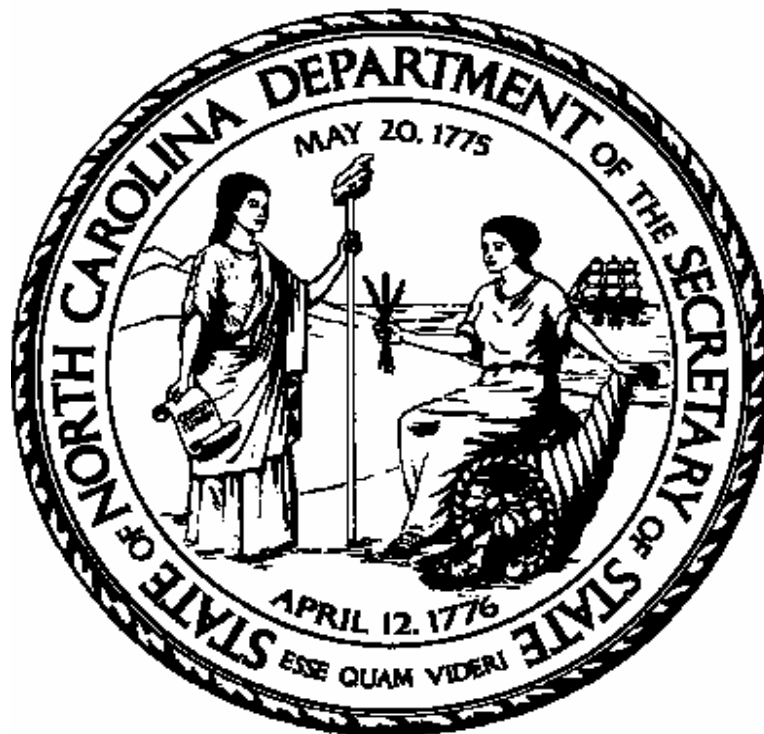


A USER'S GUIDE TO ELECTRONIC UCC FILING



NORTH CAROLINA DEPARTMENT OF THE SECRETARY OF STATE

CERTIFICATION AND FILING DIVISION

UPDATED NOVEMBER 2007

WELCOME FROM NORTH CAROLINA SECRETARY OF STATE ELAINE F. MARSHALL



Welcome to the world of Electronic UCC filing in North Carolina.
eFiling a UCC record is easy once you learn how to do it.
Don't be "put off" by the size of this guide; once you've worked through a sample filing,
we expect that you'll find it easy, and a real time-and money-saver for your business.
And remember, if you run into a situation that is not addressed in this guide,
help from the Secretary of State UCC staff is only a phone call or email away.

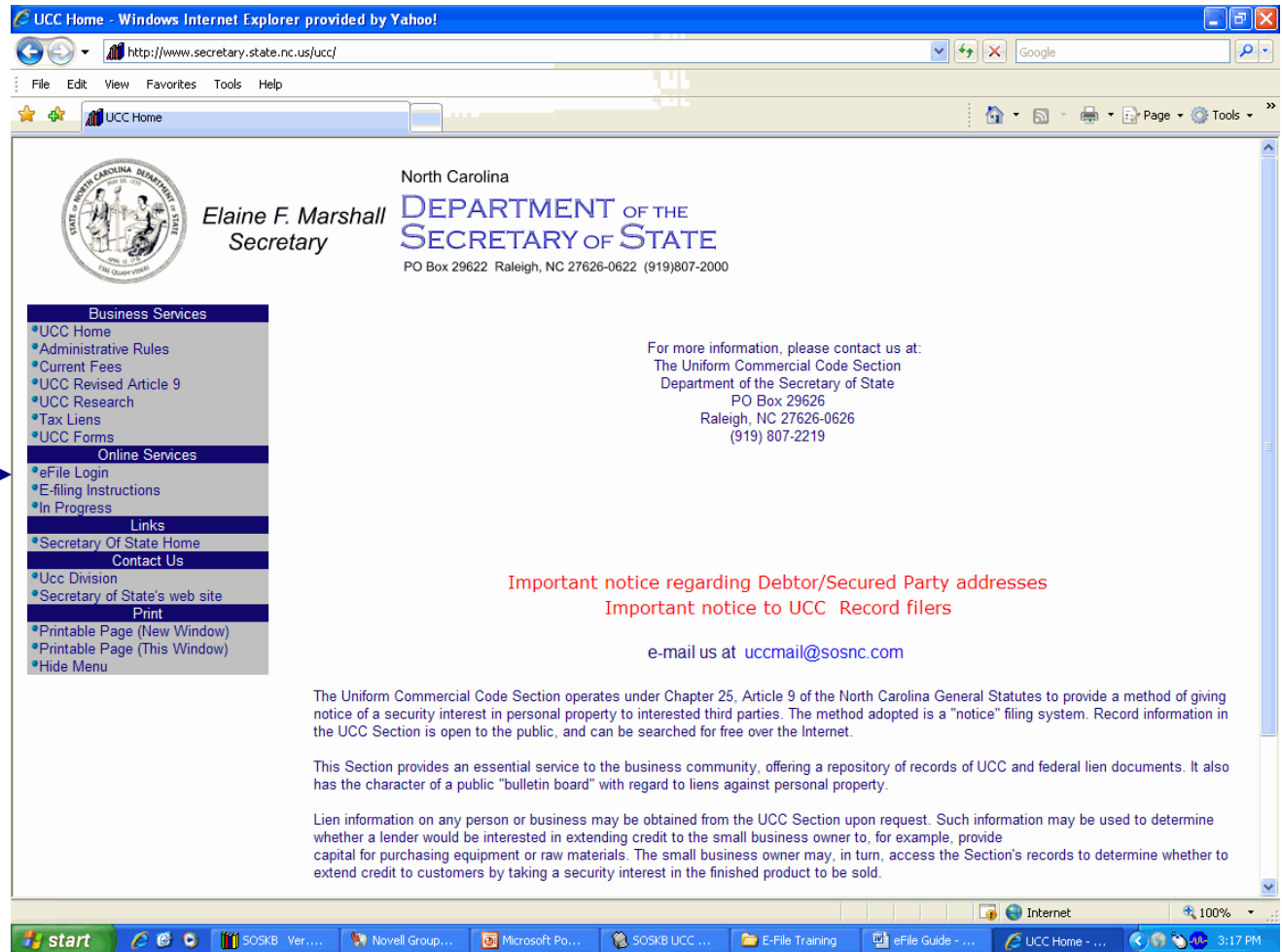
Published by The North Carolina Department of the Secretary of State
Certification and Filing Division
P O Box 29626
Raleigh, NC 27626
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uccmail@sosnc.com

INDEX

| Topic | Page Number |
|--------------------------------|-------------|
| Index | 2 |
| Getting Started | 3 |
| Create a New Account | 4 |
| Menu Options | 6 |
| New Financing Statements | 7 |
| New Amendments | 14 |
| Templates | 16 |
| Acknowledgements | 17 |
| Reconciliation Reports | 18 |
| Viewing My Profile Information | 19 |
| Editing My Profile Information | 20 |
| Managing My Representatives | 21 |
| Logout | 22 |
| Final Notes on eFiling | 23 |

GETTING STARTED

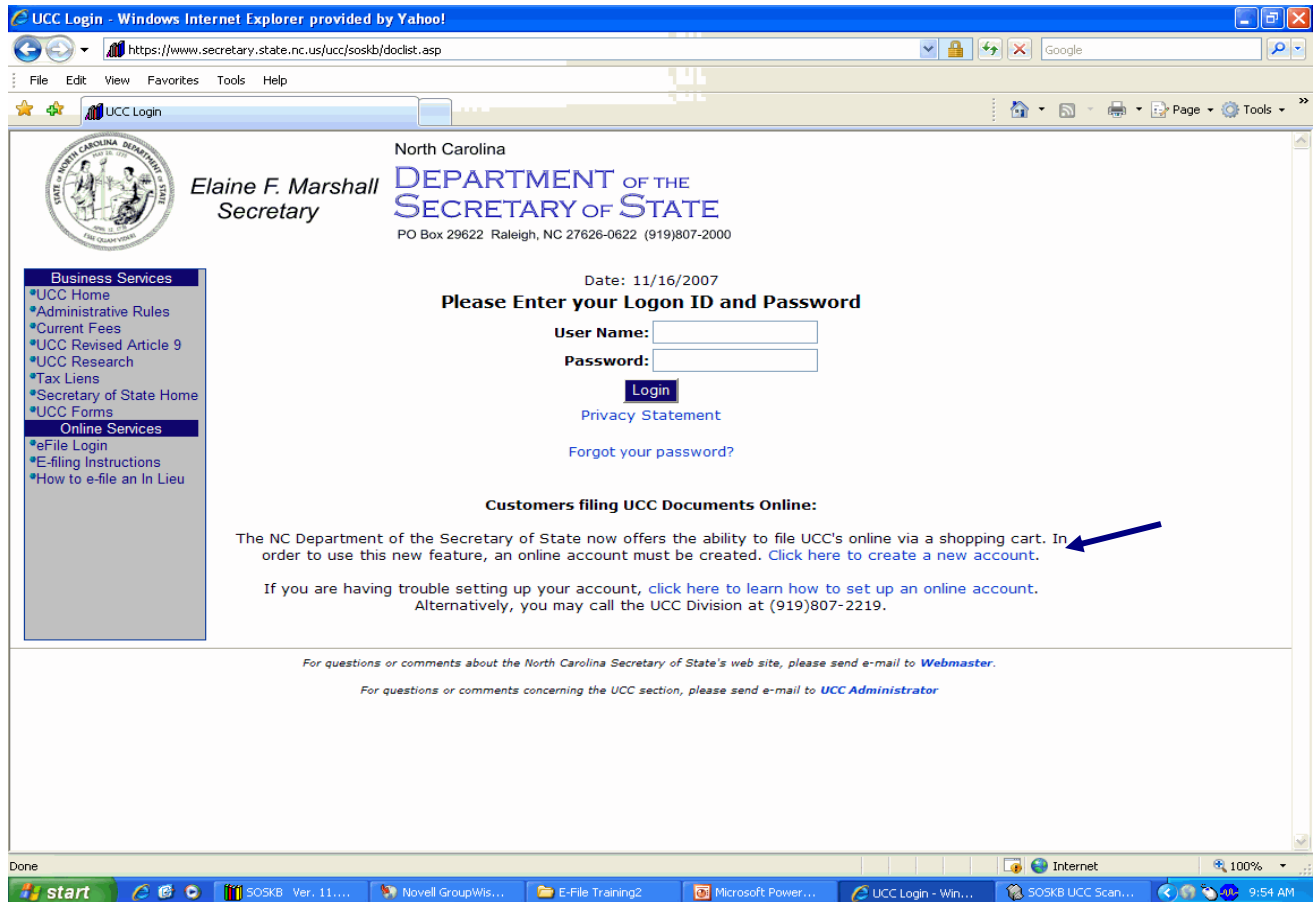
To get started filing UCCs electronically with the NC Department of the Secretary of State, a filer must first establish an account. In order to establish this account, go to the Secretary of State's website at www.sosnc.com. Go to the **Uniform Commercial Code Section**. The screen will resemble the image below:



After reaching this page, click “eFile Login”.

CREATE A NEW ACCOUNT

First-time users will need to create a new account for UCC eFiling. Click on the link “**Click here to create a new account**”. Once you have created an account, you can log in using your User Name and Password.



Determine the type of account you wish to create; Commercial or Individual. Complete all fields, including name, address, phone and fax numbers.

Complete the Email Address fields with addresses of the person to be notified on behalf of the entity, the person to receive Document Notifications, and the person to receive copies of invoices (marked as paid).

If you would like to use Automated Clearing House (ACH) which debits funds from your checking account, enter the bank account routing number and account number. When you are finished, click to “**Enable ACH**”.

Note, if creating an Individual Account to allow an authorized representative to file UCCs on behalf of a Commercial account, DO NOT enter the corporation's ACH information here. The authorized representative will automatically be linked to the Commercial account by updating the Commercial account's profile with the name of the representative.

Create a User ID and Password of your choosing. There is no limit to the number of characters. Click "**Continue**" to view a confirmation page of your entries.

The screen will resemble the following two images:

The screenshot shows a web browser window titled "Entity Information Editor - Windows Internet Explorer provided by Yahoo!". The address bar shows the URL "https://www.secretary.state.nc.us/ucc/soskb/EntityInfoEdit.asp". The page header includes the "Secretary of State" logo and contact information: "PO Box 29622 Raleigh, NC 27626-0622 (919)807-2000".

The main content area is titled "Enter Your New Account Information". It contains several form fields:

- Commercial Name:** A single text input field.
- OR -** A separator line.
- First Name:**, **Middle:**, **Last Name:**, and **Suffix:** Four separate text input fields.
- Note:** "Name changes must be made via telephone."
- Street Address:** A text input field with a red asterisk and the word "Required" next to it.
- City:**, **State:**, and **Zip:** Three separate text input fields, with a red asterisk and "Required" next to the State and Zip fields.
- Phone:** A text input field with a red asterisk and "Required" next to it.
- Fax:** A text input field.
- Email Addresses:** A section header with a link "(click here for Email Definitions)".
- EMail:** A text input field with a red asterisk and "Required" next to it.
- Notification:** A text input field.
- Billing:** A text input field.

The browser's taskbar at the bottom shows several open applications, including "SOSKB Ver. 11...", "Novell GroupWis...", "E-File Training2", "Microsoft Power...", "Entity Informatio...", and "SOSKB UCC Scan...". The system clock shows "9:57 AM".

The screenshot shows the same web browser window, now displaying the "ACH Account Information" section. The page header and logo are the same as in the previous image.

The main content area is titled "ACH Account Information" and includes the following text:

This section is optional. Please complete the section below only if you plan to use an ACH account to pay for documents online.

PLEASE PRINT THIS SCREEN AND RETAIN FOR YOUR RECORDS

By completing the fields labeled "Account Routing" and "Account Number" and clicking on the "Enable ACH" box, I certify the following:

1. That I am authorized to debit this account;
2. That I authorize the Department of the Secretary of State to initiate debit entries to my account indicated below and the financial institution named below, hereinafter called FINANCIAL INSTITUTION, to debit the same to such account for payment.
3. That I understand that this authorization shall remain in full force and effect until such time as I revoke it and the Department of the Secretary of State and FINANCIAL INSTITUTION have a reasonable opportunity to act on it;
4. That I may revoke this authorization by updating my account information and clicking on the "Disable ACH" box on this page.
5. That the method of revocation of authorization may only be accomplished by the method outlined in #4 herein.
6. That I acknowledge that the origination of ACH transactions to my account must comply with provision of U.S. law.

The form fields include:

- Account Routing:** A text input field.
- Account Number:** A text input field with a blue arrow pointing to it.
- Enable ACH:** A blue button.
- Enter your new User ID Here:** A section header.
- User ID:** A text input field.
- Enter a new password:** A text input field.
- Verify your new password:** A text input field.

The browser's taskbar at the bottom is the same as in the previous image, with the system clock now showing "9:58 AM".

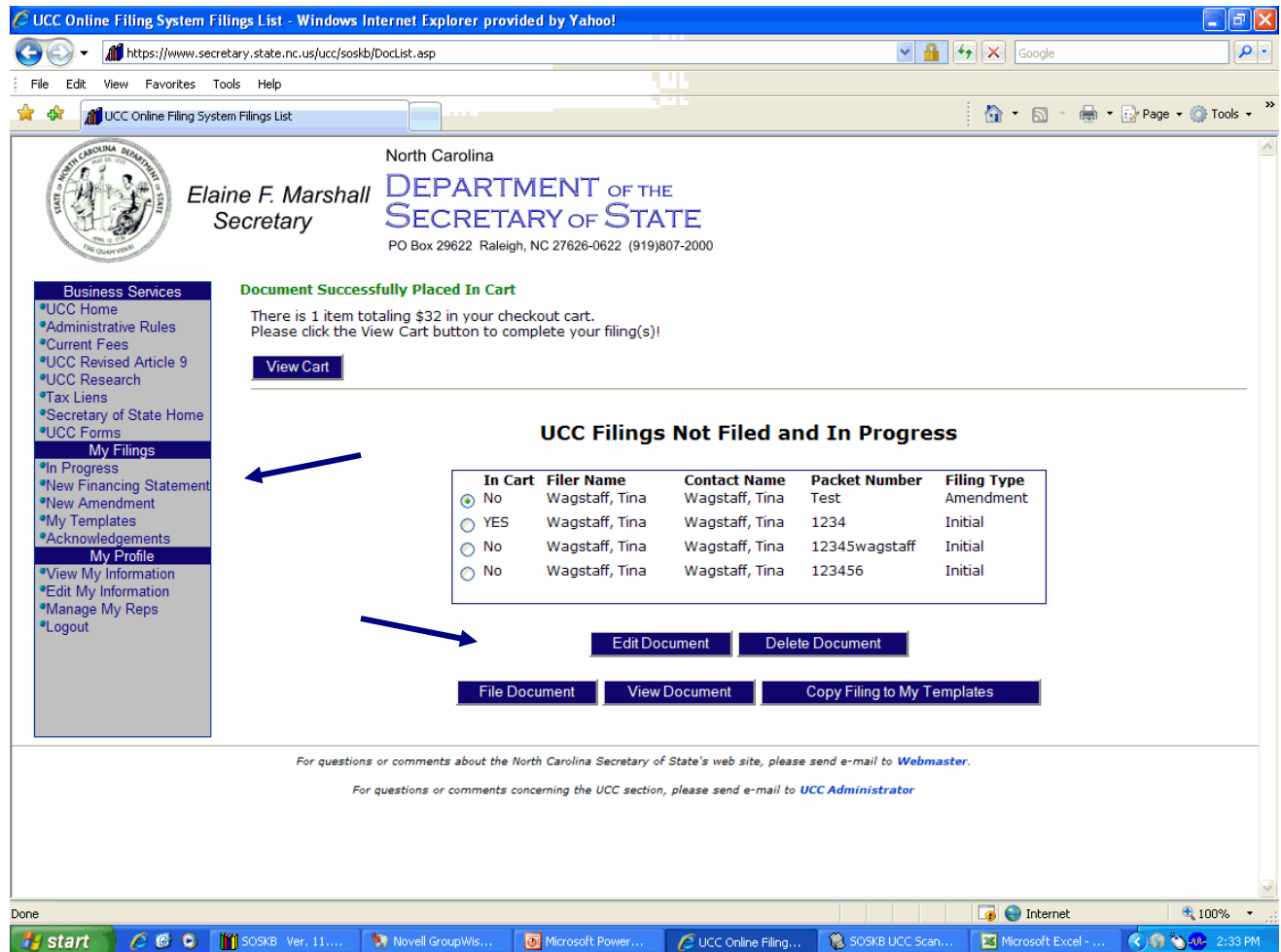
MENU OPTIONS

After logging in, the filer will be taken to a menu page. The filer can choose to edit, view, delete, or file any filings that are in progress or not yet filed.

To select a particular filing that has yet to be filed, click the button to the left of the file and select the appropriate function: **Edit, Delete, File, or View.**

To create a new financing statement, amendment, template, or to view acknowledgements, click the appropriate button on the left menu.

The screen will resemble the image below:



Edit Document - The filer can make modifications to the content previously entered, but not yet filed.

Delete Document - This selection is made if the filer wishes to delete the filing from the "In Progress" screen.

File Document - This selection begins the filing process and expects that all filer edits have been performed.

View Document - This selection provides the filer with a preview of the document formatted as a standard filing form.

Copy Filing to My Templates - This selection will allow the filer to make a copy of the selected filing in the template directory.

CREATING A NEW FINANCING STATEMENT

To create a new financing statement, click “**New Financing Statement**” in the left menu. You will be taken to the screen below. The filer’s name will appear in the “**Filer**” field. The filer must enter a “**Packet Number**”. This can be any number or letter that will assist the filer in identifying the file. This could be a loan number, account number, processing number, debtor name or combination of letters and/or numbers, etc. The filer then should select the filing type and the appropriate designation.

After entering this information, click “**Continue**”. The filer will then enter all relevant data just as if it were a paper UCC filing. The filing will be filed with the information **EXACTLY AS ENTERED** by the filer.

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Secretary
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Business Services
•UCC Home
•Administrative Rules
•Fees
•Frequently Asked Questions
•UCC Revised Article 9
•UCC Research
•Set up an Online Account
•eFiling (electronic Filing)
•Tax Liens
•Secretary of State Home
•UCC Newsletter
•UCC Forms

My Filings
•In Progress
•New Financing Statement
•New Amendment
•My Templates
•Acknowledgements

My Profile
•View My Information
•Edit My Information
•Manage My Reps
•Logout

New Financing Statement Filing

FILER: Sample, Order * Required

PACKET NUMBER: * Required

FILING TYPE:


NAME DESIGNATION:

Please select an amendment change type if it is not a continuation or termination.

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For questions or comments concerning the UCC section, please send e-mail to [UCC Administrator](#)

To move through the various sections of the filing, click the tabs across the top, labeled “**Debtors**”, “**Secured Parties**”, and “**Collateral**”. Just as with paper filings, there are required fields. A filing will not be accepted for filing unless all required fields are completed. Once all information has been entered on a particular screen, be sure to click “**SAVE**”.



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Business Services

- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms

My Filings

- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements

My Profile

- View My Information
- Edit My Information
- Manage My Reps
- Logout

DEBTOR PARTY INFORMATION

Filer
Filing Type
Debtors
Secured Parties
Collateral

1. DEBTOR'S EXACT FULL LEGAL NAME(*Required)
Insert only one debtor name (1a or 1b) - do not abbreviate or combine names

1a. ORGANIZATION'S NAME

1e. TYPE OF ORGANIZATION

1f. JURISDICTION OF ORGANIZATION

1g. ORGANIZATIONAL ID #, if any
 None

OR

1b. INDIVIDUAL'S LAST NAME FIRST NAME MIDDLE NAME SUFFIX


1c. MAILING ADDRESS (*Required) CITY STATE POSTAL CODE (*Required)

COUNTRY

ALTERNATIVE CAPACITY OF DEBTOR PROPERTY

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Business Services

- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms

My Filings

- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements

My Profile

- View My Information
- Edit My Information
- Manage My Reps
- Logout

DEBTOR PARTY INFORMATION

Filer
Filing Type
Debtors
Secured Parties
Collateral

| Name | Address |
|--|------------------------------------|
| <input checked="" type="radio"/> Sample Organization | 2 South Salisbury Raleigh NC 27611 |

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- Business Services**
- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms
- My Filings**
- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements
- My Profile**
- View My Information
- Edit My Information
- Manage My Reps
- Logout

SECURED PARTY INFORMATION

| | | | | |
|-------|-------------|---------|-----------------|------------|
| Filer | Filing Type | Debtors | Secured Parties | Collateral |
|-------|-------------|---------|-----------------|------------|

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- Business Services**
- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms
- My Filings**
- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements
- My Profile**
- View My Information
- Edit My Information
- Manage My Reps
- Logout

SECURED PARTY INFORMATION

| | | | | |
|-------|-------------|---------|-----------------|------------|
| Filer | Filing Type | Debtors | Secured Parties | Collateral |
|-------|-------------|---------|-----------------|------------|

SECURED PARTY'S NAME: (*Required)
Insert only one secured party name (3a or 3b)

3a. ORGANIZATION'S NAME

OR

3b. INDIVIDUAL'S LAST NAME FIRST NAME MIDDLE NAME SUFFIX

| | | |
|--|--|--|
| | | |
|--|--|--|

3c. MAILING ADDRESS (*Required) CITY STATE POSTAL CODE (*Required)

| | | | |
|---------------|---------|----|-------|
| 123 sample st | Raleigh | NC | 27609 |
|---------------|---------|----|-------|

COUNTRY

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- Business Services
 - UCC Home
 - Administrative Rules
 - Fees
 - Frequently Asked Questions
 - UCC Revised Article 9
 - UCC Research
 - Set up an Online Account
 - eFiling (electronic Filing)
 - Tax Liens
 - Secretary of State Home
 - UCC Newsletter
 - UCC Forms
- My Filings
 - In Progress
 - New Financing Statement
 - New Amendment
 - My Templates
 - Acknowledgements
- My Profile
 - View My Information
 - Edit My Information
 - Manage My Reps
 - Logout

SECURED PARTY INFORMATION

| Filer | Filing Type | Debtors | Secured Parties | Collateral |
|--|-------------|--------------------------------|-----------------|------------|
| Name | | Address | | |
| Secured Party Sample | | 123 sample st Raleigh NC 27609 | | |
| <input type="button" value="Add"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/> | | | | |

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- Business Services
 - UCC Home
 - Administrative Rules
 - Fees
 - Frequently Asked Questions
 - UCC Revised Article 9
 - UCC Research
 - Set up an Online Account
 - eFiling (electronic Filing)
 - Tax Liens
 - Secretary of State Home
 - UCC Newsletter
 - UCC Forms
- My Filings
 - In Progress
 - New Financing Statement
 - New Amendment
 - My Templates
 - Acknowledgements
- My Profile
 - View My Information
 - Edit My Information
 - Manage My Reps
 - Logout

****Press Save when you are done, or your data will not properly post**

COLLATERAL INFORMATION

| Filer | Filing Type | Debtors | Secured Parties | Collateral |
|--|-------------|---------|-----------------|------------|
| 4. COLLATERAL COVERED BY FINANCE STMT | | | | |
| <div style="border: 1px solid gray; padding: 5px; min-height: 100px;"> sample collateral </div> | | | | |
| <input type="button" value="Save"/> <input type="button" value="Delete"/> <input type="button" value="Manage Collateral"/> | | | | |

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Note: Collateral descriptions may be copied and pasted from a Microsoft Word document.

The “**Manage Collateral**” function allows the filer to save and label a collateral description that can be used in future filings. To save a description to the “**Manage Collateral**” area, click the “**Manage Collateral**” button while producing a new financing statement. Click “**ADD**”. Then label the description and type the collateral information. Click “**SAVE**”. Then click “**Send to Collateral**”.

The collateral description will now appear in the collateral box of the current filing. Click **“Save”** before moving to the next step.

To import a saved collateral description, click **“Manage Collateral”**. Select the appropriate collateral description by clicking on the button beside the name and click **“Send to Collateral”**.

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Business Services
*UCC Home
*Administrative Rules
*Fees
*Frequently Asked Questions
*UCC Revised Article 9
*UCC Research
*Set up an Online Account
*eFiling (electronic Filing)
*Tax Liens
*Secretary of State Home
*UCC Newsletter
*UCC Forms

My Filings
*In Progress
*New Financing Statement
*New Amendment
*My Templates
*Acknowledgements

My Profile
*View My Information
*Edit My Information
*Manage My Reps
*Logout

COLLATERAL MANAGER

| File | Filing Type | Debtors | Secured Parties | Collateral |
|----------------------------------|---------------|---------|-----------------|--------------------------|
| <input checked="" type="radio"/> | Legal Stuff | | | This is the legal stuff. |
| <input type="radio"/> | Illegal stuff | | | This is illegal stuff |

Add Edit Delete Send To Collateral

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Business Services
*UCC Home
*Administrative Rules
*Fees
*Frequently Asked Questions
*UCC Revised Article 9
*UCC Research
*Set up an Online Account
*eFiling (electronic Filing)
*Tax Liens
*Secretary of State Home
*UCC Newsletter
*UCC Forms

My Filings
*In Progress
*New Financing Statement
*New Amendment
*My Templates
*Acknowledgements

My Profile
*View My Information
*Edit My Information
*Manage My Reps
*Logout

Saved Successfully
COLLATERAL INFORMATION

| File | Filing Type | Debtors | Secured Parties | Collateral |
|------|-------------|---------|-----------------|--|
| | | | | 4. COLLATERAL COVERED BY FINANCE STMT sample collateral |

Save Delete Manage Collateral

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Once you have entered all information for Debtor, Secured Party, and Collateral, click **“In Progress”**. From that screen, the filer can view, edit, or submit a document for filing. To file a document, select the desired filing and click **“File Document”**. This action will move the selected document to the **SHOPPING CART**.

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Business Services

- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms

My Filings

- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements

My Profile

- View My Information
- Edit My Information
- Manage My Reps
- Logout

UCC Filings Not Filed and In Progress

| In Cart | Filer Name | Contact Name | Packet Number | Filing Type |
|--|---------------|---------------|---------------|-------------|
| <input checked="" type="checkbox"/> No | Sample, Order | Sample, Order | 001 | Initial |

Edit Document Delete Document

File Document View Document Copy Filing to My Templates

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Click the **“View Cart”** button at the top of the screen shown below. After verifying that this is the document to be filed, click **“Complete Checkout”**. The filer will then be asked to select the payment type—ACH Debit account or Credit Card Payment. If the filer chooses the Credit Card Payment option, the credit card information will have to be entered at each check-out. The Secretary of State’s Office is not allowed to store credit card information.

After submitting a document for filing, an email notification will be sent to the email address as entered in **“My Information”**. The filer can view the acknowledgement from the **“Acknowledgement”** link on the left menu.



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- Business Services**
- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms
- My Filings**
- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements
- My Profile**
- View My Information
- Edit My Information
- Manage My Reps
- Logout

Document Successfully Placed In Cart

There is 1 item totaling \$32 in your checkout cart.
Please click the View Cart button to complete your filing(s)!

[View Cart](#)

UCC Filings Not Filed and In Progress

| In Cart | File Name | Contact Name | Packet Number | Filing Type |
|---|---------------|---------------|---------------|-------------|
| <input checked="" type="checkbox"/> YES | Sample, Order | Sample, Order | 001 | Initial |

[Edit Document](#)

[Delete Document](#)

[File Document](#)

[View Document](#)

[Copy Filing to My Templates](#)

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- Business Services**
- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms
- My Filings**
- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements
- My Profile**
- View My Information
- Edit My Information
- Manage My Reps
- Logout

Current Shopping Cart Date: Nov 20, 2002

| Remove From Cart | Item Description | Cost | Packet Number |
|--------------------------|--|--|----------------|
| <input type="checkbox"/> | Filing Type: Initial Debtor: Sample Organization Address: 2 South Salisbury Raleigh, NC 27611 | Filing Fee: \$30.00 Convenience Fee: \$2.00 | 001 |
| Total: | | | \$32.00 |

Purchaser:

Payment Type:

[Complete Checkout](#)

[Remove From Checkout](#)

[Go Back To Filings In Progress](#)

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CREATING A NEW AMENDMENT

To continue, terminate, or amend an existing filing, click “**New Amendment**”. You will be taken to the screen below. The filer’s name will appear in the “**Filer**” field. The filer must enter a “**Packet Number**”. This can be any number or letter that will assist the filer in identifying the file. This could be a loan number, account number, processing number, debtor name or combination of letters and/or numbers, etc. The filer then should enter the “**Initial Financing Statement Number**” of the UCC to be amended. Select the “**Amendment Type**” and click “**Continue**”.

Note: Only one amendment can be completed per transaction in electronic filing.

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New Filing Amendment

FILER: Sample, Order * Required

PACKET NUMBER: * Required

INITIAL FINANCING STATEMENT NUMBER: * Required

AMENDMENT TYPE: * Required

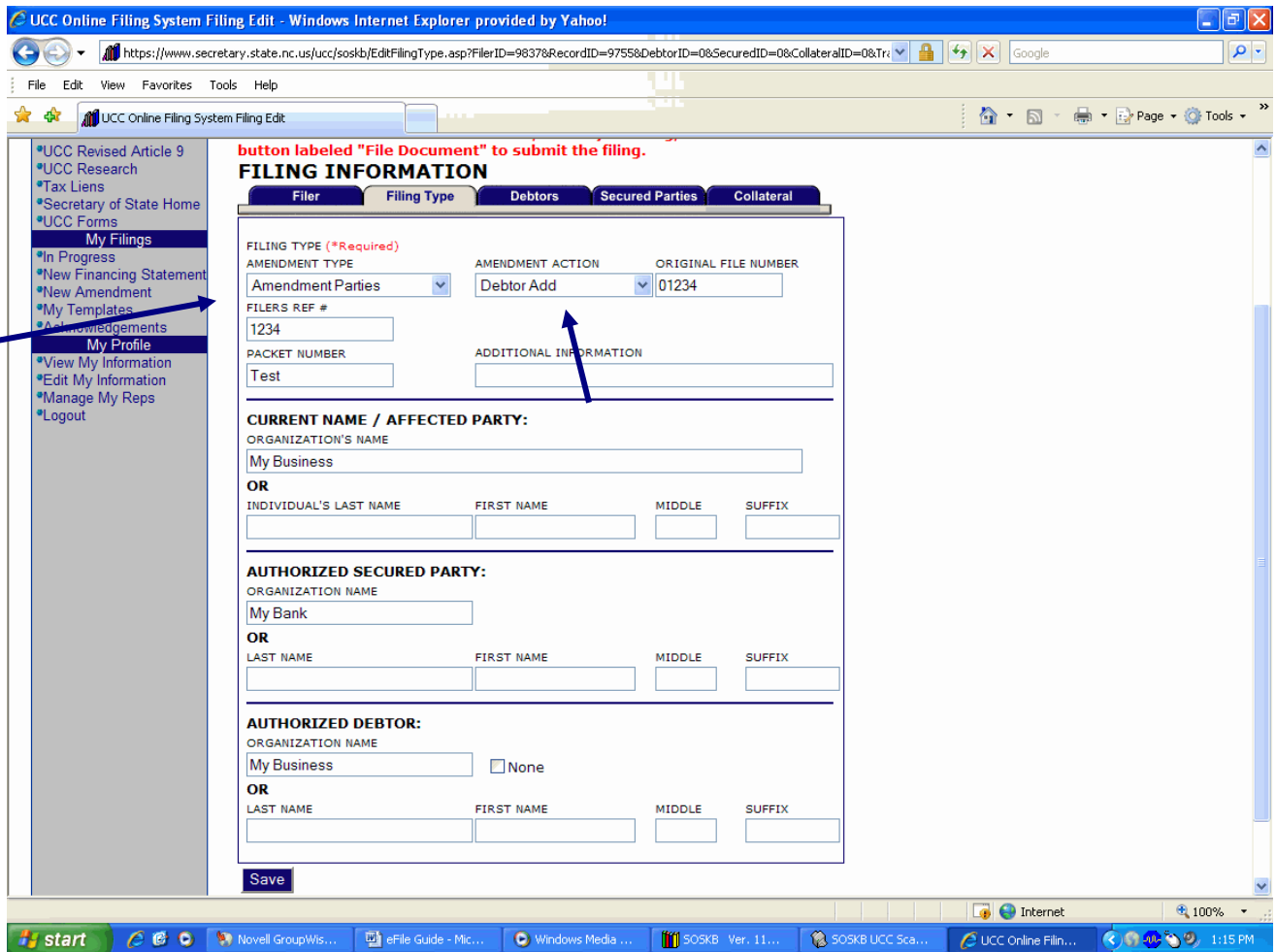
Please select an amendment change type if it is not a continuation or termination.

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After selecting the “**Amendment Type**”, the filer will only be able to enter the information for that “**Amendment Type**”. For example, if it is an “**Amendment Parties-Debtor Change**” type amendment, the filer will only be able to enter the information to amend a debtor. The amendment types are:

- Amendment Collateral
- Amendment Parties (Debtor or Secured Party)
- Assignment (Secured Party)
- Continuation
- Correction (Wrongfully Filed)
- Termination Debtor (Authorized by Debtor)
- Termination Secured Party (Authorized by Secured Party)

“**Amendment Collateral**” and “**Amendment Parties**” require an “**Amendment Action**”. Please select the appropriate action for the amendment type you choose. You may also enter the “**Current Name/Affected Party**”, “**Authorized Secured Party**”, and “**Authorized Debtor**”, however, these are not required.



Once all information has been entered, click **“Save”**. If you are filing an **“Amendment Parties”**, or **“Amendment Collateral”**, select the appropriate tab to enter the new, changed, or deleted information for the party or collateral. Once all information has been entered, click **“Save”**.

Once you have entered all information for the amendment, click **“In Progress”**. From that screen, the filer can view, edit, or submit a document for filing. To file a document, select the desired filing and click **“File Document”**. This action will move the selected document to the **SHOPPING CART**.

Click the **“View Cart”** button at the top of the screen. After verifying that this is the document to be filed, click **“Complete Checkout”**. The filer will then be asked to agree to the fee associated with the filing of that document.

After submitting a document for filing, a notice will be sent to the email address as entered in **“My Information”**. The filer can view the acknowledgement from the **“Acknowledgement”** link on the left menu.

MY TEMPLATES

"My Templates" is a way of saving data that is used repeatedly in an organization's filing (such as a legal collateral description). If an organization has a standard filing document or a large number of filings that contain basically the same data then it may be more efficient to create the first document and copy it to the template library for recall with each subsequent filing.

To create a template, begin a filing as if it were a new financing statement by filling in all the information required. See **Creating a New Financing Statement** on page 7, if help is needed. Once all information is entered (be sure to click "Save" on each tab), click on "In Progress". Select the document and click "Copy Filing to My Templates".

In the left menu, click on "My Templates" and notice that there is a copy of the document just created.

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Business Services

- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms

My Filings

- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements

My Profile

- View My Information
- Edit My Information
- Manage My Reps
- Logout

UCC Filing Templates

| In Cart | Filer Name | Contact Name | Packet Number | Filing Type |
|--|---------------|---------------|---------------|-------------|
| <input checked="" type="checkbox"/> No | Sample, Order | Sample, Order | 001 | Initial |

Edit Document Delete Document

View Document Copy to Filings in Progress

For questions or comments about the North Carolina Secretary of State's web site, please send e-mail to [Webmaster](#).

For questions or comments concerning the UCC section, please send e-mail to [UCC Administrator](#)

Once you have created a template document, simply select it from the list and click "Copy to Filings in Progress". From the "In Progress" screen, the filer can then edit and/or add debtor/secured party information and proceed with filing as if it were a new filing without having to enter the saved data.

ACKNOWLEDGEMENTS

The acknowledgement search allows the user to produce a report of all filings falling within a selected date range of not more than thirty (30) days. For ease of use, a selection to include the **last two (2)** or **last seven (7) days** can be made by clicking on the appropriate button. A report as shown on the following page will be produced.

After logging in, click on “**Acknowledgements**” from the left menu. At that point, the filer can choose to enter a date range in the data blocks or simply click on “**Last 2 Days**” or “**Last 7 days**”.

Click search and the results page will resemble the next screen labeled “**Reconciliation Report**”.

With the Acknowledgement search, the results will only show the filings that were submitted by the person currently logged in.

The screenshot shows a web browser window titled "UCC eFiler Reconciliation Date Search - Windows Internet Explorer provided by Yahoo!". The address bar shows the URL: <https://www.secretary.state.nc.us/ucc/Acknowledgements.aspx?dtm=5634375>. The page header includes the North Carolina Department of the Secretary of State logo and contact information for Elaine F. Marshall, Secretary. The main content area is titled "Search for My Filings by Date" and features two input fields for "Filing Date From:" and "Filing Date To:", each with a "+" button. Below these fields are four buttons: "Search", "Last 2 Days", "Last 7 Days", and "Clear". A left-hand navigation menu is visible, with a blue arrow pointing to the "Acknowledgements" link under the "My Filings" section. The menu items include Business Services, My Filings, Links, Contact Us, and Print options. The Windows taskbar at the bottom shows several open applications, including "Novell GroupWis...", "eFile Guide - Mic...", "Windows Media...", "SOSKB Ver. 11...", "SOSKB UCC Sca...", and "UCC eFiler Reco...". The system clock shows 1:32 PM.

RECONCILIATION REPORTS



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North Carolina

DEPARTMENT OF THE
SECRETARY OF STATE

PO Box 29622 Raleigh, NC 27626-0622 (919)807-2000

- Business Services
 - UCC Home
 - Administrative Rules
 - Fees
 - Frequently Asked Questions
 - UCC Revised Article 9
 - UCC Research
 - Set up an Online Account
 - eFiling (electronic Filing)
 - Tax Liens
 - Secretary of State Home
 - UCC Newsletter
 - UCC Forms
- My Filings
 - In Progress
 - New Financing Statement
 - New Amendment
 - My Templates
 - Acknowledgements
- My Profile
 - View My Information
 - Edit My Information
 - Manage My Reps
 - Logout

[Show Printer Friendly Version](#)

UCC eFiler Reconciliation Report
Date From: 11/01/2002 To 11/20/2002
Ordered For: Sample, Order

Ordered By: Sample, Order

| Date | Filing | Ack. | Invoice | Ref No. | Description | Status | Amount |
|---|--------------|----------------------|---------|---------------|----------------------------|--------|---------|
| 11/4/2002 | 20020116934K | View | 5003979 | 2002092600002 | Initial | Paid | \$30.00 |
| 11/4/2002 | | | 5003979 | 2002092600002 | Electronic Convenience Fee | Paid | \$2.00 |
| Invoice Total: \$32.00 | | | | | | | |
| ===== | | | | | | | |
| Total For Sample, Order: \$32.00 | | | | | | | |
| ===== | | | | | | | |

Grand Total: \$32.00

[Show Printer Friendly Version](#)

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To view the acknowledgement, click **“view”** in the **ACK** column to the right of the desired filing number.

To view the invoice that contains the desired filing, click the blue invoice number in the **INVOICE** column to the right.

To print a copy for your records, click the **“Show Printer Friendly Version”** and print from this screen.

VIEW MY INFORMATION

The information about a user can be viewed by clicking on “**View My Information**” from the left menu.

If any of the information needs to be changed, click on “**Edit My Information**” from the left menu.



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Secretary

North Carolina

DEPARTMENT OF THE
SECRETARY OF STATE

PO Box 29622 Raleigh, NC 27626-0622 (919)807-2000

Business Services

- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms

My Filings

- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements

My Profile

- View My Information
- Edit My Information
- Manage My Reps
- Logout

First Name: Order

Middle:

Last Name: Sample

Suffix:

Street Address: Please Don't Mail this Test Record. This is a test

City State Zip: Raleigh, NC 27613

Phone: (919) 807-9192

Email: kearley@sosnc.com

Notification Email: kearley@sosnc.com

Billing Email: kearley@sosnc.com

[Continue >>](#)

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EDIT MY INFORMATION

To edit information, click on “**Edit My Information**” from the left menu.

Make the desired changes and click “**Continue**”. The changes will be applied and the screen will redisplay with the changed information.

Entity Information Editor - Windows Internet Explorer provided by Yahoo!
https://www.secretary.state.nc.us/ucc/soskb/entityinfoedit.asp?dtm=61744212962963

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Business Services
•UCC Home
•Administrative Rules
•Current Fees
•UCC Revised Article 9
•UCC Research
•Tax Liens
•Secretary of State Home
•UCC Forms

My Filings
•In Progress
•New Financing Statement
•New Amendment
•My Templates
•Acknowledgements

My Profile
•View My Information
•Edit My Information
•Manage My Reps
•Logout

Personal Account Information

First Name: Tina
Middle:
Last Name: Wagstaff
Suffix:

Note: Name changes must be made via telephone.
Street Address:
PO Box 123 *Required

City: Raleigh **State:** NC **Zip:** 27601 *Required

Phone: (910) 807 - 2216 *Required
Fax: () -

Email Addresses(click here for Email Definitions)

Email: twagstaff@sosnc.com *Required
Notification: twagstaff@sosnc.com
Billing: twagstaff@sosnc.com

Entity Information Editor - Windows Internet Explorer provided by Yahoo!
https://www.secretary.state.nc.us/ucc/soskb/entityinfoedit.asp?dtm=61744212962963

ACH Account Information
This section is optional. Please complete the section below only if you plan to use an ACH account to pay for documents online.

PLEASE PRINT THIS SCREEN AND RETAIN FOR YOUR RECORDS

By completing the fields labeled "Account Routing" and "Account Number" and clicking on the "Enable ACH" box, I certify the following:

1. That I am authorized to debit this account;
2. That I authorize the Department of the Secretary of State to initiate debit entries to my account indicated below and the financial institution named below, hereinafter called FINANCIAL INSTITUTION, to debit the same to such account for payment.
3. That I understand that this authorization shall remain in full force and effect until such time as I revoke it and the Department of the Secretary of State and FINANCIAL INSTITUTION have a reasonable opportunity to act on it;
4. That I may revoke this authorization by updating my account information and clicking on the "Disable ACH" box on this page.
5. That the method of revocation of authorization may only be accomplished by the method outlined in #4 herein.
6. That I acknowledge that the origination of ACH transactions to my account must comply with provision of U.S. law.

Account Routing:
000000000

Account Number:
000000000

You may change your password here

Enter your current password:
[]

Enter a new password:
[]

Verify your new password:
[]

MANAGE MY REPS

Representatives are individuals who have been intentionally authorized to file documents online on behalf of others, such as an organization. The person who has access to the corporate account authorizes representatives. To authorize a representative:

1. Login using the corporate login/password
2. Choose Manage my Reps
3. Enter the login of the representative to be added (note: the individual account must already be set up)
4. Click on the Add Rep button

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Elaine F. Marshall
Secretary

Business Services
•UCC Home
•Administrative Rules
•Fees
•Frequently Asked Questions
•UCC Revised Article 9
•UCC Research
•Set up an Online Account
•eFiling (electronic Filing)
•Tax Liens
•Secretary of State Home
•UCC Newsletter
•UCC Forms

My Filings
•In Progress
•New Financing Statement
•New Amendment
•My Templates
•Acknowledgements

My Profile
•View My Information
•Edit My Information
•Manage My Reps
•Logout

Representative Management for Sample, Order

Enter the Logon ID Of the representative you want to add

Add Rep ←

My Representatives

- ELEK, BONNIE H**
2 South Salisbury Street P O Box 29622, Raleigh, NC 27601
- MCMANUS, JIM**
2 Salisbury St., Raleigh, NC 27601
- HOLCOMB, PAT**
2 South Street 5th Floor, Raleigh, NC 27603

Delete Reps

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LOGOUT

Once a filer is finished with all actions, click “Logout” from the left menu screen.



Elaine F. Marshall
Secretary

North Carolina

DEPARTMENT OF THE
SECRETARY OF STATE

PO Box 29622 Raleigh, NC 27626-0622 (919)807-2000

Business Services

- UCC Home
- Administrative Rules
- Fees
- Frequently Asked Questions
- UCC Revised Article 9
- UCC Research
- Set up an Online Account
- eFiling (electronic Filing)
- Tax Liens
- Secretary of State Home
- UCC Newsletter
- UCC Forms

My Filings

- In Progress
- New Financing Statement
- New Amendment
- My Templates
- Acknowledgements

My Profile

- View My Information
- Edit My Information
- Manage My Reps
- Logout

There is 1 item totaling \$32 in your checkout cart.
Please click the View Cart button to complete your filing(s)!

[View Cart](#)

UCC Filings Not Filed and In Progress

| In Cart | Filer Name | Contact Name | Packet Number | Filing Type |
|---|---------------|---------------|---------------|-------------|
| <input checked="" type="checkbox"/> YES | Sample, Order | Sample, Order | 001 | Initial |

[Edit Document](#)

[Delete Document](#)

[File Document](#)

[View Document](#)

[Copy Filing to My Templates](#)

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FINAL NOTES ON eFILING

As a security feature, if a screen is left idle (just sitting) for more than 20 minutes, the filer will have to re-login.

Because of the security system associated with the electronic filing system, the “**BACK**” button on your internet browser should not be used. If the filer clicks the “**BACK**” button, a “**this page has expired**” message may be displayed. The left menu buttons should be used instead.

Revised Article 9 requires a collateral description as described in NCGS 25-9-108 and 25-9-504. In order to insure that your filing is perfected, you may need to review your collateral description.

If the filer is using a credit card to complete a transaction, the credit card information must be entered for each check-out. The Secretary of State’s Office is not allowed to store credit card information.

If at any point you experience any difficulties with the electronic filing system, contact our customer service center at 919.807.2219. Customer service representatives are available for assistance Monday-Friday, 8 am – 5 pm.

Customer service can also be reached via email at uccmail@sosnc.com.