

**G.S. 150B-21.3A Report for 18 NCAC 05, UNIFORM COMMERCIAL CODE DIVISION**

Agency - SECRETARY OF STATE/ UNIFORM COMMERCIAL CODE DIVISION

Thursday, April 24, 2014 through Thursday, June 24, 2014

Date Submitted to APO - Filled in by RRC staff

| Subchapter or Blank                               | Rule Section                       | Rule Citation                                     | Rule Name  | Date and Last Agency Action on the Rule       | Agency Determination [150B-21.3A(c)(1)a]      | Implements or Conforms to Federal Regulation [150B-21.3A(d1)] | Federal Regulation Citation | Public Comment Received [150B-21.3A(c)(1)]    | Agency Determination Following Public Comment [150B-21.3A(c)(1)] |   |
|---|------------------------------------|---|--|---|---|---|-----------------------------|---|--|---|
| SUBCHAPTER 05B – UNIFORM COMMERCIAL CODE SECTION  | SECTION .0100 – GENERAL PROVISIONS | 18 NCAC 05B .0102                                 | DEFINITIONS  | Eff. August 1, 2002                           | Necessary without substantive public interest | No  | Not applicable              | No  | Necessary without substantive public interest                    |   |
|   |                                    | 18 NCAC 05B .0103                                 | PLACE OF FILING, TIME OF FILING, AND METHODS OF DELIVERY | Eff. August 1, 2002                           | Necessary without substantive public interest | No  | Not applicable              | No  | Necessary without substantive public interest                    |   |
|   |                                    | 18 NCAC 05B .0104                                 | CONTENTS OF RECORDS SUBMITTED FOR FILING                 | Eff. August 1, 2002                           | Necessary without substantive public interest | No  | Not applicable              | No  | Necessary without substantive public interest                    |   |
|   |                                    | 18 NCAC 05B .0105                                 | APPROVED FORMS   | Eff. August 1, 2002                           | Necessary without substantive public interest | No  | Not applicable              | No  | Necessary without substantive public interest                    |   |
|   |                                    | 18 NCAC 05B .0106                                 | PROCESSING FEES AND METHODS OF PAYMENT                   | Eff. August 1, 2002                           | Necessary without substantive public interest | No  | Not applicable              | No  | Necessary without substantive public interest                    |   |
|   |                                    | 18 NCAC 05B .0107                                 | PUBLIC RECORDS SERVICES                                  | Eff. August 1, 2002                           | Necessary without substantive public interest | No  | Not applicable              | No  | Necessary without substantive public interest                    |   |
|   |                                    | 18 NCAC 05B .0108                                 | FEES FOR PUBLIC RECORDS SERVICES                         | Eff. August 1, 2002                           | Necessary without substantive public interest | No  | Not applicable              | No  | Necessary without substantive public interest                    |   |
|   |                                    | SECTION .0200 – ACCEPTANCE AND REFUSAL OF RECORDS | 18 NCAC 05B .0201  | ROLE OF FILING OFFICER                        | Eff. August 1, 2002                           | Necessary without substantive public interest                 | No                          | Not applicable                                | No   | Necessary without substantive public interest |
|   |                                    |   | 18 NCAC 05B .0202  | GROUNDINGS FOR REFUSAL OF UCC DOCUMENT        | Eff. August 1, 2002                           | Necessary without substantive public interest                 | No                          | Not applicable                                | No   | Necessary without substantive public interest |
|   |                                    |   | 18 NCAC 05B .0203  | PROCEDURE UPON REFUSAL                        | Eff. August 1, 2002                           | Necessary without substantive public interest                 | No                          | Not applicable                                | No   | Necessary without substantive public interest |
| 18 NCAC 05B .0204                                 | NOTIFICATION OF DEFECTS            |   | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |
| 18 NCAC 05B .0205                                 | REFUSAL ERRORS                     |   | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |
| 18 NCAC 05B .0206                                 | FILING OFFICER ERRORS              |   | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |
| 18 NCAC 05B .0207                                 | NOTICE OF BANKRUPTCY               |   | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |
| SECTION .0300 – UCC INFORMATION MANAGEMENT SYSTEM | 18 NCAC 05B .0301                  | POLICY STATEMENT                                  | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |
|   | 18 NCAC 05B .0302                  | PRIMARY DATA ELEMENTS                             | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |
|   | 18 NCAC 05B .0303                  | INITIAL FINANCING STATEMENT                       | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |
|   | 18 NCAC 05B .0304                  | AMENDMENT   | Eff. August 1, 2002                                      | Necessary without substantive public interest | No  | Not applicable  | No                          | Necessary without substantive public interest |  |   |

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|---------------------|---|-------------------|---|---|---|---|-----------------------------|--|--|
|                     |   | 18 NCAC 05B .0305 | ASSIGNMENT OF POWERS OF SECURED PARTY OF RECORD | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0306 | CONTINUATION                                    | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0307 | TERMINATION                                     | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0308 | CORRECTION STATEMENT                            | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0309 | PROCEDURE UPON LAPSE                            | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0310 | IACA STANDARD ADOPTED                           | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0311 | IMPLEMENTATION GUIDE                            | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0312 | DIRECT ON-LINE DATA ENTRY PROCEDURES            | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     | <b>SECTION .0400 – FILING AND DATA ENTRY PROCEDURES</b> | 18 NCAC 05B .0401 | POLICY STATEMENT                                | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0403 | DOCUMENT FILING, REVIEW, AND ACKNOWLEDGMENT     | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0404 | ENTRY OF INDIVIDUAL AND ORGANIZATIONAL NAMES    | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0405 | FILING DATES AND LAPSE CALCULATIONS             | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0406 | FILING ERRORS                                   | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0407 | DESIGNATED NAME FIELDS                          | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0408 | VERIFICATION OF DATA ENTRY                      | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0409 | CREATION OF NEW RECORDS                         | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0410 | ARCHIVAL DOCUMENTS                              | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     | <b>SECTION .0500 – SEARCH REQUESTS AND REPORTS</b>      | 18 NCAC 05B .0501 | GENERAL REQUIREMENTS                            | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0502 | SEARCH REQUESTS AND REPORTS                     | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |

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|                     |   | 18 NCAC 05B .0503 | RULES APPLIED TO SEARCH REQUESTS | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0504 | OPTIONAL INFORMATION             | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0505 | SEARCH RESPONSES                 | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     | <b>SECTION .0600 – NOTICE OF FEDERAL TAX LIEN</b> | 18 NCAC 05B .0601 | POLICY STATEMENT                 | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0602 | FILING                           | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |
|                     |   | 18 NCAC 05B .0603 | REQUESTS FOR INFORMATION         | Eff. August 1, 2002                     | Necessary without substantive public interest | No  | Not applicable              | No   | Necessary without substantive public interest                    |