XML Implementation Guide

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Why XML

In 1998, significant revisions were made to Article 9 of the Uniform Commercial Code to modernize filing practices by encouraging e-commerce and provide a more efficient filing environment. In order to support the filing environment established by Article 9 revisions, significant changes have been made to the way financing statement information will be maintained and disseminated. The Department has developed an information system to support these changes.

In order to comply with the National Uniform Commercial Code model, the New York State Department of State (NYS DOS) will allow submission of bulk electronic filings using the XML eXtensible Markup Language (XML) standard. It is anticipated that high volume financial institutions and service companies will use this service.

The New York State Department of State will allow constituents to utilize this capability only after they establish a draw down account, are assigned a Client ID and password, and have conducted transmission testing. How-to instructions for these items will be provided in subsequent sections of this document. The Department will receive, process, and return XML documents using established communication protocols and XML record set formats.

What is XML

Extensible Markup Language (XML) is an open-standards-based technology, adopted by the World Wide Web Consortium (W3C). It provides standardized rules for marking up documents so they can be shared on the Internet by allowing data exchange across varied platforms and applications. Like HTML, XML is an abbreviated derivative of Standard Generalized Markup Language (SGML), the internationally agreed-upon standard meta-language.

There are four principle components that enable XML applications to process an XML document:

- The XML Document
- Document Type Definitions (DTD) or Schemas
- Processors and Parsers
- Style Sheets

The XML Document

Like HTML, XML makes use of tags (words bracketed by '<' and '>') and attributes (of the form name="value"), but while HTML specifies what each tag and attribute means (and often how the text between them will look in a browser), XML uses the tags only to delimit pieces of data, and leaves the interpretation of the data completely to the application that reads it. The following is a simple "business card" XML document:

```
<business_card>
    <name>
        <first_name>Bob</first_name>
                    <middle_int>B</middle_int>
        <last_name>Trout</last_name>
    </name>
      <title>STAC Guy</title>
      <contact_methods>
        <phone>512-555-8160</phone>
        <fax>512-555-4759</fax>
        <e_mail>bob.trout@stac.state.tx.us</e_mail>
      </contact_methods>
</business_card>
```

Document Type Definition

A Document Type Definition (DTD) is a formal description in XML Declaration Syntax of a particular type of document. It sets out what names are to be used for the different types of elements, where they may occur, and how they all fit together. A DTD provides applications with advance notice of what names and structures can be used in a particular document type. Using a DTD when editing files means you can be certain that all documents which belong to a particular type will be constructed and named in a consistent way. The current version of the DTD in use by the NYS DOS is 1.0.

Processors and Parsers

The XML processor, usually embedded in the application used to view the XML document, checks to make sure the XML file or document follows all the rules defined in the DTD. This means the document has only one root element, all tags have matching start and closing tags, and there is no overlapping of tags.

Validating parsers read the DTD before they read the XML document so that they can identify where every element type should appear and how each relates to the other, so that applications which need to know this in advance (editors, search engines, navigators, and databases) can set themselves up correctly.

Style Sheets

A style sheet is used to read the XML document and then associate the custom tags with particular display or presentation properties.

Additional Information on XML

The following sites contain valuable information regarding the XML standard and the UCC XML standard, as well as some information concerning XML tools.

http://www.w3.org/XML/
http://www.iaca.org/xml
http://www.xml.org/
http://msdn.microsoft.com/xml/default.asp
http://www.xml.com/

Prerequisites for using the NYS DOS Bulk XML Filing System

Anyone can submit UCC documents using our XML Web Application, however, there are a few prerequisites that must be met:

1. A Test batch (document) must be submitted, processed, and acknowledged
2. A Drawdown Account must be established
3. A permanent Client ID, password, and client account must be assigned.

Testing
Trading partners will be required to pass a transmission test prior to submitting production documents utilizing the NYS DOS Bulk XML Filing System. The purpose of this test is to ensure compliance with applicable standards established by the NYS DOS as well as assuring success of trading partner's production transmissions.

To initiate a test, contact the NYS DOS UCC Customer Service during normal business hours. A representative will collect some basic information such as name and address and provide you with further details regarding the test. The creation of the test batch will be the responsibility of the client. This test batch must include the test indicator by placing the word "No" in the element "Test" and will be emailed to the NYS DOS UCC Customer Service. The batch will be submitted for processing in a test environment. Upon completion of processing, test acknowledgment data will be created and packaged for the client to review. Clients will receive the acknowledgment data via email. Please note, test data will not be permanently stored in the database nor will an image be created during this test phase.

Establishing a Drawdown Account
A Drawdown Account must be established by completing an "Application to Establish a Drawdown Account." The completed form must be submitted along with a minimum start up deposit of $100.

The Application to Establish a Drawdown Account can be found in **Drawdown Account Application (66.0 PDF form (1 page))**, or may be obtained by contacting **NYS DOS UCC Customer Service**.

A Drawdown (or pre-paid) account is an account established with the NYS DOS UCC Division at the request of a filer (sometimes referred to as a trading partner) who will be conducting business with the UCC Division on an ongoing basis. These accounts are similar in function to a debit account and are used solely for the purpose of paying the processing fees associated with the filing of UCC documents. The processing fee for each filing submitted will be deducted directly from the filer's Drawdown account.

It is incumbent on the Trading Partner to be sure that there are sufficient funds in their Drawdown account to process the filings submitted. Batch filings submitted which do not have sufficient fees to cover the costs associated with the entire batch of filings will not be processed, and the message "Failure to provide sufficient filing fees" will be provided in the filing acknowledgment.

Drawdown accounts should be replenished regularly by check, money order, or credit card. If paying by check, your 2-digit account number and the wording "UCC Drawdown" should be indicated. A request to deposit the funds from the check into your UCC Drawdown account should be clearly stated or documented upon submission. Checks must be made payable to Department of State and mailed to New York State Department of State, Uniform Commercial Code Division, Albany NY 12231-0001.

The Department of State's Uniform Commercial Code Division accepts MasterCard, Visa and American Express for the payment of certain fees.

The Credit Card Authorization Form can be found in Credit Card Authorization Form, or may be obtained by contacting the NYS DOS UCC Customer Service or by accessing the NYS DOS web site at www.dos.state.ny.us/corp/creditcard.html.

To pay for a fee by using your credit card, simply complete and sign the Credit Card Authorization Form (1 page 125KB) and submit it to the Uniform Commercial Code Division with your request. You may fax a document submitted for filing to the Uniform Commercial Code Division at (518) 474-4478.

You can download the approved forms from the NYS DOS site by going to the section called: UCC Forms.

Establishing a permanent Client ID, password, and Client Account Number
Once the establishment of the drawdown account and the successful test transmission has been completed, a permanent Client ID, password, and Client Account Number will be assigned. The NYS DOS UCC XML website address and the name and location of the DTD will also be supplied.   To change or reset a password for an existing Client ID, contact the **NYS DOS UCC Customer Service**.

Frequently Asked Questions

If you have questions or comments about the UCC services, please contact: **UCC**

The New York State Department of State XML Web Application

How to access to the application
Upon successful completion of the prerequisites for using the NYS DOS Bulk XML Filing System, the web address will be supplied.

Browser Prerequisite
Accessing the application requires version 4.x or greater of either Internet Explorer or Netscape Navigator.

Login Page
Trading partners will be required to log into the application using a Client ID and password, which will establish a secured connection and validate the trading partner's identity. A maximum of three login attempts will be allowed to correctly enter the ID and password. After three failed attempts, a message will be displayed to contact the NYS DOS UCC Customer Service for assistance during normal business hours. After the third failed attempt, the trading partner will not be able to attempt another login until they contact Customer Service to have their password reset. Trading partners will only have access to their own account information once logged in.

NOTE: Only one person at a time should log into the application using the Client ID and password.

FAQ
A list of frequently asked questions will be provided to answer questions and provide online documentation.

Upload Page
The upload page will allow trading partners to browse their PC, select a file, which has been formatted as an XML document that contains UCC filings, and submit this file to the New York State Department of State (NYS DOS).

Processing Page
Once the XML document has been successfully received it will be validated. The following is a summary of the validation process:

Step 1 - Parse the Document and check that the document is well-formed.
Step 2 - Validate the Parsed Document against the DTD.
Step 3 - Verify that the ClientAccountNum in the XML document corresponds to the Client ID.
Step 4 - Check PacketNum to be sure it is unique for the day to prevent accidental duplicate submissions
Step 5 - Check data elements to be sure they do not exceed maximum lengths.
Step 7 - Check for required data elements (ClientAccountNum, PacketNum, ContactEmail, SeqNumber, Test, TransType)
Step 8 - Check that values of particular elements comply with the Detailed XML Document Specification (Pages 20 – 35).

During validation, descriptive messages will appear on the Processing page to provide the status of processing.

NOTE: If the document fails ANY of these validations, the <u>ENTIRE</u> batch file will NOT be accepted.
If errors are detected, Error messages will be displayed on the processing page to assist the trading partner in identifying the problem so that the document can be corrected and resubmitted.

If no errors are detected, statistics will then be provided to indicate the number of filings forwarded to the state system for processing.

If state filings pass the validations, have been processed, and an acknowledgment has been generated, the following message will be displayed:

Final Acknowledgment XML Generated. You may download your response file.

Status/Download Page
Once a response file has been generated as described in the previous section, it will be available for download on the Status/Download Page. This response file or acknowledgment will contain the filing number and filing date if the filing was accepted by the NYS DOS, or the date and time the filing would have been filed and the rejection description if the filing was rejected by the NYS DOS. The trading partner can choose to either download this acknowledgment, or have it emailed to them. If the email option is selected, the acknowledgment will be sent to the email address provided in the XML document.

It is the responsibility of trading partners to check the status download page FOR EACH AND EVERY BATCH containing state filings to make sure that the batch has been processed and acknowledged. This will safeguard the trading partner in the unlikely event that a batch might be uploaded but not processed because of a severed connection.

Acknowledgments will be available for download online for five days.

Hours of XML operation
The XML website is available for submission and processing of filings seven days a week from 6:00 a.m. through 11:30 p.m.

Disclaimer
The NYS DOS Bulk XML Filing System is offered for use on an "**AS IS**" basis. The New York State Department of State ("NYS DOS") makes **NO WARRANTY OF MERCHANTABILITY, NO WARRANTY OF FITNESS FOR ANY PARTICULAR PURPOSE, AND NO OTHER WARRANTY, GUARANTY OR REPRESENTATION OF ANY KIND OR DESCRIPTION, EXPRESS OR IMPLIED**, with regard to the NYS DOS Bulk XML Filing System, or any equipment or software now or hereafter used as part of, or in connection with, or incidental to, the NYS DOS Bulk XML Filing System. In particular, but not by way of limitation, NYS DOS makes no warranty, guaranty or representation regarding (1) the times when the NYS DOS Bulk XML Filing System will be available to accept filings, or (2) the suitability of any system, equipment or software for use in transmitting records to the NYS DOS Bulk XML Filing System, or (3) the time it will take to accomplish a filing using the NYS DOS Bulk XML Filing System, or (4) the accuracy with which the information contained in any record that any person or entity transmits or attempts to transmit to the NYS DOS Bulk XML Filing System will be received, processed, stored or reflected. NYS DOS shall not be deemed to have made any such warranty, guaranty or representation by reason of (1) making the NYS DOS Bulk XML Filing System available, or (2) making any addition or change to, or replacement of, all or any part of the NYS DOS Bulk XML Filing System, or (3) preparing or disseminating the NYS Department of State XML Implementation Guide or any updated or revised version of such XML Implementation Guide, or (4) accepting, processing or acknowledging any test batch, establishing any drawdown account, issuing or assigning any client ID, password or client account, or otherwise authorizing or permitting any Trading Partner or any other person or entity to use or attempt to use the NYS DOS Bulk XML Filing System.

In no event shall NYS DOS be liable to any Trading Partner, or to any person or entity named in any record that any person or entity transmits or attempts to transmit to the NYS DOS Bulk XML Filing System, or to any other person or entity, for any failure to perfect (or to make a public record of) any security interest or other lien or interest of any kind or description, or for any loss of priority of any security interest or other lien or interest

of any kind or description, or for any loss or corruption of data, or for any lost revenue, or for any incidental, consequential, special, punitive, exemplary or other damages of any kind or description, foreseen or unforeseen, or for any cost or expense (including but not limited to attorneys' fees), resulting from or by reason of (1) the unavailability of the NYS DOS Bulk XML Filing System at any time or from time to time, without regard to whether such unavailability is due to mechanical, electronic or communications failure, or scheduled or unscheduled maintenance or testing, or any other cause, or (2) the inability of any system, equipment or software to transmit all or any part of any record to the NYS DOS Bulk XML Filing System, or (3) any failure to file, or any delay in filing, all or any part of any record that any person or entity transmits or attempts to transmit to the NYS DOS Bulk XML Filing System, or (4) any inaccuracy in the manner in which all or any part of any record that any person or entity transmits or attempts to transmit to the NYS DOS Bulk XML Filing System is received, processed, stored or reflected, or (5) any addition or change to, or replacement of, all or any part of any system, equipment or software used to transmit records to the NYS DOS Bulk XML Filing System that is necessitated by any change or addition to, or replacement of, all or any part of the NYS DOS Bulk XML Filing System, or (6) any other matter related to any use or attempted use of the NYS DOS Bulk XML Filing System.

File Guidelines

File Size
Extremely large files may cause processing and response times to increase. Also, there may be a problem with session timeout. Therefore, please limit the number of filings in one XML document to 100 filings. Remember a filing with three pages of collateral and 100 names will take as long to process as one hundred filings with minimal data.

File Name
There are no set criteria for the creation of file names, but there is a 250 character limit. It is recommended that the file be named so that you can easily track each file submitted. We suggest including the date and time in your file name.

Specifying the DTD in the XML Data File

Near the beginning of XML document there is a DOCTYPE section that specifies the location of the DTD that is used to validate the data in the XML document. Although the DTD itself can be included within the DOCTYPE section, it is usually maintained as a separate file. The DOCTYPE declaration specifies the name and/or location of the DTD file. The following is a sample DOCTYPE declaration, which must point to the New York DTD:

<!DOCTYPE Document SYSTEM "https://XXXXXXXX.dos.state.ny.us/ucc/bulkfilings/xml/DTD-File11152000.dtd">

The DOCTYPE declaration will be supplied upon successful completion of the prerequisites for using the NYS DOS Bulk XML Filing System,

Reserved Characters

There are five special characters that are reserved and cannot be used directly in XML element or attribute data, they must be replaced with what are called XML Entity References. These special characters act as flags to the parser; they delimit the document's actual content, and tell the parser to take specific actions. These special characters, therefore, must be represented as follows if they are included so that the parser does not misinterpret them:

Reserved Character	Entity Reference	Character Name
&	&	Ampersand
'	'	Apostrophe
"	"	Quote
<	<	Less Than
>	>	Greater Than

For example, the debtor name of Crate & Barrel would be represented as:
 <OrganizationName>Crate & Barrel</OrganizationName>

NOTE: If your XML document includes any of these characters (&, ', ", <, >) between the begin and end tags, and they are not represented with the appropriate entity reference, the entire document will not be accepted and will not be processed.

Elements with No Data

If an element has no data value, it should be represented as an "empty" element, with a single element tag that includes the "slash" character after the element name. The following contains valid XML expressions for elements with no data:

```
<Names>
    <OrganizationName>LEXIS Document Services</OrganizationName>
    <MailAddress>801 Adlai Stevenson Drive</MailAddress>
    <City>Springfield</City>
    <State>IL</State>
    <PostalCode>62703</PostalCode>
    <County/>
    <Country>USA</Country>
    <TaxID>1234567</TaxID>
    <OrganizationalType/>
    <OrganizationalJuris/>
    <OrganizationalID/>
```

```
        <Mark/>
    </Names>
```

County and Co-op Filings

The NYS DOS Bulk XML Filing System will not accept County and Co-op UCC filings for counties.

During processing, county filings are identified and rejected at no charge. This will be reflected in the acknowledgment file that you download from this office.

Contact Info(click on the link below)

NYS DOS UCC Customer Service

Fee for Electronic Filing

The filing fee, also referred to as a processing fee, is non-refundable and is paid to the Department of State at the time the document is presented to the Department of State for filing. This processing fee will be charged regardless of whether the document is accepted for filing or rejected. The following is a schedule of the NY DOS electronic filing fees:

Filing Type	Filing Fee
Manufactured Home	$20.00
Public Finance	$20.00
Transmitting Utility	$20.00
All other Filing Types	$20.00

UCC Financing Statement Form with XML Tags

UCC FINANCING STATEMENT <TransType>

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

A. NAME & PHONE OF CONTACT AT FILER [optional]

<Filer.ContactName><Filer.ContactPhone><Filer.ContactEmail><Filer.ContactFax>

B. SEND ACKNOWLEDGMENT TO: (Name and Address)

<Filer.ClientAccountNum>

<Filer.OrganizationName>
<Filer.MailAddress>
<Filer.City><Filer.State><Filer.PostalCode>

<DebtorName.Postal/Code>

<DebtorName.State>   <DebtorName.Suffix>

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR'S EXACT FULL LEGAL NAME - insert only one debtor name (1a or 1b) - do not abbreviate or combine names. <DebtorName>

1a. ORGANIZATION'S NAME			
<DebtorName.OrganizationName>			
OR 1b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX
<DebtorName.LastName>	<DebtorName.FirstName>	<DebtorName.MiddleName>	
1c. MAILING ADDRESS	CITY	STATE | POSTAL CODE	COUNTRY
<DebtorName.MailAddress>	<DebtorName.City>		<DebtorName.Country>
1d. SEE INSTRUCTIONS | ADD'L INFO RE | 1e. TYPE OF ORGANIZATION	1f. JURISDICTION OF ORGANIZATION	1g. ORGANIZATIONAL ID #, if any	
<DebtorName.TaxID> ORGANIZATION DEBTOR		<DebtorName.OrganizationalID>	NONE

2. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - insert only one debtor name (2a or 2b) - do not abbreviate or combine names

2a. ORGANIZATION'S NAME			
<DebtorName.OrganizationalType> <DebtorName.OrganizationalJurisdiction>			
OR 2b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX
2c. MAILING ADDRESS	CITY	STATE | POSTAL CODE	COUNTRY
2d. SEE INSTRUCTIONS | ADD'L INFO RE | 2e. TYPE OF ORGANIZATION	2f. JURISDICTION OF ORGANIZATION	2g. ORGANIZATIONAL ID #, if any	
ORGANIZATION DEBTOR			NONE

3. SECURED PARTY'S NAME (or NAME of TOTAL ASSIGNEE of ASSIGNOR S/P) - insert only one secured party name (3a or 3b) <Secured>

3a. ORGANIZATION'S NAME			
<Secured.OrganizationName>			
OR 3b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX
<Secured.LastName>	<Secured.FirstName>	<Secured.MiddleName>	<Secured.Suffix>
3c. MAILING ADDRESS	CITY	STATE | POSTAL CODE	COUNTRY
<Secured.MailAddress>	<Secured.City>		<Secured.Country>

<Secured.State>

<Secured.PostalCode>

4. This FINANCING STATEMENT covers the following collateral:

<Collateral.ColText>

<FileInRealEstate>

<AltNameDesignation>   <SearchToReflect>

5. ALTERNATIVE DESIGNATION [if applicable]: [ ] LESSEE/LESSOR [ ] CONSIGNEE/CONSIGNOR [ ] BAILEE/BAILOR [ ] SELLER/BUYER [ ] AG. LIEN [ ] NON-UCCFILING

6. [ ] This FINANCING STATEMENT is to be filed [for record] (or recorded) in the REAL ESTATE RECORDS. Attach Addendum [if applicable] 7. Check to REQUEST SEARCH REPORT(S) on Debtor(s) [ADDITIONAL FEE] [optional] [ ] All Debtors [ ] Debtor 1 [ ] Debtor 2

8. OPTIONAL FILER REFERENCE DATA

<SubmitterRef>

FILING OFFICE COPY — NATIONAL UCC FINANCING STATEMENT (FORM UCC1) (REV. 05/22/02)

Addendum Form with XML Tags

UCC FINANCING STATEMENT ADDENDUM

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

9. NAME OF FIRST DEBTOR (1a or 1b) ON RELATED FINANCING STATEMENT

9a. ORGANIZATION'S NAME

OR

9b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME, SUFFIX

10. MISCELLANEOUS:
<MiscInfo>

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

11. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME - insert only one name (11a or 11b) - do not abbreviate or combine names

11a. ORGANIZATION'S NAME

OR

11b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX

11c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

11d. SEE INSTRUCTIONS	ADD'L INFO RE ORGANIZATION DEBTOR	11e. TYPE OF ORGANIZATION	11f. JURISDICTION OF ORGANIZATION	11g. ORGANIZATIONAL ID #, if any	□ NONE

12. □ ADDITIONAL SECURED PARTY'S or □ ASSIGNOR S/P'S NAME - insert only one name (12a or 12b)

12a. ORGANIZATION'S NAME

OR

12b. INDIVIDUAL'S LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX

12c. MAILING ADDRESS	CITY	STATE	POSTAL CODE	COUNTRY

<FileInRealEstate.Designation>

13. This FINANCING STATEMENT covers □ timber to be cut or □ as-extracted collateral, or is filed as a □ fixture filing.

14. Description of real estate:

<FileInRealEstate.RealEstateDescription>

16. Additional collateral description:

<Collateral.ColText>

15. Name and address of a RECORD OWNER of above-described real estate (if Debtor does not have a record interest):

<FileInRealEstate.OrganizationName>
<FileInRealEstate.MailAddress>
<FileInRealEstate.City>
<FileInRealEstate.State>
<FileInRealEstate.PostalCode>

17. Check only if applicable and check only one box. *<AltNameDesignation>*
Debtor is a □ Trust or □ Trustee acting with respect to property held in trust or □ Decedent's Estate

18. Check only if applicable and check only one box. *<AltFilingType>*
□ Debtor is a TRANSMITTING UTILITY
□ Filed in connection with a Manufactured-Home Transaction — effective 30 years
□ Filed in connection with a Public-Finance Transaction — effective 30 years

FILING OFFICE COPY — NATIONAL UCC FINANCING STATEMENT ADDENDUM (FORM UCC1Ad) (REV. 05/22/02)

Amendment Form with XML Tags

Amendment Addendum with XML Tags

UCC FINANCING STATEMENT AMENDMENT ADDENDUM

FOLLOW INSTRUCTIONS (front and back) CAREFULLY

11. INITIAL FINANCING STATEMENT FILE # (same as item 1a on Amendment form)

12. NAME OF PARTY AUTHORIZING THIS AMENDMENT (same as item 9 on Amendment form)

12a. ORGANIZATION'S NAME

OR

12b. INDIVIDUAL'S LAST NAME | FIRST NAME | MIDDLE NAME,SUFFIX

13. Use this space for additional information

<MiscInfo>

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

New York State Document Type Definition (DTD)

The Filing Document Type Definition (DTD) is a bi-directional transaction. The DTD allows for a filer to submit the UCC Financing Statement and the UCC Financing Statement Amendment to the Filing Office. The DTD also allows the Filing Office to return an acknowledgement to the filer indicating the filing was accepted or rejected

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE Document SYSTEM https://XXXXXXXX.dos.state.ny.us/ucc/bulkfilings/xml/DTD-
File11152000.dtd> (NOTE:  XXXXXXXX will be supplied pending completion of prerequisites
for system usage)
<!—- DTD Version 1.0    -->
<!-- Created 2000-11-15  -->
<!ELEMENT Acknowledgement (FileNumber, FileDate, FileTime, FeeAmount, FilingOffice,
FileStatus, Errors)>
<!ELEMENT ActionCode (#PCDATA)>
<!ELEMENT AltFilingType (#PCDATA)>
<!ELEMENT AltNameDesignation (#PCDATA)>
<!ELEMENT AmendmentAction (#PCDATA)>
<!ELEMENT AmendmentType (#PCDATA)>
<!ELEMENT Assignor (Names+)>
<!ELEMENT Attachment (Attachments+)>
<!ELEMENT Attachments ANY>
<!ELEMENT AuthDebtor (OrganizationName | IndividualName)>
<!ELEMENT AuthSecuredParty (OrganizationName | IndividualName)>
<!ELEMENT AuthorizingParty (AuthSecuredParty, AuthDebtor)>
<!ELEMENT City (#PCDATA)>
<!ELEMENT ClientAccountNum (#PCDATA)>
<!ELEMENT ColText (#PCDATA)>
<!ELEMENT Collateral (ColText, FSAProducts, Attachment)>
<!ELEMENT ContactEmail (#PCDATA)>
<!ELEMENT ContactFax (#PCDATA)>
<!ELEMENT ContactName (#PCDATA)>
<!ELEMENT ContactPhone (#PCDATA)>
<!ELEMENT Counties (County)>
<!ELEMENT Country (#PCDATA)>
<!ELEMENT County (#PCDATA)>
<!ELEMENT CurrentName (OrganizationName | IndividualName)>
<!ELEMENT DebtorAltCapacity (#PCDATA)>
<!ELEMENT DebtorName (Names, DebtorAltCapacity, Not-Indexed-Reason)>
<!ELEMENT Debtors (DebtorName+)>
<!ELEMENT Description (#PCDATA)>
<!ELEMENT Designation (#PCDATA)>
<!ELEMENT Document (Header, Record+, FileSignature?)>
<!ELEMENT ErrorText (#PCDATA)>
<!ELEMENT Errors (ErrorText+)>
<!ELEMENT FSAProducts (Name-Code)>
<!ELEMENT FeeAmount (#PCDATA)>
<!ELEMENT FileDate (#PCDATA)>
<!ELEMENT FileInRealEstate (Designation, RealEstateDescription, Names)>
<!ELEMENT FileNumber (#PCDATA)>
<!ELEMENT FileSignature (#PCDATA)>
<!ELEMENT FileStatus (#PCDATA)>
<!ELEMENT FileTime (#PCDATA)>
<!ELEMENT Filer (Names, ClientAccountNum, ContactName, ContactPhone, ContactEmail,
ContactFax)>
<!ELEMENT FilingOffice (#PCDATA)>
<!ELEMENT FirstName (#PCDATA)>
<!ELEMENT Header (Filer, PacketNum, Test)>
<!ELEMENT IndividualName (LastName, FirstName, MiddleName, Suffix)>
```

<div style="border:1px solid black; padding:10px;">

Occurrence Index

* = Zero or more occurrence
? = zero or one occurrence
+ = One or more occurrence
| = either/or
No punctuation = exactly 1 occurrence

</div>

```
<!ELEMENT LastName (#PCDATA)>
<!ELEMENT Location (#PCDATA)>
<!ELEMENT MailAddress (#PCDATA)>
<!ELEMENT Mark (#PCDATA)>
<!ELEMENT MiddleName (#PCDATA)>
<!ELEMENT MiscInfo (#PCDATA)>
<!ELEMENT Name-Code (Years, Counties, Unit, Quantity, Location, Description)>
<!ELEMENT Names ((OrganizationName | IndividualName), MailAddress, City, State,
PostalCode, County, Country, TaxID, OrganizationalType, OrganizationalJuris,
OrganizationalID, Mark)>
<!ELEMENT Not-Indexed-Reason (#PCDATA)>
<!ELEMENT OrganizationName (#PCDATA)>
<!ELEMENT OrganizationalID (#PCDATA)>
<!ELEMENT OrganizationalJuris (#PCDATA)>
<!ELEMENT OrganizationalType (#PCDATA)>
<!ELEMENT PacketNum (#PCDATA)>
<!ELEMENT PostalCode (#PCDATA)>
<!ELEMENT Quantity (#PCDATA)>
<!ELEMENT RealEstateDescription (#PCDATA)>
<!ELEMENT Record (SeqNumber, TransType, AmendmentType, AmendmentAction, FileNumber,
FileDate, SubmitterRef, ActionCode, AltNameDesignation, AltFilingType, FileInRealEstate,
SearchToReflect, MiscInfo, CurrentName*, Debtors, Secured, Assignor*, Collateral,
AuthorizingParty+, Acknowledgement)>
<!ELEMENT SearchToReflect (#PCDATA)>
<!ELEMENT Secured (Names+)>
<!ELEMENT SeqNumber (#PCDATA)>
<!ELEMENT State (#PCDATA)>
<!ELEMENT SubmitterRef (#PCDATA)>
<!ELEMENT Suffix (#PCDATA)>
<!ELEMENT TaxID (#PCDATA)>
<!ELEMENT Test (#PCDATA)>
<!ELEMENT TransType (#PCDATA)>
<!ELEMENT Unit (#PCDATA)>
<!ELEMENT Year (#PCDATA)>
<!ELEMENT Years (Year+)>
```

Occurrence Index
* = Zero or more occurrence
? = zero or one occurrence
+ = One or more occurrence
| = either/or
No punctuation = exactly 1 occurrence

XML Document Overview

Document

Header

    <Filer> [Names((<OrganizationName> | IndividualName (<LastName>, <FirstName>, <MiddleName>, <Suffix>),
        <MailAddress>, <City>, <State>, <PostalCode>, <County>, <Country>, <TaxID>, <OrganizationalType>,
        <OrganizationalJuris>, <OrganizationalID>, <Mark>)), **<ClientAccountNum>**, <ContactName>,
        <ContactPhone>, **<ContactEmail>**, <ContactFax>]

    <PacketNum>

    <Test>

Record +

    <SeqNumber>

    <TransType>

    <AmendmentType>

    <AmendmentAction>

    <FileNumber>

    <FileDate>

    <SubmitterRef>

    <ActionCode>

    <AltNameDesignation>

    <AltFilingType>

    FileInRealEstate [<Designation>, <RealEstateDescription>, Names((<OrganizationName> |
        IndividualName(<LastName>, <FirstName>, <MiddleName>, <Suffix>), <MailAddress>, <City>,
        <State>, <PostalCode>, <County>, <Country>, <TaxID>, <OrganizationalType>,
        <OrganizationalJuris>, <OrganizationalID>, Mark))]

    <SearchToReflect>

    <MiscInfo>

    CurrentName* [<OrganizationName> | IndividualName(<LastName>, <FirstName>, <MiddleName>, <Suffix>)]

    Debtors [DebtorName+(((Names((<OrganizationName> | IndividualName(<LastName>, <FirstName>, <MiddleName>,
        <Suffix>), <MailAddress>, <City>, <State>, <PostalCode>, <County>, <Country>, <TaxID>,
        <OrganizationalType>, <OrganizationalJuris>, <OrganizationalID>, <Mark>)),
        <DebtorAltCapacity>, <Not-Indexed-Reason>)))]

    Secured [Names+((<OrganizationName> | IndividualName(<LastName>, <FirstName>, <MiddleName>, <Suffix>),
        <MailAddress>, <City>, <State>, <PostalCode>, <County>, <Country>, <TaxID>,
        <OrganizationalType>, <OrganizationalJuris>, <OrganizationalID>, <Mark>))]

    Assignor* [Names+((<OrganizationName> | IndividualName(<LastName>, <FirstName>, <MiddleName>, <Suffix>),
        <MailAddress>, <City>, <State>, <PostalCode>, <County>, <Country>, <TaxID>,
        <OrganizationalType>, <OrganizationalJuris>, <OrganizationalID>, <Mark>))]

    Collateral [<ColText>, (((FSAProducts((Name-Code(Years(<Year>+), Counties(<County>), <Unit>, <Quantity>,
        <Location>, <Description>)), Attachment(<Attachments>+))))]

    AuthorizingParty+ [AuthSecuredParty((<OrganizationName> | IndividualName(<LastName>, <FirstName>,
        <MiddleName>, <Suffix>)), AuthDebtor((<OrganizationName> | IndividualName(<LastName>,
        <FirstName>, <MiddleName>, <Suffix>)))]

    Acknowledgment [<FileNumber>, <FileDate>, <FileTime>, <FeeAmount>, <FilingOffice>, <FileStatus>,
        Errors(<ErrorText>+)]

<FileSignature>**?**

Occurrence Index

* = Zero or more occurrence
? = zero or one occurrence
+ = One or more occurrence
| = either/or
No punctuation = exactly 1 occurrence

NOTE: Bold text indicates Data Elements that are required for the XML file to be accepted by the
Department of State.

Underlined text indicates data elements that are made up of sub-elements and will not contain data.

Assumptions about the Detailed XML Document Specifications

This document makes the following assumptions as it applies to XML and Revised Article 9.

- Payment information is not included in the XML filing.
- Correction statements are excluded from the XML filing.
- An electronic amendment cannot include multiple actions.
- An electronic amendment cannot change, delete, or add more than one party name
- 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 filing office issue
- Attachments will not be allowed
- Search to reflect will not be allowed

Detailed XML Document Specifications

No punctuation = exactly 1 occurrence
| = either/or
* = Zero or more occurrence
? = zero or one occurrence
+ = One or more occurrence

DOCUMENT											
Element Location	**Element**	**Occurrence**	**Definition** **Values** in this column is an all-inclusive list of valid values. **Examples** in this column is a list of possible values, but is **not** an all-inclusive list.	**Max Length**	**Original**	**Amend Debtor**	**Amend Secured Party**	**Amend Collateral**	**Assignment**	**Continuation**	**Termination**
Header					R	R	R	R	R	R	R
Record		+			R	R	R	R	R	R	R
FileSignature		?			O	O	O	O	O	O	O

Bold text in the Element Location column or Element column indicates data elements which are made up of sub-elements, and will not contain data.

O = Optional
R = Required
- = N/A
FO = Optional, for Filing Office Use
FR = Required, for Filing Office Use
RO = Required or optional, conditional

HEADER

Element Location	Element	Occurrence	Definition **Values** in this column is an all-inclusive list of valid values. **Examples** in this column is a list of possible values, but is **not** an all-inclusive list.	Max Length	Original	Amend Debtor	Amend Secured Party	Amend Collateral	Assignment	Continuation	Termination
Filer					R	R	R	R	R	R	R
	Names		OrganizationName **or** Individual Name is required **Note:** If OrganizationName is present, IndividualName must be blank, if IndividualName is present, OrganizationName must be blank		R	R	R	R	R	R	R
	Organization Name	|	Designates an entity having a legal identity separate from its owner	200	O	O	O	O	O	O	O

Individual Name	|	If IndividualName is present, LastName is required, FirstName, MiddleName, and Suffix are optional			O	O	O	O	O	O	O
LastName		Family name or surname for an individual	85		R	R	R	R	R	R	R
FirstName		First given name for an individual	60		O	O	O	O	O	O	O
MiddleName		All additional given names for an individual excluding the family name and the first given name	30		O	O	O	O	O	O	O
Suffix		A title of lineage for an individual	9		O	O	O	O	O	O	O
MailAddress		Mailing address for the designated party	90		O	O	O	O	O	O	O
City		City for the designated party	30		O	O	O	O	O	O	O

Field		Description	Length							
State		2-character U.S. postal identification code or 2-character Canadian province code **Values:** See Appendix A and Appendix B	2	O	O	O	O	O	O	O
PostalCode		The postal code for the party	10	O	O	O	O	O	O	O
County		County for the designated party	2	O	O	O	O	O	O	O
Country		3-character country code for the designated party **Values:** See Appendix C	3	O	O	O	O	O	O	O
TaxID		Taxpayer's identification number (social security number or employer identification number) **NOTE**: Not required in NYS	25	-	-	-	-	-	-	-

HEADER

Element Location	Element	Occurrence	Definition Values in this column is an all-inclusive list of valid values. Examples in this column is a list of possible values, but is **not** an all-inclusive list.	Max Length	Original	Amend Debtor	Amend Secured Party	Amend Collateral	Assignment	Continuation	Termination
Filer	OrganizationalType		Type of organization for the organization debtor **Examples:** Corporation Foreign Association General Partnership Limited Liability Company Limited Partnership Sole Proprietorship	25	-	-	-	-	-	-	-
	OrganizationalJuris		Jurisdiction for the debtor that is an organization	40	-	-	-	-	-	-	-

	OrganizationalID		Unique identification number for the organization debtor assigned by the agency where the charter document was filed for organization debtor **Values:** SSnnnnnn where SS is the 2-character U.S. Code (see Appendix A) nnnnnn is the organizational identification number None If there is no organizational identification number	15	-	-	-	-	-	-	-
	Mark		**Note:** New York will ignore the Mark and will not image or index it.	-	-	-	-	-	-	-	-
	ClientAccountNum		Unique NY DOS number assigned to the Filer	2	R	R	R	R	R	R	R

	ContactName		Contact person for the Filer	200	O	O	O	O	O	O	O
	ContactPhone		Telephone number for the Filer's contact person	20	O	O	O	O	O	O	O
	ContactEmail		Email address for the Filer's contact person	200	R	R	R	R	R	R	R
	ContactFax		Facsimile number for the Filer's contact person	20	O	O	O	O	O	O	O
PacketNum	PacketNum		Unique identifying number for the file. **Must be numeric.** **Note:** Must be unique for each file submitted in a given day.	25	R	R	R	R	R	R	R
Test	Test		Indicates the submission is for test purposes only **Values:** No Yes	3	R	R	R	R	R	R	R

RECORD

Element Location	Element	Occurrence	Definition	Max Length	Original	Amend Debtor	Amend Secured Party	Amend Collateral	Assignment	Continuation	Termination
			Values in this column is an all-inclusive list of valid values. **Examples** in this column is a list of possible values, but is **not** an all-inclusive list.								
SeqNumber	SeqNumber		Unique sequential number identifying the record **Note:** Must be unique for each filing in the document and increment by one for each filing	10	R	R	R	R	R	R	R
TransType	TransType		Indicates whether the filing is an initial financing statement or an amendment **Values:** Initial Amendment	9	R	R	R	R	R	R	R
Amendment Type	Amendment Type		Identifies the type of amendment: **Values:** AmendmentCollateral AmendmentParties Assignment Continuation TerminationDebtor TerminationSecuredParty **Note:** Only **one** AmendmentType per record is allowed	24	-	R	R	R	R	R	R

Amendment Action	Amendment Action		Indicates the type of change requested.
			
			Values:
			  CollateralAdd
			  CollateralChange
			  CollateralDelete
			  CollarteralRestate
			  CollateralAssign
			  DebtorAdd
			  DebtorChange
			  DebtorDelete
			  SecuredPartyAdd
			  SecuredPartyChange
			  SecuredPartyDelete
			
			Note: Only **one** AmendmentAction per record is allowed
				19	-	R	R	R	O	-	-

FileNumber	FileNumber		If TranType = Initial, this field is blank If TranType = Amendment, this field contains the file number for the initial financing statement	15	-	R	R	R	R	R	R
FileDate	FileDate		If TranType = Initial, this field is blank If TranType = Amendment, this field contains the file date for the initial financing statement **Note:** For Pre-Revised Article 9 implementation only **Format:** CCYYMMDD	8	-	O	O	O	O	O	O

SubmitterRef	SubmitterRef		Unique identifying information for the Filer	100	O	O	O	O	O	O	O
ActionCode	ActionCode		2-digit New York County Code **Should be 00 or not be populated for state filings.** **Required for county and co-op filings.** A value other than 00 in this data element causes the record to be considered a county or co-op filing which will be rejected.	2	O	O	O	O	O	O	O
AltNameDesignation	AltNameDesignation		Alternate name designations for Debtor/Secured Party. **Values:** Lessee/Lessor Consignee/Consignor Bailee/Bailor Seller/Buyer	20	O	-	-	-	-	-	-
AltFilingType	AltFilingType		Alternate filing types **Values:** AgLien FoodSecurity Act Manufactured Home NonUCCFiling PublicFinance Transmitting Utility	19	O	-	-	-	-	-	-

FileInReal Estate	Designation		Identifies the type of real estate covered by the financing statement **Values:** AsExtractedC ollateral Fixture Timber	21	O	O	-	O	O	O	O
	RealEstateD escription		Description of the real estate indicated as timber, as-extracted collateral, or fixture	66 0	O	O	-	O	O	O	O
	Names		OrganizationNa me **or** Individual Name is required **Note:** If OrganizationNa me is present, IndividualName must be blank, if IndividualName is present, OrganizationNa me must be blank		O	O	-	-	-	-	-
	Organization Name	|	Designates an entity having a legal identity separate from its owner	200	O	O	-	-	-	-	-
	IndividualN ame	|	If IndividualName is present, LastName is required, FirstName, MiddleName, and Suffix are optional		O	O	-	-	-	-	-
	LastName		Family name or surname for an individual	85	R	R	-	-	-	-	-
	FirstName		First given name for an individual	60	O	O	-	-	-	-	-

	MiddleName		All additional given names for an individual excluding the family name and the first given name	30	O	O	-	-	-	-	-
	Suffix		A title of lineage for an individual	9	O	O	-	-	-	-	-
	MailAddress		Mailing address for the designated party	90	O	O	-	-	-	-	-
	City		City for the designated party	30	O	O	-	-	-	-	-
	State		2-character U.S. postal identification code or 2-character Canadian province code **Values:** See Appendix A and Appendix B	2	O	O	-	-	-	-	-
	PostalCode		The postal code for the party	10	O	O	-	-	-	-	-
	County		County for the designated party	2	O	O	-	-	-	-	-
	Country		3-character country code for the designated party **Values:** See Appendix C	3	O	O	-	-	-	-	-
FileInReal Estate	TaxID		Taxpayer's identification number (social security number or employer identification number) **NOTE**: This element is not required in NYS	2 5	-	-	-	-	-	-	-

	Organization alType		Type of organization for the organization debtor **Examples:** Corporation Foreign Association General Partnership Limited Liability Company Limited Liability Partnership Limited Partnership Sole Proprietorshi p	2 5	-	-	-	-	-	-	-
	Organizatito nalJuris		Jurisdiction for the debtor that is an organization	4 0	-	-	-	-	-	-	-
	Organization alID		Unique identification number for the organization debtor assigned by the agency where the charter document was filed for organization debtor **Values:** SSnnnnnn where SS is the 2-character U.S. Code (see Appendix A) nnnnnn is the organizational identification number None If there is no organizationa l identification number	1 5	-	-	-	-	-	-	-

	Mark		**Note:** New York will ignore the Mark and will not image or index it.	-	-	-	-	-	-	-	-
SearchToReflect	SearchToReflect		Not being implemented in NY	-	-	-	-	-	-	-	-
MiscInfo	MiscInfo		Identifies additional information not provided for on the UCC Financing Statement	4000	O	O	O	O	O	O	O
CurrentName		*	OrganizationName **or** Individual Name is required **Note:** If OrganizationName is present, IndividualName must be blank, if IndividualName is present, OrganizationName must be blank		-	O	O	-	-	-	-
CurrentName	Organization Name	|	Designates an entity, having a legal identity separate from its owner, that is affected by the amendment	200	-	O	O	-	-	-	-
	IndividualName	|	If IndividualName is present, LastName is required, FirstName, MiddleName, and Suffix are optional		-	O	O	-	-	-	-
	LastName		Family name or surname for an individual, who is affected by the amendment	85	-	R	R	-	-	-	-

	Field		Description	Length							
	FirstName		First given name for an individual who is affected by the amendment	60	-	O	O	-	-	-	-
	MiddleName		All additional given names for an individual who is affected by the amendment, excluding the family name and the first given name	30	-	O	O	-	-	-	-
	Suffix		A title of lineage for an individual who is affected by the amendment	9	-	O	O	-	-	-	-
Debtors					R	R	-	-	-	-	-
	DebtorName	+			R	R	-	-	-	-	-
	Names		OrganizationName **or** Individual Name is required **Note:** If OrganizationName is present, IndividualName must be blank, if IndividualName is present, OrganizationName must be blank		R	R	-	-	-	-	-
	Organization Name	|	Designates an entity having a legal identity separate from its owner **Note:** If the OrganizationName is present, OrganizationalType and OrganizationalJuris are required	200	O	O	-	-	-	-	-

	Field		Description	Length							
	IndividualName	|	If IndividualName is present, LastName is required, FirstName, MiddleName, and Suffix are optional		O	O	-	-	-	-	-
	LastName		Family name or surname for an individual	85	R	R	-	-	-	-	-
	FirstName		First given name for an individual	60	O	O	-	-	-	-	-
	MiddleName		All additional given names for an individual excluding the family name and the first given name	30	O	O	-	-	-	-	-
	Suffix		A title of lineage for an individual	9	O	O	-	-	-	-	-
	MailAddress		Mailing address for the designated party	90	R	R	-	-	-	-	-
Debtors	City		City for the designated party	30	R	R	-	-	-	-	-
	State		2-character U.S. postal identification code or 2-character Canadian province code **Values:** See Appendix A and Appendix B	2	RO	RO	-	-	-	-	-
	PostalCode		The postal code for the party	10	O	O	-	-	-	-	-
	County		County for the designated party	2	O	O	-	-	-	-	-

Country		3-character country code for the designated party **Values:** See Appendix C	3	O	O	-	-	-	-	-
TaxID		Taxpayer's identification number (social security number or employer identification number) **Note:** This element is not required in NYS.	25	O	O	-	-	-	-	-
Organization alType		Type of organization for the organization debtor **Note:** If OrganizationName is present, OrganizationalType is required **Examples:** Corporation Foreign Association General Partnership Limited Liability Company Limited Partnership Sole Proprietorship	25	O	O	-	-	-	-	-
Organization alJuris		Jurisdiction for the debtor that is an organization **Note:** If OrganizationName is present, OrganizationalJuris is required	40	O	O	-	-	-	-	-

Debtors											

Debtors	Organization alID		Unique identification number for the organization debtor assigned by the agency where the charter document was filed for organization debtor
			
			Note: If OrganizationNa me is present, OrganizationalI D is required
			
			Values:
			   SSnnnnnn where SS is the 2-character U.S.
			
			   Code (see Appendix A) nnnnnn is the organizational identification
			
			number
			   None
			   If there is no organizationa l
			
			   identification number
				15	O	O	-	-	-	-	-

	Mark		**Note:** New York will ignore the Mark and will not image or index it.	-	-	-	-	-	-	-	-

	DebtorAltCa pacity		Alternative capacity of the debtor with respect to property
			
			Values:
			   Estate
			   Trust
			   Trustee
				7	O	O	-	-	-	-	-

				Len							
	Not-Indexed-Reason		Reason the debtor was not indexed

NOTE: New York will reject entire filing if any debtor is in error. | | - | - | - | - | - | - | - |
| **Secured** | | | | | R | - | R | - | R | - | - |
| | **Names** | + | OrganizationName **or** Individual Name is required

Note: If OrganizationName is present, IndividualName must be blank, if IndividualName is present, OrganizationName must be blank | | R | - | R | - | R | - | - |
	Organization Name	|	Designates an entity having a legal identity separate from its owner	200	O	-	O	-	O	-	-
	IndividualName	|	If IndividualName is present, LastName is required, FirstName, MiddleName, and Suffix are optional		O	-	O	-	O	-	-
	LastName		Family name or surname for an individual	85	R	-	R	-	R	-	-
	FirstName		First given name for an individual	60	O	-	O	-	O	-	-
	MiddleName		All additional given names for an individual excluding the family name and the first given name	30	O	-	O	-	O	-	-

	Element		Description	Length							
	Suffix		A title of lineage for an individual	9	O	-	O	-	O	-	-
	MailAddress		Mailing address for the designated party	90	R	-	R	-	R	-	-
Secured	City		City for the designated party	30	R	-	R	-	R	-	-
	State		2-character U.S. postal identification code or 2-character Canadian province code **Values:** See Appendix A and Appendix B	2	RO	-	RO	-	RO	-	-
	PostalCode		The postal code for the party	10	O	-	O	-	O	-	-
	County		County for the designated party	2	O	-	O	-	O	-	-
	Country		3-character country code for the designated party **Values:** See Appendix C	3	O	-	O	-	O	-	-
	TaxID		Taxpayer's identification number (social security number or employer identification number) **NOTE**: This element is not required in NYS	25	O	-	-	-	O	-	-

				25	-	-	-	-	-	-	-

	Organization alType		Type of organization for the organization debtor
			
			Examples:
			    Corporation
			    Foreign
			    Association
			    General
			    Partnership
			    Limited
			    Liability
			    Company
			    Limited
			    Partnership
			    Sole
			    Proprietorshi
			    p								

	Organization alJuris		Jurisdiction for the debtor that is an organization	40	-	-	-	-	-	-	-

	Organization alID		Unique identification number for the organization debtor assigned by the agency where the charter document was filed for organization debtor
			
			Values:
			    SSnnnnnn
			    where SS is
			    the 2-
			    character U.S.
			
			    Code (see
			    Appendix A)
			    nnnnnn
			is the
			organizational
			identification
			
			number
			    None
			    If there is no
			    organizationa
			    l
			
			    identification
			    number
				15	-	-	-	-	-	-	-

Secured	Mark		**Note:** New York will ignore the Mark and will not image or index it.	-	-	-	-	-	-	-	-
Assignor		*			O	-	-	-	O	-	-
	Names	+	OrganizationName **or** Individual Name is required **Note:** If OrganizationName is present, IndividualName must be blank, if IndividualName is present, OrganizationName must be blank		R	-	-	-	O	-	-
	Organization Name	|	Designates an entity having a legal identity separate from its owner	200	O	-	-	-	O	-	-
	IndividualN ame	|	If IndividualName is present, LastName is required, FirstName, MiddleName, and Suffix are optional		O	-	-	-	O	-	-
	LastName		Family name or surname for an individual	85	R	-	-	-	O	-	-
	FirstName		First given name for an individual	60	O	-	-	-	O	-	-
	MiddleName		All additional given names for an individual excluding the family name and the first given name	30	O	-	-	-	O	-	-
	Suffix		A title of lineage for an individual	9	O	-	-	-	O	-	-

	MailAddress		Mailing address for the designated party	90	R	-	-	-	O	-	-
	City		City for the designated party	30	R	-	-	-	O	-	-
	State		2-character U.S. postal identification code or 2-character Canadian province code **Values:** See Appendix A and Appendix B	2	R0	-	-	-	RO	-	-
	PostalCode		The postal code for the party	10	O	-	-	-	O	-	-
	County		County for the designated party	2	O	-	-	-	O	-	-
	Country		3-character country code for the designated party **Values:** See Appendix C	3	O	-	-	-	O	-	-
	TaxID		Taxpayer's identification number (social security number or employer identification number) Note: This element is not required in NYS	25	-	-	-	-	-	-	-

Assignor											
	OrganizationalType		Type of organization for the organization debtor **Examples:** Corporation Foreign Association General Partnership Limited Liability Company Limited Partnership Sole Proprietorship	25	-	-	-	-	-	-	-
	OrganizationalJuris		Jurisdiction for the debtor that is an organization	40	-	-	-	-	-	-	-
	OrganizationalID		Unique identification number for the organization debtor assigned by the agency where the charter document was filed for organization debtor **Values:** SSnnnnnn where SS is the 2-character U.S. Code (see Appendix A) nnnnnn is the organizational identification number None If there is no organizational identification number	15	-	-	-	-	-	-	-

	Mark		**Note:** New York will ignore the Mark and will not image or index it.	-	-	-	-	-	-	-	-
Collateral			New York will **not** index collateral. It will instead be captured as a part of the image and will also be reflected in the XML acknowledgment file.		R	-	-	R	-	-	-
	ColText		Provide the entire collateral description for **all** collateral covered by the Financing Statement in **one** ColText data element.	32767	O	-	-	O	-	-	-
	FSAProducts		**FSAProducts applies only to county filings**		O	-	-	O	-	-	-
	NameCode				O	-	-	O	-	-	-
	Years				O	-	-	O	-	-	-
	Year	+	**Year applies only to county filings** For Food Security Act products, the year a crop is grown, the year an animal is born or acquired, or the year poultry or eggs will be sold **Format:** YYYY		O	-	-	O	-	-	-
	Counties				O	-	-	O	-	-	-
Collateral	County		**County applies only to county filings**		O	-	-	O	-	-	-

	Field		Description								
	Unit		**Unit applies only to county filings** Commonly used identifier to measure farm products. **Examples:** Bushels Head of livestock		O	-	-	O	-	-	-
	Quantity		**Quantity applies only to county filings** Quantity of the farm product listed		O	-	-	O	-	-	-
	Location		**Location applies only to county filings** Location of the Food Security Act collateral within the county.		O	-	-	O	-	-	-
	Description		**Description applies only to county filings** Textual description of the collateral covered by the Food Security Act filing **Examples:** Bees/hives Chickens Tomatoes		O	-	-	O	-	-	-
	Attachment		Not being implemented in NY		-	-	-	-	-	-	-
	Attachments	+	Not being implemented in NY	-	-	-	-	-	-	-	-
Authorizi		+			-	O	O	O	O	O	O

ngParty	**AuthSecure dParty**		OrganizationNa me **or** Individual Name is required **Note:** If OrganizationNa me is present, IndividualName must be blank, if IndividualName is present, OrganizationNa me must be blank		-	-	O	O	O	O	O
	Organization Name	|	Name of the Secured Party authorizing the amendment	200	-	-	O	O	O	O	O
	IndividualN ame	|	If IndividualName is present, LastName is required, FirstName, MiddleName, and Suffix are optional		-	-	O	O	O	O	O
	LastName		Family name or surname for an individual	85	-	-	R	R	R	R	R
	FirstName		First given name for an individual	60	-	-	O	O	O	O	O
	MiddleName		All additional given names for an individual excluding the family name and the first given name	30	-	-	O	O	O	O	O
Authorizin gParty	Suffix		A title of lineage for an individual	9	-	-	O	O	O	O	O

Category	Element		Description	Length							
AuthDebtor			OrganizationName **or** Individual Name is required **Note:** If OrganizationName is present, IndividualName must be blank, if IndividualName is present, OrganizationName must be blank		-	O	-	O	-	-	O
	Organization Name	|	Name of the Debtor authorizing the amendment	200	-	O	-	O	-	-	O
	IndividualName	|	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional		-	O	-	O	-	-	O
	LastName		Family name or surname for an individual	85	-	R	-	R	-	-	O
	FirstName		First given name for an individual	60	-	O	-	O	-	-	O
	MiddleName		All additional given names for an individual excluding the family name and the first given name	30	-	O	-	O	-	-	O
	Suffix		A title of lineage for an individual	9	-	O	-	O	-	-	O
Acknowledgment					FR	FR	FR	FR	FR	FR	FR
	FileNumber		Unique identifying number assigned by the Filing Office to an accepted UCC document		FR	FR	FR	FR	FR	FR	FR

	FileDate		File date the initial financing statement or amendment is accepted by the Filing Office **Format:** CCYYMMDD		FR	FR	FR	FR	FR	FR	FR
	FileTime		File time the document is accepted by the Filing Office **Format:** HHMM		FR	FR	FR	FR	FR	FR	FR
	FeeAmount		Fee for filing a UCC Financing Statement or UCC Financing Statement Amendment; or processing a Search Request **Format:** NNNNNNNN.NN (8.2)		FR	FR	FR	FR	FR	FR	FR
	FilingOffice		Filing office in which the document was filed **Value:** New York State		FR	FR	FR	FR	FR	FR	FR

Acknowledgment	FileStatus		Indicates whether the document was accepted or rejected.
			
			Values:
			  Accepted
			  Accepted with Errors
			  Rejected
					FR	FR	FR	FR	FR	FR	FR

	Errors				FO	FO	FO	FO	FO	FO	FO

	ErrorText	+	Indicates the reason(s) the document was not accepted by the Filing Office **Values:** See Appendix D		FO	FO	FO	FO	FO	FO	FO

XML Sample – Initial Filing

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE Document SYSTEM "https://XXXXXXXX.dos.state.ny.us/ucc/bulkfilings/xml/DTD-
File11152000.dtd">
<Document>
    <Header>
        <Filer>
            <Names>
                <OrganizationName>Lexis Document Services</OrganizationName>
                <MailAddress>801 Adlai Stevenson Drive</MailAddress>
                <City>Springfield</City>
                <State>IL</State>
                <PostalCode>62703</PostalCode>
                <County/>
                <Country>USA</Country>
                <TaxID>1234567</TaxID>
                <OrganizationalType/>
                <OrganizationalJuris/>
                <OrganizationalID/>
                <Mark/>
            </Names>
            <ClientAccountNum>03</ClientAccountNum>
            <ContactName>Tommy Filer</ContactName>
            <ContactPhone>(217)444-1234</ContactPhone>
            <ContactEmail>tfiler@yahoo.com</ContactEmail>
            <ContactFax>(217)123-5678</ContactFax>
        </Filer>
        <PacketNum>001</PacketNum>
        <Test>No</Test>
    </Header>
    <Record>
        <SeqNumber>000000001</SeqNumber>
        <TransType>Initial</TransType>
        <AmendmentType/>
        <AmendmentAction/>
        <FileNumber/>
        <FileDate/>
        <SubmitterRef>123456-098</SubmitterRef>
        <ActionCode/>
        <AltNameDesignation/>
        <AltFilingType/>
        <FileInRealEstate>
            <Designation/>
            <RealEstateDescription/>
            <Names>
                <OrganizationName/>
                <MailAddress/>
                <City/>
                <State/>
                <PostalCode/>
                <County/>
                <Country/>
                <TaxID/>
                <OrganizationalType/>
                <OrganizationalJuris/>
                <OrganizationalID/>
                <Mark/>
            </Names>
        </FileInRealEstate>
        <SearchToReflect/>
```

```xml
<MiscInfo/>
<CurrentName>
      <OrganizationName/>
</CurrentName>
<Debtors>
      <DebtorName>
            <Names>
                  <OrganizationName>Dizzy Izzys NY Bagels
Inc</OrganizationName>
                  <MailAddress>408 West 14th Street</MailAddress>
                  <City>New York</City>
                  <State>NY</State>
                  <PostalCode>10014</PostalCode>
                  <County/>
                  <Country>USA</Country>
                  <TaxID/>
            <OrganizationalType>Corporation</OrganizationalType>
                  <OrganizationalJuris>New York</OrganizationalJuris>
                  <OrganizationalID>None</OrganizationalID>
                  <Mark/>
            </Names>
            <DebtorAltCapacity/>
            <Not-Indexed-Reason/>
      </DebtorName>
</Debtors>
<Secured>
      <Names>
            <OrganizationName>Key Bank</OrganizationName>
            <MailAddress>445 Broadhollow Road</MailAddress>
            <City>Melville</City>
            <State>NY</State>
            <PostalCode>11747</PostalCode>
            <County/>
            <Country>USA</Country>
            <TaxID/>
            <OrganizationalType/>
            <OrganizationalJuris/>
            <OrganizationalID/>
            <Mark/>
      </Names>
</Secured>
<Assignor>
      <Names>
            <OrganizationName/>
            <MailAddress/>
            <City/>
            <State/>
            <PostalCode/>
            <County/>
            <Country/>
            <TaxID/>
            <OrganizationalType/>
            <OrganizationalJuris/>
            <OrganizationalID/>
            <Mark/>
      </Names>
</Assignor>
<Collateral>
      <ColText>Two dozen bagels and a pint of peanut butter schmear</ColText>
      <FSAProducts>
            <Name-Code>
```

```xml
                        <Years>
                                <Year/>
                        </Years>
                        <Counties>
                                <County/>
                        </Counties>
                        <Unit/>
                        <Quantity/>
                        <Location/>
                        <Description/>
                    </Name-Code>
            </FSAProducts>
            <Attachment>
                    <Attachments/>
            </Attachment>
        </Collateral>
        <AuthorizingParty>
                <AuthSecuredParty>
                        <OrganizationName/>
                </AuthSecuredParty>
                <AuthDebtor>
                        <OrganizationName/>
                </AuthDebtor>
        </AuthorizingParty>
        <Acknowledgement>
                <FileNumber/>
                <FileDate/>
                <FileTime/>
                <FeeAmount/>
                <FilingOffice/>
                <FileStatus/>
                <Errors>
                        <ErrorText/>
                </Errors>
        </Acknowledgement>
    </Record>
    <FileSignature/>
</Document>
```

XML Sample – Amendment Filing

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<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE Document SYSTEM "https://XXXXXXXX.dos.state.ny.us/ucc/bulkfilings/xml/DTD-
File11152000.dtd">
<Document>
    <Header>
        <Filer>
            <Names>
                <OrganizationName>Lexis Document Services</OrganizationName>
                <MailAddress>801 Adlai Stevenson Drive</MailAddress>
                <City>Springfield</City>
                <State>IL</State>
                <PostalCode>62703</PostalCode>
                <County/>
                <Country>USA</Country>
                <TaxID>1234567</TaxID>
                <OrganizationalType/>
                <OrganizationalJuris/>
                <OrganizationalID/>
                <Mark/>
            </Names>
            <ClientAccountNum>02</ClientAccountNum>
            <ContactName>Tommy Filer</ContactName>
            <ContactPhone>(217)444-1234</ContactPhone>
            <ContactEmail>tfiler@yahoo.com</ContactEmail>
            <ContactFax>(217)123-5678</ContactFax>
        </Filer>
        <PacketNum>2</PacketNum>
        <Test>Yes</Test>
    </Header>
    <Record>
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        <TransType>Amendment</TransType>
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        <AmendmentAction>SecuredPartyChange</AmendmentAction>
        <FileNumber>1</FileNumber>
        <FileDate>20010522</FileDate>
        <SubmitterRef>123456-098</SubmitterRef>
        <ActionCode/>
        <AltNameDesignation/>
        <AltFilingType/>
        <FileInRealEstate>
            <Designation/>
            <RealEstateDescription/>
            <Names>
                <OrganizationName/>
                <MailAddress/>
                <City/>
                <State/>
                <PostalCode/>
                <County/>
                <Country/>
                <TaxID/>
                <OrganizationalType/>
                <OrganizationalJuris/>
                <OrganizationalID/>
                <Mark/>
            </Names>
        </FileInRealEstate>
        <SearchToReflect/>
```

```xml
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        <OrganizationName>Key Bank</OrganizationName>
</CurrentName>
<Debtors>
        <DebtorName>
                <Names>
                        <OrganizationName/>
                        <MailAddress/>
                        <City/>
                        <State/>
                        <PostalCode/>
                        <County/>
                        <Country/>
                        <TaxID/>
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                <OrganizationalJuris/>
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                        <Mark/>
                </Names>
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                <Not-Indexed-Reason/>
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</Debtors>
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        <Names>
                <OrganizationName>Key3 Bank</OrganizationName>
                <MailAddress>445 Broadhollow Road</MailAddress>
                <City>Melville</City>
                <State>NY</State>
                <PostalCode>11747</PostalCode>
                <County/>
                <Country>USA</Country>
                <TaxID/>
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                <OrganizationalJuris/>
                <OrganizationalID/>
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</Secured>
<Assignor>
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                <MailAddress/>
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                <OrganizationalID/>
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```

```xml
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                        <Quantity/>
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                </Name-Code>
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        </AuthSecuredParty>
        <AuthDebtor>
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        </AuthDebtor>
</AuthorizingParty>
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                        <State/>
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                        <County/>
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                        <TaxID/>
                        <OrganizationalType/>
                        <OrganizationalJuris/>
                        <OrganizationalID/>
```

```xml
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    </FileInRealEstate>
    <SearchToReflect/>
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                    <LastName>Rogers</LastName>
                    <FirstName>Norville</FirstName>
                    <MiddleName/>
                    <Suffix/>
            </IndividualName>
    </CurrentName>
    <Debtors>
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                    <Names>
                            <OrganizationName/>
<MailAddress/>
<City/>
                            <State/>
                            <PostalCode/>
                            <County/>
                            <Country/>
                            <TaxID/>
                    <OrganizationalType/>
                    <OrganizationalJuris/>
                            <OrganizationalID/>
                            <Mark/>
                    </Names>
                    <DebtorAltCapacity/>
                    <Not-Indexed-Reason/>
            </DebtorName>
    </Debtors>
    <Secured>
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                    <MailAddress/>
                    <City/>
                    <State/>
                    <PostalCode/>
                    <County/>
                    <Country/>
                    <TaxID/>
                    <OrganizationalType/>
                    <OrganizationalJuris/>
                    <OrganizationalID/>
                    <Mark/>
            </Names>
    </Secured>
    <Assignor>
            <Names>
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                    <MailAddress/>
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                    <State/>
                    <PostalCode/>
                    <County/>
                    <Country/>
                    <TaxID/>
                    <OrganizationalType/>
                    <OrganizationalJuris/>
```

```xml
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                <Mark/>
            </Names>
        </Assignor>
        <Collateral>
            <ColText/>
            <FSAProducts>
                <Name-Code>
                    <Years>
                        <Year/>
                    </Years>
                    <Counties>
                        <County/>
                    </Counties>
                    <Unit/>
                    <Quantity/>
                    <Location/>
                    <Description/>
                </Name-Code>
            </FSAProducts>
            <Attachment>
                <Attachments/>
            </Attachment>
        </Collateral>
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            <AuthSecuredParty>
                <OrganizationName>Key Bank</OrganizationName>
            </AuthSecuredParty>
            <AuthDebtor>
                <OrganizationName/>
            </AuthDebtor>
        </AuthorizingParty>
        <Acknowledgement>
            <FileNumber/>
            <FileDate/>
            <FileTime/>
            <FeeAmount/>
            <FilingOffice/>
            <FileStatus/>
            <Errors>
                <ErrorText/>
            </Errors>
        </Acknowledgement>
    </Record>
    <FileSignature/>
</Document>
```

APPENDIX A

US State Codes

(See Country Code Table -Appendix C - for Extra Territorial Jurisdictions)

State Name	Code
Alaska	AK
Alabama	AL
Arkansas	AR
Arizona	AZ
California	CA
Colorado	CO
Connecticut	CT
District of Columbia	DC
Delaware	DE
Florida	FL
Georgia	GA
Hawaii	HI
Iowa	IA
Idaho	ID
Illinois	IL
Indiana	IN
Kansas	KS
Kentucky	KY
Louisiana	LA
Massachusetts	MA
Maryland	MD
Maine	ME
Michigan	MI
Minnesota	MN
Missouri	MO
Mississippi	MS
Montana	MT
Nebraska	NE
North Carolina	NC
North Dakota	ND
New Hampshire	NH
New Jersey	NJ
New Mexico	NM
Nevada	NV
New York	NY
Ohio	OH
Oklahoma	OK
Oregon	OR
Pennsylvania	PA
Rhode Island	RI
South Carolina	SC
South Dakota	SD
Tennessee	TN
Texas	TX
Utah	UT
Virginia	VA
Vermont	VT
Washington	WA
Wisconsin	WI
West Virginia	WV
Wyoming	WY

APPENDIX B

Canadian Provinces

Province	Code
Alberta	AB
British Columbia	BC
Manitoba	MB
New Brunswick	NB
Newfoundland	NF
Northwest Territories	NT
Nova Scotia	NS
Nunavut	NU
Ontario	ON
Prince Edward Island	PE
Quebec	QC
Saskatchewan	SK
Yukon Territory	YT

Additional Codes

Name	Code
Armed Services	AE

APPENDIX C

Country Codes from ISO 3166

Updated by the RIPE Network Coordination Centre.
Source: ISO 3166 Maintenance Agency
Latest change: Thu Aug 7 17:59:51 MET DST 1997

__Country__	__A3__
AFGHANISTAN	AFG
ALBANIA	ALB
ALGERIA	DZA
AMERICAN SAMOA	ASM
ANDORRA	AND
ANGOLA	AGO
ANGUILLA	AIA
ANTARCTICA	ATA
ANTIGUA AND BARBUDA	ATG
ARGENTINA	ARG
ARMENIA	ARM
ARUBA	ABW
AUSTRALIA	AUS
AUSTRIA	AUT
AZERBAIJAN	AZE
BAHAMAS	BHS
BAHRAIN	BHR
BANGLADESH	BGD
BARBADOS	BRB
BELARUS	BLR
BELGIUM	BEL
BELIZE	BLZ
BENIN	BEN
BERMUDA	BMU
BHUTAN	BTN
BOLIVIA	BOL
BOSNIA AND HERZEGOWINA	BIH
BOTSWANA	BWA
BOUVET ISLAND	BVT
BRAZIL	BRA
BRITISH INDIAN OCEAN TERRITORY	IOT
BRUNEI DARUSSALAM	BRN
BULGARIA	BGR
BURKINA FASO	BFA
BURUNDI	BDI
CAMBODIA	KHM
CAMEROON	CMR
CANADA	CAN
CAPE VERDE	CPV
CAYMAN ISLANDS	CYM
CENTRAL AFRICAN REPUBLIC	CAF
CHAD	TCD
CHILE	CHL

Country	A3
COCOS (KEELING) ISLANDS	CCK
COLOMBIA	COL
COMOROS	COM
CONGO	COG
CONGO, THE DEMOCRATIC REPUBLIC OF THE	COD
COOK ISLANDS	COK
COSTA RICA	CRI
COTE D'IVOIRE	CIV
CROATIA (local name: Hrvatska)	HRV
CUBA	CUB
CYPRUS	CYP
CZECH REPUBLIC	CZE
DENMARK	DNK
DJIBOUTI	DJI
DOMINICA	DMA
DOMINICAN REPUBLIC	DOM
EAST TIMOR	TMP
ECUADOR	ECU
EGYPT	EGY
EL SALVADOR	SLV
EQUATORIAL GUINEA	GNQ
ERITREA	ERI
ESTONIA	EST
ETHIOPIA	ETH
FALKLAND ISLANDS (MALVINAS	FLK
FAROE ISLANDS	FRO
FIJI	FJI
FINLAND	FIN
FRANCE	FRA
FRANCE, METROPOLITAN	FXX
FRENCH GUIANA	GUF
FRENCH POLYNESIA	PYF
FRENCH SOUTHERN TERRITORIES	ATF
GABON	GAB
GAMBIA	GMB
GEORGIA	GEO
GERMANY	DEU
GHANA	GHA
GIBRALTAR	GIB
GREECE	GRC
GREENLAND	GRL
GRENADA	GRD
GUADELOUPE	GLP
GUAM	GUM
GUATEMALA	GTM
GUINEA	GIN
GUINEA-BISSAU	GNB
GUYANA	GUY
HAITI	HTI
HEARD AND MC DONALD ISLANDS	HMD
HOLY SEE (VATICAN CITY STATE	VAT
HONDURAS	HND

Country	A3
HONG KONG	HKG
HUNGARY	HUN
ICELAND	ISL
INDIA	IND
INDONESIA	IDN
IRAN (ISLAMIC REPUBLIC OF	IRN
IRAQ	IRQ
IRELAND	IRL
ISRAEL	ISR
ITALY	ITA
JAMAICA	JAM
JAPAN	JPN
JORDAN	JOR
KAZAKHSTAN	KAZ
KENYA	KEN
KIRIBATI	KIR
KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF	PRK
KOREA, REPUBLIC OF	KOR
KUWAIT	KWT
KYRGYZSTAN	KGZ
LAO PEOPLE'S DEMOCRATIC REPUBLIC	LAO
LATVIA	LVA
LEBANON	LBN
LESOTHO	LSO
LIBERIA	LBR
LIBYAN ARAB JAMAHIRIYA	LBY
LIECHTENSTEIN	LIE
LITHUANIA	LTU
LUXEMBOURG	LUX
MACAU	MAC
MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF	MKD
MADAGASCAR	MDG
MALAWI	MWI
MALAYSIA	MYS
MALDIVES	MDV
MALI	MLI
MALTA	MLT
MARSHALL ISLANDS	MHL
MARTINIQUE	MTQ
MAURITANIA	MRT
MAURITIUS	MUS
MAYOTTE	MYT
MEXICO	MEX
MICRONESIA, FEDERATED STATES OF	FSM
MOLDOVA, REPUBLIC OF	MDA
MONACO	MCO
MONGOLIA	MNG
MONTSERRAT	MSR
MOROCCO	MAR
MOZAMBIQUE	MOZ
MYANMAR	MMR

Country	A3
NAMIBIA	NAM
NAURU	NRU
NEPAL	NPL
NETHERLANDS	NLD
NETHERLANDS ANTILLES	ANT
NEW CALEDONIA	NCL
NEW ZEALAND	NZL
NICARAGUA	NIC
NIGER	NER
NIGERIA	NGA
NIUE	NIU
NORFOLK ISLAND	NFK
NORTHERN MARIANA ISLANDS	MNP
NORWAY	NOR
OMAN	OMN
PAKISTAN	PAK
PALAU	PLW
PANAMA	PAN
PAPUA NEW GUINEA	PNG
PARAGUAY	PRY
PERU	PER
PHILIPPINES	PHL
PITCAIRN	PCN
POLAND	.POL
PORTUGAL	PRT
PUERTO RICO	PRI
QATAR	QAT
REUNION	REU
ROMANIA	ROM
RUSSIAN FEDERATION	RUS
RWANDA	RWA
SAINT KITTS AND NEVIS	KNA
SAINT LUCIA	LCA
SAINT VINCENT AND THE GRENADINES	VCT
SAMOA	WSM
SAN MARINO	SMR
SAO TOME AND PRINCIPE	STP
SAUDI ARABIA	SAU
SENEGAL	SEN
SEYCHELLES	SYC
SIERRA LEONE	SLE
SINGAPORE	SGP
SLOVAKIA (Slovak Republic)	SVK
SLOVENIA	SVN
SOLOMON ISLANDS	SLB
SOMALIA	SOM
SOUTH AFRICA	ZAF
SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS	SGS
SPAIN	ESP
SRI LANKA	LKA
ST. HELENA	SHN
ST. PIERRE AND MIQUELON	SPM

Country	A3
SUDAN	SDN
SURINAME	SUR
SVALBARD AND JAN MAYEN ISLANDS	SJM
SWAZILAND	SWZ
SWEDEN	SWE
SWITZERLAND	SHE
SYRIAN ARAB REPUBLIC	SYR
TAIWAN, PROVINCE OF CHINA	TWN
TAJIKISTAN	TJK
TANZANIA, UNITED REPUBLIC OF	TZA
THAILAND	THA
TOGO	TGO
TOKELAU	TKL
TONGA	TON
TRINIDAD AND TOBAGO	TTO
TUNISIA	TUN
TURKEY	TUR
TURKMENISTAN	TKM
TURKS AND CAICOS ISLANDS	TCA
TUVALU	TUV
UGANDA	UGA
UKRAINE	UKR
UNITED ARAB EMIRATES	ARE
UNITED KINGDOM	GBR
UNITED STATES	USA
UNITED STATES MINOR OUTLYING ISLANDS	UMI
URUGUAY	URY
UZBEKISTAN	UZB
VANUATU	VUT
VENEZUELA	VEN
VIET NAM	VNM
VIRGIN ISLANDS (BRITISH)	VGB
VIRGIN ISLANDS (U.S)	VIR
WALLIS AND FUTUNA ISLANDS	WLF
WESTERN SAHARA	ESH
YEMEN	YEM
YUGOSLAVIA	YUG
ZAMBIA	ZMB
ZIMBABWE	ZWE

APPENDIX D

Error or Rejection Codes

Code	Text
GF01	The record has not been communicated by a method or medium authorized by this filing office.
GF02	Failure to provide sufficient filing fees.
GF03	Failure to provide name of Debtor.
GF04	Failure to indicate whether the Debtor is an individual or an organization.
GF05	Failure to provide last name of Debtor, if identified as in individual.
GF06	Failure to provide organizational information for Debtor, if identified as an organization. - A type of organization for the Debtor, - A jurisdiction of organization for the Debtor, or - Organization identification number for the Debtor or an indication that the Debtor has none.
GF07	Failure to provide a mailing address for the Debtor.
GF08	Failure to provide a name for the Secured Party.
GF09	Failure to provide a mailing address for the Secured Party.
GA01	Failure to identify a file number of an initial financing statement to which it relates.
GA02	Failure to provide an active file number to which it relates.
AC01	Failure to file within the prior to lapse six-month window.
AA01	Failure to provide a name for the Assignee.
AA02	Failure to provide a mailing address for the Assignee.
GF10[1]	Other
	AMENDMENT INFORMATION WAS RECEIVED WITH AN INITIAL FINANCING STATEMENT
	FAILURE TO PROVIDE VALID ALTERNATE FILING TYPE.
	FAILURE TO PROVIDE VALID ALTERNATE NAME DESIGNATION FOR DEBTOR/SECURED PARTY.
	FAILURE TO PROVIDE A VALID ALTERNATIVE DEBTOR CAPACITY.
	FAILURE TO PROVIDE A VALID TYPE OF REAL ESTATE COVERED BY THE FINANCING STATEMENT.
	MULTIPLE AUTHORIZING PARTIES WERE RECEIVED WITH FILING.

Code	Text
	DEBTOR INFORMATION WAS RECEIVED WITH AN AMENDMENT (COLLATERAL).
	SECURED PARTY INFORMATION WAS RECEIVED WITH AN AMENDMENT (COLLATERAL).
	DEBTOR INFORMATION WAS RECEIVED WITH AN AMENDMENT (CONTINUATION).
	FAILURE TO PROVIDE A VALID AMENDMENT ACTION.
Code	**Text**
GF10[1]	FAILURE TO PROVIDE A VALID AMENDMENT TYPE.
	SECURED PARTY INFORMATION WAS RECEIVED WITH AN AMENDMENT (CONTINUATION).
	FAILURE TO PROVIDE CURRENT NAME FOR AMENDMENT (DEBTOR CHANGE OR DELETE).
	CURRENT NAME INFORMATION WAS RECEIVED WITH AN AMENDMENT (DEBTOR ADD).
	MULTIPLE CURRENT NAMES WERE RECEIVED WITH AN AMENDMENT ALTERING ONE DEBTOR NAME.
	SECURED PARTY INFORMATION WAS RECEIVED WITH AN AMENDMENT ALTERING DEBTOR INFORMATION.
	MULTIPLE SECURED PARTY NAMES WERE RECEIVED FOR AN AMENDMENT (SECURED PARTY CHANGE OR DELETE).
	FAILURE TO PROVIDE CURRENT NAME FOR AMENDMENT (SECURED PARTY CHANGE OR DELETE).
	CURRENT NAME INFORMATION WAS RECEIVED WITH AN AMENDMENT (SECURED PARTY ADD).
	MULTIPLE CURRENT NAMES WERE RECEIVED WITH AN AMENDMENT ALTERING ONE SECURED PARTY NAME.
	DEBTOR INFORMATION WAS RECEIVED WITH AN AMENDMENT ALTERING SECURED PARTY INFORMATION.
	MULTIPLE DEBTOR NAMES WERE RECEIVED FOR AN AMENDMENT (DEBTOR PARTY CHANGE OR DELETE).
	MORE THAN ONE CONTINUATION EXIST FOR THE SAME OBLIGATION IN THIS BATCH
	FAILURE TO PROVIDE A VALID AMENDMENT ACTION
	FAILURE TO PROVIDE VALID NUMBER OF SECURED PARTIES AND/OR ASSIGNORS FOR ASSIGNMENT
	CONTACT CUSTOMER SERVICE, MOVE TO PERM FAILED

[1]Code GF10 (Other) has been expanded by the State of New York and will include the textual description of the reason for rejection.