

CHAPTER 8260
SECRETARY OF STATE
UCC FORMS; FINANCING STATEMENTS, LIENS

8260.0600	FINANCING STATEMENT: FORM UCC-1.	8260.0900	FINANCING STATEMENT REQUEST FOR INFORMATION OR COPIES FORMAT: FORM UCC-11.
8260.0700	FIXTURE/REAL ESTATE FORM: FORM UCC-2.	8260.1000	TAX LIEN REQUEST FOR INFORMATION OR COPIES FORMAT: FORM UCC-12.
8260.0800	STATEMENT OF CONTINUATION, ASSIGNMENT, AMENDMENT, RELEASE, AND TERMINATION: FORM UCC-3.	8260.1100	EXPERIMENTAL FORMS.

8260.0100 [Repealed, 17 SR 2862]

8260.0200 [Repealed, 17 SR 2862]

8260.0300 [Repealed, 17 SR 2862]

8260.0400 [Repealed, 17 SR 2862]

8260.0500 [Repealed, 17 SR 2862]

8260.0600 FINANCING STATEMENT: FORM UCC-1.

Subpart 1. **Permitted use.** This form must be used when a financing statement is filed pursuant to Minnesota Statutes, section 336.9-401, subsection (1), paragraphs (a) and (b). The use of any other form not described in this part results in a nonstandard fee charge.

Subp. 2. **Standard multipart form.** To be considered a standard Minnesota uniform commercial code financing statement form, the following specifications must be met:

- A. the size must be 8-1/2 inches by 11 inches, excluding the top perforated tab;
- B. the form must be five carbon or carbonless snap-out; and
- C. the size of type must be legible.

MINNESOTA RULES 1999
UCC FORMS; FINANCING STATEMENTS, LIENS 8260.0600

Subp. 3. Report format for multipart form. A standard financing statement must be in substantially the following form:



STATE OF MINNESOTA
UCC-1 FINANCING STATEMENT

For Filing Officer

This statement is presented for filing pursuant to Minnesota Uniform Commercial Code Minnesota Statutes Chapter 336.9-402 (Type in Black Ink)

1. Individual Debtor - Last Name, First Name, Middle I., Social Security #, Mailing Address, City, State, Zip Code
2. Individual Debtor - Last Name, First Name, Middle I., Social Security #, Mailing Address, City, State, Zip Code
3. Business Debtor - Name, Fed. ID #, Mailing Address, City, State, Zip Code
4. Secured Party Name, 5. Assignee of Secured Party, Mailing Address, City, State, Zip Code
6. This financing statement covers the following types or items of property. (If crops are covered describe the real estate and list the name of record owner.)

Debtor is a transmitting utility as defined by Minnesota Statutes Chapter 336.9 - 105

RETURN ACKNOWLEDGEMENT COPY TO: (name and address)

Empty box for return acknowledgement copy to name and address

Debtor's Signature (Required in Most Cases see Instruction #)
Debtor's Signature
Secured Party's Signature

Please do not type outside the bracketed area. (1) Filing Officer Copy - Alphabetical (Rev 11/92) Standard Form Approved by Secretary of State

Subp. 4. Carbon pages. The remaining four pages will be identical to the first, except as described in items A to D.

A. The second page must be green and the language "(2) Filing Officer Copy-Numerical" must appear at the bottom left.

B. The third page must be pink and the signature on the first page must not be reproduced by carbon on the third page. This area on the third page requires an original signature when it is resubmitted as a termination statement. It must appear substantially as follows:



STATE OF MINNESOTA
UCC-1 FINANCING STATEMENT

For
Filing
Officer

This statement is presented for filing pursuant to *Minnesota Uniform Commercial Code Minnesota Statutes Chapter 336.9-402* (Type in Black Ink)

1. Individual Debtor - Last Name		First Name	Middle I.
Social Security #	Mailing Address		
City	State	Zip Code	
2. Individual Debtor - Last Name		First Name	Middle I.
Social Security #	Mailing Address		
City	State	Zip Code	
3. Business Debtor - Name			
Fed. ID #	Mailing Address		
City	State	Zip Code	
4. Secured Party Name		5. Assignee of Secured Party	
Mailing Address		Mailing Address	
City	State	Zip Code	City State Zip Code

6. This financing statement covers the following types or items of property. (If crops are covered describe the real estate and list the name of record owner.)

_____ Debtor is a transmitting utility
as defined by Minnesota Statutes Chapter 336.9 - 105

RETURN ACKNOWLEDGEMENT COPY TO: (name and address)

Please do not type outside the bracketed area.

TERMINATION STATEMENT: This statement of Termination of Financing is presented to a Filing Officer pursuant to the Uniform Commercial Code. The Secured Party certifies that the Secured Party no longer claims a security interest under the financing statement bearing the file number shown above.

By: _____
(Signature of Secured Party or Assignee of Record. Must be signed)

Date: _____
Standard Form Approved by Secretary of State

(3) Filing Officer Copy - Acknowledgement (Rev 11/92)

C. The fourth page must be white and the language "(4) Secured Party Copy" must appear at the bottom left.

D. The fifth page must be white and the language "(5) Debtor Copy" must appear at the bottom left.

Subp. 5. **Instructions.** On the back of the fifth page, instructions must appear in the form and text described by the secretary of state.

Subp. 6. **Form generated by word processor.** To be considered a standard Minnesota uniform commercial code financing statement form, the following specifications must be met:

A. the size must be 8-1/2 inches by 11 inches;

B. the form shall not exceed one page;

C. three identical copies of the page must be presented to the filing officer;
 and

D. the type size must be legible.

Subp. 7. **Report format for form generated by word processor.** A standard financing statement must be in substantially the following format:

A. headed with the words "STATE OF MINNESOTA UCC-1 FINANCING STATEMENT" at the top of the form;

B. showing a box in the upper right corner of the page with dimensions of two inches wide and 3-3/4 inches long placed one-fourth inch from the top of the page and one-fourth inch from the right side of the page. In the upper right-hand corner, the words "For Filing Officer" shall appear;

C. showing the following statements under the heading and to the left of the box: "This statement is presented for filing pursuant to Minnesota Statutes, section 336.9-402";

D. showing information about the first debtor organized in the following manner: debtor name, social security or taxpayer identification number, and mailing address including city, state, and zip code. If the debtor is an individual, the last name must appear first, followed by the first name and middle initial. If the debtor is a business, the complete, registered name of the business must appear as it is registered;

E. showing information about each additional debtor, if any, in the format described in item D;

F. showing information about the secured party organized in the following manner: secured party name and mailing address including city, state, and zip code;

G. showing assignee information, if any, organized in the following manner: assignee name and mailing address including city, state, and zip code;

H. showing a description of the items of property covered by the financing statement. If crops are covered, describe the real estate and list the name of the record owner of the real estate;

I. showing a box in the bottom left of the page 3-1/2 inches wide and one inch long so that a name and address can be inserted in this area and used to return the acknowledgment copy of the financing statement to the submitting party. The box is placed three-fourths inch from the bottom of the page and five-eighths inch from the left side of the page; and

J. showing lines for signatures by the debtor(s) and secured party on the bottom right side of the page across from the address box described in item I.

Statutory Authority: *MS s 14.06; 336.9-403*

History: *17 SR 2862*

8260.0700 FIXTURE/REAL ESTATE FORM: FORM UCC-2.

Subpart 1. **Permitted use.** This form is for use to perfect a filing concerning fixtures attached to real estate. The filing is made according to Minnesota Statutes,

section 336.9-401, subsection (1), paragraph (c), and is filed according to the real estate rules and regulations governing real property.

Subp. 2. **Report format for UCC-2 form.** A standard fixture filing statement must be in substantially the following format:

A. headed with the words "STATE OF MINNESOTA UCC-2 FIXTURE FILING";

B. showing a box in the upper right corner of the page 3-5/8 inches wide and 3-5/8 inches long which is reserved for recording information;

C. showing the citation of "Minnesota Statutes, section 336.9-401, subsection (1), paragraph (c)";

D. showing the name and address of the debtor;

E. showing the name and address of the secured party;

F. showing a description of the fixture which is the subject of the filing;

G. showing a description of the real property to which the fixture is attached including the name of the county;

H. showing the name and address of the record owner of the real property to which the fixture is attached if the record owner is not the debtor;

I. showing the name of the person who drafted the UCC-2 filing and the name of the person's firm or company and address including city, state, and zip code; and

J. showing the signatures of the debtor.

Subp. 3. **Report format for UCC-2 satisfaction form.** A standard satisfaction of a fixture filing statement must be in substantially the following format:

A. headed with the words "STATE OF MINNESOTA UCC-2 SATISFACTION OF FIXTURE FILING";

B. showing a box in the upper right corner of the page 3-5/8 inches wide and 3-5/8 inches long which is reserved for recording information;

C. showing the citation of "Minnesota Statutes, section 336.9-401, subsection 1, paragraph (c)";

D. showing the document number of the fixture filing and the book and page reference where the original fixture filing was filed;

E. showing the name and address of the debtor;

F. showing the name and address of the secured party;

G. stating that the obligation on which the fixture filing is based has been satisfied;

H. showing the name of the person who drafted the UCC-2 filing along with the name of the person's firm or company and address, including city, state, and zip code; and

I. showing the signature of the secured party.

Statutory Authority: *MS s 14.06; 336.9-403*

History: *17 SR 2862*

8260.0800 STATEMENT OF CONTINUATION, ASSIGNMENT, AMENDMENT, RELEASE, AND TERMINATION: FORM UCC-3.

Subpart 1. **Permitted use.** This form may be used to continue, assign, amend, release, or terminate a financing statement. The use of any other form not described in this part results in a nonstandard fee charge. Only one transaction may be accomplished per form.

Subp. 2. **Standard multipart form.** To be considered a standard Minnesota uniform commercial code statement of continuation, assignment, amendment, release, and termination form, the following specifications must be met:

A. the size must be 8-1/2 inches by 11 inches, excluding the top perforated tab;

B. the form must be five carbon or carbonless snap-out; and

C. the size of type must be legible.

Subp. 3. [Repealed, 18 SR 2010]

MINNESOTA RULES 1999
UCC FORMS; FINANCING STATEMENTS, LIENS 8260.0800

Subp. 3a. Report format for multipart form. A standard financing statement must be in substantially the following form:



STANDARD FORM
STATE OF MINNESOTA
UCC-3 STATEMENT OF
CONTINUATION, ASSIGNMENT, RELEASE, ETC.

For Filing Officer

This statement is presented for filing pursuant to Minnesota Uniform Commercial Code Minnesota Statutes Chapter 336.9-402 (Type in Black Ink)

1. Original Financing Statement No. Original File Date
2. DEBTOR (Name and Address) 3. SECURED PARTY (Name and Address)

The financing statement described above is changed to show a(n): (Please one function per form with the exception of amendment)

- 4. CONTINUATION the original financing statement bearing the file number shown above is continued for an additional 5 years. The original statement is still effective.
5. AMENDMENT the original financing statement bearing the file number shown above is amended as described in BOX 10. See instruction 5 on the reverse side for additional information.
6. TOTAL ASSIGNMENT all of the secured party's rights under the original financing statement have been assigned to the assignee whose name and address appear in BOX 10.
7. PARTIAL ASSIGNMENT some of the secured party's rights have been assigned to the Assignee whose name and address appear in BOX 10. A description of the collateral subject to the assignment must also be given.
8. PARTIAL RELEASE the secured party releases the collateral described in BOX 10 but retains a security interest in the original financing statement bearing the file number shown above.
9. TERMINATION the secured party of record no longer claims a security interest under the financing statement bearing the file number shown above.

10.

RETURN ACKNOWLEDGMENT COPY TO: (name and address)

Empty box for return acknowledgment copy to name and address.

Debtor Signature

Secured Party

Date

Please do not type outside the bracketed area.

(1) Filing Officer Copy-Alphabetical amend819 Rev. 11/93

Approved by Secretary of State of Minnesota

Subp. 4. Carbon pages. The remaining four carbon pages are identical to the first, except that:

A. the second page must be green, the third page must be pink, and the fourth and fifth pages must be white;

B. the language at the bottom far left of the second page (green) must read "(2) Filing Officer Copy-Numerical";

C. the language at the bottom far left of the third page (pink) must read "(3) Filing Officer Copy-Acknowledgment";

D. the language at the bottom far left of the fourth page (white) must read: "Secured Party Copy"; and

E. the language at the bottom far left of the fifth page (white) must read: "Debtor Copy."

Subp. 5. **Instructions.** On the back of the fifth page, instructions must appear in the form and text described by the secretary of state.

Subp. 6. **Form generated by word processor.** To be considered a standard Minnesota uniform commercial code statement of continuation, assignment, amendment, release, and termination form, the following specifications must be met:

A. the size must be 8-1/2 inches by 11 inches;

B. the form shall not exceed one page;

C. three identical copies of the page must be presented to the filing officer; and

D. the type size must be legible.

Subp. 7. **Report format for form generated by word processor.** A standard statement of continuation, assignment, amendment, release, and termination form must be in substantially the following format:

A. headed with the words "STATE OF MINNESOTA UCC-3 STATEMENT OF CONTINUATION, ASSIGNMENT, RELEASE, ETC." at the top of the form;

B. showing a box in the upper right corner of the page with dimensions of two inches wide and 1-3/4 inches long placed one-fourth inch from the top of the page and one-fourth inch from the right side of the page. In the upper right-hand corner, the words "For Filing Officer" shall appear;

C. showing the following statements under the heading and to the left of the box: "This statement is presented for filing pursuant to Minnesota Statutes, section 336.9-402";

D. showing the original financing statement number and filing date;

E. showing the information about the debtor(s) on file including the debtor's name and mailing address including city, state, and zip code;

F. showing the information about the secured party on file including the secured party's name and mailing address including city, state, and zip code;

G. describing the single transaction to be accomplished on the filing of the form such as continuation, partial release, assignment, partial assignment, termination, or amendment. An amendment may accomplish any one or more of the following:

(1) change of individual debtor name;

(2) change of individual debtor address;

(3) change of individual debtor name and address;

(4) change of business debtor name;

(5) change of business debtor address;

(6) change of business debtor name and address;

(7) replacement all existing debtor names and addresses with new debtor names and addresses;

(8) addition of a debtor name and address to the existing debtor name(s);

(9) addition of a debtor's identification number;

(10) change of secured party name;

(11) change of secured party address;

(12) change of secured party name and address;

(13) any other change in information.

The change must clearly be described on the UCC-3 form;

H. if the transaction is a continuation, the social security number of an individual debtor or the internal revenue service taxpayer identification number for a

business debtor and the statutorily required statement "The original statement is still effective" must be stated;

I. if the transaction is a partial release, the collateral to be released must be stated;

J. if the transaction is an assignment, the name and address of the assignee must be stated;

K. if the transaction is a partial assignment, the name and address of the assignee and a description of the collateral being assigned must be stated.

Example 1. The existing debtors are John Smith and Mary Smith. They do not have identification numbers on record and are filing a UCC-3 to add this information. After identifying the transaction as an amendment adding a debtor's identification number, the form should read as follows:

John Smith
ID# 123-45-6789

Mary Smith
ID# 987-65-4321

Example 2. The existing debtors are John Smith and Paul Jones. Paul Jones has moved and needs to change his address by filing a UCC-3. After identifying the transaction as an amendment, the form should read as follows:

Change debtor address for Paul Jones to 1234 Hemlock Street, Anytown, Minnesota 551...

Example 3. The existing debtor is Paul Jones. Another debtor is being added to the financing statement by filing a UCC-3. After identifying the transaction as an amendment, the form should read as follows:

Add debtor Susan Peterson, Inc., federal taxpayer identification number 41-123456, 4321 Hemlock Street, Anytown, Minnesota, 551...;

L. showing a box in the bottom left of the page 3-1/2 inches wide and one inch long so that a name and address can be inserted in this area and used to return the acknowledgment copy of the statement of continuation, assignment, amendment, release, and termination to the submitting party. The box is placed three-fourths inch from the bottom of the page and five-eighths inch from the left side of the page; and

M. showing lines for signatures by the debtor(s) and secured party on the bottom right side of the page across from the address box described in item L.

Statutory Authority: *MS s 14.06; 336.9-403*

History: *17 SR 2862; 18 SR 2010*

**8260.0900 FINANCING STATEMENT REQUEST FOR INFORMATION OR COPIES
 FORMAT: FORM UCC-11.**

Subpart 1. **Permitted use.** This format is used for obtaining financing statement information or copies. The use of any other format not described in this part will result in a nonstandard fee charge.

Subp. 2. **Standard multipart form.** To be considered a standard Minnesota request for information form, the following specifications must be met:

A. the size must be 8-1/2 inches by 11 inches, excluding the top perforated tab;

B. the form must be two carbon or carbonless snap-out; and

C. the size of type must be legible.

MINNESOTA RULES 1999

Subp. 3. **Report format for multipart form.** A standard request for information form must be in substantially the following form:



STATE OF MINNESOTA UCC-11 REQUEST FOR INFORMATION OR COPIES FROM UCC STATEWIDE DATABASE

For Filing Officer

This statement is presented for filing pursuant to *Minnesota Uniform Commercial Code, Minnesota Statutes Section 336.9-407* (Type in Black Ink)

OPTIONS (choose one)

- Information listing only (includes computer printout of statewide UCC filings showing all debtor names and addresses, secured party names and addresses, filing information and description of subsequent filings).
- Copies only (includes a computer printout of statewide UCC filings showing the file number, the file date, the place of filing and copies of the UCC documents that are filed in the filing office where the request was processed).
- Combination information and copies (includes computer printout as described in information option and copies of the UCC documents that are filed in the filing office where the request was processed).

FILING OFFICER please furnish certificate showing any presently effective financing statements as of:

- date of processing
- from _____ to date of processing

1. Individual Debtor Last Name		First Name	Middle I.
Social Security #	Mailing Address		
City	State	Zip Code	
2. Individual Debtor Last Name		First Name	Middle I.
Social Security #	Mailing Address		
City	State	Zip Code	
3. Business Debtor Name			
Fed. ID #	Mailing Address		
City	State	Zip Code	

RETURN REQUESTED INFORMATION TO: (name and address)

--

Signature of Requesting Party

() _____
Telephone Number

Please do not type outside the bracketed area
Copy 1 - (06920913 Rev 12/92) Approved by Secretary of State

Subp. 4. **Carbon page.** The remaining page must be identical to the first page, except that the second page must have "Copy 2" printed in the lower left-hand corner in black ink.

Subp. 5. **Form generated by word processor.** To be considered a standard Minnesota request for information format, the following specifications must be met:

- A. the size must be 8-1/2 inches by 11 inches;
- B. the type size must be legible;
- C. two copies of the page must be submitted;

D. the name of party about whom the search for information is to be conducted;

E. the address of the party about whom the search is being conducted, if the requesting party wishes to limit the search results based on the address;

F. the identification number of the party about whom the search is being conducted, if the requesting party wishes to limit the search results based on the identification number;

G. whether the requesting party asks for information, copies of financing statements, or both; and

H. the name and address of the party to whom the results of the search are to be sent.

Statutory Authority: *MS s 14.06; 336.9-403*

History: *17 SR 2862*

**8260.1000 TAX LIEN REQUEST FOR INFORMATION OR COPIES FORMAT:
FORM UCC-12.**

Subpart 1. **Permitted use.** This format is used for obtaining tax lien information or copies. The use of any other format not described in this part results in a nonstandard fee charge.

Subp. 2. **Standard multipart form.** To be considered a standard Minnesota request for tax lien information form, the following specifications must be met:


A. the size must be 8-1/2 inches by 11 inches, excluding the top perforated tab;

B. the form must be two carbon or carbonless snap-out; and

C. the size of type must be legible.

Subp. 3. [Repealed, 18 SR 2010]

Subp. 3a. **Report format for multipart form.** A standard request for tax lien information form must be in substantially the following form:



STATE OF MINNESOTA
UCC-12 REQUEST FOR TAX LIEN INFORMATION
OR COPIES

For
Filing
Officer

This statement is presented pursuant to *Minnesota Statutes Sections 270.89, 272.479 and 336.9-407.*
(Type in Black Ink)

OPTIONS (choose one) SEARCH IS OF RECORDS OF SINGLE FILING OFFICE ONLY.

Information listing only (includes state and federal tax liens showing all taxpayer names and addresses, government entity, filing information and description of subsequent filings).

Copies only (includes a state and federal tax liens showing the file number, the file date and copies of the tax liens that are filed in the filing office where the request was processed).

Combination information and copies (includes data as described in information option and copies of the tax liens that are filed in the filing office where the request was processed).

FILING OFFICER please furnish certificate showing any presently effective tax liens as of:

date of processing from _____ to date of processing

Taxpayer (Last) Name		First Name	Middle I.
Social Security # or Fed. ID #		Mailing Address	
City	State	Zip Code	
Signature of Requesting Party		() Telephone Number	

File Number	Date and Hour of Filing	Amount of Lien	Government Authority and Address

CERTIFICATE

The filing officer certifies that:

_____ the above listing is a record of all state and/or federal tax liens which name the requested taxpayer and which are on file in the filing office as of _____, 19__ at _____ m.

_____ the attached certificate lists all state and/or federal tax liens which name the requested taxpayer and which are on file in the filing office as of the date and time shown on the certificate.

_____ the attached _____ pages are true and exact copies of the tax liens.

RETURN REQUESTED INFORMATION TO: (name and address)

Please do not type outside the bracketed area

_____ Date

_____ Signature of filing officer

Copy 1 - (11931888 Rev 11/93) Approved by Secretary of State

Subp. 4. **Carbon page.** The remaining page must be identical to the first page, except that the second page must have "Copy 2" printed in the lower left-hand corner in black ink.

Subp. 5. **Form generated by word processor.** To be considered a standard Minnesota request for information format, the following specifications must be met:

- A. the size must be 8-1/2 inches by 11 inches;
- B. the type size must be legible;
- C. two copies of the page must be submitted;

D. the name of party about whom the search for information is being conducted must be submitted;

E. the address of the party about whom the search is being conducted must be submitted, if the requesting party limits the search results based on the identification number;

F. the identification number of the party about whom the search is being conducted must be submitted, if the requesting party limits the search results based on the identification number;

G. whether the requesting party asks for information, copies of tax liens, or both; and

H. the name and address of the party to whom the results of the search are to be sent.

Statutory Authority: *MS s 14.06; 336.9-403*

History: *17 SR 2862; 18 SR 2010*

8260.1100 EXPERIMENTAL FORMS.

The secretary of state may provide for the experimental use of alternate forms on a trial basis.

Statutory Authority: *MS s 14.06; 336.9-403*

History: *17 SR 2862*