

# Mortgage+Care

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## General Instructions for National Financing Statement (Form UCC1) (Trans)

Please type or laser-print this form. Be sure it is completely legible. Read all instructions.

Fill in form very carefully; mistakes may have important legal consequences. Follow instructions completely. If you have questions, consult your attorney. Filing officer cannot give legal advice.

Do not insert anything in the open space in the upper portion of this form; it is reserved for filing officer use.

When properly completed, send Filing Officer Copy, with required fee, to filing officer. If you want an acknowledgment, also send Acknowledgment Copy, otherwise detach. If you want to make a search request, complete item 9 and send Search Request Copy, otherwise detach. Always detach Debtor and Secured Party Copies.

If you need to use attachments, use 8½ x 11 inch sheets and put at the top of each additional sheet the name of the first Debtor, formatted exactly as it appears in item 1 of this form; you are encouraged to use Addendum (Form UCC1Ad).

### Item Instructions

1. Debtor name: Enter only one Debtor name in item 1, an entity's name (1a) or an individual's name (1b). Enter Debtor's exact full legal name. Don't abbreviate.

1a. **Entity Debtor.** "Entity" means an organization having a legal identity separate from its owner. A partnership is an entity; a sole proprietorship is not an entity, even if it does business under a trade name. If Debtor is a partnership, enter exact full legal name of partnership; you need not enter names of partners as additional Debtors. If Debtor is a registered entity (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Debtor's current filed charter documents to determine correct name, entity type, and state of organization.

1b. **Individual Debtor.** "Individual" means a natural person and a sole proprietorship, whether or not operating under a trade name. Don't use prefixes (Mr., Mrs., Ms.). Use suffix box only for titles of lineage (Jr., Sr., III) and not for other suffixes or titles (e.g., M.D.). Use married woman's personal name (Mary Smith, not Mrs. John Smith). Enter individual Debtor's family name (surname) in Last Name box, first given name in First Name box, and all additional given names in Middle Name box.

For both **entity and individual Debtors**: Don't use Debtor's trade name, D/B/A, A/K/A, F/K/A, etc., in place of Debtor's legal name; you may add such other names as additional Debtors if you wish.

1c. An address is always required for the Debtor named in 1a or 1b.

1d. Debtor's social security or tax identification number is required in some states. Enter social security number of a sole proprietor, not tax identification number of the sole proprietorship.

1e,f,g. "Additional information re entity Debtor" is optional. It helps searchers to distinguish this Debtor from others with the same or similar name. Type of entity and state of organization can be determined from Debtor's current filed charter documents. Organizational I.D. number, if any, is assigned by the agency where the charter document was filed; this is different from taxpayer I.D. number; this should be entered preceded by the 2-character U.S. Postal identification of state of organization (e.g., CA12345, for a California corporation whose organizational I.D. number is 12345).

Note: If debtor is a transmitting utility as defined in applicable Commercial Code, attach Addendum (Form UCC1Ad) and check box Ad8.

2. If an additional Debtor is included, complete item 2, determined and formatted per Instruction 1. To include further additional Debtors, or one or more additional Secured Parties, attach either Addendum (Form UCC1Ad) or other additional page(s), using correct name format. Follow Instruction 1 for determining and formatting additional names.

3. Enter information, determined and formatted per Instruction 1. If there is more than one Secured Party, see Instruction 2. If there has been a total assignment of the Secured Party's interest prior to filing this form, you may provide either assignor Secured Party's or assignee's name and address in item 3.

4. Use item 4 to indicate the types or describe the items of collateral. If space in item 4 is insufficient, put the entire collateral description or continuation of the collateral description on either Addendum (Form UCC1Ad) or other attached additional page(s).

5, 6. All Debtors must sign. Under certain circumstances, Secured Party may sign instead of Debtor; if applicable, check box in item 5 and provide Secured Party's signature in item 6, and under certain circumstances, in some states, you must also provide additional data; use Addendum (Form UCC1Ad) or attachment to provide such additional data.

7. If filing in the state of Florida you must check one of the two boxes in item 7 to comply with documentary stamp tax requirements.

8. If the collateral consists of or includes fixtures, timber, minerals, and/or mineral-related accounts, check the box in item 8 and complete the required information on Addendum (Form UCC1Ad). If the collateral consists of or includes crops, consult applicable law of state where this Financing Statement is to be filed and complete Ad3b, and Ad4 if required, on Addendum (Form UCC1Ad) and, if required, check box in item 8.

9. Check box 9 to request Search Certificate(s) on all or some of the Debtors named in this Financing Statement. The Certificate will list all Financing Statements on file against the designated Debtor currently effective on the date of the Certificate, including this Financing Statement. There is an additional fee for each Certificate. This item is optional. If you have checked box 9, file copy 3 (Search Request Copy) of this form together with copies 1 and 2. Not all states will honor a search request made via this form; some states require a separate request form.

### Instructions re Optional Items A-D

A. To assist filing officers who might wish to communicate with filer, filer may provide information in item A. This item is optional.

B. If filer has an account with filing officer or is authorized to pay fees by means of a card (credit or debit) and wishes to use such means of payment, check the appropriate box and enter filer's account number in item B, or, in the alternative, filer may present this information by a cover letter.

C. Complete item C if you want acknowledgment copy returned and you have presented simultaneously a carbon or other copy of this form for use as an acknowledgment copy.

D. If filer desires to use titles of lessee and lessor, or consignee and consignor, instead of Debtor and Secured Party, check the appropriate box in item D. This item is optional. If this is not a UCC security interest filing (e.g., a tax lien, judgment lien, etc.), check the appropriate box in item D, complete items 1-9 as applicable and attach any other items required under other law.

**SUPPLEMENTAL GUIDE FOR COMPLETING THE  
NEW NATIONAL FINANCING STATEMENT (FORM UCC-1) IN CALIFORNIA**

SUBMIT ONLY AN ORIGINAL FINANCING STATEMENT FORM.

*Don't: Submit photo copies OR faxed copies of the Financing Statement Form.*

*Don't: Submit an original Financing Statement without the bar code patch at the top of the form. (The Document will be considered Non-Standard in both scenarios and charged \$30.00).*

ONLY STAPLE THE DOCUMENT WHEN NECESSARY IN THE UPPER RIGHT HAND CORNER.

*Don't: Staple documents through the bar code patch. (The document will be considered Non-Standard and charged \$30.00).*

LIST THE DEBTOR NAME IN EITHER ITEM #1a OR #1b.

*Don't: List the Debtor name in both items #1a and #1b.*

LIST AN ADDITIONAL DEBTOR NAME IN EITHER ITEM #2a OR #2b. (ALL OTHER ADDITIONAL DEBTOR NAMES MUST APPEAR ON AN ADDENDUM FORM OR ATTACHMENT PAGE).

*Don't: List additional Debtor name in both Items #2a and #2b or in Item #4 (collateral section).*

CLEARLY IDENTIFY DBA'S OR TRADE NAMES IN THE APPROPRIATE DEBTOR NAME AREAS OR ITEM #6.

See attached sample of the National Financing statement form.

USE THE ADDENDUM FORM ONLY AS AN ATTACHMENT PAGE TO THE FINANCING STATEMENT FORM.

*Don't: Use the addendum as a Financing Statement Form.*

REFERENCE THE ADDENDUM OR ATTACHMENT PAGES ON THE FACE OF THE FINANCING STATEMENT.

*When no reference is made to the addendum or attachment, the document will be rejected.*

LIST ONLY ONE SECURED PARTY NAME IN ITEM #3. (ALL ADDITIONAL SECURED PARTY NAMES MUST APPEAR ON AN ADDENDUM FORM OR ATTACHMENT PAGE).

*Don't: List additional Secured Party names in both items #3a and 3b or in item #4 (collateral section).*

LIST ONLY THE CURRENT SECURED PARTY OF RECORD OR ITS TOTAL ASSIGNEE IN ITEM #3. (THERE ARE NO PROVISIONS FOR FILING AN ASSIGNMENT ON THE NEW FORM).

*Don't: List the assignee of Secured Party in the collateral, addendum or attachment page. A UCC-2 change form (assignment) must be filed.*

STATE THE PROPER REQUIREMENTS IN ITEM 4 WHEN FILING WITHOUT THE DEBTOR SIGNATURE. REFER TO UCC 9402 -2 (A) (B) (C) (D).

*Don't: Exclude statutory required information when box #5 is checked.*

INCLUDE AN ADDITIONAL \$10:00 FEE FOR EACH DEBTOR NAME TO BE SEARCHED WHEN CHECKING ITEM #9.

*Don't: Check Item #9 without including sufficient fees.*

SUBMIT EITHER ONE REQUEST BY MARKING BOX #9 AND INCLUDING PAGE #(3) SEARCH REQUEST OR SUBMIT A SEPARATE UCC-3 (SEARCH REQUEST).

*Don't: Submit a separate UCC-3 (Search Request) when box #9 is marked.  
Don't: Mark box #8 when filing with the Secretary of State's Office.*