



UCC Information & Instructions

With the adoption of Revised Article 9 (70a-9a; Rule R154-002), the State of Utah has chosen to use the IACA National Forms as the only acceptable means of filing. Although these forms include their own instructions, there may be items on the forms that Utah does not require or instructions that may conflict with Utah policies. The following items are meant to assist those filing UCC forms in Utah, they are not intended to substitute or replace the advice of legal counsel.

General Information

- **Type or laser print all forms:** Be sure that it is completely legible including font size and style, the form must not be modified/alterd in any way.
- **Always include filer information:** Acknowledgment will be sent to this address and this address alone. Multiple copies of filings and return envelopes will be discarded.
- **Include correct filing fee:** \$12.00 per form filed (each UCC I Addendum and each UCC III Addendum are considered separate forms) **Starting 1 August 2005 all pages (National Form & non-National Forms) will be charged at \$12.00 per page.**
- **Attachments:** Only information on the UCC Financing Statement Addendum and the UCC Financing Statement Amendment Addendum will be recorded by this office. Filings that include other attachments, exhibits, lease agreements, purchase agreements, personal property lists, etc. *will not* be rejected but the information in those attachments *will not* be recorded in the inhouse nor online databases.

UCC I & UCC I Addendum

- **Items that are not required or may not be recorded:** Items 1d & 2d; items 6 & 7; items 11d, 13, 14, 15 & 17.
- **Enter only one individual/organization per item:** There should be only one party entered in items 1,2,3,9,11 & 12. Filings with both individual and organizational information in an item may be subject to rejection.
- **Individual as debtor information:** Name, mailing address, city, state or country and postal code are all items that must be filled in completely otherwise the filing may be subject to rejection. Name suffix is not a required item but will be recorded if included.
- **Organization as debtor information:** Name, mailing address, city, state or country, postal code, type of organization, jurisdiction of organization and organizational ID # are all items that must be filled in completely otherwise the filing may be subject to rejection. If the organization is a non-registered entity, then "Not Registered" must be entered in the box labeled "Type of Organization," additionally the Organizational ID # is not needed but the box marked "NONE" must be checked.
- **Secured party information:** Name, mailing address, city, state or country and postal code are all items that must be filled in completely otherwise the filing may be subject to rejection. If filing a UCC I that has been totally assigned at the time of filing enter the assignee information in item 3 of the UCC I form, the assignor information may be recorded in item 12 of the UCC I Addendum form if the filer so desires.
- **Collateral Information:** Collateral information must be included in item 4 of the UCC I form and can be continued in item 16 of the UCC I Addendum form. Collateral will be recorded exactly as entered on the form up to the total capacity of the Division's computer system's collateral field which is 250 characters with spaces per page. Collateral entered as "See Attached _____," "Refer to Attached _____," "Attached," etc. on form will be recorded as same.
- **Alternative designation:** The filer may choose an alternate designation for the debtor/secured party relationship. Only one relationship may be used per filing. The Ag-Lien and Non-UCC Filing designations will not be recorded.
- **UCC I Addendum:** When submitting a UCC I Addendum in conjunction with the UCC I Financing Statement, item 9 must be filled out as instructed. Failure to do so may result in the rejection of the entire filing.
- **Changing filing life:** To designate a filing as a Transmitting Utility, Manufactured Home Transaction or Public Finance Transaction a UCC I Addendum must be submitted with the appropriate box checked in item 18 in addition to the UCC I Financing Statement. Required documentation for designations must be included.

UCC III & UCC III Addendum

- **Items that are not required or may not be recorded:** Item 1b.
- **Items that are required:** Items 1a and 9a or 9b must be filled out completely and accurately *for all actions* made on the UCC Financing Statement Amendment form. Items 11 and 12 must be filled out completely and accurately on the UCC Financing Statement Amendment Addendum form. Failure to do so may result in the rejection of the filing.
- **Actions that can be made on form:** All actions listed on this form can be made but only *two* actions may be made per form – separate forms must be used to modify multiple parties
- **Enter only one individual/organization per item:** There should be only one party entered in items 6,7,9 & 12. Filings with both individual and organizational information in an item may be subject to rejection.
- **Amendments:** The appropriate boxes within item 5 must be checked. Failure to check either the debtor or secured party box and the action to be taken on said party or checking both parties and/or multiple actions might result in the rejection of the filing.
- **Amending existing debtor information:** In addition to the required items, item 6 must contain the debtor name on record that is to be amended. Item 7 must contain the new debtor information including name, mailing address, city, state or country and postal code. If the debtor is an organization, items 7e through 7g *must* be entered completely. Failure to do so may result in the rejection of the filing.
- **Amending existing secured party information:** The same as the instructions listed above however items 7e through 7g need not be entered.
- **Amending collateral:** Item 8 must have an action checked as well as the collateral enter that is affected by the action taken. Failure to do so may result in the rejection of the filing. Collateral Amendments have the same limitations for recording as the UCC 1 (250 characters with spaces per page).
- **UCC III Addendum:** A separate addendum must be filled out for each party being amended (item 13). A collateral description may be entered in item 13 if the UCC III filed was amending collateral. Collateral will be recorded exactly as entered on the form up to the total capacity of the Division's computer system's collateral field.

UCC 5 Correction Statement

- **The UCC 5 Correction Statement:** Should never be used to make corrections to an existing filing. It should be used only for notifying the state filing office of an erroneous filing

<p>Mail In: PO Box 146705 Salt Lake City, UT 84114-6705</p> <p>Walk In: 160 East 300 South, Main Floor</p> <p>Information Center: (801) 530-4849</p> <p>Toll Free: (877) 526-3994 (within Utah)</p> <p>Fax: (801) 530-6438</p> <p>Web Site: http://www.commerce.utah.gov</p>
