UCC XML API
Implementation Guide

tecuity™

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1 Introduction

This document is intended to clarify the function, structure and usage of the Uniform Commercial Code (UCC) eXtensible Markup Language (XML) Interface, by using Representational State Transfer (REST) Web Services.

This guide provides instruction on how to initiate an XML transaction, the options available, as well as essential information required to initiate XML transactions. Finally, this document provides the technical information necessary for a customer to implement XML transactions within his or her own technical environment.

2 Who Should Use This Guide?

This document is intended to serve as an implementation guide for business and technical people who intend to file UCC documents electronically/remotely.

The document can be used by technical implementers that need to know how to implement and integrate DOS UCC XML interface in their environment.

3 What is XML?

XML is an eXtensible Markup Language derived from the Standard Generalized Markup Language (SGML). Among its many purposes, XML is designed to make it easy to share and transmit documents across the Web. XML and SGML are text-based formats that are easy to read and edit using standard text-editing tools. XML is commonly referred to as an extensible, platform-independent, and fully Unicode compliant language. It is called extensible because it is not a fixed format like HyperText Markup Language (HTML). XML is not tied to any programming language, operating system, or software vendor. It is actually a 'metalanguage' (a language for describing other languages) that lets you design your own customized markup languages for different types of documents.

4 File Guidelines

4.1 File Size

The payload size cannot exceed 10 MB.

4.2 Reserved Characters

There are five special characters that are reserved and cannot be used directly in XML element or attribute data. They must be replaced with what is called as XML Entity References. These special characters act as flags to the parser; they delimit the actual content of the document and tell the parser to take specific actions. In order to prevent misinterpretation by the parser, if these special characters are used, they must be represented using the Entity References shown in the following table.

Reserved Character	Entity Reference	Character Name
&	&	Ampersand
‘	'	Apostrophe
“	"	Quote
<	<	Less Than
>	>	Greater Than

For example, the debtor name of Crate & Barrel would be represented as:

<OrganizationName>Crate & Barrel</OrganizationName>

Customers should account for the conversion of reserved characters into equivalent Entity References when determining OrganizationName length. If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may exceed the 300-character limit after conversion of reserved characters.

4.3 HTTP Post Limitation

- There is a maximum of 10 MB.

4.4 Texts and Characters

- The xmlData needs to be HTML encoded to encode characters that may interfere with the HTTP (see Section 4.2).
- The text must conform to the 8-bit Unicode Transformation Format (UTF8) text format and special characters must either be converted or removed.

5 Setting Up Your Interface Integration

5.1 Onboarding

Customers need to have a web account and know the username and password for the use with this interface. They will need to contact the DOS to have that web account marked as an XML Filer. Customers will then need to set up a prepaid account linked to that web account and then add funds. The Uniform Resource Locator (URL) for the API will also be provided at that time.

5.2 Testing an XML Transaction

It is recommended that customers test their automated exchange applications prior to submitting documents in production using XML. A testing environment will be provided to allow customers to test their transactions to help ensure compliance with applicable standards established by the DOS and to facilitate a successful file transfer process.

5.3 Testing

Once API Access is confirmed, testing can begin.

1) What to Test
    a. The table below outlines the scenarios in the XML API implementation guide and those tested during System Integration Test (SIT). Customers are encouraged to create with their own scenarios that align with typical day-to-day activities.

#	Scenario
1	Verify XML API access
2	Verify submitting a document
3	Verify the status of a document
4	Retrieve a pdf document
5	Retrieve an XML document

2) Reach out to UCC Support Center, for any questions.

5.4 Setting up XML in Production

To use XML in production, the following is required:

- A Web User Profile in Production enabled for XML
- A pre-funded customer account

Payment for XML filings must be made via a pre-funded customer account. Please contact the UCC Support Center for more information.

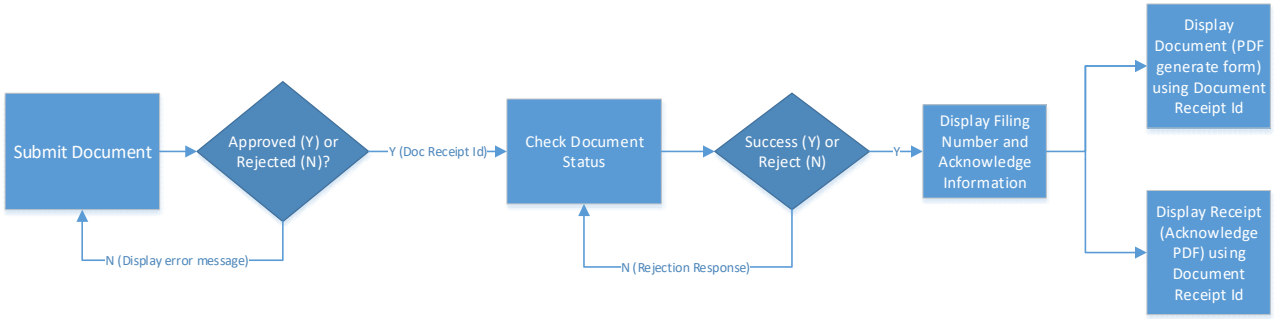
5.5 Prerequisites

The steps below must be completed as a prerequisite to participating in the UCC XML API UAT.

1) Read The Department of State's UCC XML API Implementation Guide.
    a. This guide provides instruction on how to initiate an XML transaction, the options available, as well as essential information required to initiate XML transactions. Finally, this document provides the technical information necessary for a customer to implement XML transactions within his or her own technical environment.
2) Subscribe/self-register to the system.
    a. Record your Web User Profile "User-Name" and "Password" for API XML submissions.

6 Using UCC XML API

6.1 XML API Overview



6.2 Submitting a Document

A document must first be submitted to the Department of State's UCC system via a secured HTTP POST to https://<baseURL>/FilingAsync. **See Appendix K for <baseURL>** Upon successful submission, a DocumentReceiptID will be returned in the response XML with a Status of "Received". All API calls will return an HTTP Status code listed below. The details of the submission are part of the XML response.

Note: *Your web site is made up a series of web pages. Each web page has a full Uniform Resource Locator (URL) something like http://www.your.com/intro.htm. Your web page URLs will usually start with the same set of letters, eg http://www.your.com/ in this case. This common prefix is what we call your Base URL.*

The following variables are required for submission:

Required Variables	Type	Description
User-Name	String	Web User Account Username.
Password	String	The password used to log into your account on the website.
xmlData	String	The XML of the UCC filing being submitted. See *Appendix A – XML Sample of UCC 1* for XMLData sample filings.

The following HTTP Status Codes will be returned for this API call:

HTTP Status Code	Explanation

200 (Ok)	The xmlData was valid and is in the queue for processing.
401 (Unauthorized)	Invalid User-Name or Password provided, or keys not found in request headers.
400 (BadRequest)	No xmlData submitted or submission failed.
500 (InternalServerError)	Unknown server error has occurred.

C# Code Sample:

```
private static string SubmitFiling(string username, string password, string _xmlData)
{
  var client = new HttpClient { BaseAddress = new Uri(_url) };
  client.DefaultRequestHeaders.Add("User-Name", username);
  client.DefaultRequestHeaders.Add("Password", password);

  var obj = new StringContent(_xmlData, Encoding.UTF8, "application/xml");
  System.Net.ServicePointManager.Expect100Continue = false;

  var response = client.PostAsync(_subUrl + "FilingAsync", obj).Result;
  byte[] data = response.Content.ReadAsByteArrayAsync().Result;
  string value = Encoding.ASCII.GetString(data);

  _httpStatusCode = response.StatusCode;
  return value;
}
```

Response - Ok (200):

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <XMLVersion info="1.07"/>
  <Header>
    <Date>12/20/2013 11:26:49 AM</Date>
    <PacketNum>5</PacketNum>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>
    <OptionalFilerReference>A-UCC1.xml</ OptionalFilerReference >
    <Status value="Received">Submission has been received and is in queue for processing at the
    DOS Office </Status>
    <StatusDate>12/20/2013 11:32:22 AM</StatusDate>
  </Record>
</Document>
```

Notes:

- If a submission is refused for any reason, a valid error message will be returned. *(see Appendix J -Valid Error Messages)*
- A DocumentReceiptID does not mean that the filing has been completed; only that it has been received. It is placed into the Processing Queue and will be processed accordingly and could still be rejected for some reason. The Status method needs to be called in order to find out when the document has been processed and if it is ready for retrieval.

6.3 Checking Status of a Document

Calling https://<baseURL>/FilingAsync/<id> will provide feedback to the submitter on the document and whether it was processed and filed or rejected. If filed correctly, the Status will return filing information such as date/time and the UCC1 / UCC3 number.

The following variables are required for submission:

Required Variable	Type	Description
User-Name	String	Web User Account Username.
Password	String	The password used to log into your account on the website.
id	String	The id (DocumentReceiptID) that was returned when the document was first submitted.

The following HTTP Status Codes will be returned for this API call:

HTTP Status Code	Explanation
200 (OK)	The filing has been processed and filed.
401 (Unauthorized)	Invalid User-Name or Password provided or keys not found in request headers.
500 (InternalServerError)	Unknown server error has occurred.

C# Code Sample:

```
private static string GetStatus(string username, string password, string id)
{
  var client = new HttpClient {BaseAddress = new Uri(_url)};
  client.DefaultRequestHeaders.Add("User-Name", username);
  client.DefaultRequestHeaders.Add("Password", password);

  var response = client.GetAsync(_subUrl + "Status/?id=" + id).Result;
  _httpStatusCode = response.StatusCode;

  byte[] data = response.Content.ReadAsByteArrayAsync().Result;
  string status = Encoding.ASCII.GetString(data);
  return status;
}
```

Response - OK (200):

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <XMLVersion info="1.07"/>
```

```
  <Header>
    <Date>12/20/2013 11:26:49 AM</Date>
    <PacketNum>5</PacketNum>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>
    <OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>
    <Status value="OK">Filing completed</Status>
    <StatusDate>12/20/2013 11:32:22 AM</StatusDate>
    <Acknowledgement>
      <FileNumber>20160191550278</FileNumber>
      <FileDate>01/01/2016</FileDate>
      <FileTime>11:26:49</FileTime>
      <FeeAmount>20.0000</FeeAmount>
      <LapseDate>01/01/2021</LapseDate>
      <FilingOffice>CA</FilingOffice>
      <FileStatus Status=”Accepted”/>
    </Acknowledgement>
  </Record>
</Document>
```

6.4 Retrieving the PDF Document

Calling https://<baseURL>/Filing/<PacketNum>/AcknowledgmentPdf will provide the submitter with a pdf of the document. The document will be available for a to-be determined number of days for download.

Note: *Following submission, the submitter will need to wait for a minimum of 30 minutes prior to retrieving their document. The processing time of XML submissions is dependent upon the XML queue's load.*

The following variables are required for submission:

Required Variable	Type	Description
User-Name	String	Web User Account Username.
Password	String	The password used to log into your account on the website.
PacketNum	String	The Customer Provided unique PacketNum from the XML when the document was first submitted.

The following HTTP Status Codes will be returned for this API call:

HTTP Status Code	Explanation
200 (OK)	Byte[] of document will be returned
401 (Unauthorized)	Invalid User-Name or Password provided or keys not found in request headers.
400 (BadRequest)	No xmlData submitted or submission failed.
500 (InternalServerError)	Unknown server error has occurred.

C# Code Sample:

```
private static object GetFiling(string username, string password, string packetNum, ref string contentType)
{
  var client = new HttpClient { BaseAddress = new Uri(_url) };
  client.DefaultRequestHeaders.Add("User-Name", username);
  client.DefaultRequestHeaders.Add("Password", password);

  var response = client.GetAsync(_subUrl + "Filing/" + packetNum + ”/AcknowledgmentPdf”).Result;
  _httpStatusCode = response.StatusCode;

  contentType = response.Content.Headers.ContentType.MediaType;
  if (contentType == "text/xml")
  {
      byte[] data = response.Content.ReadAsByteArrayAsync().Result;
      string xml = Encoding.ASCII.GetString(data);
      return xml;
  }
  else
  {
      byte[] data = response.Content.ReadAsByteArrayAsync().Result;
      return data;
  }
 }
```

Response - OK (200):

The pdf document in byte array format.

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <XMLVersion info="1.07"/>
  <Header>
    <Date>12/20/2013 11:26:49 AM</Date>
    <PacketNum>5</PacketNum>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>
    <OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>
    <Status value="Received">Submission has been received and is in queue for processing at the
    DOS Office </Status>
    <StatusDate>12/20/2013 11:32:22 AM</StatusDate>
  </Record>
</Document>
```

Notes:

- If https://<baseURL>/Filing/<PacketNum>/AcknowledgmentPdf is called and the document is not available, the submitter will receive a 400 (BadRequest) error.

6.5 Retrieving the XML Document

Calling https:/<baseURL>/Filing/<PackNum> will provide the submitter with the submitted XML along with a completed Acknowledgement Element.

The following variables are required for submission:

Required Variable	Type	Description
User-Name	String	Web User Account Username.
Password	String	The password used to log into your account on the website.
PacketNum	String	The Customer Provided unique PacketNum from the XML when the document was first submitted.

The following HTTP Status Codes will be returned for this API call:

HTTP Status Code	Explanation
200 (OK)	Byte[] of document will be returned
401 (Unauthorized)	Invalid User-Name or Password provided or keys not found in request headers.
500 (InternalServerError)	Unknown server error has occurred.

C# Code Sample:

```
  private static object GetFilingXml(string username, string password, string packetNum, ref string
contentType)
  {
    var client = new HttpClient { BaseAddress = new Uri(_url) };
    client.DefaultRequestHeaders.Add("User-Name", username);
    client.DefaultRequestHeaders.Add("Password", password);

    var response = client.GetAsync(_subUrl + "Filing/" + packetNum).Result;
    _httpStatusCode = response.StatusCode;

    contentType = response.Content.Headers.ContentType.MediaType;
```

```
  if (contentType == "application/json")
  {
      byte[] data = response.Content.ReadAsByteArrayAsync().Result;
      string json = Encoding.ASCII.GetString(data);
      return json;
  }
  else
  {
      byte[] data = response.Content.ReadAsByteArrayAsync().Result;
      return data;
  }
 }
```

Response – OK (200):

```
The pdf document in byte array format.

<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <XMLVersion info="1.07"/>
  <Header>
    <Date>12/20/2013 11:26:49 AM</Date>
    <PacketNum>5</PacketNum>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>
    <OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>
    <Status value="Received">Submission has been received and is in queue for processing at the
    DOS Office </Status>
    <StatusDate>12/20/2013 11:32:22 AM</StatusDate>
  </Record>
</Document>
```

7 Filing Number Generation Logic

Filing number generation will follow the same format used in the past. Please refer to *Appendix H* for File Number Formats based on date ranges.

8 Appendix A – XML Sample of a UCC1

```
<Document>
 <XMLVersion Version="08172001" />
 <Header>
  <Filer>
   <Names>
    <OrganizationName>ABC COMPANY</OrganizationName>
    <MailAddress>P.O. BOX 100</MailAddress>
    <City>HYDE PARK</City>
    <State>UT</State>
    <PostalCode>84418</PostalCode>
    <Country>USA</Country>
   </Names>
   <ContactName>JOHN DOE CONTACT</ContactName>
   <ContactPhone>800-111-0000</ContactPhone>
   <ContactEmail>ABC@ABC.com</ContactEmail>
  </Filer>
  <PacketNum>abc packet 123</PacketNum>
 </Header>
 <Record>
  <SeqNumber>1</SeqNumber>
  <TransType Type="Initial" />
  <AmendmentType Type="NOType" />
  <AmendmentAction Action="NOAction" />
  <OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>
  <OptionalIndicators>
   <OptionalIndicator Type=”NoOptionalIndicator” />
  </OptionalIndicators>
  <Debtors>
   <DebtorName>
    <Names>
     <OrganizationName>DEBTOR ORG 1</OrganizationName>
     <MailAddress>3800 N 50 W</MailAddress>
     <City>HYDE PARK</City>
     <State>UT</State>
     <PostalCode>84418</PostalCode>
     <Country>USA</Country>
    </Names>
   </DebtorName>
  </Debtors>
  <SecuredParties>
   <SecuredName>
    <Names>
     <OrganizationName>BIG BANK</OrganizationName>
     <MailAddress>200 RICHARDS BLVD</MailAddress>
     <City>SACRAMENTO</City>
     <State>CA</State>
     <PostalCode>95814</PostalCode>
     <Country>USA</Country>
    </Names>
   </SecuredName>
  </SecuredParties>
  <Collateral>
   <ColText>Certain pieces of property... </ColText>
  </Collateral>
  <CollateralDesignation Type="NODesignation" />
 </Record>
</Document>
```

9 Appendix B – XML Sample of UCC3's

```
<Document>
 <XMLVersion Version="08172001" />
 <Header>
  <Filer>
   <Names>
    <OrganizationName>ABC COMPANY</OrganizationName>
    <MailAddress>P.O. BOX 100</MailAddress>
    <City>SMITHFIELD</City>
    <State>UT</State>
    <PostalCode>84335</PostalCode>
    <Country>USA</Country>
   </Names>
   <ContactName>JOHN DOE CONTACT</ContactName>
   <ContactPhone>800-111-0000</ContactPhone>
   <ContactEmail>ABC@ABC.com</ContactEmail>
   <ContactFax>800-112-0000</ContactFax>
  </Filer>
  <PacketNum>abc packet 123</PacketNum>
 </Header>
 <Record>
  <SeqNumber>1</SeqNumber>
  <TransType Type="Amendment" />
  <AmendmentType Type="AmendmentParties" />
  <AmendmentAction Action="DebtorChange" />
  <OptionalFilerReference>A-UCC3B-DebtorChange.xml</OptionalFilerReference>
  <InitialFileNumber>[UCC1 Num goes here]</InitialFileNumber>
  <CurrentName>
   <OrganizationName>DEBTOR ORG 1</OrganizationName>
  </CurrentName>
  <Debtors>
   <DebtorName>
    <Names>
     <OrganizationName>CHANGED DEBTOR ORG 1</OrganizationName>
     <MailAddress>136 E 800 S</MailAddress>
     <City>SMITHFIELD</City>
     <State>UT</State>
     <PostalCode>84335</PostalCode>
     <Country>USA</Country>
    </Names>
   </DebtorName>
  </Debtors>
  <AuthorizingParty>
   <AuthSecuredParty>
    <OrganizationName>ABC COMPANY</OrganizationName>
   </AuthSecuredParty>
  </AuthorizingParty>
 </Record>
</Document>
```

10 Appendix C – XML Document DTD (Document Type Definition)

The following table describes each element and its application in detail. The container elements are marked in bold and indicate that the data elements are made up of sub-elements and will not contain data. The definition column also describes the attribute value of the element.

***Note**: The data types are alphanumeric unless specified for the element.*

Bold text in the Element Location column or Element column indicates data elements that are made up of sub- elements, and will not contain data	O = Optional R = Required - = N/A R/O – Required, for Filing Office Use O/O = Optional, for Filing Office Use

10.1 Document Specifications

Document Specifications						Amendment						
Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Original**	**Debtor**	**Secured Party**	**Collateral**	**Assignment**	**Continuation**	**Termination**
XMLVersion	Attribute: Version	-	0 or 1	The system will allow an Attribute Value of 06232003. If the XML file contains any other version number or is empty, XML file will be refused. The Tag value will be discarded.	R	R	R	R	R	R	R
Header		-	1	Global information for all filing records	R	R	R	R	R	R	R
Record		-	1 or More	Contains all the information for a filing	R	R	R	R	R	R	R

10.2 Header Specifications

Header Specifications						Amendment					
Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Original**	**Debtor**	**Secured Party**	**Collateral**	**Assignment**	**Continuation**	**Termination**
Filer		-	1		R	R	R	R	R	R	R
	Names	-	1	The OrganizationName or the IndividualName is required. • If the OrganizationName is blank, IndividualName is required. • If the OrganizationName is present, IndividualName must be blank. • Failure to enter filer name will be grounds for refusal of the XML File.	R	R	R	R	R	R	R
	OrganizationName	300	1	Designates an entity having a legal identity separate from its owner	R	R	R	R	R	R	R
	IndividualName	-	0 or 1	For the IndividualName, the Surname is required. • The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	O	O	O	O	O	O	O
	Surname	100	1	Family name or surname of the Individual.	R	R	R	R	R	R	R

	FirstPersonalName	100	1	First given name of the Individual.	O	O	O	O	O	O	O
	AdditionalNamesInitials	60	0 or 1	All additional given names for an individual excluding the family name and the first given name	O	O	O	O	O	O	O
	Suffix	40	0 or 1	A title of lineage for an Individual	O	O	O	O	O	O	O
	MailAddress	150	1	Mailing Address of the designated party	O	O	O	O	O	O	O
	MailAddress2	150	0 or 1	Mailing Address of the designated party	O	O	O	O	O	O	O
	MailAddress3	150	0 or 1	Optionally used only with foreign address to replace the city, state, and postal code. **Note:** See Appendix F – Country Codes	O	O	O	O	O	O	O
	City	100	0 or 1	City of the designated party **Note:** Optional only outside of USA	O	O	O	O	O	O	O
	State	2	0 or 1	2 character US postal identification code. **Values:** See Appendix E – State Codes **Note:** Optional only outside of USA	O	O	O	O	O	O	O
	PostalCode	9	0 or 1	The postal code for the party **Note:** Optional only outside of USA	O	O	O	O	O	O	O
	Country	3	0 or 1	3 character Country Code of the party. **Values:** See Appendix F – Country Codes	O	O	O	O	O	O	O
ClientAccountNum		7	1	**Note:** Tecuity does not use this element.	O	O	O	O	O	O	O

ContactName		35	1	Contact person for the XML filer.	O	O	O	O	O	O	O
ContactPhone		12	1	Contact phone for the XML filer.	O	O	O	O	O	O	O
ContactEmail		254	1	Email for the XML filer.	R	R	R	R	R	R	R
ReturnURL		2083	0 or 1	**Note:** Tecuity does not use this element.	-	-	-	-	-	-	-
ReturnUserID		255	0 or 1	**Note:** Tecuity does not use this element.	-	-	-	-	-	-	-
ReturnUserPWD		255	0 or 1	**Note:** Tecuity does not use this element.	-	-	-	-	-	-	-
PacketNum		32	1	Unique identifying alpha-numeric for the file. **Note:** Must be unique for each file submitted by a filer.	R	R	R	R	R	R	R
Test		1	1	**Note:** Tecuity does not use this element.	-	-	-	-	-	-	-

10.3 Record Specifications

Record Specifications						Amendment						
Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Original**	**Debtor**	**Secured Party**	**Collateral**	**Assignment**	**Continuation**	**Termination**
SeqNumber		5	0 or 1	Unique sequential number identifying the record. **Must be numeric.**	R	R	R	R	R	R	R

				Note: *Must be unique for each filing in the document.*							
TransType	Attribute: Type	-	1	Indicates whether the Filing is an Initial Filing or a Change Filing. **Values:** • Initial • Amendment	R	R	R	R	R	R	R
AmendmentType	Attribute: Type	-	0 or 1	Identifies the type of Change Filing. **Values:** • AmendmentParties • AmendmentCollateral • Assignment • Continuation • TerminationDebtor • TerminationSecuredParty • TerminationErroneous • NOType ***Note:*** • *Value "NOType" applies only for the Initial Filing.* • *Only one AmendmentType per record is allowed.* • *Only State Liens use "TerminationErroneous".*	-	R	R	R	R	R	R
AmendmentAction	Attribute: Action	-	0 or 1	The Filing DTD allows for only one AmendmentType and AmendmentAction per record. Information statements are not part of the XML filing. Identified the type of Change Requested	-	R	R	R	R	-	-

				Values: • DebtorAdd • DebtorChange • DebtorDelete • SecuredPartyAdd • SecuredPartyChange • SecuredPartyDelete • CollateralAdd • CollateralChange • CollateralDelete • CollateralRestate • CollateralAssign • NOAction ***Note:*** • *Value 'NOAction' applies only for AmendmentType of Assignment, Continuation and Termination.* • *If AmendmentType = "AmendmentParties", values allowed will be "DebtorAdd", "DebtorChange", "DebtorDelete", "SecuredPartyAdd", "SecuredPartyChange" and "SecuredPartyDelete".* • *If AmendmentType = "AmendmentCollateral", values allowed will be "CollateralAdd", "CollateralChange", "CollateralDelete", and "CollateralRestate".*							

				• *If AmendmentType =”Assignment”, values allowed will be “CollateralAssign”, and “NOAction”.*							
InitialFileNumber		100	0 or 1	***Note:*** • *If TranType = “Initial”, this field is blank.* • *If TranType = “Amendment”, this field contains the file number for the financing statement.*	-	R	R	R	R	R	R
OptionalFilerReference		80	1	The reference information provided by the filer	O	O	O	O	O	O	O
OptionalIndicators	Attribute: Type	-	0 or More	Used to further indicate the type of lien. **Value:** • NoOptionalIndicator (default) **OR** (one of the following) • TransmittingUtility • ManufacturedHome • PublicFinance **AND/OR** (one of the following) • Lessee-Lessor • Consignee-Consignor • Bailee-Bailor • Seller-Buyer • Licensee-Licensor ***Note:*** *Multiple Indicators may be used.*	O	-	-	-	-	-	-
MiscInfo		300	0 or 1	Identifies additional information not provided for the Filing ***Note:*** *This field can be used on a UCC1 to note assignor information. See Assignor below.*	-	O	O	O	O	O	O

CurrentName		-	0 or 1	The system will accept the values only for DebtorChange, DebtorDelete, SecuredPartyChange or SecuredPartyDelete Amendment Action. Otherwise the data will be discarded. The OrganizationName **or** the IndividualName is required. • If the OrganizationName is blank, IndividualName is required. • If the OrganizationName is present, IndividualName must be blank	-	O	O	-	-	-	-
	OrganizationName	300	0 or 1	Identifies the affected party in an Amendment. ***Note:*** *If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may be greater than 300 characters.*	-	R	R	-	-	-	-
	IndividualName	-	1	For the IndividualName, the Surname is required. • The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	-	O	O	-	-	-	-
	Surname	100	1	Family name or surname of the Individual.	-	R	R	-	-	-	-
	FirstPersonalName	100	1	First given name of the Individual.	-	O	O	-	-	-	-
	AdditionalNamesInitials	60	0 or 1	All additional given names for an individual excluding the family name and the first given name	-	O	O	-	-	-	-
	Suffix	40	0 or 1	A title of lineage for an Individual	-	O	O	-	-	-	-

Debtors		-	1		R	R	-	-	-	-	-
	DebtorName	-	1 or more	• System will accept only 1 name for Amendment Action = DebtorChange. • System will accept multiple names for TransType = Initial, and Amendment Action = DebtorAdd.	R	R	-	-	-	-	-
	Names		1	The OrganizationName **or** the IndividualName is required. • If the OrganizationName is blank, IndividualName is required. • If the OrganizationName is present, IndividualName must be blank. • *Failure to enter filer name will be grounds for refusal of the XML File.*	R	R	-	-	-	-	-
	OrganizationName	300	1	Designates an entity having a legal identity separate from its owner	R	R	-	-	-	-	-
	IndividualName	-	0 or 1	For the IndividualName, the Surname is required. • The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	O	O	-	-	-	-	-
	Surname	100	1	Family name or surname of the Individual.	R	R	-	-	-	-	-
	FirstPersonalName	100	1	First given name of the Individual.	O	O	-	-	-	-	-
	AdditionalNamesInitials	60	0 or 1	All additional given names for an individual excluding the family name and the first given name	O	O	-	-	-	-	-
	Suffix	40	0 or 1	A title of lineage for an Individual	O	O	-	-	-	-	-

	MailAddress	150	1	Mailing Address of the designated party	R	R	-	-	-	-	-
	MailAddress2	150	0 or 1	Mailing Address of the designated party	O	O	-	-	-	-	-
	MailAddress3	150	0 or 1	Optionally used only with foreign address to replace the city, state, and postal code. **Note:** See Appendix F – Country Codes	O	O	-	-	-	-	-
	City	100	0 or 1	City of the designated party **Note:** Optional only outside of USA	O	O	-	-	-	-	-
	State	2	0 or 1	2 character US postal identification code. **Values:** See Appendix E – State Codes **Note:** Optional only outside of USA	O	O	-	-	-	-	-
	PostalCode	9	0 or 1	The postal code for the party **Note:** Optional only outside of USA	O	O	-	-	-	-	-
	Country	3	1	3 character Country Code of the party. **Values:** See Appendix F – Country Codes	R	R	-	-	-	-	-
	Not-Indexed-Reason	100	0 or 1	**Note:** Tecuity does not image or index it	-	-	-	-	-	-	-
SecuredParties		-	1 or More	***Note:*** • *System will accept only 1 name for AmendmentAction = SecuredPartyChange.* • *System will accept multiple names for TransType = Initial and AmendmentAction = SecuredPartyAdd.* • *Name is required for AmendmentType = Assignment.*	R	-	R	-	R	-	-

	SecuredName	-	1 or more		R	-	R	-	R	-	-
	Names	-	1	The OrganizationName **or** the IndividualName is required. • If the OrganizationName is blank, IndividualName is required. • If the OrganizationName is present, IndividualName must be blank. • *Failure to enter filer name will be grounds for refusal of the XML File.*	R	-	R	-	R	-	-
	OrganizationName	300	1	Designates an entity having a legal identity separate from its owner	R	-	R	-	R	-	-
	IndividualName	-	0 or 1	For the IndividualName, the Surname is required. • The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	O	-	O	-	O	-	-
	Surname	100	1	Family name or surname of the Individual.	R	-	R	-	R	-	-
	FirstPersonalName	100	1	First given name of the Individual.	O	-	O	-	O	-	-
	AdditionalNamesInitials	60	0 or 1	All additional given names for an individual excluding the family name and the first given name	O	-	O	-	O	-	-
	Suffix	40	0 or 1	A title of lineage for an Individual	O	-	O	-	O	-	-
	MailAddress	150	1	Mailing Address of the designated party	R	-	R	-	R	-	-

	MailAddress2	150	0 or 1	Mailing Address of the designated party	0	-	0	-	0	-	-
	MailAddress3	150	0 or 1	Optionally used only with foreign address to replace the city, state, and postal code. **Note:** See Appendix F – Country Codes	O	-	O	-	O	-	-
	City	100	0 or 1	City of the designated party **Note:** Optional only outside of USA	O	-	O	-	O	-	-
	State	2	0 or 1	2 character US postal identification code. **Values:** See Appendix E – State Codes **Note:** Optional only outside of USA	O	-	O	-	O	-	-
	PostalCode	9	0 or 1	The postal code for the party **Note:** Optional only outside of USA	O	-	O	-	O	-	-
	Country	3	1	3 character Country Code of the party. **Values:** See Appendix F – Country Codes	R	-	R	-	R	-	-
	Not-Indexed-Reason	100	0 or 1	**Note:** Tecuity does not image or index it	-	-	-	-	-	-	-
Assignor		-	0	On a UCC1, if the filer wishes to add an assignor, an additional secured party can be added and the MiscInfo element can be used to notate that secured party is an Assignor. On a UCC3 or UCC5, the Assignor information will be discarded.	O	-	-	-	O	-	-

	Names	-	1 or More	The OrganizationName **or** the IndividualName is required. • If the OrganizationName is blank, IndividualName is required. • If the OrganizationName is present, IndividualName must be blank.	R	-	-	-	R	-	-
	OrganizationName	300	1	Identifies the affected party in an Amendment.	R	-	-	-	R	-	-
	IndividualName	-	0 or 1	For the IndividualName, the Surname is required. • The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	O	-	-	-	O	-	-
	Surname	100	1	Family name or surname of the Individual.	R	-	-	-	O	-	-
	FirstPersonalName	100	1	First given name of the Individual.	O	-	-	-	O	-	-
	AdditionalNamesInitials	60	0 or 1	All additional given names for an individual excluding the family name and the first given name	O	-	-	-	O	-	-
	Suffix	40	0 or 1	A title of lineage for an Individual	O	-	-	-	O	-	-
	MailAddress	150	1	Mailing Address of the designated party.	R	-	-	-	O	-	-
	MailAddress2	150	0 or 1	Mailing Address of the designated party.	O	-	-	-	O	-	-
	MailAddress3	150	0 or 1	Optionally used only with foreign address to replace the city, state, and postal code. **Note:** See Appendix F – Country Codes	O	-	-	-	O	-	-
	City	100	0 or 1	City of the designated party. **Note:** Optional only outside of USA	O	-	-	-	O	-	-

	State	2	0 or 1	2 character US postal identification code. **Values:** See Appendix E – State Codes **Note:** Optional only outside of USA	O	-	-	-	O	-	-
	PostalCode	9	0 or 1	The postal code for the party **Note:** Optional only outside of USA	O	-	-	-	O	-	-
	Country	3	1	3 character Country Code of the party. **Values:** See Appendix F – Country Codes	R	-	-	-	R	-	-
Collateral		-	0 or 1	Either ColText or Attachment can be provided, but both elements cannot be provided together. If both are provided, the system will index the Collateral information provided in ColText and discard the attachment	O	-	-	O	-	-	-
	ColText	10000	0 or 1	Provide the entire collateral description for **all** collateral covered by the Financing Statement in **one** ColText data element. The Collateral will be indexed in the system.	O	-	-	O	O	-	-
	Attachment	-	0 or 1	Contains Base64 Encoded PDF document(s).	O	-	-	O	-	-	-
	TextData	10 MB*	1	The attachment files should be encoded using Base 64 prior to being inserted into the xml document. The DOS system will decode the data to create the image attachment. *Total filing submission size including attachment cannot exceed 10MB. The size limit is in binary and the maximum filing size is 10485760 bytes.	O	-	-	O	-	-	-

CollateralDesignation	Attribute: Type		1	Values: • NODesignation • Trust • PersonalRepresentative	R	O	-	-	O	O	-
AuthorizingParty		-	0 or More		-	O	O	O	O	O	O
	AuthSecuredParty	-	0 or 1	The OrganizationName **or** the IndividualName is required. • If the OrganizationName is blank, IndividualName is required. • If the OrganizationName is present, IndividualName must be blank.	-	-	O	O	O	O	O
	OrganizationName	300	1	Name of the Secured Party authorizing the change filing.	-	-	R	R	R	R	R
	IndividualName	-	1	For the IndividualName, the Surname is required. • The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	-	-	O	O	O	O	O
	Surname	100	0 or 1	Family name or surname of the Individual.	-	-	R	R	R	R	R
	FirstPersonalName	100	1	First given name of the Individual.	-	-	O	O	O	O	O
	AdditionalNamesInitials	60	1	All additional given names for an individual excluding the family name and the first given name	-	-	O	O	O	O	O
	Suffix	40	0 or 1	A title of lineage for an Individual	-	-	O	O	O	O	O
AuthDebtor		-	0 or 1	The OrganizationName **or** the IndividualName is required. • If the OrganizationName is blank, IndividualName is required.	-	O	-	O	-	-	O

				• If the OrganizationName is present, IndividualName must be blank.							
	OrganizationName	300	1	Name of the Debtor authorizing the change filing.	-	R	-	R	-	-	R
	IndividualName	-	1	For the IndividualName, the Surname is required. • The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	-	O	-	O	-	-	O
	Surname	100	0 or 1	Family name or surname of the Individual.	-	R	-	R	-	-	O
	FirstPersonalName	100	1	First given name of the Individual.	-	O	-	O	-	-	O
	AdditionalNamesInitials	60	1	All additional given names for an individual excluding the family name and the first given name	-	O	-	O	-	-	O
	Suffix	40	0 or 1	A title of lineage for an Individual	-	O	-	O	-	-	O
JurisdictionSpecificData		-	0 or 1	Addendum and Real Estate information.	O	-	-	-	-	-	-
	FileInRealEstate	-	1		O	-	-	-	-	-	-
	Designation Attribute: Type	50	0 or 1	Values: • NOType • Timber • AsExtractedCollateral • Fixtures	O	-	-	-	-	-	-
	RealEstateDescription	2000	0 or 1	Description of Real Estate.	O	-	-	-	-	-	-

	Names	-	0 or More	The OrganizationName **or** the IndividualName is required. • If the OrganizationName is blank, IndividualName is required. • If the OrganizationName is present, IndividualName must be blank.	O	-	-	-	-	-	-
	OrganizationName	300	0 or 1	Identifies the affected party in an Amendment.	O	-	-	-	-	-	-
	IndividualName	-	0 or 1	For the IndividualName, the Surname is required. The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.	O	-	-	-	-	-	-
	Surname	100	1	Family name or surname of the Individual.	O	-	-	-	-	-	-
	FirstPersonalName	100	0 or 1	First given name of the Individual.	O	-	-	-	-	-	-
	AdditionalNamesInitials	60	0 or 1	All additional given names for an individual excluding the family name and the first given name	O	-	-	-	-	-	-
	Suffix	40	0 or 1	A title of lineage for an Individual	O	-	-	-	-	-	-
	FSAProducts	-	1	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Name-Code	-	1 or more	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Years	-	1	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Year	4	1 or more	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Counties	-	1	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-

	County	50	1 or more	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Unit	50	1	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Quantity	10	1	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Location	100	1	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
	Description	100	1	***Note:*** Tecuity *does not use this element.*	-	-	-	-	-	-	-
Acknowledgement		-	0 or 1		R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileNumber	20	1	Unique Identifying number assigned by the Filing Office to an accepted UCC document.	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileDate	8	1	File Date the Filing Office accepted the Initial or Change Filing. Note: The date the filing would have been filed is returned for Rejected documents. **Format:** YYYYMMDD	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileTime	4	1	The File Time the Filing Office accepted the Initial or Change Filing. ***Note****: The date the filing would have been filed is returned for Rejected documents.* **Format:** HHMM	R/O	R/O	R/O	R/O	R/O	R/O	R/O

	LapseDate	8	0 or 1	The Date on which the Initial Filing will Lapse. **Format:** YYYYMMDD	R/O	-	-	-	-	-	-
	FeeAmount	7	1	The Fee for the Initial or Change Filing as charged by the Filing Office. The amount is deducted from either client's ACH account or customer account. **Format:** NNNNNNN.NN (7.2)	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	AdditionalFees	5	0 or 1	Any additional fee on top of the Filing Fee as charged by the Filing Office. The amount is deducted either from the client's ACH account or customer account. **Format:** NNNNNNN.NN (7.2)	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FilingOffice	100	1	The Filing Office where the document was filed.	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileStatus	-	1	Indicates whether the Filing was accepted or rejected. **Values:** • Accepted • Rejected • AcceptedWithErrors Note: The Status of AcceptedWithErrors will be returned if not all debtors or secured parties were indexed.	R/O	R/O	R/O	R/O	R/O	R/O	R/O

11 Appendix D – XML Rejection Error Messages

Error Message	Description
OK	Filing was approved and filed.
Received	Filing has been received and is still in queue to be processed.
InternalProcessingError	The filing system had an internal error processing the filing that is not related to the submitted filing
InvalidXml	A filing was submitted that did not contain a valid XML document
InProcess	The submitted filing has not finished the filing process
IDNotFound	The filing system did not find the information associated with the provided DocumentReceiptID
Rejected	Various reasons including invalid account, bad xml values, insufficient funds, etc.

12 Appendix E - State Codes

State Code	State Name	Country
AA	Armed Forces Americas, except Canada.	USA
AB	Alberta	CAN
AE	Armed Forces Europe, the Middle East, & Canada.	USA
AK	Alaska	USA
AL	Alabama	USA
AP	Armed Forces Pacific	USA
AR	Arkansas	USA
AS	American Samoa	USA
AZ	Arizona	USA
BC	British Columbia	CAN
CA	California	USA
CO	Colorado	USA
CT	Connecticut	USA
DC	District of Columbia	USA
DE	Delaware	USA
FL	Florida	USA
FM	Federated States of Micronesia	USA
GA	Georgia	USA
GU	Guam	USA
HI	Hawaii	USA
IA	Iowa	USA
ID	Idaho	USA
IL	Illinois	USA
IN	Indiana	USA
KS	Kansas	USA
KY	Kentucky	USA
LA	Louisiana	USA
MA	Massachusetts	USA
MB	Manitoba	CAN
MD	Maryland	USA
ME	Maine	USA
MH	Marshall Islands	USA
MI	Michigan	USA
MN	Minnesota	USA
MO	Missouri	USA
MP	Northern Mariana Islands	USA
MS	Mississippi	USA
MT	Montana	USA
NB	New Brunswick	CAN
NC	North Carolina	USA
ND	North Dakota	USA
NE	Nebraska	USA
NL	Newfoundland and Labrador	CAN
NH	New Hampshire	USA
NJ	New Jersey	USA

NM	New Mexico	USA
NN	Commonwealth of Northern Mariana Islands	USA
NS	Nova Scotia	CAN
NT	Northwest Territories	CAN
NU	Nunavut	CAN
NV	Nevada	USA
NY	New York	USA
OH	Ohio	USA
OK	Oklahoma	USA
ON	Ontario	CAN
OR	Oregon	USA
PA	Pennsylvania	USA
PE	Prince Edward Island	CAN
PQ	Province of Quebec (Alternate for 'QC')	CAN
PR	Puerto Rico	USA
PW	Palau	USA
QC	Quebec	CAN
RI	Rhode Island	USA
SC	South Carolina	USA
SD	South Dakota	USA
SK	Saskatchewan	CAN
TN	Tennessee	USA
TX	Texas	USA
UT	Utah	USA
VA	Virginia	USA
VI	Virgin Islands	USA
VT	Vermont	USA
WA	Washington	USA
WI	Wisconsin	USA
WV	West Virginia	USA
WY	Wyoming	USA
YT	Yukon Territory	CAN

13 Appendix F - Country Codes

The Country Codes are based on ISO standard 1366. Some modifications have been made to accommodate countries not included in ISO 1366. These are indicated by a double asterisk, "**".

To support foreign addresses, a MailAddress3 element is supported when the Country Code is not USA. As there is a variety of different display styles for city, state/province, and postal codes for foreign countries, it is up to the filer to render the appropriate foreign address correctly. City, State, and PostalCode are not used when capturing and displaying a foreign address. As an example, when filing a Canadian address, the following would be submitted:

```
<MailAddress>300 Ward Street</MailAddress>
<MailAddress2>101A</MailAddress2>
<MailAddress3>Balfour BC V1L 123</MailAddress3>
<Country>CAN</Country>
OR
<MailAddress>300 Ward Street</MailAddress>
<MailAddress2>Balfour BC V1L 123</MailAddress2>
<Country>CAN</Country>
```

Country Code	Country Description
ABW	Aruba
AFG	Afghanistan
AGO	Angola
AIA	Anguilla
ALB	Albania
AND	Andorra
ANT	Netherlands Antilles
ARE	United Arab Emirates
ARG	Argentina
ARM	Armenia
ASM	American Samoa
ATA	Antarctica
ATF	French Southern Territories
ATG	Antigua and Barbuda
AUS	Australia
AUT	Austria
AZE	Azerbaijan
BDI	Burundi
BEL	Belgium
BEN	Benin
BFA	Burkina Faso
BGD	Bangladesh
BGR	Bulgaria
BHR	Bahrain
BHS	Bahamas
BIH	Bosnia and Herzegovina
BLR	Belarus
BLZ	Belize
BMU	Bermuda
BOL	Bolivia

BRA	Brazil
BRB	Barbados
BRN	Brunei Darussalam
BTN	Bhutan
BVT	Bouvet Island
BWA	Botswana
BWI	** British West Indies
CAF	Central African Republic
CAN	Canada
CHE	Switzerland
CHL	Chile
CHN	China
CIV	Cote D'Ivoire
CMR	Cameroon
COD	Democratic Republic of Congo (was Zaire)
COG	People's Republic of Congo
COK	Cook Islands
COL	Columbia
COM	Comoros
CPV	Cape Verde
CRI	Costa Rica
CUB	Cuba
CXR	Christmas Island
CYM	Cayman Islands
CYP	Cyprus
CZE	Czech Republic
DEU	Germany
DJI	Djibouti
DMA	Dominica
DNK	Denmark
DOM	Dominican Republic
DZA	Algeria
ECU	Ecuador
EGY	Egypt
ERI	Eritrea
ESH	Western Sahara
ESP	Spain
EST	Estonia
ETH	Ethiopia
FIN	Finland
FJI	Fiji
FLK	Falkland Islands (Malvinas)
FRA	France
FRO	Faeroe Islands
FSM	Micronesia
GAB	Gabon

Country Code	Country Description
GBC	**Channel Islands

GBG	**Guernsey
GBI	**Isle of Man
GBR	United Kingdom
GEO	Georgia
GHA	Ghana
GIB	Gibraltar
GIN	Guinea
GLP	Guadeloupe
GMB	Gambia
GNB	Guinea-Bissau
GNQ	Equatorial Guinea
GRC	Greece
GRD	Grenada
GRL	Greenland
GTM	Guatemala
GUF	French Guiana
GUM	Guam
GUY	Guyana
HKG	Hong Kong Special Administrative Region of China
HMD	Heard and McDonald Islands
HND	Honduras
HRV	Croatia
HTI	Haiti
HUN	Hungary
IDN	Indonesia
IND	India
IOT	British Indian Ocean Territory
IRL	Ireland
IRN	Iran
IRQ	Iraq
ISL	Iceland
ISR	Israel
ITA	Italy
JAM	Jamaica
JOR	Jordan
JPN	Japan
KAZ	Kazakhstan
KEN	Kenya
KGZ	Kyrgyzstan
KHM	Cambodia
KIR	Kiribati
KNA	Saint Kitts and Nevis
KOR	Republic of Korea
KWT	Kuwait
LAO	Lao People's Democratic Republic

Country Code	Country Description
LBN	Lebanon
LBR	Liberia
LBY	Libyan Arab Jamahiriya
LCA	Saint Lucia
LIE	Liechtenstein
LKA	Sri Lanka
LSO	Lesotho
LTU	Lithuania
LUX	Luxemborg
LVA	Latvia
MAC	Macao
MAR	Morocco
MCO	Monaco
MDA	Moldova
MDG	Madagascar
MDV	Maldives
MEX	Mexico
MHL	Marshall Islands
MKD	The former Yugoslav Republic of Macedonia
MLI	Mali
MLT	Malta
MMR	Myanmar
MNG	Mongolia
MNP	Northern Mariana Islands
MOZ	Mozambique
MRT	Mauritania
MSR	Montserrat
MTQ	Martinque
MUS	Mauritius
MWI	Malawi
MYS	Malaysia
MYT	Mayotte
NAM	Namibia
NCL	New Caledonia
NER	Niger
NFK	Norfolk Island
NGA	Nigeria
NIC	Nicaragua
NIU	Niue
NLD	Netherlands
NOR	Norway
NPL	Nepal
NRU	Nauru
NZL	New Zealand
OMN	Oman
PAK	Pakistan

Country Code	Country Description

PAN	Panama
PCN	Pitcairn
PER	Peru
PHL	Philippines
PLW	Palau
PNG	Papua New Guinea
POL	Poland
PRI	Puerto Rico
PRK	Democratic People's Republic of Korea
PRT	Portugal
PRY	Paraguay
PSE	Palestinian Territory
PYF	French Polynesia
QAT	Qatar
REU	Reunion
ROU	Romania
RUS	Russian Federation
RWA	Rwanda
SAU	Saudi Arabia
SCG	Serbia and Montenegro
SCO	**Scotland
SDN	Sudan
SEN	Senegal
SGP	Singapore
SGS	South Georgia and the Ssouth Sandwich Islands
SHN	St. Helena
SJM	Svalbard and Jan Mayen Islands
SLB	Solomon Islands
SLE	Sierra Leone
SLV	El Salvador
SVN	Slovenia
SMR	San Marino
SOM	Somalia
STP	Sao Tome and Principe
SUR	Suriname
SVK	Slovakia
SVN	Slovenia
SWE	Sweden
SWZ	Swaziland
SYC	Seychelles
SYR	Syrian Arab Republic
TCA	Turks and Caicos Islands
TCD	Chad
TGO	Togo
THA	Thailand
TJK	Tajikistan

Country Code	Country Description
TKL	Tokelau

TKM	Turkmenistan
TLS	East Timor
TON	Tonga
TTO	Trinidad and Tobago
TUN	Tunisia
TUR	Turkey
TUV	Tuvalu
TWN	Taiwan
TZA	Tanzania
UGA	Uganda
UKR	Ukraine
UMI	United States Minor Outlying Islands
URY	Uruguay
USA	United States of America
UZB	Uzbekistan
VAT	Vatican City State (Holy See)
VCT	Saint Vincent and the Grenadines
VEN	Venezuela
VGB	British Virgin Islands
VIR	United States Virgin Islands
VNM	Viet Nam
VUT	Vanuatu
WLF	Wallis and Futuna Islands
WSM	Samoa
YEM	Yemen
ZAF	South Africa
ZMB	Zambia
ZWE	Zimbabwe
ZZZ	Other Country

14 Appendix G – IACA 3.1 to 4.0 Updates Summary

The below information provides a list of XML elements that are either modified or removed based on IACA 4.0 (International Association of Commercial Administrators) standard, for Tecuity's UCC implementation.

14.1 Header & Record

	IACA 3.1	IACA 4.0	Notes
	LastName	Surname	
	FirstName	FirstPersonalName	
	MiddleName	AdditionalNamesInitials	
	IndividualName	Updated	Surname is required. The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional
MailAddress2			Mailing Address of the designated party additional line (optional)
MailAddress3			If the country is not the United States to support foreign addresses

14.2 Header

	IACA 3.1	IACA 4.0	Notes
Names	TaxID	Removed	
	OrganizationType	Removed	
	OrganizationJuris	Removed	
	OrganziationID	Removed	
	Mark	Removed	
	County	Removed	
Test		Test	Tecuity does not use this element
Filer		ReturnURL	Tecuity does not use this element
		ReturnUserID	Tecuity does not use this element
		ReturnUserPWD	Tecuity does not use this element
	ContactEmail	Updated	Up to 254 Length

14.3 Record

	IACA 3.1	IACA 4.0	Notes

	SubmitterRef	OptionalFilerReference	
	InitialFileDate	Removed	
	ActionCode	Removed	
	AltNameDesignation	Removed	
	AltFilingType	Removed	
	AltFilingType1	Removed	
	SearchToReflect	Removed	
	Secured	SecuredParties	
	InitialFileDate	Removed	
		JurisdictionSpecificData	Placeholder for any jurisdiction-specific changes
	FileInRealEstate	Removed	Child element under JurisdictionSpecificData
	FSAProducts	Removed	Child element under JurisdictionSpecificData
	MiscInfo	Updated	Up to 300 Length
	InitialFileNumber	Updated	Up to 100 Length
OptionalIndicators		TransmittingUtility	
		ManufacturedHome	
		PublicFinance	
		FederalLien	
		StateLien	
		JudgementLien	
		Lessee-Lessor	
		Consignee-Consignor	
		Bailee-Bailor	
		Seller-Buyer	
		Licensee-Licensor	
		NoOptionalIndicator	(Default)
Debtors	DebtorAltCapacity	Removed	
	Trust	Removed	
	TrustDate	Removed	
AmendmentType	Correction	Removed	
	OfficerStatement	Removed	
Collateral	FSAProducts	Removed	Child element under JurisdictionSpecificData

	MIMEType	Removed	
	TextData	Updated	Up to 10MB
Acknowledgement	ErrorText	Updated	Up to 1024 Length

15 Appendix H – File Number Formats

File Number:

Total digits	14
Year	4 digits
Month	2 digits
Day	2 digits
Sequential Number	6 digits

Example: **20220829021099**

16 Appendix I – Summary of Updates 06/04/2020

Section	Segment	Update	
6.2 Submitting a Document	HTTP Status code 406 (NotAcceptable)	Invalid xmlData or filing is rejected.	
	C# Code – Response	Accepted (202)	
6.3 Checking Status of a Document	HTTP Status code 200 (OK)	The filing has been processed and filed.	
	C# Code	Response – Accepted (202)	
		Response – OK (200)	
	Response – OK	<Status value="OK">Filing completed</Status>	
	Response – InvalidXml	InvalidXml (406) <Status value="InvalidXml"> *InvalidXml is the right status value. Also, error message is now just a string, not an xml document	
	Response – NotFound	Response – Not Found (404) <Status value="IDNotFound">DocumentReceiptID not found</Status>	
	Response – Rejected	Response – Rejected (406) <?xml version="1.0" encoding="UTF-8"?> <Document> <XMLVersion info="1.07"/> <Header> <Date>01/01/2016 11:33:47 AM</Date> </Header> <Record> <DocumentReceiptID>2a5dbae4-0046-4de3-888c-78bb137e54d7</DocumentReceiptID> <Status value="Rejected">Lapsed Record</Status> </Record> </Document>	
	Notes	Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError, and OK	
6.4 Retrieving the Document	HTTPS Status Code 200 (OK)	Byte[] of document will be returned	
	C# Code Sample	Response – OK (200) Response – Accepted (202) Response – NotFound (404) <Status value="IDNotFound">DocumentReceiptID not found</Status>	
	Notes	Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError, and OK.	
6.5 Retrieving the Receipt	HTTP Status Code 200 (OK)	Byte[] of document will be returned	
	C# Code	Response – OK (200) Response – Accepted (202) Response – NotFound (404) <Status value="IDNotFound">DocumentReceiptID not found</Status>	
	Notes	Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError, and OK.	
10 XML Document DTD	10.1 Header Specifications	ClientAccountNum	Not Used
	10.2 Record Specifications	FileNumber	Max Length 20

		FeeAmount	Max Length 7
		AdditionalFees	Max Length 5
		FilingOffice	Max Length 100
	10.3 OptionalIndicators	Removed	AgLien
		Removed	NonUCCFiling

17 Appendix J – Valid Error Messages

HTTP Status Code	Explanation
102 (Processing)	The xmlData is being processed.
200 (OK)	The filing has been processed and filed.
400 (BadRequest)	No xmlData submitted or submission failed.
401 (Unauthorized)	Invalid User-Name or Password provided, or keys not found in request headers.
404 (NotFound)	Invalid id (Document Receipt ID) provided.
500 (InternalServerError)	Unknown server error has occurred.

18 Appendix K – Base Url

Note: These base urls will need to updated to reflect each state.

Testing Base Url: https://uccapi-stage-nm.tecuity.com
Production Base Url: https://uccapi-prod-nm.tecuity.com