



**State of Rhode Island
Department of State - Business Services Division**

148 West River Street, Providence, Rhode Island 02904-2615

Phone: (401) 222-3040 | **Email:** corporations@sos.ri.gov | **Website:** www.sos.ri.gov

Instructions for RHODE ISLAND Information request (Form UCC11)

The Rhode Island filing office provides online search capabilities. Online searches are often faster and less costly than those conducted using this form. Please consider performing your search online. If submitting this form to conduct a search, be sure it is completely legible. Forms with handwritten entries may be rejected or have an adverse effect on the search results. Read and follow all instructions.

Fill in form very carefully; mistakes may have important legal consequences. If you have questions, consult your attorney. The filing office cannot give legal advice. Do not insert anything in the open space in the upper portion of this form; it is reserved for filing office use.

DO NOT include social security numbers, driver's license numbers, financial account numbers or other non-public personally identifiable information anywhere on the form.

Send the completed form to the filing office with required fee.

A and B. To assist the filing office in communicating with the submitter, submitter may provide information in item A and item B. These items are optional.

C. Enter name and address of requestor in item C. This item is NOT optional.

1. Debtor's name: Enter only one Debtor name in item 1, an organization's name (1a) **or** an individual's name (1b). Enter Debtor's exact full legal name. Don't abbreviate.
- 1a. Organization Debtor Name. "Organization Name" means the name of an entity that is not a natural person. A sole proprietorship is not an organization, even if the individual proprietor does business under a trade name. If Debtor is a registered organization (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Debtor's current filed public organic records to determine Debtor's correct name. Trade name is insufficient. If a corporate ending (e.g., corporation, limited partnership, limited liability company) is part of the Debtor's name, it must be included. Do not use words that are not part of the Debtor's name.
- 1b. Individual Debtor Name. "Individual Name" means the name of a natural person; this includes the name of an individual doing business as a sole proprietorship, whether or not operating under a trade name. The term includes the name of a decedent where collateral is being administered by a personal representative of the decedent. The term does not include the name of an entity, even if it contains, as part of the entity's name, the name of an individual. Prefixes (e.g., Mr., Mrs., Ms.) and titles (e.g., M.D.) are generally not part of an individual name. Indications of lineage (e.g., Jr., Sr., III) generally are not part of the individual's name, but may be entered in the Suffix box. Enter individual Debtor's surname (family name) in Individual's Surname box, first personal name in First Personal Name box, and all additional names in Additional Name(s)/Initial(s) box. If a Debtor's name consists of only a single word, enter that word in Individual's Surname box and leave other boxes blank.

For both organization and individual Debtors: Don't use Debtor's trade name, DBA, AKA, FKA, Division name, etc. in place of or combined with Debtor's legal name; you may add such other names as additional Debtors if you wish (but this is neither required nor recommended).

2. Search options relating to UCC filings and other notices on file in the filing office that include as a Debtor name identified in item 1. Check only **one** box to indicate the type of search you are requesting. If **no** box is checked in this section by default an **ACTIVE ONLY** search will be completed.

Option 1: a search report listing all active is checked reporting records pertaining to the Debtor identified on item 1. This selection includes all active and lapsed filings within one year of lapse date.

Option 2: a search report listing all active and inactive reported records pertaining to the Debtor identified on item 1. This selection includes all active and lapsed filings within one year past lapse date.

3. Copy options relating to the search requested in item 2. Check only one box to indicate whether you are ordering copies of the records returned in the search. If **no** box is checked, **no** copies will be provided.
4. Additional Services. Some filing offices offer service options in addition to those offered in item 2. These may be shown on the face of this form or may otherwise be publicized by the particular filing office. Caution: If any of these additional service options introduces a search criterion (e.g., limiting search to named Debtor at an address in a specified city and state) that narrows the scope of the search. This may result in an incomplete search (that fails to list all filings against the named Debtor) and you may fail to learn information that might be of value to you.
5. Delivery Instructions: Unless otherwise instructed, the filing office will mail information to the name and address in item C. If information will be picked up from the filing office, check the "Pick Up" box. For other than mail or pick up, check the "Other" box and specify the other delivery method that you are requesting. If requesting delivery service, provide delivery service's name and requestor's account number to bill for delivery charge. The filing office will not deliver by delivery service unless prepaid waybill or account number for billing is provided.

INFORMATION REQUEST
FOLLOW INSTRUCTIONS CAREFULLY

A. SUBMITTER NAME & PHONE (optional)	FILING OFFICE ACCT#
B. E-MAIL CONTACT OF SUBMITTER	
C. RETURN SEARCH RESULTS TO : (Name and Address)	

THE ABOVE BLANK SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR'S NAME to be searched - insert only one debtor name in sections 1a or 1b - **DO NOT** abbreviate or combine names

1a. ORGANIZATION'S NAME

OR

1b. INDIVIDUAL'S SURNAME	
INDIVIDUAL'S FIRST PERSONAL NAME	
INDIVIDUAL'S ADDITIONAL NAME(S)/INITIAL(S)	SUFFIX

2. SEARCH OPTIONS RELATING TO UCC FILINGS & OTHER NOTICES ON FILE IN FILING OFFICE THAT INCLUDE AS A DEBTOR NAME IDENTIFIED IN ITEM 1:

CHECK ONE BOX ONLY if no boxes are checked in this section by default a search for ACTIVE ONLY will be completed.

ACTIVE ONLY (includes all active and lapsed filings within one year of lapse date)

ACTIVE & INACTIVE (includes all active and lapsed filings that are more than one year past lapse date)

3. COPY OPTIONS CHECK ONE BOX ONLY if no boxes are checked in this section by default no copies will be provided.

NONE

COPIES OF ALL SEARCH RESULTS

CERTIFIED COPY OF SPECIFIED RECORD - \$5 for each requested record (if more space is needed please use a separate sheet of paper).

Record Number	Date Record Filed (if required)	Type of Record and Additional Identifying Information (if required)

4. ADDITIONAL SERVICES

5. DELIVERY INSTRUCTIONS (completed request will be sent by mail to the address shown in item B unless otherwise instructed here)

Pick Up
Other _____

Specify desired method here (if available from this office); provide delivery information (e.g., delivery service's name, addressee's account # with delivery service, addressee's phone #, etc.)



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Uniform Commercial Code (UCC) Filing Tips

<u>Hours for filing:</u>	Public Counter: Monday – Friday 8:30 AM to 4:30 PM Online filing – 24/7
<u>Information Requests:</u>	Information on specific filings of record with this office will not be given over the Telephone; only general information will be available. UCC11 Information Requests cannot be ordered over the telephone. All filings must be communicated in writing.
<u>Filing Fees:</u>	Filings must be communicated in writing and will not be accepted unless accompanied by the minimum filing fee. Checks are to be made payable to the Rhode Island Department of State. We accept VISA, MasterCard, Discover, and American Express for all over-the-counter and online transactions. A small enhanced access fee is charged for all credit card transactions. See our website for more information on enhanced access fees.
<u>Refunds:</u>	Refunds will be issued for duplicate payments and rejected documents not corrected within 30-days from the date the filing was submitted to this office. Refunds will not be issued for valid transactions and overpayments in the amount of \$10 or less. Enhanced access fees are not refundable. To request a refund or view our refund policy click here .
<u>Paper Filing Forms:</u>	The IACA National Filing Forms will be accepted for filing. Rhode Island does provide a state form for UCC11 Information Requests. Please carefully read all instructions prior to filing.
<u>Acknowledgments:</u>	Acknowledgements are no longer being mailed. If you would like to receive an Acknowledgement of your filing, you MUST provide a valid email address. Complete ITEM C of the filing form to include a valid email address. E-acknowledgements for all approved filings are emailed at 3pm and 8pm daily.
<u>Filing Evidence:</u>	If you do not receive an Acknowledgement or if you would like to obtain a copy of any recorded UCC, follow these steps: <ul style="list-style-type: none">• Go to our UCC Database• To search for a UCC1 – you must search by debtor name• To search for a UCC3 – you can search by file number or debtor name• Click on the filing number to view the filing summary page• Click on the PDF link to view and print the filing
<u>Rejected Filings:</u>	Paper filers will receive their filing and payment via US mail addressed to the individual/entity that submitted the paperwork. Correspondence will accompany the paperwork indicating what steps need to be taken to correct the filing. You may also use our Rejected Filing Viewer to view the rejected document. <ul style="list-style-type: none">• To search for a UCC1 – you must search by debtor name• To search for a UCC3 – you must search by file number