

UCC FORM ACCEPTANCE UNDER ARTICLE 9 AMENDMENTS

Note: "AA9 Forms" refers to the new national financing statement forms under the Article 9 Amendments. The UCC1, UCC3 and addendum forms have the revision date of 4/20/2011. The UCC1 and UCC3 Additional Party forms are dated 8/20/2011 and the UCC5 Information Statement form is dated 7/19/2012. To download fillable PDF versions of these and the previous versions of the forms, go to the [Article 9 Forms](#) page of the COGENCY GLOBAL website.

AA9 FORMS REQUIRED:

Alaska	Iowa	Nebraska	South Dakota
Arizona	Kansas	Nevada	Tennessee
Arkansas	Kentucky	New Mexico	Texas
California	Maine	New Hampshire	Utah
Connecticut	Massachusetts	North Carolina	Vermont
District of Columbia	Michigan	Ohio	Virginia
Georgia	Minnesota	Oregon	Washington
Idaho	Mississippi	Pennsylvania	West Virginia
Illinois	Missouri	Rhode Island	Wisconsin
Indiana	Montana	South Carolina	Wyoming

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AA9 FORMS ACCEPTED, WHEN REQUIRED IS UNDETERMINED:

Alabama*	Hawaii	Maryland
Florida	Louisiana**	Oklahoma

*Filings indicating the collateral is being held in a trust will be rejected in Alabama if not on the new (AA9) form.

**Louisiana will continue accepting the old forms, but will charge a higher fee.

UNDETERMINED WHEN AA9 FORMS WILL BE ACCEPTED OR REQUIRED:

New York	Article 9 Amendments enacted 12/17/2014. However, the old RA9 Forms version 5/22/02 remain in use.
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ELECTRONIC UCC FILING ONLY (NO PAPER FORMS):

Colorado	Counties continue to accept paper AA9 forms.
Delaware	Counties continue to accept paper AA9 forms.
New Jersey	Counties continue to accept paper AA9 forms.
North Dakota	Paper filings not accepted at state or county filing offices as of 3/1/16.

SPECIAL FORM RECOMMENDED:

Puerto Rico	Created its own versions of the AA9 forms written in both Spanish and English. Using the standard AA9 forms instead PR's versions will result in non-standard penalty fees.
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The information in this memo is subject to change, is provided for informational purposes only and is not to be taken as legal advice

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