



State of Rhode Island

**Department of State - Business Services Division**

148 W. River Street, Providence, Rhode Island 02904-2615

Phone: (401) 222-3040 | Email: corporations@sos.ri.gov | Website: www.sos.ri.gov

## **Uniform Commercial Code (UCC) Filing Information**

<b><u>Hours for filing:</u></b>	Public Counter: Monday – Friday 8:30 AM to 4:30 PM <a href="#">Online filing</a> – 24/7
<b><u>Information Requests:</u></b>	Information on specific filings of record with this office will not be given over the Telephone; only general information will be available. UCC11 Information Requests cannot be ordered over the telephone. All filings must be communicated in writing.
<b><u>Filing Fees:</u></b>	Filings must be communicated in writing and will not be accepted unless accompanied by the minimum filing fee. Checks are to be made payable to the Rhode Island Department of State. We accept VISA, MasterCard, Discover, and American Express for all over-the-counter and online transactions. A small enhanced access fee is charged for all credit card transactions. See our <a href="#">website</a> for more information on enhanced access fees.
<b><u>Refunds:</u></b>	Refunds will be issued for duplicate payments and rejected documents not corrected within 30-days from the date the filing was submitted to this office. Refunds will not be issued for valid transactions and overpayments in the amount of \$10 or less. Enhanced access fees are not refundable. To request a refund or view our refund policy click <a href="#">here</a> .
<b><u>Paper Filing Forms:</u></b>	The IACA National Filing Forms will be accepted for filing. Rhode Island does provide a state form for UCC11 Information Requests. Please carefully read all instructions prior to filing.
<b><u>Acknowledgments:</u></b>	Acknowledgements are no longer being mailed. If you would like to receive an Acknowledgement of your filing, you <b>MUST</b> provide a valid email address. Complete ITEM C of the filing form to include a valid email address. E-acknowledgements for all approved filings are emailed at 3pm and 8pm daily.
<b><u>Filing Evidence:</u></b>	If you do not receive an Acknowledgement or if you would like to obtain a copy of any recorded UCC, follow these steps: <ul style="list-style-type: none"><li>• Go to our <a href="#">UCC Database</a></li><li>• To search for a UCC1 – you must search by debtor name</li><li>• To search for a UCC3 – you can search by file number or debtor name</li><li>• Click on the filing number to view the filing summary page</li><li>• Click on the PDF link to view and print the filing</li></ul>
<b><u>Rejected Filings:</u></b>	Paper filers will receive their filing and payment via US mail addressed to the individual/entity that submitted the paperwork. Correspondence will accompany the paperwork indicating what steps need to be taken to correct the filing.  You may also use our <a href="#">Rejected Filing Viewer</a> to view the rejected document. <ul style="list-style-type: none"><li>• To search for a UCC1 – you must search by debtor name</li><li>• To search for a UCC3 – you must search by file number</li></ul>



### INFORMATION REQUEST

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

A. NAME & PHONE OF CONTACT [Optional]	FILING OFFICE ACCT#
B. RETURN TO: [Name and Address]	
<div style="border: 1px solid black; width: 100%; height: 100%; position: relative;"> <span style="position: absolute; top: 5px; left: 5px;">┌</span> <span style="position: absolute; top: 5px; right: 5px;">┐</span> <span style="position: absolute; bottom: 5px; left: 5px;">└</span> <span style="position: absolute; bottom: 5px; right: 5px;">┘</span> </div>	

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR NAME to be searched - insert only one debtor name (1a or 1b) - do no abbreviate or combine names

OR	1a. ORGANIZATION'S NAME	
	1b. INDIVIDUAL'S SURNAME	
	INDIVIDUAL'S S FIRST PERSONAL NAME	
	INDIVIDUAL'S ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

2. INFORMATION OPTIONS RELATING TO UCC FILINGS & OTHER NOTICES ON FILE IN FILING OFFICE THAT INCLUDE AS A DEBTOR NAME THE NAME IDENTIFIED IN ITEM 1:

2a. SEARCH RESPONSE

INFORMATION REQUEST RESPONSE WITHOUT COPIES — Filing office requested to furnish a search report listing all reported records, but to furnish NO COPIES of reported records.

2b. COPY REQUEST  CERTIFIED (Optional)

INFORMATION REQUEST RESPONSE WITH FULL COPIES — Filing office requested to furnish a search report listing all financing statements and related records showing date and time of filing and name and address of each Secured Party named therein, and also furnish an exact COPY of ALL reported records (including all attachments).

2c. SPECIFIED COPIES ONLY  CERTIFIED (Optional)

Record Number	Date Record Filed (if required)	Type of Record and Additional Identifying Information (if required)

3. ADDITIONAL SERVICES

4. DELIVERY INSTRUCTIONS (request will be filled by mail sent to address shown in item B unless otherwise instructed here):

4a.  Pick Up

4b.  Other

Specify desired method here (if available from this office); provide delivery information (e.g., delivery service's name, addressee's account# with delivery service, addressee's phone#, etc.)

## Instructions for RHODE ISLAND Information request (Form UCC11)

Please type or laser-print this form. Be sure it is completely legible. Read and follow all Instructions, especially Instruction 1; use of the correct name for the Debtor is crucial.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. Filing office cannot give legal advice. Do not insert anything in the open space in the upper portion of this form; it is reserved for filing office use.

When properly completed, send form with required fee, to filing office.

Filing office may offer additional information options. Contact filing office or use form specially designed by filing office to obtain additional information options.

- A. To assist filing officers that might wish to communicate with requestor, requestor may provide information in item A. This item is optional.
- B. Enter name and address of requestor in item B. This item is NOT optional.

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

1a. Organization Debtor Name. "Organization Name" means the name of an entity that is not a natural person. A sole proprietorship is not an organization, even if the individual proprietor does business under a trade name. If Debtor is a registered organization (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Debtor's current filed public organic records to determine Debtor's correct name. Trade name is insufficient. If a corporate ending (e.g., corporation, limited partnership, limited liability company) is part of the Debtor's name, it must be included. Do not use words that are not part of the Debtor's name.

1b. Individual Debtor Name. "Individual Name" means the name of a natural person; this includes the name of an individual doing business as a sole proprietorship, whether or not operating under a trade name. The term includes the name of a decedent where collateral is being administered by a personal representative of the decedent. The term does not include the name of an entity, even if it contains, as part of the entity's name, the name of an individual. Prefixes (e.g., Mr., Mrs., Ms.) and titles (e.g., M.D.) are generally not part of an individual name. Indications of lineage (e.g., Jr., Sr., III) generally are not part of the individual's name, but may be entered in the Suffix box. Enter individual Debtor's surname (family name) in Individual's Surname box, first personal name in First Personal Name box, and all additional names in Additional Name(s)/Initial(s) box.

If a Debtor's name consists of only a single word, enter that word in Individual's Surname box and leave other boxes blank.

For both organization and individual Debtors: Don't use Debtor's trade name, DBA, AKA, FKA, Division name, etc. in place of or combined with Debtor's legal name; you may add such other names as additional Debtors if you wish (but this is neither required nor recommended).

- 2. Information options relating to UCC filings and other notices on file in the filing office that include as a Debtor name identified in item 1. Check the "CERTIFIED (Optional)" box appropriately in items 2b or 2c.
  - 2a. Check box 2a if you are requesting a search report listing all reported records pertaining to the Debtor identified in item 1 with no copies.
  - 2b. Check box 2b if you are requesting a search report listing all reported records pertaining to the Debtor identified in item 1 with copies.
  - 2c. Complete item 2c if you are ordering copies of specific records by record number.
- 3. Some filing offices offer service options in addition to those offered in item 2. These may be shown on the face of this form or may otherwise be publicized by the particular filing office. Caution: If any of these additional service options introduces a search criterion (e.g., limiting search to named Debtor at an address in a specified city and state) that narrows the scope of the search. This may result in an incomplete search (that fails to list all filings against the named Debtor) and you may fail to learn information that might be of value to you.
- 4. Delivery Instructions: Unless otherwise instructed, filing office will mail information to the name and address in item B. If information will be picked up from the filing office, check the "Pick Up" box. Contact filing office concerning availability of fax service or other delivery options. For other than mail, pick up, or FAX, check the "Other" box and specify the other delivery method that you are requesting. If requesting delivery service, provide delivery service's name and requestor's account number to bill for delivery charge. Filing office will not deliver by delivery service unless prepaid waybill or account number for billing is provided.