

MINNESOTA RULES 1989

8260.0100 UNIFORM COMMERCIAL CODE FORMS

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CHAPTER 8260 SECRETARY OF STATE UNIFORM COMMERCIAL CODE FORMS

8260.0100 FINANCING STATEMENT: FORM UCC-1.
 8260.0200 FIXTURE/REAL ESTATE: FORM UCC-2.
 8260.0300 STATEMENT OF CONTINUATION, ASSIGNMENT, AMENDMENT, RELEASE, AND TERMINATION: FORM UCC-3.

8260.0400 FINANCING STATEMENT INFORMATION OR COPIES FORM: FORM UCC-11.
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8260.0100 FINANCING STATEMENT: FORM UCC-1.

Subpart 1. Permitted use. This form is for use when filing a financing statement pursuant to Minnesota Statutes, section 336.9-401, subsection (1), paragraphs (a) and (b). The use of any other form will result in a nonstandard fee charge.

Subp. 2. Standard form. To be considered a standard Minnesota uniform commercial code financing statement form, the following specifications must be met:

- A. the size must be 8 inches by 5 inches, excluding the top perforated tab;
- B. the form must be five carbon or carbon-less snap-out;
- C. the first page must be between 24- and 28-pound white ledger paper, printed with black ink; and
- D. the size of the type must not be less than 6 point.

Subp. 3. Report form. A standard financing statement form must be in substantially the following form:

STATE OF MINNESOTA UNIFORM COMMERCIAL CODE STANDARD FORM UCC-1	
<p><small>Print or Type in Black Ink</small></p> <p>This STATEMENT is presented for filing pursuant to the Uniform Commercial Code</p> <p>Debtor(s) (Last Name First) and Address(es)</p>	<p style="text-align: right;"><small>(Read Instructions on Back)</small></p> <p>For Filing Officer</p>
<p>Secured Party(ies) and Address(es)</p>	<p>Assignee(s) of Secured Party</p>
<p>1. This financing statement covers the following types (or items) of property:</p>	
<p>2. <input type="checkbox"/> Products/Proceeds of Collateral are also covered by this Statement</p>	<p><input type="checkbox"/> If crops are covered describe the real estate and give the name of the record owner.</p>
<p>____ Additional sheets presented.</p> <p>____ Debtor is a transmitting utility as defined in M.S. 336.9-105.</p> <p>____ For Filing with the Secretary of State of Minnesota.</p> <p>____ For Filing with the County Recorder _____ County.</p> <p>____ For Filing in Uniform Commercial Code Records (1) Filing Officer Copy Alphabetical</p> <p><small>(Rev. 6/84)</small></p>	<p>Signature(s) of Debtor(s): (Required in most cases -- see instruction # 5)</p> <p>BY: _____ BY: _____</p> <p>If the Debtor's signature is not present indicate the reason for its absence in the Debtor's signature block and sign the Secured Party's signature block</p> <p>Signature of Secured Party</p> <p>BY: _____</p>

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Subp. 4. **Carbon pages.** The remaining four pages will be identical to the first page except:

A. The second page must be green and of 15-pound bond paper. The language "(2) Filing Officer Copy-Numerical" must appear at the bottom left.

B. The third page must be pink and of 12-pound bond paper. The signature on the first page should not be reproduced by carbon on the third page. This area on the third page requires an original signature when it is resubmitted as a termination statement. It must appear as follows:

STATE OF MINNESOTA UNIFORM COMMERCIAL CODE STANDARD FORM UCC-1		(Read Instructions on Back)
Print or Type in Black Ink.		
This STATEMENT is presented for filing pursuant to the Uniform Commercial Code		
Debtor(s) (Last Name First) and Address(es)	Secured Party(ies) and Address(es)	For Filing Officer
1. This financing statement covers the following types (or items) of property:		Assignee(s) of Secured Party
2. <input type="checkbox"/> Products/Proceeds of Collateral are also covered by this Statement		<input type="checkbox"/> If crops are covered describe the real estate and give the name of the record owner.
TERMINATION STATEMENT. This Statement of Termination of Financing is presented to a Filing Officer pursuant to the Uniform Commercial Code. The Secured Party certifies that the Secured Party no longer claims a security interest under the financing statement bearing the file number shown above.		
Date _____ 19____		
(3) Filing Officer Copy - Acknowledgment		BY: _____ (Signature of Secured Party or Assignee of Record. Must be signed)

(Rev. 6/84)

C. The fourth page must be white and of 12-pound bond paper. The language "(4) Secured Party Copy" must appear at the bottom left.

D. The fifth page must be white and of 12-pound bond paper. The language "(5) Debtor Copy" must appear at the bottom left.

Subp. 5. **Instructions.** On the back of the fifth page, beginning below the perforation, must appear the following:

"INSTRUCTIONS

1. This form must be typed or printed in black so that it is legible on the white, pink, and green copies.

2. Provide the true and complete name of the debtor; initials or abbreviations may not be sufficient to properly index your filing.

3. If the space provided for any items on this form is inadequate, the item(s) may be continued on additional sheets, preferably 8-1/2 inches by 11 inches. Only one copy of the additional sheets needs to be presented to the filing officer.

4. There is an additional fee, which you must include, when additional sheets are attached and/or when more than one debtor's name is listed.

5. If this filing does not include the debtor's signature, the secured party must sign and indicate on the front the reason for its absence. The possible reasons listed by Minnesota Statutes, section 336.9-402, subsection (2), are that the collateral listed is/was:

a. brought into this state already subject to a security interest in another jurisdiction;

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- b. subject to a security interest in another jurisdiction, and the debtor's location has changed to this state;
- c. proceeds of some collateral in which a security interest was previously perfected in this state;
- d. the subject of a financing statement which has lapsed;
- e. subject to a security interest perfected under a prior name or identity of the debtor; or
- f. a personal service lien.

IF THE REASON FOR NO DEBTOR'S SIGNATURE IS NOT INCLUDED ABOVE, PLEASE STATE THE REASON ON THE FRONT OF THE FORM. BE ADVISED THAT THE REASON YOU LIST MAY NOT BE CONSIDERED A SUFFICIENT REASON BY A COURT OF LAW.

6. When the form is completed, remove the Secured Party and Debtor copies and send the remaining three (white, pink, and green) copies with interleaved carbon paper intact (if applicable) to the proper filing officer:

Secretary of State	OR	County Recorder
U.C.C. Division		Courthouse
180 State Office Building		___ County
St. Paul, MN 55155		___ MN ___

7. The pink copy will be stamped with the filing information and returned to you by the filing officer. If the lien is terminated prior to the regular five-year expiration, the secured party should sign the pink copy and return it to the filing officer so that the original can be removed from the files. There is no fee for filing a termination statement unless it is submitted on a "nonstandard" form or if it is for a fixture filing (form UCC-2).

NOTICE: INSTRUCTIONS ARE PROVIDED AS AN ACCOMMODATION AND SHOULD NOT BE CONSTRUED AS A COMPLETE STATEMENT OF THE UNIFORM COMMERCIAL CODE. ALWAYS CONSULT MINNESOTA STATUTES ON THE PROPER PREPARATION AND FILING OF THIS FORM."

Statutory Authority: *MS s 14.06; 336.9-403 cl (5)*

History: *9 SR 1893; 10 SR 70*

8260.0200 FIXTURE/REAL ESTATE: FORM UCC-2.

Subpart 1. **Transactions covered.** This form is for use when filing a financing statement pursuant to Minnesota Statutes, section 336.9-401, subsection (1), paragraph (c). The use of any other form will result in a nonstandard fee.

Subp. 2. **Standard form.** To be considered a standard Minnesota fixture/real estate form, the following specifications must be met:

- A. the size must be 8 inches by 5 inches, excluding the top perforated tab;
- B. the form must be five carbon or carbon-less snap-out;
- C. the first page must be between 24- and 28-pound white ledger paper, printed with black ink; and
- D. the size of the type must not be less than 6 point.

Subp. 3. **Report form.** A standard fixture/real estate form must be in substantially the following form:

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STATE OF MINNESOTA UNIFORM COMMERCIAL CODE STANDARD FORM UCC-2

FIXTURE/REAL ESTATE FINANCING STATEMENT		(Read Instructions on Back)
Print or Type in Black Ink		
This STATEMENT is presented for filing pursuant to the Uniform Commercial Code		
Debtor(s) (Last Name First) and Address(es)	Secured Party(ies) and Address(es)	For Filing Officer:
1. This financing statement covers the following types (or items) of property: (Set forth legal description of property and name of record owner)		Assignee(s) of Secured Party
2. <input type="checkbox"/> Products/Proceeds of Collateral are also covered by this Statement	3. <input type="checkbox"/> This is a Fixture Filing or covers timber, minerals, or accounts subject to M.S. 336.9-103(5)	4. <input type="checkbox"/> Abstract Property <input type="checkbox"/> Torrens Property
Provide Name and Address of Drafter: _____ _____		Title Number: _____ (Submit Owners Duplicate Certificate)
_____ Additional sheets presented.	_____ Debtor is a transmitting utility as defined in M.S. 336.9-105.	Signature(s) of Debtor(s): (Required in most cases -- see instruction # 5)
_____ For Filing with the Secretary of State of Minnesota.	_____ For Filing with the County Recorder _____ County.	BY: _____ BY: _____
_____ For Filing in Uniform Commercial Code Records	_____ For Filing in Real Estate Records	If the Debtor's signature is not present indicate the reason for its absence in the Debtor's signature block and sign the Secured Party's signature block.
(1) Filing Officer Copy - Alphabetical		Signature of Secured Party By: _____

Subp. 4. Carbon pages. The remaining four pages will be identical to the first page except:

A. The second page must be green and of 15-pound bond paper. The language "(2) Filing Officer Copy-Numerical" must appear at the bottom left.

B. The third page must be pink and of 12-pound bond paper. The signature on the first page should not be reproduced by carbon on the third page. This area on the third page requires an original signature when it is resubmitted as a termination statement. It must appear as follows:

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STATE OF MINNESOTA UNIFORM COMMERCIAL CODE STANDARD FORM UCC-2		
FIXTURE/REAL ESTATE FINANCING STATEMENT (Read Instructions on Back)		
This STATEMENT is presented for filing pursuant to the Uniform Commercial Code		
Debtor(s) (Last Name First) and Address(es)	Secured Party(ies) and Address(es)	For Filing Officer
1. This financing statement covers the following types (or items) of property: (Set forth legal description of property and name of record owner)		Assignee(s) of Secured Party
2. <input type="checkbox"/> Products/Proceeds of Collateral are also covered by this Statement	3. <input type="checkbox"/> This is a Fixture Filing or covers timber, minerals, or collateral in M.S. 336.9-103 (5)	4. <input type="checkbox"/> Abstract Property <input type="checkbox"/> Torrens Property
Provide Name and Address of Drafter: _____		Title Number: (Submit Owners Duplicate Certificate) _____
TERMINATION STATEMENT: This Statement of Termination of Financing is presented to a Filing Officer pursuant to the Uniform Commercial Code. The Secured Party certifies that the Secured Party no longer claims a security interest under the financing statement bearing the file number shown above.		
Date _____ 19__		
(3) Filing Officer Copy - Acknowledgment		BY: _____ (Signature of Secured Party or Assignee of Record, Must be signed)

(Rev. 6/84)

C. The fourth page must be white and of 12-pound bond paper. The language "(4) Secured Party Copy" must appear at the bottom left.

D. The fifth page must be white and of 12-pound bond paper. The language "(5) Debtor Copy" must appear at the bottom left.

Subp. 5. **Instructions.** On the back of the fifth page, beginning below the perforation, must appear the following:

"INSTRUCTIONS

1. This form must be typed or printed in black so that it is legible on the white, pink, and green copies.

2. Provide the true and complete name of the debtor; initials or abbreviations may not be sufficient to properly index your filing.

3. If the space provided for any items on this form is inadequate, the item(s) may be continued on additional sheets, preferably 8-1/2 inches by 11 inches. Only one copy of the additional sheets needs to be presented to the filing officer.

4. There is an additional fee, which you must include, when additional sheets are attached and/or when more than one debtor's name is listed.

5. This form should be used for filings that are to be made in the real estate records. The following types of collateral and/or transactions are covered by this form:

- (a) if the collateral is timber to be cut;
- (b) if the statement covers minerals or the like (including oil or gas);
- (c) accounts subject to Minnesota Statutes, section 336.9-103, subsection (5);

or

(d) when the statement is filed as a fixture filing and the collateral is goods which are or are to become fixtures, including crops.

DESCRIBE THE REAL ESTATE AFFECTED SUFFICIENT IF IT WERE CONTAINED IN A MORTGAGE OF THE REAL ESTATE TO GIVE CON-

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STRUCTIVE NOTICE OF THE MORTGAGE UNDER THE LAWS OF THIS STATE.

6. Include the name and address of the drafter. Also, if the debtor listed on the statement is not the record owner of the real estate, include the name of the record owner in the appropriate space.

7. You must indicate if the filing is to be made in the real estate records or both the real estate records and the Uniform Commercial Code.

8. If this filing does not include the debtor's signature, the secured party must sign and indicate on the front the reason for its absence. The possible reasons listed by Minnesota Statutes, section 336.9-402, subsection (2), are that the collateral listed is/was:

(a) brought into this state already subject to a security interest in another jurisdiction;

(b) subject to a security interest in another jurisdiction, and the debtor's location has changed to this state;

(c) proceeds of some collateral in which a security interest was previously perfected in this state;

(d) the subject of a financing statement which has lapsed; or

(e) subject to a security interest perfected under a prior name or identity of the debtor.

IF THE REASON FOR NO DEBTOR SIGNATURE IS NOT INCLUDED ABOVE, PLEASE STATE THE REASON ON THE FRONT OF THE FORM. BE ADVISED THAT THE REASON YOU LIST MAY NOT BE CONSIDERED A SUFFICIENT REASON BY A COURT OF LAW.

9. When the form is completed, remove the Secured Party and Debtor copies and send the remaining three (white, pink, and green) copies with interleaved carbon paper intact (if applicable) to the proper filing officer. Generally, statements of this nature will be filed in the Secretary of State's Office only if the debtor is a transmitting utility. However, you should consult Minnesota Statutes as to the proper place to file.

FILING OFFICER ADDRESSES:

Secretary of State
U.C.C. Division
180 State Office Building
St. Paul, MN 55155

OR

County Recorder
Courthouse
____ County
____ MN

10. The pink copy will be stamped with the filing information and returned to you by the filing officer. If the lien is terminated prior to the regular five-year expiration, the secured party should sign the pink copy and return it to the filing officer so that the original can be removed from the files. There is no fee for filing a termination statement unless it is submitted on a "nonstandard" form or if it is for a fixture filing.

NOTICE: INSTRUCTIONS ARE PROVIDED AS AN ACCOMMODATION AND SHOULD NOT BE CONSTRUED AS A COMPLETE STATEMENT OF THE UNIFORM COMMERCIAL CODE. ALWAYS CONSULT MINNESOTA STATUTES ON THE PROPER PREPARATION AND FILING OF THIS FORM."

Statutory Authority: *MS s 14.06; 336.9-403 cl (5)*

History: *9 SR 1893; 10 SR 70*

8260.0300 STATEMENT OF CONTINUATION, ASSIGNMENT, AMENDMENT, RELEASE, AND TERMINATION: FORM UCC-3.

Subpart 1. **Permitted use.** This form may be used to continue, assign, amend, release, or terminate a financing statement. The use of any other form will result in a nonstandard fee charge. Only one transaction may be accomplished per form.

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Subp. 2. **Standard form.** To be considered a standard Minnesota statement of continuation, assignment, amendment, release, and termination form, the following specifications must be met:

- A. the size must be 8 inches by 5 inches, excluding the top perforated tab;
- B. the form must be five carbon or carbon-less snap-out.
- C. the first page must be between 24- and 28-pound white ledger paper, printed in black ink; and
- D. the size of type must not be less than 6 point.

Subp. 3. **Report form.** A standard statement of continuation, assignment, amendment, release, and termination must appear in substantially the following form:

State of Minnesota Uniform Commercial Code Standard Form UCC-3		(Read Instructions on Back)
Statements of Continuation, Assignment, Release, Etc.		
----- This STATEMENT is presented to a filing officer for filing pursuant to the Uniform Commercial Code -----		
1. Debtor(s) (Last Name First) and Address(es)	2. Secured Party(ies) and Address(es)	For Filing Officer
3. This statement refers to original Financing Statement bearing File No.		
Filed with _____ Date Filed _____ 19__		
4. <input type="checkbox"/> Continuation. The original financing Statement between the foregoing Debtor and Secured Party, bearing file number above, is still effective. 5. <input type="checkbox"/> Assignment. The Secured Party's right under the Financing Statement bearing file number shown above to the property described in Item 9 has been assigned to the assignee whose name and address appears in Item 9. 6. <input type="checkbox"/> Amendment. Financing Statement bearing file number shown above is amended as set forth in Item 9. 7. <input type="checkbox"/> Release. Secured Party maintains a security interest in financing statement bearing file number shown above but releases the collateral shown in Item 9. 8. <input type="checkbox"/> Termination. Secured Party no longer claims a security interest under the Financing Statement bearing file number shown above. 9.		

By: _____ Signature(s) of Debtor(s) (necessary only if Item 6 is applicable.)

By: _____ Signature(s) of Secured Party(ies)

(1) Filing Officer Copy - Alphabetical (Rev. 6/84)

Approved by Secretary of State of Minnesota

Subp. 4. **Carbon pages.** The remaining four pages are identical to the first except that:

- A. the second page must be green and of 15-pound bond paper;
- B. the third page must be pink and the fourth and fifth pages must be white; all three must be of 12-pound bond paper;
- C. the language at the bottom far left of the second page (green) must read "(2) Filing Officer Copy-Numerical";
- D. the language at the bottom far left of the third page (pink) must read "(3) Filing Officer Copy-Acknowledgment";
- E. the language at the bottom of the fourth page (white) must read at the far left "(4) Secured Party Copy," and across the center and to the right as far as necessary, "Remove this copy and forward balance of form intact for filing"; and
- F. the language at the bottom far left of the fifth page must read "(5) Debtor Copy."

Subp. 5. **Instructions.** The following must be printed in black ink on the back of page five below the perforated tab:

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UNIFORM COMMERCIAL CODE FORMS 8260.0400

“INSTRUCTIONS

1. Please type this form with black ribbon.
2. If the space provided for any item(s) on this form is inadequate, the item(s) may be continued on additional sheets, preferably 8-1/2 inches by 11 inches. Only one copy of such additional sheets needs to be presented to the filing officer. There is an additional fee for the additional sheets.
3. If the collateral is timber to be cut or covers minerals or the like (including oil or gas) or accounts subject to Minnesota Statutes, section 336.9-103, subsection (5), or goods which are or are to become fixtures or is crops growing or to be grown, and this is an amendment or release, provide a description of the real estate sufficient to identify it and give the name(s) of the record owner.
4. Remove secured party and debtor copies (fourth and fifth copies) and send the other three copies with interleaved carbon paper intact (if applicable) to the filing officer. The filing officer will return the third copy as an acknowledgment.
5. Only one filing can be processed per form. Submit one form for each type of filing.

FILING OFFICER ADDRESSES:

Secretary of State
U.C.C. Division
180 State Office Building
St. Paul, MN 55155

OR

County Recorder
Courthouse
____ County
____MN____”

Statutory Authority: *MS s 336.9-403 cl (5)*

History: *9 SR 1893*

8260.0400 FINANCING STATEMENT INFORMATION OR COPIES FORM: FORM UCC-11.

Subpart 1. **Permitted use.** This form is for obtaining financing statement information or copies. The use of any other form will result in a nonstandard fee charge.

Subp. 2. **Standard form.** To be considered a standard Minnesota request for copies or information form, the following specifications must be met:

- A. the size must be 8 inches by 5 inches, excluding the top perforated tab;
- B. the form must be three carbon or carbon-less snap-out;
- C. the first page must be between 24- and 28-pound ledger paper, printed with black ink; and
- D. the size of the type must not be less than 6 point.

Subp. 3. **Report form.** A standard financing statement information or copies request form must be in substantially the following form:

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Secretary of State
U.C.C. Division
180 State Office Building
St. Paul, MN 55155

OR

County Recorder
Courthouse
County
MN

Statutory Authority: MS s 336.9-403 subs (5)

History: 9 SR 1893

8260.0500 TAX LIEN INFORMATION OR COPIES: FORM UCC-12.

Subpart 1. Permitted use. This form is for use in obtaining tax lien information and copies. The use of any other form will result in a nonstandard fee charge.

Subp. 2. Standard form. To be considered a standard Minnesota tax lien information or copies form, the following specifications must be met:

- A. the size must be 8 inches by 5 inches, excluding the top perforated tab;
B. the form must be three carbon or carbon-less snap-out;
C. the first page must be between 24- and 28-pound white ledger paper, printed with black ink; and
D. the size of type must not be less than 6 points.

Subp. 3. Report form. A standard tax lien information or copies form must be in substantially the following form:

State of Minnesota Uniform Commercial Code Standard Form UCC-12
Request for Tax Lien Information or Copies (Read Instructions on Back)
Request for copies or information. Present in DUPLICATE TO FILING OFFICER.
1. Taxpayer(s) (Last Name First) and Address(es)
2. Party requesting information or copies (Name and Address)
For Filing Officer
Information Request Copy Request
Filing officer please furnish your certificate showing whether there is on file as of
The date of processing or Other 19 any presently effective.
State and/or Federal Tax Liens naming the taxpayer indicated above.
Date Signature of Requesting Party
Table with columns: File Number, Date and Hour of Filing, Amount of Lien, Government Authority and Address
CERTIFICATE: The undersigned filing officer hereby certifies that:
The above listing is a record of all presently effective state and/or federal tax liens, as indicated above, which name the above taxpayer(s) and which are on file in my office as of 19 at M.
The attached pages are true and exact copies of all available tax liens listed in above report.
ADDITIONAL FEE DUE: \$ Date Signature of Filing Officer
Approved by Secretary of State of Minnesota
COPY 1 (Rev. 6/84)

Subp. 4. Carbon pages. The remaining pages must be identical to the first page except:

- A. both pages must be of 12-pound white bond paper, printed with black ink;
B. the second page must have "Copy 2" printed in the lower left-hand corner in black ink; and
C. the third page must have "Copy 3" printed in the lower left-hand corner in black ink.

Subp. 5. Instructions. The following must be printed below the perforation on the back of the third page in black ink:

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“INSTRUCTIONS

1. Please type this form with black ribbon.
2. Place an “x” in the appropriate box to indicate the following items:
 - (a) a request for copies or information;
 - (b) the date of search; and
 - (c) a request for state or federal tax liens.
3. If no “x’s” are made, information will be given on both state and federal tax liens up to the date of processing.
4. If information or copies are requested from different filing offices, separate requests must be submitted to each filing officer.
5. Sign the form in the space provided.
6. Send in only the original and duplicate copies. Retain the third copy for your files. The original will be returned to you with the information or copies requested.
7. There is an additional fee if more than one taxpayer name is listed in box 1. Always provide the complete and full name of the taxpayer; list all possible ways in which the debtor name may appear, including individual names, corporate names, assumed names, initials, and/or abbreviations.

FILING OFFICER ADDRESSES:

Secretary of State
U.C.C. Division
180 State Office Building
St. Paul, MN 55155

OR

County Recorder
Courthouse
___County___
___MN___”

Statutory Authority: *MS s 336.9-403 cl (5)*

History: *9 SR 1893*