

(As of 5/29/14)

Jurisdictions Guidelines for Accepting a UCC Record Presented for Filing Chart: 2010 Amendments & the 2011 IACA Forms

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.
4. Please be aware that the treatment of the filing submission may vary from the indicated Action/Deviation listed below when your filing is submitted to a local jurisdiction.

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate
Financing Statement (Form UCC1)				
Boxes a-c: Contact Information				
a. The filer fails to provide information in item a.	Accept	9-520(a)		
b. The filer fails to provide information in item b.	Accept	9-520(a)	SC: Reject – system design	
c. The filer fails to provide information in item c.	Accept	9-520(a)		
Sections 1 & 2. Debtor's Information				

<p>1a. The filer <u>does not check the box</u> above 1a/1b and provides an organization name in item 1a <u>or</u> an individual name in item 1b on the Initial and leaves items 10a/10b on the Initial Addendum blank.</p>	<p>Accept and index all debtor names.</p>	<p>9-520(a)</p>		
<p>1b. The filer <u>does not check the box</u> above 1a/1b and provides an organization name in item 1a <u>and</u> an individual name in item 1b on the Initial and leaves items 10a/10b on the Initial Addendum blank.</p>	<p>Reject</p>	<p>9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 1a and item 1b using item 1c as address for both. OK: Accept & index all debtor names.</p>	
<p>1c. The filer <u>does not check the box</u> above 1a/1b and provides an organization name in item 1a <u>and</u> an individual name in item 1b on the Initial and provides a name in item 10a <u>and</u> 10b on the Initial Addendum.</p>	<p>Reject</p>	<p>9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 1a and item 1b using item 1c as address for both. Accept as to item 10a and item 10b using item 10C as address for both. OK: Accept & index all debtor names.</p>	
<p>1d. The filer <u>does not check the box</u> above 1a/1b and provides an organization name in item 1a <u>or</u> an individual name in item 1b on the Initial and provides a name in item 10a <u>or</u> 10b on the Initial Addendum.</p>	<p>Accept and index all debtor names.</p>	<p>9-520(a)</p>		

<p>1e. The filer <u>does not check the box</u> above 1a/1b and provides an organization name in item 1a <u>or</u> an individual name in item 1b on the Initial and provides a name in item 10a <u>and</u> 10b on the Initial Addendum.</p>	<p>Accept as to first debtor and Reject to debtors 2 & 3.</p>	<p>9-520(a) 9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 10a and item 10b using item 10c as address for both. OK: Accept & index all debtor names. MN, WA: Accept & Index for 1a or 1b; Reject for 10a & 10b.</p>	
<p>1f. The filer <u>checks the box</u> above 1a/1b and provides an organization name in item 1a <u>or</u> an individual name in item 1b on the Initial and leaves items 10a/10b on the Initial Addendum blank.</p>	<p>Accept and index all debtor names.</p>	<p>9-520(a)</p>		
<p>1g. The filer <u>checks the box</u> above 1a/1b and provides an organization name in item 1a <u>and</u> an individual name in item 1b on the Initial and leaves items 10a/10b on the Initial Addendum blank.</p>	<p>Reject</p>	<p>9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 1a and item 1b using item 1c as address for both. OK: Accept & index all debtor names. VA: Accept debtor in section 1 and reject both debtors in section 10.</p>	

<p>1h. The filer <u>checks the box</u> above 1a/1b and provides an organization name in item 1a <u>and</u> an individual name in item 1b on the Initial and provides a name in item 10a <u>and</u> 10b on the Initial Addendum.</p>	<p>Reject</p>	<p>9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 1a and item 1b using item 1c as address for both. Accept as to item 10a and item 10b using item 10c as address for both. OK: Accept & index all debtor names.</p>	
<p>1i. The filer <u>checks the box</u> above 1a/1b and provides an organization name in item 1a <u>or</u> an individual name in item 1b on the Initial and provides a name in item 10a <u>or</u> 10b on the Initial Addendum.</p>	<p>Accept and index all debtor names.</p>	<p>9-520(a)</p>		
<p>1j. The filer <u>checks the box</u> above 1a/1b and provides an organization name in item 1a <u>or</u> an individual name in item 1b on the Initial and provides a name in item 10a <u>and</u> 10b on the Initial Addendum.</p>	<p>Accept as to first debtor and Reject to debtors 2 & 3.</p>	<p>9-520(a) 9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 10a and item 10b using item 10c as address for both. OK: Accept & index all debtor names. WA: Accept & Index for 1a or 1b; Reject for 10a & 10b.</p>	

<p>1k. The filer provides an organization name in item 1a <u>and</u> an individual name in item 1b. Item 2a and 2b are blank and item 1c and item 2c are completed.</p>	<p>Reject</p>	<p>9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 1a and item 1b using item 1c as address for both. Notify customer of illegible debtor for Item 2. OK: Accept & index only debtor names in 1a & 1b with complete info in 1c.</p>	
<p>1l. The filer provides an organization name in item 1a. Item 1c is completed. Debtor name is provided in item 2a. No information is provided in item 2c.</p>	<p>Accept as debtor 1, Reject for debtor 2.</p>	<p>9-520(d) 9-516 (b)(5)(A)</p>	<p>DE, IL, IN, LA, ND, PA, SC, TN: Reject entire UCC. Must have address info.</p>	<p>DE: (9-516(b)(5)(A)) IL: AR 180.15 b LA: R.S. 10:9-516(b)(5)(A) NV: Admin rules ND: Admin rules PA: 9-516(b)(5)</p>
<p>1m. The filer provides mailing address in the city field and either the state <u>or</u> country field of item 1c.</p>	<p>Accept for an international address. Reject for a U.S. address.</p>	<p>9-516 (b)(5)(A)</p>	<p>LA, NV: Reject KS, MN, TX: Accept both international and U.S. address. VA: Accept US address if City & State are present.</p>	<p>LA: 9-516 (b)(5)(A) NV: Admin rules/system limitation.</p>

1n. The filer fails to provide a zip code for a U.S. address.	Reject	9-516(b)(5)(A)	KS, NE, NH, TN, TX, VA, WA: Accept	
1o. The filer fails to provide a zip code for an international address.	Accept	9-520(a)	LA, NM, NV, SC: Reject	LA: 9-516 (b)(5)(A) NV: Admin rules/system limitation.
1p. The filer provides a debtor name in 1a or 1b that wraps to multiple lines in the name field.* <i>* Acceptance implies that the font and character size are legible.</i>	Accept	9-520(a)		
1q. The filer provides part of a long debtor name in item 1a and continues the name in another debtor name field (item 2a or on the UCC1 Addendum in item 10a). And all appropriate address fields are completed.	Accept and index 1a as first debtor name and index 2a and/or 10a as separate additional debtor(s)	9-520(a)	TX: Index complete debtor as single name if intent is clear. UT: Reject	
1r. The filer provides part of a long debtor name in item 1a and continues the name in the collateral or miscellaneous field (item 4 or on the UCC1 Addendum in item 12 or item 17).	Accept and index the debtor name as presented in item 1a.	9-520(a)	TX: Index complete debtor as single name if intent is clear.	
Section 3. Secured Party's 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.	Accept as to item 3a and item 3b using item 3c as address for both	9-516 (b)(4)	Reject: DE, ID, IL, LA MI (systems limitations), ME, MO, MN, MS, NC, ND, NM, PA, SC, UT, MT, TN, VA and WA .	LA: R.S. 10:9-516(b)(4) MT: 9-516(a) indecipherable. The form says "or" PA: 9-516(c)(1) TN: 9-516(c)(1) UT: Form says "or"
3b. The filer provides mailing address in the city field and either the state <u>or</u> country field in 3c.	Reject	9-516(b)(4)	NE, TX, WA: Accept VA: Accept US address if City & State are present.	
3c. The filer fails to provide a zip code for a U.S. address.	Reject	9-516(b)(4)	KS, NE, NH, TN, TX, VA, WA: Accept	
3d. The filer fails to provide a zip code for an international address.	Accept	9-520(a)	LA, MN, NM, NV, SC: Reject	LA: R.S. 10:9-516(b)(4) NV: Admin rules/system limitation.
Section 4. Collateral Information				
4a. The filer fails to provide information in item 4 or fails to provide an attachment.	Accept	9-520(a)	LA, MO, MT, ND, OK: Reject	LA: R.S. 10:9-502(a)(3) ND: NDCC 41-09-87(2c)(4)

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 as to the additional information.	9-520(a)	TX: Index complete debtor as single name if intent is clear. UT: Accept, index as "none listed."	
Section 5. Collateral Status Indication				
5a. The filer fails to check either the "Collateral is Held in Trust" or "Being administered by Decedent's Personal Representative" boxes.	Accept	9-520(a)		
5b. The filer checks one or both boxes in item 5.	Accept	9-520(a)		
Section 6. Transaction Type Indication				
6a. The filer fails to check any boxes in item 6.	Accept - and set lapse date at 5 years	9-520(a) 9-515(a)		
6b. The filer checks the box for Public-Finance Transaction.	Accept - 30 year lapse date.	9-520(a) 9-515(b)	GA, WA: Accept with five year lapse. MI: Accept and give 5 year lapse date. MI UCC office does not process PFTs.	
6c. The filer checks the box for Manufactured-Home Transaction.	Accept - 30 year lapse date.	9-515(b)	GA, WA, OR: Accept with five year lapse.	OR: Has no Manufactured Home designation.

<p>6d. The filer checks the box indicating the Debtor Name provided in box 1a (Organization) is a legitimate Transmitting Utility.</p>	<p>Accept - and assign no lapse date.</p>	<p>9-520(a) 9-515(f)</p>		
<p>6e. The filer checks the box indicating the Debtor Name provided in box 1b (Individual) is a legitimate Transmitting Utility.</p>	<p>Accept - and set no lapse date.</p>	<p>9-520(a) 9-515(f)</p>	<p>ID, IN, NE, NV, UT: Reject IL: Send to General Counsel for review. MI, WA: Reject if filing appears to be fraudulent. MS: Reject under bogus filer statute. NM: Reject and request proof of TU. OK: Reject. TUs are filed at the SOS. SC: Reject paper; but Accept on-line with no lapse date. TN: Active until terminated. TX: May be sent to Attorney General for review.</p>	<p>ID: 28-9-516A IL: 810 ILCS 5/9-501.1 IN: 26-1-9.1-901 MI: MCL 440-9520(5)(e) NV: Per AG ND: Reject VA: 8.9A-516(b)(8)(D) TX: Texas Government Code 405.022</p>

6f. The filer checks multiple boxes in item 6 of a legitimate filing.	Accept - and set longest lapse period.	9-520(a)	GA: Accept with five year lapse. IL, IN, ME, MS, MT, NE, NV, OK, OR, PA, SC, TX: Reject NH: Reject - multiple actions. NM: Reject and ask for clarification.	IL: 9-516(c)(1) MI: MCL 440-9520(5)(e) NV: NAC 104-225 PA: 9-516(c)(1) OR: ORS 79-0516(3)(a)
6g. The filer checks the box for Agricultural Lien.	Accept	9-520(a)	OR: Accept & file as financing statement.	
6h. The filer checks the box for Non-UCC Filing.	Accept	9-520(a)	OR: Reject	OR: ORS 79-0516(2)(h) – not within the scope.
Section 7. Alternative Designation				
7a. The filer fails to check any of the boxes in item 7.	Accept	9-520(a)		
7b. The filer checks one or multiple boxes in item 7.	Accept	9-520(a)	SC: Reject	
Section 8. Optional Filer Reference Data				
8a. The filer provides information in item 8.	Accept	9-520(a)		
8b. The filer fails to provide information in item 8.	Accept	9-520(a)		

8c. The filer provides information in item 8 that appears to require filing officer action.	Accept and take no action.	9-520(a)	TX: Index complete debtor as single name if intent is clear.	
Financing Statement Addendum (Form UCC1Ad)				
Section 9. Debtor's Name Information as it Appears on the Financing Statement				
9a. The filer fails to check the box in item 9 (above 9a) and does not provide information in 9a or 9b.	Accept	9-520(a)		
9b. The filer checks the box in item 9 (above 9a) and does not provide information in 9a or 9b.	Accept	9-520(a)		
9c. The filer checks the box in item 9 (above 9a) and provides information in 9a or 9b.	Accept	9-520(a)		
9d. The filer fails to provide information in item 9.	Accept	9-520(a)		
9e. The filer provides information in item 9 that appears to require filing officer action (for example: Additional Debtor or indicate Debtor is a Transmitting Utility).	Accept and take no action as to the additional information.	9-520(a)	KS, TX: Index complete debtor as single name if intent is clear.	
Section 10. Debtor's Information				

<p>10a. The filer provides an organization name in item 10a <u>and</u> an individual name in item 10b.</p>	<p>Reject</p>	<p>9-516(b)(5)(B)</p>	<p>NH: Accept KS, NE, TX: Accept as to item 10a and item 10b using item 10c as address for both. OK: Accept & index all debtor names.</p>	
<p>10b. The filer provides an organization name in item 1a <u>and</u> an individual name in item 1b. Item 10a and 10b are blank and item 1c <u>and</u> item 10c are completed.</p>	<p>Reject</p>	<p>9-516(b)(5)(B)</p>	<p>KS, NE, TX: Accept as to item 1a and item 1b using item 1c as address for both. Notify customer of illegible debtor for item 10. OK: Accept & index all debtor names.</p>	
<p>10c. The filer provides an organization name in item 1a. Item 1c is completed. Debtor name is provided in item 10a. No information is provided in item 10c.</p>	<p>Accept as debtor 1, Reject for debtor 2.</p>	<p>9-520(d)</p>	<p>DE, IL, IN, LA, NV, ND, PA, SC, TN: Reject entire UCC.</p>	<p>DE: (9-516(b)(5)(A)) IL: A/R 180.15(b). LA: R.S. 10:9-516(b)(5)(A) NV: Admin Rules/system limitations ND: Must have address, city, state & zip code. PA: 9-516(c)(1) TN: 9-516(b)(5)(A)</p>

<p>10d. The filer provides mailing address in the city field and either the state <u>or</u> country field of item 10c.</p>	<p>Accept for an international address. Reject for a U.S. address.</p>	<p>9-516(b)(5)(A)</p>	<p>NE, TX, WA, VA: Accept for US address</p>	
<p>10e. The filer fails to provide a zip code for a U.S. address.</p>	<p>Reject</p>	<p>9-516(b)(5)(A)</p>	<p>KS, NE, NH, TN, TX, VA, WA: Accept</p>	
<p>10f. The filer fails to provide a zip code for an international address.</p>	<p>Accept</p>	<p>9-520(a)</p>	<p>LA, MN, NV, NM, SC: Reject</p>	<p>LA: R.S. 10:9-516(b)(5)(B) NV: Admin Rules/system limitations</p>
<p>10g. The filer provides a debtor name in box 10a or 10b that wraps to multiple lines in the name field.* * Acceptance implies that the font and character size are legible.</p>	<p>Accept</p>	<p>9-520(a)</p>	<p>KS: The name in 10b would be considered add'l debtor which would reject filing as to add'l debtor unless complete address provided.</p>	
<p>10h. The filer provides part of a long Debtor name in item 1a and continues the name in another debtor name field (item 2a or on the UCC1 Addendum in item 10a). And all appropriate address fields are completed.</p>	<p>Accept and index 1a as first debtor name and index 2a or 10a as second debtor name.</p>	<p>9-520(a)</p>	<p>DE, KS, OH: Accept and index 1a; but Reject if 10c & 11c are blank IN, TX: Index complete debtor as single name if intent is clear. TN: Reject unless complete addresses given.</p>	<p>DE: (9-516(b)(5)(A))</p>

<p>10i. The filer provides part of a long Debtor name in item 1a and continues the name in the collateral or miscellaneous field (item 4 or on the UCC1Ad in item 12 or item 17).</p>	<p>Accept and index the debtor name as only what is presented in item 1a.</p>	<p>9-520(a)</p>	<p>IN: Index complete debtor as single name if intent is clear. TX: Index complete debtor as single name if intent is clear.</p>	
<p>Section 11. Additional Secured Party's Name/Assignor Secured Party's Name Information</p>				
<p>11a. The filer provides an organization name in item 11a and an individual name in item 11b. One address is provided in item 11c.</p>	<p>Accept as to item 11a and item 11b using item 11c as address for both</p>	<p>9-516(b)(4)</p>	<p>Reject: DE, ID, IL, LA, ME, MI (systems limitations), MS, MO, MN, NC, ND, OH, TN, UT and WA VA, MT: Reject</p>	<p>LA: R.S. 10:9-516(b)(4)</p>
<p>11b. The filer provides address in the city field and either the state <u>or</u> country field in 11c.</p>	<p>Accept for foreign address Reject for U.S. address.</p>	<p>9-516(b)(4)</p>	<p>MS: Reject admin rule to collect county information. NE, NH, TX, WA, VA: Accept</p>	
<p>11c. The filer fails to provide a zip code for a U.S. address.</p>	<p>Reject</p>	<p>9-516(b)(4)</p>	<p>MS: Reject admin rule to collect county information. KS, NE, NH, NV, TN, TX, VA, WA: Accept</p>	<p>NV: Admin Rules/system limitations</p>

11d. The filer fails to provide a zip code for an international address.	Accept	9-520(a)	LA, MN, NM, NV, SC: Reject	LA: R.S. 10:9-516(b)(4) NV: Admin Rules/system limitations
Section 12. Additional Space/Collateral Information				
12a. The filer fails to provide information in item 12 or fails to provide an attachment.	Accept	9-520(a)		
12b. The filer provides information in item 12 that appears to require filing officer action (for example: Additional Debtor or indicate Debtor is a Transmitting Utility).	Accept and take no action as to the additional information.	9-520(a)		
Sections 13, 14, 15 and 16. Real Estate Recording Information				
13a. The filer checks the box in item 13.	Accept and take no action	9-520(a)	GA: Accept at local level. ND: Reject at state level; accept at local level. OK: Reject	
13b. The filer fails to check a box in item 14.	Accept	9-520(a)	ND: Reject at local level OK: Reject	
14a. The filer checks one or more boxes in item 14.	Accept	9-520(a)	ND: Reject at state level; accept at local level OK, SC: Reject	

15a. The filer fails to provide the name and address of record owner in item 15.	Accept	9-520(a)	ND: Reject at state level; accept at local level OK: Reject	
16a. The filer fails to provide the description of Real Estate in item 16.	Accept	9-520(a)	GA: Reject at local level. OK: Reject	
Section 17. Miscellaneous				
17a. The filer provides information in item 17.	Accept	9-520(a)		
17b. The filer fails to provide information in item 17.	Accept	9-520(a)		
17c. The filer provides information in item 17 that appears to require filing office action.	Accept and take no action as to the additional information.	9-520(a)	TX: Index complete debtor as single name if intent is clear.	
Financing Statement Amendment (Form UCC3)				
Section 1. Initial Financing Statement File Number.				

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)	GA, IL, MS, MO, MT, NE, NV, ND, NM, PA, SC, TN, UT: Reject	IL: ILCS 5/9-516(c)(1) ND: System will not allow this action; cannot generate file number without action. PA: 9-516(c)(1)
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)	GA, MS, NE, NM, PA, TN: Reject IL: Accept only if a box in 8 is checked ND: Accept & index if intent is clear.	IL: ILCS 5/9-516(c)(1) PA: 9-516(c)(1)
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)	OK: Accept UT: N/A-Utah uses UCC1 number for all subsequent filings.	
Section 2. Termination				
2a. A termination is received after other termination(s) filed.	Accept	9-520(a)		
Section 3. Assignment				
3a. The filer checks the assignment item 3 and provides no other information.	Reject	9-516(b)(6)		

3b. The filer provides mailing address in the city field and either the state or country field in 7c.	Accept for foreign address Reject for U.S. address.	9-516(b)(4)	NE, TX, WA, VA : Accept for U.S. address	
3c. The filer fails to provide a zip code for a U.S. address.	Reject	9-516(b)(4)	KS, NE, TN, TX, VA, WA : Accept	
3d. The filer fails to provide a zip code for an international address.	Accept	9-520(a)	MN, NM, NV, SC : Reject	NV : Admin Rules/system limitations
3e. The filer fails to provide assignor's name in item 9.	Accept	9-520(a)	LA, NV : Reject	NV : Admin Rules/system limitations
3f. The assignor name in item 9 has filed a previous assignment.	Accept	9-520(a)		
3g. The filer checks the box in item 3, completes item 7, and checks the “assign collateral” box in item 8 (with or without description in item 8).	Accept	9-520(a)		
3h. The filer wants to file an Assignment (assigning collateral for a partial assignment) and checks box in item 3 (Assignment), box in item 8 (Collateral Change) and checks the Assign Collateral box also in item 8.	Accept	9-520(a)	NH : Reject	
3i. The filer wants to file an Assignment (assigning collateral for a partial assignment) and checks box in item 3 (Assignment) and checks the Assign Collateral box in item 8. But does not check the Collateral Change box in item 8.	Accept	9-520(a)	NH : Reject	

Section 4. Continuation				
4a. Multiple continuations received within the six-month continuation window.	Accept —only extend lapse date on first continuation	9-520(a)	CO: Colorado’s online system will allow a continuation to be filed during the appropriate window which closes once a continuation has been filed or the time frame for filing has passed NM, SC, TN: Reject	TN: system limitation
4b. 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)		

<p>4c. The 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.</p>	<p>Reject</p>	<p>9-516(b)(3)(B)(ii) 9-515(d)</p>	<p>MI: Accepts if last day is a weekend or legal holiday. MN: Accept if last day is weekend or holiday. Reject if the office is closed due to inclement weather. On-line Filing Available 24/7. OK, PA, TX: Accept WA: Accept if office is shut-down due to inclement weather or unforeseen circumstances (power outage, earthquake)</p>	<p>MI: R440.403 (2) MN: MNR 8280.0020 645.15 PA: Accept if the office was closed due to weekend or holiday.</p>
<p>4d. The filer who filed an initial financing statement on February 29th, files a continuation on March 1st five years later.</p>	<p>Accept—the relevant anniversary date for a February 29th filing is March 1st.</p>	<p>9-516(b)(3)(B)(ii) 9-515(d)</p>	<p>ND, TN: Reject</p>	

Section 5. Party Information Change				
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.				
5a. The filer fails to indicate if the Party Information change affects the Debtor or Secured Party by not checking either the "Debtor" or "Secured Party" box.	Reject	9-516(c)(1)	MN, OR: Accept & take no action.	
5b. The filer checks both the "Debtor" <u>and</u> "Secured Party" boxes in item 5.	Reject	9-516(c)(1)	OR: Accept & take no action.	
5c. The amendment affects the Debtor. The filer checks "Change" in item 5 and provides information in item 7a and omits item 7c.	Reject	9-516(b)(5)(A)	DE, NH, OK, TN: Accept. Name change does not affect address.	DE: 9-520(a)
5d. 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.	Accept for foreign address Reject for U.S. address.	9-516(b)(5)(A)	NE, NH, VA, TX: Accept for U.S. address	
5e. The filer checks "Change" and only provides information in item 6 (current record information).	Reject	9-516(b)(4), (5)	DE, OR: Accept & take no action.	

<p>5f. The filer checks "Delete" and only provides information in item 7.</p>	<p>Option 1 – Reject</p> <p>Option 2 – Accept</p>	<p>9-520(d)</p> <p>9-520(a)</p>	<p>Option 1 Reject GA, IL, MI, MS, MO, NE, NV, ND, NM, PA and TX</p> <p>Option 2 Accept DE, IN, ME, MN, OK, OR, TN, VA, WA, OH: Accept & take no action. ID & KS, : Accept & file as misc. amendment</p>	<p>IL: 9-516 (c)(1) MI: MCL 440-9516(3)(a) ND: Need information of debtor or sec party PA: 9-516(c)(1)</p>
<p>5g. 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>DE, OR: Accept & take no action.</p>	
<p>5h. The filer does not check "Change," "Delete," or "Add" in item 5. The filer has only provided information in item 6 (current record information).</p>	<p>Reject</p>	<p>9-516(c)(1)</p>	<p>DE, IN, OR, VA, WA: Accept & take no action.</p>	
<p>5i. The filer does not check "Change," "Delete," or "Add" but does check "Secured Party" or "Debtor" in item 5. The filer has completed information in item 7.</p>	<p>Reject</p>	<p>9-516(c)(1)</p>	<p>DE, VA, WA: Accept & index. IN, MN, OR: Accept & take no action</p>	
<p>5j. The filer checks "Change" or "Add". No other information is provided.</p>	<p>Reject</p>	<p>9-516(b)(4), (5)</p>	<p>DE: Accept & take no action. IN: Accept & take no action OR: Accept & take no action.</p>	

5k. 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.	Reject	9-516(c)(1)	DE, IN, OR, VA: Accept & take no action.	
5l. The filer checks "Debtor" and "Change" in item 5 but does not provide any information in item 6 and has completed item 7.	Accept and Index	9-520(a)	MT: Reject per Adm Rule which requires current party.	
5m. 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: Accept & add name with existing address. NH: Accept OK, TN: Accept UT: Accept for name change – no other action	
5n. 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)	NH: Accept	
5o. 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)	DE, NH, ND, OK, OR, TN: Accept and index new address info as indicated.	
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 item 7c.	Accept and index.	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)	GA, ME, ND, OR, TN: Accept & Index. PA: Accept & take no action	
5r. The filer does <i>not</i> check the "Party Information Change" box in 5 but does check Debtor or Secured Party box and does check the Change, Add or Delete box and provides all the necessary information in 6 and/or 7 as needed.	Accept	9-520(a)		
Section 8 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)	GA, IL, MS, MO, MT, NV, ND, NM, PA, TN, SC: Reject UT: Return for more info ME: Accept & record as Collateral Change.	IL: 9-516 (c)(1) NV: Admin Rules/system limitations ND: Need indication of type of amendment PA: 9-516(c)(1)
8b. The filer checks all boxes in item 8.	Accept and take no action.	9-520(a)	GA, IL, MS, MO, NV, ND, PA, TN, SC: Reject ME: Accept & record as Collateral Change.	IL: 9-516 (c)(1) NV: Admin Rules/system limitations ND: Indecipherable PA: 9-516(c)(1) TN: (systems limitation)

8c. The filer checks a box or boxes in item 8 and fails to provide a description of collateral.	Accept and take no action.	9-520(a)	MO:, ND, OK Reject MT: Reject if add, delete or restate is checked. ME: Accept & record as Collateral Change. OR: Accept & index for one box; if more than one box, accept & take no action	ND: Need description
Section 9. Name of Secured Party of Record Authorizing this Amendment				
9a. The filer does not provide a Secured Party or Debtor name in item 9.	Accept	9-520(a)	ND, SC: Reject	ND: If sec party does not appear on document
9b. The filer provides a name for the Secured Party in item 9 that does not appear on the financing statement or other amendments.	Accept	9-520(a)	ND, SC: Reject	
Section 10. Optional Filer Reference Data				
10a. The filer provides information in item 10.	Accept	9-520(a)		
10b. The filer fails to provide information in item 10.	Accept	9-520(a)		

10c. The filer provides information in item 10 that appears to require filing officer action.	Accept and take no action as to the additional information.	9-520(a)	TX: Index complete debtor as single name if intent is clear.	
FINANCING STATEMENT AMENDMENT ADDENDUM (Form UCC3Ad)				
Section 11. Initial Financing Statement File No.				
11a. The filer has not provided an Initial Financing Statement number in item 11.	Accept	9-520(a)	OK, SC: Reject	
11b. The filer provides an Initial Financing Statement Number that does not match the Initial Financing Statement Number on line 1a of the Initial.	Accept	9-520(a)	SC: Reject	
11c. The filer provides information in item 14 or 18 that appears to require filing office action.	Accept and take no action as to the additional information.	9-520(a)	ND: Accept & index if intent is clear. TX: Index complete debtor as single name if intent is clear.	
Section 12. Name of Party Authorizing this Amendment				
12a. The filer does not provide the Name of Party Authorizing the amendment in item 12.	Accept	9-520(a)	SC: Reject	
12b. The filer provides a name of the Party Authorizing in item 12 that does not match the name provided in line 9a/9b of the Initial.	Accept	9-520(a)	SC: Reject	

Section 13. Name of Debtor				
13a. The filer does not provide the Debtor Name in item 13.	Accept	9-520(a)		
13b. The filer provides a Debtor Name in item 13 that does not match the name provided in items 6, 7 or 9 of the Initial.	Accept	9-520(a)		
Section 14. Additional Space for Item 8 (Collateral)				
14a. The filer fails to provide information in item 14 or fails to provide an attachment.	Accept	9-520(a)		
14b. The filer provides information in item 14 that appears to require filing officer action (for example: Additional Debtor or indicate Debtor is a Transmitting Utility).	Accept and take no action as to the additional information.	9-520(a)		
Sections 15, 16 and 17. Real Estate Recording Information				
15a. The filer checks more than one box in item 15.	Accept	9-520(a)	SC: Reject	
16a. The filer fails to provide the name of the record owner in box 16.	Accept	9-520(a)		
17a. The filer fails to provide the description of the Real Estate in box 17.	Accept	9-520(a)	OK: Reject	
Section 18. Miscellaneous				

18a. The filer provides information in item 18.	Accept	9-520(a)	OK: Reject	
18b. The filer fails to provide information in item 18.	Accept	9-520(a)	OK: Reject	
18c. The filer provides information in item 18 that appears to require filing office action.	Accept and take no action.	9-520(a)	TX: Index complete debtor as single name if intent is clear.	
AMENDMENT COMBINATIONS				
Does your Jurisdiction accept Amendment combinations? If Yes , please answer <i>questions a -o</i> below. If No , proceed to the next section, <i>Miscellaneous</i> .			Yes: CO, DE, ME, OK, IN, TX, NC MN: (charges a separate fee for each transaction). OH, VA, WA: Yes, in house paper.	No: LA, MI, NE, NH, NV, SC WA: No, for online.
a. The filer checks Termination and Continuation.	Accept – index both Termination & Continuation.	9-520(a)	DE: Accept & index item 4 & extend lapse date. IL, MT, NH, NM, OK, PA: Reject UT: Reject if no fee paid. If fee paid, do continuation.	DE: Mgmt System will not accept multiple actions MT: Admin Rule only one amendment per form IL: 9-516(c)(1) PA: 9-516(c)(1)h.

<p>b. The filer checks Termination and Assignment.</p>	<p>Accept - index both Termination & Assignment.</p>	<p>9-520(a)</p>	<p>DE: Accept & index item 3. IL, MT, OK, PA: Reject UT: Reject if no fee paid. If fee paid, do continuation.</p>	<p>DE: Mgmt System will not accept multiple actions MT: Admin Rule only one amendment per form IL: 9-516(c)(1) PA: 9-516(c)(1)</p>
<p>c. The filer checks Termination and Party Information.</p>	<p>Accept - index both Termination & Party Information.</p>	<p>9-520(a)</p>	<p>DE: Accept & index item 5 if 7 is completed. IL, MN, MT, OK, PA: Reject</p>	<p>DE: Mgmt System will not accept multiple actions MT: Admin Rule only one amendment per form IL: 9-516(c)(1) PA: 9-516(c)(1)</p>

<p>d. The filer checks Termination and Collateral Change.</p>	<p>Accept – index both Termination & Collateral Change.</p>	<p>9-520(a)</p>	<p>DE: Accept & index item 8. IL, MT, NH, OK, PA: Reject</p>	<p>DE: Mgmt System will not accept multiple actions MT: Admin Rule only one amendment per form IL: 9-516(c)(1) PA: 9-516(c)(1)</p>
<p>e. The filer checks Continuation and Assignment.</p>	<p>Accept - extend lapse date and index Assignment.</p>	<p>9-520(a)</p>	<p>DE: Accept & index item 4. IL, MT, NH, PA: Reject</p>	<p>DE: Mgmt System will not accept multiple actions MT: Admin Rule only one amendment per form IL: 9-516(c)(1) PA: 9-516(c)(1)</p>

<p>f. The filer checks Continuation and Party Information.</p>	<p>Accept - extend lapse date and index Party Information.</p>	<p>9-520(a)</p>	<p>DE: Accept & index item 4. IL, MT, NH, PA: Reject</p>	<p>DE: Mgmt System will not accept multiple actions MT: Admin Rule only one amendment per form IL: 9-516(c)(1) PA: 9-516(c)(1)</p>
<p>g. The filer checks Continuation and Collateral Change.</p>	<p>Accept - extend lapse date and index Collateral Change.</p>	<p>9-520(a)</p>	<p>DE: Accept & index item 4. IL, NH, PA, MT: Reject</p>	<p>DE: Mgmt System will not accept multiple actions MT: Admin Rule only one amendment per form IL: 9-516(c)(1) PA: 9-516(c)(1)</p>
<p>h. The filer checks Assignment. The filer checks box in item 5 (Party Information-Debtor) other than "Delete." Items 6 & 7 are left blank.</p>	<p>Reject</p>	<p>9-516(c)(1) with respect to 9-516(b)(4) and (6)</p>		
<p>i. The filer checks Assignment. The filer checks box in item 5 (party Information-Debtor) other than "Delete." Items 6 & 7 are completed.</p>	<p>Reject</p>	<p>9-516(c)(1) with respect to 9-516(b)(4) and (6)</p>	<p>WA: Accept & index item 3 assignment – Reject item 5.</p>	

j. The filer checks Assignment. The filer checks box in item 5 (party Information- Secured Party) other than "Delete." Items 6 & 7 left blank.	Reject	9-516(c)(1) with respect to 9-516(b)(4) and (6)		
k. The filer checks Assignment. The filer checks box in item 5 (party Information- Secured Party) other than "Delete." Items 6 & 7 completed.	Reject	9-516(c)(1) with respect to 9-516(b)(4) and (6)	WA: Accept & index item 3 assignment – Reject item 5.	
l. The filer checks Assignment. The filer checks “Delete” in item 5 (party information- Debtor).	Accept – index both Assignment & Party Information.	9-520(a)	DE, IL, MT, NH, OK, PA, TN: Reject ND: If item 7 is completed, accept & index for assignment only OR: Accept & index assign. Only if #7 is complete. If not, accept as an amendment.	MT: Admin Rule only one amendment per form IL: 9-516 (c)(1) PA: 9-516(c)(1)
m. The filer checks Assignment. The filer checks "Delete" in item 5 (arty information- Secured Party).	Accept - index both Assignment & Party Information.	9-520(a)	DE, IL, NH, OK, PA, TN, UT: Reject ND: If item 7 is completed, accept & index for assignment only	IL: 9-516 (c)(1) PA: 9-516(c)(1)
n. The filer checks Assignment and Collateral Change.	Accept - index both Assignment & Collateral Change.	9-520(a)	DE: Accept & index item 3 if 7 is completed. IL & NH: Reject	DE: Mgmt System will not accept multiple actions IL: 9-516 (c)(1)

<p>o. The filer checks Party Information and Collateral Change.</p>	<p>Accept - index both Party Information & Collateral Change.</p>	<p>9-520(a)</p>	<p>DE: Accept & index item 5 if 7 is completed. IL, NH, PA: Reject</p>	<p>DE: Mgmt System will not accept multiple actions IL: 9-516(c)(1) PA: 9-516(c)(1)</p>
<p>MISCELLANEOUS ITEMS</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>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.</p>	<p>9-520(a)</p>	<p>TX: Index complete debtor as single name if intent is clear.</p>	

<p>b. Forms</p> <p>Forms other than national or model forms.</p>	<p>Reject</p>	<p>9-521</p>	<p>DE: Accept CO: Colorado rejects all paper forms as we have mandated online filing only. ND: Also accepts own forms. NM: Accept with double fee, provided all info is correct. OR: Accept Oregon form. TN: Accepts current TN forms.</p>	
<p>c. Forms that mimic national or model forms (fields are different sizes, etc.):</p>	<p>Accept</p>	<p>9-521</p>	<p>GA, ME, MI, TN, VA: Reject</p>	<p>MI: MCL 440-9521 TN: Rule 1360-08-01-.04</p>

<p>d. Current IACA Model forms:</p> <p>UCC-1 Initial Financing Statement</p> <p>UCC-1 Initial Financing Statement Addendum</p> <p>UCC-3 Amendment</p> <p>UCC-3 Amendment Addendum</p> <p>Additional Party Addendum (UCC-1 and UCC-3)</p>	<p>Accept</p> <p>Accept</p> <p>Accept</p> <p>Accept</p> <p>Accept</p>	<p>9-521</p>		
<p>e. Attached Pages</p> <p>Filer adds an attachment that is not the national addendum form.</p> <p>Filer adds an attachment that is not the national addendum form, but that contains properly formatted information.</p>	<p>Accept - do not index information on attachment.</p> <p>Accept - do not index information on the attachment.</p>	<p>9-521</p>	<p>DE, MI, ND, TX: Accept and index if intent is clear.</p>	

<p>f. Bogus or fraudulent filings</p> <p>Filer provides the same name in items 1 and 3 of IFS (i.e., Debtor and Secured Party are the same).</p>	<p>Accept</p>	<p>9-520(a)</p>	<p>DE, ID, IN, MS, MI, MT, NE, NC, ND, NM, OR, PA, SC, VA, WA: Reject. IL: Review TX: Send to Attorney General for review.</p>	<p>DE: Mgmt System will not accept same name for both parties. ID: 28-9-516A IL: 810 ILCS 5/9-501.1 IN: 26-1-9.1-901 MI: MCL 440-9520 (5) MT: 9-420 NC: 25-9-516(b)(8) ND: Admin Rules OR: ORS 79-0516(2)(h) PA: 9-516(c)(1) TX: Texas Government Code 405.022 VA: 8.9A-516(b)(8)(D) WA: per 60.70</p>
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<p>g. Copies of personal documents, such as birth certificates, social security number, etc. are attached.</p>	<p>Accept</p>	<p>9-520(a)</p>	<p>DE: Reject – refer to Attorney General for review. IL: Review IN, WA: Reject if documents appear to be fraudulent MI, MS, PA, NV, OR, SC, UT, VA, MS: Reject NC: Reject if bogus; redact otherwise. OH: Accept and redact anything resembling EIN or SSN. TX: Send to Attorney General for review.</p>	<p>IL: ILCS 810 5/9-501.1 IN: 26-1-9.1-901 MI: MCL 440-9520 (5) OH: ORC 111-241 MS: Admin Rule NV: Per AG NC: 25-9-516(b)(8) OR: ORS 56.037(1) PA: 9-516(c)(1) TX: Texas Government Code 405.022 UT: Part of our new law VA: 8.9A-516(b)(8)(A)</p>
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<p>h. Debtor listed is a public official.</p>	<p>Accept</p>	<p>9-520(a)</p>	<p>DE: Reject – refer to Attorney General for review. IL: Review IN, MT, PA: Reject if documents appear to be fraudulent. MI, NV, NC, OH, OK, OR, SC, VA: Reject TN: Accept and sent to general counsel. NH & TX: Send to Attorney General for review. WA: May reject if recognized on the record.</p>	<p>IL: ILCS 810 5/9-501.1 IN: 26-1-9.1-901 MI: MCL 440-9520 (5) MT: 9-420 NV: Per AG NC: 25-9-516(b)(8) PA: 9-516(c)(1) OH: ORC 111-24 OR: ORS 205.455(2) TX: Texas Government Code 405.022 VA: 8.9A-516(b)(8)(B), If it is obvious that it is a public official. (Titles etc) WA: (RCW 60.70.030(2))</p>
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<p>i. The filing appears on its face to be bogus or fraudulent.</p>	<p>Accept</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>DE: Reject – refer to Attorney General for review. ID, IL: Review IN, MI, MS, NV, NC, OR, PA, SC, UT, VA, WA: Reject MT: Reject determined is improper. NH & TX: Send to Attorney General for review.</p>	<p>ID: Title 45, Ch 17 IL: 810 ILCS 5/9-501.1 IN: 26-1-9.1-901 MI: MCL 440-9520 (5) MT: 9-420 NV: Per AG NC: 25-9-516(b)(8) PA: 9-516(c)(1) OR: 79.0516(2)(h) TX: Texas Government Code 405.022 VA: 8.9A-516(b)(8)(C), 8.9A-516(b)(8)(B) 8.9A-516(b)(8)(A) & 8.9A-516(b)(8)(D) WA: (RCW 60.70.030(1))</p>
<p>j. The filing appears on its face to be bogus or fraudulent and names an individual as a Transmitting Utility.</p>				

<p>k. Customer Service Issues</p> <p>Filing requests made in cover letters or post-it notes, such as "file first."</p>	<p>Use reasonable judgment to accommodate request</p>	<p>9-502(a)</p>	<p>MO: Accepts but does not guarantee that it will be filed first.</p>	<p>PA: Cover letters or post-it notes are not seen by data entry or review staff.</p>
<p>l. Refusal errors and errors by the Filing Office.</p>	<p>Accept - 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>9-520(a), MARS 208</p>		
<p>m. The 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>UT: We give them 30 days to bring to our attention in order to maintain original filing date.</p>	

n. The filer provides a number (i.e. S.S. #, bank account #) that exceeds 9 digits.	Accept	9-520(a)	IL, OH, TX, UT, WA: Redacts sensitive info. MS, MO, NV, SC: Reject	MS: Admin Rule NV: Per AG OH: OH-ORC 111-241
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Note: Colorado deployed a new online filing system on May 29, 2012. They no longer accept documents submitted on paper, so most of these situations no longer apply. Online filers will get an error message if they omit part of the address with a name listed, or vice versa.

Jurisdictions (20) that have validated information for the 2013 Conference: CO, DE, GA, ID, IL, IN, KS, LA, ME, MI, MO, MN, MT, NE, NV, NH, NC, ND, NM, OH, OK, OR, PA, RI, SC, TN, TX, UT, VA, WA.

Jurisdictions that have validated the updated information for the 2014 Conference: CO, GA, IL, IN, KS, LA, ME, MI, MN, MO, MT, NE, NV, NH, NC, ND, OH, OR, RI, TN, TX, UT, VA, WA.