

**STATE OF MAINE**  
**DIVISION OF CORPORATIONS AND UCC**  
**UNIFORM COMMERCIAL CODE**  
**FILING GUIDELINES: UCC FINANCING STATEMENT**

**Availability of Forms**

UCC-1 forms are available on our website at: [www.state.me.us/sos/cec/corp/ucc.htm](http://www.state.me.us/sos/cec/corp/ucc.htm) in Adobe PDF fillable format.

**Completion of Forms**

All UCC-1 filings must be submitted on the appropriate form. As of July 1, 2001, we will accept only the National Form or a form that complies with the formatting requirements in Title 11, Section 9-1521. Laser generated forms are acceptable as long as they are the same size (8½ x 11) and have the same format.

In order to receive an acknowledgment of your filing, you must:

1. Complete items A & B on the National Form, and
2. Provide two copies of your filing.

If you have provided our office with "postage paid envelopes" in the past, please do not submit them with your filings.

**Organization Name**

The organization name in Item 1a and/or 2a must be the exact full legal name. If the name presented for filing is not the debtor's exact full legal name, the name may be seriously misleading and effectiveness of the filing may be adversely impacted. In order for the name to be found, a searcher must be able to find the name using the standard search logic as defined by filing office rule. (See rule chapter 401, Section 5) You are required to complete Items 1e, 1f and 1g for registered organizations. Failure to complete Items 1e, 1f and 1g will result in the refusal to accept the document.

If the organization is a registered organization (corporation, limited partnership, limited liability company or limited liability partnership), you must determine the jurisdiction of the organization. For a Maine registered organization, please use our Interactive Corporate Service at [SOSOnline.org](http://SOSOnline.org) to verify the exact legal name of the registered organization as well as to obtain the information required in Items 1e, 1f and 1g.

In Maine, the only non-registered organization is a general partnership and, therefore, the information in Items 1e and 1f are not required. However, you must check "None" in Item 1g.

The use of Social Security Numbers or Employer Identification Numbers for all organization debtor(s), in Item 1d, is only required for Agricultural Liens (e.g. Food Security Act) filings.

**Individual Debtor Name**

The Debtor information contained in Item 1b and/or 2b may consist of an individual. Prefixes (e.g. Mr., Mrs., and Ms.) and titles or other suffixes (e.g. M.D. and PHD) are not acceptable. Use suffix box only for titles of lineage (e.g. Jr., Sr., III). The use of Social Security Numbers for all individual debtor(s), in Item 1d, is only required for Agricultural Liens (e.g. Food Security Act) filings.

As with an organization debtor, you must also determine the location of the individual debtor. If the debtor is a Maine resident, the financing statement should be filed in Maine.

### **For Both Organization and Individual Debtors**

Use of a debtor's trade name, DBA, AKA, FKA, Division name, etc. in place of or combined with debtor's legal name may make the debtor's name seriously misleading. If you have two debtor names, use Items 1 and/or 2 for each debtor name. Please do not insert both debtors' names in 1 and 2. (John Smith would be listed as an individual in Item 1b and Smith's Coffee Shop would be listed as an organization in Item 2a). Please be sure to use the appropriate boxes for organization name, individual's last name, first name etc.

If you have more than two debtor names, you must attach the UCC Financing Statement Addendum, Form UCC1Ad for each additional debtor.

### **Secured Party Name or Total Assignee Name**

Enter the information for the secured party or total assignee following the instructions for completing the debtor name. If there has been a total assignment of the secured party's interest prior to filing this form, it is recommended to complete the form using only the assignee's name. For further options, please refer to Item 3 on the instructions for completing form UCC-1.

### **Collateral**

Item 4 is for the listing of collateral only. Any other information that is provided in Item 4 will not be keyed into the filing office database. For example, if you list the name and address of an assignee in this box, the information will not be keyed into the filing office database. Information that is not keyed into the filing office database is not retrievable in a UCC search.

### **Signatures**

Effective July 1, 2001 Revised Article 9 eliminates the requirement for any signatures.

### **Request for Search Report**

The use of Box 7 to request a search report will not be honored in the State of Maine.

### **Legibility of Forms**

Forms should be typed to reduce the possibility of error. Illegible or indecipherable forms will be rejected.

**SUBMIT COMPLETED FORMS TO: UCC FILING SECTION, SECRETARY OF STATE,  
101 STATE HOUSE STATION, AUGUSTA, ME 04333-0101  
TEL: (207) 624-7760**