

1 Secretary of State

2

3 Adopted Permanent Rules Relating to Uniform Commercial Code

4 Forms

5

6 Rules as Adopted

7 8260.0600 FINANCING STATEMENT: FORM UCC-1.

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

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

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

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

20 C. the size of type must be legible.



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



**STATE OF MINNESOTA  
UCC-1 FINANCING STATEMENT**

For Filing Officer
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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)	
<div style="border: 1px solid black; width: 100%; height: 100%;"></div> <p align="center" style="font-size: small;">Please do not type outside the bracketed area.</p>	<hr/> Debtor's Signature (Required in Most Cases see instructions) <hr/> Debtor's Signature <hr/> Secured Party's Signature

(1) Filing Officer Copy - Alphabetical (06020819 Rev 3/93) Standard Form Approved by Secretary of State

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

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

6 B. The third page must be pink and the signature on  
7 the first page must not be reproduced by carbon on the third  
8 page. This area on the third page requires an original  
9 signature when it is resubmitted as a termination statement. It  
10 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)

[Empty box for return acknowledgement copy to]

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: \_\_\_\_\_

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

Standard Form Approved by Secretary of State

Approved by Revisor \_\_\_\_\_

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

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

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

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

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

13 B. the form shall not exceed one page;

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

16 D. the type size must be legible.

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

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

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

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

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

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

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

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

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

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

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

22 8260.0700 FIXTURE/REAL ESTATE FORM: FORM UCC-2.

23 Subpart 1. Permitted use. This form is for use to perfect  
24 a filing concerning fixtures attached to real estate. The  
25 filing is made according to Minnesota Statutes, section  
26 336.9-401, subsection (1), paragraph (c), and is filed according  
27 to the real estate rules and regulations governing real property.

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

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

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

35 C. showing the citation of "Minnesota Statutes,

1 section 336.9-401, subsection (1), paragraph (c)";

2 ~~D. showing the date the fixture filing was prepared;~~

3 ~~E.~~ showing the name and address of the debtor;

4 ~~F~~ E. showing the name and address of the secured  
5 party;

6 ~~G~~ F. showing a description of the fixture which is  
7 the subject of the filing;

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

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

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

16 ~~K~~ J. showing the signatures of the debtor; ~~and~~

17 ~~L.~~ ~~showing a place for a notarial jurat and signature.~~

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

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

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

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

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

31 E. showing the name and address of the debtor;

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

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

35 H. showing the name of the person who drafted the  
36 UCC-2 filing along with the name of the person's firm or company

1 and address, including city, state, and zip code; and

2 I. showing the signature of the secured party, ~~and~~

3 ~~J. -- showing a place for a notarial jurat and signature.~~

4 8260.0800 STATEMENT OF CONTINUATION, ASSIGNMENT, AMENDMENT,

5 RELEASE, AND TERMINATION: FORM UCC-3.

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

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

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

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

19 C. the size of type must be legible.

1 Subp. 3. Report format for multipart form. A standard  
2 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(s) (Name) and Address(es)	3. Secured Party(ies) and Address(es)	

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.
- 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]

Please do not type outside the bracketed area.

(1) Filing Officer Copy-Alphabetical

\_\_\_\_\_  
Debtor Signature

\_\_\_\_\_  
Secured Party Date

Approved by Secretary of State of Minnesota



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

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

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

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

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

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

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

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

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

21 B. the form shall not exceed one page;

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

24 D. the type size must be legible.

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

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

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

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

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

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

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

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

- 17 (1) change of individual debtor name;
- 18 (2) change of individual debtor address;
- 19 (3) change of individual debtor name and address;
- 20 (4) change of business debtor name;
- 21 (5) change of business debtor address;
- 22 (6) change of business debtor name and address;
- 23 (7) replacement all existing debtor names and  
24 addresses with new debtor names and addresses;
- 25 (8) addition of a debtor name and address to the  
26 existing debtor name(s);
- 27 (9) addition of a debtor's identification number;
- 28 (10) change of secured party name;
- 29 (11) change of secured party address;
- 30 (12) change of secured party name and address;
- 31 (13) any other change in information.

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

33 Example 1. The existing debtors are John Smith and Mary  
34 Smith. They do not have identification numbers on record and  
35 are filing a UCC-3 to add this information. After identifying  
36 the transaction as an amendment adding a debtor's identification

1 number, the form should read as follows:

2                   John Smith  
3                   ID# 123-45-6789  
4  
5                   Mary Smith  
6                   ID# 987-65-4321  
7

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

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

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

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

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

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

31 8260.0900 FINANCING STATEMENT REQUEST FOR INFORMATION OR COPIES  
32 FORMAT: FORM UCC-11.

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

37           Subp. 2. Standard multipart form. To be considered a  
38 standard Minnesota request for information form, the following

1 specifications must be met:

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

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

6 C. the size of type must be legible.

7 Subp. 3. Report format for multipart form. A standard  
8 request for information form must be in substantially the  
9 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)

[Empty box for return information]

Signature of Requesting Party

( )  
Telephone Number

Please do not type outside the bracketed area

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

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

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

8 B. the type size must be legible;

9 C. two copies of the page must be submitted;

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

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

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

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

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

22 8260.1000 TAX LIEN REQUEST FOR INFORMATION OR COPIES FORMAT:  
23 FORM UCC-12.

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

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

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

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

35 C. the size of type must be legible.

1 Subp. 3. Report format for multipart form. A standard  
2 request for tax lien information form must be in substantially  
3 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 269.69, 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 computer printout of state and federal tax liens showing all taxpayer names and addresses, government entity, filing information and description of subsequent filings).

Copies only (includes a computer printout of state and federal tax liens showing the file number, the file date, the place and copies of the tax liens 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 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

1. Individual Taxpayer 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 Taxpayer Name			
Fed. ID #	Mailing Address		
City	State	Zip Code	

RETURN REQUESTED INFORMATION TO: (name and address)

[Empty box for return information]

Signature of Requesting Party

( ) Telephone Number

Please do not type outside the bracketed area

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

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

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

8 B. the type size must be legible;

9 C. two copies of the page must be submitted;

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

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

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

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

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

23 8260.1100 EXPERIMENTAL FORMS.

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

26 REPEALER. Minnesota Rules, parts 8260.0100; 8260.0200;  
27 8260.0300; 8260.0400; and 8260.0500, are repealed.

28  
29 REVISOR NOTE. Minnesota Rules, part 8260.0600, subpart 3, has  
30 been modified by replacing the form UCC-1 financing statement  
31 which was revised November 11, 1992, with a similar form revised  
32 as of March 1993.