

**NEBRASKA ADMINISTRATIVE CODE
TITLE 436
ADMINISTRATIVE RULES FOR ARTICLE 9
UNIFORM COMMERCIAL CODE
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~~NEBRASKA ADMINISTRATIVE CODE~~

~~TITLE 436~~

~~ADMINISTRATIVE RULES FOR ARTICLE 9
UNIFORM COMMERCIAL CODE~~

~~ADMINISTRATIVE RULES
OF THE~~

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Chapter 1 -- General Provisions

~~100~~ Policy statement. The administration of the UCC has an important impact on the economy and upon the rights of the public, in this state and in the United States. The volume of international, interstate and multistate transactions pursuant to the UCC requires that the administration of the UCC be conducted in a manner that promotes both local and multi-jurisdictional commerce by striving for uniformity in policies and procedures among the various states.

As provided in §9-526 of the UCC, the interpretation and implementation of the filing office's duties and responsibilities shall be expressed in a written set of administrative rules, which the public shall have a voice in creating. Such rules have the following purposes:

To simplify and improve the administration of the UCC by promoting uniform UCC filing procedures in this state and in the nation;

To simplify the public's ability to discover and understand the UCC filing procedures of the various states by establishing a uniform framework for describing the procedures;

To increase public access to information;

To increase public participation in the formulation of administrative policy and procedures; and

To increase public accountability of the filing officer.

~~101~~ 100 Definitions. The following terms shall have the respective meanings provided in this rule. Terms not defined in this rule which are defined in the UCC shall have the respective meanings accorded such terms in the UCC.

100.1 Active Record. "Active Record" means a UCC Record that has been stored in the UCC information management system and indexed in, but not yet removed from, the Searchable Indexes.

100.2 Address. "Address" means either (i) a street address, route number (may include box) or PO Box number plus the city, state and zip code, or (ii) an address that purports to be a mailing address outside the United States of America.

~~101.1~~ 100.3 Amendment statement. "Amendment" means a UCC document Record that purports to amend the information contained in a financing statement. Amendments

include assignments, continuations and terminations. ~~Any multiple amendment changes (i.e. continuation & amendment) must be filed on separate documents.~~

~~101.2~~ 100.4 Assignment statement. "Assignment" is an amendment that purports to reflect an assignment assigns of all or a part of a secured party's power to authorize an amendment to a financing statement.

~~101.3~~ "Continuation" means an amendment that purports to continue the effectiveness of a financing statement.

~~101.4~~ 100.5 Information statement. ~~"Correction statement"~~ "Information Statement" means a UCC document Record that purports to indicate that a financing statement is inaccurate or wrongfully filed.

~~101.5~~ 100.6 "File number" means the unique identifying information assigned to an initial financing statement by the filing officer for the purpose of identifying the financing statement and UCC documents relating to the financing statement in the ~~filing officer's~~ UCC information management system. For a financing statement with an initial financing statement filed on or prior to June 30, 1999, the file number includes three segments: 1) the County location [1-93] or UCC Div prefix [99], 2) the year of filing expressed as a two-digit number, and 3) a 6-digit number assigned to the financing statement by the filing officer. For a financing statement with an initial financing statement filed on or after July 1, 1999, the file number includes three segments: 1) the County location [1-93], UCC Division [99], or Electronic Filing [98] prefix, 2) the year of filing expressed as a 2-digit number, 3) followed by a unique 6-digit number assigned to the financing statement by the filing office. After July 1, 2000, a 4th segment will be added and document #'s assigned to all new financing statements will end with a single-digit verification number assigned by the filing office but mathematically derived from the numbers in the six digit segment. Filings after July 1, 2000, end with a single digit verification number assigned by the filing office but mathematically derived from the numbers in the six digit segment. The filing number bears no relation to the time of filing and is not an indicator of priority.

~~101.6~~ 7 "Filing office" and "filing officer" mean the Nebraska Secretary of State's Office, ~~Uniform Commercial Code Division.~~

~~101.7~~ 8 "Filing Officer Statement" means a statement of correction entered into the filing office UCC information management system to correct an error by the filing office.

~~101.8~~ "Financing statement" means a record or records composed of an initial financing statement and any filed record(s) relating to the initial financing statement.

~~101.9~~ "Individual" means a human being, or a decedent in the case of a debtor that is such decedent's estate.

~~101.10~~ 100.9 Initial financing statement. "Initial financing statement" means a UCC document that does not identify itself as an amendment or identify an initial financing statement to which it relates, as required by UCC Statutes 9-512 or 9-518. Record that causes the filing office to establish the initial record of filing of a financing statement.

~~101.11~~ "Organization" means a legal person who is not an individual under rule 101.9.

~~101.12~~ 100.10 Remitter. "Remitter" means a person who tenders a UCC document to the filing officer for filing, whether the person is a filer or an agent of a filer responsible for tendering the document for filing. Remitter does not include a person responsible merely for the delivery of the document to the filing office, such as the postal service or a courier service but does include a service provider who acts as a filer's representative in the filing process.

100.11 Searchable indexes. "Searchable indexes" means the searchable index of individual debtor names and the searchable index of organization debtor names maintained in the UCC information management system.

~~101.13~~100.12 Secured party of record. "Secured party of record" means, with respect to a financing statement, a person whose name is provided as the name of a secured party or a representative of the secured party in an initial financing statement that has been filed. If an initial financing statement is filed under UCC statute 9-514 (a), the assignee named in the initial financing statement is the secured party of record with respect to the financing statement. If an amendment of a financing statement which provides the name of a person as a secured party or a representative of a secured party is filed, the person named in the amendment is a secured party of record. If an amendment is filed under UCC statute 9-514 (b), the assignee named in the amendment is a secured party of record. A person remains a secured party of record until the filing of an amendment of the financing statement which deletes the person. includes a secured party of record as defined in the UCC as well as a person who has been a secured party of record with respect to whom an amendment has been filed purporting to delete them as a secured party of record. The term includes an assignor listed on an amendment that purports to be an assignment.

~~101.14~~ "Termination" means an amendment intended to indicate that the related financing statement has ceased to be effective with respect to the secured party authorizing the termination.

~~101.15~~100.13 UCC. "UCC" means the Uniform Commercial Code as adopted in this state and in effect from time to time.

100.14 UCC information management system. "UCC information management system" means the information management system used by the filing office to store, index, and retrieve information relating to financing statement as described in Chapter 3 of these filing-office rules.

~~101.16~~ 100.15 "UCC document" Record" means an initial financing statement, an amendment, an assignment, a continuation statement, a ~~termination or a correction statement~~. The word "document" in the term "UCC document" shall not be deemed to refer exclusively to paper or paper-based writings; it being understood that UCC documents may be expressed or transmitted electronically. (Note: this definition is used for the purpose of these rules only. The use of the term "UCC document" in these rules has no relation to the definition of the term "document" in UCC § 9-102(a)(30).), a termination statement, a filing officer statement or an information statement, and includes a record thereof maintained by the filing office. The term shall not be deemed to refer exclusively to paper or paper-based writings.

100.16 Unlapsed record. "Unlapsed record" means a UCC Record that has been stored and indexed in the UCC information management system, which has not yet lapsed under UCC §9-515 with respect to all secured parties of record.

~~102~~ Singular and plural forms. Singular nouns shall include the plural form, and plural nouns shall include the singular form, unless the context otherwise requires.

~~103~~ Place to file. The filing office is the office for filing UCC documents relating to all types of collateral except for timber to be cut, as extracted collateral (UCC §9-102(a)(6)) and, when the relevant financing statement is filed as a fixture filing, goods which are or are to become fixtures. Regardless of the nature of the collateral, the filing office is the office for filing all UCC documents where the debtor is a transmitting utility.

~~104~~ Filing office identification. In addition to the promulgation of these rules, the filing office will disseminate information of its location, mailing address, telephone and fax numbers, and its internet and other electronic "addresses" through usual and customary means.

~~104.1~~ On-line information service. The filing office offers on-line information services by subscription through Nebrask@ Online. Call the Secretary of State's Office for contact information.

~~104.2~~ Electronic Mail. Electronic mail cannot be used for filing UCC documents or for requesting searches of the records of financing statements.

~~105~~ Office hours. Although the filing office maintains regular office hours, it receives transmissions electronically 24 hours per day, 365 days per year, except for scheduled maintenance and unscheduled interruptions of service. Electronic communications may be retrieved and processed periodically (but no less often than once each day the filing office is open for business) on a batch basis.

~~106~~ 101 UCC document delivery. Means to deliver UCC Records; time of filing. UCC documents Records may be tendered for filing at the filing office as follows:-

~~106.1~~ 101.1 Personal delivery by Remitter, at the filing office's street address. The file time for a UCC document Record delivered by this method is when delivery of the UCC

~~document-Record~~ is ~~accepted-taken~~ by the filing office (even though the UCC ~~document~~ Record may not yet have been accepted for filing and subsequently may be rejected). This rule applies only to a Remitter who tenders a UCC Record to the filing office and awaits an immediate determination of whether or not the UCC Record will be taken or not.

~~106.2~~ 101.2 Courier delivery ~~by a person other than a Remitter~~, at the filing office's street address. The file time for a UCC document delivered by this method is, notwithstanding the time of delivery, at the earlier of the time the UCC document is first examined by a filing officer for processing (even though the UCC ~~document-Record~~ may not yet have been accepted for filing and may be subsequently rejected), or ~~on or before~~ the next close of business following the time of delivery. ~~A UCC document delivered after regular business hours or on a day the filing office is not open for business (if not examined for processing sooner) will have a filing time of on or before close of business on the next day the filing office is open for business.~~ This rule does not apply to a courier who is acting as an agent of the Remitter and who tenders a UCC Record to the filing office and awaits an immediate determination of whether or not the UCC Record will be taken or not under rule 101.1.

A UCC Record delivered after regular business hours or on a day the filing office is not open for business will have a filing time of the close of business on the next day the filing office is open for business.

~~106.3~~ 101.3 Postal service delivery, to the filing office's mailing address. The file time for a UCC document delivered by this method is, ~~notwithstanding the time of delivery, at the earlier of the time the UCC document is first examined by a filing officer for processing the next close of business following the time of delivery~~ (even though the UCC document may not yet have been accepted for filing and may be subsequently rejected), or ~~on or before the next close of business following the time of delivery~~. A UCC ~~document~~ record delivered after regular business hours or on a day the filing office is not open for business (if not examined for processing sooner) will have a filing time of ~~on or before~~ the close of business on the next day the filing office is open for business.

101.4 Electronic filing. The file time for a UCC Record delivered by this method is the time that the filing office's UCC information management system analyzes the relevant transmission and determines that all the required elements of the transmission have been received in a required format and are machine-readable.

~~106.4~~ 101.5 Direct [on-line and] web page data entry. UCC ~~documents~~Records, excluding ~~correction~~ information statements and filing officer statements, may be entered on-line as described in rules ~~370~~ 314 et seq. The file time for a UCC ~~document~~ Record delivered by this method is the time ~~that the entry of all required elements of the UCC document-Record have been entered into the filing office's direct on-line entry system~~ in the proper format and ~~such entry is acknowledged by such system.~~ the on-line entry system.

101.6 Means of communication. Regardless of the method of delivery, information submitted to the UCC filing office must be communicated only in the form of characters that are defined in an acceptable character set. A financing statement or amendment form that does not designate separate fields for organization and individual names, and separate fields for the surname, first personal name, additional name(s)/initials(s) and suffixes for individual names is not an acceptable means of communication to the filing office.

101.7 Transmitting utility, manufactured-home and public-finance transactions. The only means to indicate to the filing office that an initial financing statement is being filed in connection with a manufactured-home or public-finance transaction, or that a financing statement is being or has been filed against a debtor that is a transmitting utility, in order to affect the filing office's determination of the lapse date under rule 306.3 or rule 307, is to so indicate by checking the appropriate box on a UCC1 Financing Statement or by transmitting the requisite information in the proper field in an electronic filing that is such initial financing statement or is part of such financing statement.

101.8 Electronic Mail. Electronic mail cannot be used for filing UCC documents or for requesting searches of the records of financing statements.

~~107~~ 102 Search request delivery. UCC search requests may be delivered to the filing office by any of the means by which UCC documents-records may be delivered to the filing office. Requirements concerning search requests are set forth in rule 501.

~~102.1~~ UCC search requests upon a debtor named on an initial financing statement may be made by an appropriate indication on the face of the initial financing statement form (National Financing Statement Form UCC 1) if the form is entitled to be filed with the standard form fee and the relevant search fee is also tendered with the initial financing statement. A search request may not be delivered by checking a box or otherwise including a search request in or on an initial financing statement, but may be delivered in or on a separate search request after the initial financing statement is filed.

~~108-103~~ Approved fForms. Forms for UCC documents that conform to the requirements of this rule will be acceptable by the filing office. Other forms will not be accepted by the filing office. Forms prescribed by U.C.C. §9-521 are accepted by the filing office. Paperbased forms approved by the International Association of Commercial Administrators and forms otherwise approved by the filing office from time to time shall be accepted. A list of forms approved by the filing office will be made available on request and on-line at sos.ne.gov.

~~108.1~~ Statutory forms. The forms set forth in UCC §9-521 will be acceptable.

~~108.2~~ IACA approved forms. A form approved for the relevant UCC document by the International Association of Corporation Administrators on or after 4-23-98 will be acceptable.

~~108.3 Secretary of State approved. A form for the relevant UCC document approved by the office of the Secretary of State will be acceptable. Copies of all such forms then approved shall be distributed with these rules when they are distributed by the filing office and the filing office shall cause copies of such forms to be made available to prospective filers and remitters upon request.~~

~~108.4 Web page filings. A UCC Document transmitted through data entry on the filing office's Internet web page will be acceptable. Further information on web page filing can be found in section 104.1~~

~~109 Form — UCC search. A form that meets the requirements regarding dimensions and location of information on the search form approved by the Office of the Secretary of State or that is transmitted electronically in accordance with rules 370 et seq. will be acceptable and the forms will be made available to prospective searchers and remitters upon request. Other forms will not be accepted by the filing office.~~

~~110~~ 104 Filing fFees.

~~110.1~~ 104.1 Filing fee. The fee for filing and indexing a UCC document Record is provided in statute U.C.C. §9-525. The fee for filing and indexing a UCC document communicated by a medium authorized by these rules which is other than on paper is provided in statute 9-525.

~~110.2~~ 104.2 UCC search fee. The fee for a UCC search request communicated on paper is provided in U.C.C. §statute 9-525. The fee for requesting a UCC search communicated by a medium authorized by these rules which is other than on paper or in a paper-based format is provided in statute 9-525.

~~110.3~~ 104.3 UCC copies. The fee for UCC search copies (paper) is provided in statute U.C.C. §9-528.

~~111~~ 105 Methods of payment. Filing fees and fees for public records services may be paid by the following methods.

~~111.1~~ 105.1 Cash. The filing officer discourages cash payment unless made in person to the cashier at the filing office. However, cash payments received by mail will not be rejected. Payment in cash shall be accepted if paid in person at the filing office.

~~111.2~~ 105.2 Checks. Personal Cchecks, cashier's checks and money orders made payable to the filing office ,shall be accepted for payment provided that the drawer (or the issuer in the case of the cashier's check or money order) is deemed creditworthy by the filing office in its discretion. ,including Cechecks in an amount to be filled in by a filing officer but not to exceed a particular amount, will be accepted for payment. (Exception: If

previous checks were returned unpaid, future payments from the same party must be made by Cashiers, Certified, or Money Order.)

~~111.3~~ 105.3 Other account. Filers may apply for a Monthly Charge Account on an application furnished by the filing office. Upon approval, fees for filings and search/copy requests will be charged to this account and invoiced monthly. Online filings and searches may be billed through a third party provider contracting with the state to provide these services.

~~114~~ 106 Overpayment and underpayment policies.

~~114.1~~ 106.1 Overpayment. The filing officer shall refund the amount of an overpayment exceeding \$5.00 to the remitter. The filing officer shall refund an overpayment of \$5.00 or less only upon the written request of the remitter and said request must be received within 30 days of deposit of the check by filing office.

~~114.2~~ 106.2 Underpayment. ~~Upon receipt of a document with an insufficient fee, the filing officer shall do the following. Upon receipt of a filing with an insufficient fee, the filing officer shall return the document to the remitter as provided in rule 203 with the fee attached.~~

~~114.2.1~~ The document shall be returned to the remitter as provided in rule 205 with fee payment.

~~115~~ 107 Public records services. Public records services are provided on a non-discriminatory basis to any member of the public ~~on the terms described in these rules. Copies of individual UCC Records, bulk copies of records and data elements from the filing offices UCC information management system are made available in such forms, at such times and for such fees as the filing office may prescribe from time to time. The following methods are available for obtaining copies of UCC documents and copies of data from the UCC information management system.~~

~~115.1~~ 107.1 Individually identified documents. Copies of individually identified UCC documents are available in the following forms. UCC ~~and EFS documents and Statutory Lien~~ copies are available on paper through the UCC Division (or County office if filed prior to 7-1-1999) or through Nebrask@Online.Nebraska.gov.

~~115.2~~ Bulk copies of documents. Bulk copies of UCC documents are available in the following forms. Bulk copies of UCC documents are available through Nebrask@Online

~~115.3~~ 107.2 Data from the information management system. A list of available data elements from the UCC information management system, and the file layout of the data elements, is available from Nebrask@Online.Nebraska.gov upon request. Data from the information management system is available as follows from Nebrask@Online Nebraska.gov.

~~115.3.1~~ 107.2.1 Full extract. A bulk data extract of information from the UCC information management system are available on a monthly basis.

~~115.3.2~~ 107.2.2 Special Request extract. User specified file parameters from the UCC information management system are available.

~~115.3.3~~ 107.2.3 Format. Extracts from the UCC information management system are available in the following formats.

Magnetic tape.

FTP (Electronic File Transfer)

Or other electronic means approved by the filing office

~~115.4~~ 107.3 Direct on-line services. On-line services make UCC data available on a subscription basis. A description of subscription services is available from Nebraska@Online-Nebraska.gov

~~116~~ 108 Fees for public records services. Fees for public records services are established as follows:

~~116.1~~ 108.1 Paper copies of individual documents (from filing office Secretary of State's Office.) ~~116.1.1~~ R regular mail delivery method. Fee is provided in statute U.C.C. §9-528(d).

~~116.1.2~~ Reserved.

~~116.2~~ 108.2 Data from the information management system (through Nebraska@Online-Nebraska.gov)

~~116.3.1~~ 108.2.1 Full extract. Fee is provided in statute Neb. Rev. Stat. §33-101.

~~116.3.2~~ 108.2.2 Special Requests. Fee is provided in statute U.C.C. §9-523.

~~116.3.3~~ Reserved.

~~117~~ — New practices and technologies The filing officer is authorized to adopt practices and procedures to accomplish receipt, processing, maintenance, retrieval and transmission of, and remote access to, Article 9 filing data by means of electronic, voice, optical and/or other technologies, and, without limiting the foregoing, to maintain and operate, in addition to or in lieu of a paper-based system, a non-paper-based Article 9 filing system utilizing any of such technologies. In developing and utilizing technologies and practices, the filing officer shall, to the greatest extent feasible, take into account compatibility and consistency with, and whenever possible be uniform with, technologies, practices, policies and regulations adopted in connection with Article 9 filing systems in other states

Numbers 118 through 199 are reserved.

NEBRASKA ADMINISTRATIVE CODE
TITLE 436
ADMINISTRATIVE RULES FOR ARTICLE 9
UNIFORM COMMERCIAL CODE

Chapter 2 -- Acceptance and Refusal of Documents.

200 ~~Policy statement.~~ Role of filing officer. The duties and responsibilities of the filing officer with respect to the administration of the UCC are ministerial. In accepting for filing or refusing to file a UCC ~~document~~ Record pursuant to these rules, the filing officer does none of the following:

200.1 Determine the legal sufficiency or insufficiency of a document.

~~200.2 Determine that a security interest in collateral exists or does not exist.~~

200.32 Determine that information in the document is correct or incorrect, in whole or in part.

200.43 Create a presumption that information in the document UCC Record is correct or incorrect, in whole or in part.

~~201 — Duty to file. Provided that there is no ground to refuse acceptance of the document under rule 202, a UCC document is filed upon its receipt by the filing officer with the filing fee and the filing officer shall promptly assign a file number to the UCC document and index it in the information management system.~~

~~202-201~~ Grounds for refusal of UCC document. The following grounds are the sole grounds for the filing officer's refusal to accept a UCC document for filing. As used herein, the term "legible" is not limited to refer only to written expressions on paper; it requires a machine-readable transmission for electronic transmissions and an otherwise readily decipherable transmission in other cases. In addition to refusing a record for any reason, or multiple reasons, as set forth in U.C.C §9-516, a filing office shall refuse to accept a UCC Record that does not provide an address that meets the minimum requirement, as set forth in these filing office rules (See "Address" under rules 100.2)

~~202.1 Debtor name and address. An initial financing statement or an amendment that purports to add a debtor shall be refused if the document fails to include a legible debtor name and mailing address for a debtor, in the case of an initial financing statement, or for the debtor purporting to be added in the case of such an amendment. If filer is not using IACA approved form for filing, (statutory forms authorized under 9-521 are considered to be IACA approved forms for these purposes), all debtor name indexes must be stated in boxes substantially similar to debtor boxes on the IACA approved form.~~

~~202.2 Additional debtor identification. An initial financing statement or an amendment adding one or more debtors shall be refused if the document fails to identify whether each~~

named debtor (or each added debtor in the case of such an amendment) is an individual or an organization, if the last name of each individual debtor is not identified, or if, for each debtor identified as an organization, the document does not include in legible form the organization's type, state of organization and organization number (if it has one) or a statement that it does not have one. If filer is not using IACA approved form, (statutory forms authorized under 9-521 are considered to be IACA approved forms for these purposes) for filing, all debtor name indexes must be stated in boxes substantially similar to debtor boxes on the IACA approved form.

202.3 Secured party name and address. An initial financing statement, an amendment purporting to add a secured party of record, or an assignment, shall be refused if the document fails to include a legible secured party (or assignee in the case of an assignment) name and mailing address. If filer is not using IACA approved form for filing (statutory forms authorized under 9-521 are considered to be IACA approved forms for these purposes), all secured party names must be stated in boxes substantially similar to secured party boxes on the IACA approved form.

202.4 Lack of identification of initial financing statement. A UCC document other than an initial financing statement shall be refused if the document does not provide a file number of an initial financing statement in the UCC information management system that has not lapsed.

202.5 Identifying information. A UCC document that does not identify itself as an initial financing statement or as any other type of UCC document as required by UCC statutes 9-512, 9-514, or 9-518, is an initial financing statement.

~~202-202.6 Timeliness of continuation. Time for filing a continuation statement. A continuation shall be refused if it is not received during the six month period concluding on the day upon which the related financing statement would lapse.~~

202.1-202.6.1 First day permitted. The first day on which a continuation statement may be filed is the date of the month corresponding to the date upon which the related financing statement would lapse, six months preceding the month in which the financing statement would lapse. If there is no such corresponding date during the sixth month preceding the month in which the financing statement would lapse, the first day on which a continuation may be filed is the last day of the sixth month preceding the month in which the financing statement would lapse, although filing by certain means may not be possible on such date if the filing office is not open on such date. The foregoing rule is subject to the ability of the filing office to take delivery of the continuation statement as tendered and to rule 101.

202.2-202.6.2 Last day permitted. The last day on which a continuation may be filed is the date upon which the financing statement lapses. The foregoing rule is subject to the ability of the filing office to take delivery of the continuation statement as tendered and to rule 101. Accordingly, the time of filing of the continuation statement under rule 101 must be on or prior to such last day and delivery by certain means of communication may not be available on such last day if the filing office is not open for business on such day.

~~202.7 Fee. A document shall be refused if the document is accompanied by less than the full filing fee tendered by a method described in rule 111.~~

~~202.8 Means of communication. UCC documents communicated to the filing office by a means of communication not authorized by the filing officer for the communication of UCC documents shall be refused.~~

~~202.9 Reserved.~~

~~203—Grounds not warranting refusal. The sole grounds for the filing officer's refusal to accept a UCC document for filing are enumerated in rule 202. The following are examples of defects that do not constitute grounds for refusal to accept a document. They are not a comprehensive enumeration of defects outside the scope of permitted grounds for refusal to accept a UCC document for filing.~~

~~203.1 Errors. The UCC document contains or appears to contain a misspelling or other apparently erroneous information.~~

~~203.2 Incorrect names.~~

~~203.2.1 The UCC document appears to identify a debtor incorrectly.~~

~~203.2.2 The UCC document appears to identify a secured party or a secured party of record incorrectly.~~

~~203.3 Extraneous information. The UCC document contains additional or extraneous information of any kind.~~

~~203.4 Insufficient information. The UCC document contains less than the information required by Article 9 of the UCC, provided that the document contains the information required in rule 202.1 through 202.5.~~

~~203.5 Collateral description. The UCC document incorrectly identifies collateral, or contains an illegible or unintelligible description of collateral, or appears to contain no such description.~~

~~203.6 Excessive fee. The document is accompanied by funds in excess of the full filing fee. See Rule 114 on overpayments.~~

~~205 203 Procedure upon refusal. If the filing officer finds grounds under rule 202 to refuse acceptance of a paper UCC document, the filing officer shall return the document to the remitter and will return the filing fee. The filing office shall send a notice that contains the date and time the document would have been filed had it been accepted for filing~~

(unless such date and time are stamped on the document), and a brief description of the reason for refusal to accept the document under rule 202. The notice shall be sent to a secured party or the remitter as provided in rule 401.3.2 no later than the second business day after of the determination to refuse acceptance of the document. The fee may be delivered with the notice or under separate cover. If an on-line filing contains grounds for refusal, the on-line application will immediately return a message to the user stating which field of information is deficient and the user will then have the opportunity to correct and re-submit. Except as provided in rule 106, if the filing officer finds grounds to refuse a UCC Record, the filing officer shall refund the filing fee. Communication of the refusal, the reason(s) for the refusal and other related information will be made to the Remitter as soon as practicable and in any event within [two] business days after the refused UCC Record was received by the filing office, by the same means as the means by which such UCC Record was delivered to the filing office, or by mail or such more expeditious means as the filing office shall determine. Records of refusal, including a copy of the refused UCC Record and the ground(s) for refusal, shall be maintained until the first anniversary of the lapse date that applies or would have applied to the related financing statement, assuming that the refused record had been accepted and filed.

206 — ~~Acknowledgment. At the request of a filer or remitter who files a paper UCC document, the filing officer shall either (i) send to said filer or remitter an acknowledgement of the record of the UCC document showing the file number assigned to it and the date and time of filing or, (ii) if such filer or remitter provides a copy of such UCC document, the filing office shall attach an acknowledgement showing the file number and the date and time of filing to the copy and deliver or send it to said filer or remitter. For UCC documents tendered by on-line access, the online access provider shall provide an acknowledgement to the filer or remitter showing the information in the filed document, the file number and the date and time of filing.~~

207 — ~~Other Notices. Nothing in these rules prevents a filing officer from communicating to a filer or a remitter that the filing officer noticed apparent potential defects in a UCC document, whether or not it was filed or refused for filing. However, the filing office is under no obligation to do so and may not, in fact, have the resources to do so or to identify such defects. **THE RESPONSIBILITY FOR THE LEGAL EFFECTIVENESS OF FILING RESTS WITH FILERS AND REMITTERS AND THE FILING OFFICE BEARS NO RESPONSIBILITY FOR SUCH EFFECTIVENESS.**~~

208 204 — Refusal errors. If a secured party or a remitter demonstrates to the satisfaction of the filing officer that a UCC document that was refused for filing should not have been refused under rule 2012, the secured party or remitter must return the Rejection Notice and document, and the filing officer will file the UCC Record with the filing date and time the UCC Record was originally tendered for filing. document as provided in these rules with a filing date and time assigned when such filing occurs. A filing officer statement record relating to the relevant initial financing statement will be placed in the UCC information management system on the date the corrective action was taken. A filing officer statement must provide the date of the correction and explain the nature of

the corrective action taken. The record shall be preserved for so long as the record of the initial financing statement is preserved in the UCC information management system. The filing officer will also file a correction statement filing office statement on the same day (and such demonstration of error shall constitute the secured party's authorization to do so) that states that the effective date and time of filing is the date and time the UCC document was originally tendered for filing, and sets forth such date and time.

205 Notification of defects. Nothing in these rules prevents a filing officer from communicating to a filer or a Remitter that the filing officer noticed apparent potential defects in a UCC Record, whether or not it was filed or refused for filing. However, the filing office is under no obligation to do so and may not, in fact, have the resources to do so or to identify such defects. The responsibility for the legal effectiveness of filing rests with filers and Remitters and the filing office bears no responsibility for such effectiveness.

Numbers 209 through 299 are reserved.

NEBRASKA ADMINISTRATIVE CODE
TITLE 436
ADMINISTRATIVE RULES FOR ARTICLE 9
UNIFORM COMMERCIAL CODE

Chapter 3 -- UCC Information Management System

300 ~~Policy statement.~~ General. The filing officer uses an information management system to store, index, and retrieve information relating to financing statements. The UCC information management system includes an index of the names of debtors ~~named included~~ on financing statements ~~which have not lapsed~~ that are Active Records. The rules in this section describe the UCC information management system.

301 Primary data elements. The primary data elements used in the UCC information management system are the following:-

301.1 Identification numbers.

301.1.1 Each initial financing statement is identified by its file number ~~as described in rule 101.5~~. Identification of the initial financing statement is noted by a label affixed to written UCC ~~documents~~ Records or otherwise permanently associated with the record maintained for UCC ~~documents~~ Records in the UCC information management system. A record is created in the UCC information management system for each initial financing statement and all information comprising such record is maintained in such system. ~~Such~~ The record is identified by the same information assigned to the initial financing statement.

301.1.2 A UCC ~~document~~ Record other than an initial financing statement is identified by a unique file number assigned by the filing officer. In the UCC the information management system, records of all UCC ~~documents~~ Records other than initial financing statements are linked to the record of their related initial financing statement.

301.2 Type of ~~document~~ Record. The type of UCC ~~document~~ Record from which data is transferred is identified in the UCC information management system from information supplied by the ~~Remitter~~.

301.3 Filing date and filing time. The filing date and filing time of UCC ~~documents~~ Records are stored in the UCC information management system.

Calculation of the lapse date of an initial financing statement is based upon the filing date.

301.4 Identification of parties. The names and addresses of debtors and secured parties are transferred from UCC ~~documents~~Records to the UCC information management system, ~~using one or more data entry or transmittal techniques.~~

301.5 ~~Status of financing statement. In the information management system, each financing statement has a status of active or inactive.~~

301.6~~5~~ Page count. The total number of pages in a UCC ~~document~~Record is maintained in the UCC information management system.

301.7~~6~~ Lapse indicator. An indicator is maintained by which the UCC information management system identifies whether or not a financing statement is ~~active or lapsed~~will lapse and, if it does, when it will lapse. The lapse date is determined as provided in rules 306.3, 307, and 308.1.

301.8~~7~~ Indexes of names. The filing office maintains in the UCC information management system a searchable index of organization debtor names, and a searchable index of individual debtor names. The filing office may also maintain a searchable index of names of secured parties of record. Such an index need not be a separate database but may be comprised of records in the UCC information management system identified to be included in such searchable index.

302 ~~Names of debtors who are individuals.~~Individual debtor names. For the purpose of this rule, "individual" means a human being, or a decedent in the case of a debtor that is such decedent's estate. This rule applies to the name of a debtor or a secured party on a UCC document who is an individual. For purposes of these rules, an "individual debtor name" is any name provided as a debtor name in a UCC Record in a format that identifies the name as that of a debtor who is an individual, without regard to the nature or character of the name or to the nature or character of the actual debtor.

302.1 Individual name fields. The names of individuals are stored in files that include only the names of individuals~~individual debtor names, and not the names of organizations~~organization debtor names. Separate data entry fields are established for first (given), middle (given), and last names (surnames or family names) of individuals. The filing officer assumes no responsibility for the accurate designation of the components of a name but will accurately enter the data in accordance with the filer's designations. Separate data entry fields are established for surnames (last or family names), first personal names (given), and additional name(s)/initial(s) of individuals. The name of a debtor with a single name (e.g. "Cher") is treated as a surname and shall be entered in the individual's surname field. The filing officer assumes no responsibility for the accurate designation of the components of a name but shall accurately enter the data in accordance with the filer's designations.

~~302.2 Titles and prefixes before names. Titles and prefixes, such as "doctor," "reverend," "Mr.," and "Ms.," should not be entered in the UCC information management system. However, as provided in rule 407, when a UCC document is submitted with designated name fields, the data will be entered in the UCC information management system exactly as it appears. Titles, prefixes and suffixes. Titles, prefixes (e.g. "Ms") and suffixes or indications of status (e.g. "M.D.") are not typically part of an individual debtor's name. Suffixes used to distinguish between family members with identical names (e.g. "Jr") should be provided in the Suffix field. However, when entering a "name" into the UCC information management system, the data will be entered exactly as they appear.~~

~~302.3 Titles and suffixes after names. Titles or indications of status such as "M.D." and "esquire" are not part of an individual's name and should not be provided by filers on UCC documents and, if provided will not be entered in the UCC information management system. Suffixes that indicate which individual is being named, such as "senior," "junior," "I," "II," and "III," are appropriate. In either case, as provided in rule 407, they will be entered into the information management system exactly as received.~~

~~302.3 Extended debtor name field. The Financing Statement form has limited space for individual debtor names. If any portion of the individual debtor name is too long for the corresponding field, the filer is instructed to check the box that indicates the name was too long and enter the name in item 10 of the Addendum Form UCC1AD. A filing officer shall not refuse to accept a Financing Statement that lacks debtor information in item 1 and/or item 2 if the record includes an Addendum that provides a debtor name in item 10.~~

~~302.4 Truncation - individual names. Personal name fields in the UCC database information management system are fixed in length. Although filers should continue to provide full names on their UCC documentsRecords, a name that exceeds the fixed length is entered as presented to the filing officer, up to the maximum length of the data entry field. The length of data entry name fields are as follows.~~

~~302.4.1 First personal name: 40 characters. secured party/assignor shall not be a secured party of record and the secured party/assignee shall be a secured party of record.~~

~~302.4.2 Middle nameAdditional name(s)/initial(s): 20 characters.~~

~~302.4.3 Last nameSurname: 70 characters.~~

~~302.4.4 Suffix: 20 characters.~~

303 ~~Names of debtors that are organizations~~Organization debtor names. This rule applies to the name of an organization who is a debtor or a secured party on a UCC document. For

purposes of these rules, an "organization debtor name" is any name provided as a debtor name in a UCC Record in a format that identifies the name as that of a debtor who is an organization, without regard to the nature or character of the name or to the nature or character of the actual debtor.

303.1 Single field. The names of organizations are stored in files that include only the names of organizations and not the names of individuals. Organization debtor names are stored in files that include only organization debtor names and not individual debtor names. A single field is used to store an organization name organization debtor name.

303.2 Truncation - organization names. The organization name field organization debtor name field in the UCC database information management system is fixed in length. The maximum length is 150-300 characters. Although filers should continue to provide full names on their UCC documents Records, a name that exceeds the fixed length is entered as presented to the filing officer, up to the maximum length of the data entry organization debtor name field.

304 Estates. Collateral being administered by a Decedent's Personal Representative. Although they are not human beings, estates are treated as if the decedent were the debtor under rule 302. The debtor name to be provided on a financing statement when the collateral is being administered by a decedent's personal representative is the name of the relevant decedent. In order for the UCC information management system to function in accordance with the usual expectations of filers and searchers, the filer should provide the debtor name as an individual debtor name. However, the filing office will enter data submitted by a filer in the fields designated by the filer exactly as it appears in such fields.

305 Collateral held in a Trusts. If the trust is named in its organic document(s), its full legal name, as set forth in such document(s), is used. Such trusts are treated as organizations. If the trust is not so named, the name of the settlor is used. If a settlor is indicated to be an organization, the name is treated as an organization name. If the settlor is an individual, the name is treated as an individual name. A UCC document that uses a settlor's name should include other information provided by the filer to distinguish the debtor trust from other trusts having the same settlor and all financing statements filed against trusts or trustees acting with respect to property held in trust should indicate the nature of the debtor. If this is done in, or as part of, the name of the debtor, it will be entered as if it were a part of the name under rules 407 and 408. The debtor name to be provided when collateral is held in a trust that is not a registered organization is the name of the trust as set forth in its organic record(s), if the trust has such a name or, if the trust is not so named, the name of the trust's settlor settler or testator. In order for the UCC information management system to function in accordance with the usual expectations of filers and searchers, the name of a trust or of a settler that is an organization should be provided as an organization debtor name, and the name of the settler who is an individual should be provided as an individual debtor name, in each case without regard to the nature of character of the debtor. Notwithstanding the foregoing, the filing office will enter data

submitted by a filer in the fields designated by the filer exactly as it appears in such fields.

306 Initial financing statement. Upon the filing of an initial financing statement the status of the parties and the status of the financing statement shall be as follows.

306.1 Status of secured party. Each secured party named on an initial financing statement shall be a secured party of record, except that if the UCC document Record names an assignee, the secured party/assignor shall not be a secured party of record and the secured party/assignee shall be a secured party of record.

~~306.2 Status of debtor. The status of a debtor named on the document shall be active and shall continue as active until one year after the financing statement lapses. Each debtor name provided by the initial financing statement shall be indexed in the UCC information management system so long as the financing statement is an Active Record.~~

306.3 Status of financing statement. The status of the financing statement shall be an Active Record. A lapse date shall be calculated, five years from the file date, unless (i) the initial financing statement indicates as provided in rule 101.7 that it is filed with respect to a public-financing transaction or a manufactured-home transaction, in which case the lapse date shall be thirty years from the file date, or (ii) if the initial financing statement indicates as provided in rule 101.7 that it is filed against a transmitting utility, in which case there shall be no lapse date. ~~A financing statement remains active until one year after it lapses, or if it is indicated to be filed against a transmitting utility, until one year after it is terminated with respect to all secured parties of record.~~

307 Amendments generally. Upon the filing of an amendment the status of the parties and the status of the financing statement shall be as follows. Upon the filing of an amendment the status of the parties shall be unchanged, except that in the case of an amendment that adds a debtor or a secured party, the new debtor or secured party shall be added to appropriate index and associated with the record of the financing statement in the UCC information management system, and an amendment that designates an assignee shall cause the assignee to be added as a secured party of record with respect to the affected financing statement in the UCC information management system. Notwithstanding the filing of an amendment that deletes a debtor or a secured party from a financing statement, no debtor or secured party of record is deleted from the UCC information management system. A deleted secured party will still be treated by the filing office as a secured party of record as the filing office cannot verify the effectiveness of an amendment. In general, the filing of an amendment does not affect the status of the financing statement.

~~307.1 Status of secured party and debtor. An amendment shall affect the status of its debtor(s) and secured party(ies) as follows:~~

~~307.1.1 Collateral amendment or address change. An amendment that amends only the collateral description or one or more addresses has no effect upon the status of any debtor or secured party. If a statement of amendment is authorized by less than all of the secured parties (or, in the case of an amendment that adds collateral, less than all of the debtors), the statement affects only the interests of each authorizing secured party (or debtor).~~

~~307.1.2 Debtor name change. An amendment that changes a debtor's name has no effect on the status of any debtor or secured party, except that the related initial financing statement and all UCC documents that include an identification of such initial financing statement shall be cross-indexed in the UCC information management system so that a search under either the debtor's old name or the debtor's new name will reveal such initial financing statement and such related UCC documents. Such a statement of amendment affects only the rights of its authorizing secured party(ies).~~

~~307.1.3 Secured party name change. An amendment that changes the name of a secured party has no effect on the status of any debtor or any secured party, but the new name is added to the index as if it were a new secured party of record.~~

~~307.1.4 Addition of a debtor. An amendment that adds a new debtor name has no effect upon the status of any party to the financing statement, except the new debtor name shall be added as a new debtor on the financing statement. The addition shall affect only the rights of the secured party(ies) authorizing the statement of amendment.~~

~~307.1.5 Addition of a secured party. An amendment that adds a new secured party shall not affect the status of any party to the financing statement, except that the new secured party name shall be added as a new secured party on the financing statement.~~

~~307.1.6 Deletion of a debtor. An amendment that deletes a debtor has no effect on the status of any party to the financing statement, even if the amendment purports to delete all debtors.~~

~~307.1.7 Deletion of a secured party. An amendment that deletes a secured party of record has no effect on the status of any party to the financing statement, even if the amendment purports to delete all secured parties of record.~~

~~307.2 Status of financing statement. An amendment shall have no effect upon the status of the financing statement, except that a continuation may extend the period of effectiveness of a financing statement.~~

308—Assignment of powers of secured party of record.

~~308.1 Status of the parties. An assignment shall have no effect on the status of the parties to the financing statement, except that each assignee named in the assignment shall become a secured party of record.~~

~~308.2 Status of financing statement. An assignment shall have no effect upon the status of the financing statement.~~

309-308 Continuation statement.

~~309.1 308.1 Continuation of lapse date. Upon the timely filing of a continuation, the effectiveness of the initial financing statement continues for a period of five years commencing on the day on which the financing statement would have become ineffective in the absence of the filing. Upon the timely filing of one or more continuation statements by any secured party(ies) of record, the lapse date of the financing statement shall be postponed for five years. The lapse date is postponed once notwithstanding the fact that more than one continuation statement is filed within a given 6-month period prior to a lapse date. Notwithstanding the immediate postponement of the lapse date with respect to one or more secured parties of record who file timely a continuation statement within a given 6-month period prior to a lapse date, such lapse date remains effective solely for purposes of determining whether or not a subsequent continuation statement filed in the same 6-month period is timely.~~

~~309.2 308.2 Status of parties. The filing of a continuation statement shall have no effect upon the status of any party to the financing statement, or upon the status of the financing statement.~~

~~309.3 Status of financing statement. Upon the filing of a continuation statement, the status of the financing statement remains active.~~

310 309 Termination. The filing of a termination statement shall have no effect upon the status of any party to the financing statement or upon the status of the financing statement.

~~310.1 Status of parties. The filing of a termination shall have no effect upon the status of any party to the financing statement.~~

~~310.2 Status of financing statement. A termination shall have no effect upon the status of the financing statement and the financing statement shall remain active in the information management system until one year after it lapses, unless the termination relates to a financing statement that indicates it is filed against a transmitting utility, in which case the financing statement will become inactive one year after it is terminated with respect to all secured parties of record.~~

~~311~~ 310 Correction-Information statement. The filing of an information statement shall have no effect upon the status of any party to the financing statement, the status of the financing statement or to the information maintained in the UCC information management system.

~~311.1~~ Status of parties. The filing of a correction statement shall have no effect upon the status of any party to the financing statement.

~~311.2~~ Status of financing statement. A correction statement shall have no effect upon the status of the financing statement.

~~311~~ Filing officer statement. A filing officer statement affects the status of parties and of the relevant financing statement as provided in the corrective action described as having been taken in the filing officer statement.

~~312~~ Procedure upon lapse. If there is no timely filing of a continuation with respect to a financing statement, the financing statement lapses on its lapse date but no action is then taken by the filing office. ~~On the first anniversary of such lapse date, the information management system renders or is caused to render the financing statement inactive and the financing statement will no longer be made available to a searcher unless inactive statements are requested by the searcher and the financing statement is still retrievable by the information management system.~~

~~313~~ Removal of record. A financing statement must remain as an Active Record until at least one year after it lapses, or if it is indicated to be filed against a transmitting utility, until at least one year after it is terminated with respect to all secured parties of record. On or after the first anniversary of such lapse or termination date, the filing office or the UCC information management system may remove the financing statement and all related UCC Records from the Searchable Indexes or from the UCC information management system and upon such removal, the removed UCC Records shall cease to be Active Records. UCC Records removed from the UCC information management system shall be maintained as provided in the Records Retention Schedule 34-15 Secretary of State Business Services.

Numbers 313 through 369 are reserved.

Direct On-line Data Entry Procedures

~~370~~ 314 Definitions. For the purpose of rules relating to the submission of e-filed documents, terms shall have the meaning provided in this rule, unless the context otherwise requires.

~~370.1~~ 314.1 "E-filed document" means a UCC, EFS Document, or Statutory Lien transmitted from a filer to the filing office by e-filing services authorized under this rule.

~~371~~ 315 Document filing procedures. Interested parties may apply for e-filing services to the ~~Secretary of State's~~ filing office by completing an Electronic Filing Service

Agreement form. After approval by the ~~Secretary of State's Office~~ filing office ~~Nebrask@~~
~~Online~~ Nebraska.gov will contact the interested party for billing purposes and to establish
account number(s) and password(s). Filing guidelines and procedures are available on-
line.

~~372~~ 316 Search request procedures. Interested parties may apply for on-line access to
request searches by contacting ~~Nebrask@~~ Online Nebraska.gov. ~~Nebrask@~~ Online
Nebraska.gov will establish account number(s) and password(s). Searching guidelines
are available on-line.

~~Numbers 373 through 399 are reserved.~~

NEBRASKA ADMINISTRATIVE CODE
TITLE 436
ADMINISTRATIVE RULES FOR ARTICLE 9
UNIFORM COMMERCIAL CODE

Chapter 4 -- Filing and Data Entry Procedures

~~400- Policy statement. This section contains rules describing the filing procedures of the filing officer upon and after receipt of a UCC document. It is the policy of the filing officer to promptly file a document that conforms to these rules. Except as provided in these rules, data is transferred from a UCC document to the information management system exactly as the data is set forth in the document. Personnel who create reports in response to search requests type search criteria exactly as set forth on the search request. No effort is made to detect or correct errors of any kind.~~

~~401— Document indexing and other procedures before archiving.~~

~~401.1 Date and time stamp. The date and time of receipt are noted on the document or otherwise permanently associated with the record maintained for a UCC document in the UCC information management system at the earliest possible time.~~

~~401.2 Cash management. Transactions necessary to payment of the filing fee are performed.~~

~~401.3 Document review. The filing office determines whether a ground exists to refuse the document under rule 202.~~

~~401.3.1 File stamp. If there is no ground for refusal of the paper document, a label is affixed to the document stating the unique identification number and the filing date and this record of the document is maintained in the UCC information management system. The sequence of the identification number is not an indication of the order in which the document was received. If there is no ground for refusal of an on-line filing, the direct access provider's application assigns a unique identification number and the filing date and this record of the on-line filing is maintained in the UCC information management system.~~

~~401.3.2 Correspondence. If there is grounds for refusal of the paper document, notification of refusal to accept the document is prepared as provided in rule 205. If there is no ground for refusal of the document, an acknowledgment of filing is prepared as provided in rule 206. If the UCC document was tendered in person, notice of refusal or acknowledgment of the filing may be given to the remitter by personal delivery. If the UCC document was tendered by on-line access, such notice of refusal (deficiency) or acknowledgment is transmitted to the remitter of the UCC document as well as the information required by rule 206. Acknowledgment of filing or notice of refusal of a UCC document tendered by means other than personal delivery or on-line transmission is sent to the remitter~~

or the secured party (or first secured party if there is more than one named on the UCC document) by regular mail. If the remitter requests return by overnight courier, the remitter must provide a prepaid waybill or access to the remitter's account with the courier.

401.4 Data entry. Data entry and indexing functions are performed as described 407 and 408.

402 — Filing date. The filing date of a UCC document is the date the UCC document is received with the proper filing fee, if the filing office is open to the public on that date or, if the filing office is not so open on that date, the filing date is the next date the filing office is so open, except that, in each case, UCC documents received after 5:00 P.M. shall be deemed received on the following day. The filing officer may perform any duty relating to the document on the filing date or on a date after filing date.

403 — Filing time. The filing time of a UCC document is determined as provided in rule 106.

404 — Lapse date and time. A lapse date is calculated for each initial financing statement (unless the debtor is indicated to be a transmitting utility). The lapse date is the same date of the same month as the filing date in the fifth year after the filing date or relevant subsequent fifth anniversary thereof if timely continuation statement is filed, but if the initial financing statement indicates that it is filed with respect to a public finance transaction or a manufactured home transaction, the lapse date is the same date of the same month as the filing date in the thirtieth year after the filing date. The lapse takes effect at midnight at the end of the lapse date. The relevant anniversary for a February 29 filing date shall be the March 1 in the fifth year following the year of the filing date.

405-400 Errors of the filing officer. The filing office may correct the data entry and indexing errors of filing officer personnel in the UCC information management system at any time. If the correction is made after the filing officer has issued a certification date that includes the filing date of a corrected document, the filing officer shall proceed as follows. An entry shall be made upon the record of the financing statement in the UCC information management system stating the date of the correction and explaining the nature of the corrective action taken. The notation shall be preserved for so long as the record is preserved in the UCC information management system. If the correction is made to a record of a financing statement after the filing office has issued a search report with a through date and time (see rule 505.2.4) that is on or after the filing date and time of the financing statement, the filing office will associate with the record of the financing statement in the UCC information management system a filing officer statement on the date that the corrective action was taken providing the date and an explanation of the correction.

406 — Errors other than filing office errors. An error by a filer is the responsibility of such filer. It can be corrected by filing an amendment or it can be disclosed by a correction statement.

407 401

~~Data entry of names—designated fields. A filing should designate whether a name is a name of an individual or an organization and, if an individual, also designates the first, middle and last names and any suffix. When this is done, the following rules shall apply.—Data is entered into the UCC information management system exactly as provided in a UCC Record, without regard to apparent errors. Data provided in electronic form is transferred to the information management system exactly as submitted by the Remitter.~~

~~407.1 Organization names. Organization names are entered into the UCC information management system exactly as set forth in the UCC document, even if it appears that multiple names are set forth in the document or if it appears that the name of an individual has been included in the field designated for an organization name.~~

~~407.2 Individual names. On a form that designates separate fields for first, middle, and last names and any suffix, the filing officer enters the names into the first, middle, and last name and suffix fields in the UCC information management system exactly as set forth on the form.~~

~~407.3 Designated fields encouraged. The filing office encourages the use of forms that designate separate fields for individual and organization names and separate fields for first, middle, and last names and any suffix. Such forms diminish the possibility of filing office error and help assure that filers' expectations are met. However, filers should be aware that the inclusion of names in an incorrect field or failures to transmit names accurately to the filing office may cause filings to be ineffective. All documents submitted through direct data entry will be required to use designated name fields.~~

408- ~~Data entry of names—no designated fields. A UCC document that is an initial financing statement or an amendment that adds a debtor to a financing statement and that fails to specify whether the debtor is an individual or an organization should be refused by the filing office. If it is accepted for filing in error, the following rules shall apply.~~

~~408.1 Identification of organizations. When not set forth in a field designated for individual names, a name is treated as an organization name if it contains words or abbreviations that indicate status such as the following and similar words or abbreviations in foreign languages: association, church, college, company, co., corp., corporation, inc., limited, ltd., club, foundation, fund, L.L.C., limited liability company, institute, society, union, syndicate, GmbH, S.A. de C.V., limited partnership, L.P., limited liability partnership, L.L.P., trust, business trust, co-op, cooperative and other designations established by statutes to indicate a statutory organization. In cases where organization or individual status is not designated by the filer and is not clear, the filing officer will use their own judgment.~~

~~408.2 Identification of individuals. A name is entered as the name of an individual and not the name of an organization when the name is followed by a title substantially similar to one of the following titles, or the equivalent of one of the following titles in a foreign language: proprietor, sole proprietor, proprietorship, sole proprietorship, partner, general~~

~~partner, president, vice president, secretary, treasurer, M.D., O.D., D.D.S., attorney at law, Esq., accountant, CPA. In such cases, the title is not entered.~~

~~408.3 Individual and organization names on a single line. Where it is apparent that the name of an individual and the name of an entity are stated on a single line and not in a designated individual name field, the name of the individual and the name of the entity shall be entered as two separate debtors, one as an individual and one as an entity.~~

~~408.4 Individual names. The failure to designate the last name of an individual debtor in an initial financing statement or an amendment adding such debtor to a financing statement should cause a filing to be refused. If the filing is accepted in error, or if only the last name is designated, the following data entry rules apply.~~

~~408.4.1 Freestanding initials. An initial in the first position of the name is treated as a first name. An initial in the second position of the name is treated as a middle name.~~

~~408.4.2 Combined initials and names. An initial and a name to which the initial apparently corresponds is entered into one name field only [e.g. "D. (David)" in the name "John D. (David) Rockefeller" is entered as "John" (first name); "D. (David)" (middle name); "Rockefeller" (last name)].~~

~~408.4.3 Multiple individual names on a single line. Two individual names contained in a single line are entered as two, different debtors [e.g. the debtor name "John and Mary Smith" is entered as two debtors: "John Smith", and "Mary Smith"].~~

~~408.4.4 One word names. A one word name is entered as a last name [e.g. "Cher" is treated as a last name].~~

~~408.4.5 Nicknames. A nickname is entered in the name field together with the name preceding the nickname, or if none, then as the first name [e.g. the nickname in the name "William (Bill) Jones" is entered as "William (Bill)" and "Jones" (last name)].~~

~~409-402~~ Verification of data entry. The filing officer uses the following procedures to verify the accuracy of data entry tasks. The filing office will verify accuracy of the data from UCC Records entered in accordance with Rule 401 into the UCC information management system. Data entry performed by Remitters with respect to electronically filed UCC Records is the responsibility of the Remitter and is not verified by the filing office.

~~409.1 Visual inspection of data entry changes is employed for data in the following fields:~~

~~409.2.1 Document Information Fields:~~

409.2.2 Document Type Fields.

409.2.3 Name fields.

409.2.4 Address fields.

410—Initial financing statement. A new record is opened in the UCC information management system for each initial financing statement that bears the file number of the financing statement and the date and time of filing.

410.1 The name and address of each debtor that are legibly set forth in the financing statement are entered into the record of the financing statement. Each such debtor name is included in the searchable index and is not removed until one year after the financing statement lapses. Debtor addresses might not be included in the searchable index except to the extent the filing office offers or intends to offer limited searches or limited copy requests as provided in rule 502.

410.2 The name and address of each secured party that are legibly set forth in the financing statement are entered into the record of the financing statement.

410.3 The record is indexed according to the name of the debtor(s) and is maintained for public inspection.

410.4 A lapse date is established for the financing statement, unless the initial financing statement indicates it is filed against a transmitting utility, and the lapse date is maintained as part of the record. If the filing is against a transmitting utility, an indication must be made in the specified box on the UCC Financing Statement Addendum form.

411—Amendment. A record is created for the amendment that bears the file number for the amendment and the date and time of filing.

411.1 The record of the amendment is associated with the record of the related initial financing statement in a manner that causes the amendment to be retrievable each time a record of the financing statement is retrieved.

411.2 The name and address of each additional debtor and secured parties are entered into the UCC information management system in the record of the financing statement. Each such additional debtor name is added to the searchable index and are not removed until one year after the financing statement lapses. Debtor addresses might not be included in the searchable index except to the extent the filing office offers or intends to offer limited searches or limited copy requests as provided in rule 502.

411.3 If the amendment is a continuation, a new lapse date is established for the financing statement and maintained as part of its record.

~~412—Correction statement. A record is created for the correction statement that bears the file number for the correction statement and the date and time of filing. The record of the correction statement is associated with the record of the related initial financing statement in a manner that causes the correction statement to be retrievable each time a record of the financing statement is retrieved.~~

~~413—Reserved.~~

~~414—Archives—general.~~

~~414.1 Paper UCC documents.~~

~~414.1.1 Storage. Paper UCC documents are stored onsite in boxes.~~

~~414.1.2 Retention. One year after filming/scanning is completed.~~

~~414.2 Reductions.~~

~~414.2.1 Storage. Paper records are microfilmed and scanned to CD.~~

~~414.2.2 Retention. Filings office has a copy of all microfilm rolls created since inception as well as CD's produced since January 1999.~~

~~414.3 Databases. Data is backed up to tape nightly and backup tapes are stored off-sight.~~

~~415—Archives—data retention. Data in the UCC information management system relating to financing statements that have lapsed are retained for one year from the date of lapse. Such data will be maintained in the system for one year from the date of lapse and will thereafter be maintained in archives.~~

~~416—Archival Searches. Requests for archived searches must be made on a separate search request form and must clearly state the time period to be covered by the completed search (but no longer than 1 year after lapse or termination). The fee for an archived search is as provided in statutes for customary searches.~~

~~417-403 Notice of bankruptcy. The filing officer takes no action upon receipt of a notification, formal or informal, of a bankruptcy proceeding involving a debtor named in the UCC information management system. Accordingly, financing statements will lapse as scheduled unless properly continued.~~

404 Redaction of certain information. The filing officer may be obliged to redact certain information from the information it provides to searchers and bulk data purchasers in accordance with applicable privacy and identity theft protection laws. Such information should not be included in UCC Records and will be redacted in accordance with such laws.

Numbers 418 through 499 are reserved.

NEBRASKA ADMINISTRATIVE CODE
TITLE 436
ADMINISTRATIVE RULES FOR ARTICLE 9
UNIFORM COMMERCIAL CODE

Chapter Chapter 5 -- Search Requests and Reports

500 General requirements. The filing officer maintains for public inspection a searchable index for all Active Records in the UCC information management system. Active Records will be retrievable by the name of the debtor or by the file number of the related initial financing statement, and each Active Record related to an initial financing statement is retrieved with the initial financing statement using either retrieval method. The filing officer maintains for public inspection a searchable index for all records of UCC documents that provides for the retrieval of a record by the name of the debtor and by the file number of the initial financing statement to which the record relates and which associates with one another each initial financing statement and each filed UCC document relating to the initial financing statement. All data, including legacy data, conforms to RA9 Standard Search criteria.

501 Search requests - required information. Search requests shall contain the following information.:

501.1 Name searched. ~~A search request should set forth the full correct name of a debtor or the name variant desired to be searched and must specify whether the debtor is an individual or an organization. The full name of an individual shall consist of a first, middle, and last name, followed by any suffix that may apply to the name. The full name of an organization shall consist of the name of the organization as stated on the articles of incorporation or other organic documents in the state or country of organization or the name variant desired to be searched. A search request will be processed using the name in the exact form it is submitted. A search request must set forth the name of the debtor to be searched using designated fields for organization or individual surname, first personal name, and additional name(s)/initial(s). A search request will be processed using the data and designated fields exactly as submitted, including the submission of no data in a given field, without regard to the nature or character of the debtor that is the subject of the search.~~

501.2 Requesting party. The name and address of the person to whom the search report is to be sent.

501.3 Fee. ~~The appropriate fee shall be enclosed, payable by a method described in rule 111, tendered by a method described in rule 105.~~

501.4 Search request with filing. ~~If a filer requests a search at the time a UCC document is filed, by checking the box on the form set forth in UCC statute 9-521 or otherwise, the name to be searched will be the debtor name as set forth on the form, the requesting party~~

will be the remitter of the UCC document, and the search request will be deemed to request a search that would be effective to retrieve all financing statements filed on or prior to the date the UCC document is filed.

502 Search Requests - Optional information. A UCC-sSearch requests may contain any ofinclude the following information:

502.1 A request that copies of documents referred to in the report be included with the report. Copies. The request may limit the copies requested by limiting them by reference to the city of the debtor, the date of filing (or a range of filing dates) or the identity of the secured party(ies) of record on the financing statements located by the related search. The request may ask for copies of UCC documents identified on the primary search response of UCC Records that would normally be provided with a search report by requesting that no copies be provided or that copies be limited to those UCC Records that:

502.1.1 include a particular city in the debtor address;

502.1.2 were filed on a particular date or within a particular range of dates; or

502.1.3 include a particular secured party name.

502.2 A request that the search of a debtor name be limited to debtors in a particular city. A report created by the filing officer in response to such a request shall contain the following statement: "A search limited to a particular city may not reveal all filings against the debtor searched and the searcher bears the risk of relying on such a search."

502.2 Scope of search. A search request may ask for a search that reports all Active Records retrieved by the search rather than only Unlapsed Records retrieved by the search.

502.3 Instructions on the mode of delivery requested, if other than by ordinary mail, which Mode of delivery. A search request may specify a mode of delivery for search results and that request will be honored if the requested mode is then made available by the filing office, and all requisite fees are tendered.

502.4 Search request with filing. If a filer requests a search at the time an Initial financing statement is filed by submitting a search request with the Initial financing statement at the time it is tendered for filing, the search request shall be deemed to request a search to be conducted as soon as practicable such that it would include all UCC records filed, against the debtor name(s) provided on the Initial financing statement, on or prior to the date [time] the Initial financing statement is filed.

503 Rules applied to search requests. Search methodology. Search results are created by applying standardized produced by the application of search logic to the name presented to the filing officer by the person requesting the search. Human judgment does not play a

role in determining the results of the search. ~~The following, and only the following rules are applied to conduct searches.~~

503.1 Standard search logic. The following rules describe the filing office's standard search logic and apply to all searches except as provided 503.2.1.

503.1.1 There is no limit to the number of matches that may be returned in response to the search criteria.

503.1.2 No distinction is made between upper and lower case letters.

503.1.3 The character "&" (the ampersand) is deleted and replaced with the characters "and" each place it appears in the name.

~~503.3~~ 1.4 Punctuation marks and accents are disregarded. For the purposes of this rule, punctuation and accents include all characters other than the numerals 0 through 9 and the letters A through Z (in any case) of the English alphabet.

503.4 1.5 The following ~~W~~words and abbreviations at the end of an name that indicate the existence or nature of an organization as set forth in the "Ending Noise Words" list as promulgated and adopted by the International Association of Corporation Administrators as from time to time, are disregarded (e.g., company, limited, incorporated, corporation, limited partnership, limited liability company or abbreviations of the foregoing). organization name that indicate the existence or nature of the organization are "disregarded" to the extent practicable as determined by the filing office's programming of its UCC information management system: Agency, Association, Assn, Associates, Assc, Assoc, Attorneys at Law, Bank, National Bank, Business Trust, Charter, Chartered, Company, Co, Corporation, Corp, Credit Union, CU, Federal Savings Bank, FSB, General Partnership, Gen part, GP, Incorporated, Inc, Limited, Ltd, Ltee, Limited Liability Company, LC, LLC, Limited Liability Partnership, LLP, Medical Doctors Professional Association, MDPA, Medical Doctors Professional Corporation, MDPC, National Association, NA, Partners, Partnership, Professional Association, Prof Assn, PA, Professional Corporation, Prof Corp, PC, Professional Limited Liability Company, Professional Limited Liability Co, PLLC, Railroad, RR, Real Estate Investment Trust, REIT, Registered Limited Liability Partnership, RLLP, Savings Association, SA, Savings Association, SA, Service Corporation, SC, Sole Proprietorship, SP, SPA, Trust, Trustee, As Trustee, punctuation and accents are disregarded as well as "and" and "&."

503.5 1.6 The word "the" at the beginning of the search criteria is disregarded and organization debtor name is disregarded.

503.6 1.7 All spaces are disregarded.

503.7 1.8 For first and middle names of individuals, initials are equated with all names that begin with such initials, and no middle name or initial is equated with

~~all middle names and initials.~~ For first personal name and additional name(s)/initial(s) of individual debtor names, initials are treated as the logical equivalent of all names that begin with such initials, and first personal name and no additional name(s)/initial(s) is equated with all additional name(s)/initial(s). For example, a search request for "John A. Smith" would cause the search to retrieve all filings against all individual debtors with "John" or the initial "J" as the first personal name, "Smith" as the surname, and with the initial "A" or any name beginning with "A" in the additional name(s)/initial(s) field. If the search request were for "John Smith" (first personal and surnames with no designation in the additional name(s)/initial(s) field), the search would retrieve all filings against individual debtors with "John" or the initial J as the first personal name, "Smith" as the surname and with any name or initial or no name or initial in the additional name(s)/initial(s) field.

503.1.9 If the name being searched is the surname of an individual debtor name without any first personal name or additional name(s)/initial(s) provided, the search will retrieve from the UCC information management system all financing statements with individual debtor names that consist of only the surname.

~~503.8 1.10 After taking the preceding rules into account to modify the name of the debtor requested to be searched and to modify the names of debtors contained in active financing statements in the UCC information management system, the search will reveal only names of debtors that are contained in active financing statements and, as modified, exactly match the name requested, as modified. After using the preceding rules to modify the name being searched, the search will retrieve from the UCC information management system all Unlapsed Records, or, if requested by the searcher, all Active Records, that pertain to financing statements with debtor names that, after being modified as provided in this rule 503, exactly match the modified name being searched.~~

503.2 Non-standard (wild-card) search logic.

503.2.1 A non-standard (wild-card) search methodology is used to check against non-UCC liens or miscellaneous liens that may exist in the UCC information management database including Federal Tax Liens, Mechanics Liens, liens in favor of a governmental body (including Abstract of Judgment, Criminal Fine Enforcement and Notice of Lien for Fine or Penalty for Sentencing), Statutory (Agricultural) Liens prior to July 1, 2001, and Farm Product Security Interests (EFS statements).

504 Changes in standard search logic. If the filing office changes its standard search logic or the implementation of its standard search logic in a manner that could alter search results, the filing office will provide public notice of such change.

~~504-5 Search responses. Reports created in response to a search request shall include the following. Responses to a search request shall include the following:~~

505.1 Copies. Copies of all UCC Records retrieved by the search unless only limited copies are requested by the searcher. Copies will reflect any redaction of personal identifying information required by law.

505.2 Introductory information. A filing officer shall include the following information with a UCC search response:

504.1-505.2.1 Filing officer identification. Identification of the filing officer and the certification of the filing officer required by the UCC. Identification of the filing office responsible for the search response.

505.2.2 Unique search report identification number. Unique number which identifies the search report

504.2 505.2.3 Report date and time. The date and time the report was generated.

505.2.4 Through date and time. The date and time at or prior to which a UCC record must have been filed with the filing office in order for it to be reflected on the search.

504.3 Name searched. Identification of the name searched.

504.4 Certification date. The certification date applicable to the report; i.e., the date and time through the search is effective to reveal all relevant UCC documents filed on or prior to that date.

505.2.5 Certification language. THE UNDERSIGNED FILING OFFICER HEREBY CERTIFIES THAT THE ENCLOSED LISTING IS A RECORD OF ALL PRESENTLY EFFECTIVE FINANCING STATEMENTS AND RELATED SUBSEQUENT DOCUMENTATION WHICH NAME THE REQUESTED DEBTORS, AND WHICH ARE ON FILE IN THE SECRETARY OF STATE'S OFFICE, BUSINESS SERVICES DIVISION, AS OF DATE INDICATED ON THE SEARCH. Secretary of State Seal placed on letter as well.

505.2.6 Scope of search. Active and Unlapsed.

505.2.7 Search logic used. See rule 503.1.

505.2.8 Search logic disclaimer language. DISCLAIMER INFORMATION RELATIVE TO SECURITY INTERESTS AND STATUTORY LIENS OBTAINED FROM THE COMPUTER INDEX IS FOR INFORMATION PURPOSES ONLY. SUCH INFORMATION DOES NOT RELIEVE ANY PERSON OR BUSINESS FROM LIABILITY, ALTER PRIORITIES OF SECURITY INTEREST OR LIENS, OR AFFECT ANY OTHER LEGAL RIGHTS OR RESPONSIBILITIES. THE COMPUTER INDEX PRIMARILY CONTAINS INFORMATION RELATIVE TO SECURITY INTERESTS AND STATUTORY LIENS WHICH HAVE BEEN FILED FOR RECORD AFTER SEPTEMBER 1, 1981. THERE ARE SECURITY INTERESTS AND

STATUTORY LIENS FILED BEFORE THAT TIME WHICH MAY BE VALID. A SEARCH LIMITED TO A PARTICULAR CITY MAY NOT REVEAL ALL FILINGS AGAINST THE DEBTOR SEARCHED AND THE SEARCHER BEARS THE RISK OF RELYING ON SUCH A SEARCH.

505.2.9 Name provided. Name as provided by searcher.

505.2.10 Search string. Normalized name as provided by rule 503.

505.2.11 Lien type searched. UCC, UCC Statutory liens, Federal and State tax liens, liens in favor of a governmental body, Statutory (Agricultural) liens, and Farm Product Security Interests (EFS statements)-.

~~504.5 Identification of initial financing statements. Identification of each unlapsed initial financing statement filed on or prior to the certification date and time corresponding to the search criteria, by name of debtor, by identification number, and by file date and file time.~~

~~504.6 History of financing statement. For each initial financing statement on the report, a listing of all related UCC documents filed by the filing officer on or prior to the certification date.~~

~~504.7 505.2.12 Copies. Copies of all UCC documents-Records revealed by the search and requested by the searcher.~~

505.3 Report. The search report shall contain the following:

505.3.1 Identification. Identification of the filing office responsible for the search report.

505.3.2 Search report identification number. Unique number assigned under rule 505.2.2

505.3.3 Identification of financing statement. Identification of each initial financing statement, including a listing of all related amendments, information statements, or filing officer notices, filed on or prior to the through date corresponding to the search criteria (including whether the searcher has requested Active Records or only Unlapsed Records). Financing statement information shall include, but is not limited to the following:

505.3.3.1 Initial financing statement file number. The initial financing statement file number.

505.3.3.2 Initial financing statement filing date and time. The date and time it was filed.

505.3.3.3 Lapse date. Provide lapse date.

505.3.3.4 Debtor name. The debtor name(s) that appear(s) of record.

505.3.3.5 Debtor address. The debtor address(s) that appear(s) of record.

505.3.3.6 Secured party name. The secured party name(s) that appear(s) of record.

505.3.3.7 Secured party address. The secured party address(es) that appear(s) of record.

505.3.3.8 Amendment type. An indication of type of each amendment, if any.

505.3.3.9 Amendment filing date and time. The date and time each amendment, if any, was filed.

505.3.3.10 Amendment file number. The amendment file number of each amendment, if any.

505.3.3.11 Information statement filing date and time. The date and time an information statement, if any, was filed.

505.3.3.12 Filing officer statement filing date and time. The date and time a filing officer statement, if any, was filed.

Numbers 506 through 599 are reserved.

NEBRASKA ADMINISTRATIVE CODE
TITLE 436
ADMINISTRATIVE RULES FOR ARTICLE 9
UNIFORM COMMERCIAL CODE

Chapter 6 -- Other Notices of Liens

600 ~~Policy statement.~~ The purpose of rules in this section is to describe records of liens maintained by the filing office created pursuant to statutes other than the UCC that are treated by the filing officer in a manner substantially similar to UCC documents and are included on request with the reports described in rule 505.34.

601 ~~Notice of Federal Tax Lien.~~ Tax Liens.

~~601.1 Filing.~~ Notice of Federal Tax Lien.

~~601.1.1 Where to file.~~ Secretary of State's Office.

~~601.1.2 Fee.~~ As provided in statute.

~~601.1.31 Duration.~~ Generally speaking the duration of a Federal Tax Lien is 10 years from date of assessment per The federal tax lien continues until the liability for the amount assessed is satisfied or becomes unenforceable by reason of lapse of time, IRC §6322. Generally, after assessment, the Internal Revenue Service has ten years to collect the tax liability. IRC §6502. However, there are some circumstances which may extend or suspend the ten-year collection period. Quoted from Internal Revenue Service, Internal Revenue Manual 5.17.2.2.2 (03-27-2012) chapter regarding Duration of the Federal Tax Lien.

~~601.2~~ 601.1.2-Mechanics of search. See search logic described in rule 503.2.

601.2.1 Fee for search. UCC searches include all Federal Tax lien listings in the database for the customary search fee provided in statute.

~~601.2.2 Reserved.~~

~~602-601.2~~ Notice of State Tax Lien.

~~602.1 Filing.~~

~~602.1.1 Where to file.~~ Secretary of State's office.

~~602.1.2 Fee.~~ As provided in statute.

~~602.1.3~~ 601.2.1 Duration. The duration of a State Tax Lien is 10 years from the date of recording.

~~602.2~~ 601.2.2 Mechanics of search. See search logic described in rule 503.2.

602.2.1 Fee for search. UCC searches include all State Tax Lien listings in the database for the customary search fee provided in statute.

~~602.2.2~~ Reserved.

~~603-601.3~~ Notice of other lien in favor of a governmental body. Including Abstract of Judgment, Criminal Fine Enforcement and Notice of Lien for Fine or Penalty for Sentencing.

~~603.1~~ Notice #1. Abstract of Judgement.

~~603.2~~ Notice #2. Criminal Fine Enforcement.

~~603.3~~ Notice #3 Notice of Lien for Fine or Penalty for Sentencing.

~~603.1.1~~ Where to file. Secretary of State's office.

~~603.1.2~~ Fee. As provided in statute.

~~603.1.3~~ 601.3.1 Duration. The duration of Abstracts of Judgement, Criminal Fine Enforcement liens, and Notice of Lien for Fine or Penalty for Sentencing Liens is 20 years from the date of record.

601.3.2 Mechanics of search. See search logic described in rule 503.2.

| ~~604-602~~ Statutory (Agricultural) Liens.

| ~~604 2.1~~ Mechanics of filing. Statutory (aAgricultural) Liens are filed in the same manner as an initial financing statement and may use all forms and formats of communication permitted to be used in connection with initial financing statements. ~~They are indexed by debtor name and will be revealed by searches under rules 504.~~

| ~~604.1.1~~ Where to file. Secretary of State's office.

~~604.1.2~~ Fee. As provided in statute.

| ~~604.1.3~~ 602.1.1 Duration. The duration of the various Statutory (agricultural) liens are as provided in statute. A financing statement filed to perfect a Statutory (Agricultural) Lien is effective for a period of 5 years after the date of filing.

~~604.2~~ Mechanics of search.

~~604.2.1~~602.1.2 Fee for search. UCC searches include all Statutory (~~#~~Agricultural) Liens in the database for the customary UCC search fee as provided in statute.

602.1.3 Statutory (Agricultural) Liens filed prior to July 1, 2001 will be searched using non-standard search logic as defined in rule 503.2. Statutory (Agricultural) Liens filed on or after July 1, 2001, will be searched using the standard search logic as defined in rule 503.1.

602.1.4 Statutory (Agricultural) Liens include the following: Agister Lien, Ag Production Input Lien, Artisan Lien, Seed or Electrical Lien, Feed Lien, Fertilizer Lien, Petroleum Products Lien, Threshers Lien, and Veterinarians Lien.

~~605~~ — Notice of lien in favor of a private individual or entity #2.

~~605.1~~ Mechanics of filing. Physician's Liens and Jeweler's Lien for Repair Work are filed at the county level according to Nebraska Statutes.

~~605.1.1~~ Where to file. County Level.

~~605.1.2~~ Fee. As provided in statute.

~~605.1.3~~ Duration. The duration is as provided in statute.

~~605.2~~ Mechanics of search.

~~605.2.1~~ Fee for search. As provided in statute.

~~606-603~~ Farm Product Security Interests (EFS statements)

~~606.1-603.1~~ Mechanics of filing. EFS (Effective Financing Statements) are filed at in the Secretary of State's filing office. according to Nebraska Statutes.

~~606.1.1~~ Where to file. Secretary of State's Office.

~~606.1.2~~ Fee. As provided in statute.

~~606.1.3~~603.1.1 Duration. The duration is as provided is 5 years from date of filing.

~~606.23.1.2~~ Mechanics of search. See search logic described in rule 503.2.

~~606.2.1~~ Fee for search. As provided in statute.

Numbers ~~606~~ through ~~699~~ are reserved.

~~NEBRASKA ADMINISTRATIVE CODE~~
~~TITLE 436~~
~~ADMINISTRATIVE RULES FOR ARTICLE 9~~
~~UNIFORM COMMERCIAL CODE~~

~~Chapter 7 -- Rule Making Procedure~~

~~700 — Reserved~~

~~701 — Reserved~~

~~702 1 — Procedure for adoption of rules. Prior to the adoption, amendment, or repeal of a rule, the filing officer shall comply with this rule.~~

~~702.1 Delivery of notice. The filing officer shall deliver notice of its intended action at least thirty days in advance of the action to the executive officer of the state bar association, the executive officer of the state bankers association, the chairperson of the UCC section of the International Association of Corporation Administrators, and any other person who requests written notice of intended action to adopt, amend, or repeal a rule and who agrees to pay the cost of transmitting such notice to such other person. The notice shall state the substance of the intended action or a description of the subjects and issues involved, and the time when, the place where, and the manner in which interested persons may present their views.~~

~~703 — Reserved~~

~~704 2 — Notice of adoption of rule and effective date. The filing officer shall deliver a notice of adoption of a rule to the executive officer of the state bar association, the executive officer of the state bankers association, the chairperson of the UCC section of the International Association of Corporation Administrators, and any other person who requests written notice of adopted rules and who agrees to pay the cost of transmitting such notice to such other person.~~

~~Numbers 705 through 799 are reserved.~~

APPENDIX A

Secretary of State Approved Filing and Search Forms

Forms include the following, also found on the Secretary of State's website:

UCC Financing Statement (UCC1)

UCC Financing Statement Addendum (UCC1Ad)

UCC Financing Statement Additional Party (UCC1AP)

UCC Financing Statement Amendment or Change (UCC3)

UCC Financing Statement Amendment Addendum (UCC3Ad)

UCC Financing Statement Amendment Additional Party (UCC3AP)

UCC Information Statement (UCC5)

UCC Information Request (UCC11)

Universal Attachment for Statutory Lien

Universal Attachment for Agricultural Production Input Lien (API)

UCC FINANCING STATEMENT

FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT FILER (optional)
B. E-MAIL CONTACT AT FILER (optional)
C. SEND ACKNOWLEDGMENT TO: (Name and Address)
<div style="border: 1px solid black; width: 80%; margin: auto; padding: 10px;"> <div style="border: 1px solid black; width: 100%; height: 100%;"></div> </div>

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. **DEBTOR'S NAME:** Provide only one Debtor name (1a or 1b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 1b, leave all of item 1 blank, check here and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

1a. ORGANIZATION'S NAME				
OR 1b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)		SUFFIX
1c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

2. **DEBTOR'S NAME:** Provide only one Debtor name (2a or 2b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 2b, leave all of item 2 blank, check here and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

2a. ORGANIZATION'S NAME				
OR 2b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)		SUFFIX
2c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

3. **SECURED PARTY'S NAME (or NAME of ASSIGNEE of ASSIGNOR SECURED PARTY):** Provide only one Secured Party name (3a or 3b)

3a. ORGANIZATION'S NAME				
OR 3b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)		SUFFIX
3c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

4. **COLLATERAL:** This financing statement covers the following collateral:

5. Check <u>only</u> if applicable and check <u>only</u> one box: Collateral is <input type="checkbox"/> held in a Trust (see UCC1Ad, item 17 and Instructions) <input type="checkbox"/> being administered by a Decedent's Personal Representative	
6a. Check <u>only</u> if applicable and check <u>only</u> one box: <input type="checkbox"/> Public-Finance Transaction <input type="checkbox"/> Manufactured-Home Transaction <input type="checkbox"/> A Debtor is a Transmitting Utility	6b. Check <u>only</u> if applicable and check <u>only</u> one box: <input type="checkbox"/> Agricultural Lien <input type="checkbox"/> Non-UCC Filing
7. ALTERNATIVE DESIGNATION (if applicable): <input type="checkbox"/> Lessee/Lessor <input type="checkbox"/> Consignee/Consignor <input type="checkbox"/> Seller/Buyer	<input type="checkbox"/> Bailee/Bailor <input type="checkbox"/> Licensee/Licenser
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 and follow all Instructions, especially Instruction 1; use of the correct name for the Debtor is crucial.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

Send completed form and any attachments to the filing office, with the required fee.

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 filer desires an acknowledgment sent to them. 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.

1. **Debtor's name.** Carefully review applicable statutory guidance about providing the debtor's name. Enter only one Debtor name in item 1 -- either an organization's name (1a) or an individual's name (1b). If any part of the Individual Debtor's name will not fit in line 1b, check the box in item 1, leave all of item 1 blank, check the box in Item 9 of the Financing Statement Addendum (Form UCC1Ad) and enter the Individual Debtor name in item 10 of the Financing Statement Addendum (Form UCC1Ad). Enter Debtor's correct name. Do not abbreviate words that are not already abbreviated in the Debtor's name. If a portion of the Debtor's name consists of only an initial or an abbreviation rather than a full word, enter only the abbreviation or the initial. If the collateral is held in a trust and the Debtor name is the name of the trust, enter trust name in the Organization's Name box in item 1a.

1a. **Organization Debtor Name.** "Organization Name" means the name of an entity that is not a natural person. A sole proprietorship is **not** an organization, even if the individual proprietor does business under a trade name. If Debtor is a registered organization (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Debtor's current filed public organic records to determine Debtor's correct name. Trade name is insufficient. If a corporate ending (e.g., corporation, limited partnership, limited liability company) is part of the Debtor's name, it must be included. Do not use words that are not part of the Debtor's name.

1b. **Individual Debtor Name.** "Individual Name" means the name of a natural person; this includes the name of an individual doing business as a sole proprietorship, whether or not operating under a trade name. The term includes the name of a decedent where collateral is being administered by a personal representative of the decedent. The term does not include the name of an entity, even if it contains, as part of the entity's name, the name of an individual. Prefixes (e.g., Mr., Mrs., Ms.) and titles (e.g., M.D.) are generally not part of an individual name. Indications of lineage (e.g., Jr., Sr., III) generally are not part of the individual's name, but may be entered in the Suffix box. Enter individual Debtor's surname (family name) in Individual's Surname box, first personal name in First Personal Name box, and all additional names in Additional Name(s)/Initial(s) box.

If a Debtor's name consists of only a single word, enter that word in Individual's Surname box and leave other boxes blank.

For both organization and individual Debtors, Do not use Debtor's trade name, DBA, AKA, FKA, division name, etc. in place of or combined with Debtor's correct name; filer may add such other names as additional Debtors if desired (but this is neither required nor recommended).

1c. Enter a mailing address for the Debtor named in item 1a or 1b.

2. **Additional Debtor's name.** If an additional Debtor is included, complete item 2, determined and formatted per Instruction 1. For additional Debtors, attach either Addendum (Form UCC1Ad) or Additional Party (Form UCC1AP) and follow Instruction 1 for determining and formatting additional names.

3. **Secured Party's name.** Enter name and mailing address for Secured Party or Assignee who will be the Secured Party of record. For additional Secured Parties, attach either Addendum (Form UCC1Ad) or Additional Party (Form UCC1AP). If there has been a full assignment of the Initial Secured Party's right to be Secured Party of record before filing this form, either (1) enter Assignor Secured Party's name and mailing address in item 3 of this form and file an Amendment (Form UCC3) [see item 5 of that form]; or (2) enter Assignee's name and mailing address in item 3 of this form and, if desired, also attach Addendum (Form UCC1Ad) giving Assignor Secured Party's name and mailing address in item 11.

4. **Collateral.** Use item 4 to indicate the collateral covered by this financing statement. If space in item 4 is insufficient, continue the collateral description in item 12 of the Addendum (Form UCC1Ad) or attach additional page(s) and incorporate by reference in item 12 (e.g., See Exhibit A). Do not include social security numbers or other personally identifiable information.

Note: If this financing statement covers timber to be cut, covers as-extracted collateral, and/or is filed as a fixture filing, attach Addendum (Form UCC1Ad) and complete the required information in items 13, 14, 15, and 16.

5. If collateral is held in a trust or being administered by a decedent's personal representative, check the appropriate box in item 5. If more than one Debtor has an interest in the described collateral and the check box does not apply to the interest of all Debtors, the filer should consider filing a separate Financing Statement (Form UCC1) for each Debtor.

6a. If this financing statement relates to a Public-Finance Transaction, Manufactured-Home Transaction, or a Debtor is a Transmitting Utility, check the appropriate box in item 6a. If a Debtor is a Transmitting Utility and the initial financing statement is filed in connection with a Public-Finance Transaction or Manufactured-Home Transaction, check only that a Debtor is a Transmitting Utility.

6b. If this is an Agricultural Lien (as defined in applicable state's enactment of the Uniform Commercial Code) or if this is not a UCC security interest filing (e.g., a tax lien, judgment lien, etc.), check the appropriate box in item 6b and attach any other items required under other law.

7. **Alternative Designation.** If filer desires (at filer's option) to use the designations lessee and lessor, consignee and consignor, seller and buyer (such as in the case of the sale of a payment intangible, promissory note, account or chattel paper), bailee and bailor, or licensee and licensor instead of Debtor and Secured Party, check the appropriate box in item 7.

8. **Optional Filer Reference Data.** 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 that filer may find useful. Do not include social security numbers or other personally identifiable information.

UCC FINANCING STATEMENT ADDENDUM

FOLLOW INSTRUCTIONS

9. NAME OF FIRST DEBTOR: Same as line 1a or 1b on Financing Statement; if line 1b was left blank because Individual Debtor name did not fit, check here

9a. ORGANIZATION'S NAME	
OR	
9b. INDIVIDUAL'S SURNAME	
FIRST PERSONAL NAME	
ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

10. DEBTOR'S NAME: Provide (10a or 10b) only one additional Debtor name or Debtor name that did not fit in line 1b or 2b of the Financing Statement (Form UCC1) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name) and enter the mailing address in line 10c

10a. ORGANIZATION'S NAME	
OR	
10b. INDIVIDUAL'S SURNAME	
INDIVIDUAL'S FIRST PERSONAL NAME	
INDIVIDUAL'S ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

10c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY
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11. ADDITIONAL SECURED PARTY'S NAME *or* ASSIGNOR SECURED PARTY'S NAME: Provide only one name (11a or 11b)

11a. ORGANIZATION'S NAME	
OR	
11b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME
	ADDITIONAL NAME(S)/INITIAL(S)
	SUFFIX

11c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY
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12. ADDITIONAL SPACE FOR ITEM 4 (Collateral):

<p>13. <input type="checkbox"/> This FINANCING STATEMENT is to be filed [for record] (or recorded) in the REAL ESTATE RECORDS (if applicable)</p> <p>15. Name and address of a RECORD OWNER of real estate described in item 16 (if Debtor does not have a record interest):</p>	<p>14. This FINANCING STATEMENT: <input type="checkbox"/> covers timber to be cut <input type="checkbox"/> covers as-extracted collateral <input type="checkbox"/> is filed as a fixture filing</p> <p>16. Description of real estate:</p>
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17. MISCELLANEOUS:

Instructions for UCC Financing Statement Addendum (Form UCC1Ad)

Please type or laser-print this form. Be sure it is completely legible. Read and follow all Instructions; use of the correct name for the Debtor is crucial. Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

ITEM INSTRUCTIONS

9. **Name of first Debtor.** Enter name of first Debtor exactly as shown in item 1 of Financing Statement (Form UCC1) to which this Addendum relates. The name will not be indexed as a separate debtor. The Debtor name in this section is intended to cross-reference this Addendum with the related Financing Statement (Form UCC1).

If the box in item 1 of the Financing Statement (Form UCC1) was checked because Individual Debtor name did not fit, the box in item 9 of this Addendum should be checked.
10. **Additional Debtor's name.** If this Addendum adds an additional Debtor, complete item 10 in accordance with Instruction 1 of Financing Statement (Form UCC1). For additional Debtors, attach either an additional Addendum or Additional Party (Form UCC1AP) and follow Instruction 1 of Financing Statement (Form UCC1) for determining and formatting additional names.
11. **Additional Secured Party's name or Assignor Secured Party's name.** If this Addendum adds an additional Secured Party, complete item 11 in accordance with Instruction 3 of Financing Statement (Form UCC1). For additional Secured Parties, attach either an additional Addendum or Additional Party (Form UCC1AP) and complete applicable items in accordance with Instruction 3 of Financing Statement (Form UCC1). In the case of a full assignment of the Secured Party's interest before the filing of this financing statement, if filer has provided the name and mailing address of the Assignee in item 3 of Financing Statement (Form UCC1), filer may enter Assignor Secured Party's name and mailing address in item 11.
12. **Additional Collateral Description.** If space in item 4 of Financing Statement (Form UCC1) is insufficient or additional information must be provided, enter additional information in item 12 or attach additional page(s) and incorporate by reference in item 12 (e.g., See Exhibit A). Do not include social security numbers or other personally identifiable information.
- 13-16. **Real Estate Record Information.** If this Financing Statement is to be filed in the real estate records and covers timber to be cut, covers as-extracted collateral, and/or is filed as a fixture filing, complete items 1-4 of the Financing Statement (Form UCC1), check the box in item 13, check the appropriate box in item 14, and complete the required information in items 15 and 16. If the Debtor does not have an interest of record, enter the name and address of the record owner in item 15. Provide a sufficient description of real estate in accordance with the applicable law of the jurisdiction where the real estate is located in item 16. If space in items 15 or 16 is insufficient, attach additional page(s) and incorporate by reference in items 15 or 16 (e.g., See Exhibit A), and continue the real estate record information. Do not include social security numbers or other personally identifiable information.
17. **Miscellaneous.** Under certain circumstances, additional information not provided on the Financing Statement (Form UCC1) may be required. Also, some states have non-uniform requirements. Use this space or attach additional page(s) and incorporate by reference in item 17 (e.g., See Exhibit A) to provide such additional information or to comply with such requirements; otherwise, leave blank. Do not include social security numbers or other personally identifiable information.

UCC FINANCING STATEMENT ADDITIONAL PARTY

FOLLOW INSTRUCTIONS

18. NAME OF FIRST DEBTOR: Same as line 1a or 1b on Financing Statement; if line 1b was left blank because Individual Debtor name did not fit, check here

18a. ORGANIZATION'S NAME	
OR	
18b. INDIVIDUAL'S SURNAME	
FIRST PERSONAL NAME	
ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

19. ADDITIONAL DEBTOR'S NAME: Provide only one Debtor name (19a or 19b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

19a. ORGANIZATION'S NAME				
OR				
19b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
19c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

20. ADDITIONAL DEBTOR'S NAME: Provide only one Debtor name (20a or 20b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

20a. ORGANIZATION'S NAME				
OR				
20b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
20c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

21. ADDITIONAL DEBTOR'S NAME: Provide only one Debtor name (21a or 21b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

21a. ORGANIZATION'S NAME				
OR				
21b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
21c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

22. ADDITIONAL SECURED PARTY'S NAME or ASSIGNOR SECURED PARTY'S NAME: Provide only one name (22a or 22b)

22a. ORGANIZATION'S NAME				
OR				
22b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
22c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

23. ADDITIONAL SECURED PARTY'S NAME or ASSIGNOR SECURED PARTY'S NAME: Provide only one name (23a or 23b)

23a. ORGANIZATION'S NAME				
OR				
23b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX	
23c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

24. MISCELLANEOUS:

Instructions for UCC Financing Statement Additional Party (Form UCC1AP)

Please type or laser-print this form. Be sure it is completely legible. Read and follow all Instructions; use of the correct name for the Debtor is crucial. Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

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

ITEM INSTRUCTIONS

18. **Name of first Debtor.** Enter name of first Debtor exactly as shown in item 1 of Financing Statement (Form UCC1) to which this Additional Party relates. The name will not be indexed as a separate Debtor. If line 1b of the Financing Statement (Form UCC1) was left blank because the Individual Debtor name did not fit, check the box in item 18 and enter as much of the Individual Debtor name from item 10 that will fit. The Debtor name in this section is intended to cross-reference this Additional Party with the related Financing Statement (Form UCC1).
- 19-21. **Additional Debtor's name.** If this Additional Party adds additional Debtors, complete items 19, 20, and 21 in accordance with Instruction 1 of Financing Statement (Form UCC1).
- 22-23. **Additional Secured Party's name or Assignor Secured Party's name.** If this Additional Party form adds additional Secured Parties, complete items 22 and 23 in accordance with Instruction 3 of Financing Statement (Form UCC1). In the case of a full assignment of the Secured Party's interest before the filing of this financing statement, if filer has provided the name and mailing address of the Assignee in item 3 of Financing Statement (Form UCC1), filer may enter Assignor Secured Party's name and mailing address in items 22 and 23.
24. **Miscellaneous.** Under certain circumstances, additional information not provided on the Financing Statement (Form UCC1) may be required. Also, some states have non-uniform requirements. Use this space or attach additional page(s) and incorporate by reference in item 24 (e.g., See Exhibit A) to provide such additional information or to comply with such requirements; otherwise, leave blank. Do not include social security numbers or other personally identifiable information.

UCC FINANCING STATEMENT AMENDMENT

FOLLOW INSTRUCTIONS

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

B. E-MAIL CONTACT AT FILER (optional)

C. SEND ACKNOWLEDGMENT TO: (Name and Address)

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1a. INITIAL FINANCING STATEMENT FILE NUMBER

1b. This FINANCING STATEMENT AMENDMENT is to be filed (for record) (or recorded) in the REAL ESTATE RECORDS
Filer: attach Amendment Addendum (Form UCC3Ad) and provide Debtor's name in item 13

2. **TERMINATION:** Effectiveness of the Financing Statement identified above is terminated with respect to the security interest(s) of Secured Party authorizing this Termination Statement

3. **ASSIGNMENT** (full or partial): Provide name of Assignee in item 7a or 7b, and address of Assignee in item 7c and name of Assignor in item 9
For partial assignment, complete items 7 and 9 and also indicate affected collateral in item 8

4. **CONTINUATION:** Effectiveness of the Financing Statement identified above with respect to the security interest(s) of Secured Party authorizing this Continuation Statement is continued for the additional period provided by applicable law

5. **PARTY INFORMATION CHANGE:**
Check one of these two boxes: Debtor or Secured Party of record
AND Check one of these three boxes to: CHANGE name and/or address: Complete item 6a or 6b, and item 7a or 7b and item 7c ADD name: Complete item 7a or 7b, and item 7c DELETE name: Give record name to be deleted in item 6a or 6b

6. **CURRENT RECORD INFORMATION:** Complete for Party Information Change - provide only one name (6a or 6b)

6a. ORGANIZATION'S NAME

OR

6b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX
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7. **CHANGED OR ADDED INFORMATION:** Complete for Assignment or Party Information Change - provide only one name (7a or 7b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

7a. ORGANIZATION'S NAME

OR

7b. INDIVIDUAL'S SURNAME

INDIVIDUAL'S FIRST PERSONAL NAME

INDIVIDUAL'S ADDITIONAL NAME(S)/INITIAL(S)

SUFFIX

7c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY
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8. **COLLATERAL CHANGE:** Also check one of these four boxes: ADD collateral DELETE collateral RESTATE covered collateral ASSIGN collateral
Indicate collateral:

9. **NAME OF SECURED PARTY OF RECORD AUTHORIZING THIS AMENDMENT:** Provide only one name (9a or 9b) (name of Assignor, if this is an Assignment)
If this is an Amendment authorized by a DEBTOR, check here and provide name of authorizing Debtor

9a. ORGANIZATION'S NAME

OR

9b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX
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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 and follow all Instructions, especially Instruction 1a; correct file number of initial financing statement is crucial.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

Send completed form and any attachments to the filing office, with the required fee.

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 filer desires an acknowledgment sent to them. 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.

Always complete items 1a and 9.

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. If this Amendment is to be filed in the real estate records or in any other filing office where the name of current Debtor is required for indexing purposes, check the box in item 1b and enter Debtor name in item 13 of Amendment Addendum (Form UCC3Ad). Complete item 13 in accordance with instructions on Amendment Addendum (Form UCC3Ad). If Debtor does not have an interest of record, enter the name and address of the record owner in item 16 of Amendment Addendum (Form UCC3Ad).

Note: Show purpose of this Amendment by checking box 2, 3, 4, 5, or 8 (in items 5 and 8 you must check additional boxes); also complete items 6, 7, and/or 8 as appropriate. Some, but not all filing offices accept multiple actions on an Amendment. Filing offices that accept multiple actions may charge an additional fee. Some filing offices that accept multiple actions may only index one of the actions requested. Consult the administrative rules of the designated filing office to determine the extent to which multiple actions will be accepted, indexed, and the applicable filing fees for multiple actions.

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

3. **Assignment.** To assign (1) some or all of Assignor's right to amend the identified financing statement, or (2) the Assignor's right to amend the identified financing statement with respect to some (but not all) of the collateral covered by the identified financing statement: Check box in item 3 and enter name of Assignee in item 7a or 7b; always enter the Assignee's mailing address in item 7c. Also enter name of Assignor in item 9. If assignment affects the right to amend the financing statement with respect to some (but not all) of the collateral covered by the identified financing statement, check the ASSIGN collateral box and indicate the particular collateral covered in item 8.

4. **Continuation.** To continue the effectiveness of the identified financing statement with respect to the security interest(s) of authorizing Secured Party, check box in item 4. See Instruction 9 below.

5-7. **Party Information Change.** To indicate a party information change, check this box; also check additional boxes (as applicable) and complete items 5, 6, and/or 7 as appropriate.

To change the name and/or address of a party (items 5, 6, and 7): Check box in item 5 to indicate whether this Amendment relates to a Debtor or Secured Party of record; and check the CHANGE name and/or mailing address box in item 5 and enter name of affected party (current record name) in item 6a or 6b; and repeat or enter the new name in item 7a or 7b; always enter the party's mailing address in item 7c.

To add a party (items 5 and 7): Check box in item 5 to indicate whether this Amendment relates to a Debtor or Secured Party of record; and check the ADD name box in item 5 and enter the added party's name in item 7a or 7b; always enter the party's mailing address in item 7c. For additional Debtors or Secured Parties, attach Amendment Additional Party (Form UCC3AP), using correct name format.

To delete a party (items 5 and 6): Check box in item 5 to indicate whether this Amendment relates to a Debtor or Secured Party of record; and check the DELETE name box in item 5 and enter the deleted party's name in item 6a or 6b.

8. **Collateral Change.** To indicate a collateral change, check this box; also check additional box (as applicable) and describe the change in item 8. If space in item 8 is insufficient, continue collateral description in item 14 of Amendment Addendum (Form UCC3Ad). Do not include social security numbers or other personally identifiable information.

To add collateral: Check the ADD collateral box in item 8 and indicate the additional collateral.

To delete collateral: Check the DELETE collateral box in item 8 and indicate the deleted collateral. A partial release is a DELETE collateral change.

To restate covered collateral description: Check the RESTATE covered collateral box in item 8 and indicate the restated collateral.

To assign the right to amend the financing statement with respect to part (but not all) of the collateral covered by the identified financing statement: Comply with Instruction 3 above and check the ASSIGN collateral box in item 8.

If, due to a full release of collateral, filer no longer claims a security interest under the identified financing statement, check box in item 2 (Termination) and not a box in item 8 (Collateral Change).

9. **Name of Authorizing Party.** Enter name of party of record authorizing this Amendment. In most cases, the authorizing party is the Secured Party of record. If this is an Amendment (Assignment), enter Assignor's name in item 9a or 9b. If this is an Amendment (Termination) authorized by a Debtor, check the box in item 9 and enter the name of the Debtor authorizing this Amendment in item 9a or 9b. If this Amendment (Termination) is to be filed or recorded in the real estate records, also enter, in item 12 of Amendment Addendum (Form UCC3Ad), the name of Secured Party of record. If there is more than one authorizing Secured Party or Debtor, enter additional name(s) in item 14 of Amendment Addendum (Form UCC3Ad).

10. **Optional Filer Reference Data.** 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 that filer may find useful. Do not include social security numbers or other personally identifiable information.

UCC FINANCING STATEMENT AMENDMENT ADDENDUM
 FOLLOW INSTRUCTIONS

11. INITIAL FINANCING STATEMENT FILE NUMBER: Same as item 1a on Amendment form

12. NAME OF PARTY AUTHORIZING THIS AMENDMENT: Same as item 9 on Amendment form

OR	12a. ORGANIZATION'S NAME	
	12b. INDIVIDUAL'S SURNAME	
	FIRST PERSONAL NAME	
	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

13. Name of DEBTOR on related financing statement (Name of a current Debtor of record required for indexing purposes only in some filing offices - see Instruction item 13): Provide only one Debtor name (13a or 13b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); see Instructions if name does not fit

OR	13a. ORGANIZATION'S NAME			
	13b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

14. ADDITIONAL SPACE FOR ITEM 8 (Collateral):

<p>15. This FINANCING STATEMENT AMENDMENT:</p> <p><input type="checkbox"/> covers timber to be cut <input type="checkbox"/> covers as-extracted collateral <input type="checkbox"/> is filed as a fixture filing</p> <p>16. Name and address of a RECORD OWNER of real estate described in item 17 (if Debtor does not have a record interest):</p>	<p>17. Description of real estate:</p>
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18. MISCELLANEOUS:

Instructions for UCC Financing Statement Amendment Addendum (Form UCC3Ad)

Please type or laser-print this form. Be sure it is completely legible. Read and follow all instructions; use of the correct name for the Debtor is crucial. Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

ITEM INSTRUCTIONS

11. **File Number.** Enter file number of initial financing statement as shown in item 1a of Amendment (Form UCC3) to which this Amendment Addendum relates.
12. **Name of Authorizing Party.** Enter information exactly as shown in item 9 on Amendment (Form UCC3).
13. **Name of Debtor on related Financing Statement.** If this Amendment (Form UCC3) is to be filed in the real estate records or in any other filing office where the name of a current Debtor of record is required for indexing purposes, enter Debtor name in item 13a or 13b. Item 13 is intended to cross-reference the Amendment (Form UCC3) and Amendment Addendum with the related Financing Statement (Form UCC1). If more than one current Debtor, enter additional name(s) in item 14 or on additional Amendment Addendum (Form UCC3Ad). Do not use item 13 to change, add, or delete a Debtor name.
14. **Additional Space for Item 8 (Collateral).** If space in item 8 of Amendment (Form UCC3) is insufficient or additional information must be provided, enter additional information in item 14 or attach additional page(s) and incorporate by reference in item 14 (e.g., See Exhibit A). Do not include social security numbers or other personally identifiable information.
- 15-17. **Real Estate Record Information.** If this Amendment (Form UCC3) is to be filed in the real estate records, complete the required information (items 15, 16, and 17). If this Amendment (Form UCC3) covers timber to be cut, covers as-extracted collateral, and/or is filed as a fixture filing, check appropriate box in item 15. If the Debtor does not have an interest of record, enter the name and address of the record owner in item 16. Provide a sufficient description of real estate in accordance with the applicable law of the jurisdiction where the real estate is located in item 17. If space in items 16 or 17 is insufficient, attach additional page(s) and incorporate by reference in items 16 or 17 (e.g., See Exhibit A), and continue the real estate information. Do not include social security numbers or other personally identifiable information.
18. **Miscellaneous.** Under certain circumstances, additional information not provided on the Financing Statement Amendment (Form UCC3) may be required. Also, some states have non-uniform requirements. Use this space or attach additional page(s) and incorporate by reference in item 18 (e.g., See Exhibit A) to provide such additional information or to comply with such requirements; otherwise, leave blank. Do not include social security numbers or other personally identifiable information.

UCC FINANCING STATEMENT AMENDMENT ADDITIONAL PARTY

FOLLOW INSTRUCTIONS

19. INITIAL FINANCING STATEMENT FILE NUMBER: Same as item 1a on Amendment form

20. NAME OF PARTY AUTHORIZING THIS AMENDMENT: Same as item 9 on Amendment form

20a. ORGANIZATION'S NAME	
OR	
20b. INDIVIDUAL'S SURNAME	
FIRST PERSONAL NAME	
ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

21. ADDITIONAL DEBTOR'S NAME: Provide only one Debtor name (21a or 21b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

21a. ORGANIZATION'S NAME			
OR			
21b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX
21c. MAILING ADDRESS	CITY	STATE	POSTAL CODE
			COUNTRY

22. ADDITIONAL DEBTOR'S NAME: Provide only one Debtor name (22a or 22b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

22a. ORGANIZATION'S NAME			
OR			
22b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX
22c. MAILING ADDRESS	CITY	STATE	POSTAL CODE
			COUNTRY

23. ADDITIONAL DEBTOR'S NAME: Provide only one Debtor name (23a or 23b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

23a. ORGANIZATION'S NAME			
OR			
23b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX
23c. MAILING ADDRESS	CITY	STATE	POSTAL CODE
			COUNTRY

24. ADDITIONAL SECURED PARTY'S NAME or ASSIGNOR SECURED PARTY'S NAME: Provide only one name (24a or 24b)

24a. ORGANIZATION'S NAME			
OR			
24b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX
24c. MAILING ADDRESS	CITY	STATE	POSTAL CODE
			COUNTRY

25. ADDITIONAL SECURED PARTY'S NAME or ASSIGNOR SECURED PARTY'S NAME: Provide only one name (25a or 25b)

25a. ORGANIZATION'S NAME			
OR			
25b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX
25c. MAILING ADDRESS	CITY	STATE	POSTAL CODE
			COUNTRY

26. MISCELLANEOUS:

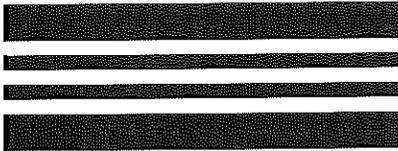
Instructions for UCC Financing Statement Amendment Additional Party (Form UCC3AP)

Please type or laser-print this form. Be sure it is completely legible. Read and follow all Instructions; use of the correct name for the Debtor is crucial. Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

Use this form (multiple copies if needed) to continue adding additional Debtor or Secured Party names as needed when filing a UCC Financing Statement Amendment (Form UCC3).

ITEM INSTRUCTIONS

19. **File Number.** Enter file number of initial financing statement as shown in item 1a of Amendment (Form UCC3) to which this Amendment Addendum relates.
20. **Name of Authorizing Party.** Enter information exactly as shown in Item 9 on Amendment (Form UCC3).
- 21-23. **Additional Debtor's name.** If this Amendment Additional Party adds additional Debtors, complete items 21, 22, and 23 in accordance with Instruction 1 of Financing Statement (Form UCC1).
- 24-25. **Additional Secured Party's name or Assignor Secured Party's name.** If this Amendment Additional Party adds additional Secured Parties, complete items 24 and 25 in accordance with Instruction 3 of Financing Statement (Form UCC1). In the case of an assignment of the Secured Party's interest, filer may enter Secured Party and/or Assignor Secured Party's name and mailing address information in items 24 and 25.
26. **Miscellaneous.** Under certain circumstances, additional information not provided on the Financing Statement Amendment (Form UCC3) may be required. Also, some states have non-uniform requirements. Use this space or attach additional page(s) and incorporate by reference in item 26 (e.g., See Exhibit A) to provide such additional information or to comply with such requirements; otherwise, leave blank. Do not include social security numbers or other personally identifiable information.



CAUTION:
This is not an
amendment.

INFORMATION STATEMENT

FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT FILER (optional)
B. E-MAIL CONTACT AT FILER (optional)
C. SEND ACKNOWLEDGMENT TO: (Name and Address)

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. Identification of the RECORD to which this INFORMATION STATEMENT relates	
1a. INITIAL FINANCING STATEMENT FILE NUMBER	1b. RECORD INFORMATION TO WHICH THIS INFORMATION STATEMENT RELATES

2. Check one of these three boxes to indicate the claim made by this INFORMATION STATEMENT

2a. RECORD IS INACCURATE. Enter in item 3 the basis for the belief by the Debtor of Record identified in item 5 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. Enter in item 3 the basis for the belief by the Debtor of Record identified in item 5 that the RECORD identified in item 1 was wrongfully filed

2c. RECORD FILED BY PERSON NOT ENTITLED TO DO SO. Enter in item 3 the basis for the belief by the Secured Party of Record that the person that filed the RECORD identified in item 1 was not entitled to do so under UCC Section 9-509

3. Basis for claim of box checked in item 2

4. If this INFORMATION STATEMENT relates to a RECORD filed [or recorded] in a filing office described in Section 9-501(a)(1) and this INFORMATION STATEMENT 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]

4a. DATE	4b. TIME

5. NAME of PERSON filing this INFORMATION STATEMENT

5a. ORGANIZATION'S NAME

OR

5b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

Instructions for Information Statement (Form UCC5)

Please type or laser-print this form. Be sure it is completely legible. Read and follow all instructions, especially instructions 1a and 1b; correct identification of the initial record to which this Information Statement relates is crucial.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

Send completed form and any attachments to the filing office, with the required fee.

Note: A person may file an Information Statement with respect to a record indexed under that person's name if the person believes the record was inaccurate or wrongfully filed, or a person may file an Information Statement with respect to a record if the person is a Secured Party of Record with respect to the financing statement to which the record relates and believes that the person that filed the record was not entitled to do so.

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 filer desires an acknowledgment sent to them. 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.

Always complete items 1 and 5 and either 2a or 2b or 2c. Always complete item 3 with the basis for the box marked in item 2. You may also be required to complete item 4.

- 1a. **File number:** Enter file number of initial financing statement to which the record that is the object of this Information Statement relates. Enter only one file number.
- 1b. Enter record information to which this Information Statement relates. Indicate the type of record to which this Information Statement 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. **Record is inaccurate.** If this Information Statement is filed based upon the belief of the Debtor of Record that the record identified in item 1 is inaccurate, check box in item 2a, provide the basis for that belief in item 3, and indicate the manner in which the record should be amended to cure the inaccuracy.
- 2b. **Record was wrongfully filed.** If this Information Statement is filed based upon the belief of the Debtor of Record that the record identified in item 1 was wrongfully filed, check box in item 2b and provide the basis for that belief in item 3.
- 2c. **Record filed by person not entitled to do so.** If this Information Statement is filed based upon the belief of the Secured Party of Record that the person that filed the record identified in item 1b was not entitled to do so under Section 9-509, check box in item 2c and provide the basis for that belief in item 3.
3. **Basis.** Use this item to provide the basis for the box checked in item 2.
4. **Filing office date and time.** If this Information Statement relates to a record filed [or recorded] in a filing office described in Section 9-501(a)(1) and this Information Statement 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].
5. **Name of Authorizing Party.** Enter name of the person filing this Information Statement. This name must be the same name as a Secured Party of Record or the name under which the record is indexed.

INFORMATION REQUEST

FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT FILER (optional)	FILING OFFICE ACCT #
B. E-MAIL CONTACT AT FILER (optional)	
C. RETURN TO: (Name and Address)	
<div style="border: 1px solid black; width: 100%; height: 100%; position: relative;"> } } </div>	

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR'S NAME to be searched: Provide only one Debtor name (1a or 1b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name)

1a. ORGANIZATION'S NAME _____

OR

1b. INDIVIDUAL'S SURNAME _____

INDIVIDUAL'S FIRST PERSONAL NAME _____

INDIVIDUAL'S ADDITIONAL NAME(S)/INITIAL(S) _____ SUFFIX _____

2. INFORMATION OPTIONS relating to UCC filings and other notices on file in the filing office that include the Debtor 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.) UNLAPSED

2b. COPY REQUEST CERTIFIED (Optional)
 Select one of the following two options: ALL UNLAPSED

2c. SPECIFIED COPIES ONLY CERTIFIED (Optional)

Record Number	Date Record Filed (if required)	Type of Record and Additional Identifying Information (if required)

3. ADDITIONAL SERVICES:

3a. EFS (Farm Product Filings)
 Please furnish a report listing all presently active EFS Filings, related subsequent filings, and other notices showing the date and time of filing and the name and address of each Secured Party named therein.

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

4a. Pick Up

4b. Other _____

Specify 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.)

International Association of Commercial Administrators (IACA)

Instructions for Information Request (Form UCC11)

Please type or laser-print this form. Be sure it is completely legible. Read and follow all Instructions, especially Instruction 1; use of the correct name for the Debtor is crucial.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice.

Send completed form parts 1 and 2 (labeled Filing Office Copy (1) and (2)) to the filing office, with the required fee.

Filing office may offer additional information options. Contact filing office or use form specially designed by filing office to obtain additional information options.

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. Provide name and address of requestor in Item C. This item is NOT optional.

1. **Debtor's name.** Enter only one Debtor name in item 1 -- either an organization's name (1a) or an individual's name (1b). Enter Debtor's correct name. Do not abbreviate words that are not already abbreviated in the Debtor's name.
 - 1a. **Organization Debtor Name.** "Organization Name" means the name of an entity that is not a natural person. A sole proprietorship is not an organization, even if the individual proprietor does business under a trade name. If Debtor is a registered organization (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Debtor's current filed public organic records to determine Debtor's correct name. Trade name is insufficient. If a corporate ending (e.g., corporation, limited partnership, limited liability company) is part of the Debtor's name, it must be included. Do not use words that are not part of the Debtor's name.
 - 1b. **Individual Debtor Name.** "Individual Name" means the name of a natural person; this includes the name of an individual doing business as a sole proprietorship, whether or not operating under a trade name. The term includes the name of a decedent where collateral is being administered by a personal representative of the decedent. The term does not include the name of an entity, even if it contains, as part of the entity's name, the name of an individual. Prefixes (e.g., Mr., Mrs., Ms.) and titles (e.g., M.D.) are generally not part of an individual name. Indications of lineage (e.g., Jr., Sr., III) generally are not part of the individual's name, but may be entered in the Suffix box. Enter individual Debtor's surname (family name) in Individual's Surname box, first personal name in First Personal Name box, and all additional names in Additional Name(s)/Initial(s) box.

If a Debtor's name consists of only a single word, enter that word in Individual's Surname box and leave other boxes blank.

For both organization and individual Debtors. Do not use Debtor's trade name, DBA, AKA, FKA, division name, etc. in place of or combined with Debtor's correct name; filer may add such other names as additional Debtors if desired (but this is neither required nor recommended).

2. **Information Options.** 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. **Additional Services.** 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.
 - 3a. In Nebraska, the UCC 11 Information Request form may be used to search EFS filings under Neb. Rev. Stat. Sec. 52-1301 et. seq. The cost for an EFS filings search is \$4.50
 4. **Delivery Instructions.** Unless otherwise instructed, filing office will mail information to the name and address in item C. Contact filing office concerning availability of other delivery options. Check appropriate box (4a or 4b) if optional services are available from the filing office and are being requested.
 - 4a. If information is to be picked up from the filing office, check the "Pick Up" box.
 - 4b. For other than mail or pick up, check the "Other" box and specify the other delivery method that is being requested. 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.

Attachment to UCC Financing Statement for Statutory Agricultural Liens

Print or Type Debtor's Name

Check type of Lien claimed (check one box only):

Agister's Feed Artisan's Fertilizer/
Ag Chemical Petroleum Seed,
Electrical/Energy Thresher's Veterinarian's

Instructions: Please read each of the following sections carefully to see if it is applicable to your lien claim. If a section is pertinent, provide the necessary information on the blanks provided. If the section doesn't apply, then leave blank.

- 1) The amount due for: (**Agister's**) feeding & keeping livestock; (**Feed**) amount due or reasonable value for feed or feed ingredients and related costs; (**Artisan's**) (**Thresher's**) for work done or material furnished; (**Fertilizer/Ag Chemical**) product, machinery or equipment furnished or work or labor done; (**Petroleum**) fuel or lubricant & application of such fuel/lubricant; (**Seed, Electrical/Energy**) contract price or reasonable value of the seed or electrical power or energy; (**Veterinarian's**) amount of services or medicines or biologics used:

- 2) A description of the livestock and the place where such livestock are located (**Agister's**) (**Feed**) (**Veterinarian's**):

- 3) Legal Description of the land upon which crops are to be planted, growing, or grown or place where grain, seed, or corn is located (optional on all except thresher's liens) (**Fertilizer/Ag Chemical**) (**Seed, Electrical/Energy**) (**Petroleum**) (**Thresher's**):

- 4) A description of the work done, material furnished & a description of the article so made, repaired, altered or enhanced in value of for which material was furnished or upon which such work was performed (**Artisan's**):

- 5) The last date on which services or goods furnished (**Feed**) (**Fertilizer/Ag Chemical**) (**Seed, Electrical/Energy**) (**Thresher's**) (**Veterinarian's**):

Month

Day

Year

Approved by the Secretary of State (07/01/01)

GENERAL INFORMATION

For specific legal rights and obligations seek legal counsel.

Please note: This attachment cannot be used for Agricultural Production Input (API) Liens.
Please use the Agricultural Production Input Lien Notification Statement (API form)
as the attachment to the UCC Financing Statement for API filings.

A COPY OF THE FINANCING STATEMENT WITH THIS ATTACHMENT MUST BE SENT TO THE DEBTOR UPON FILING THE ORIGINAL WITH THE SECRETARY OF STATE

FERTILIZER AND AGRICULTURAL CHEMICAL LIEN

- * A lien upon the crops produced within one (1) year where the fertilizer/ag chemical is applied and labor performed and upon proceeds from the sale of the crops.
 - **Time for Filing** – within sixty (60) days of the last date fertilizer/ag chemical furnished and/or labor performed.

SEED LIEN OR ELECTRICAL POWER/ENERGY LIEN

- * Lien upon all crops produced from the seed furnished.
 - **Time for Filing** – within sixty (60) days of the last date the seed was furnished.

PETROLEUM PRODUCTS LIEN

- * Lien upon the crops produced and owned by the person to whom fuel or lubricant is furnished.
 - **Time for Filing** – within six (6) months of furnishing fuel/lubricant.
 - **Foreclosure** – must be commenced within ninety (90) days after the filing of the lien.

FEED LIEN

- * Lien upon livestock for the feed or feed ingredients and related costs, such as delivery costs.
 - **Time for Filing** – filed while location of livestock consuming feed can be determined and livestock is in the possession of person who contracted to purchase feed or feed ingredients.

AGISTER'S LIEN

- * Lien upon livestock for the feed and care provided.
 - **Time for Filing** – prior to removal of the livestock from the premises of the person providing feed and care.

ARTISAN'S LIEN

- * Lien upon vehicle, machinery, farm implement or tool at the request or with consent of owner when taken to place of business for repair work or material furnished.
 - **Time for Filing** – within sixty (60) days of performing work or furnishing material.
 - **Foreclosure** – foreclosure within one (1) year of filing.

VETERINARIAN'S LIEN

- * Lien upon livestock by licensed veterinarian for any services, medicines, or biologics furnished.
 - **Time for Filing** – within ninety (90) days of furnishing services and any medicines/biologics.

THRESHER'S LIEN

- * Lien upon grain, seed, or corn for threshing, combining, hauling, picking, husking, or shelling by machine.
 - **Time for Filing** – within thirty (30) days after threshing, combining, hauling, picking, husking, or shelling.
 - **Foreclosure** – foreclosure within thirty (30) days of filing.

TERMINATION OF FINANCING STATEMENT WITH ATTACHMENT – when the lien is satisfied, a UCC **Financing Statement Amendment** with appropriate information and termination box checked must be filed within thirty (30) days with the Secretary of State.

API

NEBRASKA AGRICULTURAL PRODUCTION INPUT LIEN NOTIFICATION STATEMENT

For Filing Office Use Only

This Statement must be typed or printed. Illegible Statements will be returned without filing.
This form to be filed with the NE Secretary of State beginning July 1, 1999.

1. DEBTOR -- If Individual			2. DEBTOR -- If Entity		
Name (Last, First, Middle Initial)			Name		
Residential Address			Address		
City	State	Zip Code	City	State	Zip Code
Soc. Sec. No. or Fed. Tax I.D. No.			Soc. Sec. No. or Fed. Tax I.D. No.		
3. ADDITIONAL DEBTOR		4. SUPPLIER (Secured Party)		5. LENDER (Attach additional)	
Name		Name		Name	
Address		Address		Address	
City	State	Zip Code	City	State	Zip Code
Soc. Sec. No. or Fed. Tax I.D. No.		Soc. Sec. No. or Fed. Tax I.D. No.		Soc. Sec. No. or Fed. Tax I.D. No.	
6. This Notification Statement Covers the following described agricultural input and all products or proceeds of the crops or livestock covered by the lien.					7. Date(s) of Transaction
_____					_____
_____					_____
_____					_____
9. Crop Lien			10. Livestock Lien		8. Retail Cost or Anticipated Costs of the Agricultural Input
Owner (If individual, list LN, FN, MI)			Owner (If individual, list LN, FN, MI)		\$ _____
Owner (Residential) Address			Owner (Residential) Address		11. Signature of Debtor(s) below
City	State	Zip Code	City	State	
Description of Real Estate for Crops			Location and Description of Livestock		12. Signature of Supplier(s) below
_____			_____		
_____			_____		By _____
_____			_____		

NOTICE TO LENDER:

You are hereby notified of the above described Agricultural Production Input Lien. You have 15 calendar days from the date of receipt of this notice in which to respond with either a letter of commitment for part or all of the amount in this lien notification statement or a written refusal to issue a letter of commitment.

If the letter of commitment is for only part of the amount or a written refusal to issue a letter of commitment, then a copy of the partial commitment or written refusal shall be sent to the person to whom the ag production input was furnished or is to be furnished. If you respond in any manner described in said time, your rights under any prior perfected lien under the Uniform Commercial Code shall retain its priority. If you do not respond to the supplier within 15 calendar days, an Agricultural Production Input Lien corresponding to this lien notification statement has priority over any security interest statement you might have in livestock and in the crops or their proceeds for the lesser of (1) the amount stated in the lien notification statement; or (2) the unpaid retail cost of the agricultural production input identified in the lien notification statement.

INSTRUCTIONS

If a response is not received from the lender within 15 calendar days, this statement is then to be filed with the Secretary of State within 3 months after the last date that the agricultural production input was furnished. If the space provided for any items on this form is inadequate, the item(s) may be continued on additional 8 1/2 inch by 11 inch sheets of paper.

When the form is completed and signed you should remove the second page and send it to the lender by certified mail or another verifiable method. If there are multiple lenders you should photocopy that page and mail it to all of them. Mark the envelope "IMPORTANT - LEGAL NOTICE".

In order to perfect the agricultural production input lien, the lien must attach and the supplier entitled to the lien must file the lien notification statement with the Secretary of State - UCC Division, P O Box 95104, Lincoln, NE 68509. Lienholder will receive an acknowledgment from the Secretary of State.

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