



UCC Search and UCC-11 Search Tips

The online NDCIS includes a UCC search and a UCC-11 search when users are logged into the system. Each search utilizes different search logic and can be used in different situations.

The UCC search is a general search of filings in the system and may be used to limit or determine the search criteria for a UCC-11 search. For example, if a user knows the last name of a debtor, but is not sure how to spell the first name, the user may enter the debtor's last name and select the "contains" option. The search results would include all debtor names that contain the last name that was searched. The user can then determine how to spell the first name of the debtor and enter this information in the search criteria for a UCC-11 search. The UCC search may be used for other situations as well, but it is best to search by all filings types when using this search.

The UCC-11 search has different search options than the UCC search. Users may search by first, middle, and last name. Selecting "General" as the name search type will return broader results compared to selecting "Specific." For example, a "General" search for "Joe Smith" will return any debtors with a first name of "Joe" or "J" and a last name of "Smith," including "Joe A Smith," "Joe P Smith," and "J Smith."

A "Specific" search will only return debtor names that match exactly. For example, searching by "Joe Smith" will only return debtors with a first name of "Joe" and last name of "Smith." It will not return any names that include a middle name or initial. Another feature of the UCC-11 search is that users can limit the search results by the city of the first debtor. This is not available in the UCC search.

Recent Updates!

- The UCC-11 search now follows the International Association of Commercial Administrators (IACA) standard search logic, which is summarized in part below (The complete IACA standard search logic is attached to this newsletter):
 - Unlimited number of search results
 - Searches are not case-sensitive
 - "&" is replaced with "and" when a search is conducted
 - The following are ignored when a search is conducted:
 - Punctuation and accents
 - The word "the" at the beginning of an organization debtor name
 - All spaces
 - Words and abbreviations at the end of an organization name that indicate the existence or nature of an entity (see page 3 for a complete list of these words and abbreviations)
 - When an initial is entered as search criteria for a first or middle name of an individual debtor, the search results will return all names that begin with the entered initial. For example, a search for "J Doe" would return results for "John Doe," "Jane Doe," "John J Doe," and "Jane K Doe."
 - When a first name and last name are entered as search criteria, but no middle name or initial, the search results will return all names that match the first and last name entered and any middle name or initial. For example, a search for "John Doe" would return results such as "John Doe," "John J Doe," "J Doe," and "John David Doe."
- UCC-11 search results are returned to users in a ZIP file, which may contain up to four folders (Certificate, Information, Exception Report, and Copies) depending on the selected information option.
- Electronic filings that were filed prior to March 1, 2016 do not contain images. The system has been updated so that these filings will be provided in the "Information" folder of the ZIP file when the UCC-11 search results are returned to the user's "Filing/Searches" section of the Dashboard. Filings that do not contain images will be listed on an exception report in the "Exception Report" folder of the ZIP file.

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Online North Dakota Central Indexing System

cis.sos.nd.gov

Filing UCC/Real Estate Liens

Prior to the online filing requirement for UCC liens, UCC/real estate liens were filed in the county where the real estate was located. Since UCC liens are now required to be filed online, the UCC portion of the filing must be filed in the online NDCIS. The real estate portion of the filing should continue to be recorded in the county where the real estate is located. Forms for filing the real estate portion are available on the Secretary of State's website.

Are Signatures Required for Online Filings?

State law (N.D.C.C. § 41-09-73) does not require signatures when filings are completed in the online NDCIS. The secured party should determine whether any other laws require signatures, which would then be maintained by the secured party.

Buyer's Report

Need to sort by the various columns in the Buyer's Report? Simply double click on the column header. For example, double clicking on the Debtor Name column will sort the filings by the debtor name from A to Z.

Reminder: Users who want to purchase the Agvance CD must contact the Secretary of State's office prior to purchasing the Buyer's Report.

Recent Updates!

- The Buyer's Report has been corrected so that lapsed and terminated filings are no longer included.
- The crops and livestock collateral section is now displaying on the Buyer's Report.

Possible Upcoming System Updates

The Secretary of State's office is considering adding additional features to the NDCIS. Below is a list of some of these items, in no particular order, which the Secretary of State's office has been researching to determine whether the addition would be cost-effective:

- Debtor name on all filing acknowledgements – Currently, the debtor name is not included on every filing acknowledgement. Adding the debtor name to every filing acknowledgement would allow users to easily identify the debtor to which the filing acknowledgement is associated.
- UCC-11 information search results – For UCC-11 information search results, indicate a definite break between initial filings by utilizing a page break or asterisks.
- Social security number (SSN) or tax identification number (TIN) additions or changes – For amendments adding or changing a social security number or tax identification number, provide a notation on the filing acknowledgement stating that the social security number or tax identification number was added or changed.
- Shopping cart – Currently, payment information must be entered for each filing that requires a filing fee. The addition of a shopping cart would allow users to submit multiple filings, but only require that the payment information be entered once.
- Debtor name or name searched included in the "Filings/Searches" section – Adding the debtor name or name searched to the "Filings/Searches" section of the Dashboard would allow users to quickly find specific filings or searches.
- Debtor name on the receipt – Adding the debtor name to the receipt would allow users to more easily match payments to the debtor.
- Debtor name, work order number, and payment reference number added to the "Receipts" section – Adding the debtor name, work order number, and payment reference number to the "Receipts" section of the Dashboard would help users find specific receipts for a debtor.

Contact Us

Secretary of State
State of North Dakota
Central Indexing Unit
600 E Boulevard Ave Dept 108
Bismarck ND 58505-0500

Phone: (701) 328-3662
Toll-Free: (800) 352-0867,
option 5

Email: sosci@nd.gov
Website: sos.nd.gov

IACA List of Ending Noise Words pursuant to Rule 503.4

The following words and abbreviations indicate the existence or nature of an entity. These business endings will be ignored in a UCC search.

- Agency
- Association
- Assn
- Associates
- Assc
- Assoc
- Attorneys at Law
- Bank
- National Bank
- Business Trust
- Charter
- Chartered
- Company
- Co
- Corporation
- Corp
- Credit Union
- CU
- Federal Savings Bank
- FSB
- General Partnership
- Gen part
- GP
- Incorporated
- Inc
- Limited
- Ltd
- Ltee
- Limited Liability Company
- LC
- LLC
- Limited Liability Partnership
- LLP
- Limited Partnership
- LP
- Medical Doctors Professional Association
- MDPA
- Medical Doctors Professional Corporation
- MDPC
- National Association
- NA
- Partners
- Partnership
- Professional Association
- Prof Assn
- PA
- Professional Corporation
- Prof Corp
- PC
- Professional Limited Liability Company
- Professional Limited Liability Co
- PLLC
- Railroad
- RR
- Real Estate Investment Trust
- REIT
- Registered Limited Liability Partnership
- RLLP
- Savings Association
- SA
- Service Corporation
- SC
- Sole Proprietorship
- SP
- SPA
- Trust
- Trustee
- As Trustee

IACA Adopted Standard Search Logic

503 Search methodology. Search results are produced by the application of search logic to the name presented to the filing officer. Human judgment does not play a role in determining the results of the search.

503.1 Standard search logic. The following rules describe the filing office's standard search logic and apply to all searches except for those where the search request specifies that a non-standard search logic be used:

503.1.1 There is no limit to the number of matches that may be returned in response to the search criteria.

503.1.2 No distinction is made between upper and lower case letters.

503.1.3 The character "&" (the ampersand) is deleted and replaced with the characters "and" each place it appears in the name.

503.1.4 Punctuation marks and accents are disregarded. For the purposes of this rule, punctuation and accents include all characters other than the numerals 0 through 9 and the letters A through Z (in any case) of the English alphabet.

503.1.5 The following words and abbreviations at the end of an organization name that indicate the existence or nature of the organization are "disregarded" to the extent practicable as determined by the filing office's programming of its UCC information management system:

[Insert the filing office's own "Ending Noise Words" list here.]

503.1.6 The word "the" at the beginning of an organization debtor name is disregarded.

503.1.7 All spaces are disregarded.

503.1.8 For first and middle names of individual debtor names, initials are treated as the logical equivalent of all names that begin with such initials, and first name and no middle name or initial is equated with all middle names and initials. For example, a search request for "John A. Smith" would cause the search to retrieve all filings against all individual debtors with "John" or the initial "J" as the first name, "Smith" as the last name, and with the initial "A" or any name beginning with "A" in the middle name field. If the search request were for "John Smith" (first and last names with no designation in the middle name field), the search would retrieve all filings against individual debtors with "John" or the initial J as the first name, "Smith" as the last name and with any name or initial or no name or initial in the middle name field.

503.1.9 If the name being searched is the last name of an individual debtor name without any first or middle name provided, the search will retrieve from the UCC information management system all financing statements with individual debtor names that consist of only the last name. 503.1.10 After using the preceding rules to modify the name being searched, the search will retrieve from the UCC information management system all Unlapsed Records, or, if requested by the searcher, all Active Records, that pertain to financing statements with debtor names that, after being modified as provided in this rule 503, exactly match the modified name being searched.