

# MODEL GUIDELINE TO REFUSING A UCC RECORD PRESENTED FOR FILING

Filing Office:

Date and time the record would have been filed,  
had it been accepted:

## GENERAL

- The record has not been communicated by a method or medium authorized by this filing office. 9-516(b)(1)
- An amount at least equal to the filing fee was not submitted. 9-516(b)(2)
- Filing office is unable to read or decipher the information. 9-516(e)(1)

## INITIAL FINANCING STATEMENT

- Failure to provide the name for the debtor. 9-516(b)(3)(A)
- Failure to indicate whether the debtor is an individual or an organization. 9-516(b)(5)(B)
- If identified as an individual, failure to provide the last name of the debtor. 9-516(b)(3)(C)
- If identified as an organization, failure to provide organizational information for the debtor.
  - a type of organization
  - a jurisdiction of organization
  - an organizational ID# or an indication that the debtor has none 9-516(b)(5)(C)
- Failure to provide a mailing address for the debtor. 9-516(b)(5)(A)
- Failure to provide a name for the secured party. 9-516(b)(4)
- Failure to provide a mailing address for the secured party. 9-516(b)(4)
- In the case of an assignment reflected on an initial financing statement, failure to provide a name for the assignee. 9-516(b)(6)
- In the case of an assignment reflected on an initial financing statement, failure to provide a mailing address for the assignee. 9-516(b)(6)

Fee Paid  
Form of payment: \_\_\_\_\_

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## AMENDMENT OR CORRECTION STATEMENT

- Failure to identify a file number of an initial financing statement to which it relates. 9-516(b)(3)(B)(i)
- Identifies an initial financing statement for which effectiveness has lapsed. 9-516(b)(3)(B)(ii)

### **Continuation**

- Failure to file within the six-month window prior to lapse. 9-516(b)(7)

### **Assignment**

- Failure to provide a name for the assignee. 9-516(b)(6)
- Failure to provide a mailing address for the assignee. 9-516(b)(6)

### **Amendment of Party Information**

#### **New Debtor**

- Failure to indicate whether the debtor is an individual or an organization. 9-516(b)(5)(B)
- If identified as an individual, failure to provide the last name of the debtor. 9-516(b)(3)(C)
- If identified as an organization, failure to provide organizational information for the debtor
  - a type of organization
  - a jurisdiction of organization
  - an organizational ID# or indication that the debtor has none. 9-516(b)(5)(C)
- Failure to provide a mailing address for the debtor. 9-516(b)(5)(A)

#### **New Secured Party**

- Failure to provide name for the secured party. 9-516(b)(4)
- Failure to provide a mailing address for the secured party. 9-516(b)(4)