

Indiana Secretary of State

UCC XML Implementation Guide



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Revision History

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Introduction

Overview

This document, the UCC XML Implementation Guide, provides an overview of the XML (eXtensible Markup Language) options available to the Indiana Secretary of State’s customers/bulk filers. XML is used to file documents electronically through a RESTful API (or web interface**).

For more information on XML (eXtensible Markup Language) please visit <http://w3schools.com/xml>

This guide provides instruction on XML filings, options available and other information required to file XML transactions. Additionally, this document provides users with technical requirements, account setup, field data, example transactions and other information necessary to file UCC XML documents with the Indiana Secretary of State’s office.

Who Should Use This Guide?

This document is intended to be used by customers who plan to implement XML for electronic filings of UCC documents with the Indiana Secretary of State’s office. If you intend to receive bulk data from the Secretary of State’s office please visit the Bulk Services section of INBIZ at <https://inbiz.in.gov/Inbiz/BulkDataServices/Index>.

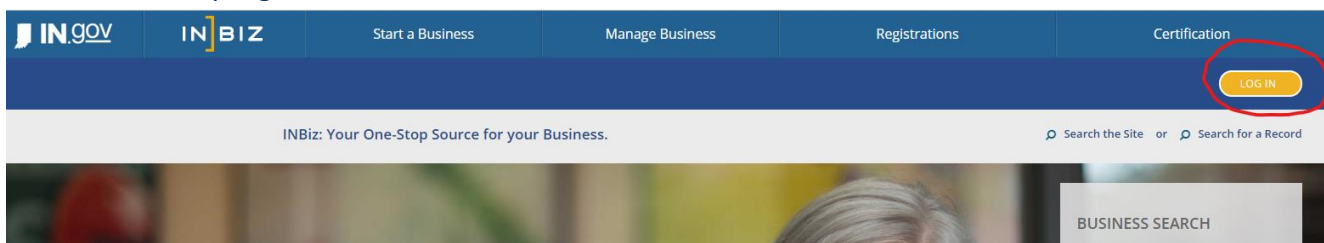
This Implementation Guide also provides the technical detail and structure of the UCC XML filings accepted by the Indiana Secretary of State’s office and information specific to fields, formats and data types used. It is assumed that users of this guide have, or have access to others that have, a moderate level of technical knowledge of XML and RESTful API implementation. While it provides a list of functional requirements and an overview of the filing process, it does not provide fundamental information on the underlying concepts (internet applications, specific formats, etc.).

Prerequisites

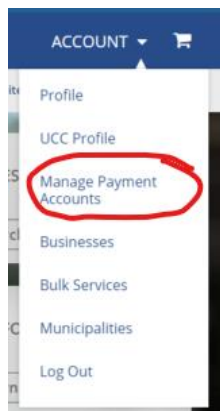
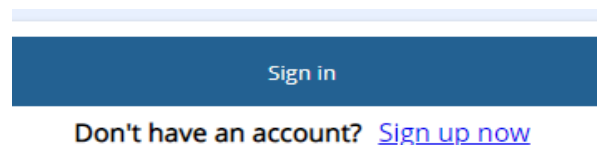
Account Setup

Prior to submitting XML bulk filings to the Indiana Secretary of State's office users are required to set up an XML Bulk Filer account. Filers who already have an existing INBIZ account (with or without a stored payment method) may use the same account for bulk filing if desired or they can create a separate account specifically for bulk filing.

To create an INBIZ account please visit the following URL (<http://inbiz.in.gov>) and select the "Log In" button in the top-right corner of the screen.



On the login screen that follows, select the "Sign up now" link at the bottom of the form and follow the instructions to create an INBIZ account.



Filers are required to have a valid form of payment on file with the Secretary of State's office in order to maintain an active XML-enabled account. While logged into INBIZ you can set up a saved payment method by selecting the "Manage Payment Accounts" item on the Account menu and filling out the form on the screen.

Filers may be contacted periodically if the expiration date on the method of payment is close to expiring to maintain an active XML-enabled account. Further questions on account setup can be emailed to INBiz@sos.in.gov.

Once you have created your INBIZ account and added your payment method, you may submit a request for an XML-enabled account by filling out the XML User Agreement located available from the Online Services menu in INBIZ. You will receive an email response when your request has been approved and completed.

XML Web Service

Overview of the UCC XML Web Service

- This transmission method entails a website to expose a specific Web Service that will be used to submit the filing to the Indiana Secretary of State.
- The Web Service handles the validation, authentication and responses of all the methods required to process and track a UCC filing.
- Web Services typically implement a protocol called Simple Object Access protocol (SOAP) to deal with the details of the Extensible Markup Language (XML) serialization and transmission.
- The International Association of Commercial Administrators (IACA) recommends that the Application should have both methods XML and Hyper Text Markup Language (HTML) front end interface for putting a HTML post.
- The Application will expose a Web Service, which receives all the XML filing requests from the filers. The Uniform Resource Locator (URL) will be <https://uccxml.sos.in.gov>
- The filer credentials will be validated to check that the user is authorized to submit XML filings.
- The user request contains User ID, Password and XML data as the standard format.
- These requests will be passed through Hypertext Transfer Protocol Secure (HTTPS).
- In addition to the Hypertext Transfer Protocol (HTTP) POST interface these specifications also provide a Web Service/API interface to submit filings.
- The Application will also provide an option to download the Web Services Description Language (WSDL) file for the filers to integrate with their applications.
- The Application supports Web Application Programming Interface (API) calls to call the service methods using HTTP POST request and submits filings from client browser.
- IACA 4.0 recommends usage of a RESTful API (Representative State Transfer) that contains all transaction state information needed and this information is not stored on the API server.

IACA Specifications

XML Technical Specifications for UCC Filings v4.0

The API implemented by the Indiana Secretary of State's office is intended to follow the specifications detailed in the International Association of Commercial Administrators (IACA) XML Technical Specifications for UCC Filings version 4.0.

The IACA specifications originated in 2001 and a workgroup was established in 2018 to revisit and modernize them. As a result of this, version 4.0 was developed in 2019. Version 4.0 eliminates backward-compatibility with previous versions.

The full specification is available to view or download at <https://www.iaca.org/secured-transactions/xml-technical-specifications/>. A few of the core best practices and standards are listed below

- Payment information is not included in the XML filing.
- Information Statements are excluded from the XML filing.
- An electronic amendment cannot include multiple actions.
- The XML filing will not use collateral codes.
- All data transmitted in the filing must be returned to the filer.
- Sequence of filings is a filer issue – not a Secretary of State's office filing issue.
- A jurisdiction's API must be secure

A jurisdiction's API must be secure to ensure filings are tracked back to the submitter for billing and historical audit purposes. IACA strongly recommends using HTTPS to ensure traffic is encrypted and private. The jurisdiction must specify in its implementation guide how users are authenticated. IACA recommends using [HTTP Basic Authentication headers](#) and the Indiana Secretary of State's office has adopted this method of authentication.

The latest version of the XML Technical Specifications for Uniform Commercial Code Filings can be viewed or downloaded at <http://www.iaca.org/xml>

XML Request

XML Request Overview (API)

The submission uses an HTTP POST process. The application will provide a web service (API) endpoint that will act as a receiver for the information and provide submission receipts.

Though there is no size limit for POST and GET operations over the HTTP protocol, the current limits of URLs average around 2,048 characters.

The XML Data must be HTML encoded to ensure that characters with the potential to interfere with the HTTP protocol are properly encoded. (see the File Guidelines section of this document for further information)

The text must conform to the Unicode Transformation Format (UTF-8) format and special characters must be either converted or removed. Of special note are Microsoft Word documents that insert special characters for single/double quotes and dashes. These must be converted to the normal UTF-8 equivalents.

Requests will be received from the client through the applications exposed web service (API).

XML Data should not be blank and each request should be identified with a unique sequence number which can be assigned through an ID generator.

All valid XML requests will be recorded into the application database for processing.

The API will validate web requests upon submission and will synchronously return the receipt document to the filer.

Generalized XML requests and examples can be found in Scenario Examples/Sample Responses section of this document

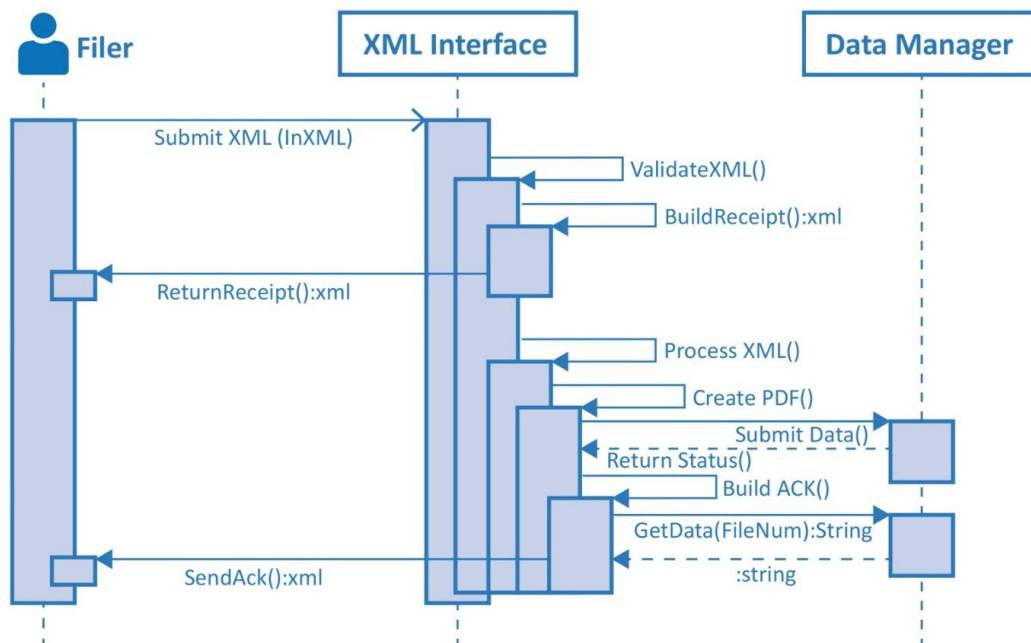
Request Submission Confirmation

Submission Confirmation and Process Overview

Once the application has received the filing, the receipt document will be sent back to the filer. This is a **synchronous** process and the receipt document will contain all the elements defined in the XML Receipt section of this document.

In normal processing the <Status> will be returned as "OK", if a processing error occurs then the appropriate status message will be returned along with the DocumentReceiptID. If it is not possible to generate a DocumentReceiptID the server will return an HTTP error.

The filing acknowledgement will be sent from the application to the filer after processing is completed. This process is **asynchronous**, and the filer is required to provide a ReturnURL to receive the asynchronous response. Alternately, users may request the filing acknowledgement through the API or INBIZ website as described later in this document.



The API will process the top 4 steps above (Submit, Validate, Build & Return Receipt) synchronously upon submission. The remaining processing occurs asynchronously.

Request Validation

XML Filing Validation Summary and Example

As noted in this guide, filings will be validated immediately upon submission to the web service/API. In the event that a filing contains errors it is REFUSED and the Indiana Secretary of State's office will not maintain any record of the filing as it was never ACCEPTED by the office.

Validation is performed based on the Detailed XML Document Specifications section of this document. Possible errors returned are listed in the XML Receipt Element Attribute Values section of this document and will indicate the type of validation error. Some of the general rules around validation include but are not limited to:

- All requests should be in the standard XML format.
- All mandatory fields and information should be available to process.
- The filers UserID and Password for the XML-enabled user should be available.
- Payment information on-file with the Secretary of State for the filer must be current.
- The application will send the document receipt accompanied by the Document Receipt ID for all qualified requests.
- Document Receipt format example is listed below

Example:

The following is a sample receipt document returned by a submission

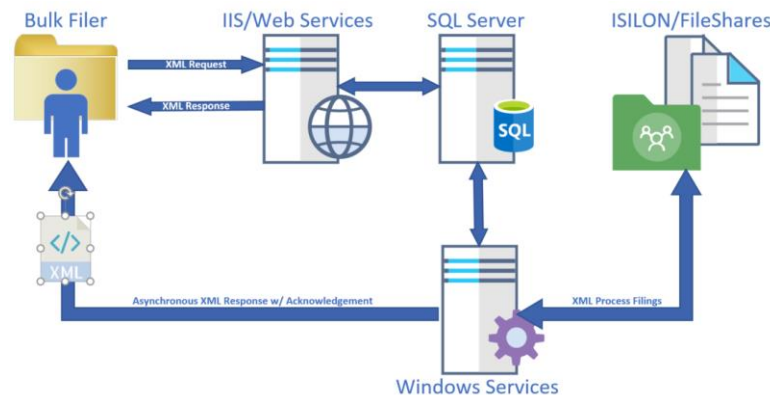
```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <XMLVersion info="1.07"/>
  <Header>
    <Date>20190101</Date>
  </Header>
  <Record>
    <PacketNum>2A-0098273-0032003</PacketNum>
    <SeqNumber>1</SeqNumber>
    <DocumentReceiptID>20190101023000000001</DocumentReceiptID>
    <OptionalFilerReference>1234567</OptionalFilerReference>
    <Status>OK</Status>
    <StatusDate>20190101</StatusDate>
  </Record>
</Document>
```



Filing Process

High Level Filing Process Overview

- During the filing process the XML document is submitted to the application and a receipt XML document is returned synchronously.
- The document receipt acknowledges the receipt of the document only and provides an identification number to inquire about status of the document from the system.
- The document receipt will also contain information regarding any errors that occurred during the initial validation.
- If a submitted document contains errors, it is REJECTED by the system and the application will not maintain any record of the filing as it was never ACCEPTED by the application.



- Once the filing has been processed by the web service, the acknowledgement is sent to the <ReturnURL> provided in the initial XML filing request. This process is done asynchronously, and the submitter must provide a valid ReturnURL to return the information.
- The information for the UserID and Password for the <ReturnURL> endpoint may also be provided in the XML document if required.
- An internal flag will be maintained in the transaction and filing tables to identify XML filings.
- Creating the work order and processing the payment will start the filing process.
- The filing may be rejected for any reason of insufficient or incorrect data and the reason will be reported to the filer in the initial response. Note that certain errors will stop processing and preclude the application from returning all errors found in a filing*.
- Once the filing has been processed an acknowledgement is sent to the <ReturnURL> provided in the XML filing request.
- All XML requests and respective statuses will be maintained by the application.

* - See Appendix C : XML Error Codes for a full list of error messages.

XML Response/Acknowledgement

Acknowledgement Process Flow and Response Examples

The application will send the acknowledgement once the filing request has been processed. The acknowledgement will be appended to the actual filing request and sent to the filers' URL. There will only be one acknowledgement per record or filing.

Examples of the acknowledgement section of the document are shown below

Accepted Filing Sample Acknowledgement XML Segment:

```
<Acknowledgement>
  <FileNumber>20200101000123456789</FileNumber>
  <FileDate>010102019</FileDate>
  <FileTime>0800</FileTime>
  <FeeAmount>20.00</FeeAmount>
  <FilingOffice>IN</FilingOffice>
  <FileStatus>Accepted</FileStatus>
</Acknowledgement>
```



Rejected Filing Sample Acknowledgement XML Segment:

```
<Acknowledgement>
  <FileNumber>20200101000123456789</FileNumber>
  <FileDate>010102019</FileDate>
  <FileTime>0800</FileTime>
  <FeeAmount>20.00</FeeAmount>
  <FilingOffice>IN</FilingOffice>
  <FileStatus>Rejected</FileStatus>
  <Errors>
    <ErrorText>A Current IndividualName is missing the required Surname.</ErrorText>
    <ErrorText>Provide Mailing Address for Assignor.</ErrorText>
  </Errors>
</Acknowledgement>
```

The above sample will be sent as XML containing the input XML and the acknowledgment. In particular, it contains the XML of a standard IACA Acknowledgement Document. Near the bottom of the XML, you will see the <Acknowledgement> section. This section contains the following information about the filing:

1. File Number
2. File Date
3. File Time
4. Fee Amount
5. Filing Office
6. File Status
7. Errors (if applicable/rejected)

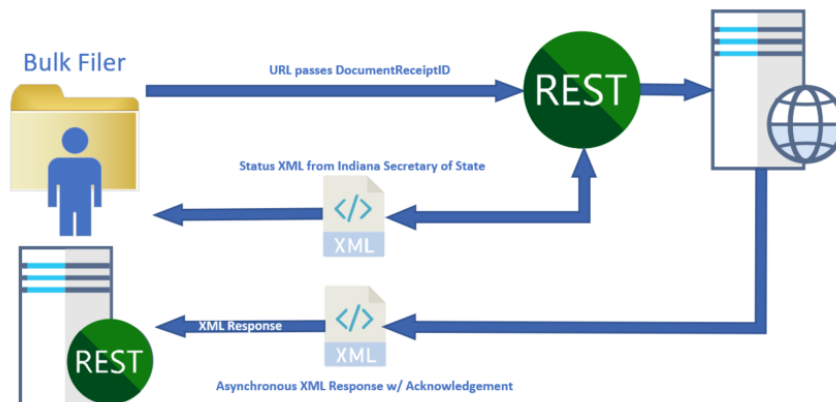
Status Request

Requesting Submission Status

To ensure that the acknowledgement and filing is processed correctly the filer may request the status of the filing. The "Status Request" method refers to the "Filing Acknowledgment," meaning an XML Acknowledgement will be sent with the appropriate file number, file date/time, fee amount, etc.

The filer will send the jurisdiction a request for status using the GET /FilingAsync/{DocumentReceiptID} endpoint. The DocumentReceiptID provided by the POST /FilingAsync endpoint response must be supplied on the status request URL.

The endpoint will return a Status document, as defined later in this document, to the requestor.



If the filing is processed by the XML Service, the XML acknowledgment is sent to the <Return URL> provided in the XML filing request. This is done asynchronously and the submitter must provide an API endpoint to return the information.

Example Request/Response:

GET /FilingAsync/201901010230000000001

[User Id and Password should be supplied in the http header]

```
<?xml version="1.0" encoding="utf-8"?>
```

```
<Document>
```

```
<XMLVersion info="1.07"/>
```

```
<Header>
```

```
<Date>20190101</Date>
```

```
</Header>
```

```
<Record>
```

```
<PacketNum>2A-20200121-1298732312</PacketNum>
```

```
<SeqNumber>1</SeqNumber>
```

```
<DocumentReceiptID>202001280000001234567123</DocumentReceiptID>
```

```
<OptionalFilerReference>1029762345</OptionalFilerReference>
```

```
<Status>InProgress</Status>
```

```
<StatusDate>20190101</StatusDate>
```

```
</Record>
```

```
</Document>
```



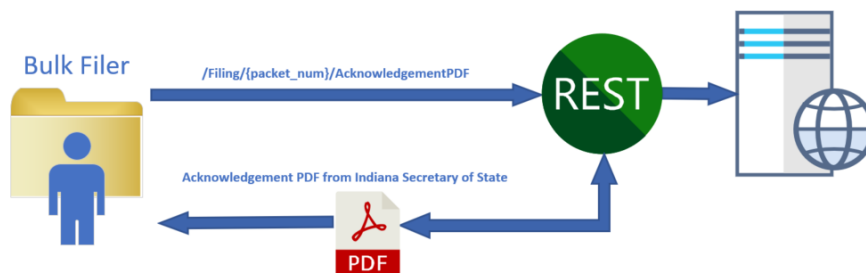
PDF Acknowledgement Request

Requesting a PDF Copy of the Filing Acknowledgement

In addition to the XML Document Acknowledgement that is returned from the filing process or status request filers have the ability to electronically request a PDF copy of the Filing Acknowledgement.

This process is similar to the status request but instead of receiving Status XML message a PDF of the acknowledged filing will be returned.

The filer will send a request for the PDF using the GET /Filing/{packet_num}/AcknowledgmentPdf REST API endpoint. The supplied {packet_num} references the <PacketNum> value previously supplied by the filer, as defined in Request Validation section of this document.



Example Request/Response:

GET /Filing/2A-20200121-1298732312/AcknowledgmentPdf

[User Id and Password should be supplied in the http header]



INDIANA SECRETARY OF STATE		
FILING ACKNOWLEDGEMENT		
INDIANA SECRETARY OF STATE BUSINESS SERVICES DIVISION 301 West Washington Street, Room E010 Indianapolis, IN 46204 http://www.in.gov		
Filer: Asher kristi.asher@pcsbj.com		
WORK ORDER NUMBER: 20190400013162	CONFIRMATION NUMBER: 822779935	
FILE NUMBER: 2019040001100	FILE NUMBER: 2019040001240	
FILING INFORMATION		
DATE/TIME FILED 04/10/2019 12:43PM	EXPIRE DATE 04/10/2024 12:00AM	# OF PAGES 1
FILING TYPE: UCC Financing Statement Amendment		
DEBTOR INFORMATION		
DEBTOR NAME: ASHER K MAILING ADDRESS: 3717 W STATE RD 44, INDIANAPOLIS, IN, 46204, UNITED STATES		
SECURED PARTY INFORMATION		
OPTIONAL FILER REFERENCE DATA		
MISCELLANEOUS		

Using the Packet Number rather than the application-issued <FileNumber> helps ensure acknowledgment PDFs are only sent to the original filer to avoid unscrupulous image retrieval that bypasses collection of copy/retrieval fees. Additionally, HTTP Basic authentication will be used by the application to validate that the requestor was the filing submitter.

The application will synchronously return an octet-stream containing the PDF with a Content-Type of "application/pdf" and a Content-Disposition of "attachment; filename="<FileNumber>.pdf"" where <FileNumber> is the UCC filing number.

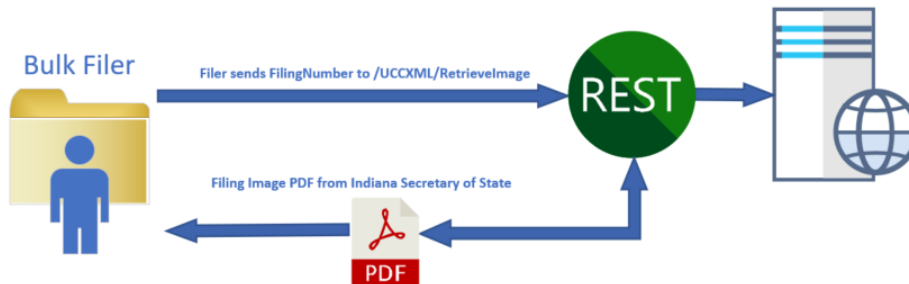
Filing Image Request

Requesting a PDF Copy of the Filing Image

The application provides the ability to allow a filer to electronically request a PDF copy of a filing.

This process is similar to the acknowledgement request but instead of requesting the image by the DocumentReceiptID, the FileNumber is used to make the request.

The filer will send the request for the PDF using the GET /Filing/<FileNumber>/RetrievalImage REST API endpoint. The filing number references the <FileNumber> returned by the application in the initial acknowledgement.




Example Request/Response:

GET /Filing/20200101000123456789/RetrievalImage

[User Id and Password should be supplied in the http header]



Indiana Secretary of State		IFS #: 20190402001100 DATE FILED: 10 Apr 2019 12:43 PM
UCC FINANCING STATEMENT AMENDMENT		
PARTY INFORMATION CHANGE		
INITIAL FINANCING STATEMENT FILE NUMBER: 20190402001100		
Type of Change: Debtor Add		
This change affects Debtor of record.		
ADDED DEBTOR INFORMATION		
INDIVIDUAL'S SURNAME: Atser	FIRST PERSONAL NAME: K	
ADDITIONAL NAMES/INITIALS:	SUFFIX:	
MAILING ADDRESS: 5717 W State Rd 44	STATE: IN	POSTAL CODE: 46204
CITY: Indianapolis		COUNTRY: United States
OPTIONAL FILER REFERENCE DATA		
MISCELLANEOUS		

Security

Security Considerations and Requirements

For XML filers using the API or online form submission the Indiana Secretary of State's office requires the use of the HTTPS protocol. This is intended to provide a secure channel for transmitting and receiving information.

Username / Password:

Once an INBIZ account is approved as an XML/Bulk filer, there is a separate password used for the API and online form submissions. This can be maintained or changed by the user through the INBIZ portal. Once logged into INBiz select "UCC XML Profile" under the Account menu. If necessary you may contact the INBiz helpdesk to assist with updating the password.

Authentication:

The username and password for XML filings should be in the Username and Password fields in the request header for API submission. For online form submissions the username and password should be entered in the form fields provided.

Redaction:

It is the responsibility of the filer to fully ensure client Personally Identifiable Information (PII) is protected. Information provided in UCC filings is public record. Providing PII may result in criminal and/or civil actions.

All XML filing data and any attachments uploaded will go through an automated redaction process in order to prevent exposure of any PII (Personally Identifiable Information) or sensitive data, specifically any Social Security numbers or EIN/FEIN/Tax IDs. The filer will not have the opportunity to review the elements redacted. If your return receipt or acknowledgement contains items that were redacted but should not have been, please contact the Indiana Secretary of State's office.

The UCC XML will be checked for SSN and TIN upon submission in the Collateral, Miscellaneous and Optional Filer Reference fields. The XML filings will be scanned for formats matching potential SSN or TIN. The public filing documents will reflect the redaction. The SSN or TIN will be replaced with [redacted].

Attachments provided with UCC XML submissions will also be checked for SSN and TIN upon submission. The attachments will be scanned for clue words (e.g. SSN, Social Security Number). Any number proceeding the clue will be redacted by using a redaction image covering the PII.

Filing Refusals/Rejections

Refusals

In the event that an XML filing is not properly formatted or unreadable the filing will be REFUSED and the filer will receive a receipt with a <Status> value of InvalidXML. This status may also indicate an issue with the filer's account, saved payment or the XML system being offline. The receipt will contain an <Errors> element with detail about the failure. In order to ensure successful filings it is strongly recommended that filers use the <Test> indicator (set to Y) to ensure their filings are valid. This guide provides a DTD for the file format, the corresponding XML schema documents (XSDs) are available at https://uccxml.sos.in.gov/Resources/PCC_IN_IACA4_0_DTD_02032020.xsd See Appendix C for a list of possible XML Error Codes returned.

Rejections/Partial Rejections

When a filing is accepted the filer will receive a receipt with a <FileStatus> value of OK. In the event of any processing errors the <Acknowledgement> element will contain a <FileStatus> of Accepted, Rejected or AcceptedWithErrors. The AcceptedWithErrors value indicates the filing was processed but was partially rejected. Typically these are issues with one or more of the Debtor or SecuredParties – the Acknowledgement will add the <NonIndexedReason> element and description for the element error. As with a refusal, the <Acknowledgement> will contain an <Errors> element with the detail. Filing error messages and non-indexed reasons are listed in Appendices D & E of this guide.

Billing

UCC XML filers will be billed for filings the day preceding the submission. All submissions for the prior day will be totaled and one charge will be applied to the credit card saved in INBiz. An itemized receipt for charges will

be available on the INBiz Dashboard in the Payments widget.



Item	Description	Payment Date	Agency
20191119000396	UCC Financing Statement	11/19/2019 8:49:31 AM	SOS
20191118000377	UCC Financing Statement	11/18/2019 11:39:35 AM	SOS
20191118000376	UCC Financing Statement	11/18/2019 11:23:43 AM	SOS

By clicking the View All button on the widget filers may view the complete payment history for their XML user account. ****Please note that receipts and transaction data will not be available until the day after the filing is posted.**

Declined payments will automatically disable the ability to submit future UCC XML transactions until resolved with SOS.

The Saved Payment information stored in INBiz will only apply to the Admin user of the credit card. Users authorized to use credit cards on another INBiz user's account will be unable to submit UCC XML filings. UCC XML filings require the full credit card information to be saved to the filer's INBiz account.

Online Submission (through INBIZ)

In order to provide a backup in the event that the UCC XML API is down or under maintenance, the Indiana Secretary of State's office provides an online HTML XML page as an alternate form of submission through the INBIZ web application.

** If the UCC XML system is unavailable (down or under maintenance) users will still be able to submit UCC XML filings and preserve the date and time of submission. If the processing system is offline these filings will be placed in a queue and will be processed when the system is back online. In order to receive status or acknowledgement the user must provide a return URL in the submission for the asynchronous response or use the web interface or API to request the responses.

Browser Requirements, Login, Upload, Status, Acknowledgement, etc.

The user should use a modern web browser to access the HTML interface, the browser should be able to support the use of HTTPS with an SSL 2048-bit key and the current SSL and TLS security protocol(s).

Users are required to have an INBIZ login that is enabled as an XML user and a valid payment method on-file with the Secretary of State's office as described in the Prerequisites section of this document.

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <File>
      <Names>
        <OrganizationName>CT Corporation</OrganizationName>
        <MailAddress>200 W. Washington Street</MailAddress>
        <MailAddress2>Room 201</MailAddress2>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46204</PostalCode>
        <PostalCodeExt>5678</PostalCodeExt>
        <Country>USA</Country>
      </Names>
    </File>
  </Header>
</Document>
```

To initiate a UCC XML filing using the web form users should copy and paste their XML into the form window pictured to the left. Upon clicking [Submit Filing] the request will be validated, and the status XML will be returned in the response section of the form in a synchronous process. ** If the processing system is offline, the user will receive a response message indicating the status of their submission.

In a similar fashion to the API users may request status or acknowledgement XML, documents or images using the interface.

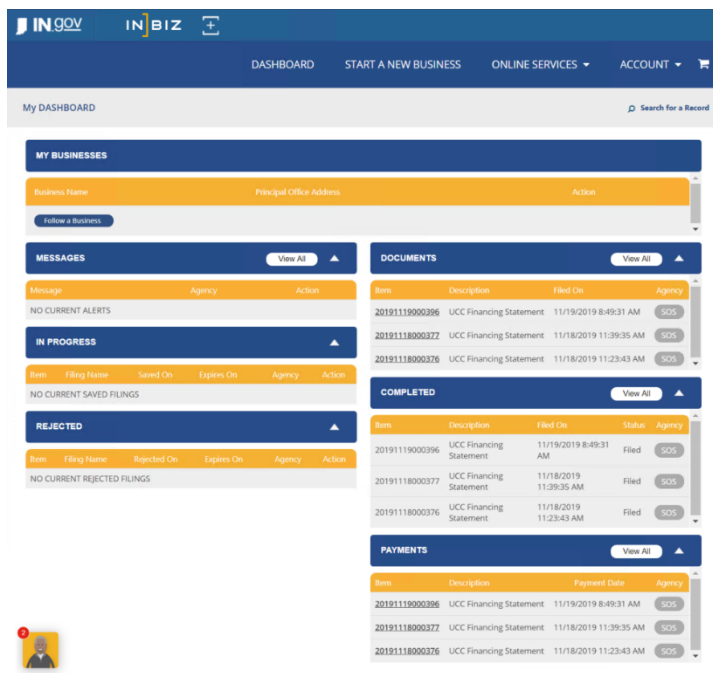
- **Invoke Filing** – Sends the filing XML to the service for processing, returns status XML
- **Status Request** – XML Status returned for provided Document Receipt ID
- **Retrieve Acknowledgement** – XML Acknowledgement returned for provided Packet Number
- **Retrieve Document** – Returns the PDF Acknowledgement Request for provided Packet Number
- **Retrieve Image** – Returns the completed Filing Image PDF for the provided File Number

Online Submission (through INBIZ)

(Continued)

Viewing Historical Transactions

Transactions submitted via XML (through the API or online interface) along with any attachments, receipts or related data/documents will be available in the INBIZ application. Most of the relevant material can be accessed through the INBIZ Dashboard as shown below.



All filings submitted via XML are processed in the INBIZ system in the same way as filings made through the system. The same filing rules apply regardless of submission method. Logging into INBIZ with the account used for XML filing the user should be able to see, search, edit and review any filings submitted.

Search Functionality

All filings and payments made via XML will be searchable through the normal INBIZ search features and other functionality. Please use the Help function on INBIZ if you need more information on the application features.

Testing XML Submissions

Bulk filing customers are strongly encouraged to test their automatic exchange applications prior to submitting XML documents and filings with the <Test> element set to “Y”.

The purpose of testing is to ensure compliance with applicable standards and requirements by the Indiana Secretary of State’s office and to facilitate a successful file transfer process. Filing Request and Receipt DTDs are provided in a later section of this document.

Bulk filings follow the same internal process flows and business rules of the INBIZ system. If you currently file through INBIZ the transition to using an automated bulk filing process should be a seamless one.

**** NOTE** – The <Test> element in the XML document <Header> section must be set to Y for any and all test transactions. Test transactions are not billed to the filers though testing functionality is only available to UCC XML Authorized users.
Filings submitted with the test element set to “Y” will not be able to return complete XML acknowledgements or filing/acknowledgement PDF images.

While many of the requirements and business rules are captured and detailed in the Filing Structure and Element Usage sections of this document, if you receive any errors or unexpected results during testing you are encouraged to contact the Indiana Secretary of State’s office for guidance.

Contact information and an online form are available through the following URL,

<https://inbiz.in.gov/about/contact>

The screenshot shows the INBIZ contact page. At the top, there are navigation tabs: Start a Business, Manage Business, Registrations, and Certification. Below these are menu items: DASHBOARD, START A NEW BUSINESS, ONLINE SERVICES, and ACCOUNT. The main heading is 'Contact'. On the left, there is a contact information card with three sections: 'Hours' (Monday - Friday, 8:00 a.m. - 4:30 p.m.), 'Mailing Address' (302 W. Washington Street, Room E018, Indianapolis, IN 46204), and 'Contact Number' (317-234-9768). On the right, there is a contact form with the following fields: Name, Email, Phone, Business Name (Optional), and a Message text area. A blue SUBMIT button is located at the bottom right of the form.

File Guidelines

Format, Size, Special Characters, Attachments

As noted in the XML Request section of this guide, files should be encoded in the UTF-8-character set, contain well-formed XML and not contain any special characters. Special characters are generally defined as characters outside the UTF-8 character set.

For more information on UTF-8 please visit <https://en.wikipedia.org/wiki/UTF-8>

Images can be included in the XML submission, must be under 10MB each and encoded in Base64 format as described below.

Base64 Encoding - Common to all binary-to-text encoding schemes, Base64 is designed to carry data stored in binary formats across channels that only reliably support text content. In order to convert PDF images to base64 text there are a number of free converters available on the web. Some examples of these include, but are not limited to www.base64encode.org, cryptii.com/pipes/text-to-base64 and www.url-encode-decode.com/base64-encode-decode. For more information on the Base64 format please visit <https://en.wikipedia.org/wiki/Base64>

Images included with the filing are placed in the Collateral element of the XML document. Images are limited to 10MB in size, 1 image per filing and only Base64 encoded PDF images are allowed.

****NOTE:** If you need to submit attachments that are currently in MS Word or MS Excel format, Microsoft provides a “Microsoft Print to PDF” option that will allow you to convert these documents to PDF format before encoding. In addition, several free online tools can provide the same functionality.

Example Base64 Image Filing

<Collateral>

<ColText>The attachment is a PDF document</ColText>

<Attachment>

```
<TextData>JVBERi0xLjUKJcOiw6PDj8OTCjEzIDAgb2JqCjw8Ci9GaWx0ZXIgL0ZsYXRIRGVjb2RiCi9MZW5ndGggMTczMzYyCi9MZW5ndGgxIDM5MDI2OAAo+PgpzdHJlYW0KeMKcw6x8B1xUw4fDmsO+O8Onw6wuS1lYwqrDgArCu8K4woIFFMK7WCLCqxRFwqLCgsK4BsKsIGBFRRQ1wrHChDRNSEzDr8OVNFM0w4nCssKawojCqSYxPTHCvTdzwpPCm8Kbw5zDhMOEFHNzNcOKw7/CmcOzw64oGFNUw67DvcK+fMO3w7fDnxfCnsOzPMOzw47DjHtmw6bDjMOMwplVwoAEESXDoGLCosOKw7zCssKiw5HDhTdvbiPDsxcvCrUQpwrsKRsoIT8OaYwqrDgArCu8K4woIFFMK7WCLCqxRFwqLCgsK4BsKsIGBFRRQ1wrHChDRNSEzDr8OVNFM0w4nCssKawojCqSYxPTHCvTdzwpPCm8Kbw5zDhMOEFHNzNcOKw7/CmcOzw64oGFNUw67DvcK+fMO3w7fDnxfCnsOzPMOzw47DjHtmw6bDjMOMwplVwoAEESXDoGLCosOKw7zCssKiw5HDhTdvbiPDsxcvCrUQpwrsKRsoIT8Oa</TextData>
```

</Attachment>

</Collateral>

General Filing Information

API Authentication

When submitting XML bulk filings by the API it is necessary to include the XML UserID and Password in the HTTP transport header. The naming conventions for the header fields are shown to the right.

Params ● Auth Headers (2) Body Pre-req. Tests Settings			
▼ Headers (2)			
	KEY	VALUE	DESCRIPTION
<input checked="" type="checkbox"/>	UserID	xmlfiler@bulkfiler.com	
<input checked="" type="checkbox"/>	Password	\$tR0nGP@\$w0rd!1234	

REST API Endpoints

Using the base URL (<https://uccxml.sos.in.gov>), the following endpoints are used by the UCC XML application

- **POST ../FilingAsync**
 - Posted data is the XML Filing, Returned data is the XML Receipt document.
- **GET ../FilingAsync/{DocumentReceiptID}**
 - Returned data is the XML Status document
- **GET ../Filing/{PacketNumber}**
 - Returned data is the submitted XML document with completed <Acknowledgement> element.
- **GET ../Filing/{PacketNumber}/AcknowledgementPDF**
 - Returned data is the filing Acknowledgement PDF document.
- **GET ../Filing/{FileNumber}/RetrievalImage**
 - Returned data is the Filing Image PDF.



Partial Assignments

To submit a Full or Partial Assignment, the XML submission indicate its AmendmentType as **Assignment** and the AmendmentAction as **NOAction** and it is optional to include an AmendmentAction of **CollateralAssign**. The XML submission will identify the impacted collateral in the Collateral element. The system will indicate in the filing history and in the filling image that the Submission is an Assignment, but will not indicate as to whether it is a full or partial assignment.

General Filing Information (continued)

PacketNumber Element Generation and Usage Guidelines

As part of the IACA 4.0 standards the <PacketNum> element is a required field in the <Header> of the XML document. It is described as a 32 alphanumeric field that must be unique across all filers using the system. Do not use the hashtag/number character (“#”) in the <PacketNum> element.

To ensure that each submission value is unique, the Indiana Secretary of State’s office recommends using a unique prefix/suffix for your company in combination with a timestamp that includes Year, Month, Date, Hour, Minute and Second. For example a filing from the Indiana Secretary of State’s office might follow a format of INSOS_YYYYMMDDHHMMSS – which would result in a Packet Number for a January 1, 2020 filing as INSOS_20200101123045.

Filers are free to choose any method they choose to generate packet numbers and the above example is only provided as guidance but Packet Numbers must be unique or submissions will be rejected due to having a duplicate packet number.

XML Filing Structure in Detail

Document

The Document element is the root element for the remaining XML Document. It contains four sub- elements. The first is the single occurrence of **<XMLVersion>** that is used to implement a version control mechanism. The second is the single occurrence of **<Header>** that contains all the information that is global to all the filing records. The third is the actual **<Record>** that contains all the information for a filing.

The document must have at least one of all the three sub-elements but can have multiple 'Record' elements.

Element	Description	Attribute value	Length	Occurrence
Document	Root element of the XML document		NA	1
XMLVersion	Contains the version number of the DTD used to create this document	See version attribute	NA	Optional Max 1
Header	Global information for all filing records		NA	1
Record	Contains all the information for a filing		NA	1

XML Filing Structure in Detail (cont.)

Header

The <Header> element contains all the global information for this document. This includes the filer information and packet reference information and information as to where to return the acknowledgment to. There is only one <Header> record in a document.

Element	Description	Attribute value	Length	Occurrence
Header	Base element		NA	1
Filer	Optional container element that holds information regarding who submitted this document. If this information is not sent by the filer, then it shall not be populated on the filing image.		NA	Optional Max 1
Names	Container element for the name information (see the Names definition for more details and field lengths)		NA	1
ClientAccountNum	The submitter account number or identifier		7	1
ContactName	Optional. Name of person to contact regarding this filing. If this information is not sent by the filer, then it shall not be populated on the filing image.		35	1
ContactPhone	Optional. Contact phone number for the filing. If this information is not sent by the filer, then it shall not be populated on the filing image.	xxx-xxx-xxxx	12	1
ContactEmail	Optional. Contact email address for the filing. If this information is not sent by the filer, then it shall not be populated on the filing image. See IETF RFC 2821.		254	1
ReturnURL	The web site address that the Acknowledgment should be sent to if not in a synchronous session. Jurisdictions must ensure their network firewalls allow connectivity to filer's servers.		2,083	1
ReturnUserID	The user ID that may be required for the return information		255	Optional
ReturnUserPWD	The password that may be required for the return information		255	Optional
PacketNum	Unique number identifying this specific document. This number should be unique across submitters for a specific jurisdiction		32	1
Test	Indicates if this document is for testing purposes only. Jurisdictions that utilize this indicator must ensure test filings do not appear on the record or in search results.	"Y" or "N", default is "N"	1	1

XML Filing Structure in Detail (cont.)

Names

This element container defines all the items associated with a name. This will apply whenever a name is required, such as **<Filer>** or **<Debtor>**. This element container can be used multiple times to allow for as many names as needed within an element container. If a Names element is not supplied or is left blank in a parent **<Filer>** element, it must not be populated by the jurisdiction.

Element	Description	Attribute value	Length	Occurrence
Names	Element container for name information		NA	1
OrganizationName	The name of an organization. Note: Only 1 of the <OrganizationName> or <IndividualName> elements are allowed in a single <Names> container element		300	Optional Max 1
IndividualName	Container element for the individual name information. See note under <OrganizationName>		NA	Optional Max 1
Surname	Individual's last name (surname)		150	1
FirstPersonalName	Individual's first name (first personal name)		150	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		100	Optional Max 1
Suffix	Individual's name suffix		20	Optional Max 1
MailAddress	Contains the street address associated with the name		200	1
MailAddress2	Contains the second line of the street address associated with the name		100	Optional Max 1
City	Contains the city associated with the name		100	1
State	Contains the state code associated with this name		2	1
PostalCode	Contains the postal code or zip code associated with this name		5	Optional Max 1
PostalCodeExt			4	Optional Max 1
Country	Contains country name or country code associated with this name		50	Conditional Max 1
IntlPostalCode	International Postal Code - Required for CountryCode other than USA		25	Conditional Max 1
Province	Province/Other State – Required for CountryCode other than USA		20	Conditional Max 1

Address Rules

If Country = "USA", "US" or "United States" then City and State is Required

If Country element is not included then Province required

If Country <> "USA", "US" or "United States" then Province is Required

XML Filing Structure in Detail (cont.)

Record

This is the main container element for this XML document. It contains additional sub-elements to properly define both the submitted filings as well as the returned acknowledgment. It also provides a means to return error information for each filing transaction.

Element	Description	Attribute value	Length	Occurrence
Record	Container element		NA	1
SeqNumber	The Indiana Secretary of State's office only allows one filing per XML submission. So the value should always be 1.		5	1
TransType	The type of filing being referenced	See TransType attribute list	NA	1
AmendmentType	The type of amendment being filed	See AmendmentType attribute list	NA	Optional Max 1
AmendmentAction	The action for the specific amendment	See AmendmentAction attribute list	NA	Optional Max 1
InitialFileNumber	For an amendment the original file number		20	Optional Max 1
OptionalFilerReference	A field for the submitter's use. This value is returned to the submitter in the acknowledgment and is output on the acknowledgment PDF in the Optional Filer Reference Data field.		100	Optional Max 1
OptionalIndicators	Container element for OptionalIndicator.		NA	Optional Max 1
MiscInfo	Miscellaneous filing information		300	Optional Max 1
CurrentName	Container element for amendments that take action on a name this field contains the original or current name on file		NA	Optional Max 1
Debtors	Container element for debtor information		NA	Optional Max 1
SecuredParties	Container element for secured party information		NA	Optional Max 1
Assignor	Container element for assignor information		NA	Optional Max 1
Collateral	Container for collateral information		NA	Optional Max 1
CollateralDesignation	Specifies that the collateral is held in trust or being administered by a Decedent's Personal Representative	See CollateralDesignation attribute list	NA	Optional Max 1
AuthorizingParty	Container element for the authorizing party		NA	Optional Max 1
Acknowledgement	Container element for the acknowledgment that is returned from the jurisdiction.		NA	Optional Max 1

XML Filing Structure in Detail (cont.)

Current Name

Element	Description	Attribute value	Length	Occurrence
CurrentName	Container Element		NA	1
OrganizationName	The name of an organization. Note: Only 1 of the <OrganizationName> or <IndividualName> elements are allowed in a single <Names> container element		300	Optional Max 1
IndividualName	Container element for the individual name information. See note under <OrganizationName>		NA	Optional Max 1
Surname	Individual's last name (surname)		150	1
FirstPersonalName	Individual's first name (first personal name)		150	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		100	Optional Max 1
Suffix	Individuals name suffix		20	1

Debtors

Element	Description	Attribute value	Length	Occurrence
Debtors	Container element		NA	1
DebtorName	Container element		NA	1 or more**
Names	Container element	See Names definition	NA	1
Not-Indexed-Reason*	Indicates on the Acknowledgement why the name was not indexed by the jurisdiction		500	Optional Max 1

Assignor

Element	Description	Attribute value	Length	Occurrence
Assignor	Container element for assignor names		NA	Optional Max 1
Names	Assignor name specifics	See Names definition	NA	1 or more

Secured Parties

Element	Description	Attribute value	Length	Occurrence
SecuredParties	Container element for secured party names		NA	1
SecuredName	Container element for specific secured party names		NA	1 or more**
Names	Container element for name information	See Names definition	NA	1
Not-Indexed-Reason*	Indicates on the Acknowledgement why the name was not indexed by the jurisdiction		500	Optional Max 1

* - Included in responses only, not applicable for submissions

** - For UCC1 filings only, all UCC3 filings may only contain 0 to 1

XML Filing Structure in Detail (cont.)

Collateral

Element	Description	Attribute value	Length	Occurrence
Collateral	Container element		NA	1
ColText	The collateral statement		64,000	Optional Max 1
Attachment	Container element		NA	Optional Max 1
TextData	The actual BASE64-encoded PDF for the attachment		10 MB	Optional Max 1

Authorizing Party

Element	Description	Attribute value	Length	Occurrence
AuthorizingParty	Container element		NA	Optional Max 1
AuthSecuredParty	Container element		NA	Optional 0 or More
OrganizationName	The name of an organization. <u>Note:</u> Only 1 of the <OrganizationName> or <IndividualName> elements are allowed in a single <Names> container element		300	Optional Max 1
IndividualName	Container element for the individual name information. See note under <OrganizationName>		NA	Optional Max 1
Surname	Individual's last name (surname)		150	1
FirstPersonalName	Individual's first name (first personal name)		150	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		100	Optional Max 1
Suffix	Individuals name suffix		20	1
AuthDebtor	Container element		NA	Optional 0 or more
OrganizationName	The name of an organization. <u>Note:</u> Only 1 of the <OrganizationName> or <IndividualName> elements are allowed in a single <Names> container element		300	Optional Max 1
IndividualName	Container element for the individual name information. See note under <OrganizationName>		NA	Optional Max 1
Surname	Individual's last name (surname)		150	1
FirstPersonalName	Individual's first name (first personal name)		150	1
AdditionalNamesInitials	Individual's additional name(s)/initial(s)		100	Optional Max 1
Suffix	Individuals name suffix		20	1

XML Filing Structure in Detail (cont.)

Optional Indicators

Element	Description	Attribute value	Length	Occurrence
OptionalIndicators	Container element for optional indicators		NA	Optional Max 1
OptionalIndicator	Specifies the alternate relationship(s) of the Secured Party to the Debtor, and/or alternate filing types that may be filed	See OptionalIndicators attribute list	NA	1 or more

Acknowledgement (Response Only)

Element	Description	Attribute value	Length	Occurrence
Acknowledgement	Container element		NA	1
FileNumber	The file number assigned to this filing		20	1
FileDate	Date filing was processed	YYYYMMDD	8	1
FileTime	Time filing was processed	HHMM	4	1
LapseDate	Date filing will lapse (used also as expiration date)	YYYYMMDD	8	
FeeAmount	The Fee charged for this filing	####.##	7	1
AdditionalFees	Any additional fees charged for this filing (typically a convenience fee)	##.##	5	Optional Max 1
FilingOffice	Jurisdiction name of filing office		100	
FileStatus	The status of this filing	See attribute list	NA	1
Errors	Container Element		NA	Optional Max 1
ErrorText	The error text associated with the error		1024	1 or More

Filing Element Usage by Filing Type

The following tables outline which elements are used where for each filing type.

**** NOTE : Items marked as (R)required that exist within elements or sub-elements are only required if the parent element is used. I.e. If a debtor or secured party is an Organization, the Surname field is NOT required.**

Key:

N/A	=	Does not apply to the specific document
O	=	Optional
R	=	Required
C	=	Conditional

Document

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
XMLVersion	O	O	O	O	O	O	O
Header	R	R	R	R	R	R	R
Record	R	R	R	R	R	R	R

Header

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
Filer	O	O	O	O	O	O	O
Names ¹	O	O	O	O	O	O	O
OrganizationName	O	O	O	O	O	O	O
IndividualName ²	O	O	O	O	O	O	O
Surname	O	O	O	O	O	O	O
FirstPersonalName	O	O	O	O	O	O	O
AdditionalNamesInitials	O	O	O	O	O	O	O
Suffix	O	O	O	O	O	O	O
MailAddress	O	O	O	O	O	O	O
City	O	O	O	O	O	O	O
State	O	O	O	O	O	O	O
PostalCode	O	O	O	O	O	O	O
PostalCodeExt	O	O	O	O	O	O	O
Country	O	O	O	O	O	O	O
IntlPostalCode	O	O	O	O	O	O	O
Province	C ⁵	C ⁵	C ⁵	C ⁵	C ⁵	C ⁵	C ⁵
ClientAccountNum	O	O	O	O	O	O	O
ContactName	O	O	O	O	O	O	O
ContactPhone	O	O	O	O	O	O	O
ContactEmail	O	O	O	O	O	O	O
PacketNum	R	R	R	R	R	R	R
Test	R	R	R	R	R	R	R

Filing Element Usage by Filing Type (cont.)

Record

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
SeqNumber	R	R	R	R	R	R	R
TransType	R	R	R	R	R	R	R
AmendmentType ³	N/A	R	R	R	R	R	R
AmendmentAction ³	N/A	R	R	R	R	N/A	N/A
InitialFileNumber	N/A	R	R	R	R	R	R
OptionalFilerReference	O	O	O	O	O	O	O
OptionalIndicators	O	N/A	N/A	N/A	N/A	N/A	N/A
OptionalIndicator	O	N/A	N/A	N/A	N/A	N/A	N/A
MiscInfo	O	O	O	O	O	O	O
CurrentName ^{1,7}	N/A	O	O	N/A	N/A	N/A	N/A
OrganizationName	N/A	O	O	N/A	N/A	N/A	N/A
IndividualName ²	N/A	O	O	N/A	N/A	N/A	N/A
Surname	N/A	R	R	N/A	N/A	N/A	N/A
FirstPersonalName	N/A	O	O	N/A	N/A	N/A	N/A
AdditionalNamesInitials	N/A	O	O	N/A	N/A	N/A	N/A
Suffix	N/A	O	O	N/A	N/A	N/A	N/A
Debtors	R	R	N/A	N/A	N/A	N/A	N/A
DebtorName	R	R	N/A	N/A	N/A	N/A	N/A
Names ¹	R	R	N/A	N/A	N/A	N/A	N/A
OrganizationName	O	O	N/A	N/A	N/A	N/A	N/A
IndividualName ²	O	O	N/A	N/A	N/A	N/A	N/A
Surname	R	R	N/A	N/A	N/A	N/A	N/A
FirstPersonalName	O	O	N/A	N/A	N/A	N/A	N/A
AdditionalNamesInitials	O	O	N/A	N/A	N/A	N/A	N/A
Suffix	O	O	N/A	N/A	N/A	N/A	N/A
MailAddress ⁶	R	R	N/A	N/A	N/A	N/A	N/A
MailAddress2 ⁶	O	O	N/A	N/A	N/A	N/A	N/A
City ⁶	R	R	N/A	N/A	N/A	N/A	N/A
State ⁶	R	R	N/A	N/A	N/A	N/A	N/A
PostalCode ⁶	O	O	N/A	N/A	N/A	N/A	N/A
PostalCodeExt ⁶	O	O	N/A	N/A	N/A	N/A	N/A
IntlPostalCode ⁶	O	O	N/A	N/A	N/A	N/A	N/A
Province ⁶	C ⁵	C ⁵	N/A	N/A	N/A	N/A	N/A
Country ⁶	R	R	N/A	N/A	N/A	N/A	N/A
Not-IndexedReason ⁴	O	O	N/A	N/A	N/A	N/A	N/A

Filing Element Usage by Filing Type (cont.)

Record (continued)

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
SecuredParties	R	N/A	R	N/A	R	N/A	N/A
SecuredName	R	N/A	R	N/A	R	N/A	N/A
Names ¹	R	N/A	R	N/A	R	N/A	N/A
OrganizationName	O	N/A	O	N/A	O	N/A	N/A
IndividualName ²	O	N/A	O	N/A	O	N/A	N/A
Surname	R	N/A	R	N/A	R	N/A	N/A
FirstPersonalName	O	N/A	O	N/A	O	N/A	N/A
AdditionalNamesInitials	O	N/A	O	N/A	O	N/A	N/A
Suffix	O	N/A	O	N/A	O	N/A	N/A
MailAddress ⁶	R	N/A	R	N/A	R	N/A	N/A
MailAddress2 ⁶	O	N/A	O	N/A	O	N/A	N/A
City ⁶	R	N/A	R	N/A	R	N/A	N/A
State ⁶	R	N/A	R	N/A	R	N/A	N/A
PostalCode ⁶	O	N/A	O	N/A	O	N/A	N/A
PostalCodeExt ⁶	O	N/A	O	N/A	O	N/A	N/A
IntlPostalCode ⁶	O	N/A	O	N/A	O	N/A	N/A
Province ⁶	C ⁵	N/A	C ⁵	N/A	O	N/A	N/A
Country ⁶	R	N/A	R	N/A	R	N/A	N/A
Not-IndexedReason ⁴	O	N/A	O	N/A	N/A	N/A	N/A
Assignor	O	N/A	N/A	N/A	O	N/A	N/A
Names ¹	R	N/A	N/A	N/A	R	N/A	N/A
OrganizationName	O	N/A	N/A	N/A	O	N/A	N/A
IndividualName ²	O	N/A	N/A	N/A	O	N/A	N/A
Surname	R	N/A	N/A	N/A	R	N/A	N/A
FirstPersonalName	O	N/A	N/A	N/A	O	N/A	N/A
AdditionalNamesInitials	O	N/A	N/A	N/A	O	N/A	N/A
Suffix	O	N/A	N/A	N/A	O	N/A	N/A
MailAddress	R	N/A	N/A	N/A	N/A	N/A	N/A
MailAddress2	O	N/A	N/A	N/A	N/A	N/A	N/A
City	R	N/A	N/A	N/A	N/A	N/A	N/A
State	R	N/A	N/A	N/A	N/A	N/A	N/A
PostalCode	O	N/A	N/A	N/A	N/A	N/A	N/A
PostalCodeExt	O	N/A	N/A	N/A	N/A	N/A	N/A
IntlPostalCode	O	N/A	N/A	N/A	N/A	N/A	N/A
Province	C ⁵	N/A	N/A	N/A	N/A	N/A	N/A
Country	O	N/A	N/A	N/A	N/A	N/A	N/A

Filing Element Usage by Filing Type (cont.)

Record (continued)

Sub-Loop or Element	Original	Amendment			Assignment	Continuation	Termination
		Debtor	SP	Collateral			
Collateral	O	N/A	N/A	O	O	N/A	N/A
ColText	O	N/A	N/A	O	O	N/A	N/A
Attachment	O	N/A	N/A	O	O	N/A	N/A
TextData	O	N/A	N/A	O	O	N/A	N/A
CollateralDesignation	O	N/A	N/A	N/A	N/A	N/A	N/A
AuthorizingParty	N/A	O	O	O	N/A	O	O
AuthSecuredParty ¹	N/A	O	O	O	N/A	O	O
OrganizationName	N/A	O	O	O	N/A	O	O
IndividualName ²	N/A	O	O	O	N/A	O	O
Surname	N/A	R	R	R	N/A	R	R
FirstPersonalName	N/A	O	O	O	N/A	O	O
AdditionalNamesInitials	N/A	O	O	O	N/A	O	O
Suffix	N/A	O	O	O	N/A	O	O
AuthDebtor ¹	N/A	N/A	N/A	N/A	N/A	N/A	O
OrganizationName	N/A	N/A	N/A	N/A	N/A	N/A	O
IndividualName ²	N/A	N/A	N/A	N/A	N/A	N/A	O
Surname	N/A	N/A	N/A	N/A	N/A	N/A	O
FirstPersonalName	N/A	N/A	N/A	N/A	N/A	N/A	O
AdditionalNamesInitials	N/A	N/A	N/A	N/A	N/A	N/A	O
Suffix	N/A	N/A	N/A	N/A	N/A	N/A	O

¹ – The OrganizationName or the IndividualName is required. If the OrganizationName is blank, IndividualName is required. If the OrganizationName is present, IndividualName must be blank.

² – For the IndividualName, the Surname is required. The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional.

³ – The Filing DTD allows for only one AmendmentType and AmendmentAction per record. Information statements are not part of the XML filing.

⁴ – Not-Indexed Reason is a return field and should not be included in file submissions. For a list of non-indexed reasons please see Appendix #. When this field is returned the filing is partially rejected.

⁵ – The following rules are used on the (C)onditional Province fields.

- If Country is “US”, “USA” or “United States” then City and State are required (Province is not).
- If Country element is not provided then Province is required.
- If Country does not contain “US”, “USA” or “United States” then Province is required.

⁶ – DebtorDelete and SecuredPartyDelete do not require any address elements. Filings will be rejected if any address elements are provided.

⁷ – As of 3/23/2020, the filing images do not display the current record information. This is a known issue and will be resolved in a future release.



XML Filing Element Attribute Values

XML Version Values

Element Name	XMLVersion
Description	Version Number for this DTD
Attribute Values	20190101

Test Values

Element Name	Test
Description	Indicates that this is a test filing. Jurisdictions are encouraged to set up and utilize a dedicated test environment. Jurisdictions must ensure that filings where Test = Y do not end up on the record or in search results.
Attribute Values	Y
Default	N

TransType Values

Element Name	TransType
Description	The type of UCC filing being defined
Attribute Values	Initial (Default)
	Amendment

AmendmentType Values

Element Name	AmendmentType
Description	Specifies the type of amendment being filed
Attribute Values	AmendmentCollateral
	AmendmentParties
	Assignment Note that the effect of any UCC3 Assignment is to add a secured party of record.
	Continuation
	TerminationDebtor A debtor may effectively terminate the record only if it has followed the statutory procedures set forth in § 9-513. As a result, this action would be extremely rare for a record submitted by XML.
	TerminationSecuredParty
Default	NOType

XML Filing Element Attribute Values (cont.)

AmendmentAction Values

Element Name	AmendmentAction
Description	Specifies the action to be taken by the amendment being filed
Attribute Values	DebtorAdd Adds a debtor of record. Requires debtor name and address.
	DebtorChange Intended to change information regarding a debtor but in effect adds a debtor of record if the name is different than a previously provided name. Does not require use of current record name. As of 3/23/2020, the filing images do not display the current record information. This is a known issue and will be resolved in a future release.
	DebtorDelete Does not require an entry in current record name. Debtor to delete to be reflected in Debtors element. If current record information is provided, system will not display in the PDF filing image. As of 3/23/2020, the filing images do not display the current record information. This is a known issue and will be resolved in a future release.
	SecuredPartyAdd Adds a secured party of record. Requires secured party name and address.
	SecuredPartyChange Intended to change information regarding a secured party but in effect adds a secured party of record if the name is different than a previously provided name. Does not require use of current record name. As of 3/23/2020, the filing images do not display the current record information. This is a known issue and will be resolved in a future release.
	SecuredPartyDelete Does not require an entry in current record name. Secured Party to delete to be reflected in SecuredParties element. If current record information is provided, system will not display in the PDF filing image. As of 3/23/2020, the filing images do not display the current record information. This is a known issue and will be resolved in a future release.
	CollateralAdd To be used when the AmendmentType is AmendmentCollateral.
	CollateralDelete To be used when the AmendmentType is AmendmentCollateral.
	CollateralRestate To be used when the AmendmentType is AmendmentCollateral. This action has the effect of replacing all prior collateral descriptions. However, prior collateral entries should not be deleted but remain in the database for review by searchers.
	CollateralAssign THIS IS NOT A COLLATERAL AMENDMENT. It is only used at the filer's option when the AmendmentType is Assignment. This checkbox and entry in the collateral text together indicate the collateral that will be affected by any amendments filed by the assignee secured party.
Default	NOAction



XML Filing Element Attribute Values (cont.)

OptionalIndicator Values

The <OptionalIndicators> optional element contains a list of <OptionalIndicator> elements, each with a single type attribute.

Element Name	OptionalIndicator
Description	Specifies other non UCC filings that use this DTD and/or Specifies the alternate relationship of the Secured Party to the Debtor These designations are generally used with precautionary filing when the parties do not intend to create a UCC security interest but might need to have a filed financing statement as insurance if a court later determines the transaction is within the scope of Article 9. The effect of the record is the same regardless of whether one of these OptionalIndicatorattributes is provided.
Attribute Values	TransmittingUtility Transmitting utility is a designation regarding the nature of the debtor and is used by the filing office to set the lapse date. It is not a separate type of UCC record and should not be indicated as anything other than a financing statement.
	ManufacturedHome Manufactured-home transaction is a designation regarding the underlying nature of the transaction and is used by the filing office to set the lapse date. It is not a separate type of UCC record. Several jurisdictions have non-uniform amendments that do not recognize extended effectiveness of records with this designation.
	PublicFinance Public-finance transaction is a designation regarding the underlying nature of the transaction and is used by the filing office to set the lapse date. It is not a separate type of UCC record. Several jurisdictions have non-uniform amendments that do not recognize extended effectiveness of records with this designation.
	AgLien This is used to indicate that the UCC record is filed to perfect a statutory agricultural lien that is within the scope of Article 9. It is not to be confused with the Food Security Act (FSA), which is a separate type of record entirely filed under federal law.
	NonUCCFiling This is generally used with precautionary filing when the parties do not intend to create a UCC security interest but might need to have a filed financing statement as insurance if a court later determines the transaction is within the scope of Article 9.
	Lessee-Lessor
	Consignee-Consignor
	Bailee-Bailor
	Seller-Buyer
	Licensee-Licensors
Default	NOOptionalIndicator

XML Filing Element Attribute Values (cont.)

CollateralDesignation Values

Element Name	CollateralDesignation
Description	Specifies the designation as it applies to the collateral.
Attribute Values	PersonalRepresentative
	Trust
Default	NODesignation

FileStatus Values

Element Name	FileStatus
Description	In the acknowledgment element indicates the status of the filing
Attribute Values	Accepted
	Rejected
	AcceptedWithErrors
Default	NOSTatus

Filing Document Type Definition (DTD)

** If you wish to download the XML Schema Document (XSD) based on this DTD you may request a copy from the Indiana Secretary of State's Business Services Division with your account setup request.

```
<?xml version="1.0" encoding="UTF-8"?>
<!--This DTD is for IACA XML Specifications of UCC Filings -->
<!--Version: 20190101 Released: TBD Author: IACA UCC XML Filing Specification Workgroup-->
<!--Initial release of this DTD by Tom Ose on 08/17/2001-->
<!--Modified by PCC Technologies for Indiana Secretary of State 12/2019-->
<!ELEMENT Acknowledgement (FileNumber, FileDate, FileTime, LapseDate, FeeAmount, AdditionalFees?,
FilingOffice, FileStatus, Errors?)>
<!ELEMENT AdditionalFees (#PCDATA)>
<!ELEMENT AdditionalNamesInitials (#PCDATA)>
<!ELEMENT AmendmentAction (#PCDATA)>
<!ELEMENT AmendmentType (#PCDATA)>
<!ELEMENT Assignor (Names+)>
<!ELEMENT Attachment (TextData?)>
<!ELEMENT AuthDebtor (OrganizationName? | IndividualName?)>
<!ELEMENT AuthSecuredParty (OrganizationName? | IndividualName?)>
<!ELEMENT AuthorizingParty (AuthSecuredParty*, AuthDebtor*)>
<!ELEMENT City (#PCDATA)>
<!ELEMENT ClientAccountNum (#PCDATA)>
<!ELEMENT ColText (#PCDATA)>
<!ELEMENT Collateral (ColText?, Attachment?)>
<!ELEMENT CollateralDesignation (#PCDATA)>
<!ELEMENT ContactEmail (#PCDATA)>
<!ELEMENT ContactName (#PCDATA)>
<!ELEMENT ContactPhone (#PCDATA)>
<!ELEMENT Country (#PCDATA)>
<!ELEMENT CurrentName (OrganizationName? | IndividualName?)>
<!ELEMENT DebtorName (Names, Not-Indexed-Reason?)>
<!ELEMENT Debtors (DebtorName+)>
<!ELEMENT Document (XMLVersion?, Header, Record)>
<!ELEMENT ErrorText (#PCDATA)>
<!ELEMENT Errors (ErrorText+)>
<!ELEMENT FeeAmount (#PCDATA)>
<!ELEMENT FileDate (#PCDATA)>
<!ELEMENT FileNumber (#PCDATA)>
<!ELEMENT FileStatus (#PCDATA)>
<!ELEMENT FileTime (#PCDATA)>
<!ELEMENT Filer (Names, ClientAccountNum, ContactName, ContactPhone, ContactEmail, ReturnURL?,
ReturnUserID?, ReturnUserPWD?)>
<!ELEMENT FilingOffice (#PCDATA)>
<!ELEMENT FirstPersonalName (#PCDATA)>
<!ELEMENT Header (Filer?, PacketNum?, Test)>
<!ELEMENT IndividualName (Surname, FirstPersonalName?, AdditionalNamesInitials?, Suffix?)>
<!ELEMENT InitialFileNumber (#PCDATA)>
<!ELEMENT IntlPostalCode (#PCDATA)>
<!ELEMENT LapseDate (#PCDATA)>
<!ELEMENT MailAddress (#PCDATA)>
<!ELEMENT MailAddress2 (#PCDATA)>
<!ELEMENT MiscInfo (#PCDATA)>
<!ELEMENT Names ((OrganizationName? | IndividualName?), MailAddress, MailAddress2?, City, State,
PostalCode?, PostalCodeExt?, Country?, IntlPostalCode?, Province?)>
<!ELEMENT Not-Indexed-Reason (#PCDATA)>
<!ELEMENT OptionalFilerReference (#PCDATA)>
<!ELEMENT OptionalIndicator (#PCDATA)>
<!ELEMENT OptionalIndicators (OptionalIndicator+)>
<!ELEMENT OrganizationName (#PCDATA)>
```

Filing Document Type Definition (DTD)

(continued)

```
<!ELEMENT PacketNum (#PCDATA)>
<!ELEMENT PostalCode (#PCDATA)>
<!ELEMENT PostalCodeExt (#PCDATA)>
<!ELEMENT Province (#PCDATA)>
<!ELEMENT Record (SeqNumber, TransType, AmendmentType?, AmendmentAction?, InitialFileNumber?,
OptionalFilerReference?, OptionalIndicators?, MiscInfo?, CurrentName?, Debtors?, SecuredParties?,
Assignor?, Collateral?, CollateralDesignation?, AuthorizingParty?, Acknowledgement?)>
<!ELEMENT ReturnURL (#PCDATA)>
<!ELEMENT ReturnUserID (#PCDATA)>
<!ELEMENT ReturnUserPWD (#PCDATA)>
<!ELEMENT SecuredParties (SecuredName+)>
<!ELEMENT SecuredName (Names, Not-Indexed-Reason?)>
<!ELEMENT SeqNumber (#PCDATA)>
<!ELEMENT State (#PCDATA)>
<!ELEMENT Suffix (#PCDATA)>
<!ELEMENT Surname (#PCDATA)>
<!ELEMENT TextData (#PCDATA)>
<!ELEMENT Test (#PCDATA)>
<!ELEMENT TransType (#PCDATA)>
<!ELEMENT XMLVersion EMPTY>
<!ATTLIST XMLVersion Version (20190101) "20190101">
<!ATTLIST Test Choice (Y | N) "N">
<!ATTLIST TransType Type (Initial | Amendment) "Initial">
<!ATTLIST OptionalIndicator Type (AgLien | NonUCCFiling | TransmittingUtility | ManufacturedHome |
PublicFinance | FederalLien | StateLien | JudgementLien | Lessee-Lessor | Consignee-Consignor | Bailee-
Bailor | Seller-Buyer | Licensee-Licensor | NOOptionalIndicator) "NOOptionalIndicator">
<!ATTLIST AmendmentAction Action (DebtorAdd | DebtorChange | DebtorDelete | SecuredPartyAdd |
SecuredPartyChange | SecuredPartyDelete | CollateralAdd | CollateralDelete | CollateralRestate |
CollateralAssign | NOAction) "NOAction">
<!ATTLIST AmendmentType Type (AmendmentCollateral | AmendmentParties | Assignment | Continuation |
TerminationDebtor | TerminationSecuredParty | NOType) "NOType">
<!ATTLIST CollateralDesignation Type (Trust | PersonalRepresentative | NODesignation) "NODesignation">
<!ATTLIST Designation Type (Timber | AsExtractedCollateral | Fixture | NOType) "NOType">
<!ATTLIST FileStatus Status (Accepted | Rejected | AcceptedWithErrors | NOStatus) "NOStatus">
```

XML Receipt Structure in Detail

The following section details the Receipt and Status XML file structure. Both functions share the same format but return different information. For a receipt the XML document is returned after the submitted XML filing has been accepted. For a status request the XML document is returned with the current status of the filing identified by the DocumentReceiptID provided by the requesting URL.

In neither case will this XML format be submitted to the filing office for processing.

Element	Description	Attribute Value	Length	Occurrence
Document	Container element		NA	1
XMLVersion	Contains the version of this XML document	See XMLVersion attributes	NA	1
Header	Container element		NA	1
Date	Date this is being processed	YYYYMMDD	8	1
Record	Container element		NA	1 or more
PacketNum	The packet Number provided by the filer		32	1
SeqNumber	The sequence number provided by the filer		5	1
DocumentReceiptID	The filing offices identifier for this filing		25	1
OptionalFilerReference	The reference information provided by the filer		200	1
Status	The status of the filing	See FileStatus attributes	NA	1
Errors	Container element		NA	Optional Max 1
ErrorText	The error text associated with the XML validation error		1024	1 or more
StatusDate	The date of the returned status	YYYYMMDD	8	1

XML Receipt Element Attribute Values

XML Version

Element Name	XMLVersion
Description	Version Number for this DTD
Attribute Values	1.06
	1.07 (default)

Status

Element Name	Status
Description	Specifies current status of the request
Attribute Values	OK
	InternalProcessingError
	EmptyDocument
	InvalidXML
	InProcess
	IDNotFound
	SendingACK
Default	NoValue

Status Messages

Since the Receipt and Status Return share the same XML structure the following table is a list of possible error messages, their meaning and where it applies.

Error Message	Description	Usage
OK	Everything worked as expected	Document Receipt
InternalProcessingError	The filing system had an internal error processing the filing that is not related to the submitted filing	All
EmptyDocument	A filing was submitted that had no XML information	All
InvalidXML	A filing was submitted that did not contain a valid XML document	All
InProcess	The submitted filing has not finished the filing process	Status Request
SendingACK	The filing system will be resending the acknowledgment	Status Request
IDNotFound	The filing system did not find the information associated with the provided DocumentReceiptID	Status Request

Receipt Document Type Definition (DTD)

The following DTD is for the Receipt and Status XML Document types

```
<?xml version="1.0" encoding="utf-8"?>
<!--
=====
UCC_Receipt. DTD
=====
Receipt Packet returned from IN Secretary of State on a successful XML transmission
This format is also used as a response to the Status request
=====
Modified on 02/14/2010 by Thomas M. Ose
Last modified on 1/21/2020 by PCC Technology for IN Secretary of State (SED)
=====
History
1.06 tmo Initially started tracking file versions
1.07 tmo Changed Status element to allow for passing of error details in the element
1.10 Added PCC XML Status values, Error container element and ErrorText (SED)
=====
-->
<!ELEMENT Document (XMLVersion, Header, Record+)>
<!ELEMENT Errors (ErrorText+)>
<!ELEMENT ErrorText (#PCDATA)>
<!ELEMENT Record (PacketNum, SeqNumber, DocumentReceiptID, OptionalFilerReference, Status, Errors?,
StatusDate)>
<!ELEMENT Header (Date)>
<!ELEMENT PacketNum (#PCDATA)>
<!ELEMENT SeqNumber (#PCDATA)>
<!ELEMENT Date (#PCDATA)>
<!ELEMENT DocumentReceiptID (#PCDATA)>
<!ELEMENT OptionalFilerReference (#PCDATA)>
<!ELEMENT Status (#PCDATA)>
<!ATTLIST Status value (OK | InternalProcessingError | EmptyDocument | InvalidXML | InProcess |
IDNotFound | SendingACK | NoValue) "NoValue">
<!ELEMENT StatusDate (#PCDATA)>
<!ELEMENT XMLVersion EMPTY>
<!ATTLIST XMLVersion info (1.06 | 1.07) "1.07">
```

Scenario Examples

Sample Submissions and Responses

UCC-1 Initial Financing Statement with Collateral

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Sample Organization Name</OrganizationName>
        <MailAddress>200 W. Washington Street</MailAddress>
        <MailAddress2>Room 201</MailAddress2>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46204</PostalCode>
        <PostalCodeExt>5678</PostalCodeExt>
        <Country>USA</Country>
        <IntlPostalCode/>
        <Province/>
      </Names>
      <ClientAccountNum>2019131</ClientAccountNum>
      <ContactName>Sample Contact</ContactName>
      <ContactPhone>888-555-1212</ContactPhone>
      <ContactEmail>xmlfiler@samplecorp.com</ContactEmail>
      <ReturnURL>https://testurl/return</ReturnURL>
      <ReturnUserID>SampleAPI_ID</ReturnUserID>
      <ReturnUserPWD>$tR0nGP@s$w0rD21!</ReturnUserPWD>
    </Filer>
    <PacketNum>2019120100000123</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Initial</TransType>
    <AmendmentType/>
    <AmendmentAction/>
    <InitialFileNumber/>
    <OptionalFilerReference>INXML_201912310001</OptionalFilerReference>
    <OptionalIndicators>
      <OptionalIndicator>N0OptionalIndicator</OptionalIndicator>
    </OptionalIndicators>
    <MiscInfo/>
    <CurrentName>
      <OrganizationName>Bills Burgers</OrganizationName>
    </CurrentName>
    <Debtors>
      <DebtorName>
        <Names>
          <IndividualName>
            <Surname>Smith</Surname>
            <FirstPersonalName>William</FirstPersonalName>
            <AdditionalNamesInitials>T</AdditionalNamesInitials>
            <Suffix>Jr</Suffix>
          </IndividualName>
          <MailAddress>1234 Main Street</MailAddress>
          <MailAddress2>Suite 200</MailAddress2>
          <City>Evansville</City>
          <State>IN</State>
          <PostalCode>47725</PostalCode>
          <PostalCodeExt>1234</PostalCodeExt>
          <Country>USA</Country>
          <IntlPostalCode/>
          <Province/>
        </Names>
      </DebtorName>
    </Debtors>
  </Record>
</Document>
```

Scenario Examples (cont.)

UCC-1 Initial Financing Statement with Collateral (continued)

```
(...)  
<DebtorName>  
  <Names>  
    <IndividualName>  
      <Surname>Smith</Surname>  
      <FirstPersonalName>William</FirstPersonalName>  
      <AdditionalNamesInitials>T</AdditionalNamesInitials>  
      <Suffix>Sr</Suffix>  
    </IndividualName>  
    <MailAddress>5678 Roux de Barre</MailAddress>  
    <MailAddress2>Ste 100</MailAddress2>  
    <City>Winnipeg</City>  
    <State/>  
    <PostalCode/>  
    <Country>CAN</Country>  
    <IntlPostalCode>R2C 0B8</IntlPostalCode>  
    <Province>MB</Province>  
  </Names>  
</DebtorName>  
</Debtors>  
<SecuredParties>  
  <SecuredName>  
    <Names>  
      <OrganizationName>Bank of America</OrganizationName>  
      <MailAddress>1001 Bank Street</MailAddress>  
      <MailAddress2>Suite 404</MailAddress2>  
      <City>Indianapolis</City>  
      <State>IN</State>  
      <PostalCode>46236</PostalCode>  
      <PostalCodeExt>9922</PostalCodeExt>  
      <Country>USA</Country>  
      <IntlPostalCode/>  
      <Province/>  
    </Names>  
  </SecuredName>  
  <SecuredName>  
    <Names>  
      <OrganizationName>Bank of Canada</OrganizationName>  
      <MailAddress>2800 Roux de Banc</MailAddress>  
      <MailAddress2/>  
      <City>Toronto</City>  
      <State/>  
      <Country>CAN</Country>  
      <IntlPostalCode>M4N 1K1</IntlPostalCode>  
      <Province>ON</Province>  
    </Names>  
  </SecuredName>  
</SecuredParties>  
<Collateral>  
  <ColText>All kitchen equipment, furniture and fixtures excluding real estate.</ColText>  
</Collateral>  
  <CollateralDesignation>Trust</CollateralDesignation>  
</Record>  
</Document>
```

Scenario Examples (cont.)

UCC-3 Amendment : Debtor Add

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46251</PostalCode>
        <PostalCodeExt>8765</PostalCodeExt>
        <Country>USA</Country>
      </Names>
      <ClientAccountNum>2019131</ClientAccountNum>
      <ContactName>Some Filing Company</ContactName>
      <ContactPhone>888-444-1234</ContactPhone>
      <ContactEmail>xmlfiler@yahoo.com</ContactEmail>
      <ReturnURL>https://return.url/api</ReturnURL>
      <ReturnUserID>digital</ReturnUserID>
      <ReturnUserPWD>dig142!</ReturnUserPWD>
    </Filer>
    <PacketNum>47745457</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Amendment</TransType>
    <AmendmentType>AmendmentParties</AmendmentType>
    <AmendmentAction>DebtorAdd</AmendmentAction>
    <InitialFileNumber>20160506000012-9</InitialFileNumber>
    <OptionalFilerReference>IN-0-41239445-48096444</OptionalFilerReference>
    <Debtors>
      <DebtorName>
        <Names>
          <OrganizationName>Added Debtor Org </OrganizationName>
          <MailAddress>Address1 Address2</MailAddress>
          <City>Indianapolis</City>
          <State>IN</State>
          <PostalCode>46251</PostalCode>
          <PostalCodeExt>2213</PostalCodeExt>
          <Country>USA</Country>
        </Names>
      </DebtorName>
      <DebtorName>
        <Names>
          <IndividualName>
            <Surname>AddedSurname 1</Surname>
            <FirstPersonalName>Fname 1</FirstPersonalName>
            <AdditionalNamesInitials>Added M</AdditionalNamesInitials>
            <Suffix>Suffix</Suffix>
          </IndividualName>
          <MailAddress>Address1 Address2</MailAddress>
          <City>Indianapolis</City>
          <State>IN</State>
          <PostalCode>46251</PostalCode>
          <PostalCodeExt>2233</PostalCodeExt>
          <Country>USA</Country>
        </Names>
      </DebtorName>
    </Debtors>
  </Record>
</Document>
```

Scenario Examples (cont.)

UCC-3 Amendment : Debtor Add (continued)

```
(...)  
<DebtorName>  
  <Names>  
    <IndividualName>  
      <Surname>AddedSurname 2</Surname>  
      <FirstPersonalName>Fname 2</FirstPersonalName>  
      <AdditionalNamesInitials>Added M</AdditionalNamesInitials>  
      <Suffix>Suffix</Suffix>  
    </IndividualName>  
    <MailAddress>Address1 Address2</MailAddress>  
    <City>Indianapolis</City>  
    <State>IN</State>  
    <PostalCode>46251</PostalCode>  
    <PostalCodeExt>2354</PostalCodeExt>  
    <Country>USA</Country>  
  </Names>  
</DebtorName>  
<DebtorName>  
  <Names>  
    <OrganizationName>Added Debtor Org 2</OrganizationName>  
    <MailAddress>Address1 Address2</MailAddress>  
    <City>Indianapolis</City>  
    <State>IN</State>  
    <PostalCode>46251</PostalCode>  
    <PostalCodeExt>6643</PostalCodeExt>  
    <Country>USA</Country>  
  </Names>  
</DebtorName>  
</Debtors>  
<AuthorizingParty>  
  <AuthSecuredParty>  
    <OrganizationName>EQUIP BUSINESS LEASING</OrganizationName>  
  </AuthSecuredParty>  
</AuthorizingParty>  
</Record>  
</Document>
```

Scenario Examples (cont.)

UCC-3 Amendment : Secured Party Change

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <MailAddress2>Some PO Box or Suite</MailAddress2>
        <City>Terra Haute</City>
        <State>IN</State>
        <PostalCode>47805</PostalCode>
        <PostalCodeExt>8443</PostalCodeExt>
        <Country>USA</Country>
      </Names>
      <ClientAccountNum>2099431</ClientAccountNum>
      <ContactName>Some Filing Company Contact</ContactName>
      <ContactPhone>888-444-1234</ContactPhone>
      <ContactEmail>xmlfiler@yahoo.com</ContactEmail>
      <ReturnURL>https://return.url/api</ReturnURL>
      <ReturnUserID>digital</ReturnUserID>
      <ReturnUserPWD>dig142!</ReturnUserPWD>
    </Filer>
    <PacketNum>48135990</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Amendment</TransType>
    <AmendmentType>AmendmentParties</AmendmentType>
    <AmendmentAction>SecuredPartyChange</AmendmentAction>
    <InitialFileNumber>2019055500001222</InitialFileNumber>
    <CurrentName>
      <IndividualName>
        <Surname>Peep</Surname>
        <FirstPersonalName>Little</FirstPersonalName>
        <AdditionalNamesInitials>Bo</AdditionalNamesInitials>
        <Suffix/>
      </IndividualName>
    </CurrentName>
    <SecuredParties>
      <SecuredName>
        <Names>
          <IndividualName>
            <Surname>Peep Changed </Surname>
            <FirstPersonalName>Little Changed</FirstPersonalName>
            <AdditionalNamesInitials>Bo Changed</AdditionalNamesInitials>
            <Suffix>Added</Suffix>
          </IndividualName>
          <MailAddress>P.O. BOX 1600</MailAddress>
          <City>Gary</City>
          <State>IN</State>
          <PostalCode>46408</PostalCode>
          <Country>USA</Country>
        </Names>
      </SecuredName>
    </SecuredParties>
  </Record>
</Document>
```

Scenario Examples (cont.)

UCC-3 Amendment : Secured Party Change (continued)

```
(...)  
<AuthorizingParty>  
  <AuthSecuredParty>  
    <IndividualName>  
      <Surname>AuthSP LastName</Surname>  
      <FirstPersonalName>AuthSP FName</FirstPersonalName>  
      <AdditionalNamesInitials>J</AdditionalNamesInitials>  
      <Suffix>Jr.</Suffix>  
    </IndividualName>  
  </AuthSecuredParty>  
</AuthorizingParty>  
</Record>  
</Document>
```


Scenario Examples (cont.)

UCC-3 Amendment : Assignment With Collateral

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46251</PostalCode>
        <PostalCodeExt>8765</PostalCodeExt>
        <Country>USA</Country>
        <IntlPostalCode/>
        <Province/>
      </Names>
      <ClientAccountNum>2019131</ClientAccountNum>
      <ContactName>Some Filing Company</ContactName>
      <ContactPhone>888-444-1234</ContactPhone>
      <ContactEmail>xmlfiler@yahoo.com</ContactEmail>
      <ReturnURL>https://return.url/api</ReturnURL>
      <ReturnUserID>digital</ReturnUserID>
      <ReturnUserPWD>dig142!</ReturnUserPWD>
    </Filer>
    <PacketNum>47745888</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Amendment</TransType>
    <AmendmentType>Assignment</AmendmentType>
    <AmendmentAction>CollateralAssign</AmendmentAction>
    <InitialFileNumber>20160506000012-9</InitialFileNumber>
    <OptionalFilerReference>IN-0-41239445-48096444</OptionalFilerReference>
    <SecuredParties>
      <SecuredName>
        <Names>
          <OrganizationName>Assignee Secured Party </OrganizationName>
          <MailAddress>Address</MailAddress>
          <MailAddress2>PO BOX 2222</MailAddress2>
          <City>Indianapolis</City>
          <State>IN</State>
          <PostalCode>46251</PostalCode>
          <PostalCodeExt>2213</PostalCodeExt>
          <Country>USA</Country>
        </Names>
      </SecuredName>
    </SecuredParties>
    <Assignor>
      <Names>
        <IndividualName>
          <Surname>Surname1 1</Surname>
          <FirstPersonalName>Fname 1</FirstPersonalName>
          <AdditionalNamesInitials>MName</AdditionalNamesInitials>
          <Suffix>IV</Suffix>
        </IndividualName>
        <MailAddress>Address1</MailAddress>
        <MailAddress2>Address2</MailAddress2>
        <City>Anytown</City>
        <State>OH</State>
        <PostalCode>45040</PostalCode>
        <PostalCodeExt>1165</PostalCodeExt>
        <Country>USA</Country>
      </Names>
    </Assignor>
  </Record>
</Document>
```


Scenario Examples (cont.)

UCC-3 Amendment : Collateral Restate

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Greenwood</City>
        <State>IN</State>
        <PostalCode>46143-9071</PostalCode>
        <Country>USA</Country>
      </Names>
      <ClientAccountNum></ClientAccountNum>
      <ContactName>Some Filing Company</ContactName>
      <ContactPhone>217-444-1234</ContactPhone>
      <ContactEmail>filler@yahoo.com</ContactEmail>
      <ContactFax>463-555-1212</ContactFax>
      <ReturnURL>https://returnurl/</ReturnURL>
      <ReturnUserID>XMLReceiver</ReturnUserID>
      <ReturnUserPWD>$tR0NgP@$sW0rD!</ReturnUserPWD>
    </Filer>
    <PacketNum>48096444123332</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Amendment</TransType>
    <AmendmentType> AmendmentCollateral</AmendmentType>
    <AmendmentAction> CollateralRestate</AmendmentAction>
    <InitialFileNumber>201400204534539485</InitialFileNumber>
    <OptionalFilerReference>IN-0-40196274-47850013</OptionalFilerReference>
    <Collateral>
      <ColText>A PURCHASE MONEY SECURITY INTEREST in the following wherever located assets: The claim of the
secured party to proceeds hereunder is not a consent to the sale or disposition of any of the above listed
assets.</ColText>
    </Collateral>
    <AuthorizingParty>
      <AuthSecuredParty>
        <IndividualName>
          <LastName>Surname 1</LastName>
          <FirstName>Fname 2</FirstName>
          <MiddleName>M</MiddleName>
          <Suffix>Suffix</Suffix>
        </IndividualName>
      </AuthSecuredParty>
    </AuthorizingParty>
  </Record>
</Document>
```

Scenario Examples (cont.)

UCC-1 Acknowledgement : Initial Filing Statement w/ Debtor not able to be Indexed

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Sample Organization Name</OrganizationName>
        <MailAddress>200 W. Washington Street</MailAddress>
        <MailAddress2>Room 201</MailAddress2>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46204</PostalCode>
        <PostalCodeExt>5678</PostalCodeExt>
        <Country>USA</Country>
        <IntlPostalCode/>
        <Province/>
      </Names>
      <ClientAccountNum>2019131</ClientAccountNum>
      <ContactName>Sample Contact</ContactName>
      <ContactPhone>888-555-1212</ContactPhone>
      <ContactEmail>xmlfiler@samplecorp.com</ContactEmail>
      <ReturnURL>https://testurl/return</ReturnURL>
      <ReturnUserID>SampleAPI_ID</ReturnUserID>
      <ReturnUserPWD>$tR0nGP@s$w0rD21!</ReturnUserPWD>
    </Filer>
    <PacketNum>201912010000123</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Initial</TransType>
    <AmendmentType/>
    <AmendmentAction/>
    <InitialFileNumber/>
    <OptionalFilerReference>INXML_201912310001</OptionalFilerReference>
    <OptionalIndicators>
      <OptionalIndicator>N0OptionalIndicator</OptionalIndicator>
    </OptionalIndicators>
    <MiscInfo/>
    <CurrentName>
      <OrganizationName>Bills Burgers</OrganizationName>
    </CurrentName>
    <Debtors>
      <DebtorName>
        <Names>
          <IndividualName>
            <FirstPersonalName>William</FirstPersonalName>
            <AdditionalNamesInitials>T</AdditionalNamesInitials>
            <Suffix>Jr</Suffix>
          </IndividualName>
          <MailAddress>1234 Main Street</MailAddress>
          <MailAddress2>Suite 200</MailAddress2>
          <City>Evansville</City>
          <State>IN</State>
          <PostalCode>47725</PostalCode>
          <PostalCodeExt>1234</PostalCodeExt>
          <Country>USA</Country>
          <IntlPostalCode/>
          <Province/>
        </Names>
        <Not-IndexedReason>NI001 : Missing Surname</Not-IndexedReason>
      </DebtorName>
    </Debtors>
  </Record>
</Document>
```

Scenario Examples (cont.)

UCC-1 Acknowledgement : Initial Filing Statement w/ Debtor not able to be Indexed (cont.)

```
<DebtorName>
  <Names>
    <IndividualName>
      <Surname>Smith</Surname>
      <FirstPersonalName>William</FirstPersonalName>
      <AdditionalNamesInitials>T</AdditionalNamesInitials>
      <Suffix>Sr</Suffix>
    </IndividualName>
    <MailAddress>5678 Roux de Barre</MailAddress>
    <MailAddress2>Ste 100</MailAddress2>
    <City>Winnipeg</City>
    <State/>
    <PostalCode/>
    <Country>CAN</Country>
    <IntlPostalCode>R2C 0B8</IntlPostalCode>
    <Province>MB</Province>
  </Names>
</DebtorName>
</Debtors>
<SecuredParties>
  <SecuredName>
    <Names>
      <OrganizationName>Bank of America</OrganizationName>
      <MailAddress>1001 Bank Street</MailAddress>
      <MailAddress2>Suite 404</MailAddress2>
      <City>Indianapolis</City>
      <State>IN</State>
      <PostalCode>46236</PostalCode>
      <PostalCodeExt>9922</PostalCodeExt>
      <Country>USA</Country>
      <IntlPostalCode/>
      <Province/>
    </Names>
  </SecuredName>
  <SecuredName>
    <Names>
      <OrganizationName>Bank of Canada</OrganizationName>
      <MailAddress>1234 Roux du Banc</MailAddress>
      <MailAddress2/>
      <City>Toronto</City>
      <State/>
      <Country>CAN</Country>
      <IntlPostalCode>M4N 1K1</IntlPostalCode>
      <Province>ON</Province>
    </Names>
  </SecuredName>
</SecuredParties>
<Acknowledgement>
  <FileNumber>20190101009283746523</FileNumber>
  <FileDate>010102019</FileDate>
  <FileTime>1200</FileTime>
  <FeeAmount>20.00</FeeAmount>
  <FilingOffice>Indiana Secretary of State - Business Services Division</FilingOffice>
  <FileStatus>AcceptedWithErrors</FileStatus>
</Acknowledgement>
</Record>
</Document>
```

Scenario Examples (cont.)

UCC-1 Acknowledgement : Initial Financing Statement with Inline Redaction

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Sample Organization Name</OrganizationName>
        <MailAddress>200 W. Washington Street</MailAddress>
        <MailAddress2>Room 201</MailAddress2>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46204</PostalCode>
        <PostalCodeExt>5678</PostalCodeExt>
        <Country>USA</Country>
        <IntlPostalCode/>
        <Province/>
      </Names>
      <ClientAccountNum>2019131</ClientAccountNum>
      <ContactName>Sample Contact</ContactName>
      <ContactPhone>888-555-1212</ContactPhone>
      <ContactEmail>xmlfiler@samplecorp.com</ContactEmail>
      <ReturnURL>https://testurl/return</ReturnURL>
      <ReturnUserID>SampleAPI_ID</ReturnUserID>
      <ReturnUserPWD>$tR0nGP@s$w0rD21!</ReturnUserPWD>
    </Filer>
    <PacketNum>201912010000123</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Initial</TransType>
    <AmendmentType/>
    <AmendmentAction/>
    <InitialFileNumber/>
    <OptionalFilerReference>INXML_201912310001</OptionalFilerReference>
    <OptionalIndicators>
      <OptionalIndicator>N0OptionalIndicator</OptionalIndicator>
    </OptionalIndicators>
    <MiscInfo/>
    <CurrentName>
      <OrganizationName>Bills Burgers</OrganizationName>
    </CurrentName>
    <Debtors>
      <DebtorName>
        <Names>
          <IndividualName>
            <Surname>Smith</Surname>
            <FirstPersonalName>William</FirstPersonalName>
            <AdditionalNamesInitials>T</AdditionalNamesInitials>
            <Suffix>Jr</Suffix>
          </IndividualName>
          <MailAddress>1234 Main Street</MailAddress>
          <MailAddress2>Suite 200</MailAddress2>
          <City>Evansville</City>
          <State>IN</State>
          <PostalCode>47725</PostalCode>
          <PostalCodeExt>1234</PostalCodeExt>
          <Country>USA</Country>
          <IntlPostalCode/>
          <Province/>
        </Names>
      </DebtorName>
    </Debtors>
  </Record>
</Document>
```

Scenario Examples (cont.)

UCC-1 Acknowledgement : Initial Financing Statement with Inline Redaction (cont.)

```
<DebtorName>
  <Names>
    <IndividualName>
      <Surname>Smith</Surname>
      <FirstPersonalName>William</FirstPersonalName>
      <AdditionalNamesInitials>T</AdditionalNamesInitials>
      <Suffix>Sr</Suffix>
    </IndividualName>
    <MailAddress>5678 Roux de Barre</MailAddress>
    <MailAddress2>Ste 100</MailAddress2>
    <City>Winnipeg</City>
    <State/>
    <PostalCode/>
    <Country>CAN</Country>
    <IntlPostalCode>R2C 0B8</IntlPostalCode>
    <Province>MB</Province>
  </Names>
</DebtorName>
</Debtors>
<SecuredParties>
  <SecuredName>
    <Names>
      <OrganizationName>Bank of America</OrganizationName>
      <MailAddress>1001 Bank Street</MailAddress>
      <MailAddress2>Suite 404</MailAddress2>
      <City>Indianapolis</City>
      <State>IN</State>
      <PostalCode>46236</PostalCode>
      <PostalCodeExt>9922</PostalCodeExt>
      <Country>USA</Country>
      <IntlPostalCode/>
      <Province/>
    </Names>
  </SecuredName>
  <SecuredName>
    <Names>
      <OrganizationName>Bank of Canada</OrganizationName>
      <MailAddress>2800 Roux de Banc</MailAddress>
      <MailAddress2/>
      <City>Toronto</City>
      <State/>
      <Country>CAN</Country>
      <IntlPostalCode>M4N 1K1</IntlPostalCode>
      <Province>ON</Province>
    </Names>
  </SecuredName>
</SecuredParties>
<Collateral>
  <ColText>All kitchen equipment of Bills Burgers and subsidiary Bills Donuts (FEIN [REDACTED]), furniture
and fixtures excluding real estate.</ColText>
</Collateral>
<CollateralDesignation>Trust</CollateralDesignation>
<Acknowledgement>
  <FileNumber>20190101009288726344</FileNumber>
  <FileDate>010102019</FileDate>
  <FileTime>1800</FileTime>
  <FeeAmount>20.00</FeeAmount>
  <FilingOffice>Indiana Secretary of State - Business Services Division</FilingOffice>
  <FileStatus>Accepted</FileStatus>
</Acknowledgement>
</Record>
</Document>
```

Scenario Examples (cont.)

UCC-3 : Assignment w/ Collateral

```
<?xml version="1.0" encoding="utf-8"?>
<Document>
  <XMLVersion Version="20190101" />
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46251</PostalCode>
        <PostalCodeExt>8765</PostalCodeExt>
        <Country>USA</Country>
        <IntlPostalCode/>
        <Province/>
      </Names>
      <ClientAccountNum>2019131</ClientAccountNum>
      <ContactName>Some Filing Company</ContactName>
      <ContactPhone>888-444-1234</ContactPhone>
      <ContactEmail>xmlfiler@yahoo.com</ContactEmail>
      <ReturnURL>https://return.url/api</ReturnURL>
      <ReturnUserID>digital</ReturnUserID>
      <ReturnUserPWD>dig142!</ReturnUserPWD>
    </Filer>
    <PacketNum>47745888</PacketNum>
    <Test>Y</Test>
  </Header>
  <Record>
    <SeqNumber>1</SeqNumber>
    <TransType>Amendment</TransType>
    <AmendmentType>Assignment</AmendmentType>
    <AmendmentAction>CollateralAssign</AmendmentAction>
    <InitialFileNumber>20160506000012-9</InitialFileNumber>
    <OptionalFilerReference>IN-0-41239445-48096444</OptionalFilerReference>
    <SecuredParties>
      <SecuredName>
        <Names>
          <OrganizationName>Assignee Secured Party </OrganizationName>
          <MailAddress>Address</MailAddress>
          <MailAddress2>PO BOX 2222</MailAddress2>
          <City>Indianapolis</City>
          <State>IN</State>
          <PostalCode>46251</PostalCode>
          <PostalCodeExt>2213</PostalCodeExt>
          <Country>USA</Country>
        </Names>
      </SecuredName>
    </SecuredParties>
    <Assignor>
      <Names>
        <IndividualName>
          <Surname>Surname1 1</Surname>
          <FirstPersonalName>Fname 1</FirstPersonalName>
          <AdditionalNamesInitials>MName</AdditionalNamesInitials>
          <Suffix>IV</Suffix>
        </IndividualName>
        <MailAddress>Address1</MailAddress>
        <MailAddress2>Address2</MailAddress2>
        <City>Anytown</City>
        <State>OH</State>
        <PostalCode>45040</PostalCode>
        <PostalCodeExt>1165</PostalCodeExt>
        <Country>USA</Country>
      </Names>
    </Assignor>
  </Record>
</Document>
```


Scenario Examples (cont.)

Rejection : Initial Filing Statement

```
<?xml version="1.0" encoding="UTF-8"?>
<Document>
  <Header>
    <Filer>
      <Names>
        <OrganizationName>Some Filing Company</OrganizationName>
        <MailAddress>Some Street</MailAddress>
        <City>Indianapolis</City>
        <State>IN</State>
        <PostalCode>46202</PostalCode>
        <Country/>
        <Country>USA</Country>
      </Names>
      <ClientAccountNum>2A</ClientAccountNum>
      <ContactName>Tommy Filer</ContactName>
      <ContactPhone>(463)444-1234</ContactPhone>
      <ContactEmail>tfiler@yahoo.com</ContactEmail>
    </Filer>
    <PacketNum>2A-20210923-104507123</PacketNum>
    <Test>Yes</Test>
  </Header>
  <Record>
    <TransType>Initial</TransType>
    <OptionalFilerReference>Filed with IN Secretary of State; Doc ID 12345AB</OptionalFilerReference>
    <Debtors>
      <DebtorName>
        <Names>
          <OrganizationName>Speedy Green Inc</OrganizationName>
          <MailAddress>408 West Street</MailAddress>
          <City>Evansville</City>
          <State>IN</State>
          <PostalCode>47712</PostalCode>
          <Country>USA</Country>
        </Names>
        <Not-Indexed-Reason/>
      </DebtorName>
    </Debtors>
    <SecuredParties>
      <SecuredName>
        <Names>
          <OrganizationName>Key Bank</OrganizationName>
          <MailAddress>1234 Monetary Street</MailAddress>
          <City>Indianapolis</City>
          <State>IN</State>
          <PostalCode>46202</PostalCode>
          <Country>USA</Country>
        </Names>
      </SecuredName>
    </SecuredParties>
    <Collateral>
      <ColText>Farm Equipment; 2 Tractors and 1 Baler</ColText>
    </Collateral>
    <JurisdictionSpecificData />
    <Acknowledgement>
      <FileNumber/>
      <FileDate/>
      <FileTime/>
      <FeeAmount/>
      <FilingOffice>Indiana Secretary of State - Business Services Division</FilingOffice>
      <FileStatus>Rejected</FileStatus>
      <Errors>
        <ErrorText>IN021 : Provide a SeqNumber.</ErrorText>
      </Errors>
    </Acknowledgement>
  </Record>
</Document>
```

Appendix A : State/Province Codes

U.S. States and Territories

U.S. States and Territories	Two-Letter Abbreviation	U.S. States and Territories	Two-Letter Abbreviation
Alabama	AL	Montana	MT
Alaska	AK	Nebraska	NE
American Samoa	AS	Nevada	NV
Arizona	AZ	New Hampshire	NH
Arkansas	AR	New Jersey	NJ
California	CA	New Mexico	NM
Colorado	CO	New York	NY
Connecticut	CT	North Carolina	NC
Delaware	DE	North Dakota	ND
District of Columbia	DC	Northern Mariana Islands	MP
Federated States of Micronesia	FM	Ohio	OH
Florida	FL	Oklahoma	OK
Georgia	GA	Oregon	OR
Guam	GU	Palau	PW
Hawaii	HI	Pennsylvania	PA
Idaho	ID	Puerto Rico	PR
Illinois	IL	Rhode Island	RI
Indiana	IN	South Carolina	SC
Iowa	IA	South Dakota	SD
Kansas	KS	Tennessee	TN
Kentucky	KY	Texas	TX
Louisiana	LA	Utah	UT
Maine	ME	Vermont	VT
Marshall Islands	MH	Virgin Islands	VI
Maryland	MD	Virginia	VA
Massachusetts	MA	Washington	WA
Michigan	MI	West Virginia	WV
Minnesota	MN	Wisconsin	WI
Mississippi	MS	Wyoming	WY
Missouri	MO		

Appendix A : State/Province Codes (cont.)

Canadian Provinces and Territories

Canadian Provinces and Territories	Two-Letter Abbreviation
Alberta	AB
British Columbia	BC
Manitoba	MB
New Brunswick	NB
Newfoundland and Labrador	NL
Northwest Territories	NT
Nova Scotia	NS
Nunavut	NU
Ontario	ON
Prince Edward Island	PE
Quebec	QC
Saskatchewan	SK
Yukon	YT

Appendix B : Country Codes

ISO 3166 Country Codes

Country Short Name	A3 Code	Country Short Name	A3 Code
Afghanistan	AFG	Burkina Faso	BFA
Albania	ALB	Burundi	BDI
Algeria	DZA	Cabo Verde	CPV
American Samoa	ASM	Cambodia	KHM
Andorra	AND	Cameroon	CMR
Angola	AGO	Canada	CAN
Anguilla	AIA	Cayman Islands (the)	CYM
Antarctica	ATA	Central African Republic (the)	CAF
Antigua and Barbuda	ATG	Chad	TCD
Argentina	ARG	Chile	CHL
Armenia	ARM	China	CHN
Aruba	ABW	Christmas Island	CXR
Australia	AUS	Cocos (Keeling) Islands (the)	CCK
Austria	AUT	Colombia	COL
Azerbaijan	AZE	Comoros (the)	COM
Bahamas (the)	BHS	Congo (the Democratic Republic of the)	COD
Bahrain	BHR	Congo (the)	COG
Bangladesh	BGD	Cook Islands (the)	COK
Barbados	BRB	Costa Rica	CRI
Belarus	BLR	Croatia	HRV
Belgium	BEL	Cuba	CUB
Belize	BLZ	Curaçao	CUW
Benin	BEN	Cyprus	CYP
Bermuda	BMU	Czechia	CZE
Bhutan	BTN	Côte d'Ivoire	CIV
Bolivia (Plurinational State of)	BOL	Denmark	DNK
Bonaire, Sint Eustatius and Saba	BES	Djibouti	DJI
Bosnia and Herzegovina	BIH	Dominica	DMA
Botswana	BWA	Dominican Republic (the)	DOM
Bouvet Island	BVT	Ecuador	ECU
Brazil	BRA	Egypt	EGY
British Indian Ocean Territory	IOT	El Salvador	SLV
Brunei Darussalam	BRN	Equatorial Guinea	GNQ
Bulgaria	BGR	Eritrea	ERI

Appendix B : Country Codes (cont.)

ISO 3166 Country Codes (continued)

Country Short Name	A3 Code	Country Short Name	A3 Code
Estonia	EST	India	IND
Eswatini	SWZ	Indonesia	IDN
Ethiopia	ETH	Iran (Islamic Republic of)	IRN
Falkland Islands (the) [Malvinas]	FLK	Iraq	IRQ
Faroe Islands (the)	FRO	Ireland	IRL
Fiji	FJI	Isle of Man	IMN
Finland	FIN	Israel	ISR
France	FRA	Italy	ITA
French Guiana	GUF	Jamaica	JAM
French Polynesia	PYF	Japan	JPN
French Southern Territories (the)	ATF	Jersey	JEY
Gabon	GAB	Jordan	JOR
Gambia (the)	GMB	Kazakhstan	KAZ
Georgia	GEO	Kenya	KEN
Germany	DEU	Kiribati	KIR
Ghana	GHA	Korea (Democratic People's Republic of)	PRK
Gibraltar	GIB	Korea (the Republic of)	KOR
Greece	GRC	Kuwait	KWT
Greenland	GRL	Kyrgyzstan	KGZ
Grenada	GRD	Lao People's Democratic Republic (the)	LAO
Guadeloupe	GLP	Latvia	LVA
Guam	GUM	Lebanon	LBN
Guatemala	GTM	Lesotho	LSO
Guernsey	GGY	Liberia	LBR
Guinea	GIN	Libya	LBY
Guinea-Bissau	GNB	Liechtenstein	LIE
Guyana	GUY	Lithuania	LTU
Haiti	HTI	Luxembourg	LUX
Heard Island and McDonald Islands	HMD	Macao	MAC
Holy See (the)	VAT	Madagascar	MDG
Honduras	HND	Malawi	MWI
Hong Kong	HKG	Malaysia	MYS
Hungary	HUN	Maldives	MDV
Iceland	ISL	Mali	MLI

Appendix B : Country Codes (cont.)

ISO 3166 Country Codes (continued)

Country Short Name	A3 Code	Country Short Name	A3 Code
Malta	MLT	Panama	PAN
Marshall Islands (the)	MHL	Papua New Guinea	PNG
Martinique	MTQ	Paraguay	PRY
Mauritania	MRT	Peru	PER
Mauritius	MUS	Philippines (the)	PHL
Mayotte	MYT	Pitcairn	PCN
Mexico	MEX	Poland	POL
Micronesia(Federated States)	FSM	Portugal	PRT
Moldova (the Republic of)	MDA	Puerto Rico	PRI
Monaco	MCO	Qatar	QAT
Mongolia	MNG	Romania	ROU
Montenegro	MNE	Russian Federation (the)	RUS
Montserrat	MSR	Rwanda	RWA
Morocco	MAR	Réunion	REU
Mozambique	MOZ	Saint Barthélemy	BLM
Myanmar	MMR	Saint Helena, Ascension and Tristan da Cunha	SHN
Namibia	NAM	Saint Kitts and Nevis	KNA
Nauru	NRU	Saint Lucia	LCA
Nepal	NPL	Saint Martin (French part)	MAF
Netherlands (the)	NLD	Saint Pierre and Miquelon	SPM
New Caledonia	NCL	Saint Vincent and the Grenadines	VCT
New Zealand	NZL	Samoa	WSM
Nicaragua	NIC	San Marino	SMR
Niger (the)	NER	Sao Tome and Principe	STP
Nigeria	NGA	Saudi Arabia	SAU
Niue	NIU	Senegal	SEN
Norfolk Island	NFK	Serbia	SRB
North Macedonia	MKD	Seychelles	SYC
Northern Mariana Islands	MNP	Sierra Leone	SLE
Norway	NOR	Singapore	SGP
Oman	OMN	Saint Maarten (Dutch part)	SXM
Pakistan	PAK	Slovakia	SVK
Palau	PLW	Slovenia	SVN
Palestine, State of	PSE	Solomon Islands	SLB

Appendix B : Country Codes (cont.)

ISO 3166 Country Codes (continued)

Country Short Name	A3 Code	Country Short Name	A3 Code
Somalia	SOM	Turkmenistan	TKM
South Africa	ZAF	Turks and Caicos Islands (the)	TCA
South Georgia and the South Sandwich Islands	SGS	Tuvalu	TUV
South Sudan	SSD	Uganda	UGA
Spain	ESP	Ukraine	UKR
Sri Lanka	LKA	United Arab Emirates (the)	ARE
Sudan	SDN	United Kingdom of Great Britain and Northern Ireland	GBR
Suriname	SUR	United States Minor Outlying Islands	UMI
Svalbard and Jan Mayen	SJM	United States of America	USA
Sweden	SWE	Uruguay	URY
Switzerland	CHE	Uzbekistan	UZB
Syrian Arab Republic (the)	SYR	Vanuatu	VUT
Taiwan (Province of China)	TWN	Venezuela (Bolivarian Republic of)	VEN
Tajikistan	TJK	Viet Nam	VNM
Tanzania, the United Republic of	TZA	Virgin Islands (British)	VGB
Thailand	THA	Virgin Islands (U.S.)	VIR
Timor-Leste	TLS	Wallis and Futuna	WLF
Togo	TGO	Western Sahara*	ESH
Tokelau	TKL	Yemen	YEM
Tonga	TON	Zambia	ZMB
Trinidad and Tobago	TTO	Zimbabwe	ZWE
Tunisia	TUN	Åland Islands	ALA
Turkey	TUR		

Appendix C : XML Error Codes

The following are a list of processing error codes with the message returned. If your Receipt/Status Request indicates “InvalidXML” the file refusal errors list is below.

Error Code	Message
ACCT001	The Customer Account number used to upload the XML file is different from that provided in the XML file
ACCT002	The XML User account is currently disabled. Contact the INBiz Helpdesk at INBiz@sos.in.gov for additional details.
ACCT003	The XML User Account is currently disabled due to Saved Payment Issue. This is likely due to an expired or invalid credit card on file. To update your payment information, go to INBiz.in.gov and login into your INBiz Account. Select Account and then Manage Payment Account. Once your Saved Payment method is updated, contact the INBiz Helpdesk at INBiz@sos.in.gov to re-enable your XML account. Once the XML account is re-enabled, attempt to submit your transaction again. If you contain to receive this error contact the INBiz Helpdesk.
XML001	The XML file is unreadable
XML002	The version of the XML file provided is different than the acceptable version
XML003	The XML file is inconsistent with the DTD
XML004	The length of data is longer than the accepted value : [field specific error message]
XML005	Required element not provided : [element specific error message]
XML006	Invalid element sequence : [element specific error message]
XML007	Invalid element attribute : [element specific error message]
XML008	Duplicate Packet Number
XML009	The UCC XML system is currently down for maintenance.

Appendix D : Filing Error Codes

The following are a list of processing error codes with the message returned. For a list of file rejection errors, please see the StatusCode section of XML Element Attribute Values list in this document.

Error Code	Message
IN001	AmendmentType is blank or contains an invalid value. Valid values include AmendmentCollateral, AmendmentParties, Assignment, Continuation, TerminationDebtor, TerminationSecured Party
IN002	AmendmentType contains an invalid value. AmendmentType may only be NoType when TransType is Initial.
IN003	AmendmentAction contains an invalid value. AmendmentAction must be CollateralAdd, CollateralDelete, CollateralRestate or CollateralAssign when AmendmentType is AmendmentCollateral.
IN004	AmendmentAction contains an invalid value. AmendmentAction must be DebtorAdd, DebtorChange, DebtorDelete, SecuredPartyAdd, SecuredPartyChange or SecuredPartyDelete when AmendmentType is AmendmentParties.
IN005	AmendmentAction contains an invalid value. AmendmentAction must be NoAction when AmendmentType is Continuation.
IN006	AmendmentAction contains an invalid value. AmendmentAction must be NoAction when AmendmentType is TerminationDebtor.
IN007	AmendmentAction contains an invalid value. AmendmentAction must be NoAction when AmendmentType is TerminationSecuredParty.
IN008	AmendmentAction must be NoAction when AmendmentType is NoType.
IN009	AmendmentAction must be NoAction when AmendmentType is Assignment.
IN010	The Initial Financing Statement File Number provided cannot be found, field is null or element is missing.
IN011	The Initial Financing Statement File Number provided is lapsed and no further filings may submitted
IN012	The Initial Financing Statement File Number is not within six months of lapse date. A Continuation may not be filed at this time
IN013	The submission includes multiple DebtorName. Provide only one Debtor name element per Amendment filing.
IN014	Submission does not include a Debtors element which is required for this filing type.
IN015	Remove the Debtors element as it is not required for this filing.
IN016	Submission does not include a DebtorName element which is required for this filing type.
IN017	The submission includes a DebtorName element, but does not include the required Names element.
IN018	The <insert field name> exceeds the maximum number allowed characters.

Appendix D : Filing Error Codes (cont.)

Error Code	Message
IN019	The OptionalIndicator provided is an invalid value.
IN020	The <insert field name> contains an invalid character. Only UTF8 characters are allowed.
IN021	Provide a SeqNumber.
IN022	Provide a Transtype.
IN023	TransType contains an invalid value. Valid values include Intial or Amendment.
IN024	Provide an AmendmentType.
IN025	For an Intital Filing the AmendmentType must be NoType.
IN026	Provide an AmendmentAction.
IN027	AmendmentAction contains an invalid value. For an Intital Filing the AmendmentAction must be NoType.
IN028	The submission includes a CurrentName element but does not include an IndividualName or Organization name element.
IN029	The submission includes both an OrganizationName and IndividualName element for the CurrentName. Only one or the other may be included.
IN030	The submission includes multiple CurrentName elements. Provide only one CurrentName element per filing.
IN031	A Current IndividualName is missing the required Surname.
IN032	The submission includes a Names element but does not include and IndividualName or Organization name element
IN033	The submission includes both an OrganizationName and IndividualName element for the Debtor. Only one or the other may be included.
IN034	The submission includes multiple Debtor Names. Provide only one Debtor name per Amendment filing.
IN035	Provide Mailing Address for Debtor.
IN036	Provide City for Debtor.
IN037	Provide State for Debtor.
IN038	Provide Country and/or Province for Debtor.
IN040	Submission does not include a SecuredParties element which is required for this filing type.
IN041	Remove the SecuredParties element as it is not required for this filing.
IN042	Submission does not include a Secured Party Names element which is required for this filing type.
IN043	The submission includes both an OrganizationName and IndividualName element for the Secured Party. Only one or the other may be included.

Appendix D : Filing Error Codes (cont.)

Error Code	Message
IN044	The submission includes multiple Secured Party Names. Provide only one Secured Party name per Amendment filing.
IN045	The submission includes a Names element for the Secured Party, but does not include an IndividualName or Organization name element for the Secured party.
IN046	Provide Mailing Address for Secured Party.
IN047	Provide City for Secured Party.
IN048	Provide State for Secured Party.
IN049	Provide Country and/or Province for Secured Party.
IN050	Submission does not include Names element which is required when Assignor element is provided.
IN051	Remove the Assignor element as it is not required for this filing.
IN052	The submission includes a Names element for the Assignor, but does not include an IndividualName or Organization name element for the Assignor.
IN053	The submission includes both an OrganizationName and IndividualName element for the Assignor. Only one or the other may be included.
IN054	An Assignor IndividualName element is missing the required Assignor Surname.
IN055	Remove the Intial Filing Statement File Number as it is not required for an Intial Filing.
IN056	The submission includes a Collateral element, but does not include a ColText and/or Attachment element as required.
IN057	The submission includes an Attachment element, but does not include TextData as required.
IN058	CollateralDesignation provided is not a valid value.
IN059	Remove the Collateral element as it is not required for this filing.
IN060	Remove the AuthorizingParty element as it is not required for an Initial Financing Statement File Number.
IN061	The submission includes an AuthorizingParty element, but does not include an AuthDebtor or AuthSecuredParty element.
IN062	The submission includes an AuthSecuredParty element, but does not include an IndividualName or Organization for the Authorizing Party.
IN063	The submission includes an AuthDebtor element, but does not include an IndividualName or Organization for the Authorizing Party.
IN064	The submission includes an Authorizing Debtor element. The Authorizing Debtor element is only used for a Termination filing.

Appendix D : Filing Error Codes (cont.)

Error Code	Message
IN065	The submission includes both an OrganizationName and IndividualName element for the AuthSecuredParty. Only one or the other may be included.
IN066	The submission includes multiple Secured Party Names. Provide only one SecuredName per Amendment filing.
IN067	Submission does not include a Secured Party Names element which is required for this filing type.
IN068	Remove the AuthorizingParty element as it is not required for an Assignment. Use Assignor element for filing.
IN069	Submission contains a Sequence Number greater than one. Sequence number must equal one.
IN070	Remove the CurrentName element is not required for this filing.
IN071	Organization Name for CurrentName is null. Organization Name is required.
IN072	A Debtor OrganizationName element is missing the required Organization Name.
IN073	A Debtor IndividualName element is missing the required Debtor Surname.
IN074	The submission includes a SecuredName element, but does not include the required Names element.
IN075	A SecuredParty OrganizationName element is missing the required Organization Name.
IN076	An Assignor OrganizationName element is missing the required Assignor Organization Name
IN077	An Assignor IndividualName element is missing the required Assignor Surname.
IN078	The submission includes a Names element but does not include an IndividualName or Organization name element for AuthSecuredParty
IN079	AuthSecuredParty OrganizationName element is missing the required Organization Name.
IN080	An AuthSecuredParty IndividualName element is missing the required Surname.
IN081	The submission includes a Names element but does not include an IndividualName or Organization name element for AuthDebtor
IN082	AuthDebtor OrganizationName element is missing the required Organization Name.
IN083	An AuthDebtor IndividualName element is missing the required Surname.
IN084	The submission includes both an OrganizationName and IndividualName element for the AuthDebtor. Only one or the other may be included.
IN085	Provide Mailing Address for Assignor.
IN086	Provide City for Assignor.

Appendix D : Filing Error Codes (cont.)

Error Code	Message
IN087	Provide State for Assignor.
IN088	Provide Country and/or Province for Assignor.
IN089	Provide Country and/or Province for Assignor.
IN090	Remove the Mailing Address for Assignor. It is not required for this filing.
IN091	Remove the City for Assignor. It is not required for this filing.
IN092	Remove the State for Assignor. It is not required for this filing.
IN093	Remove the Province for Assignor. It is not required for this filing.
IN094	Remove the Country for Assignor. It is not required for this filing.
IN095	Remove the Mailing Address 2 for Assignor. It is not required for this filing.
IN096	Remove the Postal Code for Assignor. It is not required for this filing.
IN097	Remove the Postal Code + 4 for the Assignor. It is not required for this filing.
IN098	Remove the IntlPostalCode for the Assignor. It is not required for this filing.
IN099	Remove the address elements for Party Information Deletes. They are not required for this filing.

Appendix E : Non-Indexed-Reason Codes

Code	Message
NI001	Missing Surname
NI002	Missing Org Name
NI003	Missing City
NI004	Missing Mailing Address 1
NI005	Missing State or Province
NI006	Missing Country