

XML Technical Specifications

for

Uniform Commercial Code Filings

Revised Article 9

Version 4.00
Thursday, May 23, 2019

The intent of this document is to provide technical guidelines for using the XML standards developed for Uniform Commercial Code Revised Article 9, as amended by the majority of US jurisdictions in 2010. The document is not intended to be an implementation guide and as jurisdictions develop applications that use the XML standards, the jurisdictions are encouraged to develop an implementation guide specifically for their jurisdiction based on these recommendations. This document may be used as a template for developing an implementation guide.

Please submit corrections or request for changes to the chair of the IACA Secured Transactions Section (STS) or Information Technology Section (ITS).

The latest version of this document can be viewed or downloaded at http://www.iaca.org/xml/.

For further information or clarification please contact:

IACA Board of Directors
Secured Transactions Section Chair or Information Technology Section Chair
http://iaca.org/about-iaca/board-of-directors/

Document History

The IACA UCC XML Filing Technical Specifications originated in 2001, at the dawn of the modern world-wide web, before ubiquitous business-to-government electronic interactions. This document has evolved in the intervening decades as statutes changed. In 2018, an IACA workgroup was established to revisit and modernize these specifications. As a result, version 4.0 has been developed. This revision eliminates backward-compatibility with previous versions. For jurisdictions unable to adhere to this standard, review and consider compatibility with version 3.10, available on the IACA website.

Date	Version	Who	Comments
3/13/2001	1.0.1	Thomas M. Ose Laura Wisley Lynette Wong	– Combined all documents into one document. – Made changes to the Filing DTD and Elements Definition to reflect comments from the STS Summit meeting in San Antonio, TX. – Created Sample XML documents. – Created UCC forms with the XML tags.
05/04/2010	2.0	Thomas M. Ose	Totally rewrote the filing XML description and added process overviews
01/09/2013	3.0	Thomas M. Ose	Started revising for new 2013 changes to the forms.
05/09/2013	3.10	Thomas M. Ose	
05/23/2019	4.0	Ben Ark John Bloxom Scott Clark Carrie Dolezal Brad Harris Paul Hodnefield Kelly Kopyt Caputo Don Mason Rayne Sherman Gary Walsh	

Table of Contents

Document History ***3***

Table of Contents ***4***

Introduction ***6***

How to Implement 6

Checklist for Implementation *6*

Best Practices for Successful Adoption *7*

eXtensible Mark-up Language (XML) 7

JSON and Alternative Markups 8

How XML is Used ***8***

REST API Endpoints 8

REST API Security and Authentication 9

Assumptions ***9***

Asynchronous Filing Process ***10***

Submission Process 10

Document Receipt 11

Status Request 11

PDF Acknowledgment Retrieval 12

Synchronous Filing Process ***13***

Submission Process 13

PDF Acknowledgment Retrieval 13

XML File Structure in Detail ***13***

Document 13

Header *14*

Names *17*

Record *18*

CurrentName *22*

Debtors *23*

SecuredParties *25*

Assignor *26*

Collateral *27*

AuthorizingParty *29*

Acknowledgment *31*

Attribute Values 33
XMLVersion *33*
Test *33*
TransType *33*
AmendmentType *33*
AmendmentAction *34*
OptionalIndicator *34*
CollateralDesignation *36*
Designation *36*
FileStatus *36*

Filing Element Usage by Filing Type 36
Document: *36*
Header: *37*
Record: *37*

Form Generation Recommendations 41

Filing Document Type Definition 41

Sample Filing 43
Initial *43*
Termination by Secured Party *44*
Acknowledgment *45*

Receipt and Status XML ***48***

XMLVersion *49*
Status *49*
Status Messages *49*

Receipt Document Type Definition 50

Sample Receipt 50

Appendix A – JurisdictionSpecificData ***51***

FileInRealEstate *51*
FSAProducts *51*

Introduction

The modern information age has forced Private and Public sectors to rethink the way they do business. Integration of services has created an environment that requires a cooperative, open approach to service delivery instead of each organization working as an almost discrete entity. Twenty-first century businesses and government agencies expect modern, standards-based electronic means of intercommunication to provide real-time service while easing staffing requirements.

The intended audience of this document are technologists working to implement a UCC filing system and their constituents who will be utilizing those systems. While this document will be read and used by business and executive stakeholders, they are not the target audience. As such, there will be terminology and acronyms used that may seem foreign but are common in software development. Please forgive this and make use of your favorite search engine where further definition or explanation is required.

How to Implement

It is the intention of IACA that this technical specification be utilized to provide a common foundation for all electronic UCC filings. IACA recognizes that individual jurisdictions will need to adapt this specification to their statutes and regulations. As such, jurisdictions can and should use this document to prepare a jurisdiction-specific UCC XML Filing Implementation Guide.

Checklist for Implementation

1. Review this document with your IT department
2. If using a vendor to develop/replace a new system, incorporate a requirement to handle UCC filings via XML in accordance with this specification in your RFP
3. Consider your customer connectivity options and build those into your RFP and future documentation, such as:
    a. Provide always-on (24x7) XML submission
    b. Provide a backup web portal or process for uploading or emailing XML documents if the automated service is unavailable in order to secure the filing date/time and streamline recovery
    c. Provide an always-on XML submission test site to support filers' international development and testing teams
4. Evaluate how you will be collecting payment
5. Create your own implementation guide which documents:
    a. Any unique business rules, field requirements (minimum and maximum lengths, data types, acceptable value lists, required vs optional or not supported), special character handling, and which filing types are supported
    b. Payment-handling requirements
    c. Your authentication/authorization and security requirements and account-setup processes
    d. A defined list of test case filings (including sample filings and acknowledgments)

6. Work with your legal team to create any necessary partnership agreements to begin accepting filings electronically
7. Prepare supplemental documentation with test and production environment submission URLs, login credentials, and contact information for test and production support inquiries
8. Build internal processes for onboarding filers, including: collecting technical contact information, collecting payment information, identifying filer's ReturnURL endpoints, ensuring filer's ReturnURL endpoints can be reached through your network firewalls, identifying filer's source IP addresses, ensuring filer's source IP addresses can reach your server through your network firewalls, creating filer credentials, and sharing credentials, endpoint URLs, etc. with filers
9. Identify and work with a group of early/beta testers to validate your documentation is accurate and system is performing as expected
10. Perform load testing that simulates extremely high volume of filing via XML (up to 100% of your current total filing volume) to ensure your system can operate under peak pressure

Best Practices for Successful Adoption

- Provide ongoing support for XML filers after the initial system deployment.
- Ensure your test and production system codebases match.
- Ensure your test system data is refreshed regularly. Do not remove test system credentials during data refreshes.
- Adhere to the recommended field lengths, as minimums, in this specification, including up to 10 MB attachments and multiple parties.
- When processing Amendments, do not reject if existing party names do not match names on previous filings.
- Provide clear rejection reasons or error messages to your filer (not just "Internal Server Error.")
- If applicable, ensure your web interface field lengths match the XML interface field lengths.
- Automate filing review to ensure near-instant turnaround.
- Utilize synchronous filing to reduce delay and complexity.
- Generate UCC filing acknowledgment images that mimic or use the IACA national UCC form, as recommended later in this document.
- Maintain current contact information for your filers and use it to:
    - Send maintenance/downtime announcements
    - Send change/enhancement announcements at least 90 days in advance
    - Send alerts of degraded performance and known issues/limitations
- Ensure future enhancements retain backward compatibility or compliance with updated IACA specifications.
- Prompt and early communication of system changes, connectivity issues, and downtime (planned or unplanned) is key to filers.
- Consider creating adjacent web services to support the bulk filer community. See "Business Process Design and the High Volume Filer Best Practices" (IACA, 2013) for more information.

eXtensible Mark-up Language (XML)

XML provides a mechanism to label sets of data so they can be shared between systems. It is the underlying standard for systems communication and enables the transfer of data across various media. XML is used in many systems including smartphones, web, and Windows applications.

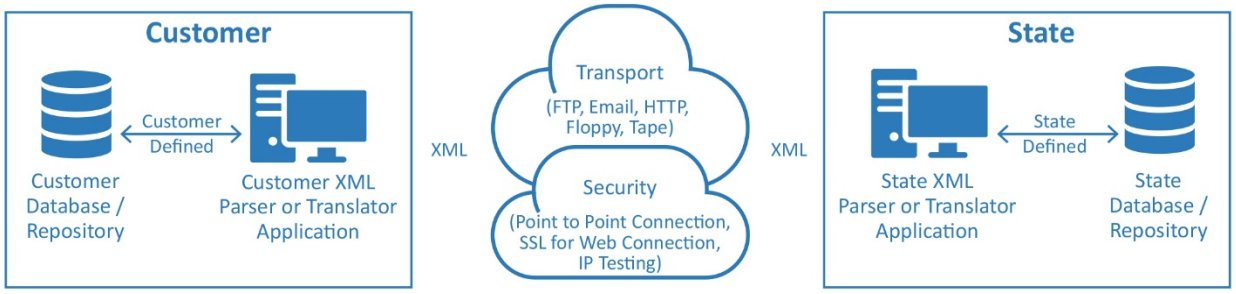
JSON and Alternative Markups

A note for web application developers

JavaScript Object Notation (JSON) is another common and well-supported markup format to transfer information in modern web applications. JSON, along with alternative data markup schemes, are an attractive alternative to XML for many purposes however they lack the wide industry support that XML provides and the formatting enforceability that XML DTDs (document type definitions) and schemas provide. Therefore, IACA standards continue to recommend only XML for data interchange.

How XML is Used

The following diagram illustrates the flexibility of XML in communicating data between different systems using a variety of transmission methods. As long as the structure is predefined and validated then all systems can create the XML document as well as process it. This flexibility also expands in that all modern programming languages and systems have ways to read and write an XML document; XML documents written in open format can be processed in totally different environments.



Although there are many different ways to transmit the XML document from one system to another, IACA recommends utilizing a REST API. Jurisdictions that cannot implement a REST API should utilize v3.10 of this specification.

REST API Endpoints

- POST /FilingAsync
  - Posted data is an XML `<Document>` document
  - Returned data is an XML `<Receipt>` document

  - An XML `<Document>` document with a completed Acknowledgment element will be returned asynchronously to the requestor's ReturnURL, as specified in the Header element
- GET /FilingAsync/{receipt_id}
  - Returned data is an XML `<Status>` document
  - An XML `<Document>` document with a completed Acknowledgment element will be returned asynchronously to the requestor's ReturnURL, as specified in the Header element
- POST /Filing
  - Posted data is an XML `<Document>` document
  - Returned data is an XML `<Document>` document with a completed `<Acknowledgment>` element
- GET /Filing/{packet_num}
  - Returned data is an XML `<Document>` document with a completed `<Acknowledgment>` element
- GET /Filing/{packet_num}/AcknowledgmentPdf
  - Returned data is a PDF file

REST API Security and Authentication

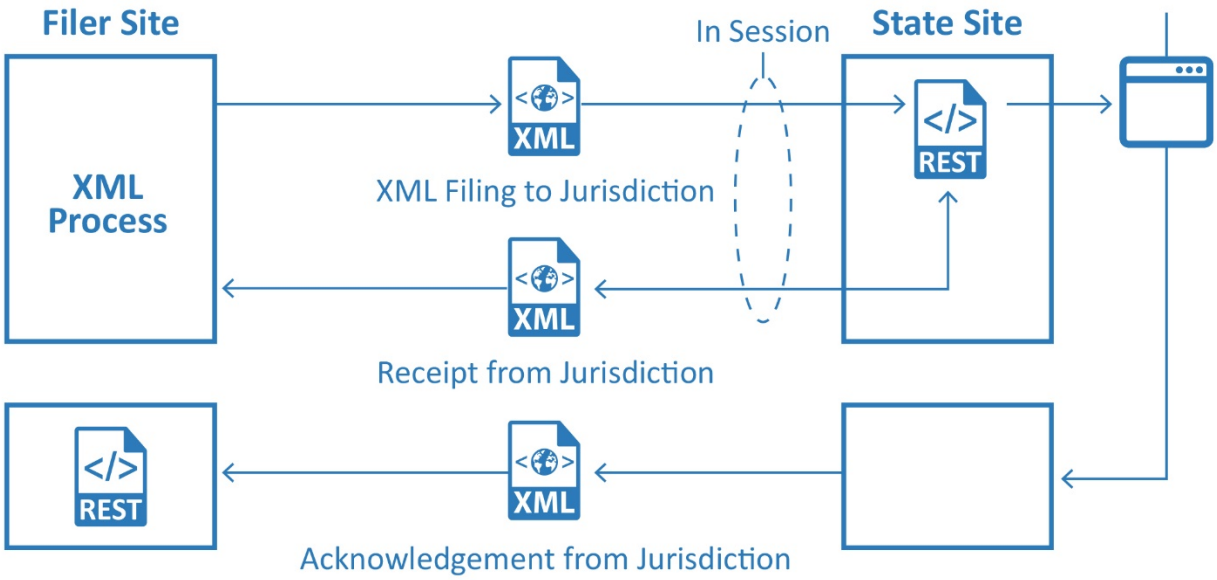
A jurisdiction's API must be secure to ensure filings are tracked back to the submitter for billing and historical audit purposes. IACA strongly recommends using HTTPS to ensure traffic is encrypted and private. The jurisdiction must specify in its implementation guide how users are authenticated. IACA recommends utilizing HTTP Basic authentication headers.

Assumptions

This document makes the following assumptions as it applies to XML and UCC Article 9.

- Payment information is not included in the XML filing.
- Information Statements are excluded from the XML filing.
- An electronic amendment cannot include multiple actions.
- The XML filing will not use collateral codes.
- All data transmitted in the filing must be returned to the filer.
- Sequence of filings is a filer issue – not a filing office issue

Asynchronous Filing Process



During an asynchronous filing process, the XML document is submitted to the jurisdiction and a receipt XML document is returned synchronously from the jurisdiction. This document receipt acknowledges the receipt of the document only and provides an identification number to inquire about the status of the document from the system.

The document receipt will also contain information regarding errors incurred during the initial validation of the document. If a submitted document has errors, it is REFUSED and the jurisdiction will not maintain any record of this filling since it was never ACCEPTED by the office.

Once the filing has been processed by the jurisdiction, the acknowledgment is sent to the <ReturnURL> provided in the XML filing. This is done asynchronously and the submitter must provide an HTTP endpoint to return the information to. Information for user-id and password for the return URL may also be provided in the XML document if required. Jurisdictions may need to verify their security policies will allow for the return URL to be accessed.

Submission Process

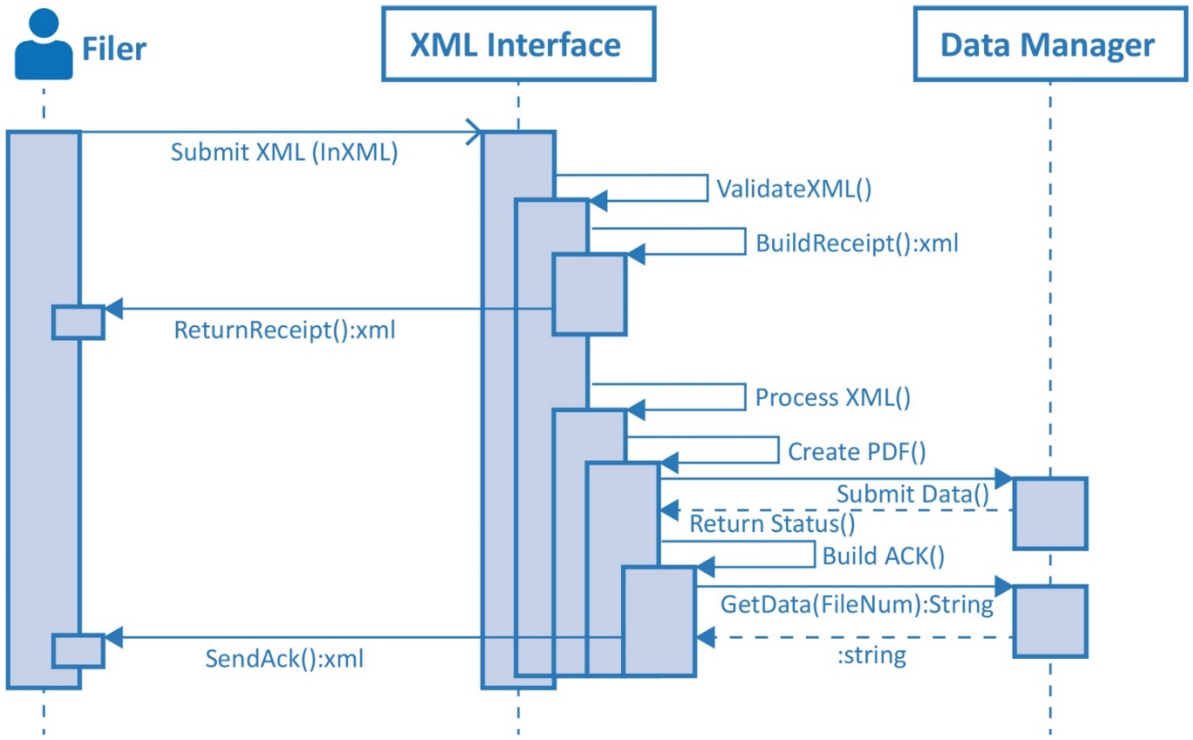
The submission and asynchronous acknowledgment response are accomplished by using an HTTP POST process to the /FilingAsync REST API endpoint. The /FilingAsync endpoint receives the information and in return provides a receipt, as defined later in this specification.

Notes:

- The XML data needs to be XML-encoded to ensure the data packet does not contain characters that may interfere with the HTTP protocol.

- Text must conform to the UTF-8 text format and special characters must either be converted or removed. Of special note are Microsoft Word documents that insert special characters for the single and double quotes and dashes. These must be converted to the normal UTF-8 single and double quote.

The following chart shows the process flow for the web submission of a filing:



Document Receipt

Once the jurisdiction has received the filing via its asynchronous filing endpoint, they will send the receipt document back to the filer. This will be synchronous and the receipt document will have the elements defined later in this specification.

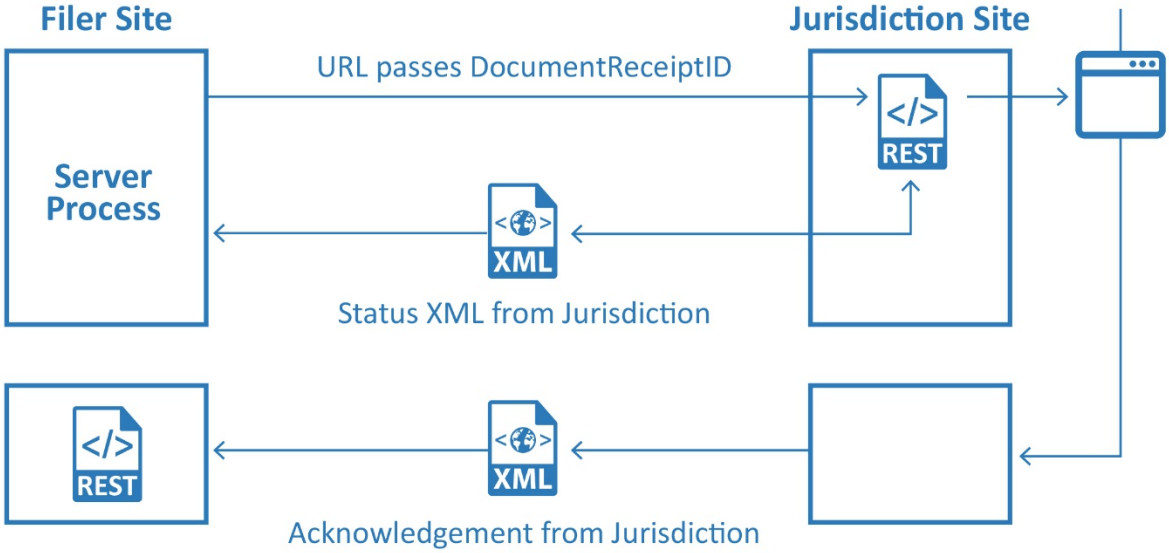
In normal processing the <Status> would be returned as OK. If a processing error occurs, then the appropriate status message will be returned along with the DocumentReceiptID. If it is not possible to generate a DocumentReceiptID then the server will respond with an HTTP error.

Once the filing has been processed, the Filing Acknowledgment will be sent asynchronously from the jurisdiction to the filer.

Status Request

To ensure that the acknowledgment and filing is processed correctly the filer may request the status of the filing.

The filer will send the jurisdiction a request for status using the GET /FilingAsync/{receipt_id}



endpoint. The DocumentReceiptID provided by the POST /FilingAsync endpoint response must be supplied on the status request URL.
The endpoint will return a Status document, as defined later in this specification, to the requestor.

If the filing has been processed, the Filing Acknowledgment will be sent asynchronously from the jurisdiction to the filer.

PDF Acknowledgment Retrieval

A jurisdiction should provide the ability to allow a filer to electronically request a PDF copy of the filing Acknowledgment. This is in addition to the XML Document acknowledgment that is returned by either the filing process or status request.

The process is similar to the status request but instead of receiving the Status XML message a PDF of the acknowledged filing will be returned.

The filer will send the jurisdiction a request for the PDF using the GET /Filing/{packet_num}/AcknowledgmentPdf REST API endpoint. The supplied {packet_num} references the <PacketNum> value previously supplied by the filer, as defined later in this specification. Using the Packet Number rather than the jurisdiction-issued <FileNumber> helps ensure acknowledgment PDFs are only sent to the original filer so as to avoid unscrupulous image retrieval that bypasses collection of copy/retrieval fees. Additionally, HTTP Basic authentication should be used by the jurisdiction to validate that the requestor was the filing submitter.
The jurisdiction will synchronously return an octet-stream containing the PDF with a Content-Type of “application/pdf” and a Content-Disposition of “attachment; filename="<FileNumber>.pdf"” where <FileNumber> is the UCC filing number.

Synchronous Filing Process

During a synchronous filing process, the XML document is submitted to the jurisdiction and the filed or rejected Document is returned synchronously from the jurisdiction. There is no Document Receipt returned or Status Request submission process. Synchronous filing should only be exposed if the jurisdiction can receive, process, and acknowledge filings in near real-time. Any manual review or long-running preparation of the acknowledgment mandates using an asynchronous filing process.

Submission Process

The submission and synchronous acknowledgment are accomplished by using an HTTP POST process to the /Filing endpoint. The jurisdiction REST API endpoint receives the information and in return provides response Document, with a completed Acknowledgment element, as defined later in this specification.

Notes:

- The XML data needs to be XML-encoded to ensure the data packet does not contain characters that may interfere with the HTTP protocol
- Text must conform to the UTF-8 text format and special characters must either be converted or removed. Of special note are Microsoft Word documents that insert special characters for the single and double quotes and dashes. These must be converted to the normal UTF-8 single and double quote.

PDF Acknowledgment Retrieval

The PDF Acknowledgment Retrieval process for synchronous filings is identical to the asynchronous process.

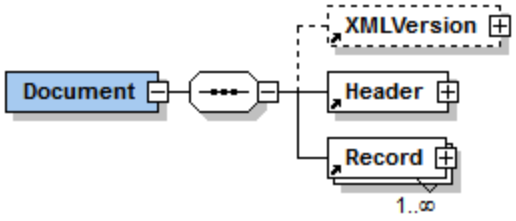
XML File Structure in Detail

The following section describes the elements and their application in detail.

Document

The Document element is the root element for the remaining XML Document. It contains four sub-elements. The first is the single occurrence of **<XMLVersion>** that is used to implement a version control mechanism. The second is the single occurrence of <**Header>** that contains all the information that is global to all the filing records. The third is the actual <**Record>** that contains all the information for a filing.

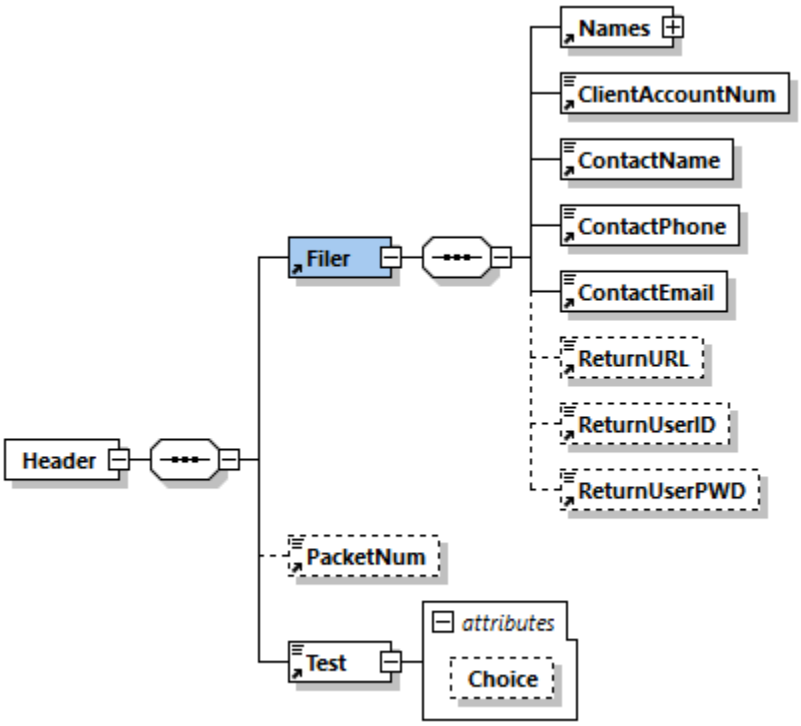
The document must have at least one of all the three sub-elements but can have multiple ‘Record’ elements.



Element	Description	Attribute value	Length	Occurrence
Document	Root element of the XML document		NA	1
XMLVersion	Contains the version number of the DTD used to create this document	See version attribute	NA	Optional Max 1
Header	Global information for all filing records		NA	1
Record	Contains all the information for a filing		NA	1 or more

Header

The **<Header>** element contains all the global information for this document. This includes the filer information and packet reference information and information as to where to return the acknowledgment to. There is only one **<Header>** record in a document.



Element	Description	Attribute value	Length	Occurrence
Header	Base element		NA	1
Filer	Optional container element that holds information regarding who submitted this document. If this information is not sent by the filer, then it shall not be populated on the filing image.		NA	Optional Max 1
Names	Container element for the name information (see the Names definition for more details and field lengths)		NA	1
ClientAccountNum	The submitter account number or identifier		7	1
ContactName	Optional. Name of person to contact regarding this filing. If this information is not sent by the filer, then it shall not be populated on the filing image.		35	1
ContactPhone	Optional. Contact phone number for the filing. If this information is not sent by the filer, then it shall not be populated on the filing image.	xxx-xxx-xxxx	12	1
ContactEmail	Optional. Contact email address for the filing. If this information is not sent by the filer, then it shall not be populated on the filing image. See IETF RFC 2821.		254	1
ReturnURL	The web site address that the Acknowledgment should be sent to if not in a synchronous session. Jurisdictions must ensure their network firewalls allow connectivity to filer's servers.		2,083	1
ReturnUserID	The user ID that may be required for the return information		255	Optional
ReturnUserPWD	The password that may be required for the return information		255	Optional
PacketNum	Unique number identifying this specific document. This number should be unique across submitters for a specific jurisdiction		32	1
Test	Indicates if this document is for testing purposes only. Jurisdictions that utilize this indicator must ensure test filings do not appear on the record or in search results.	"Y" or "N", default is "N"	1	1

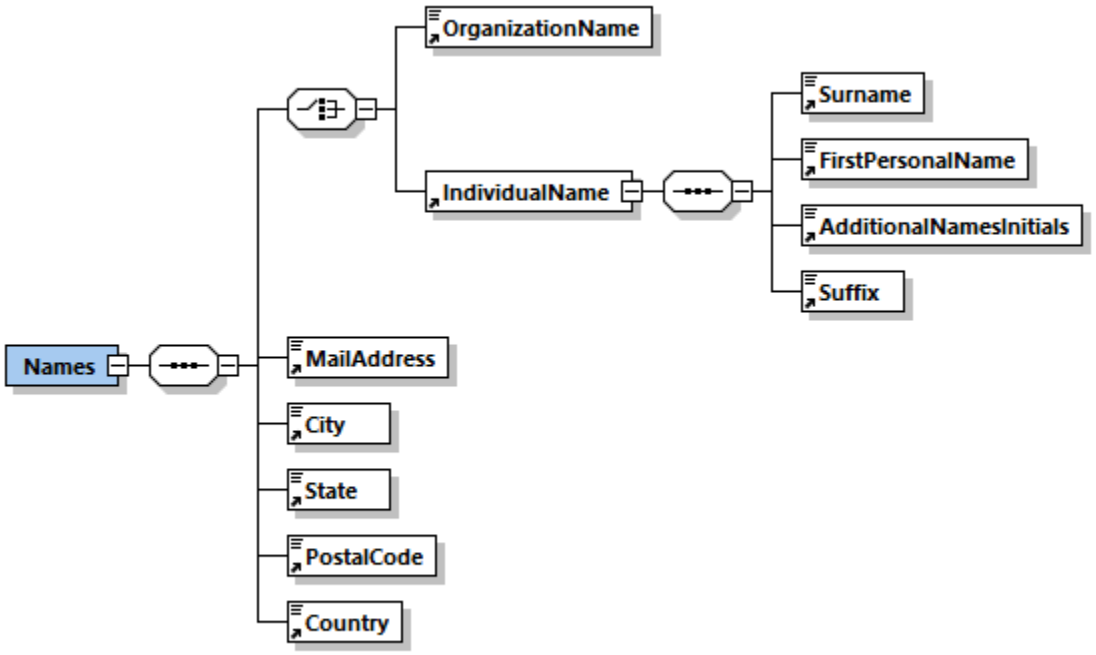
Sample XML Block

```
<Header>
    <Filer>
        <Names>
            <OrganizationName>My Company</OrganizationName>
            <MailAddress>123 My Street</MailAddress>
            <City>Some City</City>
            <State>IL</State>
            <PostalCode>12345</PostalCode>
            <County/>
            <Country>USA</Country>
        </Names>
```

```
                <ClientAccountNum>1234</ClientAccountNum>
                <ContactName>Contact Name</ContactName>
                <ContactPhone/>
                <ContactEmail>me@mycompany.com</ContactEmail>
                <ReturnURL>http://return.itto.me</ReturnURL>
                <ReturnUserID/>
                <ReturnUserPWD/>
        </Filer>
        <PacketNum>12015487022478121</PacketNum>
        <Test Choice="No"/>
</Header>
```

Names

This element container defines all the items associated with a name. This will apply whenever a name is required, such as <**Filer**> or <**Debtor**>. This element container can be used multiple times to allow for as many names as needed within an element container. If a Names element is not supplied or is left blank in a parent <**Filer**> element, it must not be populated by the jurisdiction.



Element	Description	Attribute value	Length	Occurrence
Names	Element container for name information		NA	1
OrganizationName	The name of an organization. Note: Only 1 of the <**OrganizationName**> or <**IndividualName**> elements are allowed in a single <**Names**> container element		300 (min)	Optional Max 1
IndividualName	Container element for the individual name information. See note under <**OrganizationName**>		NA	Optional Max 1
Surname	Individual's last name (surname)		100	1
FirstPersonalName	Individual's first name (first personal name)		100	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		60	Optional Max 1
Suffix	Individual's name suffix		40	Optional Max 1

Element	Description	Attribute value	Length	Occurrence
MailAddress	Contains the street address associated with the name		150	1
City	Contains the city associated with the name		100	1
State	Contains the state code associated with this name		2	1
PostalCode	Contains the postal code or zip code associated with this name		9	1
Country	Contains the 3-digit country code associated with this name		3	Optional Max 1

Sample XML Block

COMPANY

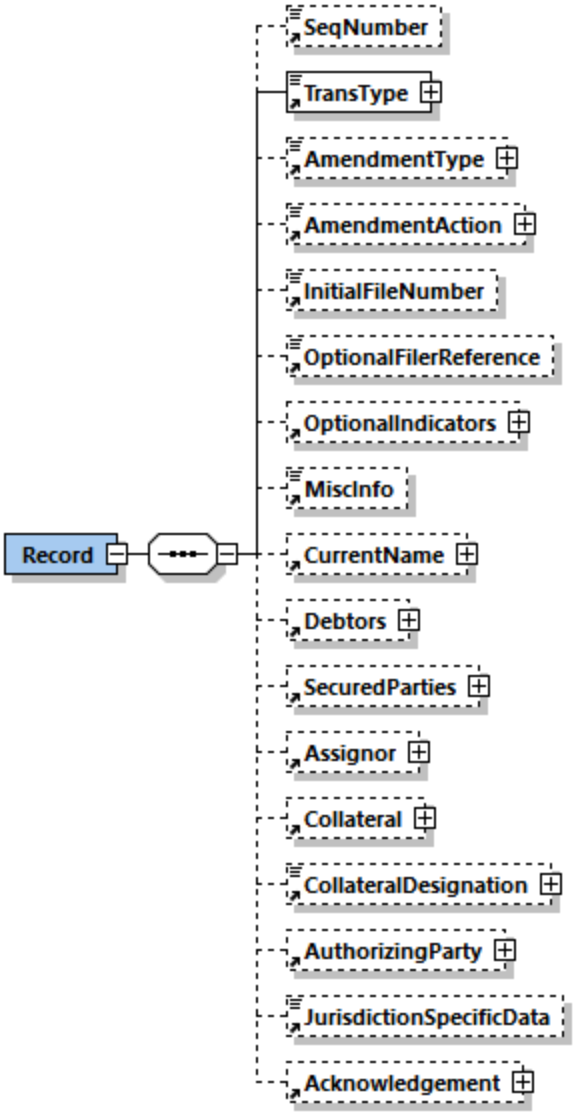
```
<Names>
        <OrganizationName>Company Debtor</OrganizationName>
        <MailAddress>Company Street</MailAddress>
        <City>Some City</City>
        <State>KS</State>
        <PostalCode>12345</PostalCode>
        <Country>USA</Country>
</Names>
```

INDIVIDUAL

```
<Names>
        <IndividualName>
                <LastName>Name</LastName>
                <FirstPersonalName>Individual</FirstPersonalName>
                <AdditionalNamesInitials/>
                <Suffix/>
        </IndividualName>
        <MailAddress>Some Street</MailAddress>
        <City>Some City</City>
        <State>KS</State>
        <PostalCode>12345</PostalCode>
</Names>
```

Record

This is the main container element for this XML document. It contains additional sub-elements to properly define both the submitted filings as well as the returned acknowledgment. It also provides a means to return error information for each filing transaction.



Element	Description	Attribute value	Length	Occurrence
Record	Container element		NA	1
SeqNumber	Unique number within this document. Usually incremental from 1 to the maximum number of records allowed by the receiving jurisdiction.		5	1
TransType	The type of filing being referenced	See TransType attribute list	NA	1
AmendmentType	The type of amendment being filed	See Amendmen	NA	Optional Max 1

Element	Description	Attribute value	Length	Occurrence
		tType Attribute list		
AmendmentAction	The action for the specific amendment	See AmendmentAction attribute list	NA	Optional Max 1
InitialFileNumber	For an amendment the original file number	Must be numeric	100	Optional Max 1
OptionalFilerReference	A field for the submitter's use. This value is returned to the submitter in the acknowledgment and is output on the acknowledgment PDF in the Optional Filer Reference Data field.		80	Optional Max 1
OptionalIndicators	Contains a list of OptionalIndicator elements that specifies the alternate relationship of the Secured Party to the Debtor, and/or alternate filing types that may be filed	See OptionalIndicators attribute list	NA	Optional 0 or more
MiscInfo	Miscellaneous filing information		300	Optional Max 1
CurrentName	Container element for amendments that take action on a name this field contains the original or current name on file		NA	Optional Max 1
Debtors	Container element for debtor information		NA	Optional Max 1
SecuredParties	Container element for secured party information		NA	Optional Max 1
Assignor	Container element for assignor information		NA	Optional Max 1
Collateral	Container for collateral information		NA	Optional Max 1
CollateralDesignation	Specifies that the collateral is held in trust or being administered by a Decedent's Personal Representative	See CollateralDesignation attribute list	NA	Optional Max 1
AuthorizingParty	Container element for the authorizing party		NA	Optional Max 1
JurisdictionSpecificData	Placeholder container element for any jurisdiction-specific elements. See Appendex A.		NA	Optional Max 1
Acknowledgement	Container element for the acknowledgment that is returned from the jurisdiction.		NA	Optional Max 1

Note:

Although the specification allows for multiple filing Records to be submitted in a single XML Document, it is recommended that only the submission of one filing Record per XML Document, so the sequence number will always be 1.

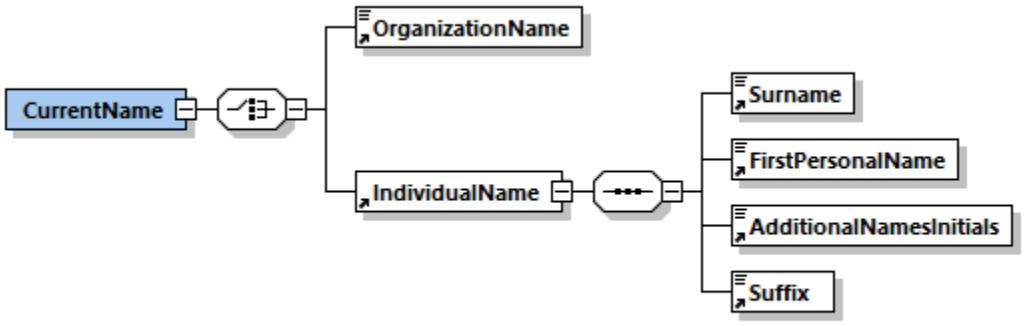
The Acknowledgement section is optional because it does not have to be submitted and will only be required when the acknowledgement information is returned.

Sample XML Block

See the Sample XML section later in this document for samples.

CurrentName

On amendments that alter a name this container element specifies the current or previous name information.



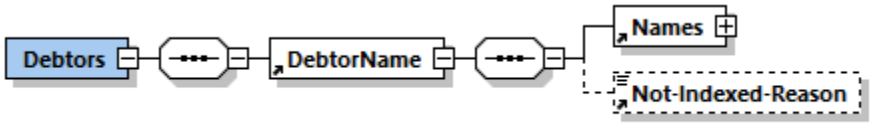
Element	Description	Attribute value	Length	Occurrence
CurrentName	Container Element		NA	1
OrganizationName	The name of an organization. Note: Only 1 of the <**OrganizationName**> or <**IndividualName**> elements are allowed in a single <**Names**> container element		300	Optional Max of 1
IndividualName	Container element for the individual name information. See note under <**OrganizationName**>		NA	Optional Max of 1
Surname	Individual's last name (surname)		100	1
FirstPersonalName	Individual's first name (first personal name)		100	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		60	Optional Max 1
Suffix	Individuals name suffix		40	1

Sample XML Block

```
<CurrentName>
        <OrganizationName>Old Company Debtor</OrganizationName>
</CurrentName>
```

Debtors

This container element contains all the debtors associated with this filing. The <**DebtorName**> container element is used to address multiple debtor names.



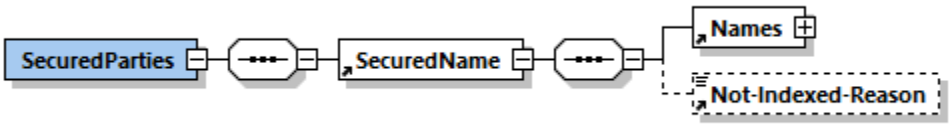
Element	Description	Attribute value	Length	Occurrence
Debtors	Container element		NA	1
DebtorName	Container element		NA	1 or more
Names	Container element	See Names definition	NA	1
Not-Indexed-Reason	Indicates on the Acknowledgement why the name was not indexed by the jurisdiction		100	Optional Max 1

Sample XML Block

```
<Debtors>
        <DebtorName>
                <Names>
                        <OrganizationName>Company Debtor</OrganizationName>
                        <MailAddress>Company Street</MailAddress>
                        <City>Some City</City>
                        <State>IL</State>
                        <PostalCode>12345</PostalCode>
                        <Country>USA</Country>
                </Names>
        </DebtorName>
        <DebtorName>
                <Names>
                        <IndividualName>
                                <LastName>Name</LastName>
                                <FirstPersonalName>Individual</FirstPersonalName>
                                <AdditionalNamesInitials/>
                                <Suffix/>
                        </IndividualName>
                        <MailAddress>Some Street</MailAddress>
                        <City>Some City</City>
                        <State>IL</State>
                        <PostalCode>12345</PostalCode>
                </Names>
        </DebtorName>
</Debtors>
```

SecuredParties

This container element contains all the secured parties associated with this filing. The <**SecuredName**> container element is used to address multiple secured party names.



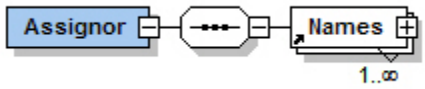
Element	Description	Attribute value	Length	Occurrence
SecuredParties	Container element for secured party names		NA	1
SecuredName	Container element for specific secured party names		NA	1 or more
Names	Container element for name information	See Names definition	NA	1
Not-Indexed-Reason	Indicates on the Acknowledgement why the name was not indexed by the jurisdiction		100	Optional Max 1

Sample XML Block

```
<SecuredParties>
        <SecuredName>
                <Names>
                        <OrganizationName>Secured Party</OrganizationName>
                        <MailAddress>1 Secured Party Place</MailAddress>
                        <City>Some City</City>
                        <State>FL</State>
                        <PostalCode>54321</PostalCode>
                        <Country>USA</Country>
                </Names>
        </SecuredName>
</SecuredParties>
```

Assignor

This container element contains all the assignors associated with this filing. The <**Names**> container element is used to address multiple assignor names.



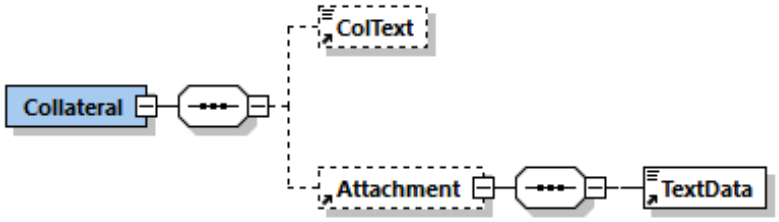
Element	Description	Attribute value	Length	Occurrence
Assignor	Container element for assignor names		NA	Optional Max 1
Names	Assignor name specifics	See Names definition	NA	1 or more

Sample XML block

```
<Assignor>
        <Names>
                <OrganizationName>Secured Party</OrganizationName>
                <MailAddress>1 Secured Party Place</MailAddress>
                <City>Some City</City>
                <State>AK</State>
                <PostalCode>54321</PostalCode>
                <Country>USA</Country>
        </Names>
</Assignor>
```

Collateral

This container element is used to specify the collateral information for the filing. Although all the collateral elements are optional (ColText and/or Attachment) at least one must be present in order to have a valid Collateral element.



Element	Description	Attribute value	Length	Occurrence
Collateral	Container element		NA	1
ColText	The collateral statement		10 MB	Optional Max 1
Attachment	Container element		NA	Optional Max 1
TextData	The actual BASE64-encoded PDF for the attachment		10 MB	1

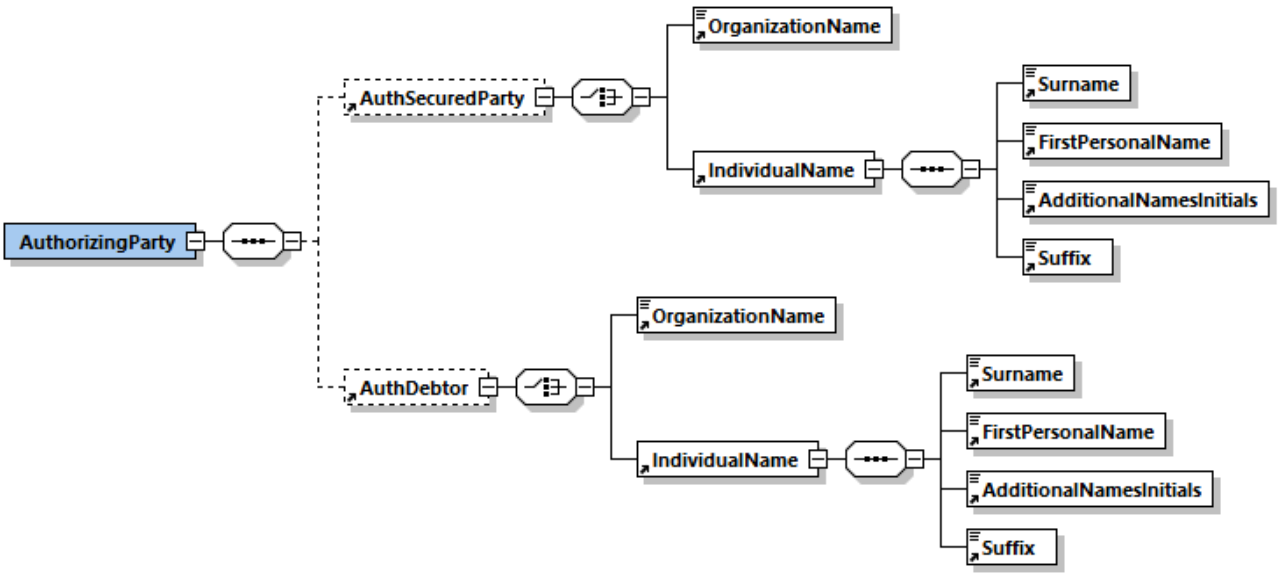
The attachment is in addition to the collateral statement found in the <ColText> element and only BASE64-encoded PDF files are acceptable for attachments.

Sample XML Block

```
<Collateral>
        <ColText>Some text collateral</ColText>
        <Attachment>
                <TextData>Base64 encoded PDF document</TextData>
        </Attachment>
</Collateral>
```

AuthorizingParty

This container element contains all the information regarding the party that is authorized to perfect this filing.



Element	Description	Attribute value	Length	Occurrence
AuthorizingParty	Container element		NA	Optional Max 1
AuthSecuredParty	Container element		NA	Optional Max 1
OrganizationName	The name of an organization. Note: Only 1 of the <**OrganizationName**> or <**IndividualName>** elements are allowed in a single **<Names>** container element		300	Optional Max 1
IndividualName	Container element for the individual name information. See note under <**OrganizationName**>		NA	Optional Max 1
Surname	Individual's last name (surname)		100	1
FirstPersonalName	Individual's first name (first personal name)		100	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		60	Optional Max 1
Suffix	Individuals name suffix		40	1
AuthDebtor	Container element		NA	Optional Max 1

Element	Description	Attribute value	Length	Occurrence
OrganizationName	The name of an organization. Note: Only 1 of the <**OrganizationName**> or <**IndividualName>** elements are allowed in a single **<Names>** container element		300	Optional Max 1
IndividualName	Container element for the individual name information. See note under <**OrganizationName**>		NA	Optional Max 1
Surname	Individual's last name (surname)		100	1
FirstPersonalName	Individual's first name (first personal name)		100	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		60	Optional Max 1
Suffix	Individuals name suffix		40	1

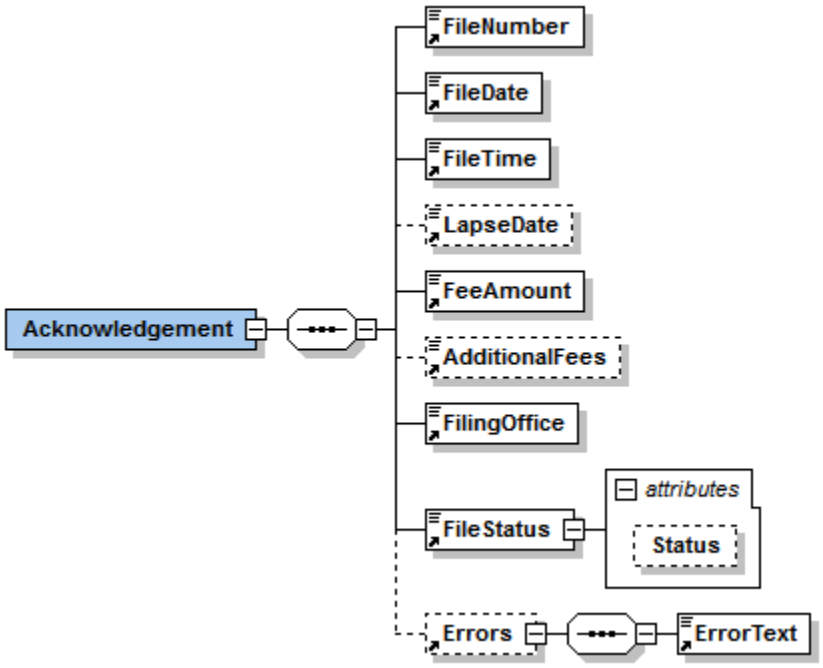
Note: only one <AuthDebtor> or <AuthSecuredParty> element is allowed.

Sample XML block

```
<AuthorizingParty>
        <AuthSecuredParty>
                <OrganizationName>Some Secured Party</OrganizationName>
        </AuthSecuredParty>
</AuthorizingParty>
```

Acknowledgment

This container element is used to return the acknowledgment information once a document has been processed by the state or jurisdiction. It also allows for error conditions to be returned in the <**Error**> container element. There is only one acknowledgment per record or filing.



Element	Description	Attribute value	Length	Occurrence
Acknowledgement	Container element		NA	1
FileNumber	The file number assigned to this filing		20	1
FileDate	Date filing was processed	YYYYMMDD	8	1
FileTime	Time filing was processed	HHMM	4	1
LapseDate	Date filing will lapse (used also as expiration date)	YYYYMMDD	8	
FeeAmount	The Fee charged for this filing	####.##	7	1
AdditionalFees	Any additional fees charged for this filing (typically a convenience fee)	##.##	5	Optional Max 1
FilingOffice	Jurisdiction name of filing office		100	
FileStatus	The status of this filing	See attribute list	NA	1
Errors	Container Element		NA	Optional Max 1
ErrorText	The error text associated with the error		1024	1 or More

Sample XML Block

```
<Acknowledgement>
        <FileNumber>12345678</FileNumber>
        <FileDate>20210923</FileDate>
        <FileTime/>
        <LapseDate>20260923</LapseDate>
        <FeeAmount>10.00</FeeAmount>
        <FilingOffice>Secretary of Jurisdiction</FilingOffice>
        <FileStatus Status="Accepted" />
</Acknowledgement>
```

Attribute Values

The following is a breakdown of all the attribute elements and values. They are listed in the order of how the elements appear in the Document XML tree.

XMLVersion

Element Name	**XMLVersion**
Description	Version Number for this DTD
Attribute Values	20190101

Test

Element Name	**Test**
Description	Indicates that this is a test filing. Jurisdictions are encouraged to set up and utilize a dedicated test environment. Jurisdictions must ensure that filings where Test = Yes do not end up on the record or in search results.
Attribute Values	Yes
Default	No

TransType

Element Name	**TransType**
Description	The type of UCC filing being defined
Attribute Values	Initial (Default)
	Amendment

AmendmentType

Element Name	**AmendmentType**
Description	Specifies the type of amendment being filed
Attribute Values	AmendmentCollateral
	AmendmentParties
	Assignment Note that the effect of any UCC3 Assignment is to add a secured party of record.
	Continuation
	TerminationDebtor A debtor may effectively terminate the record only if it has followed the statutory procedures set forth in § 9-513. As a result, this action would be extremely rare for a record submitted by XML.
	TerminationSecuredParty

Default	NOType

AmendmentAction

Element Name	**AmendmentAction**
Description	Specifies the action to be taken by the amendment being filed
Attribute Values	DebtorAdd Adds a debtor of record. Requires debtor name and address.
	DebtorChange Intended to change information regarding a debtor but in effect adds a debtor of record if the name is different than a previously provided name. Requires use of current record name.
	DebtorDelete Requires only an entry in current record name.
	SecuredPartyAdd Adds a secured party of record. Requires secured party name and address.
	SecuredPartyChange Intended to change information regarding a secured party but in effect adds a secured party of record if the name is different than a previously provided name. Requires use of current record name.
	SecuredPartyDelete Requires only an entry in current record name.
	CollateralAdd To be used when the AmendmentType is AmendmentCollateral.
	CollateralDelete To be used when the AmendmentType is AmendmentCollateral.
	CollateralRestate To be used when the AmendmentType is AmendmentCollateral. This action has the effect of replacing all prior collateral descriptions. However, prior collateral entries should not be deleted but remain in the database for review by searchers.
	CollateralAssign THIS IS NOT A COLLATERAL AMENDMENT. It is only used at the filer's option when the AmendmentType is Assignment. This checkbox and entry in the collateral text together indicate the collateral that will be affected by any amendments filed by the assignee secured party.
Default	NOAction

OptionalIndicator

The <OptionalIndicators> optional element contains a list of <OptionalIndicator> elements, each with a single Type attribute

Element Name	**OptionalIndicator**

Description	Specifies other non UCC filings that use this DTD **and/or** Specifies the alternate relationship of the Secured Party to the Debtor These designations are generally used with precautionary filing when the parties do not intend to create a UCC security interest but might need to have a filed financing statement as insurance if a court later determines the transaction is within the scope of Article 9. The effect of the record is the same regardless of whether one of these OptionalIndicatorattributes is provided.
Attribute Values	TransmittingUtility Transmitting utility is a designation regarding the nature of the debtor and is used by the filing office to set the lapse date. It is not a separate type of UCC record and should not be indicated as anything other than a financing statement.
	ManufacturedHome Manufactured-home transaction is a designation regarding the underlying nature of the transaction and is used by the filing office to set the lapse date. It is not a separate type of UCC record. Several jurisdictions have non-uniform amendments that do not recognize extended effectiveness of records with this designation.
	PublicFinance Public-finance transaction is a designation regarding the underlying nature of the transaction and is used by the filing office to set the lapse date. It is not a separate type of UCC record. Several jurisdictions have non-uniform amendments that do not recognize extended effectiveness of records with this designation.
	FederalLien
	StateLien
	JudgementLien
	AgLien This is used to indicate that the UCC record is filed to perfect a statutory agricultural lien that is within the scope of Article 9. It is not to be confused with the Food Security Act (FSA), which is a separate type of record entirely filed under federal law.
	NonUCCFIling This is generally used with precautionary filing when the parties do not intend to create a UCC security interest but might need to have a filed financing statement as insurance if a court later determines the transaction is within the scope of Article 9.
	Lessee-Lessor
	Consignee-Consignor
	Bailee-Bailor
	Seller-Buyer
	Licensee-Licensor
	Beneficiary
	Trustee
	Creditor
Default	NOOptionalIndicator

CollateralDesignation

Element Name	**CollateralDesignation**
Description	Specifies the designation as it applies to the collateral.
Attribute Values	PersonalRepresentative
	Trust
Default	NODesignation

Designation

Element Name	**Designation**
Description	Defines the type of collateral, as utilized within the FileInRealEstate element.
Attribute Values	Timber
	AsExtractedCollateral
	Fixtures
Default	NOType

FileStatus

Element Name	**FileStatus**
Description	In the acknowledgment element indicates the status of the filing
Attribute Values	Accepted
	Rejected
	AcceptedWithErrors
Default	NOStatus

Filing Element Usage by Filing Type

The following table outlines which elements are used where for what filing type

Key:

N/A = Does not apply to the specific document

For Filer Use Only:
O = Optional
R = Required

For Filing Office Use Only:
O/O = Optional
R/O = Required

Document:

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
XMLVersion	O	O	O	O	O	O	O

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
Header	R	R	R	R	R	R	R
Record	R	R	R	R	R	R	R

Header:

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
Filer	R	R	R	R	R	R	R
Names[1]	O	O	O	O	O	O	O
OrganizationName	O	O	O	O	O	O	O
IndividualName[2]	O	O	O	O	O	O	O
Surname	O	O	O	O	O	O	O
FirstPersonalName	O	O	O	O	O	O	O
AdditionalNamesInitials	O	O	O	O	O	O	O
Suffix	O	O	O	O	O	O	O
MailAddress	O	O	O	O	O	O	O
City	O	O	O	O	O	O	O
State	O	O	O	O	O	O	O
PostalCode	O	O	O	O	O	O	O
Country	O	O	O	O	O	O	O
ClientAccountNum	O	O	O	O	O	O	O
ContactName	O	O	O	O	O	O	O
ContactPhone	O	O	O	O	O	O	O
ContactEmail	O	O	O	O	O	O	O
PacketNum	R	R	R	R	R	R	R
Test	R	R	R	R	R	R	R

Record:

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
SeqNumber	R	R	R	R	R	R	R
TransType	R	R	R	R	R	R	R
AmendmentType[3]	N/A	R	R	R	R	R	R
AmendmentAction[3]	N/A	R	R	R	O	N/A	N/A
InitialFileNumber	N/A	R	R	R	R	R	R
OptionalFilerReference	O	O	O	O	O	O	O
OptionalIndicators	O	O	N/A	N/A	N/A	N/A	N/A
OptionalIndicator	O	O	N/A	N/A	N/A	N/A	N/A
MiscInfo	N/A	O	O	O	O	O	O
CurrentName[1]	N/A	O	O	N/A	N/A	N/A	N/A
OrganizationName	N/A	O	O	N/A	N/A	N/A	N/A
IndividualName[2]	N/A	O	O	N/A	N/A	N/A	N/A

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
Surname	N/A	R	R	N/A	N/A	N/A	N/A
FirstPersonalName	N/A	O	O	N/A	N/A	N/A	N/A
AdditionalNamesInitials	N/A	O	O	N/A	N/A	N/A	N/A
Suffix	N/A	O	O	N/A	N/A	N/A	N/A
Debtors	R	R	N/A	N/A	N/A	N/A	N/A
DebtorName	R	R	N/A	N/A	N/A	N/A	N/A
Names[1]	R	R	N/A	N/A	N/A	N/A	N/A
OrganizationName	O	O	N/A	N/A	N/A	N/A	N/A
IndividualName[2]	O	O	N/A	N/A	N/A	N/A	N/A
Surname	R	R	N/A	N/A	N/A	N/A	N/A
FirstPersonalName	O	O	N/A	N/A	N/A	N/A	N/A
AdditionalNamesInitials	O	O	N/A	N/A	N/A	N/A	N/A
Suffix	O	O	N/A	N/A	N/A	N/A	N/A
MailAddress	R	R	N/A	N/A	N/A	N/A	N/A
City	R	R	N/A	N/A	N/A	N/A	N/A
State	R	R	N/A	N/A	N/A	N/A	N/A
PostalCode	O	O	N/A	N/A	N/A	N/A	N/A
Country	O	O	N/A	N/A	N/A	N/A	N/A
NotIndexedReason	O/O	O/O	N/A	N/A	N/A	N/A	N/A
DebtorAltCapacity	O	O	N/A	N/A	N/A	N/A	N/A
SecuredParties	R	N/A	R	N/A	R	N/A	N/A
Names[1]	R	N/A	R	N/A	R	N/A	N/A
OrganizationName	O	N/A	O	N/A	O	N/A	N/A
IndividualName[2]	O	N/A	O	N/A	O	N/A	N/A
Surname	R	N/A	R	N/A	R	N/A	N/A
FirstPersonalName	O	N/A	O	N/A	O	N/A	N/A
AdditionalNamesInitials	O	N/A	O	N/A	O	N/A	N/A
Suffix	O	N/A	O	N/A	O	N/A	N/A
MailAddress	R	N/A	R	N/A	R	N/A	N/A
City	R	N/A	R	N/A	R	N/A	N/A
State	R	N/A	R	N/A	R	N/A	N/A
PostalCode	O	N/A	O	N/A	O	N/A	N/A
Country	O	N/A	O	N/A	O	N/A	N/A
Assignor	O	N/A	N/A	N/A	O	N/A	N/A
Names[1]	R	N/A	N/A	N/A	O	N/A	N/A
OrganizationName	O	N/A	N/A	N/A	O	N/A	N/A
IndividualName[2]	O	N/A	N/A	N/A	O	N/A	N/A
Surname	R	N/A	N/A	N/A	O	N/A	N/A
FirstPersonalName	O	N/A	N/A	N/A	O	N/A	N/A
AdditionalNamesInitials	O	N/A	N/A	N/A	O	N/A	N/A
Suffix	O	N/A	N/A	N/A	O	N/A	N/A
MailAddress	R	N/A	N/A	N/A	O	N/A	N/A
City	R	N/A	N/A	N/A	O	N/A	N/A
State	R	N/A	N/A	N/A	O	N/A	N/A
PostalCode	O	N/A	N/A	N/A	O	N/A	N/A
Country	O	N/A	N/A	N/A	O	N/A	N/A

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
Collateral	R	N/A	N/A	R	N/A	N/A	N/A
ColText	O	N/A	N/A	O	N/A	N/A	N/A
Attachment	O	N/A	N/A	O	N/A	N/A	N/A
TextData	R	R	R	R	R	R	R
CollateralDesignation	O	N/A	N/A	N/A	N/A	N/A	N/A
AuthorizingParty	N/A	O	O	O	O	O	O
AuthSecuredParty[1]	N/A	N/A	O	O	O	O	O
OrganizationName	N/A	N/A	O	O	O	O	O
IndividualName[2]	N/A	N/A	O	O	O	O	O
Surname	N/A	N/A	R	R	R	R	R
FirstPersonalName	N/A	N/A	O	O	O	O	O
AdditionalNamesInitials	N/A	N/A	O	O	O	O	O
Suffix	N/A	N/A	O	O	O	O	O
AuthDebtor[1]	N/A	O	N/A	O	N/A	N/A	O
OrganizationName	N/A	O	N/A	O	N/A	N/A	O
IndividualName[2]	N/A	O	N/A	O	N/A	N/A	O
Surname	N/A	R	N/A	R	N/A	N/A	O
FirstPersonalName	N/A	O	N/A	O	N/A	N/A	O
AdditionalNamesInitials	N/A	O	N/A	O	N/A	N/A	O
Suffix	N/A	O	N/A	O	N/A	N/A	O
JurisdictionSpecificData	O	O	O	O	O	O	O
Acknowledgement	R/O	R/O	R/O	R/O	R/O	R/O	R/O
FileNumber	R/O	R/O	R/O	R/O	R/O	R/O	R/O
FileDate	R/O	R/O	R/O	R/O	R/O	R/O	R/O
FileTime	R/O	R/O	R/O	R/O	R/O	R/O	R/O
FeeAmount	R/O	R/O	R/O	R/O	R/O	R/O	R/O
AdditionalFees	R/O	R/O	R/O	R/O	R/O	R/O	R/O
FilingOffice	R/O	R/O	R/O	R/O	R/O	R/O	R/O
FileStatus	R/O	R/O	R/O	R/O	R/O	R/O	R/O
Errors	O/O	O/O	R/O	O/O	O/O	O/O	O/O
ErrorText	O/O	O/O	R/O	O//O	O/O	O/O	O/O

Notes:

[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.

[2]For the IndividualName, the Surname is required. The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.

[3]The Filing DTD allows for only one AmendmentType and AmendmentAction per record. Information statements are not part of the XML filing.

Form Generation Recommendations

A jurisdiction must produce a filing image to be placed on their record which can be presented with future search results. In addition to the information submitted as part of the XML filing, it must include a human-readable filing "stamp" containing the file date and number.

Filing Document Type Definition

```
<?xml version="1.0" encoding="UTF-8"?>
<!--This DTD is for IACA XML Specifications of UCC Filings -->
<!--Version: 20190101 Released: TBD  Author:  IACA UCC XML Filing Specification Workgroup-->
<!--Initial release of this DTD by Tom Ose on 08/17/2001-->
<!ELEMENT Acknowledgement (FileNumber, FileDate, FileTime, LapseDate?, FeeAmount, AdditionalFees?,
                           FilingOffice, FileStatus, Errors?)>
<!ELEMENT AdditionalFees (#PCDATA)>
<!ELEMENT AdditionalNamesInitials (#PCDATA)>
<!ELEMENT AmendmentAction (#PCDATA)>
<!ELEMENT AmendmentType (#PCDATA)>
<!ELEMENT Assignor (Names+)>
<!ELEMENT Attachment (TextData)>
<!ELEMENT AuthDebtor (OrganizationName | IndividualName)>
<!ELEMENT AuthSecuredParty (OrganizationName | IndividualName)>
<!ELEMENT AuthorizingParty (AuthSecuredParty?, AuthDebtor?)>
<!ELEMENT City (#PCDATA)>
<!ELEMENT ClientAccountNum (#PCDATA)>
<!ELEMENT ColText (#PCDATA)>
<!ELEMENT Collateral (ColText?, Attachment?)>
<!ELEMENT CollateralDesignation (#PCDATA)>
<!ELEMENT ContactEmail (#PCDATA)>
<!ELEMENT ContactName (#PCDATA)>
<!ELEMENT ContactPhone (#PCDATA)>
<!ELEMENT Country (#PCDATA)>
<!ELEMENT CurrentName (OrganizationName | IndividualName)>
<!ELEMENT DebtorAltCapacity (#PCDATA)>
<!ELEMENT DebtorName (Names, DebtorAltCapacity?, Not-Indexed-Reason?, Trust?, TrustDate?)>
<!ELEMENT Debtors (DebtorName+)>
<!ELEMENT Document (XMLVersion?, Header, Record+)>
<!ELEMENT ErrorText (#PCDATA)>
<!ELEMENT Errors (ErrorText+)>
<!ELEMENT FeeAmount (#PCDATA)>
<!ELEMENT FileDate (#PCDATA)>
<!ELEMENT FileNumber (#PCDATA)>
<!ELEMENT FileStatus (#PCDATA)>
<!ELEMENT FileTime (#PCDATA)>
<!ELEMENT Filer (Names, ClientAccountNum, ContactName, ContactPhone, ContactEmail, ReturnURL?,
                 ReturnUserID?, ReturnUserPWD?)>
<!ELEMENT FilingOffice (#PCDATA)>
<!ELEMENT FirstPersonalName (#PCDATA)>
<!ELEMENT Header (Filer, PacketNum?, Test)>
<!ELEMENT IndividualName (LastName, FirstPersonalName, AdditionalNamesInitials, Suffix)>
<!ELEMENT InitialFileNumber (#PCDATA)>
<!ELEMENT JurisdictionSpecificData (#PCDATA)>
<!ELEMENT LapseDate (#PCDATA)>
<!ELEMENT MailAddress (#PCDATA)>
<!ELEMENT MiscInfo (#PCDATA)>
<!ELEMENT Names ((OrganizationName | IndividualName), MailAddress, City, State, PostalCode, Country,
                 )>
<!ELEMENT Not-Indexed-Reason (#PCDATA)>
```

```
<!ELEMENT OptionalFilerReference (#PCDATA)>
<!ELEMENT OptionalIndicator (#PCDATA)>
<!ELEMENT OptionalIndicators (OptionalIndicator+)>
<!ELEMENT OrganizationName (#PCDATA)>
<!ELEMENT PacketNum (#PCDATA)>
<!ELEMENT PostalCode (#PCDATA)>
<!ELEMENT Record (SeqNumber?, TransType, AmendmentType?, AmendmentAction?, InitialFileNumber?,
                  OptionalFilerReference?, OptionalIndicators?, MiscInfo?, CurrentName?, Debtors?, SecuredParties?,
                  Assignor?, Collateral?, CollateralDesignation?, AuthorizingParty*, JurisdictionSpecificData?,
                  Acknowledgement?)>
<!ELEMENT ReturnURL (#PCDATA)>
<!ELEMENT ReturnUserID (#PCDATA)>
<!ELEMENT ReturnUserPWD (#PCDATA)>
<!ELEMENT SecuredParties (SecuredName+)>
<!ELEMENT SecuredName (Names, Not-Indexed-Reason?)>
<!ELEMENT SeqNumber (#PCDATA)>
<!ELEMENT State (#PCDATA)>
<!ELEMENT Suffix (#PCDATA)>
<!ELEMENT Surname (#PCDATA)>
<!ELEMENT TaxID (#PCDATA)>
<!ELEMENT TextData (#PCDATA)>
<!ELEMENT Test (#PCDATA)>
<!ELEMENT TransType (#PCDATA)>
<!ELEMENT XMLVersion EMPTY>
<!ATTLIST XMLVersion
        Version (20190101) “20190101”
>
<!ATTLIST Test
        Choice (Yes | No) “No”
>
<!ATTLIST TransType
        Type (Initial | Amendment) “Initial”
>
<!ATTLIST OptionalIndicator
        Type (AgLien | NonUCCFiling | TransmittingUtility | ManufacturedHome | PublicFinance | FederalLien | StateLien
| JudgementLien | Lessee-Lessor | Consignee-Consignor | Bailee-Bailor | Seller-Buyer | Licensee-Licensor | Beneficiary |
Trustee | Creditor | NOOptionalIndicator) “NOOptionalIndicator”
>
<!ATTLIST AmendmentAction
        Action (DebtorAdd | DebtorChange | DebtorDelete | SecuredPartyAdd | SecuredPartyChange |
SecuredPartyDelete | CollateralAdd | CollateralChange | CollateralDelete | CollateralRestate | CollateralAssign |
NOAction) “NOAction”
>
<!ATTLIST AmendmentType
        Type (AmendmentCollateral | AmendmentParties | Assignment | Continuation | TerminationDebtor |
TerminationSecuredParty | NOType) “NOType”
>
<!ATTLIST CollateralDesignation
        Type (Trust | PersonalRepresentative | NODesignation) “NODesignation”
>
<!ATTLIST DebtorAltCapacity
        AltCapacity (Estate | Trust | Trustee | NOAltCapacity) “NOAltCapacity”
>
<!ATTLIST Designation
        Type (Timber | AsExtractedCollateral | Fixture | NOType) “NOType”
>
<!ATTLIST FileStatus
        Status (Accepted | Rejected | AcceptedWithErrors | NOStatus) “NOStatus”
>
```

Sample Filing

The following section provides example XML filings, including an Initial filing, an Amendment (Termination), and the acknowledgements for the initial filings.

Initial

The following is an initial filing:

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Springfield</City>
        <State>IL</State>
        <PostalCode>62703</PostalCode>
        <County/>
        <Country>USA</Country>
      </Names>
      <ClientAccountNum>2A</ClientAccountNum>
      <ContactName>Tommy Filer</ContactName>
      <ContactPhone>(217)444-1234</ContactPhone>
      <ContactEmail>tfiller@yahoo.com</ContactEmail>
    </Filer>
    <PacketNum>2A-20210923-104507123</PacketNum>
    <Test>No</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Initial</TransType>
    <OptionalFilerReference>Filed with US Secretary of Jurisdiction; Doc ID 12345AB</OptionalFilerReference>
    <OptionalIndicators>
      <OptionalIndicator Type="NOOptionalIndicator" />
    </OptionalIndicators>
    <Debtors>
      <DebtorName>
        <Names>
          <OrganizationName>Dizzy Izzys NY Bagels Inc</OrganizationName>
          <MailAddress>408 West 14th Street</MailAddress>
          <City>New York</City>
          <State>NY</State>
          <PostalCode>10014</PostalCode>
          <Country>USA</Country>
        </Names>
        <Not-Indexed-Reason/>
      </DebtorName>
    </Debtors>
    <SecuredParties>
      <SecuredName>
        <Names>
          <OrganizationName>Key Bank</OrganizationName>
```

```
            <MailAddress>445 Broadhollow Road</MailAddress>
            <City>Melville</City>
            <State>NY</State>
            <PostalCode>11747</PostalCode>
            <Country>USA</Country>
          </Names>
        </SecuredName>
      </SecuredParties>
      <Collateral>
        <ColText>Two dozen bagels and a pint of peanut butter schmear</ColText>
      </Collateral>
      <JurisdictionSpecificData />
    </Record>
</Document>
```

Termination by Secured Party

The following is a secured party termination with no Filer name information provided, which is valid:

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
   <Header>
      <Filer>
         <ClientAccountNum>2A</ClientAccountNum>
      </Filer>
      <PacketNum>2A-20210923-104800431</PacketNum>
      <Test>No</Test>
   </Header>
   <Record>
      <SeqNumber>1</SeqNumber>
      <TransType>Amendment</TransType>
      <AmendmentType>TerminationSecuredParty</AmendmentType>
      <AmendmentAction>NOAction</AmendmentAction>
      <InitialFileNumber>123456789</InitialFileNumber>
      <OptionalFilerReference>123456-098</OptionalFilerReference>
      <AuthorizingParty>
         <AuthSecuredParty>
            <OrganizationName>First Secured Party</OrganizationName>
         </AuthSecuredParty>
      </AuthorizingParty>
   </Record>
</Document>
```

Acknowledgment

The following are examples of acknowledgements returned by a filing request or status request.

Accepted filing

The following in an accepted initial filing:

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Springfield</City>
        <State>IL</State>
        <PostalCode>62703</PostalCode>
        <County/>
        <Country>USA</Country>
      </Names>
      <ClientAccountNum>2A</ClientAccountNum>
      <ContactName>Tommy Filer</ContactName>
      <ContactPhone>(217)444-1234</ContactPhone>
      <ContactEmail>tfiller@yahoo.com</ContactEmail>
    </Filer>
    <PacketNum>2A-20210923-104507123</PacketNum>
    <Test>No</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Initial</TransType>
    <OptionalFilerReference>Filed with US Secretary of Jurisdiction; Doc ID 12345AB</OptionalFilerReference>
    <Debtors>
      <DebtorName>
        <Names>
          <OrganizationName>Dizzy Izzys NY Bagels Inc</OrganizationName>
          <MailAddress>408 West 14th Street</MailAddress>
          <City>New York</City>
          <State>NY</State>
          <PostalCode>10014</PostalCode>
          <Country>USA</Country>
        </Names>
        <Not-Indexed-Reason/>
      </DebtorName>
    </Debtors>
    <SecuredParties>
      <SecuredName>
        <Names>
          <OrganizationName>Key Bank</OrganizationName>
          <MailAddress>445 Broadhollow Road</MailAddress>
          <City>Melville</City>
          <State>NY</State>
          <PostalCode>11747</PostalCode>
```

```
            <Country>USA</Country>
          </Names>
        </SecuredName>
      </SecuredParties>
      <Collateral>
        <ColText>Two dozen bagels and a pint of peanut butter schmear</ColText>
      </Collateral>
      <Acknowledgement>
        <FileNumber>2021092312345678</FileNumber>
        <FileDate>20210923</FileDate>
        <FileTime>1052</FileTime>
        <FeeAmount>20.00</FeeAmount>
        <FilingOffice>US Secretary of Jurisdiction</FilingOffice>
        <FileStatus>Accepted</FileStatus>
      </Acknowledgement>
    </Record>
</Document>
```

Rejection

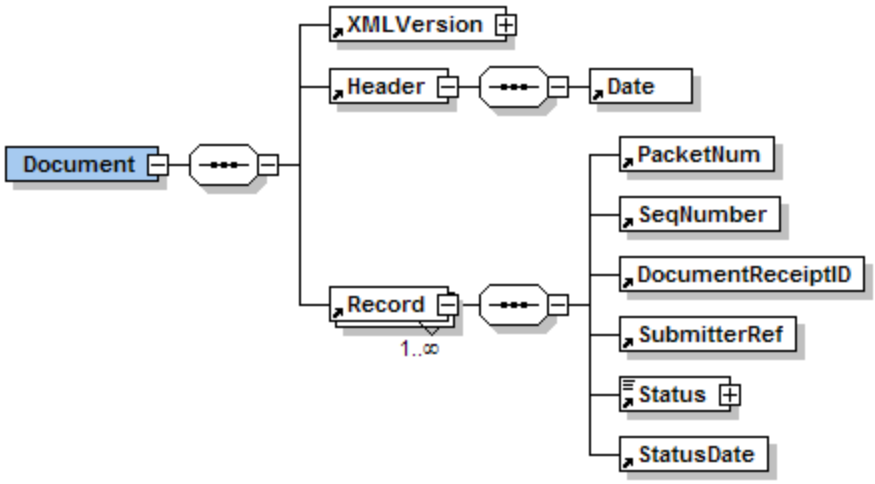
The following example is a rejected initial filing due to insufficient funds:

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Springfield</City>
        <State>IL</State>
        <PostalCode>62703</PostalCode>
        <County/>
        <Country>USA</Country>
      </Names>
      <ClientAccountNum>2A</ClientAccountNum>
      <ContactName>Tommy Filer</ContactName>
      <ContactPhone>(217)444-1234</ContactPhone>
      <ContactEmail>tfiller@yahoo.com</ContactEmail>
    </Filer>
    <PacketNum>2A-20210923-104507123</PacketNum>
<Col      <Test>No</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Initial</TransType>
    <OptionalFilerReference>Filed with US Secretary of Jurisdiction; Doc ID 12345AB</OptionalFilerReference>
    <Debtors>
      <DebtorName>
        <Names>
          <OrganizationName>Dizzy Izzys NY Bagels Inc</OrganizationName>
          <MailAddress>408 West 14th Street</MailAddress>
```

```
            <City>New York</City>
            <State>NY</State>
            <PostalCode>10014</PostalCode>
            <Country>USA</Country>
          </Names>
          <Not-Indexed-Reason/>
        </DebtorName>
      </Debtors>
      <SecuredParties>
        <SecuredName>
          <Names>
            <OrganizationName>Key Bank</OrganizationName>
            <MailAddress>445 Broadhollow Road</MailAddress>
            <City>Melville</City>
            <State>NY</State>
            <PostalCode>11747</PostalCode>
            <Country>USA</Country>
          </Names>
        </SecuredName>
      </SecuredParties>
      <Collateral>
        <ColText>Two dozen bagels and a pint of peanut butter schmear</ColText>
      </Collateral>
      <JurisdictionSpecificData />
      <Acknowledgement>
        <FileNumber/>
        <FileDate/>
        <FileTime/>
        <FeeAmount/>
        <FilingOffice>US Secretary of Jurisdiction</FilingOffice>
        <FileStatus>Rejected</FileStatus>
        <Errors>
          <ErrorText>Failure to provide sufficient filing fees</ErrorText>
        </Errors>
      </Acknowledgement>
    </Record>
</Document>
```

Receipt and Status XML

The following section details the Receipt and Status XML file structure. Both functions share the same format but return different information. For a receipt the XML document is returned after the submitted XML filing has been accepted. For a status request the XML document is returned with the current status of the filing identified by the DocumentReceiptID provided by the requesting URL. In neither case will this XML format be submitted to the filing office for processing.



Element	Description	Attribute value	Length	Occurrence
Document	Container element		NA	1
XMLVersion	Contains the version of this XML document	See XMLVersion attributes	NA	1
Header	Container element		NA	1
Date	Date this is being processed	YYYYMMDD	8	1
Record	Container element		NA	1 or more
PacketNumber	The packet Number provided by the filer		32	1
SeqNumber	The sequence number provided by the filer		5	1
DocumentReceiptID	The filing offices identifier for this filing		25	1
SubmitterRef	The reference information provided by the filer		200	1
Status	The status of the filing	See FileStatus attributes	NA	1
StatusDate	The date of the returned status	YYYYMMDD	8	1

XMLVersion

Element Name	**XMLVersion**
Description	Version Number for this DTD
Attribute Values	1.06
	1.07 (default)

Status

Element Name	**Status**
Description	Specifies current status of the request
Attribute Values	OK
	InternalProcessingError
	EmptyDocument
	InvalidXML
	InProcess
	IDNotFound
	SendingACK
Default	NoValue

Status Messages

Since the Receipt and Status Return share the same XML structure the following table is a list of possible error messages, their meaning and where it applies.

Error Message	Description	Usage
OK	Everything worked as expected	Document Receipt
InternalProcessingError	The filing system had an internal error processing the filing that is not related to the submitted filing	All
EmptyDocument	A filing was submitted that had no XML information	All
InvalidXML	A filing was submitted that did not contain a valid XML document	All
InProcess	The submitted filing has not finished the filing process	Status Request
SendingACK	The filing system will be resending the acknowledgment	Status Request
IDNotFound	The filing system did not find the information associated with the provided DocumentReceiptID	Status Request

Receipt Document Type Definition

The following DTD is for the Receipt and Status XML Document types

```
<?xml version="1.0" encoding="UTF-8"?>
<!--
================================================================
                        UCC_Receipt. DTD
================================================================
 Receipt Packet returned from Jurisdiction on a successful XML transmission
 This format is also used as a response to the Status request
================================================================
 Last modified on  02/14/2010 by Thomas M. Ose
================================================================
History
1.06  tmo   Initially started tracking file versions
1.07  tmo   Changed Status element to allow for passing of error details in the element
================================================================
 -->
<!ELEMENT Document (XMLVersion, Header, Record+)>
<!ELEMENT Record (PacketNum, SeqNumber, DocumentReceiptID, SubmitterRef, Status, StatusDate)>
<!ELEMENT Header (Date)>
<!ELEMENT PacketNum (#PCDATA)>
<!ELEMENT SeqNumber (#PCDATA)>
<!ELEMENT Date (#PCDATA)>
<!ELEMENT DocumentReceiptID (#PCDATA)>
<!ELEMENT SubmitterRef (#PCDATA)>
<!ELEMENT Status (#PCDATA)>
<!ATTLIST Status
  value (OK | InternalProcessingError | EmptyDocument | InvalidXML | InProcess | IDNotFound | SendingACK | NoValue)
"NoValue"
>
<!ELEMENT StatusDate (#PCDATA)>
<!ELEMENT XMLVersion EMPTY>
<!ATTLIST XMLVersion
  info (1.06 | 1.07) "1.07"
>
```

Sample Receipt

The following is a sample Receipt Document returned in response to an asynchronous filing submission

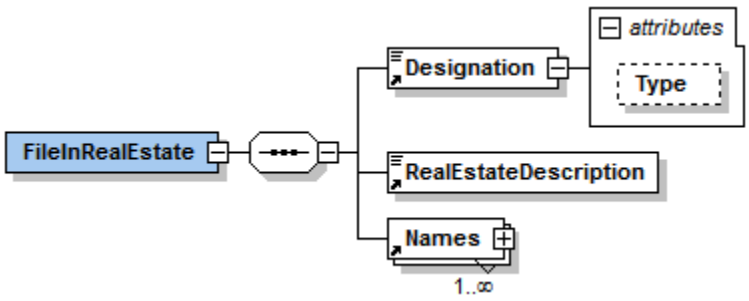
```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <XMLVersion info="1.07"/>
  <Header>
    <Date>20220323</Date>
  </Header>
  <Record>
    <PacketNum>2A-20220323-214506003</PacketNum>
    <SeqNumber>1</SeqNumber>
    <DocumentReceiptID>20230323023000000001</DocumentReceiptID>
    <SubmitterRef>1234567</SubmitterRef>
    <Status value="OK"/>
    <StatusDate>20230323</StatusDate>
  </Record>
</Document>
```

Appendix A – JurisdictionSpecificData

If a jurisdiction requires additional information, or supports atypical central filing options, utilize and extend this element with your jurisdiction's custom data elements. IACA recognizes and recommends the following optional JurisdictionSpecificData elements, based on legacy elements from v3.10 of this document. A jurisdiction availing itself of this element must provide a supplemental DTD and information in their jurisdiction-specific implementation guide.

FileInRealEstate

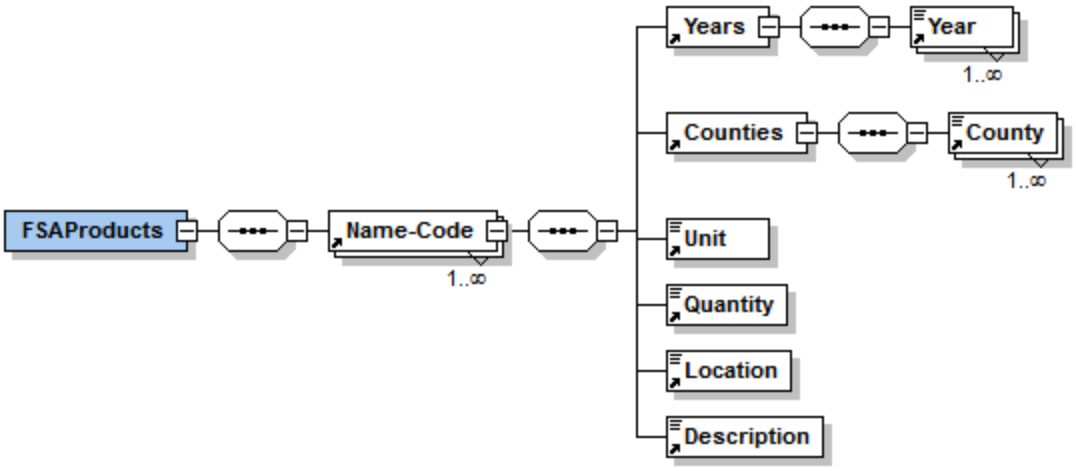
This element set is used to define the real estate description and owner for real estate related filings.



Element	Description	Attribute value	Length	Occurrence
FileInRealEstate	Root element of the XML document		NA	1
Designation		See version attribute	NA	Optional Max 1
RealEstateDescription			NA	1
Names	Contains all the information for the real-estate owner		NA	1 or more

FSAProducts

The following element set is used to define the FSA products as collateral. This element set only applies to states that have the Food Security Act.



Element	Description	Attribute value	Length	Occurrence
FSAProducts	Container element		NA	Optional Max 1
Name-Code	Container element		NA	1 or more
Years	Container Element		NA	1
Year	The crop years	YYYY	4	1 or more
Counties	Container element		NA	1
County	The county where the collateral is located		50	1 or more
Unit	Defines the unit of measurement		50	1
Quantity	Defines the number of unit		10	1
Location	Information on where the collateral is found		100	1
Description	Describes the collateral crop		100	1