

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.	Reject – Filer failed to indicate that the debtor was an individual or an organization	9-516(b)(5)(B)	GA, KS, MD: Accept NE, TX: Accept & index as to 1 a and 1b using address in 1c. Send notification letter to filer NC: Accept and index 1b & 1c. Send letter of omission for 1a due to missing info in 1e, 1f & 1g
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.	Accept as to debtor 1, do not index as to debtor 2	9-520(d)	NY: Reject as did not adopt 9-520(d) MI: (MR R 440.202(1)(a)(v)) Partial reject – Debtor 2 for missing address if no city, state or zip code. NV: Reject (NAC 104.200 (b))
2d. The filer provides information in the city field and either the state or country field of item 1c.	Accept	9-520(a)	CA, GA, MA, OH (ORC §1309-516(B)(5)(a)), OR, RI, KY, NC, NJ, TN (516(b)(5)(A)): Reject as must have address, city, state and zip code or USPS standard AL, PA: Requires street address and zip code or a street address, city and state MI: Requires city, state and zip code only. MN: Requires city, state and zip code only NV: Reject for state, accepts for counties. (NAC 104.200 (b)) SD: Reject according to administrative rules VA: Reject, requires city and state
2e. The filer fails to provide information in item 1d.	Accept	9-520(a)	ND (NDCC 41-09-87 (2h)), SD (57A-9-502(1)): Reject

2f. The filer fails to provide any information in item 1e (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(i)	CA, TN: Accept PA: Only requires that 1e, 1f or 1g be completed per Section 9-516(b)(5)(C)(iii)
2g. The filer provides information in item 1e that does not appear to be a type of organization.	Accept	9-520(a)	ID, MA: Reject NJ: Reject – 12A:9-516(c)(1)
2h. The filer fails to provide any information in item 1f (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(ii)	CA, TN: Accept PA: Only requires that 1e, 1f or 1g be completed per Section 9-516(b)(5)(C)(iii)
2i. The filer provides information that does not appear to be a jurisdiction in item 1f.	Accept	9-520(a)	ID, MA: Reject NJ: Reject – 12A: 9-516(b)(6)
2j. The filer fails to provide information or check “none” in item 1g (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(iii)	CA, GA, OH (ORC §1309.503(A)(1)), TN: Accept DE: Accept. Requires only 1e and 1f (9-516(5)(C)) NJ: Possibly accept – 12A: 9-516(b)(6) NY: Accept – Does not have 9-516(b)(5)(C)(iii) PA: Only requires that 1e, 1f or 1g be completed per Section 9-516(b)(5)(C)(iii)
2k. The filer provides information that does not appear to be an organization identification number in item 1g.	Accept	9-520(a)	ID: Reject

Section 3. Secured Party Information			
3a. The filer provides an organization name in item 3a and an individual name in item 3b. One address is provided in item 3c.	<p>Option 1 – Reject</p> <p>Option 2 – Accept as to item 3a, reject as to item 3b</p> <p>Option 3 – Accept as to item 3a and item 3b using item 3c as address for both</p>		<p>Option 1: CA, KY, MA, ME, MI, MN, MO, NJ, NM, NV, NY, OH, RI, TN, VA, WA, WY</p> <p>Option 2: None</p> <p>Option 3: AL, DE, GA, KS, LA, MD, MT, NC, ND, NE, NH, OR, PA, SD, TX</p>
3b. The filer provides information in the city field and either the state or country field in 3c.	Accept	9-520(a)	<p>CA, DE, GA, MA, OH (ORC §1309-513(B)(5)(a)), OR, RI, KY, NC, NJ, TN (516(b)(5)(A)): Reject as must have address, city, state and zip code or USPS standard</p> <p>AL, PA: Requires street address and zip code or a street address, city and state</p> <p>MI: Requires city, state and zip code only.</p> <p>MN: Requires city, state and zip code only</p> <p>NV: Reject for state, accepts for counties. (NAC 104.200 (b))</p> <p>SD: Reject according to administrative rules</p> <p>VA: Reject, requires city and state</p>
Section 4. Collateral Information			
4a. The filer fails to provide information in item 4.	Accept	9-520(a)	MT: Reject, MCA 30-9A-502(c)
4b. The filer provides information in item 4 that appears to require filing officer action (for example: additional debtor or indicate debtor is a transmitting utility).	Accept and take no action	9-520(a)	<p>NJ: Possibly – 12A: 9-516(c)(1)</p> <p>OH, SD, TX: Accept and if filer intent is clear will add debtor or secured party information to index</p>

Section 5. Alternate Designation			
5a. The filer checks “Non-UCC filing” box in item 5.	Accept	9-520(a)	
5b. The filer checks multiple boxes in item 5.	Accept	9-520(a)	
Section 6. Real Estate Recording Designation			
6a. The filer checks the box in item 6.	Accept	9-520(a)	
6b. The filer checks the box in item 6 but fails to provide an addendum.	Accept at State level Reject at local level	9-520(a) 9-516(b)(3)(D)	
Section 7. Search Report Requests:			
7a. The filer checks a box in item 7.	Accept and conduct a search that includes the filing	9-520(a) 9-523(c) See instructions for item 7 on the form. Note: Not all states do searches and not all states will honor a search request made via this form; some states require a separate UCC-11 request form. Some states may conduct the search, but the search will not include this filing.	Search that includes the filing: KS, KY, NC, NE, NV, SD, VA, WA Search that does not include the filing: NY, TN Search only upon separate UCC-11 request: GA, MA, ME, MO, NH, NJ, OR, RI Other: MD and NM do not do searches DE perform search if requested with the filing, even though they do not search via the UCC 11
Section 8. Optional Filer Reference Data			
8a. The filer provides information in item 8 that appears to require filing officer action.	Accept and take no action	9-520(a)	

Financing Statement Addendum			
Section 9. Name of First Debtor on Related Financing Statement			
9a. The filer fails to replicate information in item 9 as provided in item 1.	Accept	9-520(a)	RI: Reject
9b. The filer truncates the information in item 9 that was provided in item 1.	Accept	9-520(a)	RI: Reject
9c. The filer abbreviates the information in item 9 that was provided in item 1.	Accept	9-520(a)	RI: Reject
9d. The filer fails to provide information in item 9.	Accept	9-520(a)	RI: Reject
Section 10. Miscellaneous			
10a. The filer provides information that appears to require filing officer action.	Accept and take no action	9-520(a)	GA, SD: Takes action DE: Accept and take action if intent is clear KS: Takes action for non-UCC filings only TX: Indexes party information if intent is clear
Section 11. Additional Debtor			
11a. See debtor information in Section 1 of this document.			
Section 12. Additional Secured Party			
12a. The filer provides information in the city field, and either the state or country field in 12c.	Accept	9-520(a)	CA, DE, GA, MA, MD, OH (ORC §1309-513(B)(5)(a)), RI, KY, NC, NJ: Reject as must have address, city, state and zip code or USPS standard AL, PA: Requires street address and zip code or a street address, city and state

			<p>MI, MN: Requires city, state and zip code only.</p> <p>NV: Reject for state, accepts for counties per Administrative Rules Section 18(2)</p> <p>OR: Accepts the filing, but rejects the additional Secured Party for incomplete address. 9-516(4)</p> <p>SD: Reject according to administrative rules</p> <p>TN: Partial reject if no state and #12 not indexed; must have complete mailing address (earlier version of MAR providing partial rejects for SPs and 516(b)(4))</p> <p>VA: Reject, requires city and state.</p>
12b. The “Assignor” box is checked.	Accept – index the information as a secured party	9-514(a)	AL, DE, TN: Accept and take no action
12c. The filer provides a secured party name in item 12a or item 12b but has not checked either the “Additional Secured Party’s or Assignor” box.	Accept – index the information as a secured party	9-514(a)	<p>MI (MR R 440.202(1)(b)(iv): Partial reject for missing address if no city, state or zip code.</p> <p>TN: Partial reject if no state and #12 not indexed; must have complete mailing address (earlier version of MAR providing partial rejects for SPs and 516(b)(4))</p>

Sections 13, 14 and 15. Real Estate Recording Designation			
If filer checks item 6 on initial financing statement, and:			
a. The filer fails to complete item 13.	Accept at State level and take no action	9-520(a)	
b. The filer fails to complete item 14.	Accept at State level Reject at local level	9-520(a) 9-516(b)(3)(D)	
c. The filer fails to complete item 15.	Accept at State level	9-520(a)	
Section 16. Additional Collateral Description			
16a. See information in Section 4 of this document.			
Section 17. Debtor Designation			
17a. Boxes are checked in item 17.	Accept and take no action	9-520(a)	DE, ME: index and code debtors as indicated in boxes
Section 18. Duration Of Filing			
18a. Filer checks a box in item 18.	Accept and set appropriate lapse date	9-515(b) and (f)	GA: Gives 5 years regardless of type of lien
18b. Filer checks all boxes in item 18.	Accept and set longest time frame for lapse	9-520(a)	NV, NY, MS, NE, OR, SD, WA (9A-516(c)(1)): Reject

AMENDMENT	Action	Revised Article 9 Section	Jurisdictions that will deviate and legal authority to do so
Section 1a. Initial Financing Statement File No.			
1a. The filer provides the initial financing statement number, but fails to provide any other information on the form.	Accept and take no action	9-520(a)	<p>AR, AL, GA, MD, ND, NV, OH: Reject (system will not allow this action and cannot generate a file number without an action)</p> <p>MT: Reject (9A-512(a) and by admin. Rule)</p> <p>NE: Reject per 9-516(c)(2). Need indication of type of amendment</p> <p>RI: Reject can only index by debtor name</p> <p>TN: Reject; record not communicated by an authorized method - 516(b)(1)</p>
1b. The filer provides the initial financing statement number and provides other information on an attachment(s).	Accept and take no action	9-520(a)	<p>AL, GA, TX: Accept and index if intent is clear</p> <p>AR, NY, RI: Reject</p> <p>NE: Reject per 9-516(c)(2). Need indication of type of amendment</p> <p>SD: Takes action</p> <p>TN: 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.	Reject	9-516(b)(3)(B)(i)	AL, OR: Does not assign a new number to a UCC-3 filing

Section 2. Termination			
2a. A termination is received after other termination(s) filed.	Accept	9-520(a)	AL: Reject NE: Accept only if originally terminated post RA9
Section 3. Continuation			
3a. Multiple continuations received within the six-month continuation window.	Accept – only extend lapse date on first continuation	9-520(a)	PA: Not currently accepting but will accept when new computer system is designed. DE, MD, ND: Will not accept second continuation
3b. Continuation statement received within the six-month continuation window but after termination and prior to lapse date.	Accept and extend lapse date	9-520(a)	AL: Reject
Section 4. Assignment			
4a. The filer checks the assignment item 4 and provides no other information.	Reject	9-516(b)(6)	
4b. The filer fails to provide assignor's name in item 9.	Accept	9-520(a)	OH: Reject ORC 1309.514 requires name of assignor & mailing address of assignee
4c. The filer fails to provide assignment information in item 7 (filer provided information in another field on the form).	Reject	9-516(b)(6)	AL, DE, GA, MD, TX: Accept and index if intent is clear.
Also See information about SP on IFS.			

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

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

5f. The filer does not check “change,” “delete,” or “add” in item 5. The filer has only provided information in item 6 (current record information).	Accept and take no action	9-520(a)	<p>AL, MT: Reject. Must indicate the type of amendment</p> <p>AR: Reject</p> <p>NE, NV: Reject per 9-516(c)(2). Need indication of type of amendment</p> <p>TN: Reject; record not communicated by an authorized method - 516(b)(1)</p> <p>WA: Reject (9A-516(c)(1))</p>
5g. The filer does not check “change,” “delete,” or “add” but does check “secured party” or “debtor” in item 5. The filer has only completed information in item 7 (Change (New) or Added Information).	Accept and index	9-520(a)	<p>MD, MT, NV, OH (ORC §1309.512): Reject, form must indicate the type of amendment (change debtor, delete secured party, continuation, etc.)</p> <p>OR, NE: Accept and take no action</p> <p>TN: Reject; record not communicated by an authorized method - 516(b)(1)</p> <p>WA: Reject (9A-516(c)(1))</p>
5h. The filer checks “Change” or “Add”. No other information is provided.	Reject	9-516(b)(4), (5)	<p>CO, DE, GA, OR, TX: Accept and take no action</p>
5i. The filer fails to check either “Debtor” or “Secured Party” but an action is indicated in item 5 and required information is provided in item 7.	Accept and take no action	9-520(a)	<p>AR: Reject</p> <p>MI, NV: Reject as need an indication of debtor or secured party</p> <p>MT, OH (ORC §1309.512): Reject as require form to indicate the type of amendment (change debtor, delete secured party, continuation, etc.)</p> <p>TN: Reject; record not communicated by an authorized method - 516(b)(1)</p> <p>WA: Reject (9A-516(c)(1))</p>

5j. The filer checks “Debtor” and “Change” in item 5, only provides debtor name in item 6 and information in item 7e, item 7f and item 7g.	Reject	9-516(b)(5)	DE, NC, OR, TX: Accept and take no action SD: Accept and index if on original debtor information
5k. The filer checks “Secured Party” and “Change” in item 5, only provides a secured party name in item 6a or item 6b, and a secured party name in item 7a or item 7b.	Reject	9-516(b)(4)	DE, SD, TN, TX: Accept and add name with existing address NC: Accept and take no action MD, OR: Accept and index
5l. The filer checks “Secured Party” and “Add” in item 5, only provides a secured party name in item 6a or item 6b and a secured party name in item 7a or item 7b.	Reject	9-516(b)(4)	
5m. The filer checks “Debtor” or “Secured Party” and “Change” in item 5, only provides a name in item 6a or item 6b and information in item 7c.	Reject	9-516(b)(4), (5)	AL, DE, GA, MD, MI, OH (ORC 1309.516(B)(4) and (B)(5)) OR, RI, SD, TN, TX, VA: 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.	Reject	9-516(b)(5)(C)	DE, GA, MI, NC, OR, PA (Section 9-516 (b)(5)(iii)), TN: Accept and index
5o. The filer checks both “Debtor” and “Secured Party” boxes in item 5.	Reject	9-516(c)(1) with respect to 9-516(b)(4), (5) and (6)	OR: Accept and take no action ND, SD: Accepts multiple changes on one amendment form.
5p. The filer checks “Debtor” and “Change” in item 5, provides debtor name in item 6a or 6b and same debtor name in item 7a or 7b, plus completes information in items c, e, f, and g.	Accept and index (Filer is adding organizational information to the record)	9-520(a)	
5q. The filer checks “Debtor” and “delete” in item 5 and provides a name in item 6.	Accept and take no action	9-520(a)	DE, GA, ID, MD, NC, ND, NV, OR, RI: Accept and index

Section 8. Amendment (Collateral Change)			
8a. The filer provides information in item 8 and fails to indicate requested action “deleted, added, restated, or assigned”.	Accept and take no action	9-520(a)	MT, NV: Reject. Requires the form to indicate the type of amendment (change debtor, delete secured party, continuation, etc) NE: Reject per 9-516(c)(2). Need indication of type of amendment
8b. The filer checks all boxes in item 8.	Accept	9-520(a)	ID, NV: Reject as indecipherable NE: Reject per Administrative Rules
Section 9. Name of Secured party Authorizing this Amendment			
9a. The filer does not provide a Secured Party or Debtor name in item 9.	Accept	9-520(a)	
Section 10. Optional Filer Reference Data			
10a. The filer provides information in item 10.	Accept and take no action	9-520(a) Note: Jurisdictions that require more information than simply the file number, the filing office has the duty to locate such information on the form	
AMENDMENT ADDENDUM:			
a. The filer provides information in item 13. The filer has not provided the initial financing statement number in item 11.	Accept	9-520(a)	
b. The filer provides information in item 13. The filer does not provide the Name of Party Authorizing the amendment in item 12.	Accept	9-520(a)	

c. The filer provides information in item 13 that appears to require filing office action.	Accept and take no action	9-520(a)	AL, DE, GA, MD, ND, RI, SD, TX: Accept and index if intent is clear
AMENDMENT COMBINATIONS			
a. The filer checks item 2 (termination) and item 3 (continuation).	Accept and extend lapse date	9-520(a)	DE: Accept continuation and ignore termination MT, NE, SD: Reject per Administrative Rules OH: Reject, terminations are processed separately from other transactions AL, CA, GA, LA, MA, MD, MI, MS, NE, NM, NV, NY, PA, RI: Reject, will not allow multiple actions
b. The filer checks item 2 (termination) and item 4 (assignment).	Accept and index	9-520(a)	DE: Accept and index assignment if item 7 is completed. Management system will not accept multiple actions MT, NE and SD: Reject per Administrative Rules NH: Reject, 9-512(f), 9-512(b)(8) OH: Reject, terminations are processed separately from other transactions AL, CA, GA, LA, MA, MD, MI, MS, NE, NV, NY, PA, RI: Reject, will not allow multiple actions
c. The filer checks item 2 (termination) and item 5 (party information).	Accept and index	9-520(a)	MT, NE and SD: Reject per Administrative Rules OH: Reject, terminations are processed separately from other transactions AL, CA, GA, LA, MA, MD, MI, MS, NE, NV, NY, PA, RI: Reject, will not allow multiple actions

d. The filer checks item 2 (termination) and item 8 (collateral change).	Accept	9-520(a)	<p>DE: Accept and index assignment if item 7 is completed. Management system will not accept multiple actions</p> <p>MT and NE: Reject per Administrative Rules</p> <p>OH: Reject, terminations are processed separately from other transactions</p> <p>SD: Accept and disregard item 8</p> <p>AL, CA, GA, LA, MA, MI, MS, NE, NV, PA: Reject, will not allow multiple actions</p>
e. The filer checks item 3 (continuation) and item 4 (assignment).	Accept; index as to item 4 and extend lapse date	9-520(a)	<p>DE: Accept and extend lapse date; no action taken on collateral</p> <p>NH: Reject, 9-512(f), 9-512(b)(8)</p> <p>SD, NE: Reject per Administrative Rules</p> <p>CA, GA, LA, MA, MD, MI, MS, NE, NV, NY, PA, RI: Reject, will not allow multiple actions</p>
f. The filer checks item 3 (continuation) and item 5 (party information).	Accept; index as to item 5 and extend lapse date	9-520(a)	<p>DE: Index continuation, ignore party amendment as management system will not allow multiple actions</p> <p>NH: Reject, 9-512(f), 9-512(b)(8)</p> <p>SD, NE: Reject per Administrative Rules</p> <p>CA, GA, LA, MA, MD, MI, MS, NE, NV, NY, PA, RI: Reject, will not allow multiple actions</p>

g. The filer checks item 3 (continuation) and item 8 (collateral change).	Accept and extend lapse date	9-520(a)	NH: Reject, 9-512(f), 9-512(b)(8) SD, NE: Reject per Administrative Rules CA, GA, LA, MA, MD, MI, MS, NE, NV, NY, PA, RI: Reject, will not allow multiple actions
h. The filer checks item 4 (assignment). The filer checks box in item 5 (party information- debtor) other than “delete.” Items 6 & 7 are left blank.	Reject	9-516(c)(1) with respect to 9-516(b)(5) and (6)	OR: If item 7 is completed, accept and index for assignment only SD: Accept per Administrative Rules
i. The filer checks item 4 (assignment). The filer checks box in item 5 (party information- secured party) other than delete. Items 6 & 7 are left blank.	Reject	9-516(c)(1) with respect to 9-516(b)(4) and (6)	OR: If item 7 is completed, accept and index for assignment only SD: Accept
j. The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information- debtor).	Accept and index	9-520(a)	DE, OR: If item 7 is completed, accept and index for assignment only CA, GA, LA, MA, MD, MI, MS, NE (per Administrative Rules), NV, NY, PA, RI: Reject, will not allow multiple actions
k. The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information- secured party).	Accept and index	9-520(a)	NC: Accept if all information is provided DE, OR: If item 7 is completed, accept and index for assignment only CA, GA, LA, MA, MD, MS, NE (per Administrative Rules), NV, NY, PA, RI: Reject, will not allow multiple actions
l. The filer checks item 4 (assignment) and item 8 (collateral change).	Accept and index	9-520(a)	DE, OR: Accept and index as assignment, if item 7 is complete. If not complete accept as an amendment CA, GA, LA, MA, MD, MS, NE (per Administrative Rules), NV, NY, PA, RI: Reject, will not allow multiple actions

m. The filer checks item 5 (party information) and item 8 (collateral change).	Accept and index	9-520(a)	CA, GA, LA, MA, MD, MS, NV, NY, PA, RI: Reject, will not allow multiple actions DE: Accept and index as to item 5, ignore collateral change as management system will not allow multiple actions
MISCELLANEOUS ITEMS			
a. Use of words such as “same,” “N/A,” “not applicable,” “none;” or “see attached,” “see addendum,” “see exhibit;” or comparable phrases.	Accept - Words used in the form fields should not be interpreted by the filing office. Filing Office should index all form fields exactly as given.	9-520(a)	AR: Reject TX: Ignores words or reviews attachments.
b. Forms 1. Transition Form	Accept	9-520(a)	Item b.1: ND: File as nonstandard NC: File as nonstandard and do not index information States that charge an additional fee: AL (file as nonstandard with \$5) CA, KS, KY, MA, ME, MN, NE, NH (9-516(b)(5)(C), 9-520(a), 9-521, and Administrative Rules), NY, NV (NAC 104.180), TN (516(b)(1)), VA, WA (9A-516(b)(1) and (c)(1)): Reject

2. Forms other than national, model or transition forms	Reject	9-521	Item b.2: AL: File as nonstandard with \$5 CO, DE, LA, MD, ND, NM, NJ, OH, TX: Accept NC: File as nonstandard and do not index information
3. IACA Model forms:	Accept and Index	9-521	Item b.3: None
UCC-1 Initial Financing Statement	Accept and Index	9-521	None
UCC-1 Initial Financing Statement Addendum	Accept and Index	9-521	None
UCC-3 Amendment	Accept and Index	9-521	None
Additional Party Addendum (UCC-1 and UCC-3)			TN: Accept and take no action WA: Accept and Index 2 page limit NC: Accept as nonstandard
c. Attached Pages			
Filer adds an attachment that is not the national addendum form.	Accept – do not index information on attachment.		AL, CO, GA, LA, ND, SD, TX, WY: Index DE: Accept and index if content is clear
Filer adds an attachment that is not the national addendum form, but that contains properly formatted information.	Accept – do not index information on the attachment.		MD, MT: Reject

<p>d. Bogus or fraudulent filings</p> <p>1. Filer provides the same name in items 1 and 3 of IFS (i.e., debtor and secured party are the same).</p> <p>2. Individual debtor is listed and box 18 is checked indicating the debtor is a transmitting utility.</p> <p>3. Copies of personal documents, such as birth certificate, social security number, etc. are attached.</p>	<p>Accept</p> <p>Accept – set lapse date to be effective until terminated.</p> <p>Accept</p>	<p>9-520(a)</p> <p>9-520(a), 9-515(f)</p> <p>9-520(a)</p>	<p>For Item d.1: MT: Reject all based on MCA 30-9A-420 NC: Reject per Bogus Filing statute, G.S. 25-9-516(b)(8) or accept depending on validity ND: Reject per Administrative Rules 72-01-02-06 SD: Administrative rules do not allow for this type of filing AL (Administrative Rules 820-4-3.02(3)(c)), DE, NJ, NY, SD, TX, VA: Reject</p> <p>For Item d.2: DE, MT, ND, NJ, NM, NV, NY, OH (ORC 111.24(A)), SD: Reject</p> <p>For Item d.3: CA returns attachments AL (Administrative Rules 820-4-3.02(3)(b)), DE, MT, NJ, NY, OH (ORC 111.24(A)), SD, VA: Reject</p>
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4. Debtor listed is a public official.	Accept	9-520(a)	For Item d.4: AL , (Administrative Rules 820-4-3.02(3)(b)) DE, MT, NJ, NV, OH (ORC 111.24(A)), OR, PA, SD : Reject
5. The filing appears on its face to be bogus or fraudulent.	Accept *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.	9-520(a)	For Item d.5: AL , (Administrative Rules 820-4-3.02(3)(b)) DE, MT (MCA 30-9A-420), NJ, NY, OH (ORC 111.24(A)): Reject NV : Reject unless proven to be registered utility based on opinion by AG OR : Reject if debtor listed is public official, per 9-521; Accept filings that otherwise appear to be bogus PA : Reject if it appears that the debtor is not a legitimate TU, 9-516(c)(1) SD : Reject per Administrative Rules (filings are forwarded to the Attorney General) TX : Reject where Debtor and SP are the same (based on AG opinion made prior to RA9) VA : Reject as non-indexable, 9-516(b)(3)(A).
e. Customer Service Issues Filing requests made in cover letters or post-it-notes, such as “file first.”	Use reasonable judgment to accommodate request	9-520(a),	WA : Take no action

<p>f. Refusal errors and errors by the Filing Office.</p> <p>1. Filer submits a UCC record that was wrongfully rejected.</p>	<p>Accept - File the UCC record with the filing date and time the UCC record was originally tendered for filing. (backdate)</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>MT: Instead of filing a “Filing Officers’ Statement” Montana reflects an electronic comment that only our office can view. The comment reflects the date the document was resubmitted to our office along with the reason why we backdated the filing. The comment is retained with the filing for as long as the filing exists on our database.</p> <p>NE: 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>OK: Cannot backdate filing and does not use filing officer statement, but makes a notation in the collateral field denoting a wrongful reject with the original date and time of filing. Collateral field is displayed on search results.</p> <p>UT: Should a filer successfully demonstrate that a filing was wrongfully rejected within 30 days after the date of filing the Division will backdate the rejected document to its submitted date without the filing of a Filing Officer Statement. Should the filer exceed the 30-day timeframe for resubmission a new fee and date of submission are tendered.</p>
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<p>2. A filer points out an error that the filing office overtly made while entering the UCC record.</p>	<p>Accept –File a filing officer statement record relating to the relevant initial financing statement in the UCC Information Management System on the date that the corrective action was taken.</p>	<p>9-520(a), MARS 405</p>	<p>MT: Instead of filing a “Filing Officers’ Statement” Montana reflects an electronic comment that only our office 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>OK: Does not use Filing officer statement, but makes a notation in the collateral field denoting the date the corrective action was taken. Collateral field is displayed on search results.</p> <p>UT: Any errors relating to a filing whether submitted in error by the filer or errors by the data entry personal may only be fixed, at no charge, by the filer within thirty days of submission. After the thirty-day timeframe, all errors must be corrected by submission of an Amendment 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>
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Jurisdictions present at 2002 Conference or provided input:

AK, AL, AR, CA, CO, DE, GA, IA, ID, IL, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OR
PA, RI, SD, TN, TX, UT, USVI, VA, WA, WV, WY

Jurisdictions absent or have not provided input:

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

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Revised 6/2004