

**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 - September 22, 2014

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)]	RRC Determination of Public Comments [150B-21.3A(c)(2)]	RRC Final Determination of Status of Rule for Report to APO [150B-21.3A(c)(2)]	OAH Next Steps
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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0105	APPROVED FORMS	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0202	GROUND FOR REFUSAL OF UCC DOCUMENT	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0205	REFUSAL ERRORS	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0304	AMENDMENT	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0306	CONTINUATION	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0307	TERMINATION	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0308	CORRECTION STATEMENT	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note

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		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0311	IMPLEMENTATION GUIDE	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0406	FILING ERRORS	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0410	ARCHIVAL DOCUMENTS	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0504	OPTIONAL INFORMATION	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0505	SEARCH RESPONSES	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		18 NCAC 05B .0602	FILING	Eff. August 1, 2002	Necessary without substantive public interest	No	Not applicable	No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		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	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note