WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS (WDFI)

UCC FILINGS

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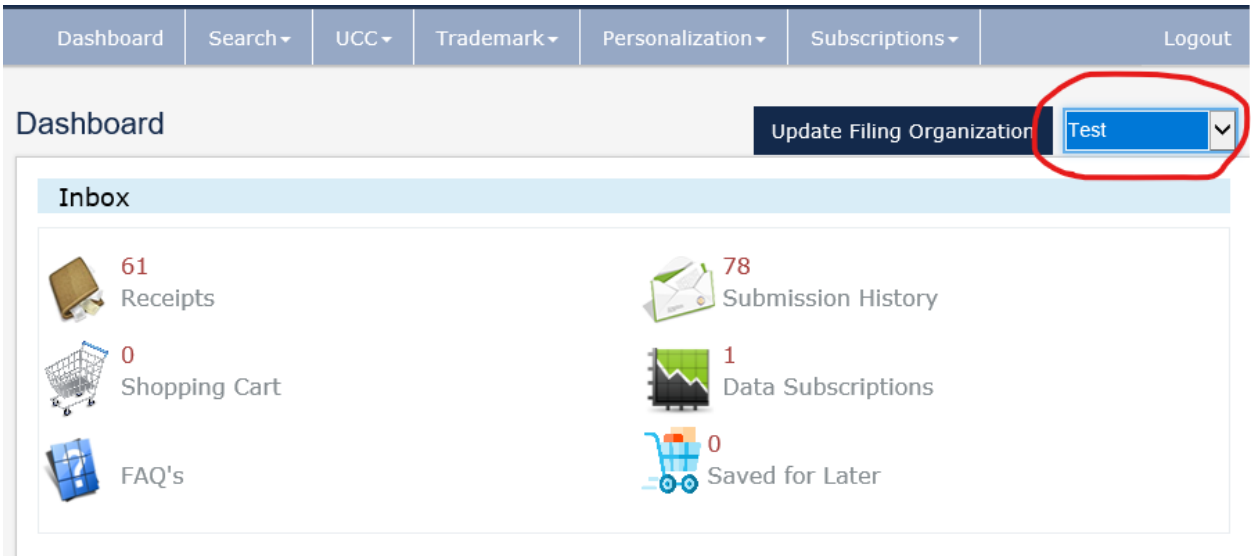
1 Online UCC Filings

Note what filing organization you are filing under on the Dashboard screen in the top right corner



To update the filing organization you are filing under, select the arrow on the dropdown (available if there is more than one filing organization present), choose the filing organization desired, and click **Update filing organization** then begin filing the type of UCC you desire.

All of the available online UCC filings may be accessed from the UCC header menu.

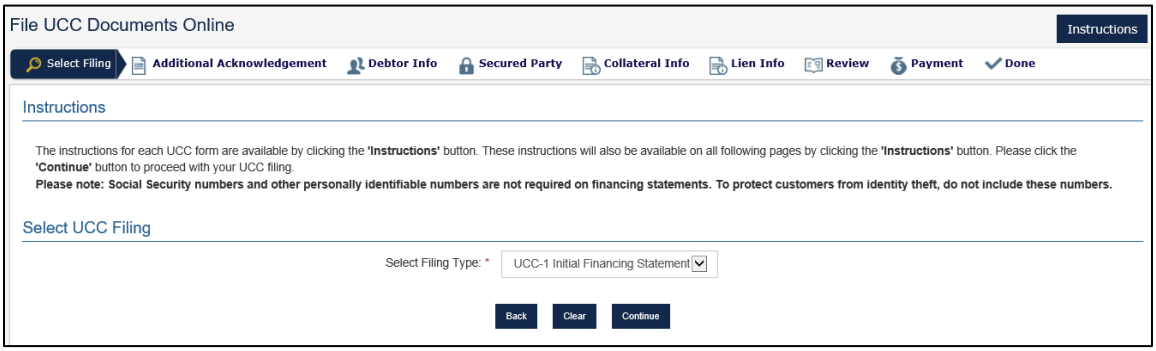
The user may complete the following UCC filings in the WDFI Online Filing System:

- UCC-1 Initial Financing Statement
- UCC-3 Termination
- UCC-3 Continuation
- UCC-3 Assignment
- UCC-3 Amendment Party
- UCC-3 Amendment Collateral
- UCC-5 Information Statement

NOTE: All of the UCC filings begin with the following 4 steps.

1. Select **UCC > UCC Filing** from the header menu to begin a filing.

   The system displays the File UCC Documents Online screen.



2. Select the desired filing type.

   The system may display additional fields based on selection.

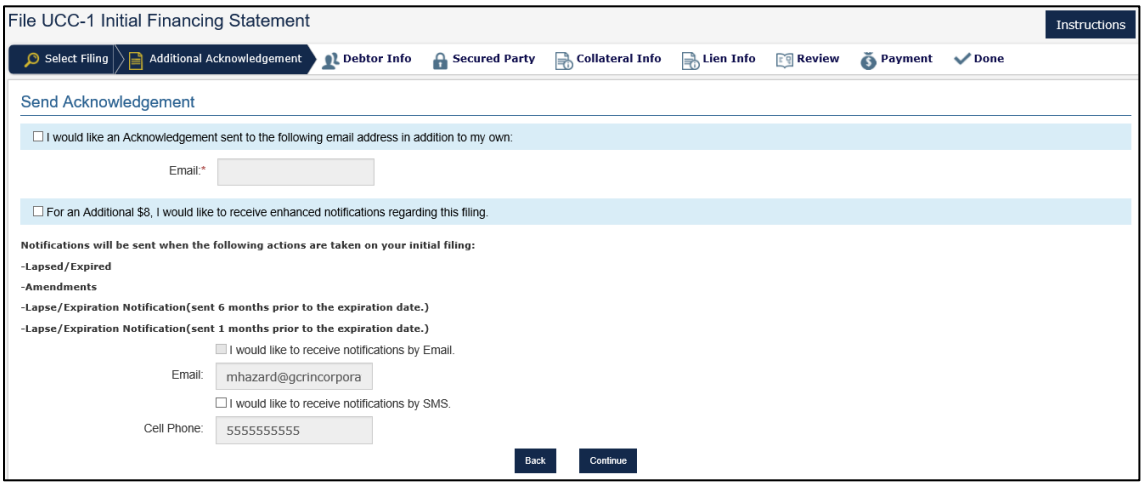
3. Complete the additional fields.

4. Click the **Continue** button.

2 UCC-1 Initial Financing Statement

1. Complete the steps in the Online UCC Filing section of this document to begin a UCC-1 Initial Financing Statement.

   The system displays the Send Acknowledgement/Enhanced Notification screen.

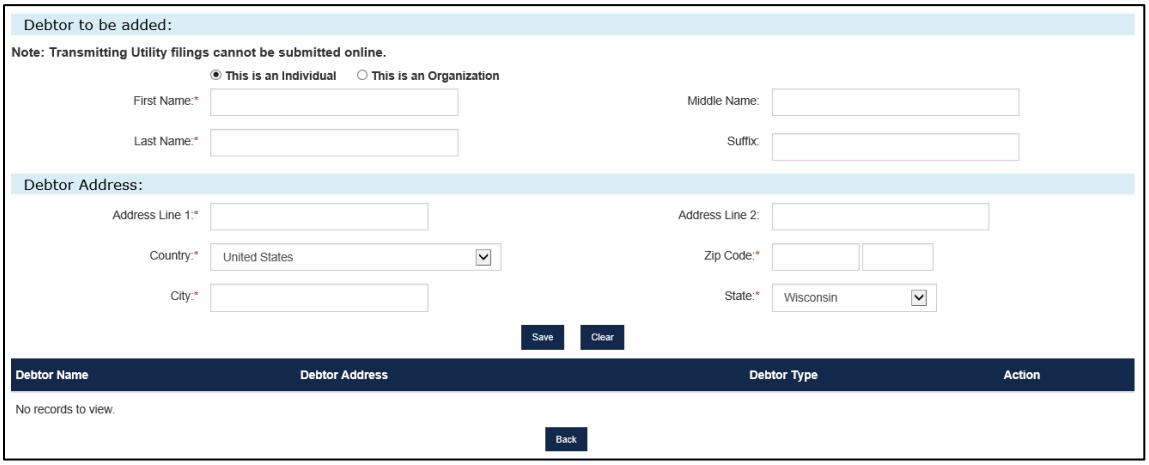


2. Complete the following as necessary…

To…	Then…
Send an acknowledgement to an email address in addition to that of the filer…	Select the appropriate check box and enter the desired email address.
Purchase enhanced notifications for this filing…	Select the appropriate check box.

3. Click the Continue button.

   The system displays the Debtor Information screen.



4. Enter the debtor information.

5. Click the Save button.

   The system displays the debtor in the data grid.

NOTE: Additional debtors may be entered by repeating steps 4 and 5.

6. Click the Continue button.

   The system displays the Secured Party Information screen.

Secured Party to be added: ☐ Save For Auto-Fill

Select Auto-Fill Party

○ This is an Individual ◉ This is an Organization

Organization Name:*

Secured Party Address:

Address Line 1:* Address Line 2:

Country:* United States Zip Code:*

City:* State:* Wisconsin

Save Clear

Secured Party Name	Secured Party Address	Secured Party Type	Action
No records to view.			

Back

7. Enter the secured party information.

NOTE: The user may select the **Save for Auto-Fill** checkbox to retain the secured party information for auto-filling these fields in later filings. Click the Select Auto-Fill Party button to auto-fill the fields with a previously saved secured party.

8. Click the Save button.

   The system displays the secured party in the data grid.

NOTE: Additional secured parties may be entered by repeating steps 7 and 8.

9. Click the Continue button.

   The system displays the Collateral Information screen.

Collateral Information

Please enter information in the Collateral Description field. Social Security numbers and other personally identifiable numbers are not required on financing statements. To protect customers from identity theft, do not include these numbers. Collateral text will not be saved until you click the Continue button.

Collateral Description:

This financing statement covers the following collateral:*
(64,000 Character Limit)

Select file(s) to upload (Max 10 MB): Select File Upload

File Description:

Back Continue

10. Enter the collateral information.

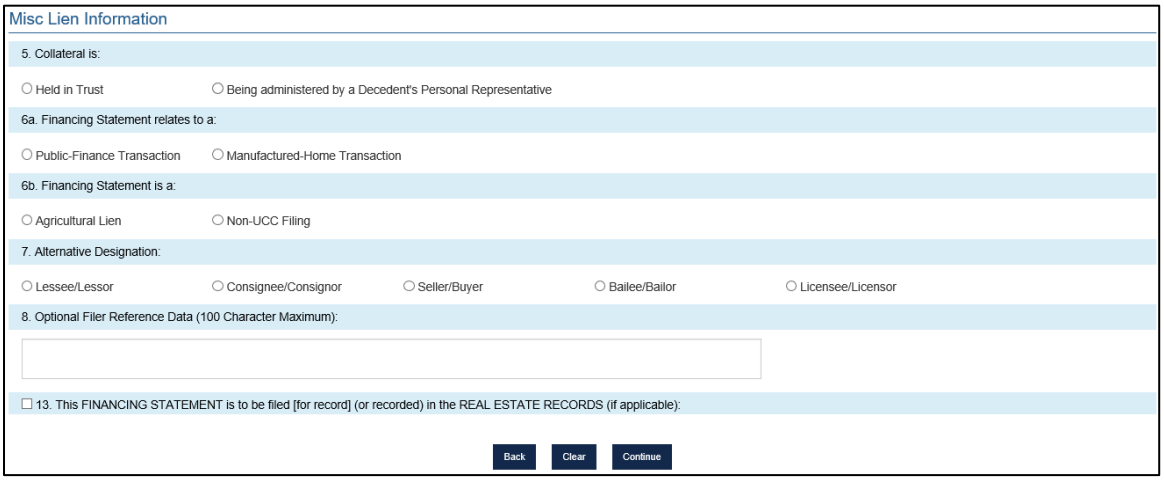
    If you choose to upload an attachment, the file must be a flattened PDF. Submitting a fillable PDF form that has not been flattened will cause all information entered in fillable fields to be deleted.

    How to flatten a PDF:

    1. Open the PDF
    2. Click **File**.
    3. Click **Print**.
    4. Select **Adobe PDF or Microsoft Print to PDF** (or similar) from the **Printer** drop-down menu.
    5. Click **Print**.
    6. Select a destination on your computer to save the flattened PDF file, then click **Save**.
    7. The flattened PDF file can now be submitted.

11. Click the Continue button.

    The system displays the Misc. Lien Information screen.


Misc Lien Information

5. Collateral is:

○ Held in Trust ○ Being administered by a Decedent's Personal Representative

6a. Financing Statement relates to a:

○ Public-Finance Transaction ○ Manufactured-Home Transaction

6b. Financing Statement is a:

○ Agricultural Lien ○ Non-UCC Filing

7. Alternative Designation:

○ Lessee/Lessor ○ Consignee/Consignor ○ Seller/Buyer ○ Bailee/Bailor ○ Licensee/Licensor

8. Optional Filer Reference Data (100 Character Maximum):

☐ 13. This FINANCING STATEMENT is to be filed [for record] (or recorded) in the REAL ESTATE RECORDS (if applicable):

Back Clear Continue

12. Select and/or Enter the miscellaneous lien information as necessary.

13. Click the Continue button.

    The system displays the review screen.

14. Review the previously entered information for accuracy.

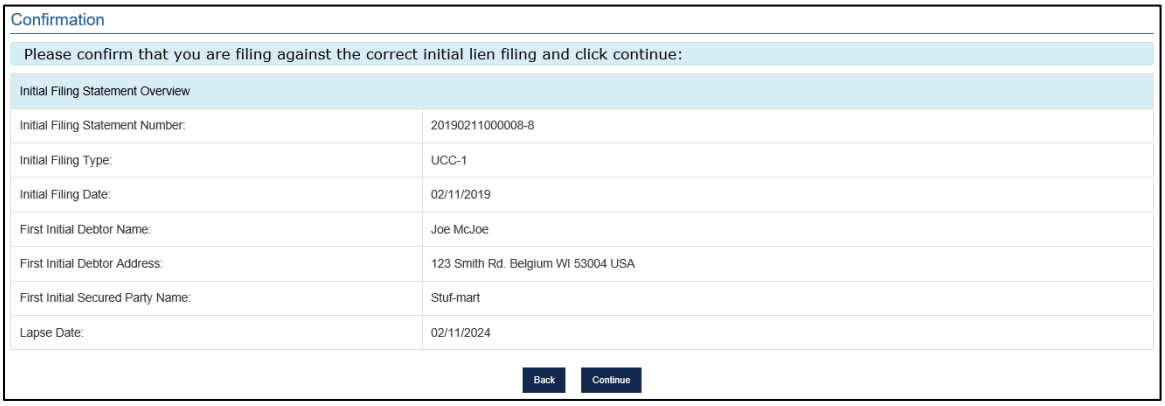
15. Click the Add to Cart button to add the filing to the shopping cart.

3 UCC-3

3.1 Termination

1. Complete the steps in the Online UCC Filing section of this document to begin a UCC-3 Termination filing.

   The system displays the Confirmation screen.



Confirmation

Please confirm that you are filing against the correct initial lien filing and click continue:

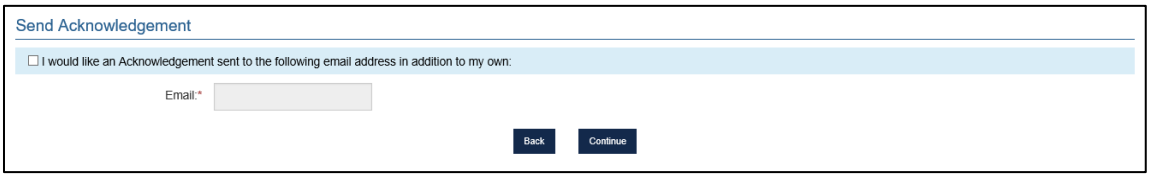
Initial Filing Statement Overview	
Initial Filing Statement Number:	20190211000008-8
Initial Filing Type:	UCC-1
Initial Filing Date:	02/11/2019
First Initial Debtor Name:	Joe McJoe
First Initial Debtor Address:	123 Smith Rd. Belgium WI 53004 USA
First Initial Secured Party Name:	Stuf-mart
Lapse Date:	02/11/2024

Back Continue

2. Review the information for accuracy.

3. Click the **Continue** button.

   The system displays the Send Acknowledgment screen.



Send Acknowledgement

☐ I would like an Acknowledgement sent to the following email address in addition to my own:

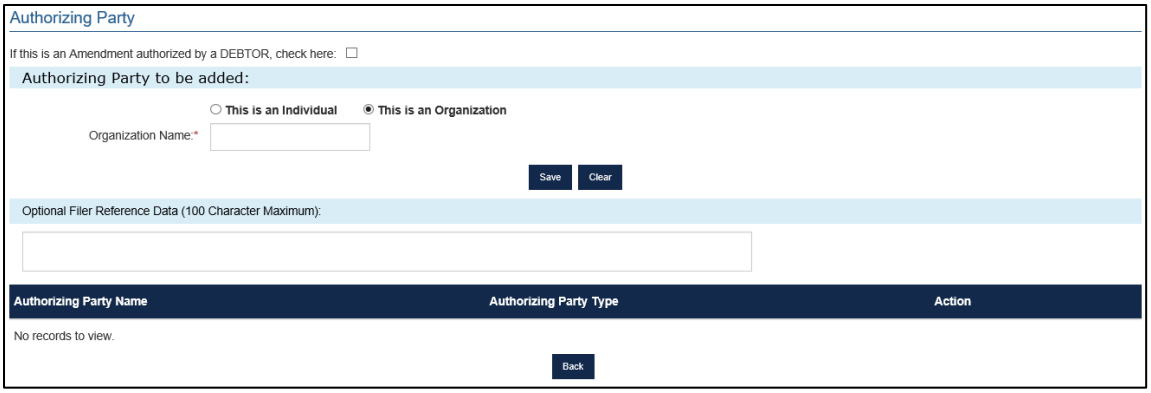
Email:*

Back Continue

4. Select the checkbox and enter the email address if necessary.

5. Click the **Continue** button.

   The system displays the Authorizing Party screen.



6. Enter the authorizing party information.

7. Click the **Save** button.

   The system displays the authorizing party in the data grid.

8. Click the **Continue** button.

   The system displays the review screen.

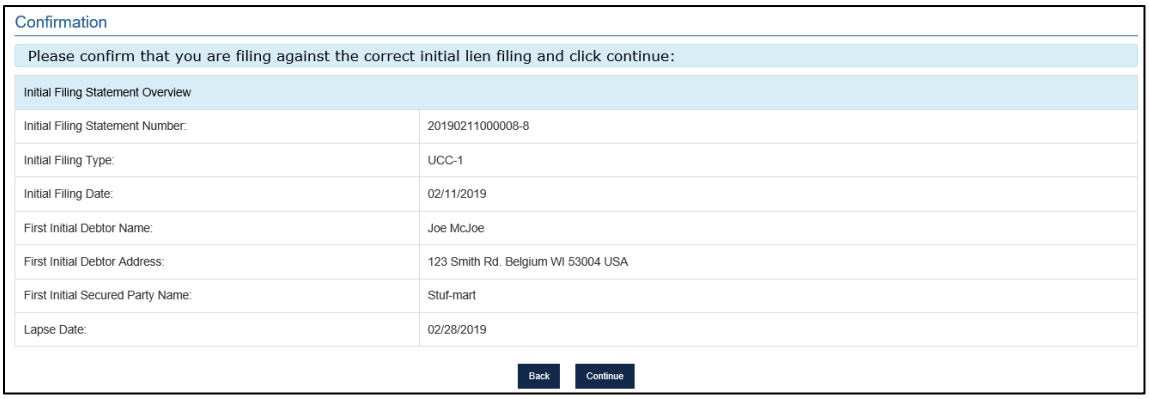
9. Review the previously entered information for accuracy.

10. Click the **Add to Cart** button to add the filing to the shopping cart.

3.2 Continuation

1. Complete the steps in the Online UCC Filing section of this document to begin a UCC-3 Continuation filing.

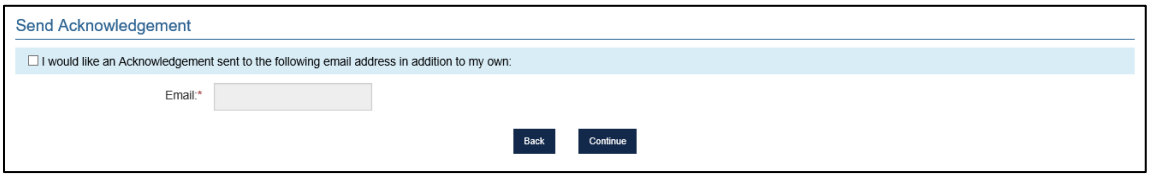
   The system displays the Confirmation screen.



2. Review the information for accuracy.

3. Click the Continue button.

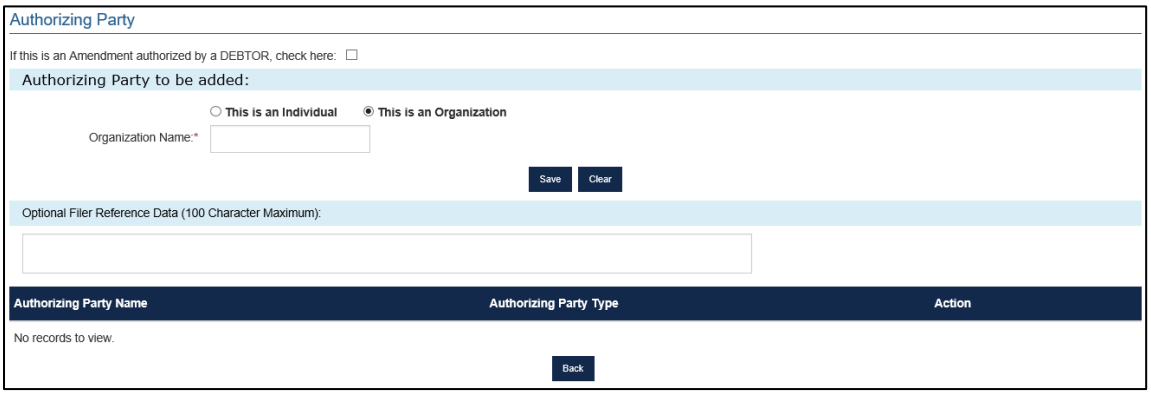
   The system displays the Send Acknowledgment screen.



4. Select the checkbox and enter the email address if necessary.

5. Click the Continue button.

   The system displays the Authorizing Party screen.



6. Enter the authorizing party information.

7. Click the Save button.

   The system displays the authorizing party in the data grid.

8. Click the Continue button.

   The system displays the review screen.

9. Review the previously entered information for accuracy.

10. Click the Add to Cart button to add the filing to the shopping cart.

3.3 Assignment

1. Complete the steps in the Online UCC Filing section of this document to begin a UCC-3 Assignment filing.

   The system displays the Confirmation screen.

   Confirmation

   Please confirm that you are filing against the correct initial lien filing and click continue:

Initial Filing Statement Overview	
Initial Filing Statement Number:	20190211000008-8
Initial Filing Type:	UCC-1
Initial Filing Date:	02/11/2019
First Initial Debtor Name:	Joe McJoe
First Initial Debtor Address:	123 Smith Rd. Belgium WI 53004 USA
First Initial Secured Party Name:	Stuf-mart
Lapse Date:	02/28/2019

   Back Continue

2. Review the information for accuracy.

3. Click the Continue button.

   The system displays the Send Acknowledgment screen.

   Send Acknowledgement

   ☐ I would like an Acknowledgement sent to the following email address in addition to my own:

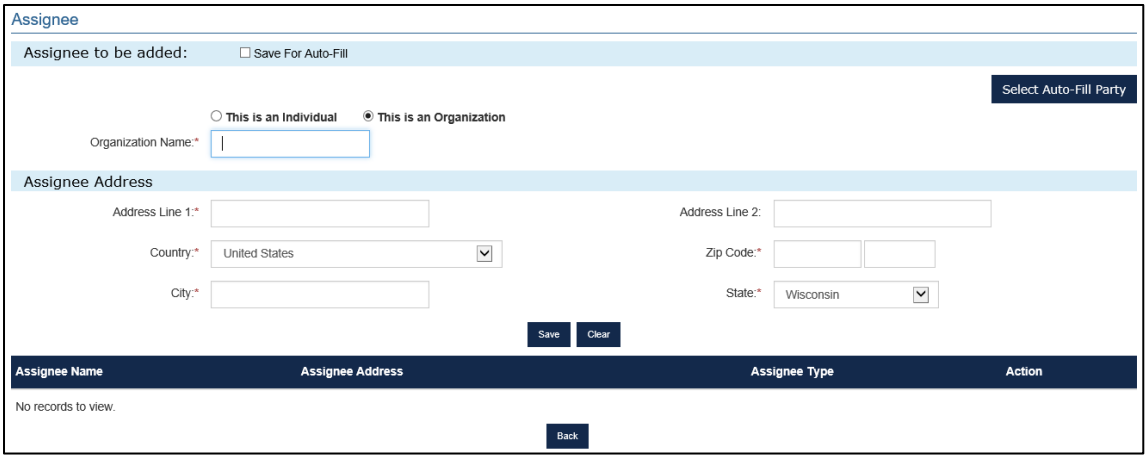
   Email:*

   Back Continue

4. Select the checkbox and enter the email address if necessary.

5. Click the Continue button.

   The system displays the Assignee Information screen.



6. Enter the assignee information.

NOTE: The user may select the **Save for Auto-Fill** checkbox to retain the assignee party information for auto-filling these fields in later filings. Click the Select Auto-Fill Party button to auto-fill the fields with a previously saved assignee.

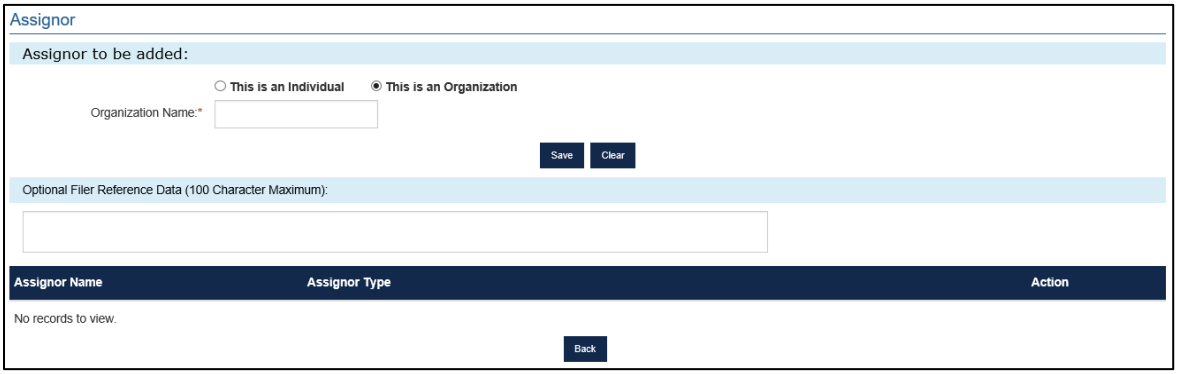
7. Click the Save button.

   The system displays the assignee in the data grid.

NOTE: Additional assignees may be entered by repeating steps 6 and 7.

8. Click the Continue button.

   The system displays the Assigner Information screen.



9. Enter the assigner information.

10. Click the Save button.

    The system displays the assigner in the data grid.

11. Click the Continue button.

    The system displays the review screen.

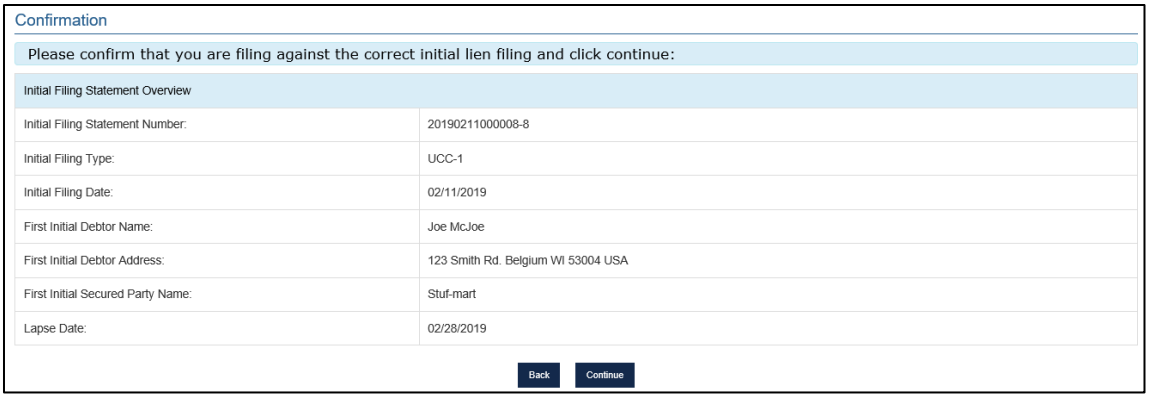
12. Review the previously entered information for accuracy.

13. Click the Add to Cart button to add the filing to the shopping cart.

3.4 UCC Amendment (Party)

1. Complete the steps in the Online UCC Filing section of this document to begin a UCC-3 Amendment (Party) filing.

   The system displays the Confirmation screen.



Confirmation

Please confirm that you are filing against the correct initial lien filing and click continue:

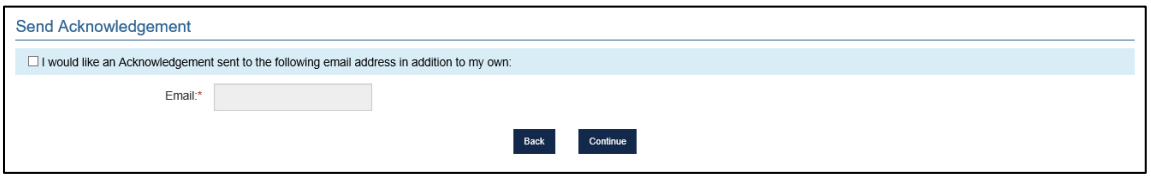
Initial Filing Statement Overview	
Initial Filing Statement Number:	20190211000008-8
Initial Filing Type:	UCC-1
Initial Filing Date:	02/11/2019
First Initial Debtor Name:	Joe McJoe
First Initial Debtor Address:	123 Smith Rd. Belgium WI 53004 USA
First Initial Secured Party Name:	Stuf-mart
Lapse Date:	02/28/2019

Back Continue

2. Review the information for accuracy.

3. Click the Continue button.

   The system displays the Send Acknowledgment screen.



Send Acknowledgement

☐ I would like an Acknowledgement sent to the following email address in addition to my own:

Email:*

Back Continue

4. Select the checkbox and enter the email address if necessary.

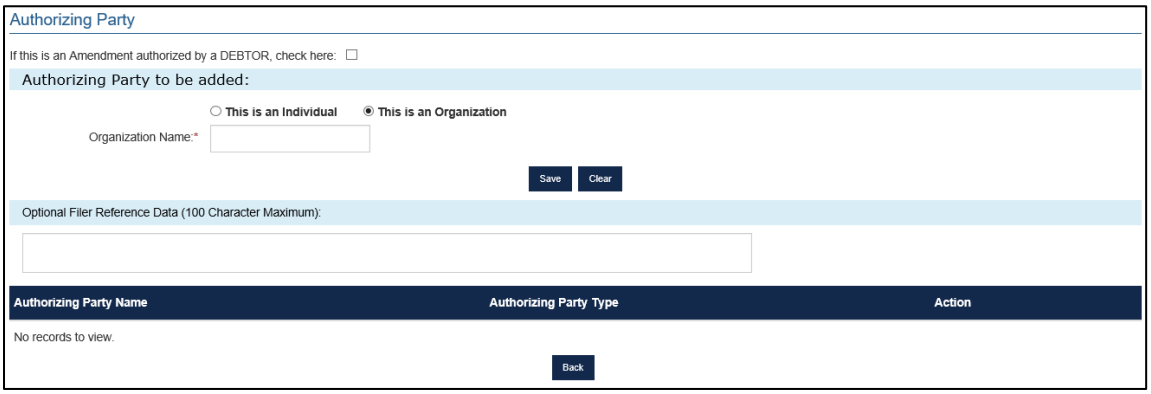
5. Click the Continue button.

   The system displays the Debtor or Secured Party information screen based on the type of UCC-3 Amendment (Party) filing selected.

6. Add or edit the debtor or secured party information as necessary.

7. Click the Continue button.

   The system displays the Authorizing Party screen.



8. Enter the authorizing party information.

9. Click the Save button.

   The system displays the authorizing party in the data grid.

10. Click the Continue button.

    The system displays the review screen.

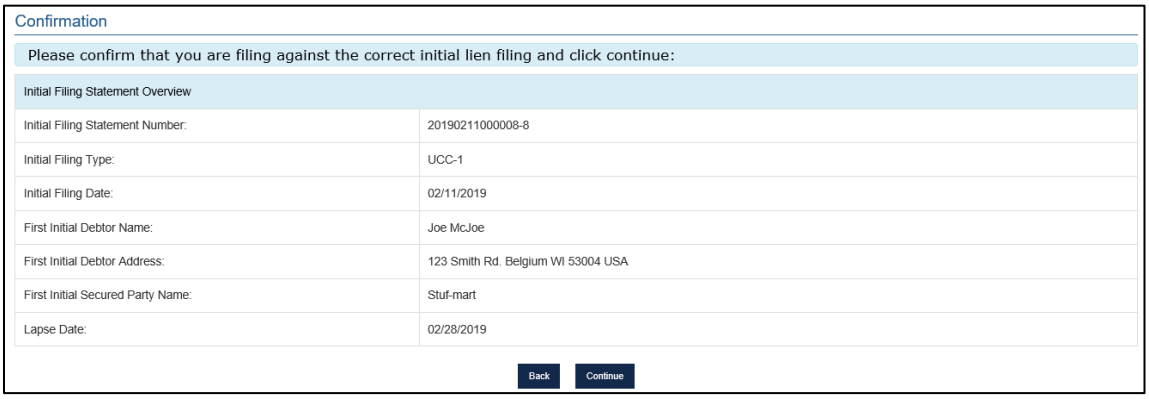
11. Review the previously entered information for accuracy.

12. Click the Add to Cart button to add the filing to the shopping cart.

3.5 UCC-3 Amendment (Collateral)

1. Complete the steps in the Online UCC Filing section of this document to begin a UCC-3 Amendment (Party) filing.

The system displays the Confirmation screen.



Confirmation

Please confirm that you are filing against the correct initial lien filing and click continue:

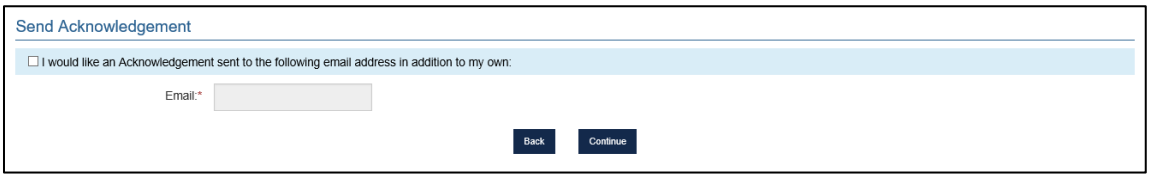
Initial Filing Statement Overview	
Initial Filing Statement Number:	20190211000008-8
Initial Filing Type:	UCC-1
Initial Filing Date:	02/11/2019
First Initial Debtor Name:	Joe McJoe
First Initial Debtor Address:	123 Smith Rd. Belgium WI 53004 USA
First Initial Secured Party Name:	Stuf-mart
Lapse Date:	02/28/2019

Back Continue

2. Review the information for accuracy.

3. Click the **Continue** button.

The system displays the Send Acknowledgment screen.



Send Acknowledgement

☐ I would like an Acknowledgement sent to the following email address in addition to my own:

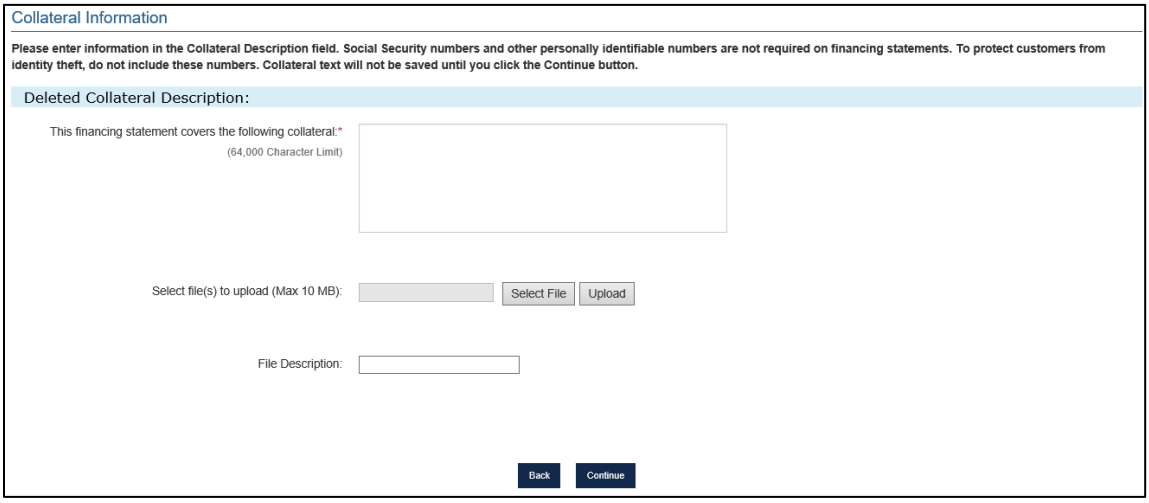
Email:*

Back Continue

4. Select the checkbox and enter the email address if necessary.

5. Click the **Continue** button.

The system displays the Collateral Information screen.



Collateral Information

Please enter information in the Collateral Description field. Social Security numbers and other personally identifiable numbers are not required on financing statements. To protect customers from identity theft, do not include these numbers. Collateral text will not be saved until you click the Continue button.

Deleted Collateral Description:

This financing statement covers the following collateral:*
(64,000 Character Limit)

Select file(s) to upload (Max 10 MB): Select File Upload

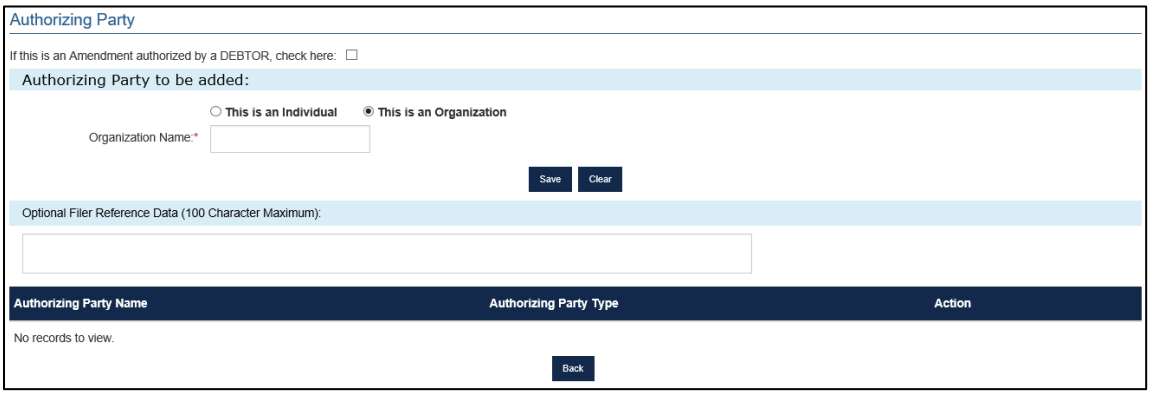
File Description:

Back Continue

6. Complete the collateral information.

7. Click the Continue button.

   The system displays the Authorizing Party screen.



8. Enter the authorizing party information.

9. Click the Save button.

   The system displays the authorizing party in the data grid.

10. Click the Continue button.

    The system displays the review screen.

11. Review the previously entered information for accuracy.

12. Click the Add to Cart button to add the filing to the shopping cart.

4 UCC-5 Information Statement

1. Complete the steps in the Online UCC Filing section of this document to begin a UCC-3 Amendment (Party) filing.

   The system displays the Confirmation screen.

Confirmation

Please confirm that you are filing against the correct initial lien filing and click continue:

Initial Filing Statement Overview	
Initial Filing Statement Number:	20190211000008-8
Initial Filing Type:	UCC-1
Initial Filing Date:	02/11/2019
First Initial Debtor Name:	Joe McJoe
First Initial Debtor Address:	123 Smith Rd. Belgium WI 53004 USA
First Initial Secured Party Name:	Stuf-mart
Lapse Date:	02/28/2019

Back Continue

2. Review the information for accuracy.

3. Click the **Continue** button.

The system displays the Send Acknowledgment screen.

Send Acknowledgement

☐ I would like an Acknowledgement sent to the following email address in addition to my own:

Email:*

Back Continue

4. Select the checkbox and enter the email address if necessary.

5. Click the **Continue** button.

The system displays the Claim Information screen.

Claim Information

1. Identification of the RECORD to which this INFORMATION STATEMENT relates:

1a. INITIAL FINANCING STATEMENT FILE NUMBER: 20190211000008-8
1b. RECORD INFORMATION TO WHICH THIS INFORMATION STATEMENT RELATES

UCC-1 Initial Financing Statement

2. Select the claim made by this INFORMATION STATEMENT:

○ RECORD IS INACCURATE ○ RECORD WAS WRONGFULLY FILED ○ RECORD FILED BY PERSON NOT ENTITLED TO DO SO

3. Basis for claim of selection in item 2. (1,000 Character Maximum):

4. Date and time of Filing identified in item 1a.:

Date of Filing: 2/11/2019 12:02:00 PM

5. NAME of PERSON filing this INFORMATION STATEMENT:

○ **This is an Individual** ○ **This is an Organization**

Back Continue

6. Enter or select the claim information.

7. Click the **Continue** button.

The system displays the review screen.

8. Review the previously entered information for accuracy.

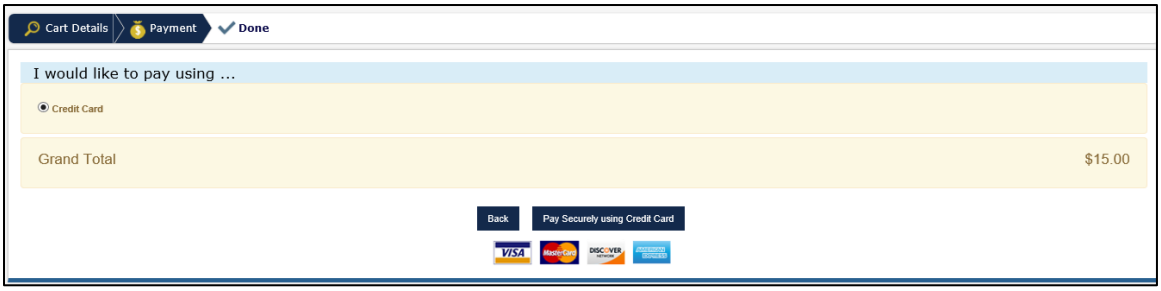
9. Click the **Add to Cart** button to add the filing to the shopping cart.

5 Pay and Complete Processing

The user must pay for their filings in order to complete processing.

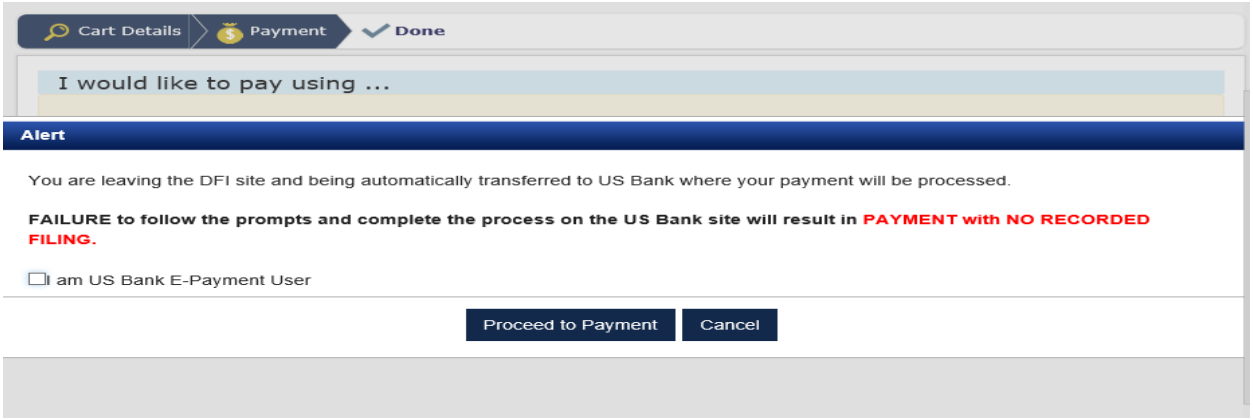
1. Click the **Complete Processing** button.

   The system displays the Credit Card payment type options.

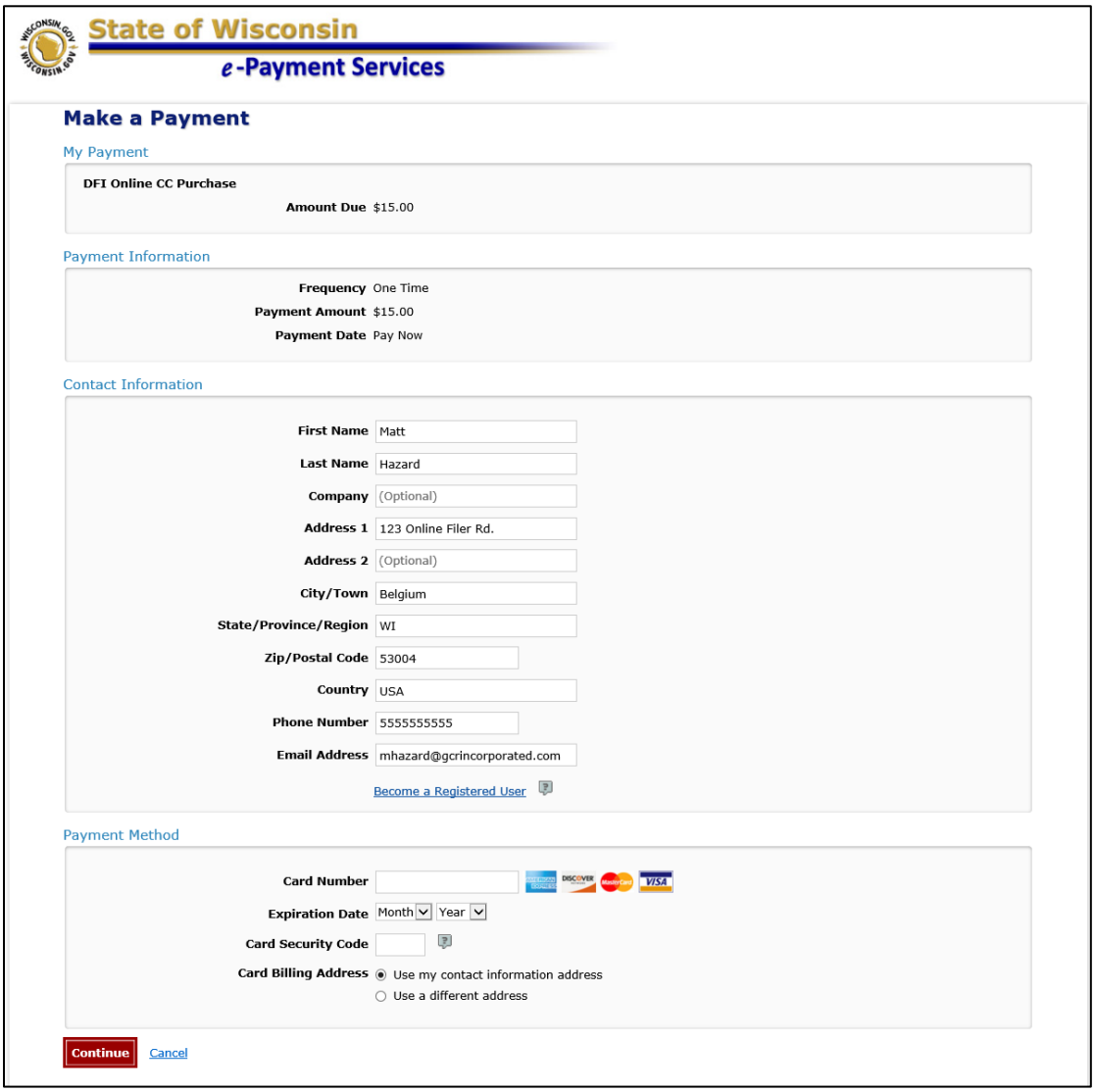


NOTE: Credit Card is selected by default.

2. Click the **Pay Securely using Credit Card** button.
3. A pop up will display to allow you to sign or create a US Bank account by checking the box or you can choose the **Proceed to Payment** to continue without signing into or creating a US Bank account.



The system displays the payment screen.

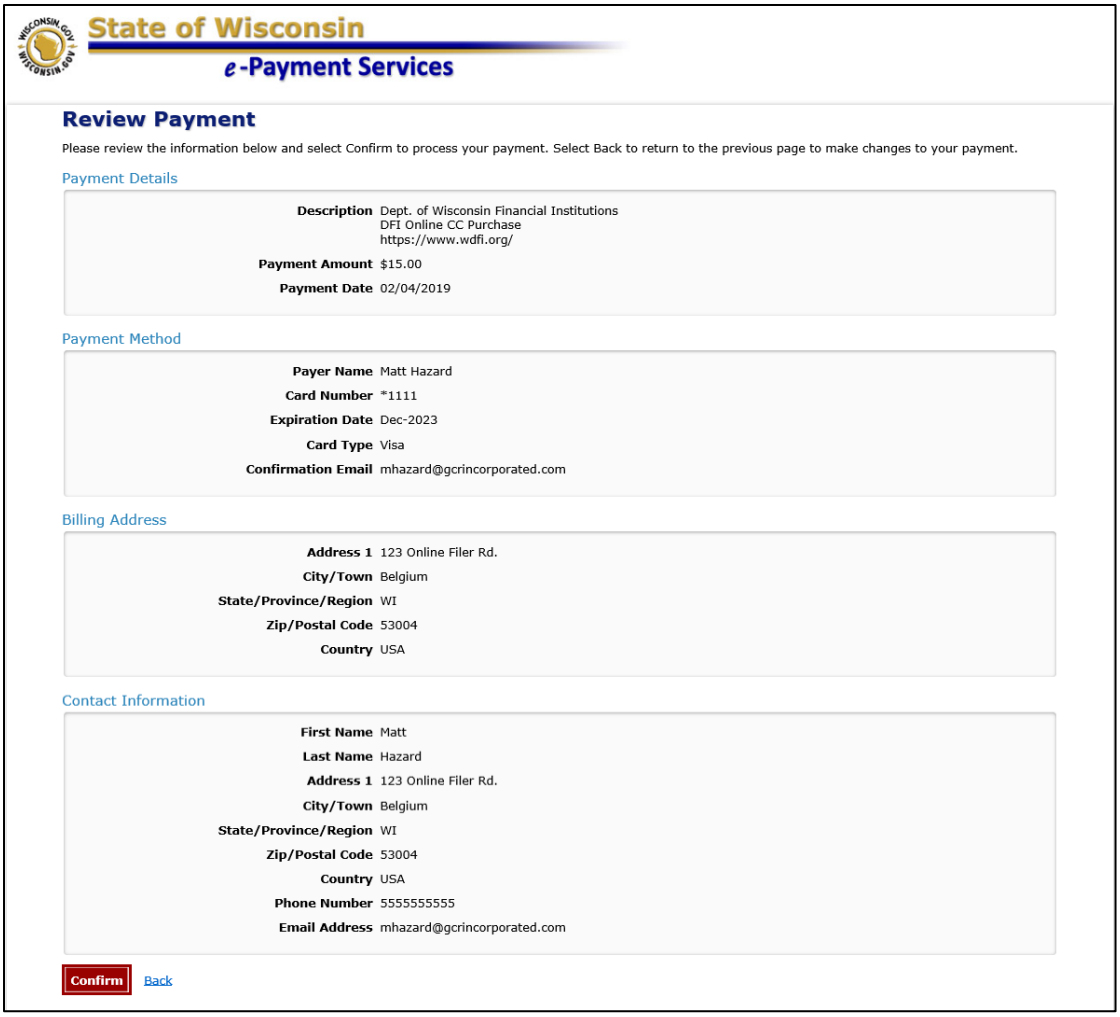


4. Enter the payment information.

5. Click the

button.

The system displays the Review Payment screen.



State of Wisconsin

e-Payment Services

Review Payment

Please review the information below and select Confirm to process your payment. Select Back to return to the previous page to make changes to your payment.

Payment Details

Description	Dept. of Wisconsin Financial Institutions DFI Online CC Purchase https://www.wdfi.org/
Payment Amount	$15.00
Payment Date	02/04/2019

Payment Method

Payer Name	Matt Hazard
Card Number	*1111
Expiration Date	Dec-2023
Card Type	Visa
Confirmation Email	mhazard@gcrincorporated.com

Billing Address

Address 1	123 Online Filer Rd.
City/Town	Belgium
State/Province/Region	WI
Zip/Postal Code	53004
Country	USA

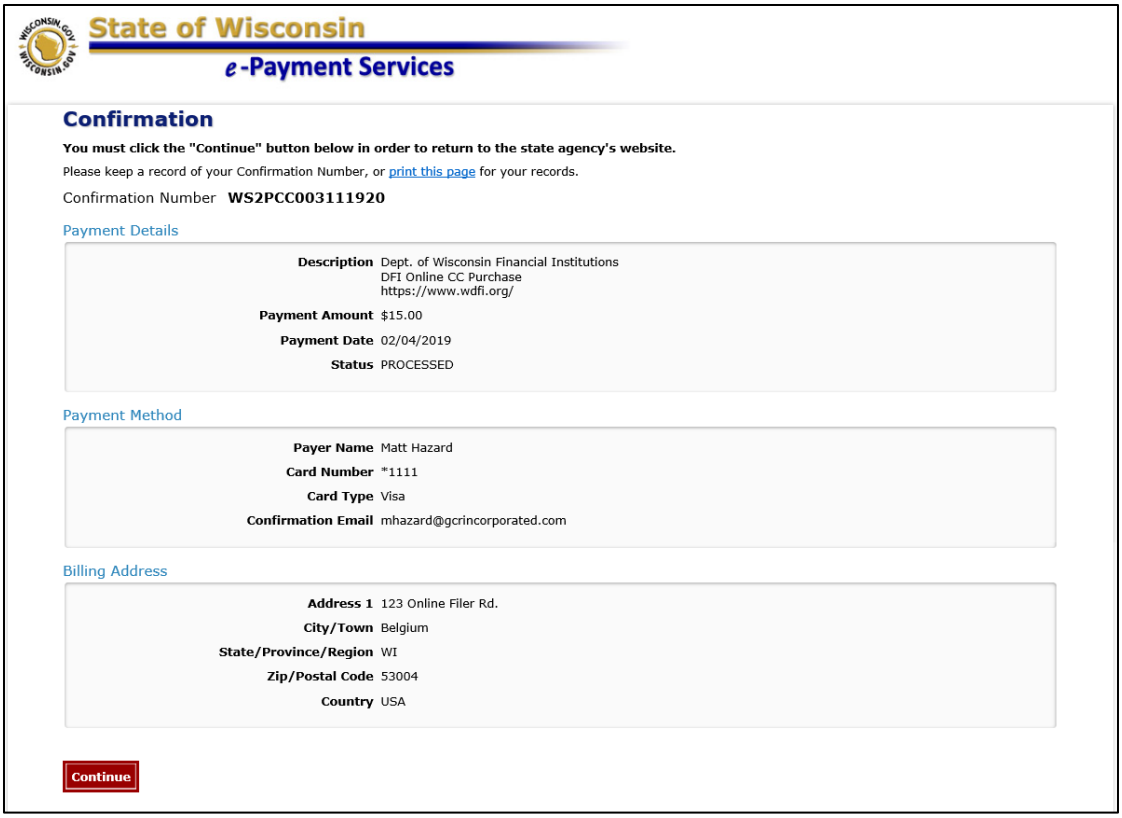
Contact Information

First Name	Matt
Last Name	Hazard
Address 1	123 Online Filer Rd.
City/Town	Belgium
State/Province/Region	WI
Zip/Postal Code	53004
Country	USA
Phone Number	5555555555
Email Address	mhazard@gcrincorporated.com

Confirm Back

6. Click the **Confirm** button.

The system displays the Confirmation screen.



State of Wisconsin

e-Payment Services

Confirmation

You must click the "Continue" button below in order to return to the state agency's website.

Please keep a record of your Confirmation Number, or print this page for your records.

Confirmation Number **WS2PCC003111920**

Payment Details

Description	Dept. of Wisconsin Financial Institutions DFI Online CC Purchase https://www.wdfi.org/
Payment Amount	$15.00
Payment Date	02/04/2019
Status	PROCESSED

Payment Method

Payer Name	Matt Hazard
Card Number	*1111
Card Type	Visa
Confirmation Email	mhazard@gcrincorporated.com

Billing Address

Address 1	123 Online Filer Rd.
City/Town	Belgium
State/Province/Region	WI
Zip/Postal Code	53004
Country	USA

Continue

7. Click the **Process Filing** button to return to the WDFI Online Filing System.

NOTE: This step is imperative to submitting your filing for processing.