



Certification Page Regular and Emergency Rules

1. General Information

a. Agency/Board Name <i>See attached list for references</i> Secretary of State			
b. Agency/Board Address 200 West 24th Street		c. Agency/Board City Cheyenne	d. Agency/Board Zip Code 82002
e. Name of Contact Person Lisa Gonzales		f. Contact Telephone Number 307-777-5342	
g. Contact Email Address lisa.gonzales@wyo.gov			h. Adoption Date: May 13, 2013
i. Program(s) <i>See attached list for references</i> Article 9, Secured Transactions			

2. Rule Type and Information

a. These rules are: **Emergency Rules** (*After completing all of Section 2, proceed to Section 5 below*) **Regular Rules**

b. Choose all that apply: **New Rules*** **Amended Rules** **Repealed Rules**

* "New" rules means the first set of regular rules to be promulgated by the Agency after the Legislature adopted a new statutory provision or significantly amended an existing statute.

If "New," provide the Enrolled Act number and year enacted: **SEA7, Chpt 8, 2013**

c. Provide the Chapter Number, and Short Title of Each Chapter being Created/Amended/Repealed (*if more than 5 chapters are being created/amended/repealed, please use the Additional Rule Information form and attach it to this certification*)

Chapter Number: 1	Short Title: General Provisions
Chapter Number: 2	Short Title: Acceptance and Refusal of Documents
Chapter Number: 3	Short Title: Filing Procedures
Chapter Number: 4	Short Title: Search Requests and Reports
Chapter Number:	Short Title:

d. The Statement of Reasons is attached to this certification.

e. If applicable, describe the emergency which requires promulgation of these rules without providing notice or an opportunity for a public hearing:

3. State Government Notice of Intended Rulemaking

a. Date on which the Notice of Intent containing all of the information required by W.S. 16-3-103(a) was filed with the Secretary of State:	3-27-2013
b. Date on which the Notice of Intent and proposed rules in strike and underscore format were provided to the Legislative Service Office:	3-27-2013
c. Date on which the Notice of Intent and proposed rules in strike and underscore format were provided to the Attorney General:	3-27-2013

4. Public Notice of Intended Rulemaking

a. Notice was mailed 45 days in advance to all persons who made a timely request for advance notice. Yes No N/A

b. A public hearing was held on the proposed rules. Yes No

If "Yes:"	Date:	Time:	City:	Location:

5. Final Filing of Rules

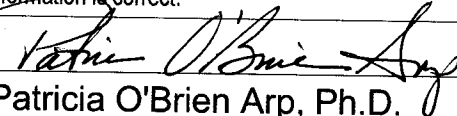
a. Date on which the Certification Page with original signatures and final rules were sent to the **Attorney General's Office** **May 13, 2013**
for the Governor's signature:

b. Date on which final rules were sent to the **Legislative Service Office**: **May 13, 2013**

c. Date on which a PDF of the final rules was electronically sent to the **Secretary of State**: **May 13, 2013**

6. Agency/Board Certification

The undersigned certifies that the foregoing information is correct.

Signature of Authorized Individual	
Printed Name of Signatory	Patricia O'Brien Arp, Ph.D.
Signatory Title	Deputy Secretary of State
Date of Signature	

7. Governor's Certification

I have reviewed these rules and determined that they:

1. Are within the scope of the statutory authority delegated to the adopting agency;
2. Appear to be within the scope of the legislative purpose of the statutory authority; and, if emergency rules,
3. Are necessary and that I concur in the finding that they are an emergency.

Therefore, I approve the same.

Governor's Signature	
Date of Signature	

Distribution List:

- Attorney General**
1. Statement of Reasons;
 2. Original Certification Page;
 3. Summary of Comments (regular rules);
 4. Hard copy of rules: clean and strike/underscore; and
 5. Memo to Governor documenting emergency (emergency rules).

- LSO**
1. Statement of Reasons;
 2. Copy of Certification Page;
 3. Summary of Comments (regular rules);
 4. Hard copy of rules: clean and strike/underscore;
 5. Electronic copy of rules: clean and strike/underscore; and
 6. Memo to Governor documenting emergency (emergency rules).

- SOS**
1. PDF of clean copy of rules; and
 2. Hard copy of Certification Page as delivered by the AG.

STATEMENT OF REASONS

The Secretary of State is promulgating these rules to amend its Article 9, Secured Transactions Rules Chapters 1-4, to reflect changes in the recently adopted legislation, to remove outdated processes, and to update web service addresses.

Specifically, Chapter 1 amendments repeal definitions that are no longer needed, amend definitions to meet the new law, amend the fee schedule, and change web addresses for accessing forms.

Chapter 2 amends Sec. 1(e) to update how collateral descriptions are to be written and filed with the Secretary of State.

Chapter 3 amends Sec. 2(a) to reflect new language from the new law.

Chapter 4 amends Sec. 2(a)(iv) to include a web site address.

CHAPTER 1

General Provisions

Section 1. **Authority.** The Secretary of State, pursuant to W.S. 34.1-9-526 is authorized to promulgate rules and regulations to implement the Uniform Commercial Code Article 9 Revisions and to set the filing fees under the Act.

Section 2. **Purpose.** These rules are adopted to promote the uniform administration of Article 9 of the Uniform Commercial Code.

Section 3. **Definitions .**

(a) "Amendment" means a UCC record that amends the information contained in a financing statement. Amendments include assignments, continuations and terminations.

(b) "Assignment" is an amendment that assigns all or a part of a secured party's power to authorize an amendment to a financing statement.

(c) "Collateral" shall have the meaning prescribed by W.S. 34.1-9-1029(a)(xii).

(d) "Continuation statement" shall have the meaning prescribed by W. S. 34.1-9-102(a)(xxvii).

(e) "Correction statement" means a UCC record, filed before July 1, 2013, that indicates that a financing statement is inaccurate or wrongfully filed.

(f) "Debtor" shall have the meaning prescribed by W.S. 34.1-9-102(a)(xxviii).

(g) "File Number" shall have the meaning prescribed by W.S. 34.1-9-519.

(h) "Filing office" means an office designated in section 34.1-9-501 as the place to file a financing statement.

(i) "Financing statement" shall have the meaning prescribed by W.S. 34.1-9-102(a)(xxxix).

(j) "Individual" means a human being, or a decedent in the case of a debtor that is a decedent's estate.

(k) "Information statement" means a UCC record, filed on or after July 1, 2013, that indicates that a financing statement is inaccurate or wrongfully filed.

(l) "Initial financing statement" means a UCC record containing the information required to be in an initial financing statement and that causes the filing office to establish the initial record of existence of a financing statement.

(m) “Internet Filing Service” or “UCC E-System” means an on-line filing service that provides authorized users with the capability to file all UCCs immediately and conduct searches that provide immediate results.

(n) “Organization” means a legal business entity who is not an individual.

(o) “Registered organization” shall have the meaning prescribed by W.S. 34.1-9-102(a)(lxxiii).

(p) “Remitter” means an individual or registered organization that tenders a UCC record to the filing officer for filing, whether the remitter is a filer or an agent of a filer responsible for tendering the record for filing. “Remitter” does not include an individual or registered organization responsible merely for the delivery of the record to the filing office, such as the postal service or a courier service, but does include a service provider who acts as a filer’s representative in the filing process.

(q) “Secured party” shall have the meaning prescribed by W.S. 34.1-9-102(a)(lxxv).

(r) “Termination statement” shall have the meaning prescribed by W.S. 34.1-9-102(a) (lxxxii).

(s) “UCC” means the Uniform Commercial Code as established by Title 34.1, Wyoming Statutes.

(t) “UCC1” means the form used for a new UCC filing.

(u) “UCC3” means the form used for a UCC amendment filing, which includes the following forms:

- (i) Assignment;
- (ii) Collateral Change;
- (iii) Continuation Statement;
- (iv) Debtor Change;
- (v) Information Statement;
- (vi) Secured Party Change; and
- (vii) Termination Statement.

(v) “UCC5” means the form used for a UCC information statement filing.

(w) “UCC record” means an initial financing statement, an amendment, an assignment, a continuation, a termination or a correction statement.

Section 4. **Paper Filing Fees.**

(a) The fee is \$5 for filing a termination statement which terminates an initial financing statement filed prior to July 1, 2001. If the initial financing statement is filed after July 1, 2011, there is no fee.

(b) The fee is \$30 for filing an initial financing statement. The fee is \$50 if there are more than four pages.

(c) The fee is \$15 for filing any amendment statement, except for a continuation statement, of one to four pages communicated on paper including faxes. If there are more than four pages, the fee is \$30. The remitter may file multiple UCC3 amendments to the same initial financing statement for one fee. For example, the following combinations of amendments, or portions thereof, may be made for one fee of \$15:

(i) Termination, assignment, debtor and/or collateral change;

(ii) Termination, assignment, secured party and/or collateral change; or

(iii) Any other combination of amendments, excepting continuation statements.

(d) The fee is \$30 for filing a continuation statement.

(e) The fee is \$10 per debtor name for a UCC search.

(f) The fee is 50 cents per page for a copy of a UCC record.

Section 5. **Electronic Filing Fees.**

(a) The fee is \$15 for an initial financing statement.

(b) The fee is \$7.50 for filing any amendment statement except for a continuation or information statement. Information statements are not permitted to be filed electronically. The remitter may file multiple UCC3 amendments to the same initial financing statement for one fee. For example, the following combinations of amendments, or portions thereof, may be made for one fee of \$7.50:

(i) Termination, assignment, debtor and/or collateral change;

(ii) Termination, assignment, secured party and/or collateral change; or

(iii) Any other combination of amendments, excepting continuation and information statements.

(c) There is no fee for filing a termination statement.

(d) The fee is \$15 for filing a continuation statement.

- (e) The fee is \$0.00 per name for a UCC search.
- (f) The fee is \$150.00 annually for the Internet Filing Service (up to 10 users).
- (g) The fee is \$2,000 annually for the Internet Download Service.

Section 6. Use of Forms.

Acceptable forms are prescribed by the International Association of Commercial Administrator (IACA) forms which are available through the Wyoming Secretary of State's website at: <http://soswy.state.wy.us>

CHAPTER 1

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Section 1. **Authority.** The Secretary of State, pursuant to W.S. 34.1-9-526 is authorized to promulgate rules and regulations to implement the Uniform Commercial Code Article 9 Revisions and to set the filing fees under the Act.

Section 2. **Purpose.** These rules are adopted to promote the uniform administration of Article 9 of the Uniform Commercial Code.

Section 3. **Definitions .**

(a) "Amendment" means a UCC record that amends the information contained in a financing statement. Amendments include assignments, continuations and terminations.

(b) "Assignment" is an amendment that assigns all or a part of a secured party's power to authorize an amendment to a financing statement.

(c) "Collateral" shall have the meaning prescribed by W.S. 34.1-9-1029(a)(xii).

~~(e)~~(d) "Continuation statement" shall have the meaning prescribed by W. S. 34.1-9-102(a)(xxvii).

~~(d)~~ (e) "Correction statement" means a UCC record, filed before July 1, 2013, that indicates that a financing statement is inaccurate or wrongfully filed.

~~(f)~~ "Debtor" shall have the meaning prescribed by W.S. 34.1-9-102(a)(xxviii).

~~(e)~~ (g) "File Number" shall have the meaning prescribed by W.S. 34.1-9-519.

~~(f)~~ (h) "Filing office" means an office designated in section 34.1-9-501 as the place to file a financing statement.

~~(g)~~ "Filing officer correction statement" means a statement of correction entered into the filing office's information system to correct an error by the filing office.

~~(h)~~ (i) "Financing statement" shall have the meaning prescribed by W.S. 34.1-9-102(a)(xxxix).

~~(i)~~ (j) "Individual" means a human being, or a decedent in the case of a debtor that is a decedent's estate.

(k) "Information statement" means a UCC record, filed on or after July 1, 2013, that indicates that a financing statement is inaccurate or wrongfully filed.

~~(j)-(l)~~ "Initial financing statement" means a UCC record containing the information required to be in an initial financing statement and that causes the filing office to establish the initial record of existence of a financing statement.

~~(m)~~ "Internet Filing Service" or "UCC E-System" means an on-line filing service that provides authorized users with the capability to file all UCCs immediately and conduct searches that provide immediate results.

~~(n)~~ "Organization" means a legal business entity who is not an individual.

~~(o)~~ "Registered organization" shall have the meaning prescribed by W.S. 34.1-9-102(a)(lxxiii).

~~(p)~~ "Remitter" means a person an individual or registered organization that who tenders a UCC record to the filing officer for filing, whether the person remitter is a filer or an agent of a filer responsible for tendering the record for filing. "Remitter" does not include a person an individual or registered organization responsible merely for the delivery of the record to the filing office, such as the postal service or a courier service, but does include a service provider who acts as a filer's representative in the filing process.

~~(q)~~ "Secured party" shall have the meaning prescribed by W.S. 34.1-9-102(a)(lxxv).

~~(r)~~ "Termination statement" shall have the meaning prescribed by W.S. 34.1-9-102(a)(lxxxii).

~~(s)~~ "UCC" means W.S 34.1-9-101 through W.S. 34.1-9-709 the Uniform Commercial Code as established by Title 34.1, Wyoming Statutes.

~~(t)~~ "UCC1" means the form used for a new UCC filing.

~~(u)~~ "UCC3" means the form used for a UCC amendment filing, which includes the following forms:

(i) Assignment;

(ii) Collateral Change;

(iii) Continuation Statement;

(iv) Debtor Change;

(v) Information Statement;

(vi) Secured Party Change; and

(vii) Termination Statement.

~~(v)~~ "UCC5" means the form used for a UCC information statement filing.

~~(p)~~ (w) "UCC record" means an initial financing statement, an amendment, an assignment, a continuation, a termination or a correction statement.

Section 4. Paper Filing Fees.

(a) The fee is \$5 for filing a termination statement which terminates an initial financing statement filed prior to July 1, 2001. If the initial financing statement is filed after July 1, 2011, there is no fee.

(b) The fee is ~~\$20~~ \$30 for filing an initial financing statement ~~and a termination statement on or after July 1, 2001. The initial fee of \$20 includes \$15 for the initial financing statement and \$5 for the termination statement.~~ The fee is ~~\$35~~ \$50 if there are more than ~~two~~ four pages.

(c) The fee is \$15 for filing ~~an any amendment, continuation, assignment or correction statement, except for a continuation statement,~~ of one or two to four pages communicated on paper including faxes. If there are more than ~~two~~ four pages, the fee is \$30. The remitter may file multiple UCC3 amendments to the same initial financing statement for one fee. For example, the following combinations of amendments, or portions thereof, may be made for one fee of \$15:

(i) Termination, assignment, debtor and/or collateral change;

(ii) Termination, assignment, secured party and/or collateral change; or

(iii) Any other combination of amendments, excepting continuation statements.

(d) The fee is \$30 for filing a continuation statement.

~~(d)~~(e) The fee is \$10 per debtor name for a UCC search.

~~(e)~~(f) The fee is 50 cents per page for a copy of a UCC record.

Section 5. Electronic Filing Fees.

(a) The fee is ~~\$10.00~~ \$15 for an initial financing statement. ~~The initial fee of \$10 includes the termination fee.~~

(b) The fee is \$7.50 for filing ~~an any amendment, continuation, or assignment statement except for a continuation or information statement. Information statements are not permitted to be filed electronically. Other than one debtor or one secured party change per filing number per electronic filing session, multiple amendments may be made.~~ The remitter may file multiple UCC3 amendments to the same initial financing statement for one fee. For example, the following combinations of amendments, or portions thereof, may be made for one fee of \$7.50:

(i) Termination, assignment, debtor and/or collateral change;

(ii) Termination, assignment, secured party and/or collateral change; or

(iii) Any other combination of amendments, excepting continuation and information statements.

(c) There is no fee for filing a termination statement on a filing filed prior to July 1, 2001, there is no fee.

(d) The fee is \$15 for filing a continuation statement.

~~(d)~~(e) The fee is \$0.00 per name for a UCC search.

~~(e)~~(f) The fee is \$150.00 annually for the Internet Filing Service (up to 10 users).

~~(f)~~(g) The fee is \$2,000 annually for the Internet Download Service.

Section 6. Use of Forms.

Acceptable forms ~~include forms~~ are prescribed by ~~W.S. 34.1-9-521~~ and the International Association of ~~Corporation~~ Commercial Administrator (IACA) forms which are available through the Wyoming Secretary of State's website at: ~~http://soswy.state.wy.us/uniform/forms.htm~~.

CHAPTER 2

Acceptance and Refusal of Documents

Section 1. **Duty to File.**

(a) The duties and responsibilities of the filing officer with respect to the administration of the UCC are ministerial and the filing office bears no responsibility for the legal effectiveness of a filing. In accepting for filing or refusing to file a UCC record pursuant to these rules, the filing officer does none of the following:

- (i) Determine the legal sufficiency or insufficiency of a document.
- (ii) Determine that a security interest in collateral exists or does not exist.
- (iii) Determine that information in the document is correct or incorrect, in whole or in part.
- (iv) Create a presumption that information in the document is correct or incorrect, in whole or in part.

(b) Nothing in these rules prevents nor requires a filing officer from communicating to a remitter that the filing officer noticed apparent potential defects in a UCC record, whether or not it was filed or refused for filing.

(c) If a remitter demonstrates to the satisfaction of the filing officer that a UCC record that was refused for filing should have been filed, the filing officer will file it and the effective date and time of filing which shall be the date and time the UCC record was originally tendered for filing.

(d) If the filing officer finds grounds to refuse a UCC document, the filing officer shall return the document and communicate in writing the reasons for the rejection and the filing officer shall return or refund the filing fee.

(e) The filing office shall require a remitter to provide the collateral description in a plain text file format if the collateral description exceeds 300 characters on a new UCC filing (UCC1) or an amendment to an existing UCC filing (UCC3). The collateral description may be provided via email, on a CD or USB flash drive or other media approved by the Secretary of State.

(f) Pursuant to the authority listed in W.S. 34-1-9-516(b), the filing officer shall reject a UCC record if the requirements of Section 1(e) of this Chapter are not met.

CHAPTER 2

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(b) Nothing in these rules prevents nor requires a filing officer from communicating to ~~a filer or~~ a remitter that the filing officer noticed apparent potential defects in a UCC record, whether or not it was filed or refused for filing.

(c) If a remitter demonstrates to the satisfaction of the filing officer that a UCC record that was refused for filing should have been filed, the filing officer will file it and the effective date and time of filing which shall be the date and time the UCC record was originally tendered for filing.

(d) If the filing officer finds grounds to refuse a UCC document, the filing officer shall return the document and communicate in writing the reasons for the rejection and the filing officer shall return or refund the filing fee.

(e) The filing office shall require a remitter to ~~include~~ provide the collateral description ~~on diskette~~ in a plain text file format if the collateral description ~~found on line 4 of the UCC Financing Statement form or on line 8 of the UCC Financing Statement Amendment form described in Chapter 1, Section 6 exceeds 300 characters~~ exceeds 300 characters on a new UCC filing (UCC1) or an amendment to an existing UCC filing (UCC3). ~~Acceptable text file formats are available from the Secretary of State's office. (Currently, acceptable file formats include ASCII, ANSI, RTE or another generic file format. Examples of currently unacceptable formats are any WordPerfect or Word files.)~~ The collateral description may be provided via email, on a CD or USB flash drive or other media approved by the Secretary of State.

(f) Pursuant to the authority listed in W.S. 34-1-9-516(b), the filing officer shall reject a UCC record if the requirements of Section 1(e) of this Chapter are not met.

CHAPTER 3

Filing Procedures

Section 1. **Filing and Data Entry Procedures.**

(a) A filing shall designate whether a name is a name of an individual or an organization.

(i) Organization names are entered into the UCC E-System exactly as set forth in the UCC record, even if it appears that multiple names are set forth in the document or if it appears that the name of an individual has been included in the block (data field) designated for an organization name.

(ii) On a form that designates separate blocks (data fields) for first, middle and last names and any suffix, the filing officer enters the names into the first, middle, and last name and suffix fields in the UCC information management system exactly as set forth on the form.

Section 2. **UCC Records Tendered for Filing.**

(a) UCC records, excluding UCC5 information statements, may be transmitted electronically through on-line entry.

(b) The time of filing for a UCC record filed electronically through on-line entry is the date and time the Wyoming UCC E-System accepts the filing.

(c) For all UCC records delivered to the filing office by personal delivery, courier delivery and postal delivery, the time for filing shall be the date and time the document is entered and accepted by the Wyoming UCC E-System, which in no event shall be later than two business days after the filing office receives the record. No priority is given to documents hand delivered or received by mail or courier.

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(i) Organization names are entered into the UCC E-System information management system exactly as set forth in the UCC record, even if it appears that multiple names are set forth in the document or if it appears that the name of an individual has been included in the block (data field) designated for an organization name.

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(c) For all UCC records delivered to the filing office by personal delivery, courier delivery and postal delivery, the time for filing shall be the date and time the document is entered and accepted by the Wyoming UCC E-System, which in no event shall be later than two business days after the filing office receives the record. No priority is given to documents hand delivered or received by mail or courier.

CHAPTER 4

Search Requests and Reports

Section 1. **General Requirements.**

(a) The filing officer maintains for public inspection a searchable index for all UCC records. The index shall provide for the retrieval of a record by the name of the debtor and by the file number of the initial financing statement and each filed UCC document relating to the initial financing statement.

(b) Search requests presented to the Secretary of State's Office shall be in written form which includes letter, fax, or e-mail.

(c) Search requests shall contain the full name of the debtor to be searched and the request must specify whether the debtor is an individual or an organization.

Section 2. **Rules applied to search requests.**

(a) Search results are produced by the application of standardized search logic to the name presented to the filing officer. Human judgment does not play a role in determining the results of the search. The following rules apply to searches:

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

(ii) No distinction is made between upper and lower case letters.

(iii) Punctuation marks and accents are disregarded.

(iv) Words and abbreviations at the end of a name that indicate the existence or nature of an organization as set forth in the "Ending Noise Words" list as promulgated and adopted by the International Association of Commercial Administrators are disregarded. The "Ending Noise Words" list may be found on the Secretary of State's website at sos.wy.us/business/ucchome.aspx

(v) The word "the" at the beginning of the search criteria is disregarded.

(vi) All spaces are disregarded.

(vii) For first and middle names of individuals, 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 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.

Section 3. Certified search request responses.

- (a) Certified search requests shall include:
 - (i) Identification of the filing officer and the certificate of the filing officer.
 - (ii) The date the report was generated.
 - (iii) Identification of the name searched.
 - (iv) The certification date and time for which the search is effective.
 - (v) Identification of each unlapsed initial financing statement filed on or prior to the certification date and time corresponding to the search criteria.
 - (vi) Copies of all UCC documents revealed by the search if requested by the searcher.

CHAPTER 4

Search Requests and Reports

Section 1. General Requirements.

(a) The filing officer maintains for public inspection a searchable index for all UCC records. The index shall provide for the retrieval of a record by the name of the debtor and by the file number of the initial financing statement and each filed UCC document relating to the initial financing statement.

(b) Search requests presented to the Secretary of State's Office shall be in written form which includes letter, fax, or e-mail.

(c) Search requests shall contain the full name of the debtor to be searched and the request must specify whether the debtor is an individual or an organization.

Section 2. Rules applied to search requests.

(a) Search results are produced by the application of standardized search logic to the name presented to the filing officer. Human judgment does not play a role in determining the results of the search. The following rules apply to searches:

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

(ii) No distinction is made between upper and lower case letters.

(iii) Punctuation marks and accents are disregarded.

(iv) Words and abbreviations at the end of a name that indicate the existence or nature of an organization as set forth in the "Ending Noise Words" list as promulgated and adopted by the International Association of ~~Corporation~~ Commercial Administrators are disregarded. The "Ending Noise Words" list may be found on the Secretary of State's website at soswy.wy.us/business/ucchome.aspx

~~(iv)-(v)~~ The word "the" at the beginning of the search criteria is disregarded.

~~(v)-(vi)~~ All spaces are disregarded.

~~(vi)-(vii)~~ For first and middle names of individuals, 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 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.

Section 3. Certified search request responses.

- (a) Certified search requests shall include:
 - (i) Identification of the filing officer and the certificate of the filing officer.
 - (ii) The date the report was generated.
 - (iii) Identification of the name searched.
 - (iv) The certification date and time for which the search is effective.
 - (v) Identification of each unlapsed initial financing statement filed on or prior to the certification date and time corresponding to the search criteria.
 - (vi) Copies of all UCC documents revealed by the search if requested by the searcher.