



*Secretary of State*  
*Elaine F. Marshall*

North Carolina Secretary of State

IT

Uniform Commercial Code

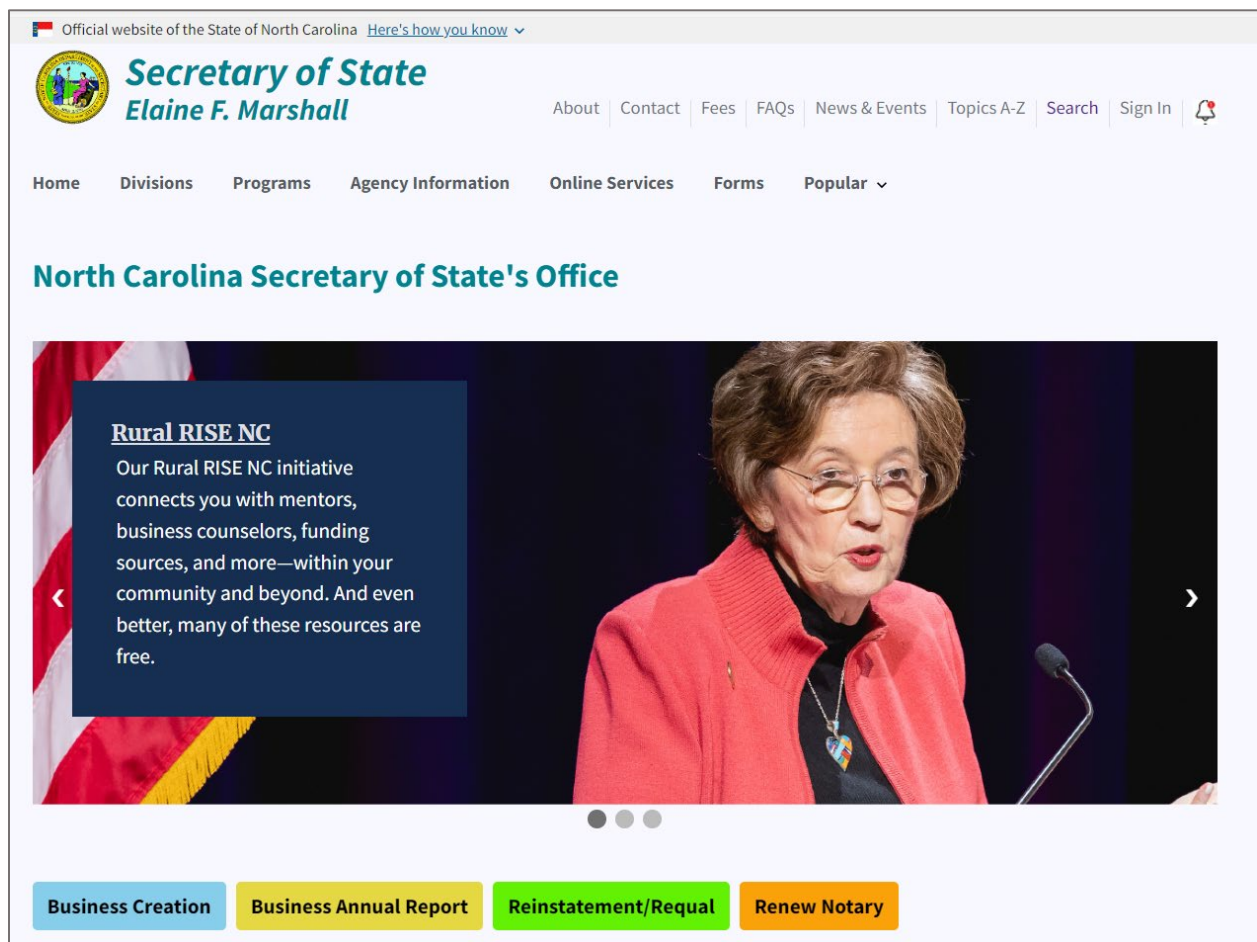
KB Website Manual

February 13, 2024


Version 1.0


## About the Uniform Commercial Code (UCC) Manual

This manual gives an overview of the pages and features of the **Uniform Commercial Code** pages of the NC Secretary of State's new KB website. The Uniform Commercial Code Section operates under Chapter 25, Article 9 of the North Carolina General Statutes to provide a method of giving notice of a security interest in personal property to interested third parties. The method adopted is a "notice" filing system.



Official website of the State of North Carolina [Here's how you know](#) ▾

 **Secretary of State**  
*Elaine F. Marshall*

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### North Carolina Secretary of State's Office

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Our Rural RISE NC initiative connects you with mentors, business counselors, funding sources, and more—within your community and beyond. And even better, many of these resources are free.

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# Uniform Commercial Code

## Overview

Uniform Commercial Code (UCC) is a set of laws that govern commercial transactions in the United States.

The Uniform Commercial Code Section operates under [Chapter 25, Article 9](#) of the North Carolina General Statutes to provide a method of giving notice of a security interest in personal property to interested third parties. The method adopted is a "notice" filing system. Recorded information in the UCC Section is open to the public, and can be searched for free over the Internet.

A security interest is a legal right that a creditor has over a debtor's property, usually to secure a loan. It means that if the debtor fails to pay or perform the obligation, the creditor can take the property and sell it to recover the debt. A security interest can be created by a contract, such as a mortgage or a pledge, or by law, such as a lien or a garnishment. A security interest can be attached to different types of property, such as real estate, vehicles, equipment, inventory, accounts receivable, etc.

Source: What Is Security Interest? Definition and Legal Requirements - Investopedia.

<https://www.investopedia.com/terms/s/security-interest.asp>.

## Uniform Commercial Code

Go to the NC Secretary of State's home page at <https://sosnc.gov/>.

Select **Programs**.

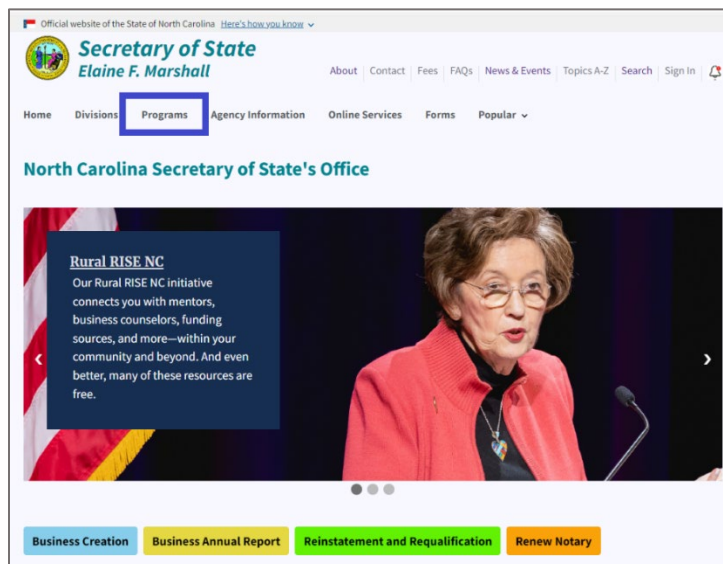


Figure 1. Select Divisions

On the **Divisions** page, there are twelve box links to the twelve divisions under the North Carolina Secretary of State's Office.

Select **Uniform Commercial Code**.

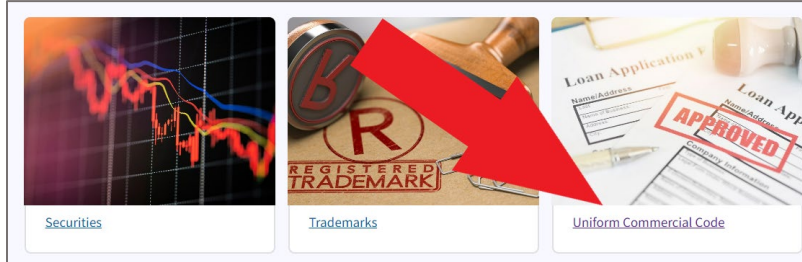


Figure 2. Select Uniform Commercial Code

This link takes you to the **Uniform Commercial Code** page.

### Uniform Commercial Code Division

Select **Divisions > Uniform Commercial Code**

This link takes you to the main page for the Uniform Commercial Code Division.

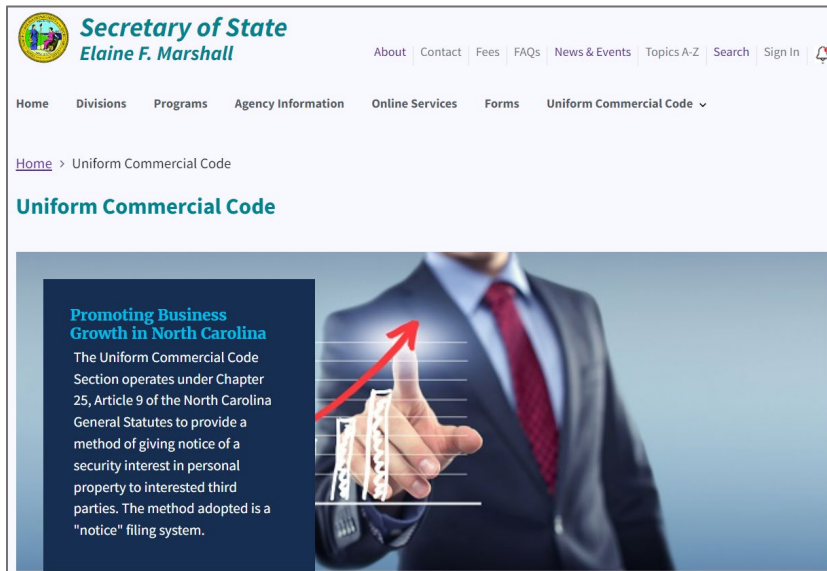


Figure 3. Uniform Commercial Code page

Scroll down below the large image to the Search tool.

Search type

Standard Article 9 Search

Entity type

Organization

Organizational name:

Printable view(PDF)

**Search**

- Search Results Include Filings Through 04/18/2023

Figure 4. UCC Search Tool

### Browse Uniform Commercial Code

The **Browse Uniform Commercial Code** section has nine box image links.

- [File UCC](#)
- [Frequently Asked Questions](#)
- [Download Forms](#)
- [Federal Tax Liens](#)
- [Administrative Code PDF](#)
- [Statutes PDF](#)
- [Data Subscriptions](#)
- [Fees](#)
- [Search](#)

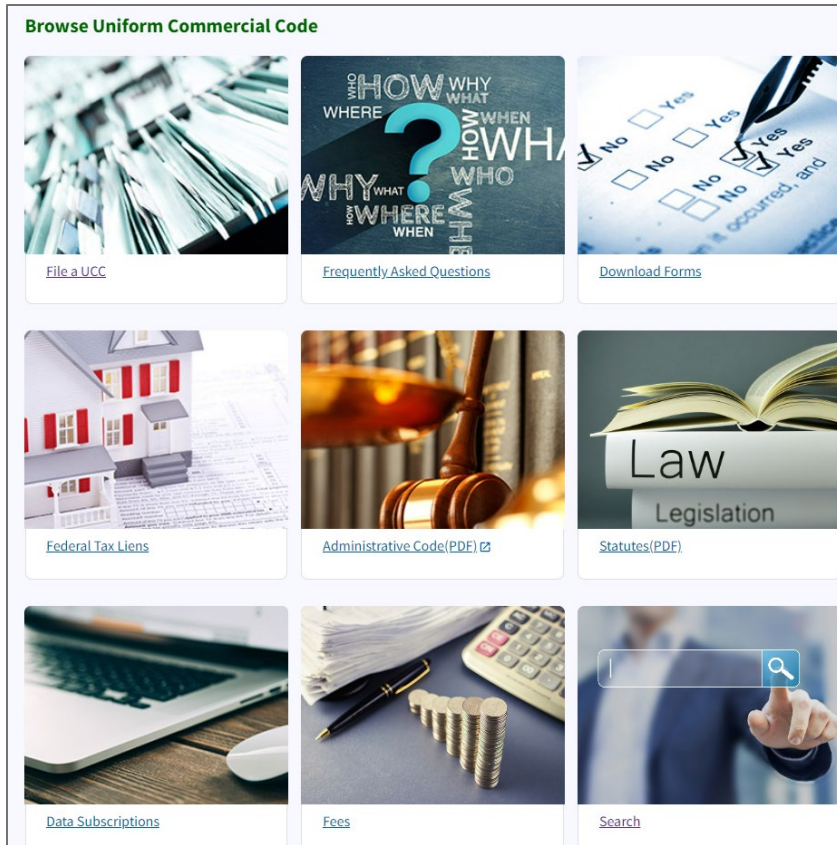


Figure 5. Browse UCC

## File a UCC

The **File UCC** link takes you to the NC SOS website **Log In** page.

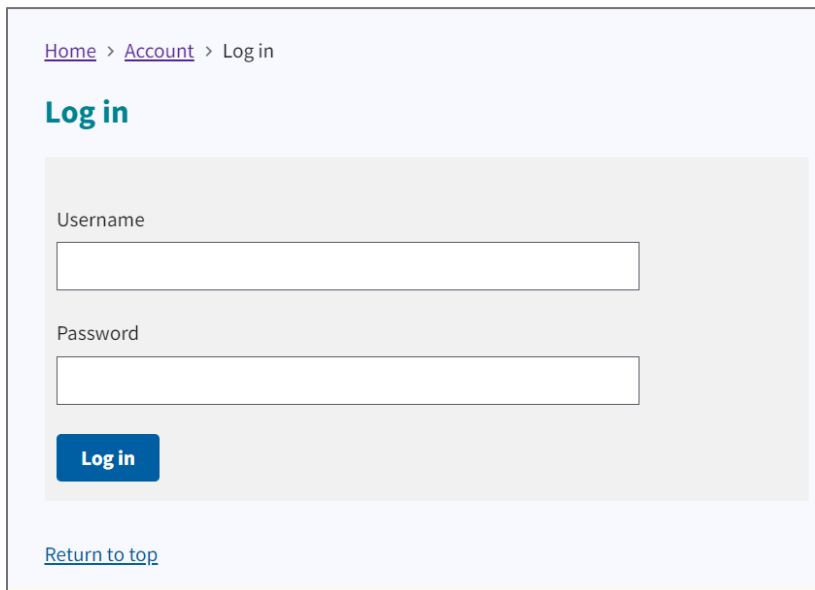


Figure 6. NC SOS website Log In page

After logging in, you find the **Filings in Progress** page which lists all the current filings in the queue waiting to be processed.

Home > Uniform Commercial Code > Filings In Progress

### Filings In Progress

**Uniform Commercial Code**

- [My Cart \(\\$240.00\)](#)
- [Start a New Filing](#)
- [Amend a Filing](#)
- [Manage Filings in Progress](#)
- [Manage My Templates](#)
- [Manage My Collateral Templates](#)
- [View My Acknowledgements](#)
- [Manage Account](#)

Packet Number	In Cart	Filing Type	Filer	Contact	
12341231231	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>
44444	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>
9i998	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>
abc	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>

Figure 7. Filings in Progress

You can preview a recent UCC filing, by selecting the **Preview** link beside the filing row.

Home > Uniform Commercial Code > Filings In Progress

### Filings In Progress

**Uniform Commercial Code**

- [My Cart \(\\$240.00\)](#)
- [Start a New Filing](#)
- [Amend a Filing](#)
- [Manage Filings in Progress](#)
- [Manage My Templates](#)
- [Manage My Collateral Templates](#)
- [View My Acknowledgements](#)
- [Manage Account](#)

Packet Number	In Cart	Filing Type	Filer	Contact	
12341231231	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>
44444	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>
9i998	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>
abc	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>

Figure 8. Select Preview link



This link takes you to the UCC Filing in PDF format.

**UCC FINANCING STATEMENT**  
FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT FILER (optional)  
sample order 19

B. E-MAIL CONTACT AT FILER (optional)  
kearley@sosnc.gov

C. SEND ACKNOWLEDGMENT TO: (Name and Address)

sample order 19  
232 S Salisbury stpo box 12  
raleigh, NC 27601-2903

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR'S NAME: Provide only one Debtor name (1a or 1b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 1b, leave all of item 1 blank, check here  and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

1a. ORGANIZATION'S NAME  
das

OR

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

1c. MAILING ADDRESS CITY STATE POSTAL CODE COUNTRY  
140 Depot Ridge Rd Raleigh NC 22222 USA

2. DEBTOR'S NAME: Provide only one Debtor name (2a or 2b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 2b, leave all of item 2 blank, check here  and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

2a. ORGANIZATION'S NAME

OR

2b. INDIVIDUAL'S SURNAME FIRST PERSONAL NAME ADDITIONAL NAME(S)/INITIAL(S) SUFFIX

2c. MAILING ADDRESS CITY STATE POSTAL CODE COUNTRY

3. SECURED PARTY'S NAME (or NAME OF ASSIGNEE OF ASSIGNOR SECURED PARTY): Provide only one Secured Party name (3a or 3b)

3a. ORGANIZATION'S NAME  
qwe

OR

3b. INDIVIDUAL'S SURNAME FIRST PERSONAL NAME ADDITIONAL NAME(S)/INITIAL(S) SUFFIX

3c. MAILING ADDRESS CITY STATE POSTAL CODE COUNTRY  
jkljlk jkljlkjkl NC 22222 USA

Figure 9. UCC Filing as PDF

## Start a New Filing

To start a new filing, select the **Start a New Filing** link.

[Home](#) > [Uniform Commercial Code](#) > Filings In Progress

### Filings In Progress

**Uniform Commercial Code**

- [My Cart \(\\$240.00\)](#)
- [Manage My Templates](#)
- [Start a New Filing](#)
- [Manage My Collateral Templates](#)
- [Amend a Filing](#)
- [View My Acknowledgements](#)
- [Manage Filings in Progress](#)
- [Manage Account](#)

Packet Number	In Cart	Filing Type	Filer	Contact	
12341231231	YES	Initial	sample order 19	sample order 19	<a href="#">Preview</a> • <a href="#">Copy Template</a>

Figure 10. Select the "Start a New Filing" link

This link takes you to the “Enter Filer and Contact Information” step.

The screenshot shows a web form titled "UCC Filing" with a sub-header "Enter filer & contact information". The form contains four input fields: "Packet number \*", "Contact at filer" (with the value "sample order 19"), "Contact phone" (with the value "(919) 814-5454 x33333"), and "Contact email" (with the value "kearley@sosnc.go"). A blue "Next" button is located at the bottom left of the form area.

Figure 11. Enter Filer and Contact Information step

Enter your **Packet Number**.

Enter the filer’s contact **name, phone, and email**.

Click **Next**.

The next page asks for more of the filer’s contact information.

Enter the **filer’s name, email, and address**.

The screenshot shows a web form titled "UCC Filing" with a sub-header "Enter filer & contact information". The form contains several input fields: "Filer \*" (a dropdown menu with "sample order 19 (Corporate Account)" selected), "Filer email", "Address", "City", "State" (a dropdown menu with "NC - North Carolina" selected), "Zip code", and "Country" (a dropdown menu with "United States" selected). At the bottom, there are two blue buttons: "Back" and "Next".

Figure 12. Enter filer’s email and address

Enter the **filer's filing type**, **reference number**, **alternate filing type**, and **alternate name designation**.

The screenshot shows a web form titled "UCC Filing" with a breadcrumb trail: Home > Uniform Commercial Code > Filings In Progress > UCC Filing. The main heading is "UCC Filing" in blue. Below it is a sub-heading "Enter filing type information" in green. The form contains five input fields: "Filing type" (a dropdown menu with "UCC 1 Financing Statement" selected), "Filer's reference number" (a text input field with a circled question mark icon), "Additional information" (a text input field), "Alternate filing type" (a dropdown menu with "UCC" selected), and "Alternate name designation" (a dropdown menu with "Debtor/Secured Party" selected). At the bottom of the form are two blue buttons: "Back" and "Next".

Figure 13. Enter filing type and the filer's reference number

Click **Next**.

The next step is adding a debtor. Click **Add Debtor**.

The screenshot shows a web form titled "UCC Filing" with a breadcrumb trail: Home > Uniform Commercial Code > Filings In Progress > UCC Filing. The main heading is "UCC Filing" in blue. Below it is a sub-heading "Enter debtor information" in green. The form contains a large, empty rectangular area with a light gray background and a vertical scrollbar on the right side. Above this area is the text "No Debtors Listed (At Least One Required)". Below the area are three blue buttons: "Add Debtor", "Edit Debtor", and "Delete Debtor". At the bottom of the form are two blue buttons: "Back" and "Next".

Figure 14. Enter debtor's information

Enter the **debtor's entity type, organization name, and address.**

The screenshot shows a web form titled "UCC Filing" with a sub-section "Enter debtor information". The form contains several input fields: "Entity Type" (a dropdown menu with "Organization" selected), "Organization's name" (a text input field), "Address" (a larger text input field), "City" (a text input field), "State" (a dropdown menu with "NC - North Carolina" selected), "Zip code" (a text input field), and "Country" (a dropdown menu with "United States" selected). At the bottom of the form are three buttons: "Cancel", "Back", and "Next".

Figure 15. Enter the debtor's entity type and address

Click **Next**.

On the next page, you will see the debtor's name and address listed in the **Debtors** window. See **Figure 16**.

**UCC Filing**

**Enter debtor information**

**Debtors**

Jane Doe • 2 S. Salisbury Street • Raleigh, NC 27601;

**Add Debtor** **Edit Debtor** **Delete Debtor**

**Back** **Next**

Figure 16. Add Debtor

If you want to edit the debtor entry, select the radio button beside the debtor's name and click **Edit Debtor**.

If you want to delete the debtor, select the radio button beside the debtor's name and click **Delete Debtor**.

If you're satisfied with the debtor you added, click **Next**.

The next page is where you will add a secured party.

Click **Add a Secured Party**.

**UCC Filing**

**Enter secured party information**

No Secured Parties Listed (At Least One Required)

**Add Secured Party** **Edit Secured Party** **Delete Secured Party**

**Back** **Next**

Figure 17. Add a secured party

Enter the secured party's **entity type, organization name, and address**.

**UCC Filing**

**Enter secured party information**

Entity Type  
Organization

Organization's name

Address

City

State  
NC - North Carolina

Zip code

Country  
United States

**Cancel** **Back** **Next**

Figure 18. Add the secured party's entity type and address

Click **Next**.

The secured party displays in a **Secured Parties** window.

The screenshot shows a web interface for UCC Filing. The main heading is "UCC Filing" in blue. Below it is a sub-heading "Enter secured party information" in green. A light gray box titled "Secured Parties" contains a list with one item: "Johnny Doe • 2 S. Salisbury Street • Raleigh, NC 27601;". To the left of this text is an unselected radio button. Below the list box are three blue buttons: "Add Secured Party", "Edit Secured Party", and "Delete Secured Party". At the bottom of the interface are two more blue buttons: "Back" and "Next".

Figure 19. Click Next

To edit the secured party, select the radio button beside their name.

Click **Edit Secured Party**.

To delete the secured party, select the radio button beside their name.

Click **Edit Secured Party**.

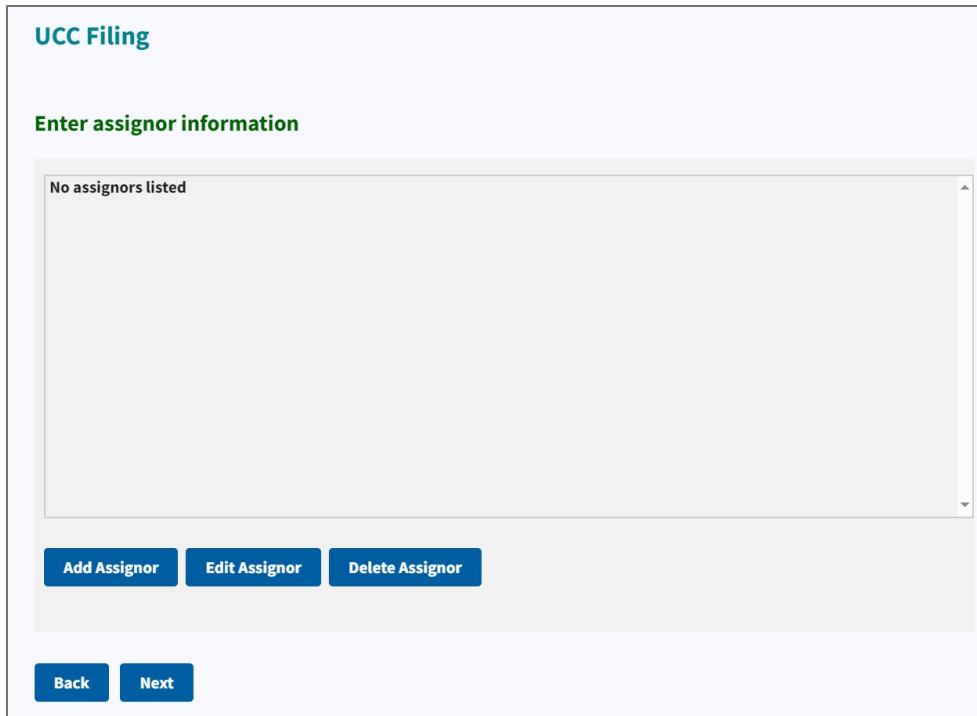
If you are satisfied with the secured party you entered, click **Next**.

This screenshot is identical to Figure 19, but the radio button next to the entry "Johnny Doe • 2 S. Salisbury Street • Raleigh, NC 27601;" is now selected, indicated by a blue circle around the radio button.

Figure 20. Select the name and click Next

The next page allows you to add an assignor.

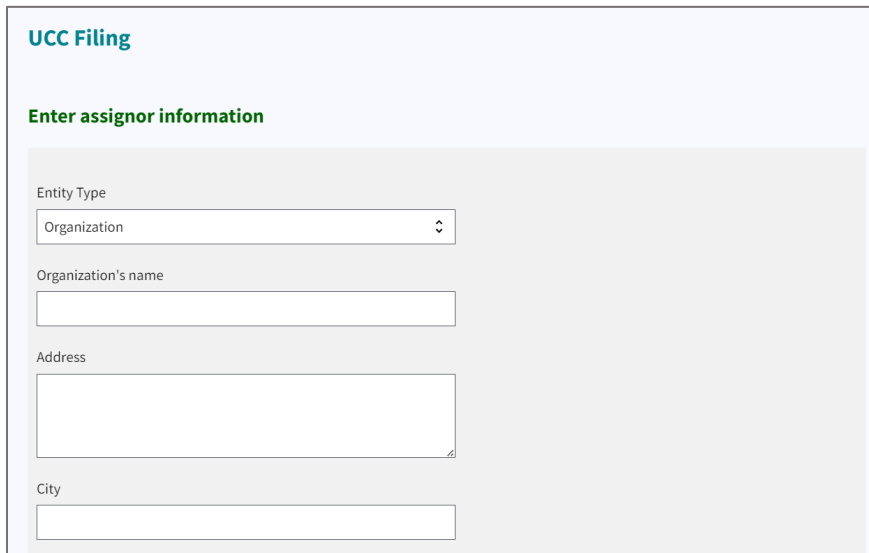
Click **Add Assignor**.



The screenshot shows a web interface titled "UCC Filing" with a sub-section "Enter assignor information". A large rectangular area contains the text "No assignors listed". Below this area are three blue buttons: "Add Assignor", "Edit Assignor", and "Delete Assignor". At the bottom of the interface are two more blue buttons: "Back" and "Next".

Figure 21. Click Add Assignor

Enter the **assignor's entity type, organization name, and address.**



The screenshot shows the same "UCC Filing" interface, but now with input fields. The "Entity Type" field is a dropdown menu with "Organization" selected. Below it are text input fields for "Organization's name", "Address", and "City".

Figure 22. Enter assignor's entity type, organization, and address

Click **Next**.



The assignor you just added is listed in the **Assignors** window.

The screenshot shows a web interface for UCC Filing. The main heading is "UCC Filing" in blue. Below it is a sub-heading "Enter assignor information" in green. A light gray box titled "Assignors" contains a list with one item: "Jill Doe • 2 S. Salisbury Street • Raleigh, NC 27601;". To the left of this item is a radio button. Below the list are three blue buttons: "Add Assignor", "Edit Assignor", and "Delete Assignor". At the bottom of the interface are two blue buttons: "Back" and "Next".

Figure 23. Assignors window

To edit the assignor, select the radio button beside the assignor's name.

Click **Edit Assignor**.

To delete the assignor, select the radio button beside the assignor's name.

Click **Delete Assignor**.

If you're satisfied with the assignor, click **Next**.

This screenshot is identical to Figure 23, but the radio button next to the assignor name "Jill Doe • 2 S. Salisbury Street • Raleigh, NC 27601;" is now selected, indicated by a blue dot in the center of the radio button.

Figure 24. Select assignor and click Next

In the text box, enter the **collateral covered by the finance statement**.

**UCC Filing**

**Enter collateral information**

Collateral covered by finance statement

Collateral is:

Held in Trust

Being administered by a Decedent's Personal Representative

**Clear Collateral** **Manage Collateral**

**Back** **Next**

Figure 25. Enter collateral

Select the appropriate checkbox to specify if the collateral is **Held in Trust** or **Being administered by a Decedent's Personal Representative**.

[Home](#) > [Uniform Commercial Code](#) > [Filings In Progress](#) > UCC Filing

**UCC Filing**

**Enter collateral information**

Collateral covered by finance statement

Truck

Collateral is:

Held in Trust

Being administered by a Decedent's Personal Representative

**Clear Collateral** **Manage Collateral**

**Back** **Next**

Figure 26. Click Next

Click **Next**.

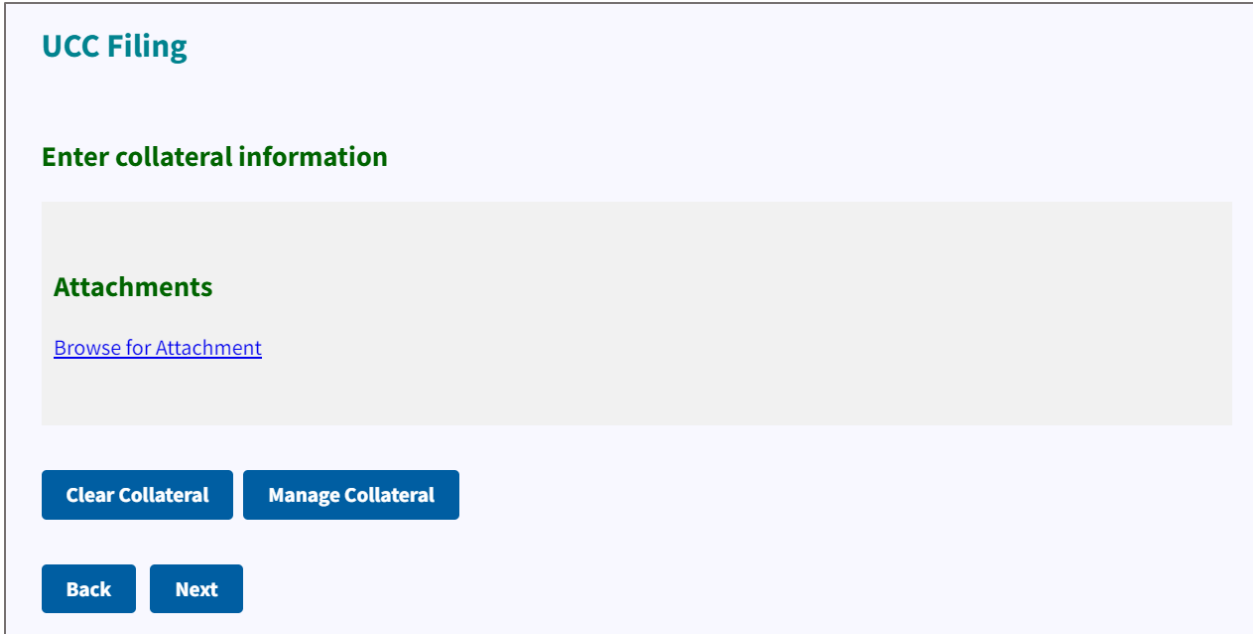


Figure 27. Browse for Attachment link

To upload an attachment, select the **Browse for Attachment** link.

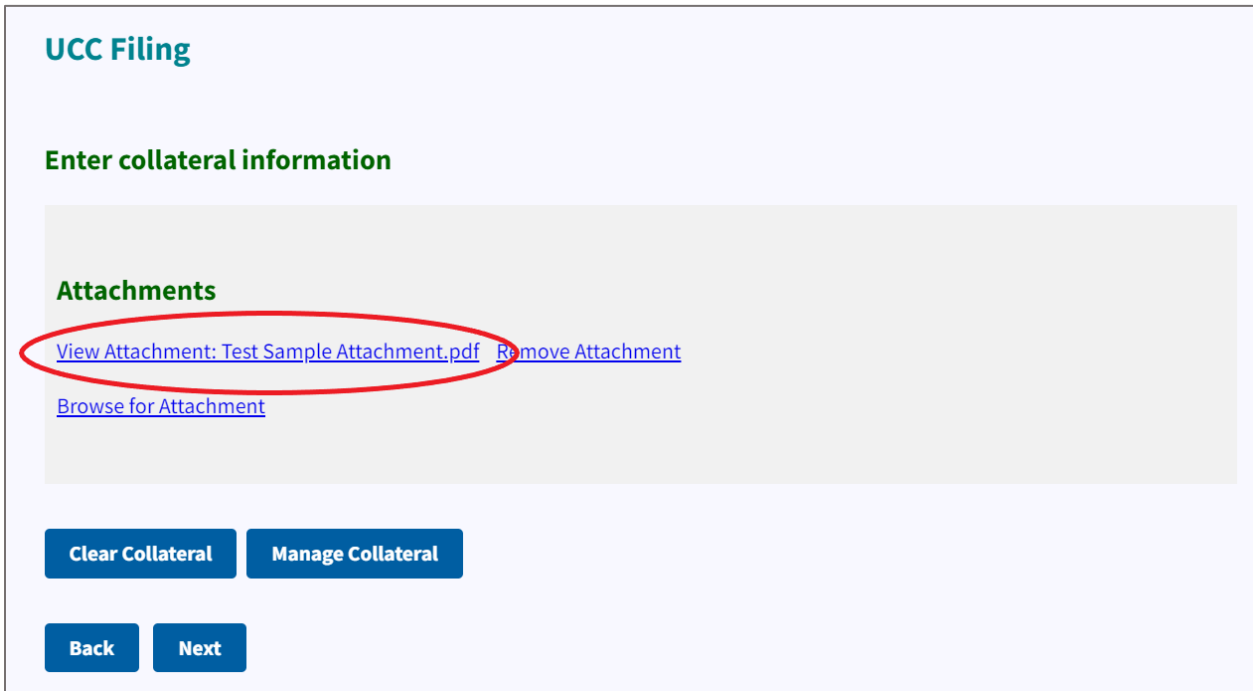
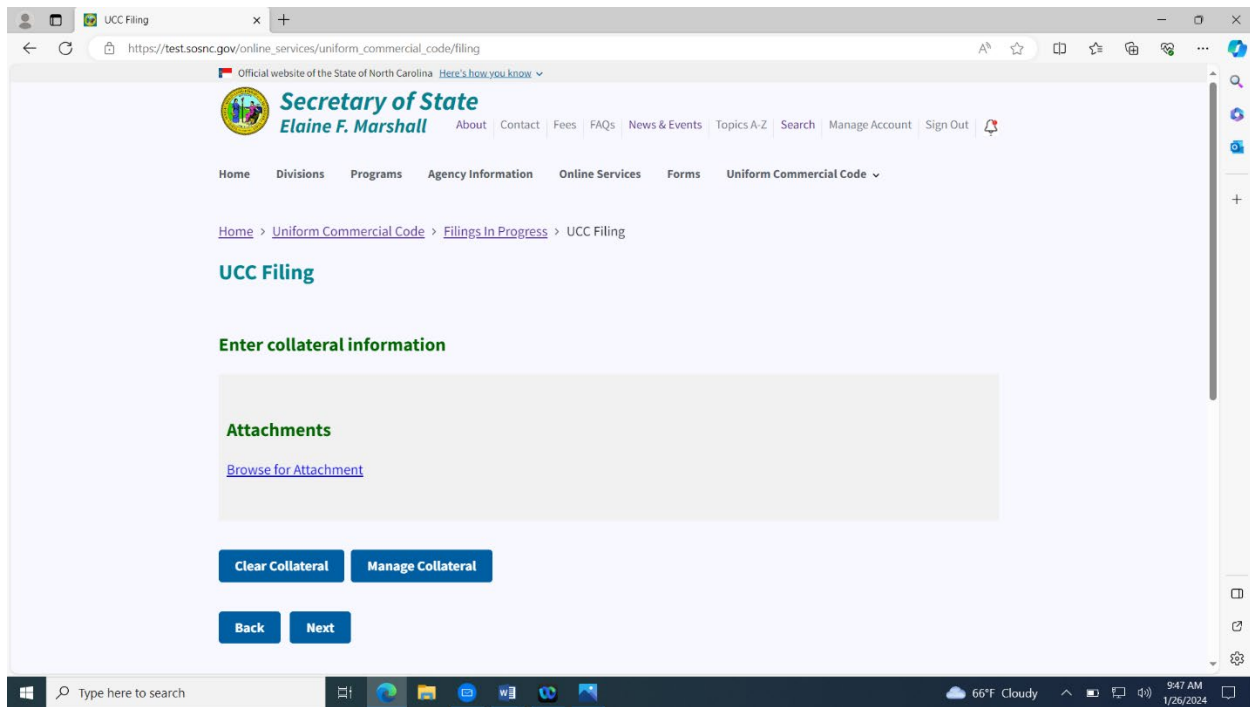


Figure 28. Attachment name appears in Attachments window

Now, you can see your attachment appear as a link in the **Attachments** window.

Click **Next**.



[ASK KEVIN—PROCESS FREEZES HERE]

Note: I tried the Start a New Filing process again on 2/12/24 and it's been updated to have numbered screens which is great, but the process freezes on screen 3 of 11. Tried again on 2/13/24. Once this is fixed, I'll update all screenshots of the process.

## Frequently Asked Questions

The [Frequently Asked Questions](#) page displays a list of 17 questions with answers in an accordion format.

[Home](#) > [Frequently Asked Questions](#) > [Uniform Commercial Code](#)

### Uniform Commercial Code

#### Frequently Asked Questions

- How much does it cost to file? +
- What forms of payment do you take? +
- Who do I make checks payable to? +
- Where do I find UCC forms? +
- Can I get a refund for a rejected filing? +
- If I re-submit the filing after rejection, will I have to pay a new fee? +
- How can I submit a UCC filing? +

Figure 29. Frequently Asked Questions page

## Download Forms

The Download Forms page has a list of downloadable forms in PDF format. These include Financing Statements, Information Requests, and Information Statements.


[Home](#) > [Forms](#) > [Uniform Commercial Code](#)

### Uniform Commercial Code

#### Forms

**Updated Refund Policy**  
Refund requests must be made within 45 consecutive days of receipt of funds and will only be issued for amounts over \$10.00.

---

 [Financing Statement\(PDF\)](#)  
UCC-1

---


 [Financing Statement Addendum\(PDF\)](#)  
UCC-1AD

Figure 30. Download Forms page

## Federal Tax Liens

The Federal Tax Liens pages gives information on corporations and partnerships in North Carolina.

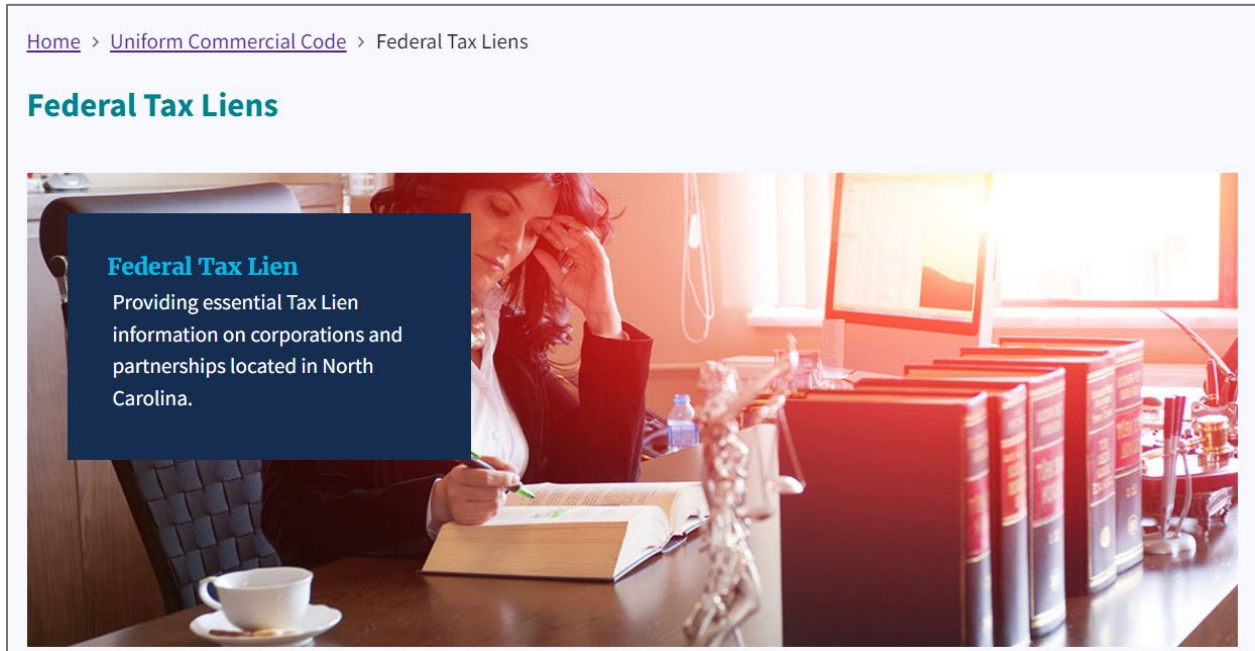


Figure 31. Federal Tax Liens page

Scroll to the middle of the page to the **Search** tool.

Search type

Standard ↕

Entity type

Organization ↕

Organizational name:

Printable View

**Search**

- Search Results Include Filings Through 04/18/2023

Figure 32. Search tool

Scroll further down the page to the **Browse Federal Tax Liens** section.

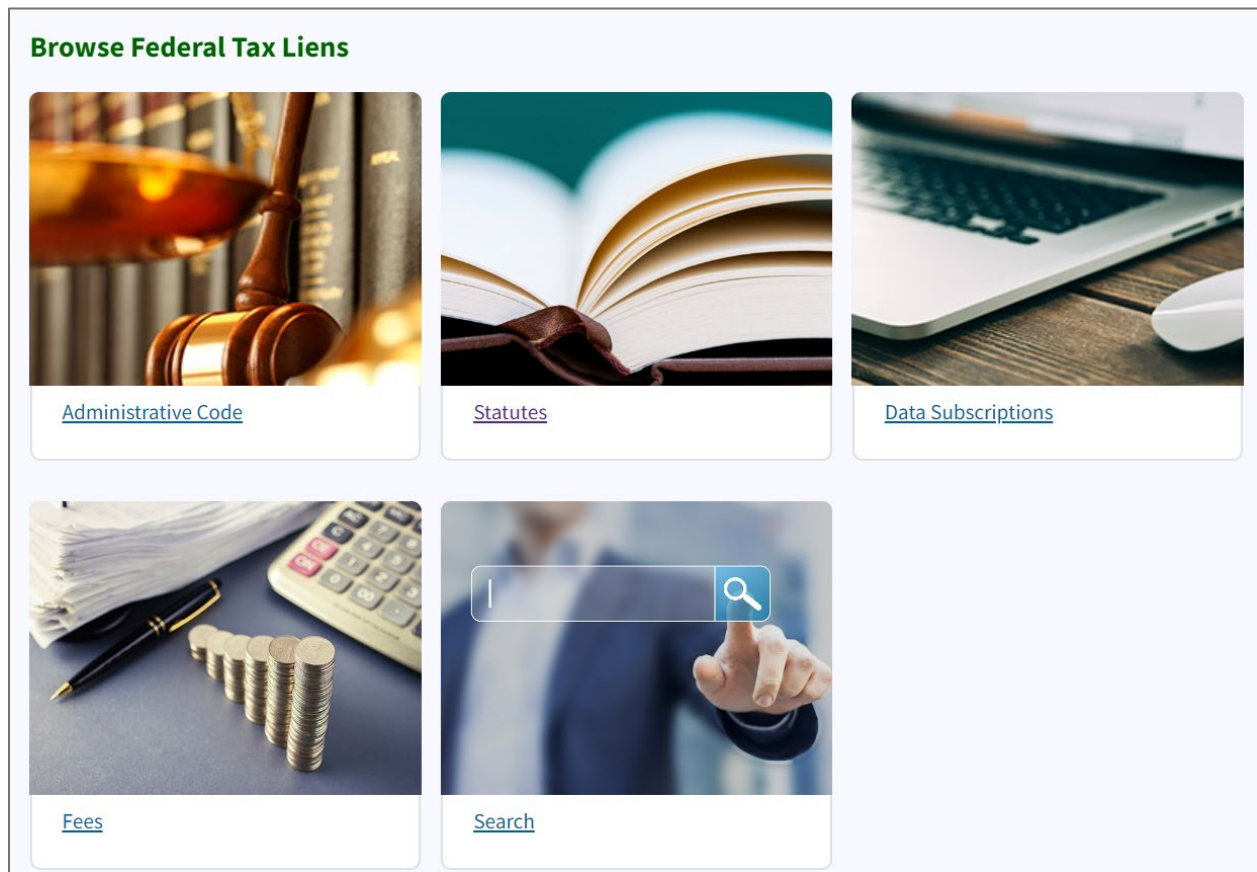


Figure 33. Browse Federal Tax Liens page

The five box image links are:

- [Administrative Code](#)
- [Statutes](#)
- [Data Subscriptions](#)
- [Fees](#)
- [Search](#)

## Administrative Code

The Administrative Code lists downloadable rules in PDF format. This is where you will find all of the rules that pertain to the North Carolina Secretary of State's Office.

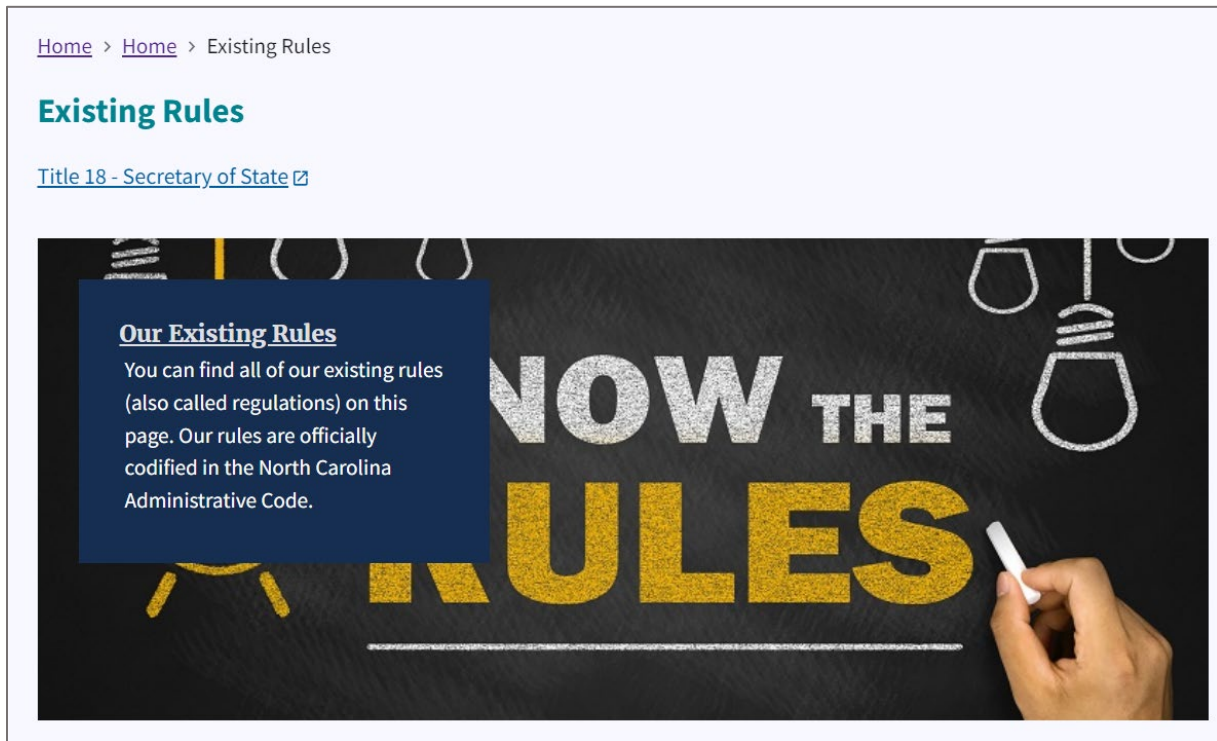


Figure 34. Administrative Code page

Scroll to the bottom to find the **UCC Commercial Code Division Rules** in Word format.



Figure 35. UCC Commercial Code Division Rules





## Data Subscriptions

The Data Subscriptions page contains three box image links: **About the Data**, **Data Dictionaries**, and **Fees**.

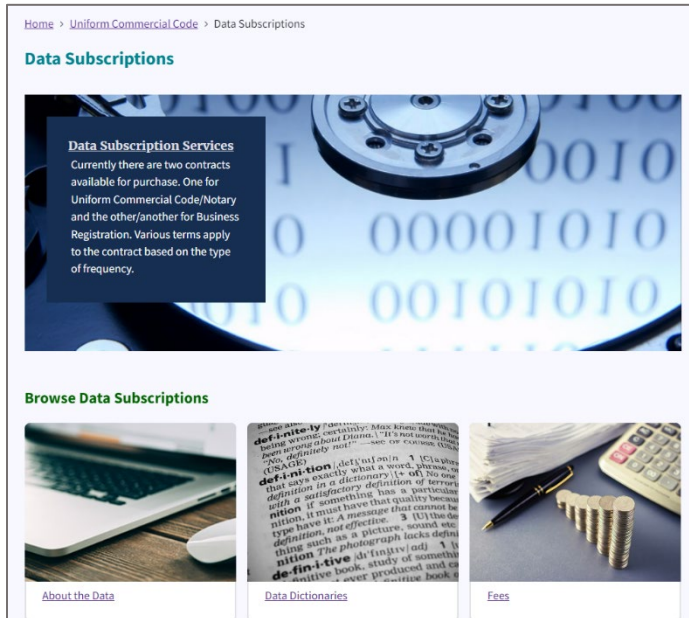


Figure 38. Data Subscriptions page

The Uniform Commercial Code subscription information can be found by clicking on **Data Dictionaries**.

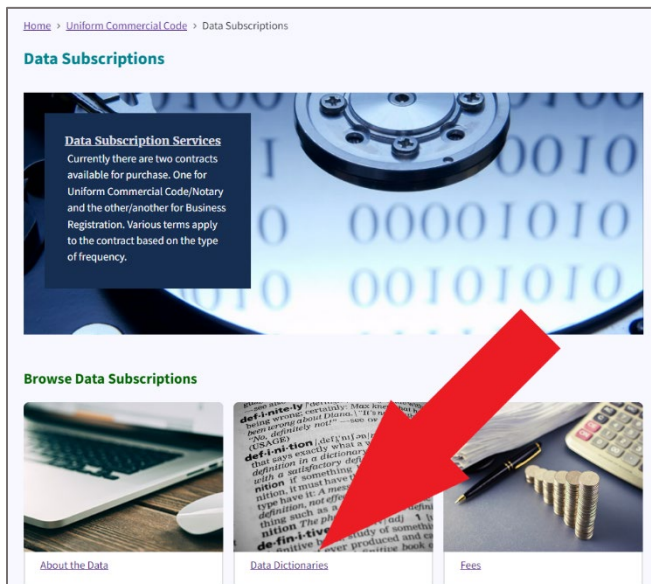


Figure 39. Select Data Dictionaries link

You will find the UCC subscription information in the list of downloadable data dictionaries in PDF format.



Figure 40. UCC Data Dictionary

## Fees

The **Uniform Commercial Code Fees** page contains information about the fees for filing and requesting federal tax liens. A federal tax lien is a legal claim by the government against the property of a person or business that owes taxes.

The webpage lists the following fees:

- Federal Tax Lien Filing Fee: \$5 per record
- Information Requests and Copies: \$5 per Debtor/Taxpayer name (plain certification) or \$15 per Debtor/Taxpayer name (gold seal certification)
- Copies: \$1 per page (or free online)
- Certified copies: \$10 + \$1 per FTL page (gold seal certification)

**Note:** Filing fees are non-refundable.

The webpage also provides a link to the **UCC-11 Information Request Form**, which is used to request information about federal tax liens.

**Uniform Commercial Code**  
**Fees**

**Federal Tax Lien Filing Fee**

- \$5.00 per record

**Information Requests and Copies**

Submit the [UCC-11 Information](#) Request Form along with:

- \$5.00 per Debtor/Taxpayer name (plain certification)
- \$5.00 + \$10.00 per Debtor/Taxpayer name (gold seal certification)

**After search results are returned, then request:**

- Copies - \$1.00 per page (or print copies for no fee online)
- Certified copies - \$10.00 + \$1.00 per FTL page (gold seal certification)
- Filing fees are non-refundable

\*Make checks payable to "North Carolina Secretary of State".

Figure 41. Uniform Commercial Code Fees page

## Search

You can search for **Federal Tax Liens** by **Entity Type** and **Organization Name**.

[Home](#) > [Federal Tax Liens](#) > Search Federal Tax Liens

**Search Federal Tax Liens**

Search type

Entity type

Organizational name:

Printable View

**Search**

- Search Results Include Filings Through 04/18/2023

Figure 42. Search Federal Tax Liens page

## Administrative Code (PDF)

On the main UCC web page, under the **Browse Uniform Commercial Code** section, you find a link to Administrative Code (PDF).

Select **Administrative Code (PDF)**.

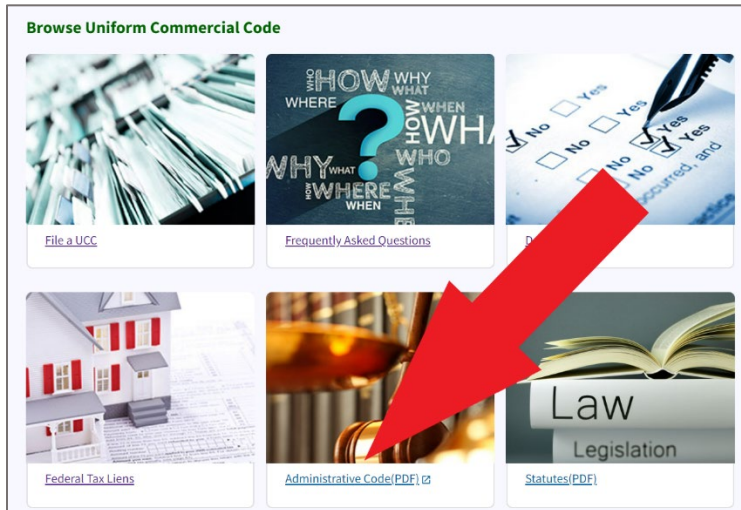


Figure 43. Select Administrative Code (PDF)

This is a PDF document that contains the rules and regulations for the North Carolina Secretary of State. It covers topics such as business registration, notary public, securities, trademarks, cable franchise, charitable solicitation, UCC, and more. The document is 1,152 pages in length; however, this PDF is only the Subchapter 05B Uniform Commercial Code Section (Section .0100 – General Provisions). These are the rules for how UCC filings are to be administered by the North Carolina Secretary of State’s Office.

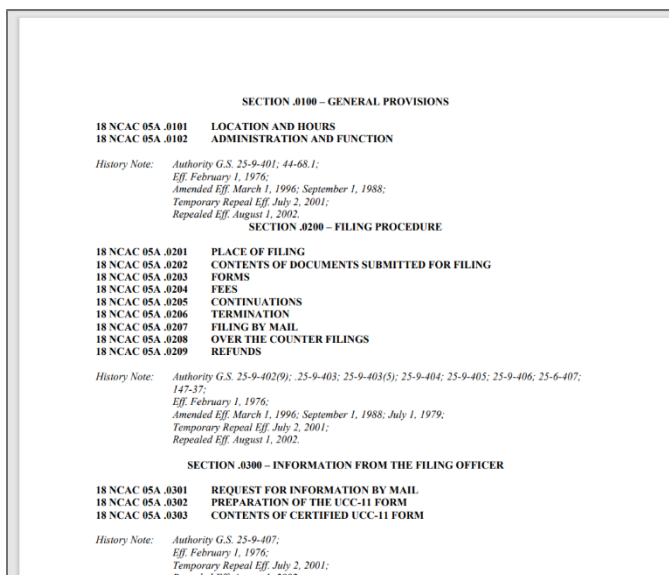


Figure 44. Administrative Code PDF

## Statutes (PDF)

The **Statutes (PDF)** is Article 9 Secured Transactions in PDF format.

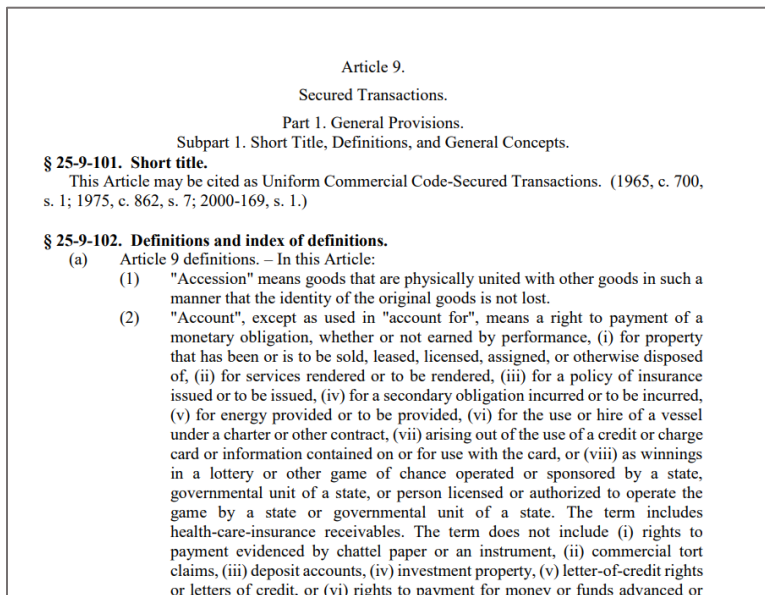


Figure 45. Article 9 in PDF

## Data Subscriptions

This content has already been covered in this manual in [Data Subscriptions](#).

## Fees

This content has already been covered in this manual in the [Fees](#).

## Search

This content has already been covered in this manual in [Search](#).

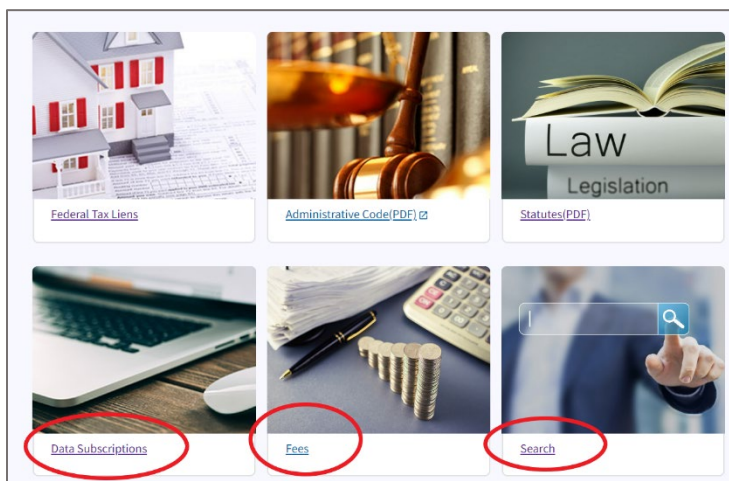


Figure 46. Data Subscriptions, Fees, and Search under Browse UCC section

## What We Do

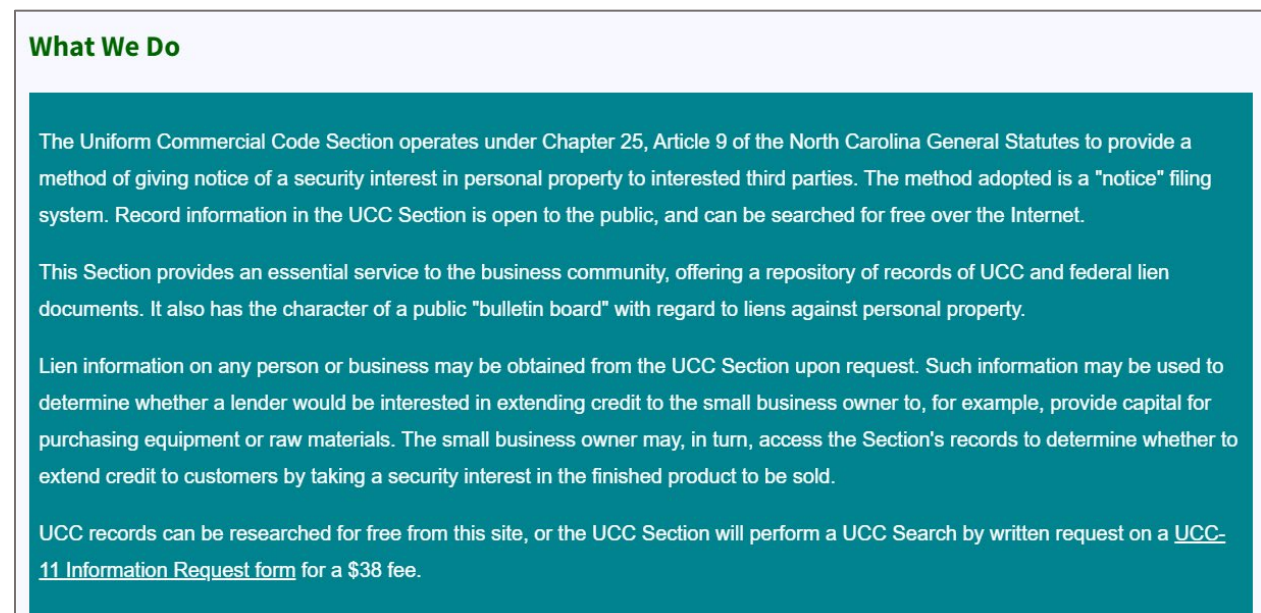
The What We Do section explains the purpose and mission of the Uniform Commercial Code Section. See **Figure 47**.

The page states: “The Uniform Commercial Code Section operates under Chapter 25, Article 9 of the North Carolina General Statutes to provide a method of giving notice of a security interest in personal property to interested third parties. The method adopted is a “notice” filing system. Record information in the UCC Section is open to the public, and can be searched for free over the Internet.

This Section provides an essential service to the business community, offering a repository of records of UCC and federal lien documents. It also has the character of a public “bulletin board” with regard to liens against personal property.

Lien information on any person or business may be obtained from the UCC Section upon request. Such information may be used to determine whether a lender would be interested in extending credit to the small business owner to, for example, provide capital for purchasing equipment or raw materials. The small business owner may, in turn, access the Section’s records to determine whether to extend credit to customers by taking a security interest in the finished product to be sold.

UCC records can be researched for free from this site, or the UCC Section will perform a UCC Search by written request on a UCC 11 Information Request form for a \$38 fee.”

The image is a screenshot of a webpage section titled "What We Do" in green text on a light blue background. Below the title is a teal-colored box containing white text. The text is organized into four paragraphs, each starting with a different topic: the UCC Section's purpose, its service to the business community, lien information availability, and search options. The last paragraph includes a link to a "UCC-11 Information Request form".

**What We Do**

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Figure 47. What We Do section

## Contact

The Contact page gives the mailing address, phone, and email address for the Uniform Commercial Code Section.

<b>Contact Uniform Commercial Code</b>	
<b>Mailing Address</b>	<b>Phone</b>
The Uniform Commercial Code Section	<a href="tel:919-814-5400">919-814-5400</a>
Department of the Secretary of State	<b>Email</b>
Post Office Box 29626	<a href="mailto:uccmail@sosnc.gov">uccmail@sosnc.gov</a>
Raleigh, North Carolina 27626-0626	

Figure 48. Contact UCC