

## Instructions for UCC Financing Statement Amendment Addendum (Form UCC3Ad)

Please type or print this form. Be sure it is completely legible. Forms with handwritten entries may be rejected. 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.

Unless specifically required by applicable state law, DO NOT include social security numbers, driver's license numbers, financial account numbers or other non-public personally identifiable information anywhere on the form.

Form instructions are intended for paper forms. Electronic UCC filing parameters and instructions may differ from the below instructions.

Send completed form and any attachments to the filing office, with the related UCC3 Amendment Form and the correct fee.

### ITEM INSTRUCTIONS

11. File Number. Enter file number of initial financing statement as shown in item 1a of Amendment (Form UCC3) to which this Amendment Addendum relates.
12. Name of Authorizing Party. Enter information exactly as shown in item 9 on Amendment (Form UCC3).
13. Name of Debtor on related Financing Statement. If this Amendment (Form UCC3) is to be filed in the real estate records or in any other filing office where the name of a current Debtor of record is required for indexing purposes, enter Debtor name in item 13a or 13b. Item 13 is intended to cross-reference the Amendment (Form UCC3) and Amendment Addendum with the related Financing Statement (Form UCC1). If more than one current Debtor, enter additional name(s) in item 14 or on additional Amendment Addendum (Form UCC3Ad). Do not use item 13 to change, add, or delete a Debtor name.
14. Additional Space for Item 8 (Collateral) or Other Information. If space in item 8 of Amendment (Form UCC3) is insufficient or other information must be provided, check the box to indicate the type of information in item 8 and then enter the additional collateral or other information in item 14 or attach additional page(s) and incorporate by reference in item 14 (e.g., See Exhibit A).
- 15-17. Real Estate Record Information. If this Amendment (Form UCC3) is to be filed in the real estate records, complete the required information (items 15, 16, and 17). If this Amendment (Form UCC3) covers timber to be cut, covers as-extracted collateral, and/or is filed as a fixture filing, check appropriate box in item 15. If the Debtor does not have an interest of record, enter the name and address of the record owner in item 16. Provide a sufficient description of real estate in accordance with the applicable law of the jurisdiction where the real estate is located in item 17. If space in items 16 or 17 is insufficient, attach additional page(s) and incorporate by reference in items 16 or 17 (e.g., See Exhibit A), and continue the real estate information. Do not include social security numbers or other personally identifiable information.
18. Miscellaneous. Under certain circumstances, additional information not provided on the Financing Statement Amendment (Form UCC3) may be required. Also, some states have non-uniform requirements. Use this space or attach additional page(s) and incorporate by reference in item 18 (e.g., See Exhibit A) to provide such additional information or to comply with such requirements; otherwise, leave blank. Do not include social security numbers or other personally identifiable information.

# UCC FINANCING STATEMENT AMENDMENT ADDENDUM

FOLLOW INSTRUCTIONS

11. INITIAL FINANCING STATEMENT FILE NUMBER: Same as item 1a on Amendment form

12. NAME OF PARTY AUTHORIZING THIS AMENDMENT: Same as item 9 on Amendment form

12a. ORGANIZATION'S NAME

OR

12b. INDIVIDUAL'S SURNAME

FIRST PERSONAL NAME

ADDITIONAL NAME(S)/INITIAL(S)

SUFFIX

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

13. Name of DEBTOR on related financing statement (Name of a current Debtor of record required for indexing purposes only in some filing offices - see Instruction item 13): Provide only one Debtor name (13a or 13b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); see Instructions if name does not fit

13a. ORGANIZATION'S NAME

OR

13b. INDIVIDUAL'S SURNAME

FIRST PERSONAL NAME

ADDITIONAL NAME(S)/INITIAL(S)

SUFFIX

14. ADDITIONAL SPACE FOR (CHECK ONE BOX): ☐ ITEM 8 (Collateral) **OR** ☐ OTHER INFORMATION (Please Describe)

15. This FINANCING STATEMENT AMENDMENT:

☐ covers timber to be cut ☐ covers as-extracted collateral ☐ is filed as a fixture filing

16. Name and address of a RECORD OWNER of real estate described in item 17  
(if Debtor does not have a record interest):

17. Description of real estate:

18. MISCELLANEOUS:



State of Rhode Island

**Department of State - Business Services Division**

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## **Uniform Commercial Code (UCC) Filing Tips**

<b><u>Hours for filing:</u></b>	Public Counter: Monday – Friday 8:30 AM to 4:30 PM <a href="#">Online filing</a> – 24/7
<b><u>Information Requests:</u></b>	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.
<b><u>Filing Fees:</u></b>	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 <a href="#">website</a> for more information on enhanced access fees.
<b><u>Refunds:</u></b>	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 <a href="#">here</a> .
<b><u>Paper Filing Forms:</u></b>	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.
<b><u>Acknowledgments:</u></b>	Acknowledgements are no longer being mailed. If you would like to receive an Acknowledgement of your filing, you <b>MUST</b> 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.
<b><u>Filing Evidence:</u></b>	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"><li>• Go to our <a href="#">UCC Database</a></li><li>• To search for a UCC1 – you must search by debtor name</li><li>• To search for a UCC3 – you can search by file number or debtor name</li><li>• Click on the filing number to view the filing summary page</li><li>• Click on the PDF link to view and print the filing</li></ul>
<b><u>Rejected Filings:</u></b>	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 <a href="#">Rejected Filing Viewer</a> to view the rejected document. <ul style="list-style-type: none"><li>• To search for a UCC1 – you must search by debtor name</li><li>• To search for a UCC3 – you must search by file number</li></ul>