

North Carolina Instructions for National UCC Financing Statement (Form UCC1)

Please type or laser-print this form. Be sure it is completely legible. Read all instructions, especially instruction 1; correct Debtor name is crucial. Follow instructions completely. 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 Filing Office copy, with required fee, to filing office. If you want an acknowledgement, complete item B and, if filing in a filing office that returns an acknowledgement copy furnished by filer, you may also send Acknowledgement Copy: otherwise detach. **The filing office requests that you also include a self-addressed stamped envelope if you are requesting an acknowledgement and you request that your acknowledgement be sent by mail. If you want to make a search request on this form, extreme caution should be used in requesting a search by completing Item 7. The filing office prefers that you use the "Information Request Form" (UCC-11) for search requests. When filing in the central filing office, detach the Search Report Copy, and the Debtor and Secured Party Copies.** If you need to use attachments, use 8 1/2 x 11 inch sheets and put at the top of each 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). **Do not use a highlighter on any portion of a record you tender for filing.**

A. To assist filing office that might wish to communicate with the filer, filer may provide information in item A. This item is optional.
B. Complete item B if you want an acknowledgement sent to you. If filing in a filing office that returns an acknowledgement copy furnished by filer, present simultaneously with this form a carbon or other copy of this form for use as an acknowledgement copy. **Include your e-mail address in Block B.**

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

1a. Organization Debtor. "Organization" means an entity having a legal identity separate from its owner. A partnership is an organization; a sole proprietorship is not an organization, 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 organization (e.g., corporation, limited partnership, limited liability company) it is advisable to examine Debtor's current filed charter documents to determine Debtor's correct name, organization type, and jurisdiction of organization.

1b. Individual Debtor. "Individual" means a natural person; this includes a sole proprietorship, whether or not operating under a trade name. Do not 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 organization and individual Debtors: Do not 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.)

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

1d. Debtor's taxpayer identification number (tax ID #), social security number or employer identification number - **is not required in North Carolina.**

1e, f, g. "Additional information reorganization Debtor" is always required. Type of organization and jurisdiction of organization as well as Debtor's exact legal name can be determined from the Debtor's current filed charter document. **In North Carolina this information may be obtained by going to the Department of the Secretary State web site: www.sosnc.com and using the Corporation Division's corporate on-line search.** Organizational ID# (**SOS ID # found in the N. C. corporate on-line search**), if any, is assigned by the agency where the charter document was filed; this is different from tax ID#; this should be entered preceded by the 2-character U.S. Postal identification of state of organization if one of the United States (e.g., **NC12345, for a North Carolina corporation whose SOS ID# is 12345**); if agency does not assign organizational I D #, check box in item 1 g indicating "none".

Note: If Debtor is a trust or a trustee acting with respect to property held in trust, enter Debtor's name in item I and attach Addendum (Form UCC1Ad) and check appropriate box in item 17. If Debtor is a decedent's estate, enter name of deceased individual in item 1 b and attach Addendum (Form UCC1Ad) and check appropriate box in item 17. If Debtor is a transmitting utility or this Financing Statement filed in connection with a Manufactured-Home Transaction or a Public-

Finance Transaction as defined in application Commercial Code, attach Addendum (Form UCC1Ad) and check appropriate box in item 18.

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 I for determining and formatting additional names.

3. Enter information for Secured Party or Total Assignee, 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 either (a) enter the Assignor S/P's name and address in item 3 and file an Amendment (Form UCC3) [see item 5 of that form]; or (b) enter Total Assignee's name and address in item 3 and, if you wish, also attach Addendum (Form UCC1Ad) giving Assignor S/P's name and address in item 12.

4. Use Rem 4 to indicate the collateral covered by this Financing Statement. 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. If filer desires (at filer's option) to use titles of lessee and lessor, or consignee and consignor, or seller or buyer (in the case of accounts or chattel paper), or bailee and bailor instead of Debtor and Secured Party, check the appropriate box in item 5. If this is an agricultural lien filing, check the appropriate box in item 5, complete items 1-7 as applicable and attach any other items required under other law.

6. If this Financing Statement is filed as a fixture filing or if the collateral consists of timber to be cut or as-extracted collateral, complete items 1-5, check the box in item 6 and complete the required information (items 13, 14 and/or 15) on Addendum (Form UCC1Ad).

7. **The central filing office prefers searches to be requested on the "Information Request Form"**

8. This item is optional and is for filer's use only. For filers convenience of reference, filer may enter in item 8 any identifying information (e.g. Secured Party's loan number, law firm file number, Debtor's name or other identification, state in which form is being filed, etc.) that filer may find useful.

North Carolina UCC Record Processing Fee

\$30.00 for the first 2 pages of UCC filing

\$45.00 for filing 3 to 10 pages

\$45.00 plus \$2.00 per page for over 10 pages

North Carolina UCC Search Fees

\$30.00 per debtor name researched plus \$2.00 per page for copies, (in the central filing office), and if desired, \$6.25 for a search certificate. Please use the "Information Request Form"