

Kansas Secretary of State Guidelines for Accepting a UCC Record ¹

The following assumptions apply:

1. The problem described is the only issue; all other information on the form is correct.
2. The procedure outlined is filing officer action only; it does not indicate legal correctness or perfection.

Initial Financing Statement	Action	Revised Article 9 Section
Contact Information		
The filer fails to provide information in item A.	Accept	9-520(a)
The filer fails to provide information in Item B.	Accept – acknowledgement not required	9-520(a) 9-523(a)
Section 1. Debtor Information		
The filer provides an organization name in item 1a and an individual name in item 1b.	Accept – index both debtors with the address provided	9-520(a)
The filer provides an organization name in item 1a and an individual name in item 1b. Item 2a and 2b are blank and item 1c and item 2c are completed as well as all other pertinent information.	Accept - index both debtors with the address provided	9-520(a)
The filer provides a name in item 1. Items 1c-1g are completed appropriately. Debtor name is provided in item 2. No information is provided in item 2c.	Accept - index debtor 1; do not index debtor 2	9-520(d)

¹ Based on the uniform filing officer chart by the International Association of Commercial Administrators

The filer provides information in the city field and either the state or country field of item 1c.	Accept	9-520(a)
The filer fails to provide information in item 1d.	Accept	9-520(a)
The filer fails to provide any information in item 1e (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(i)
The filer provides information in item 1e that does not appear to be a type of organization.	Accept	9-520(a)
The filer fails to provide any information in item 1f (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(ii)
The filer provides information that does not appear to be a jurisdiction in item 1f.	Accept	9-520(a)
The filer fails to provide information or check “none” in item 1g (assuming a debtor name was provided in item 1a).	Reject	9-516(b)(5)(C)(iii)
The filer provides information that does not appear to be an organization identification number in item 1g.	Accept	9-520(a)
Section 3. Secured Party Information		
The filer provides an organization name in item 3a and an individual name in item 3b. One address is provided in item 3c.	Accept – index both secured parties with the address provided	
The filer provides information in the city field and either the state or country field in 3c.	Accept	9-520(a)
Section 4. Collateral Information		
The filer fails to provide information in item 4.	Accept	9-520(a)
The filer provides information in item 4 that appears to require filing officer action (for example, listing add’l debtor or indicate debtor is a transmitting utility).	Accept - take no action on info provided	9-520(a)
Section 5. Alternate Designation		
The filer checks “Non-UCC filing” box in item 5.	Accept	9-520(a)
The filer checks multiple boxes in item 5.	Accept	9-520(a)
Section 6. Real Estate Recording Designation		
The filer checks the box in item 6.	Accept	9-520(a)
The filer checks the box in item 6 but fails to provide an addendum.	Accept at State level Reject at local level	9-520(a) 9-516(b)(3)(D)

Section 7. Search Report Requests		
The filer checks a box in item 7.	Accept - conduct a search that includes the filing	9-520(a) 9-523(c)
Section 8. Optional Filer Reference Data		
The filer provides information in item 8 that appears to require filing officer action.	Accept - take no action on info provided	9-520(a)
Financing Statement Addendum		
Section 9. Name of First Debtor on Related Financing Statement		
The filer fails to replicate information in item 9 as provided in item 1.	Accept	9-520(a)
The filer truncates the information in item 9 that was provided in item 1.	Accept	9-520(a)
The filer abbreviates the information in item 9 that was provided in item 1.	Accept	9-520(a)
The filer fails to provide information in item 9.	Accept	9-520(a)
Section 10. Miscellaneous		
The filer provides information that appears to require filing officer action.	Accept – take no action UNLESS information pertains to: 17-630: interstate gas pipeline/public utility mortgage; 58-244: agricultural input lien; 66-1217: railroad company/public utility mortgage; then index as specific lien w/ approp. lapse date.	9-520(a) 17-630 58-244 66-1217
Section 11. Additional Debtor		
See debtor information in section 1		
Section 12. Additional Secured Party		

The filer provides information in the city field, and either the state or country field in 12c.	Accept	9-520(a)
The “Assignor” box is checked.	Accept – index the information as a secured party	9-514(a)
The filer provides a secured party name in item 12a or item 12b but has not checked either the “Additional Secured Party’s or Assignor” box.	Accept – index the information as a secured party	9-514(a)
Sections 13, 14 and 15. Real Estate Recording Designation		
If filer checks item 6 on initial financing statement, and:		
The filer fails to complete item 13.	Accept at State level - take no action	9-520(a)
The filer fails to complete item 14.	Accept at State level Reject at local level	9-520(a) 9-516(b)(3)(D)
The filer fails to complete item 15.	Accept at State level	9-520(a)
Section 16. Additional Collateral Description		
See information in Section 4 of this document.		
Section 17. Debtor Designation		
Boxes are checked in item 17.	Accept - take no action	9-520(a)
Section 18. Duration Of Filing		
Filer checks a box in item 18.	Accept - set appropriate lapse date	9-515(b) and (f)

Filer checks all boxes in item 18.	Accept - set longest time frame for lapse	9-520(a)
AMENDMENT		
Section 1a. Initial Financing Statement File No.		
The filer provides the initial financing statement number, but fails to provide any other information on the form.	Accept – file as miscellaneous filing; take no action on the index	9-520(a)
The filer provides the initial financing statement number and provides other information on an attachment(s).	Accept – file as miscellaneous filing; take no action on the index	9-520(a)
The filer provided a number assigned to an amendment (UCC3) rather than an initial financing statement.	Reject	9-516(b)(3)(B)(j)
The filer provides an initial financing statement number that is in error (i.e., the filer is amending/terminating another secured party’s financing statement).	Accept	9-520(a)
Filer checks 1b.	Accept - take no action	
Section 2. Termination		
A termination is received after other termination(s) filed.	Accept	9-520(a)
Section 3. Continuation		
Multiple continuations received within the six-month continuation window.	Accept – only extend lapse date on first continuation	9-520(a)
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)
Section 4. Assignment		
The filer checks the assignment item 4 and provides no other information.	Reject	9-516(b)(6)
The filer fails to provide assignor’s name in item 9.	Accept	9-520(a)
The filer fails to provide assignment information in item 7 (filer provided information in another field on the form).	Reject	9-516(b)(6)
Also See information about SP on IFS.		
Sections 5, 6 and 7. Amendment (Party Information)		
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.		
The amendment affects the debtor. The filer checks “Change” in item 5 and provides information in item 7a and omits item 7e, item 7f, or item 7g.	Reject	9-516(b)(5)(C)
The amendment affects the debtor. The filer checks “Change” in item 5 and provides information in item 7a or item 7b, and presents information in the city field and either the state or country field of item 7c.	Accept	9-520(a)
The filer checks “Change” and only provides information in item 6 (current record information).	Reject	9-516(b)(4), (5)
The filer checks “Delete” and only provides information in item 7 (Changed (New) or Added Information).	Accept - take no action	9-520(a)
The filer checks “Add” and only provides information in item 6 (current record information).	Reject	9-516(b)(4), (5)
The filer does not check “change,” “delete,” or “add” in item 5. The filer has only provided information in item 6 (current record information).	Accept - take no action	9-520(a)
The filer does not check “change,” “delete,” or “add” but does check “secured party” or “debtor” in item 5. The filer has only completed information in item 7 (Change (New) or Added Information).	Accept - index	9-520(a)
The filer checks “Change” or “Add”. No other information is provided.	Reject	9-516(b)(4), (5)
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.	Accept - file as miscellaneous filing; take no action on the index	9-520(a)
The filer checks “Debtor” and “Change” in item 5, only provides debtor name in item 6 and information in item 7e, item 7f and item 7g.	Reject	9-516(b)(5)
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)

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)
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)
The filer checks “Debtor” and “Change” in item 5 and provides the same name in item 6a and item 7a and information in item 7c only, omitting item 7e, item 7f or item 7g.	Reject	9-516(b)(5)(C)
The filer checks both “Debtor” and “Secured Party” boxes in item 5.	Reject	9-516(c)(1) with respect to 9-516(b)(4), (5) and (6)
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 items c, e, f, and g.	Accept - index (Filer is adding organizational information to the record)	9-520(a)
The filer checks “Debtor” and “delete” in item 5 and provides a name in item 6.	Accept - take no action	9-520(a)
Section 8. Amendment (Collateral Change)		
The filer provides information in item 8 and fails to indicate requested action “deleted, added, restated, or assigned”	Accept - take no action	9-520(a)
The filer checks all boxes in item 8.	Accept - file as a collateral change (add’ tl fee may be necess’y if multiple transactions)	9-520(a)
Section 9. Name of Secured Party Authorizing this Amendment		
The filer does not provide a Secured Party or Debtor name in item 9.	Accept	9-520(a)
Section 10. Optional Filer Reference Data		
The filer provides information in item 10.	Accept - take no action	9-520(a)
AMENDMENT ADDENDUM:		

The filer provides information in item 13. The filer has not provided the initial financing statement number in item 11.	Accept	9-520(a)
The filer provides information in item 13. The filer does not provide the Name of Party Authorizing the amendment in item 12.	Accept	9-520(a)
The filer provides information in item 13 that appears to require filing office action.	Accept - take no action	9-520(a)
AMENDMENT COMBINATIONS		
The filer checks item 2 (termination) and item 3 (continuation).	Accept both – extend lapse date	9-520(a)
The filer checks item 2 (termination) and item 4 (assignment).	Accept - index	9-520(a)
The filer checks item 2 (termination) and item 5 (party information).	Accept - index	9-520(a)
The filer checks item 2 (termination) and item 8 (collateral change).	Accept	9-520(a)
The filer checks item 3 (continuation) and item 4 (assignment).	Accept - ; index as to item 4 and extend lapse date	9-520(a)
The filer checks item 3 (continuation) and item 5 (party information).	Accept - index as to item 5 and extend lapse date	9-520(a)
The filer checks item 3 (continuation) and item 8 (collateral change).	Accept - extend lapse date	9-520(a)
The filer checks item 4 (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)(5) and (6)
The filer checks item 4 (assignment). The filer checks box in item 5 (party information- secured party) other than delete. Items 6 & 7 are left blank.	Reject	9-516(c)(1) with respect to 9-516(b)(4) and (6)
The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information- debtor).	Accept - index	9-520(a)
The filer checks item 4 (assignment). The filer checks “delete” in item 5 (party information- secured party).	Accept - index	9-520(a)

The filer checks item 4 (assignment) and item 8 (collateral change).	Accept - index	9-520(a)
The filer checks item 5 (party information) and item 8 (collateral change).	Accept - index	9-520(a)
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 will not be interpreted by the Secretary of State. SOS must index all form fields exactly as given.	9-520(a)
b. Forms		
1. Transition Form (dated 7/20/98)	Accept	9-520(a)
2 IACA Model forms:		
UCC-1 Initial Financing Statement	Accept	
UCC-1 Initial Financing Statement Addendum	Accept	
UCC-3 Amendment	Accept	
Additional Party Addendum (UCC-1 and UCC-3)	Accept	
2. Forms other than national, model or transition forms	Reject	
c. Attached Pages		
• Filer adds an attachment that is not the national addendum form.	Accept – do not index information on attachment.	

<ul style="list-style-type: none"> Filer adds an attachment that is not the national addendum form, but that contains properly formatted information. 	<p>Accept – do not index information on the attachment.</p>	
<p>d. Bogus or fraudulent filings</p> <ol style="list-style-type: none"> Filer provides the same name in items 1 and 3 of IFS (i.e., debtor and secured party are the same). Individual debtor is listed and box 18 is checked indicating the debtor is a transmitting utility. Copies of personal documents, such as birth certificate, social security number, etc. are attached. Debtor listed is a public official. The filing appears on its face to be bogus or fraudulent. 	<p>Accept</p> <p>Accept – set lapse date to be effective until terminated.</p> <p>Accept –any private information revealed on form will be public record.</p> <p>Accept - Although not obligated, SOS may notify debtor of filing.</p> <p>Accept</p>	<p>9-520(a)</p> <p>9-520(a), 9-515(f)</p> <p>9-520(a)</p> <p>9-520(a)</p> <p>9-520(a)</p>
<p>Filing requests made in cover letters or post-it-notes, such as “file first.”</p>	<p>Will attempt to follow instructions; however, SOS may not see note and is not obligated to follow any such instruction</p>	