Jurisdictional Guidelines for Accepting a UCC Record Presented for Filing
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 office action only; it does not indicate legal effectiveness 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 may vary from the indicated Action/Deviation listed below when a filing is submitted to a local, county-level jurisdiction.
5. Anytime a filing is accepted as to one or more debtors, but not all debtors are accepted, customer should be notified of illegible debtors.

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
On All Forms					
Boxes A-C: Contact Information					
a. The filer fails to provide information in items A., B., and/or C.	**Accept**	9-520(a)			
Address and Zip Codes					
b. The filer provides mailing address in the city field and either the state <u>or</u> country field for a debtor or a secured party address.	**Accept** for an international address. **Reject** for a U.S. address.	9-516(b)(5)(A)	**LA, MN, NV:** Reject **KS, MN, TX:** Accept both international and U.S. address. **VA:** Accept U.S. address if City and State are present.	**LA:** 9-516(b)(5)(A) **NV:** Admin rules/system limitation.	
c. The filer fails to provide a zip code for a U.S. address.	**Reject**	9-516(b)(5)(A) 9-516(b)(4)	**KS, NE, NH, TN, TX, VA, WA:** Accept		

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d. The filer fails to provide a zip code for an international address.	**Accept**	9-520(a)	**LA, MN** (requires zip code. Reject for int'l) **NM, NV, SC:** Reject	**LA:** 9-516(b)(5)(A) **NV:** Admin rules/system limitation.	
Financing Statement (Form UCC1)					
Section 1 & 2: Debtor's Information					
Regarding the box above 1a/1b, whether or not this box is checked should not affect the way you input debtor information. The information presented in the boxes should be reviewed and entered as presented, where applicable, regardless of whether the box above 1a/1b is checked.					
1a. The filer provides an organization name in item 1a <u>and</u> an individual name in item 1b.	**Reject**	9-516(b)(5)(B)	**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.		
1b. 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 <u>and</u> item 2c are completed.	**Reject**	9-516(b)(5)(B)	**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.		

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1c. 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.	**Accept** as to debtor 1. **Reject** as to debtor 2.	9-520(d) 9-516(b)(5)(A)			
1d. The filer provides a debtor name in 1a or 1b that wraps to multiple lines in the name field.* *Acceptance implies that the font and character size are legible.*	**Accept**	9-520(a)			
1e. 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). 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		
1f. 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)	**DE, ID, IL, LA MI** (systems limitations), **ME, MO, MN, MS, NC, ND, NM, OH, PA, SC, UT, MT, TN, VA** and **WA:** Reject	**LA:** R.S. 10:9-516(b)(4) **MT:** 9-516(a) indecipherable. **PA:** 9-516(c)(1) **TN:** 9-516(c)(1) **UT:** Form says "or"	

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	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
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 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 checks both boxes ("Collateral is Held in Trust" or "Being administered by Decedent's Personal Representative).	**Accept**	9-520(a)	**UT**: Reject		
Section 6: Transaction Type Indication					
6a. The filer checks the box for Public-Finance Transaction.	**Accept** and set 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.		
6b. The filer checks the box for Manufactured-Home Transaction.	**Accept** and set 30-year lapse date.	9-515(b)	**GA, WA, OR:** Accept with five year lapse.		
6c. The filer checks the box indicating the Debtor Name provided in box 1a (Organization) is a *legitimate* Transmitting Utility.	**Accept** and set no lapse date.	9-520(a) 9-515(f)			

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6d. The filer checks the box indicating the Debtor Name provided in box 1b (Individual) is a *legitimate* Transmitting Utility.	**Accept** and set no lapse date.	9-520(a) 9-515(f)	**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.	**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	
6e. The filer checks multiple boxes in item 6a of a *legitimate* filing.	**Accept** and set longest lapse date.	9-520(a)	**GA:** Accept with five year lapse. **IL, IN, ME, MS, MT, NE, NV, OK, OR, PA, SC, TX & UT:** Reject **NH:** Reject - multiple actions. **NM:** Reject and ask for clarification.	**IL:** 9-516(c)(1) **NV:** NAC 104-225 **PA:** 9-516(c)(1) **OR:** ORS 79-0516(3)(a)	
6f. The filer checks multiple boxes in item 6b ("Agricultural Lien" and "Non-UCC Filing").	**Accept**	9-520(a)	NEW		

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Section 7: Alternative Designation					
7a. The filer checks multiple boxes in item 7.	**Accept**	9-520(a)	**SC** & **UT:** Reject		
Section 8: Optional Filer Reference Data					
8a. The filer provides information in item 8.	**Accept**	9-520(a)			
8b. 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. **UT:** Accept & enter data		
Financing Statement Addendum (Form UCC1Ad)					
Section 9: Debtor's Name Information as it Appears on the Financing Statement.					
9a. The filer fails to provide any information in this section.	**Accept**	9-520(a)			
9b. The filer provides information in item 9 that appears to require filing officer action (for example: Additional Debtor)	**Accept** and take no action.	9-520(a)	**KS, TX:** Index complete debtor as single name if intent is clear.		
Section 10: Debtor's Information					
10a. The filer provides an organization name in item 10a <u>and</u> an individual name in item 10b.	**Reject**	9-516(b)(5)(B)	**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.		

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	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
10b. The filer provides an organization name in item 1a and an individual name in item 1b. Item 10a and 10b are blank and item 1c and item 10c are completed.	**Reject**	9-516(b)(5)(B)	**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		
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.	**Accept** as to debtor 1; **Reject** as to debtor 2.	9-520(d)	**DE, IL, IN, LA, NV, ND, PA, SC, TN:** Reject entire UCC.	**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)	
10d. The filer provides a debtor name in 10a or 10b that wraps to multiple lines in the name field.* *Acceptance implies that the font and character size are legible.*	**Accept**	9-520(a)	**KS:** The name in 10b would be considered add'l debtor which would reject filing as to add'l debtor unless complete address provided.		
10e. The filer provides part of a long Debtor name in item 1a and continues the name in another debtor name field on the Addendum, such as 10a). All appropriate address field are completed.	**Accept** and index 1a as first debtor name and index 10a as second debtor name.	9-520(a)	**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.	**DE:** (9-516(b)(5)(A))	

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10f. The filer provides part of a long Debtor name in item 10a and continues the name in the collateral or miscellaneous field (item 12 or 17 on UCC1Ad).	**Accept** and index the debtor name as only what is presented in item 10a.	9-520(a)	**IN, TX:** Index complete debtor as single name if intent is clear.		
Section 11: Additional Secured Party's Name/Assignor Secured Party's Name Information					
11a. The filer provides an organization name in item 11a and an individual name in item 11b. One address is provided in item 11c.	**Accept** as to item 11a and item 11b using item 11c as address for both	9-516(b)(4)	**DE, ID, IL, LA, ME, MI** (systems limitations), **MS, MO, MN, NC, ND, OH, TN, UT** and **WA VA, MT:** Reject	**LA:** R.S. 10:9-516(b)(4)	
Section 12: Additional Space/Collateral Information					
12a. 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		
14a. The filer checks one box in item 14.	**Accept**	9-520(a)	**ND:** Reject at local level **OK:** Reject		

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14b. The filer checks multiple 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, after checking box 13.	**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, after checking box 13.	**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 provides information in item 17 that appears to require filing office action.	**Accept**	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 limitation; cannot generate file number without action. **PA:** 9-516(c)(1)	

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	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
1b. The filer provides the initial financing statement number and provides other information on an attachment.	**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 provides 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) have been 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 fails to provide assignor's name in item 9.	**Accept**	9-520(a)	**LA, NV:** Reject	**NV:** Admin Rules/system limitations	
3c. The assignor name in item 9 has filed a previous assignment.	**Accept**	9-520(a)			
3d. 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)			
3e. 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		

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3f. The filer want 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 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)			
4c. The filer submits a continuation on the last day within the continuation window, and the filing office is closed due to a *regularly scheduled reason* (e.g., weekend or regular holiday); therefore, the filing is processed on the next business day.	**Reject**	9-516(b)(3)(B)(ii) 9-515(d)	**MI, MN, PA, UT:** Accepts if last day is a weekend or legal holiday. **OK, TX:** Accept	**MI:** R440.403 (2) **MN:** MNR 8280.0020 645.15	
4d. The filer submits a continuation on the last day within the continuation window and the filing office is closed due to *special circumstances* (e.g., inclement weather, IT system failure, etc.); therefore, the filing is processed on the next business day.	**Reject**	9-516(b)(3)(B)(ii) 9-515(d)	**IN, OK, TX, WA:** Accept		

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4e. The filer who filed an initial financing statement on February 29th, files a continuation on March 1st five years later.	**Accept** - the relevant anniversary date for a February 29th Filing is March 1st.	9-516(b)(3)(B)(ii) 9-515(d)	**ND, TN:** Reject		
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)	**OR:** Accept & take no action.		
5b. The filer checks both the "Debtor" and "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 (name), but omits information in item 7c (address).	**Reject**	9-516(b)(5)(A)	**DE, NH, OK, TN:** Accept. Name change does not affect address.	**DE:** 9-520(a)	
5d. 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.		
5e. The filer checks "Delete" and only provides information in item 7.	**Option 1 –** Reject **Option 2 -** Accept	9-520(d) 9-520(a)	**Option 1 Reject** **GA, IL, MI, MS, MO, NE, NV, ND, NM, PA** and **TX** **Option 2 Accept** **DE, IN, ME, MN, OK, OR, TN, VA, WA, OH:** Accept & take no action. **ID & KS, :** Accept & file as misc. amendment	**IL:** 9-516 (c)(1) **MI**: MCL 440-9516(3)(a) **ND:** Need information of debtor or sec party **PA:** 9-516(c)(1)	

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	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
5f. The filer checks "Add" and only provides information in item 6 (current record information).	**Reject**	9-516(b)(4), (5)	**DE, OR:** Accept & take no action.		
5g. The filer does not check "Change," "Delete," or "Add" in item 5. The filer has only provided information in item 6 (current record information).	**Reject**	9-516(c)(1)	**DE, IN, OR, VA, WA:** Accept & take no action.		
5h. 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.	**Reject**	9-516(c)(1)	**DE, VA, WA:** Accept & index. **IN, MN, OR:** Accept & take no action		
5i. The filer checks "Change" or "Add". No other information is provided	**Reject**	9-516(b)(4), (5)	**DE, OR:** Accept & take no action.		
5j. 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.		
5k. 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.		
5l. 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, OK, TN:** Accept **UT:** Accept for name change – no other action		
5m. 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		
5n. 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.		
5o. 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)			

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5p. The filer checks "Debtor" and "delete" in item 5 and provides a name in item 6.	**Accept**	9-520(a)	**GA, ME, ND, OR, TN:** Accept & Index. **PA:** Accept & take no action		
5q. The filer does *not* 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, SC, TN & UT:** 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.	**ND:** Need description	

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	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
			OR: Accept & index for one box; if more than one box, accept & take no action		
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 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 Number					
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 UCC3.	**Accept**	9-520(a)	**SC:** Reject		

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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 UCC3.	**Accept**	9-520(a)			
Section 14: Additional Space for Item 8 (Collateral)					
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, after selecting a box in item 15.	**Accept**	9-520(a)			

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17a. The filer fails to provide the description of the Real Estate in box 17, after selecting a box in item 15.	**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 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 *questions a-o* below. If **No**, proceed to the next section, *Miscellaneous*.		**PAPER FILINGS**		**ONLINE FILINGS**	
		YES: **CO, DE, ME, OK, IN, TX, NC, OH, VA, WA, MN**	**NO:** **LA, MI, MT, NE, NH, NV, SC**	**YES:**	**NO:** **OH, VA, WA**
a. The filer checks Termination and Continuation.	**Accept** – index both Termination & Continuation.	9-520(a)	**DE:** Accept & index item 4 & extend lapse date. **IL, NH, NM, OK, PA:** Reject **UT:** Reject if no fee paid. If fee paid, do continuation.	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	
b. The filer checks Termination and Assignment.	**Accept** – index both Termination & Assignment.	9-520(a)	**DE:** Accept & index item 3. **IL, OK, PA:** Reject **UT:** Reject if no fee paid. If fee paid, do continuation.	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
c. The filer checks Termination and Party Information.	**Accept** – index both Termination & Party Information.	9-520(a)	**DE:** Accept & index item 5 if 7 is completed. **IL, OK, PA:** Reject	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	
d. The filer checks Termination and Collateral Change.	**Accept** – index both Termination & Collateral Change.	9-520(a)	**DE:** Accept & index item 8. **IL, NH, OK, PA:** Reject **UT:** Reject if no fee; accept & index collateral if fee paid.	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	
e. The filer checks Continuation and Assignment.	**Accept** - extend lapse date and index Assignment.	9-520(a)	**DE:** Accept & index item 4. **IL, NH, PA:** Reject	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1).	
f. the filer checks Continuation and Party Information.	**Accept** - extend lapse date and index Party Information.	9-520(a)	**DE:** Accept & index item 4. **IL, NH, PA:** Reject	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	
g. The filer checks Continuation and Collateral Change.	**Accept** - extend lapse date and index Collateral Change.	9-520(a)	**DE:** Accept & index item 4. **IL, NH, PA:** Reject	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	
h. The filer checks Assignment. The filer checks box in item 5 (Party Information-**Debtor**) other than "Delete." Items 6 & 7 are left blank.	**Reject**	9-516(c)(1) with respect to 9-516(b)(4) and (6)			

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
i. The filer checks Assignment. The filer checks box in item 5 (party Information-**Debtor**) other than "Delete." Items 6 & 7 are completed.	**Reject**	9-516(c)(1) with respect to 9-516(b)(4) and (6)	**WA:** Accept & index item 3 assignment – Reject item 5.		
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, 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.	**IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	
m. The filer checks Assignment. The filer checks "Delete" in item 5 (party 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)	

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	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
o. The filer checks Party Information and Collateral Change.	**Accept** – index both Party Information & Collateral Change.	9-520(a)	**DE:** Accept & index item 5 if 7 is completed. **IL, NH, PA:** Reject	**DE:** Mgmt System will not accept multiple actions **IL:** 9-516 (c)(1) **PA:** 9-516(c)(1)	
Miscellaneous Items					
a. Use of words such as "same," "N/A," "not applicable," "none," or "see attached," "see addendum," "see exhibit;" or comparable phrases.	**Accept** - Words used in the form fields should not be interpreted by the filing office. Filing Office should index all form fields exactly as given.	9-520(a)	**MO:** Index if the intent is clear**. IN** & **TX:** Index complete debtor as single name if intent is clear.		
b. Forms Forms other than the national or model forms.* *States that have their own forms should indicate such in the deviation section.	**Reject**	9-521	**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.		

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
c. Forms that mimic national or model forms (fields are different sizes, fonts are different, etc.)	**Accept**	9-521	**GA, ME, MI, TN, VA:** Reject	**MI:** MCL 440-9521 **TN:** Rule 1360-08-01-.04	
d. Current IACA Model forms: UCC1 Initial Financing Statement UCC1 Initial Financing Statement Addendum UCC3 Amendment UCC3 Amendment Addendum Additional Party Addendum (UCC1AP and UCC3AP)	**Accept** **Accept** **Accept** **Accept** **Accept**	9-521			
e. Attached Pages Filer adds an attachment that is not the national addendum form. Filer adds an attachment that is not the national addendum form, but that contains properly formatted information.	**Accept** with attachment; do not index information on attachment. **Accept** with attachment; do not index information on attachment.	9-521	**DE, IN, MI, ND, TX:** Accept and index if intent is clear.		

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	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
f. Bogus or Fraudulent Filings Filer provides the same name in items 1 and 3 of the Initial Financing Statement (i.e., Debtor and Secured Party are the same).	**Accept**	9-520(a)	**DE, ID, IN, MS, MO, MI, MT, NE, NC, ND, NM, OR, PA, SC, VA, WA:** Reject. **IL:** Review **TX:** Send to Attorney General for review.	**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	

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
g. Copies of personal documents, such as birth certificates, social security number, etc., are attached.	**Accept**	9-520(a)	**DE:** Reject – refer to Attorney General for review. **IL:** Review **IN, WA:** Reject if documents appear to be fraudulent **MI, MS, MO, PA, NV, OR, SC, UT, VA:** Reject **NC:** Reject if bogus; redact otherwise. **OH:** Accept and redact anything resembling EIN or SSN. **TX:** Send to Attorney General for review.	**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)	

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
h. Debtor listed is a public official.	**Accept**	9-520(a)	**DE:** Reject – refer to Attorney General for review. **IL** & **MO:** Review **IN, MT, PA:** Reject if documents appear to be fraudulent. **MI, NV, NC, OH, OK, OR, SC, VA:** Reject **TN:** Accept and send to general counsel. **NH & TX:** Send to Attorney General for review. **WA:** May reject if recognized on the record.	**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:** 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))	

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
i. The filing appears on its face to be bogus or fraudulent.	**Accept** *Filing officer can only reject if a statutory rejection reason is present. The filing officer may choose to notify the debtor of a bogus filing, but is not required to do so.	9-520(a)	**DE:** Reject – refer to Attorney General for review. **ID, IL:** Review **IN, MI, MS, MO, NV, NC, OR, PA, SC, UT, VA, WA:** Reject **MT:** Reject determined is improper**.** **NH** & **TX:** Send to Attorney General for review.	**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))	
j. The filing appears on its face to be bogus or fraudulent and names an individual as a Transmitting Utility	**Accept**	9-520(a)	**MI** & **MO:** Reject	**MI:** MCL 440-9520(5)(e)	
k. Customer Service Issues Filing requests made in cover letters or post-it notes, such as "file first."	Use reasonable judgment to accommodate request.	9-502(a)	**MO:** Accepts but does not guarantee that it will be filed first. **PA:** Cover letters or post-it notes are not seen by data entry or review staff.		

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
l. Refusal errors and errors by the Filing Office.	**Accept** – File the UCC record with the filing date and time the UCC record was originally tendered for filing (which means backdate the filing); file a filing officer statement to reflect when the backdated filing was added.	9-520(a), MARS 208	**UT:** Does not backdate.		
m. The filer points out an error, or the filing office discovers an error, that the filing office overtly made while entering the UCC record.	**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.	9-520(a), MARS 208	**UT:** We give them 30 days to bring to our attention in order to maintain original filing date.		

	Action	Article 9 Section	Jurisdiction Deviations	Statutory, MARS or Other Regulatory Authority to Deviate	Electronic Filing System Differences
n. The filer provides a number (i.e., SSN, 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:** ORC 111.241	

States that only accept online filings, and no longer accept documents submitted on paper:
Colorado

Jurisdictions that have validated the updated 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.