



Uniform Commercial Code Report to the Governor and the General Assembly

**As Required by the
Uniform Commercial Code Modernization Act of 2001
(Act 18 of 2001)**

Dated: October 31, 2014

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Secretary of the Commonwealth**

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INTRODUCTION

Pennsylvania adopted the Revised Article 9 of the Uniform Commercial Code (UCC) through Act 18 of 2001 (also known as the UCC Modernization Act), which became effective on July 1, 2001. All 50 states and the District of Columbia have enacted the Revised Article 9, with effective dates of no later than January 1, 2002.¹

The intent of the UCC Modernization Act (Act) of 2001, 13 Pa.C.S. § 9101 *et seq.*, was to simplify the filing of financing statements by establishing a uniform financing statement form that all jurisdictions are required to accept and which has the following common elements: debtor's name and address, secured party's name and address, type of organization, jurisdiction of organization, state organizational identification number, description of collateral, and description of real estate (for fixture filings).²

In addition, the Revised Article 9 introduced "one-stop filing" by permitting almost all financing statements to be filed in one centralized location at the state level. The only exception is financing statements for real estate-related collateral, which must still be filed at the local level.³ Another major objective was to streamline filing office processes and procedures, including for example, encouraging filing offices to offer and filers to use, electronic filing methods that have been made simpler as the result of the elimination of the debtor signature requirement.⁴

Act 18 of 2001 requires the Department of State to report to the Governor and the General Assembly by October 31st of every even-numbered year. This status report discusses the

¹ Carl R. Ernst, *Uniform Commercial Code Revised Article 9 Alert- A State-by-State Guide to Searching and Filing under the New Revision*, vol. 1, p. 1-1-1.

² Nancy J. Shulow, "Revised Article 9 of the Uniform Commercial Code New Requirements for Financing Statements," *Pennsylvania Bar Association Quarterly*, April 2001, vol. LXXII, No. 2, p. 48.

³ See 13 Pa.C.S. § 9501(a)(1).

⁴ Ernst, p. 1-2-6.

operations of the Certification and Uniform Commercial Code Section (Section) of the Department of State's (Department) Bureau of Corporations and Charitable Organizations (Bureau) since the previous report filed on October 31, 2012.⁵ The report also provides statements addressing to what extent the Department's proposed rules are in harmony with the rules adopted by other jurisdictions and with the most recent version of the Model Rules promulgated by the International Association of Commercial Administrator's (IACA).⁶

UNIFORM COMMERCIAL CODE FILING OFFICE OPERATIONS

The Certification and Uniform Commercial Code Section (Section) of the Bureau of Corporations and Charitable Organizations is the central office for filing UCC financing statements for secured transactions. Generally, financing statements are filed by creditors to protect their financial interests when debtors have offered collateral to secure financing. There are four different types of filings: (1) Initial Financing Statement (UCC-1); (2) Financing Statement Amendment (UCC-3); (3) Statement of Claim (formerly Correction Statement) (UCC-5); and (4) Filing Officer Statement. Financing statements list the lender or secured party name and address, the names and addresses of the debtors, filed dates and additional administrative information.

The bulk of UCC filings are either initial financing statements (UCC-1 filings) or amendments to existing financing statements (UCC-3 filings). Each year, the Section receives approximately 71,600 UCC-1 filings and 54,500 UCC-3 filings. Financing statements are

⁵ A reorganization of the Department, effective on June 21, 2012, resulted in the merger of the Corporation Bureau and the Bureau of Charitable Organizations into one Bureau entitled the Bureau of Corporations and Charitable Organizations.

⁶ This is the current name of the organization, which had previously been called the International Association of Corporate Administrators as reflected in Sections 9526 and 9527 of the Act, 13 Pa.C.S. § 9526 and § 9527.

generally effective for five years, unless they are continued, terminated or amended in some way. As of October 1, 2014, there were approximately 377,706 effective financing statements in the UCC database, with lapse dates through 2019.

The Department continues to utilize the Secretary of State Knowledge Base (SOSKB) public records database to process UCC filings. The system, including both hardware and software for UCC and business processing systems, was procured for the Bureau in 2004. The UCC application became available for use by internal users on November 15, 2004.⁷

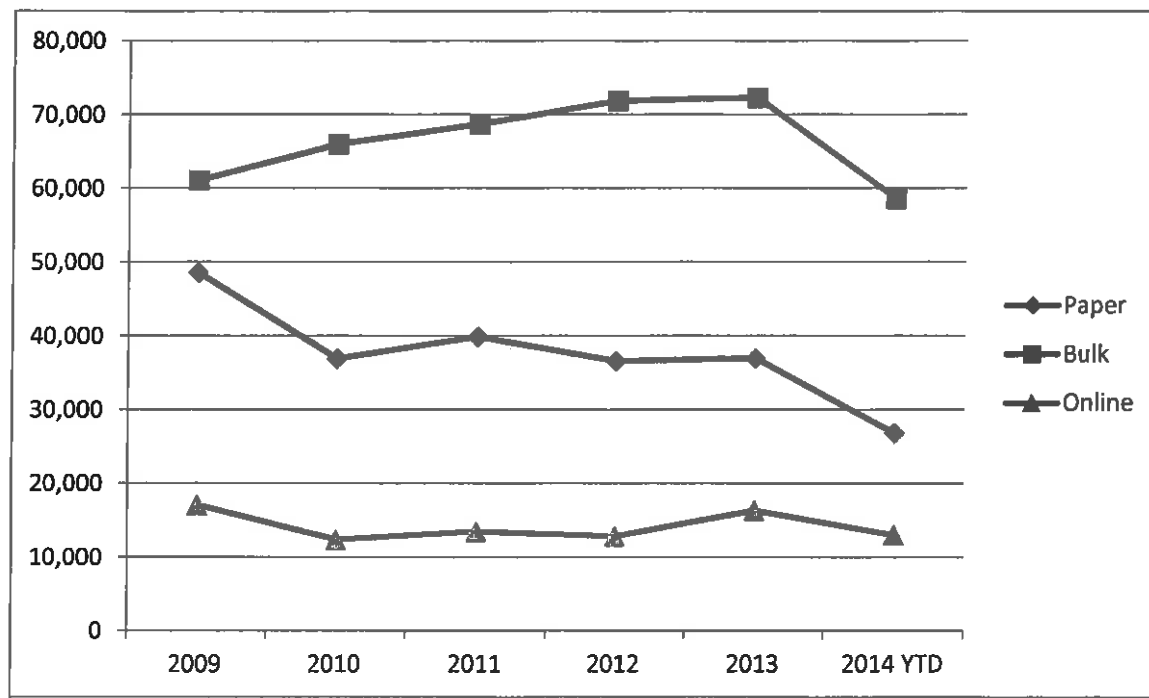
Since the implementation of SOSKB, submissions of UCC financing statements and amendments may be made via paper or electronically through the Department's website. Electronic filings are comprised of bulk filings through an external UCC application utilized by approved submitters or individual filings through completion and submission of the online forms on the Department's website. The external UCC application for the bulk filing system has been available for use since January 6, 2005, and is currently utilized regularly for 58 percent of filings. The Certification and Uniform Commercial Code Section has been able to accept online filings of UCC financing statements, both originals and amendments, since March 30, 2005. These online filings, not submitted in bulk, constitute 13 percent of filings currently. Bulk filers may pay for filings from either an Automated Clearing House (ACH) account or a customer deposit account. Online filers may submit payment using either ACH or via credit card.

The Bureau began providing bulk UCC data and images through a web-based subscription service on March 23, 2006. The records had previously been available through the sale of magnetic tapes containing the data and images. As of October 1, 2014, five subscribers had executed annual subscription agreements with the Bureau, by which UCC data and images are available for download on a monthly basis.

⁷ The Business Processing application went live on October 11, 2005.

The following tables illustrate the number and method of UCC filings for the most recent calendar years:

Year	Method of filing	Number of Filings	Percentage of total
2009			
	Paper	48,547	38%
	Bulk	61,045	48%
	Online	17,063	14%
	Total	126,655	100%
2010			
	Paper	36,899	32%
	Bulk	65,972	57%
	Online	12,356	11%
	Total	115,227	100%
2011			
	Paper	39,848	33%
	Bulk	68,668	56%
	Online	13,441	11%
	Total	121,957	100%
2012			
	Paper	36,556	30%
	Bulk	71,825	59%
	Online	12,820	11%
	Total	121,201	100%
2013			
	Paper	36,930	29%
	Bulk	72,294	58%
	Online	16,316	13%
	Total	125,540	100%
2014 YTD (as of 10/1/14)			
	Paper	26,813	27%
	Bulk	58,567	60%
	Online	12,994	13%
	Total	98,374	100%



Realized Benefits of the Current Records Management System – review all, please

The Certification and Uniform Commercial Code Section has been successful in attaining compliance with the Revised Article 9 in the following significant ways, since the replacement of the former UCC public records database with the SOSKB system in November 2004:

- **The Section has reduced a significant processing time for filings that was over 30 days at its highest point in August 2003 to a time frame of one to two days as of October 1, 2014.** After a brief spike in UCC processing times following implementation of the new SOSKB system, processing times of the Certification and Uniform Commercial Code Section have reached and remained one to two days. This complies with Section 9523(e)(2) (relating to timeliness of filing office performance) of the Act, 13 Pa.C.S. § 9523(e)(2), which provides that, “A filing office...shall perform the acts required by subsections (a) through (d) not later than five business days after the filing office receives the request.”
- **The current business records application permits online services, which permits the public to:** 1) **file individual UCC-1 (initial financing statement) and UCC-3 (amendment) documents via the web;** and 2) **to search, review and print UCC database information and copies through the Bureau’s website.** This complies with the Act’s general intent of simplifying and streamlining the filing procedures and with the provisions of IACA’s model rules that encourage filing offices to offer electronic filing methods.

- **The current records management application allows for payment for online filings and services by debit credit card, credit card, Automated Clearing House (ACH) or by deductions from customer deposit accounts.** This complies with the Act's general intent of simplifying and streamlining the filing procedures and with the provisions of IACA's model rules that encourage filing offices to accept payment by debit credit card, credit card and ACH methods.
- **The Certification and Uniform Commercial Code Section accepts and makes available on its website at www.dos.state.pa.us/corps the national UCC forms as promulgated by The American Law Institute and the National Conference of Commissioners on Uniform State Laws.** This complies with Section 9521 (relating to uniform form of written financing statement and amendment) of the Act, 13 Pa.C.S. § 9521, which provides that a filing office which accepts written records may not refuse to accept a written initial financing statement or an amendment "in the form and format set forth in the final official text of the 1999 revisions of the Uniform Commercial Code promulgated by The American Law Institute and the National Conference of Commissioners on Uniform State Laws, except for a reason set forth in section 9516(b) (relating to refusal to accept record; filing does not occur)." See Appendices for the national UCC forms.
- **The Certification and Uniform Commercial Code Section has discontinued its prior practice of purging all expired and terminated filings the first Wednesday of the month after they had expired or been terminated and is instead retaining the information on its database until one year after the lapse date of a financing statement.⁸** This complies with Section 9522(a) (relating to post-lapse maintenance and retrieval of information) of the Act, 13 Pa.C.S. § 9522(a), that provides that, "The filing office shall maintain a record of the information provided in a filed financing statement for at least one year after the effectiveness of the financing statement has lapsed under section 9515 (relating to duration and effectiveness of financing statement; effect of lapsed financing statement) with respect to all secured parties of record. The record must be retrievable by using the name of the debtor and by using the file number assigned to the initial financing statement to which the record relates."
- **The Section has a functional numbering system that includes a unique filing number that constitutes a check digit.** This complies with Section 9519(b) (relating to file number) of the Act, 13 Pa.C.S. § 9519(b), which provides that, "Except as provided in subsection (i), a file number assigned after January 1, 2002, must include a digit which: (1) is mathematically derived from or related to the other digits of the file number; and (2) aids the filing office in determining whether a number communicated as the file number includes a single digit or transpositional error."
- **The Section's current system: 1) employs a search logic that permits retrieval of UCC filings both by the name of the debtor and by the file number and 2) provides for association and retrieval capabilities in accordance with the Act.** This complies

⁸ Please note that the Uniform Commercial Code Section retains permanent microfilm records of all filings, pursuant to Pennsylvania Historical and Museum Commission guidelines.

with Section 9519(f) (relating to retrieval and association capability), 13 Pa.C.S. § 9519(f), that provides that, “The filing office shall maintain a capability: (1) to retrieve a record by the name of the debtor and by the file number assigned to the initial financing statement to which the record relates; and (2) to associate and retrieve with one another an initial financing statement and each filed record relating to the initial financing statement.”

- **The Section’s current system identifies a debtor as an individual or organization.** This complies with the Act’s general intent of simplifying and streamlining the filing procedures.
- **The Department promulgated a final regulation effective August 11, 2001, establishing UCC filing fees in order to remain revenue neutral to the amounts collected by all counties and the Department.** This complies with Section 9525(d) (relating to variation by regulation) of the Act, 13 Pa.C.S. § 9525(d), which requires the Department to promulgate regulations that establish UCC filing fees sufficient to generate revenue equivalent to the amounts collected by the counties from UCC filings in calendar year 2000 and the general fund from UCC filings in fiscal year 1999-2000 and that hold the general fund fiscally harmless and all of the counties fiscally harmless when taken in the aggregate. The fees for UCC filings made through the Section were increased from \$12.00 per debtor name to \$84.00 per filing.⁹ While the increase appears substantial, in many cases the fees, in the aggregate, are less due to elimination, in most cases, of the need to file, and remit a fee at the local level¹⁰ and the elimination of ancillary fees for additional debtor names and attachments.

Implementation of the SOSKB system has permitted the Certification and Uniform Commercial Code Section to surpass the Revised Article 9 requirements by providing for the following additional enhancements that further the Act’s general intent of simplifying and streamlining the filing procedures:

- The Section’s current application incorporates a full-fledged imaging system through the scanning of all UCC filings, as well as improved workflow technology to reduce the handling of paper documents and increase the UCC Section’s efficiency.
- The Section’s imaging system and enhanced database has enabled the Section to be more customer service-oriented by permitting it to better track the processing of filings and their acceptance or rejection status at any given time.

⁹The fee for financing statements (for real estate related collateral only) filed with the county recorder of deeds office was increased from \$59.50 per filing to \$95.00 per filing.

¹⁰All financing statements except those for real estate-related collateral are now filed at the state rather than local level.

- The Section's current application permits for a non-web-based internal system for more efficient staff data input.
- The Section's current application allows for better statistical information for research and data analysis purposes, including assessment of employee efficiency and tracking of the number of filings received, the number of filings accepted and rejected and a breakdown of filings by type.
- The Section's current application provides for financial closeout processes and procedures to ensure for improved tracking of funds received by the Bureau.
- The Section's current application allows for public access to filing images via the Internet with online payment of a fee per document.
- The Section's current application provides for the automatic microfilming of all UCC documents, regardless of the method of filing.

Recent Amendments to Article 9

The National Conference of Commissioners on Uniform State Laws approved amendments to Article 9 of the Uniform Commercial Code in July 2010. These are the first changes to Article 9 since the Uniform Law Commissioners and The American Law Institute promulgated Revised Article 9 of the Uniform Commercial Code in 1998. As of the date of this report, 48 states and two territories had adopted the 2010 amendments, which were designed to go into effect simultaneously in all states on July 1, 2013. In Pennsylvania, Senate Bill 381 was signed into law on June 27, 2013 and became Act 30 of 2013, effective on July 1, 2013.

The amendments contained in Act 30 are intended to address issues brought about by non-uniform Article 9 changes in other states and to correct several inconsistencies between 2001 amendments to Article 9 and filing office practices nationwide. The most significant changes to Article 9 contained in Act 30 relate to rules for determining the sufficiency of an individual debtor's name on a financing statement. Some states have adopted non-uniform amendments to Article 9 to provide some certainty in ascertaining the correct form of an

individual debtor name for financing statement purposes. The amendments to Article 9 address the threat to uniformity posed by these states. The national drafting committee proposed two alternative versions of the individual names rule for states to remedy the situation. The Pennsylvania drafting committee chose what is sometimes referred to as the “only if” approach, which provides that the UCC financing statement sufficiently designates the name of the individual debtor *only if* it provides the name of the individual shown on the Pennsylvania driver’s license or non-driver’s license identification card issued by the Department of Transportation (PennDOT). For debtors who do not possess a driver’s license or PennDOT identification card, the rule would require use of the individual name or the surname and first name. This alternative is incorporated into Act 30.

In order for the individual debtor name on the UCC financing statement to successfully link to the individual’s driver’s license, it is important that PennDOT and the Department of State coordinate the name field length and character set of both agency databases. Act 30 requires that this cooperation occur. The Department has worked with PennDOT since passage of the bill, with the two agencies negotiating a Memorandum of Understanding (MOU) to ensure that the UCC and driver licensing databases continue to be compatible for the purposes of complying with Act 30’s requirements relating to individual debtor names on financing statements.

In implementing Act 30, the Department has also replaced the UCC forms on its website with the most recent forms as revised by the International Association of Commercial Administrator’s (IACA). These forms incorporate the changes made to Article 9 by the National Conference of Commissioners on Uniform State Laws.

Harassment, Strawman and Authentication Filings

The filing of financing statements of questionable legitimacy is an ongoing problem encountered by the Section. On July 5, 2012, the National Association of Secretaries of State (NASS) issued an informative report for state business filing agencies entitled “State Strategies to Subvert Fraudulent Uniform Commercial Code Filings.” The report recognized three types of filings with no legitimate basis under the UCC: harassment filings, strawman filings, and authentication filings.

Harassment or fraudulent filings are financing statements filed to harass individuals through the placement of what appear to be ‘liens’ on their assets as a response to a perceived injustice. Fraudulent filings are defined in 13 Pa.C.S. §9518(d) to be where no rational basis exists under 13 Pa.C.S. §9509 entitling the person to file the initial financing statement and it appears that the person filed the initial financing statement with intent to annoy, harass, or harm the debtor. In fraudulent filings, the alleged debtor is often a public official, a corporation, a bank or judges, prosecutors and public defenders. Although these spurious claims are not legally effective, they may inhibit the alleged debtor from obtaining future credit and the victims may spend years battling the false claims.

Strawman filings are an attempt to defraud third parties into providing value for worthless instruments. Tell-tale signs of strawman filings are where the secured party and debtor names and addresses are one and the same; the collateral includes social security, birth certificate and other personal identification numbers; the debtor is identified as a transmitting utility when this is clearly not the case or the transaction is designated as a public finance or manufactured home transaction when the designation is unmistakably contrived.

Authentication filings are attempted to try to mislead third parties about the authenticity of the underlying document, often filed fraudulently in other jurisdictions, which is typically also of questionable legality. Typical language for authentication filings contains: “This is an in lieu of filing.”

The source of harassment, strawman and authentication filings is primarily individuals known as freemen or sovereign citizens.¹¹ Disgruntled litigants and prisoners also frequently resort to these tactics. The provisions of Article 9 are not designed to prevent the filing of bogus or fraudulent financing statements.¹² Revised Article 9 provides the Uniform Commercial Code Section with little or no discretion to reject a filing if it contains all the elements called for in 13 Pa.C.S. §9502 (relating to Contents of financing statement; record of mortgage as financing statement; time of filing financing statement) and does not meet one of the limited exceptions in 13 Pa.C.S. §9516 (relating to What constitutes filing; effectiveness of filing). The provision that is utilized currently to reject such financing statements is at 13 Pa.C.S. §9516(c)(1), when the record does not provide information that the filing office is able to read or decipher. The filing office rejects approximately 70 harassment, strawman and authentication filings annually for this reason. It will continue to do so until such time as legislation can be enacted to provide the Department with increased authority to reject or cancel illegitimate filings.¹³ With regard to UCC online filing, the Bureau has ensured that filers are prevented from submitting online filings which contain certain Department-specified key words.

Presently, a victim of a fraudulent filing has the following two options available under

¹¹ Anti-Defamation League’s *Militia Watchdog Bulletin*, “Old Wine, New Bottle: Paper Terrorism, Paper Scams and Paper Redemption,” November 8, 1999, p. 1.

¹² National Association of Secretaries of State, “State Strategies to Subvert Fraudulent Uniform Commercial Code Filings,” July 5, 2012, p. 6.

¹³ The NASS report details state laws that combat the problem of illegitimate filings with pre-filing administrative discretion to reject filings, post-filing administrative relief, post-filing expedited judicial relief and enhanced criminal/civil penalties.

the Pennsylvania Uniform Commercial Code, both of which can be costly and time-consuming:

- (1) file a Statement of Claim under 13 Pa.C.S. §9518(a) (relating to Claim concerning inaccurate or wrongfully filed record) accompanied by a fee of \$84, which does not change the effectiveness of the initial financing statement or other filed record except if the requirements of 13 Pa.C.S. §9518(d) are met; or
- (2) request an administrative hearing before the Department under 13 Pa.C.S. §9518(d), in an effort to obtain a favorable ruling either as a result of the hearing or an appeal to Commonwealth Court that the initial financing statement was fraudulently filed resulting in the Department filing a correction statement to that effect.

The major advantage of filing a petition for a hearing before the Department, which is not a option provided for in the Revised Article 9 of the vast majority of states, is that it can result in the favorable outcome of having the Department file a Statement of Claim (formerly Correction Statement) declaring that the initial financing statement was fraudulent and is ineffective. There is no fee to request a hearing and the individual could ultimately have the fraudulent record removed from the public record. However, it must also be noted that participation in the hearing process can place a considerable burden on the victim of the fraudulent filing. To date, the Department has issued 25 decisions determining that the initial financing statement in question was fraudulently filed. Seven of these decisions were appealed, with one resulting in an affirmation of the Department's determination by the Pennsylvania Supreme Court and with the remaining six affirmed by the Commonwealth Court of Pennsylvania.

In accordance with 13 Pa.C.S. §9518(d)(1)(vi), the Department has made six referrals to the Office of Attorney General for criminal prosecution of fraudulent filers. All the referrals have resulted in convictions, with sentences ranging from probation under a plea agreement to 8-16 years in state prison. It is hoped that as word of these convictions reaches the sovereign citizen/freeman community and correctional facilities, the prospect of these penalties will further deter illegitimate and fraudulent Uniform Commercial Code filings.

OTHER STATE RULES

The Department's proposed regulations are in harmony with the rules of the forty-six other states and the District of Columbia that have promulgated rules.

MODEL RULES

The Department's proposed rules are being modified to be based upon IACA's most recent Model Administrative Rules last revised May 15, 2013, and will be in harmony with the Model Rules' provisions.

CONCLUSION

The Pennsylvania Department of State has fully implemented Revised Article 9, with the exception of finalizing filing office rules. The enhancements to the filing system surpass Article 9 and Model Rule requirements. In addition, the Department has taken proactive measures to reject harassment, strawman and authentication filings, while retaining the efficiency of the Uniform Commercial Code filing system.

Appendix 1

UCC FINANCING STATEMENT

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

A. NAME & PHONE OF CONTACT AT FILER (optional)

B. SEND ACKNOWLEDGMENT TO: (Name and Address)

Print

Reset

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

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:

OR

1b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

1c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

1d. SEE INSTRUCTIONS

ADD'L INFO RE
ORGANIZATION
DEBTOR

1e. TYPE OF ORGANIZATION

1f. JURISDICTION OF ORGANIZATION

1g. ORGANIZATIONAL ID #, if any

☐ NONE

2. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - Insert only one debtor name (2a or 2b) - do not abbreviate or combine names.

2a. ORGANIZATION'S NAME

OR

2b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

2c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

2d. SEE INSTRUCTIONS

ADD'L INFO RE
ORGANIZATION
DEBTOR

2e. TYPE OF ORGANIZATION

2f. JURISDICTION OF ORGANIZATION

2g. ORGANIZATIONAL ID #, if any

☐ NONE

3. SECURED PARTY'S NAME (or NAME of TOTAL ASSIGNEE of ASSIGNOR(S)) - Insert only one secured party name (3a or 3b)

3a. ORGANIZATION'S NAME

OR

3b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

3c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

4. This FINANCING STATEMENT covers the following collateral:

5. ALTERNATIVE DESIGNATION (if applicable):	LESSEE/LESSOR	CONSIGNEE/CONSIGNOR	BAILEE/BAILOB	SELLER/BUYER	AG. LIEN	NON-UCC FILING
6. ☐ This FINANCING STATEMENT is to be filed (for record) (or recorded) in the REAL ESTATE RECORDS. Attach Addendum	☐ Check to REQUEST SEARCH REPORT(S) on Debtor(s) (optional)	☐ Check to REQUEST SEARCH REPORT(S) on Debtor(s) (optional)	☐ Check to REQUEST SEARCH REPORT(S) on Debtor(s) (optional)	☐ Check to REQUEST SEARCH REPORT(S) on Debtor(s) (optional)	☐ Check to REQUEST SEARCH REPORT(S) on Debtor(s) (optional)	☐ Check to REQUEST SEARCH REPORT(S) on Debtor(s) (optional)
8. OPTIONAL FILER REFERENCE DATA						

Instructions for UCC Financing Statement (Form UCC1)

Please type or laser-print this form. Be sure it is completely legible. Read all instructions, especially Instruction 1; correct Debtor name is crucial. Follow Instructions completely.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. Filing office cannot give legal advice. Do not insert anything in the open space in the upper portion of this form; it is reserved for filing office use.

When properly completed, send Filing Office Copy, with required fee, to filing office. If you want an acknowledgment, complete Item B and, if filing in a filing office that returns an acknowledgment copy furnished by filer, you may also send Acknowledgment Copy; otherwise detach. If you want to make a search request, complete Item 7 (after reading Instruction 7 below) and send Search Report Copy, otherwise detach. Always detach Debtor and Secured Party Copies.

If you need to use attachments, you are encouraged to use either Addendum (Form UCC1Ad) or Additional Party (Form UCC1AP).

A. To assist filing offices that might wish to communicate with filer, filer may provide information in Item A. This item is optional.

B. Complete Item B if you want an acknowledgment sent to you. If filing in a filing office that returns an acknowledgment copy furnished by filer, present simultaneously with this form a carbon or other copy of this form for use as an acknowledgment copy.

1. **Debtor name:** Enter only one Debtor name in Item 1, an organization's name (1a) or an individual's name (1b). Enter Debtor's exact full legal name. Don't abbreviate.
- 1a. **Organization Debtor.** "Organization" means an entity having a legal identity separate from its owner. A partnership is an organization; a sole proprietorship is not an organization, even if it does business under a trade name. If Debtor is a partnership, enter exact full legal name of partnership; you need not enter names of partners as additional Debtors. If Debtor is a registered organization (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Debtor's current filed charter documents to determine Debtor's correct name, organization type, and jurisdiction of organization.
- 1b. **Individual Debtor.** "Individual" means a natural person; this includes a sole proprietorship, whether or not operating under a trade name. Don't use prefixes (Mr., Mrs., Ms.). Use suffix box only for titles of lineage (Jr., Sr., III) and not for other suffixes or titles (e.g., M.D.). Use married woman's personal name (Mary Smith, not Mrs. John Smith). Enter individual Debtor's family name (surname) in Last Name box, first given name in First Name box, and all additional given names in Middle Name box.
For both organization and individual Debtors: Don't use Debtor's trade name, DBA, AKA, FKA, Division name, etc. in place of or combined with Debtor's legal name; you may add such other names as additional Debtors if you wish (but this is neither required nor recommended).
- 1c. An address is always required for the Debtor named in 1a or 1b.
- 1d. Reserved for Financing Statements to be filed in North Dakota or South Dakota only. If this Financing Statement is to be filed in North Dakota or South Dakota, the Debtor's taxpayer identification number (tax ID#) — social security number or employer identification number must be placed in this box.
- 1e, f, g. "Additional Information re organization Debtor" is always required. Type of organization and jurisdiction of organization as well as Debtor's exact legal name can be determined from Debtor's current filed charter document. Organizational ID #, if any, is assigned by the agency where the charter document was filed; this is different from tax ID #; this should be entered preceded by the 2-character U.S. Postal identification of state of organization if one of the United States (e.g., CA12345, for a California corporation whose organizational ID # is 12345); if agency does not assign organizational ID #, check box in Item 1g indicating "none."
- Note: If Debtor is a trust or trustee acting with respect to property held in trust, enter Debtor's name in Item 1 and attach Addendum (Form UCC1Ad) and check appropriate box in Item 17. If Debtor is a decedent's estate, enter name of deceased individual in Item 1b and attach Addendum (Form UCC1Ad) and check appropriate box in Item 17. If Debtor is a transmitting utility or this Financing Statement is filed in connection with a Manufactured-Home Transaction or a Public-Finance Transaction as defined in applicable Commercial Code, attach Addendum (Form UCC1Ad) and check appropriate box in Item 18.
2. If an additional Debtor is included, complete Item 2, determined and formatted per Instruction 1. To include further additional Debtors, attach either Addendum (Form UCC1Ad) or Additional Party (Form UCC1AP) and follow Instruction 1 for determining and formatting additional names.
3. Enter information for Secured Party or Total Assignee, determined and formatted per Instruction 1. To include further additional Secured Parties, attach either Addendum (Form UCC1Ad) or Additional Party (Form UCC1AP) and follow Instruction 1 for determining and formatting additional names. If there has been a total assignment of the Secured Party's interest prior to filing this form, you may either (1) enter Assignor S/P's name and address in Item 3 and file an Amendment (Form UCC3) [see Item 5 of that form]; or (2) enter Total Assignee's name and address in Item 3 and, if you wish, also attaching Addendum (Form UCC1Ad) giving Assignor S/P's name and address in Item 12.
4. Use Item 4 to indicate the collateral covered by this Financing Statement. If space in Item 4 is insufficient, put the entire collateral description or continuation of the collateral description on either Addendum (Form UCC1Ad) or other attached additional page(s).
5. If filer desires (at filer's option) to use titles of lessee and lessor, or consignee and consignator, or seller and buyer (in the case of accounts or chattel paper), or bailee and bailor instead of Debtor and Secured Party, check the appropriate box in Item 5. If this is an agricultural lien (as defined in applicable Commercial Code) filing or is otherwise not a UCC security interest filing (e.g., a tax lien, judgment lien, etc.), check the appropriate box in Item 5, complete items 1-7 as applicable and attach any other items required under other law.
6. If this Financing Statement is filed as a fixture filing or if the collateral consists of timber to be cut or as-extracted collateral, complete items 1-5, check the box in Item 6, and complete the required information (items 13, 14 and/or 15) on Addendum (Form UCC1Ad).
7. This item is optional. Check appropriate box in Item 7 to request Search Report(s) on all or some of the Debtors named in this Financing Statement. The Report will list all Financing Statements on file against the designated Debtor on the date of the Report, including this Financing Statement. There is an additional fee for each Report. If you have checked a box in item 7, file Search Report Copy together with Filing Office Copy (and Acknowledgment Copy). Note: Not all states do searches and not all states will honor a search request made via this form; some states require a separate request form.
8. This item is optional and is for filer's use only. For filer's convenience of reference, filer may enter in Item 8 any identifying information (e.g., Secured Party's loan number, law firm file number, Debtor's name or other identification, state in which form is being filed, etc.) that filer may find useful.

UCC FINANCING STATEMENT ADDENDUM

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

9. NAME OF FIRST DEBTOR (1a or 1b) ON RELATED FINANCING STATEMENT

9a. ORGANIZATION'S NAME

OR

9b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME, SUFFIX

10. MISCELLANEOUS:

Print

Reset

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

11. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - Insert only one name (11a or 11b) - do not abbreviate or combine names

11a. ORGANIZATION'S NAME

OR

11b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

11c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

11d. SEE INSTRUCTIONSADD'L INFO RE
ORGANIZATION
DEBTOR

11e. TYPE OF ORGANIZATION

11f. JURISDICTION OF ORGANIZATION

11g. ORGANIZATIONAL ID #, if any

☐ NONE**12. ☐ ADDITIONAL SECURED PARTY'S or ☐ ASSIGNOR S/P'S NAME - Insert only one name (12a or 12b)**

12a. ORGANIZATION'S NAME

OR

12b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

12c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

13. This FINANCING STATEMENT covers ☐ timber to be cut or ☐ as-extracted collateral, or is filed as a ☐ fixture filing.

14. Description of real estate:

15. Additional collateral description:

15. Name and address of a RECORD OWNER of above-described real estate (if Debtor does not have a record interest):

17. Check only if applicable and check only one box.Debtor is a ☐ Trust, or ☐ Trustee acting with respect to property held in trust, or ☐ Decedent's Estate18. Check only if applicable and check only one box.☐ Debtor is a TRANSMITTING UTILITY☐ Filed in connection with a Manufactured-Home Transaction☐ Filed in connection with a Public-Finance Transaction

International Association of Commercial Administrators (IACA)

Instructions for UCC Financing Statement Addendum (Form UCC1Ad).

9. Insert name of first Debtor shown on Financing Statement to which this Addendum relates, exactly as shown in Item 1 of Financing Statement.
10. Miscellaneous: Under certain circumstances, additional information not provided on Financing Statement may be required. Also, some states have non-uniform requirements. Use this space to provide such additional information or to comply with such requirements; otherwise, leave blank.
11. If this Addendum adds an additional Debtor, complete item 11 in accordance with Instruction 1 of Financing Statement. To include further additional Debtors, attach either an additional Addendum (Form UCC1Ad) or Additional Party (Form UCC1AP) and follow Instruction 1 of Financing Statement for determining and formatting additional names.
12. If this Addendum adds an additional Secured Party, complete item 12 in accordance with Instruction 3 of Financing Statement. To include further additional Secured Parties, attach either an additional Addendum (Form UCC1Ad) or Additional Party (Form UCC1AP) and follow Instruction 1 of Financing Statement for determining and formatting additional names. In the case of a total assignment of the Secured Party's interest before the filing of this Financing Statement, if filer has given the name and address of the Total Assignee in Item 3 of Financing Statement, filer may give the Assignor S/P's name and address in Item 12.
- 13-15. If collateral is timber to be cut or as-extracted collateral, or if this Financing Statement is filed as a fixture filing, check appropriate box in item 13; provide description of real estate in item 14; and, if Debtor is not a record owner of the described real estate, also provide, in item 15, the name and address of a record owner. Also provide collateral description in item 4 of Financing Statement. Also check box 6 on Financing Statement. Description of real estate must be sufficient under the applicable law of the jurisdiction where the real estate is located.
16. Use this space to provide continued description of collateral, if you cannot complete description in item 4 of Financing Statement.
17. If Debtor is a trust or a trustee acting with respect to property held in trust or is a decedent's estate, check the appropriate box.
18. If Debtor is a transmitting utility or if the Financing Statement relates to a Manufactured-Home Transaction or a Public-Finance Transaction as defined in the applicable Commercial Code, check the appropriate box.

Appendix 3

UCC FINANCING STATEMENT ADDITIONAL PARTY

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

19. NAME OF FIRST DEBTOR (1a or 1b) ON RELATED FINANCING STATEMENT

19a. ORGANIZATION'S NAME

OR

19b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME, SUFFIX

20. MISCELLANEOUS:

Print

Reset

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

21. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - Insert only one name (21a or 21b) - do not abbreviate or combine names

21a. ORGANIZATION'S NAME

OR

21b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

21c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

21d. SEE INSTRUCTIONS

ADD'L INFO RE
ORGANIZATION
DEBTOR

21e. TYPE OF ORGANIZATION

21f. JURISDICTION OF ORGANIZATION

21g. ORGANIZATIONAL ID #, if any

☐ NONE

22. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - Insert only one name (22a or 22b) - do not abbreviate or combine names

22a. ORGANIZATION'S NAME

OR

22b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

22c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

22d. SEE INSTRUCTIONS

ADD'L INFO RE
ORGANIZATION
DEBTOR

22e. TYPE OF ORGANIZATION

22f. JURISDICTION OF ORGANIZATION

22g. ORGANIZATIONAL ID #, if any

☐ NONE

23. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - Insert only one name (23a or 23b) - do not abbreviate or combine names

23a. ORGANIZATION'S NAME

OR

23b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

23c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

23d. SEE INSTRUCTIONS

ADD'L INFO RE
ORGANIZATION
DEBTOR

23e. TYPE OF ORGANIZATION

23f. JURISDICTION OF ORGANIZATION

23g. ORGANIZATIONAL ID #, if any

☐ NONE

24. ADDITIONAL SECURED PARTY'S NAME (or Name of TOTAL ASSIGNEE) - Insert only one name (24a or 24b)

24a. ORGANIZATION'S NAME

OR

24b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

24c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

25. ADDITIONAL SECURED PARTY'S NAME (or Name of TOTAL ASSIGNEE) - Insert only one name (25a or 25b)

25a. ORGANIZATION'S NAME

OR

25b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

25c. MAILING ADDRESS

CITY

STATE

POSTAL CODE

COUNTRY

Instructions for UCC Financing Statement Additional Party (Form UCC1AP)

Use this form to continue adding additional Debtor or Secured Party names as needed when filing a UCC Financing Statement (Form UCC1).

19. Insert name of first Debtor shown on Financing Statement to which this Additional Party relates, exactly as shown in Item 1 of Financing Statement.
20. Miscellaneous: Under certain circumstances, additional information not provided on Financing Statement may be required. Also, some states have non-uniform requirements. Use this space to provide such additional information or to comply with such requirements; otherwise, leave blank.
- 21-23. If this Additional Party adds additional Debtors, complete items 21, 22, and 23 in accordance with Instruction 1 of Financing Statement and give complete information for each additional Debtor. Be sure to complete either the organization's name or individual's name items.
- 24-25. If this Additional Party adds additional Secured Parties, complete items 24 and 25 in accordance with instruction 3 of Financing Statement and give complete information for each additional Secured Party.

UCC FINANCING STATEMENT AMENDMENT

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

A. NAME & PHONE OF CONTACT AT FILER (optional)**B. SEND ACKNOWLEDGMENT TO: (Name and Address)****Print****Reset**

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1a. INITIAL FINANCING STATEMENT FILE #**1b. This FINANCING STATEMENT AMENDMENT is to be filed (for record) (or recorded) in the REAL ESTATE RECORDS.****2. TERMINATION:** Effectiveness of the Financing Statement identified above is terminated with respect to security interest(s) of the Secured Party authorizing this Termination Statement.**3. CONTINUATION:** Effectiveness of the Financing Statement identified above with respect to security interest(s) of the Secured Party authorizing this Continuation Statement is continued for the additional period provided by applicable law.**4. ASSIGNMENT (full or partial):** Give name of assignee in item 7a or 7b and address of assignee in item 7c; and also give name of assignor in item 9.**5. AMENDMENT (PARTY INFORMATION):** This Amendment affects ☐ Debtor or ☐ Secured Party of record. Check only one of these two boxes.Also check one of the following three boxes and provide appropriate information in items 8 and/or 7.☐ **CHANGE name and/or address:** Please refer to the detailed instructions in records to changing the name/address of a party.☐ **DELETE name:** Give record name to be deleted in item 8a or 8b.☐ **ADD name:** Complete item 7a or 7b, and also item 7c; also complete items 7e-7g (if applicable).**6. CURRENT RECORD INFORMATION:****6a. ORGANIZATION'S NAME**

OR

6b. INDIVIDUAL'S LAST NAME**FIRST NAME****MIDDLE NAME****SUFFIX****7. CHANGED (NEW) OR ADDED INFORMATION:****7a. ORGANIZATION'S NAME**

OR

7b. INDIVIDUAL'S LAST NAME**FIRST NAME****MIDDLE NAME****SUFFIX****7c. MAILING ADDRESS****CITY****STATE****POSTAL CODE****COUNTRY****7d. SEE INSTRUCTIONS****ADD'L INFO RE ORGANIZATION DEBTOR****7e. TYPE OF ORGANIZATION****7f. JURISDICTION OF ORGANIZATION****7g. ORGANIZATIONAL ID #, # why**☐ **NONE****8. AMENDMENT (COLLATERAL CHANGE):** check only one boxDescribe collateral ☐ deleted or ☐ added, or give entire ☐ restated collateral description, or describe collateral ☐ assigned.**9. NAME OF SECURED PARTY OF RECORD AUTHORIZING THIS AMENDMENT** (name of assignor, if this is an Assignment). If this is an Amendment authorized by a Debtor which adds collateral or adds the authorizing Debtor, or if this is a Termination authorized by a Debtor, check here ☐ and enter name of DEBTOR authorizing this Amendment.**9a. ORGANIZATION'S NAME**

OR

9b. INDIVIDUAL'S LAST NAME**FIRST NAME****MIDDLE NAME****SUFFIX****10. OPTIONAL FILER REFERENCE DATA**

Instructions for UCC Financing Statement Amendment (Form UCC3)

Please type or laser-print this form. Be sure it is completely legible. Read all instructions, especially Instruction 1a; correct file number of initial financing statement is crucial. Follow instructions completely.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. Filing office cannot give legal advice. Do not insert anything in the open space in the upper portion of this form; it is reserved for filing office use.

An Amendment may relate to only one financing statement. Do not enter more than one file number in item 1a.

When properly completed, send Filing Office Copy, with required fee, to filing office. If you want an acknowledgment, complete item B and, if filing in a filing office that returns an acknowledgment copy furnished by filer, you may also send Acknowledgment Copy, otherwise detach. Always detach Debtor and Secured Party Copies.

If you need to use attachments, you are encouraged to use either Amendment Addendum (Form UCC3Ad) or Amendment Additional Party (Form UCC3AP).

Always complete items 1a and 9.

A. To assist filing offices that might wish to communicate with filer, filer may provide information in item A. This item is optional.

B. Complete item B if you want an acknowledgment sent to you. If filing in a filing office that returns an acknowledgment copy furnished by filer, present simultaneously with this form a carbon or other copy of this form for use as an acknowledgment copy.

1a. **File number:** Enter file number of initial financing statement to which this Amendment relates. Enter only one file number. In some states, the file number is not unique; in those states, also enter in item 1a, after the file number, the date that the initial financing statement was filed.

1b. Only if this Amendment is to be filed or recorded in the real estate records, check box 1b and also, in item 13 of Amendment Addendum, enter Debtor's name, in proper format exactly identical to the format of item 1 of financing statement, and name of record owner if Debtor does not have a record interest.

Note: Show purpose of this Amendment by checking box 2, 3, 4, 5 (in item 5 you must check two boxes) or 8; also complete items 6, 7 and/or 8 as appropriate. Filer may use this Amendment form to simultaneously accomplish both data changes (items 4, 5, and/or 8) and a Continuation (item 3), although in some states filer may have to pay a separate fee for each purpose.

2. To **terminate** the effectiveness of the identified financing statement with respect to security interest(s) of authorizing Secured Party, check box 2. See Instruction 9 below.

3. To **continue** the effectiveness of the identified financing statement with respect to security interest(s) of authorizing Secured Party, check box 3. See Instruction 9 below.

4. To **assign** (i) all of assignor's interest under the identified financing statement, or (ii) a partial interest in the security interest covered by the identified financing statement, or (iii) assignor's full interest in some (but not all) of the collateral covered by the identified financing statement: Check box in item 4 and enter name of assignee in item 7a if assignee is an organization, or in item 7b, formatted as indicated, if assignee is an individual. Complete 7a or 7b, but not both. Also enter assignee's address in item 7c. Also enter name of assignor in item 9. If partial Assignment affects only some (but not all) of the collateral covered by the identified financing statement, filer may check appropriate box in item 8 and indicate affected collateral in item 8.

5,6,7. To **change the name** of a party: Check box in item 5 to indicate whether this Amendment amends information relating to a Debtor or a Secured Party; also check box in item 5 to indicate that this is a name change; also enter name of affected party (current record name) in item 6a or 6b as appropriate; and enter new name (7a or 7b). If the new name refers to a Debtor complete (7c); also complete 7e-7g if 7a was completed.

5,6,7. To **change the address** of a party: Check box in item 5 to indicate whether this Amendment amends information relating to a Debtor or a Secured Party; also check box in item 5 to indicate that this is an address change; also enter name of affected party (current record name) in item 6a or 6b as appropriate; and enter new address (7c) in item 7.

5,6,7. To **change the name and address** of a party: Check box in item 5 to indicate whether this Amendment amends information relating to a Debtor or a Secured Party; also check box in item 5 to indicate that this is a name/address change; also enter name of affected party (current record name) in item 6a or 6b as appropriate; and enter the new name (7a or 7b). If the new name refers to a Debtor complete item 7c; also complete 7e-7g if 7a was completed.

5,8. To **delete** a party: Check box in item 5 to indicate whether deleting a Debtor or a Secured Party; also check box in item 5 to indicate that this is a deletion of a party; and also enter name (6a or 6b) of deleted party in item 6.

5,7. To **add** a party: Check box in item 5 to indicate whether adding a Debtor or Secured Party; also check box in item 5 to indicate that this is an addition of a party and enter the new name (7a or 7b). If the new name refers to a Debtor complete item 7c; also complete 7e-7g if 7a was completed. To include further additional Debtors or Secured Parties, attach Amendment Additional Party (Form UCC3AP), using correct name format.

Note: The preferred method for filing against a new Debtor (an individual or organization not previously of record as a Debtor under this file number) is to file a new Financing Statement (UCC1) and not an Amendment (UCC3).

7d. Reserved for Financing Statement Amendments to be filed in North Dakota or South Dakota only. If this Financing Statement Amendment is to be filed in North Dakota or South Dakota, the Debtor's taxpayer identification number (tax ID#) — social security number or employer identification number must be placed in this box.

8. **Collateral change.** To change the collateral covered by the identified financing statement, describe the change in item 8. This may be accomplished either by describing the collateral to be added or deleted, or by setting forth in full the collateral description as it is to be effective after the filing of this Amendment, indicating clearly the method chosen (check the appropriate box). If the space in item 8 is insufficient, use item 13 of Amendment Addendum (Form UCC3Ad). A partial release of collateral is a deletion. If, due to a full release of all collateral, filer no longer claims a security interest under the identified financing statement, check box 2 (Termination) and not box 8 (Collateral Change). If a partial assignment consists of the assignment of some (but not all) of the collateral covered by the identified financing statement, filer may indicate the assigned collateral in item 8, check the appropriate box in item 8, and also comply with instruction 4 above.

9. Always enter name of party of record authorizing this Amendment; in most cases, this will be a Secured Party of record. If more than one authorizing Secured Party, give additional name(s), properly formatted, in item 13 of Amendment Addendum (Form UCC3Ad). If the indicated financing statement refers to the parties as lessee and lessor, or consignee and consignor, or seller and buyer, instead of Debtor and Secured Party, references in this Amendment shall be deemed likewise so to refer to the parties. If this is an assignment, enter assignor's name. If this is an Amendment authorized by a Debtor that adds collateral or adds a Debtor, or if this is a Termination authorized by a Debtor, check the box in item 9 and enter the name, properly formatted, of the Debtor authorizing this Amendment, and, if this Amendment or Termination is to be filed or recorded in the real estate records, also enter, in item 13 of Amendment Addendum, name of Secured Party of record.

10. This item is optional and is for filer's use only. For filer's convenience of reference, filer may enter in item 10 any identifying information (e.g., Secured Party's loan number, law firm file number, Debtor's name or other identification, state in which form is being filed, etc.) that filer may find useful.

INFORMATION REQUEST

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

A. NAME & PHONE OF CONTACT (optional)	FILING OFFICE ACCT #
B. RETURN TO: (Name and Address)	

Print

Reset

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR NAME to be searched - insert only one debtor name (1a or 1b) - do not abbreviate or combine names

1a. ORGANIZATION'S NAME			
OR	1b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME
			SUFFIX

2. INFORMATION OPTIONS relating to UCC filings and other notices on file in the filing office that include as a Debtor name the name identified in item 1:

2a. SEARCH RESPONSE ☐ CERTIFIED (Optional)Select one of the following two options: ☐ ALL (Check this box to request a response that is complete, including filings that have lapsed.) ☐ UNLAPSED2b. COPY REQUEST ☐ CERTIFIED (Optional)Select one of the following two options: ☐ ALL ☐ UNLAPSED2c. SPECIFIED COPIES ONLY: ☐ CERTIFIED (Optional)

Record Number	Date Record Filed (if required)	Type of Record and Additional identifying information (if required)

3. ADDITIONAL SERVICES:

4. DELIVERY INSTRUCTIONS (request will be completed and mailed to the address shown in item B unless otherwise instructed here):

4a. ☐ Pick Up4b. ☐ OtherSpecify desired method here (if available from this office); provide delivery information (e.g., delivery service's name, addressee's account # with delivery service, addressee's phone #, etc.)

Instructions for National Information Request (Form UCC11)

Please type or laser-print this form. Be sure it is completely legible. Read all instructions. Follow instructions completely. Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. Filing office cannot give legal advice. Do not insert anything in the open space in the upper portion of this form; it is reserved for filing office use. When properly completed, send form parts 1 and 2 (labeled Filing Office Copy (1) and (2)), with required fee, to filing office. Always detach Requestor Copy. Filing office may offer additional information options. Contact filing office or use form specially designed by filing office to obtain additional information options. A. To assist filing officers that might wish to communicate with requestor, requestor may provide information in item A. This item is optional. B. Enter name and address of requestor in item B. This item is NOT optional.

1. **Debtor name:** Enter only one Debtor name in item 1, an organization's name (1a) or an individual's name (1b). Enter Debtor's exact full legal name. Don't abbreviate.
- 1a. **Organization Debtor.** "Organization" means an entity having a legal identity separate from its owner. A partnership is an organization; a sole proprietorship is not an organization, even if it does business under a trade name. If Debtor is a partnership, enter exact full legal name of partnership; you need not enter names of partners as additional Debtors. If Debtor is a registered organization (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Debtor's current filed charter documents to determine Debtor's correct name, organization type, and jurisdiction of organization.
- 1b. **Individual Debtor.** "Individual" means a natural person; this includes a sole proprietorship, whether or not operating under a trade name. Don't use prefixes (Mr., Mrs., Ms.). Use suffix box only for titles of lineage (Jr., Sr., II) and not for other suffixes or titles (e.g., M.D.). Use married woman's personal name (Mary Smith, not Mrs. John Smith). Enter Individual Debtor's family name (surname) in Last Name box, first given name in First Name box, and all additional given names in Middle Name box.

For both organization and individual Debtors: Don't use Debtor's trade name, DBA, AKA, FKA, Division name, etc. in place of or combined with Debtor's legal name; you may add such other names as additional Debtors if you wish (but this is neither required nor recommended).

2. Information options relating to UCC filings and other notices on file in the filing office that include as a Debtor name the name identified in item 1. Please note that it is permissible to select an option in 2a and also check an option in 2b. Check the "CERTIFIED (Optional)" box appropriately in items 2a, 2b, or 2c.
- 2a. Check appropriate box in item 2a; the box "ALL" if you are requesting a search of all active records, including lapsed filings, or the box "UNLAPSED" if you are requesting a search of only active records that have not lapsed.
- 2b. Check appropriate box in item 2b to request copies of records appearing on the search response; the box "ALL" if you are requesting copies of all active records, including lapsed filings, or the box "UNLAPSED" if you are requesting copies of only active records that have not lapsed.
- 2c. Complete item 2c if you are ordering copies of specific records by record number.
3. Some filing offices offer service options in addition to those offered in item 2. These may be shown on the face of this form or may otherwise be publicized by the particular filing office. **Caution:** If any of these additional service options introduces a search criterion (e.g., limiting search to named Debtor at an address in a specified city and state) that narrows the scope of the search, this may result in an incomplete search (that fails to list all filings against the named Debtor) and you may fail to learn information that might be of value to you.
4. **Delivery instructions:** Unless otherwise instructed, filing office will mail information to the name and address in item B. If information will be picked up from the filing office, check the "Pick Up" box. Contact filing office concerning availability of other delivery options. For other than mail or pick up, check the "Other" box and specify the other delivery method that you are requesting. If requesting delivery service, provide delivery service's name and requestor's account number to bill for delivery charge. Filing office will not deliver by delivery service unless prepaid waybill or account number for billing is provided.



The filing of this statement of claim does not affect the effectiveness of an initial financing statement or other filed record.

Appendix 6

STATEMENT OF CLAIM

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

A. NAME & PHONE OF PERSON FILING THIS STATEMENT [optional]
B. SEND ACKNOWLEDGMENT TO: (Name and Address)

Print

Reset

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. Identification of the RECORD to which this STATEMENT OF CLAIM relates.

1a. INITIAL FINANCING STATEMENT FILE NUMBER

1b. RECORD INFORMATION TO WHICH THIS STATEMENT OF CLAIM RELATES

2a. ☐ RECORD is inaccurate.

Provide the basis for the belief of the person identified in Item 4 that the RECORD identified in Item 1 is inaccurate and indicate the manner in which the person believes the RECORD should be amended to cure the inaccuracy.

2b. ☐ RECORD was wrongfully filed.

Provide the basis for the belief of the person identified in Item 4 that the RECORD identified in Item 1 was wrongfully filed.

3. If this STATEMENT OF CLAIM relates to a RECORD filed (or recorded) in a filing office described in Section 9-501(a)(1) and this STATEMENT OF CLAIM is filed in such a filing office, provide the date [and time] on which the INITIAL FINANCING STATEMENT identified in Item 1a above was filed (or recorded).

3a. DATE

3b. TIME

4. NAME OF PERSON AUTHORIZING THE FILING OF THIS STATEMENT OF CLAIM — The RECORD identified in Item 1 must be indexed under this name.

4a. ORGANIZATION'S NAME

OR

4b. INDIVIDUAL'S LAST NAME

FIRST NAME

MIDDLE NAME

SUFFIX

Instructions for Statement of Claim (Form UCC5)

Please type or laser-print this form. Be sure it is completely legible. Read all instructions, especially Instructions 1a and 1b; correct identification of the Initial Record to which this Statement of Claim relates is crucial. Follow instructions completely.

Fill in form very carefully. If you have questions, consult your attorney. Filing office cannot give legal advice.

Do not insert anything in the open space in the upper portion of this form; it is reserved for filing office use.

When properly completed, send Filing Office Copy to filing office. Always detach Debtor and Secured Party Copies.

ITEM INSTRUCTIONS

A and B. To assist filing offices that might wish to communicate with filer, filer may provide information in Item A and item B. These items are optional.

C. Complete Item C if you want an acknowledgment sent to you. If filing in a filing office that returns an acknowledgment copy furnished by filer, present simultaneously with this form the Acknowledgment Copy or a carbon or other copy of this form for use as an acknowledgment copy.

General — You must always complete items 1 and 4 and either 2a or 2b. You may also be required to complete item 3.

- 1a. **File number:** Enter file number of initial financing statement to which the Record that is the object of this Statement of Claim relates. Enter only one file number.
- 1b. **Enter record information to which this Statement of Claim relates.** Indicate the type of Record to which this Statement of Claim relates (e.g., Financing Statement or Amendment) or you may also insert additional information that you believe will assist in identifying the Record (e.g., the Record file number or the filing date of the Record).
- 2a. **If this Statement of Claim is filed based on the filer's belief that the Record identified in item 1 is inaccurate, check box 2a, provide the basis for that belief, and indicate the manner in which the Record should be amended to cure the inaccuracy.**
- 2b. **If this Statement of Claim is filed based on the filer's belief that the Record identified in item 1 was wrongfully filed, check box 2b and provide the basis for that belief.**
3. **If this Statement of Claim relates to a Record filed [or recorded] in a filing office described in Section 9-501(a)(1) and this Statement of Claim is filed in such a filing office, provide the date [and time] on which the initial financing statement identified in item 1a above was filed [or recorded].**
4. **Always enter name of the person who authorized the filing of this Statement of Claim. This name must be the same as the name under which the Record is indexed.**