

# WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS (WDFI)

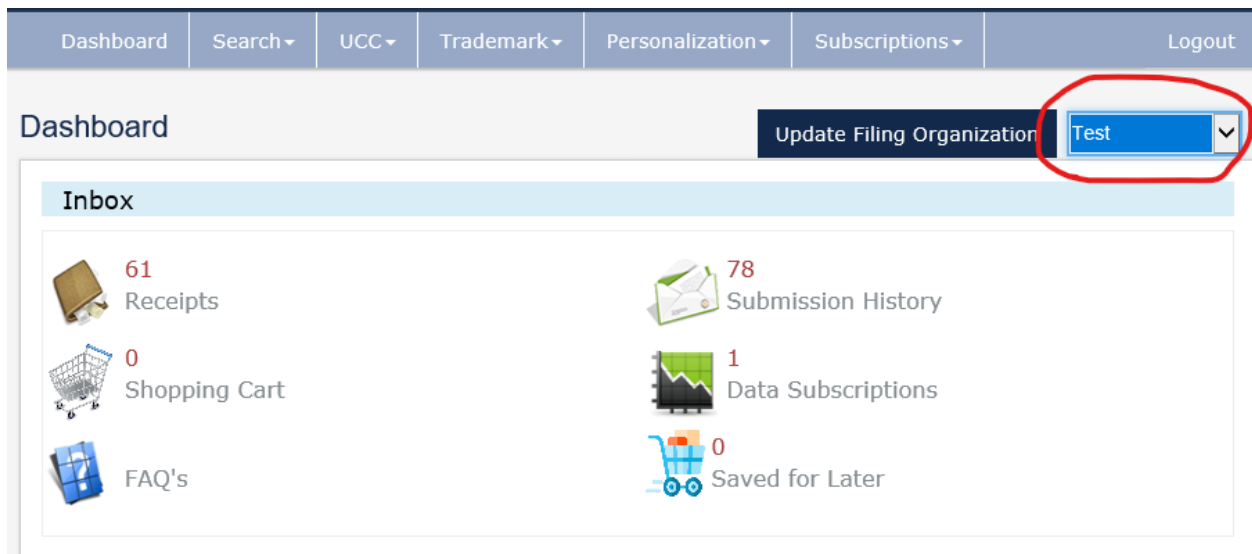
## UCC FILINGS

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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.

File UCC Documents Online

Select Filing Additional Acknowledgement Debtor Info Secured Party Collateral Info Lien Info Review Payment Done

Instructions

The instructions for each UCC form are available by clicking the 'Instructions' button. These instructions will also be available on all following pages by clicking the 'Instructions' button. Please click the 'Continue' button to proceed with your UCC filing.  
Please note: 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.

Select UCC Filing

Select Filing Type: \* UCC-1 Initial Financing Statement

Back Clear Continue

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.

File UCC-1 Initial Financing Statement

Select Filing Additional Acknowledgement Debtor Info Secured Party Collateral Info Lien Info Review Payment Done

Send Acknowledgement

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

Email\*

For an Additional \$8, I would like to receive enhanced notifications regarding this filing.

Notifications will be sent when the following actions are taken on your initial filing:

- Lapsed/Expired
- Amendments
- Lapse/Expiration Notification(sent 6 months prior to the expiration date.)
- Lapse/Expiration Notification(sent 1 months prior to the expiration date.)

I would like to receive notifications by Email.

Email:

I would like to receive notifications by SMS.

Cell Phone:

Back Continue

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.

Debtor to be added:

**Note: Transmitting Utility filings cannot be submitted online.**

This is an Individual   
 This is an Organization

First Name:\*                       Middle Name:   
Last Name:\*                       Suffix:

**Debtor Address:**

Address Line 1:\*                       Address Line 2:   
Country:\*                       Zip Code:\*    
City:\*                       State:\*

Debtor Name	Debtor Address	Debtor Type	Action
No records to view.			

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:\*  Zip Code:\*

City:\*  State:\*

[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.

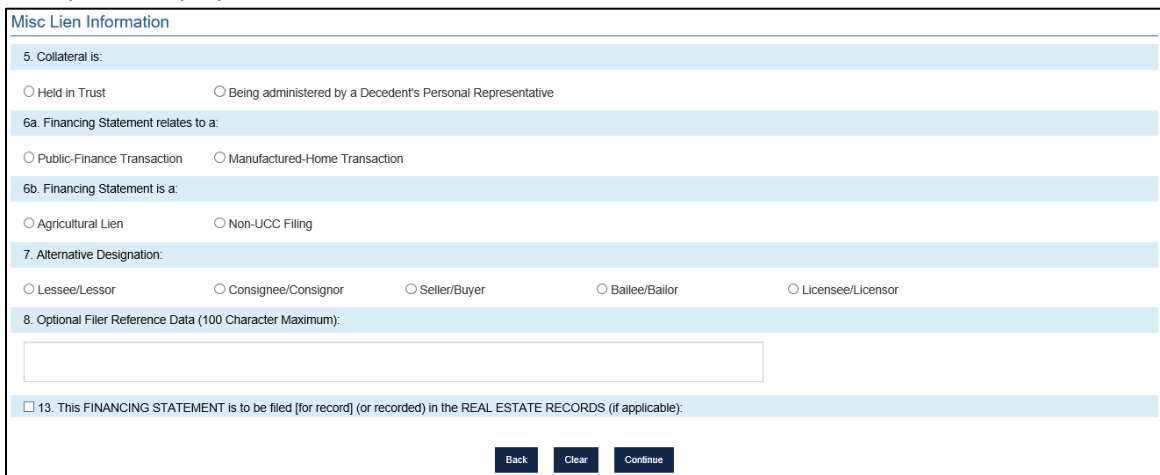
**If you choose to upload an attachment, the file must be a flattened PDF. Submitting a fillable PDF form that has not been flattened will cause all information entered in fillable fields to be deleted.**

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  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):

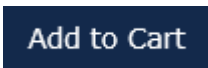
13. This FINANCING STATEMENT is to be filed [for record] (or recorded) in the REAL ESTATE RECORDS (if applicable):

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

13. Click the  button.

The system displays the review screen.

14. Review the previously entered information for accuracy.

15. Click the  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
<div style="text-align: right;"><input type="button" value="Back"/> <input type="button" value="Continue"/></div>	

2. Review the information for accuracy.

3. Click the  button.

The system displays the Send Acknowledgment screen.

Send Acknowledgement
<input type="checkbox"/> I would like an Acknowledgement sent to the following email address in addition to my own:
Email:* <input type="text"/>
<div style="text-align: right;"><input type="button" value="Back"/> <input type="button" value="Continue"/></div>

4. Select the checkbox and enter the email address if necessary.
5. Click the  button.

The system displays the Authorizing Party screen.



**Authorizing Party**

If this is an Amendment authorized by a DEBTOR, check here:

**Authorizing Party to be added:**

This is an Individual  This is an Organization

Organization Name:

Optional Filer Reference Data (100 Character Maximum):

Authorizing Party Name	Authorizing Party Type	Action
No records to view.		

6. Enter the authorizing party information.

7. Click the  button.

The system displays the authorizing party in the data grid.

8. Click the  button.

The system displays the review screen.

9. Review the previously entered information for accuracy.

10. Click the  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.

**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

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.

Authorizing Party

If this is an Amendment authorized by a DEBTOR, check here:

Authorizing Party to be added:

This is an Individual  This is an Organization

Organization Name:\*

Save Clear

Optional Filer Reference Data (100 Character Maximum):

Authorizing Party Name	Authorizing Party Type	Action
No records to view.		

Back

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.

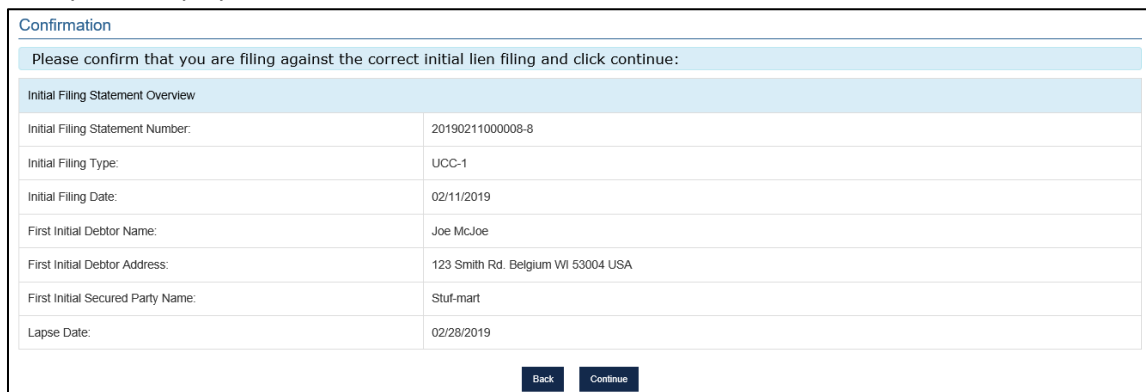
9. Review the previously entered information for accuracy.

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.



The Confirmation screen displays the following information:

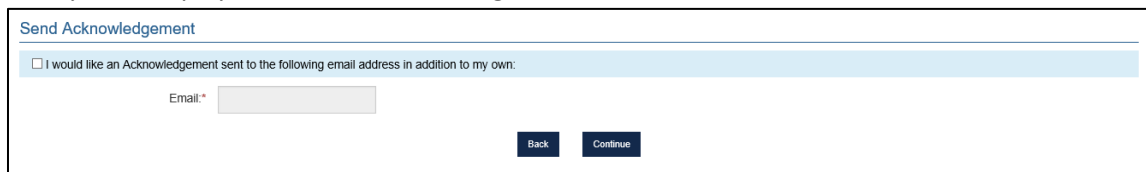
Initial Filing Statement Overview	
Initial Filing Statement Number:	20190211000008-8
Initial Filing Type:	UCC-1
Initial Filing Date:	02/11/2019
First Initial Debtor Name:	Joe McJoe
First Initial Debtor Address:	123 Smith Rd. Belgium WI 53004 USA
First Initial Secured Party Name:	Stuf-mart
Lapse Date: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

Buttons: Back, Continue

2. Review the information for accuracy.

3. Click the **Continue** button.

The system displays the Send Acknowledgment screen.



The Send Acknowledgement screen displays the following information:

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

Email:\*

Buttons: 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.

**Assignee**

Assignee to be added:  Save For Auto-Fill

**Select Auto-Fill Party**

This is an Individual  This is an Organization

Organization Name:\*

**Assignee Address**

Address Line 1:\*  Address Line 2:

Country:\*  Zip Code:\*

City:\*  State:\*

**Save** **Clear**

Assignee Name	Assignee Address	Assignee Type	Action
No records to view.			

**Back**

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.

**Assigner**

Assigner to be added:

This is an Individual  This is an Organization

Organization Name:\*

**Save** **Clear**

Optional Filer Reference Data (100 Character Maximum):

Assigner Name	Assigner Type	Action
No records to view.		

**Back**

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
<b>Back</b> <b>Continue</b>	

2. Review the information for accuracy.

3. Click the **Continue** button.

The system displays the Send Acknowledgment screen.

Send Acknowledgement
<input type="checkbox"/> I would like an Acknowledgement sent to the following email address in addition to my own:
Email:* <input type="text"/>
<b>Back</b> <b>Continue</b>

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.

Authorizing Party

If this is an Amendment authorized by a DEBTOR, check here:

Authorizing Party to be added:

This is an Individual  This is an Organization

Organization Name:\*

Save Clear

Optional Filer Reference Data (100 Character Maximum):

Authorizing Party Name	Authorizing Party Type	Action
No records to view.		

Back

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.

Authorizing Party

If this is an Amendment authorized by a DEBTOR, check here:

Authorizing Party to be added:

This is an Individual  This is an Organization

Organization Name:\*

**Save** **Clear**

Optional Filer Reference Data (100 Character Maximum):

Authorizing Party Name	Authorizing Party Type	Action
No records to view.		

**Back**

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

2. Review the information for accuracy.

3. Click the  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\*

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

5. Click the  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

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

6. Enter or select the claim information.

7. Click the  button.

The system displays the review screen.

8. Review the previously entered information for accuracy.

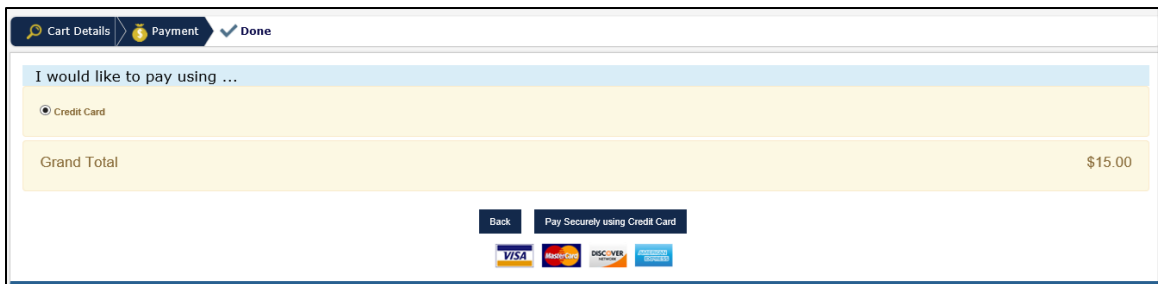
9. Click the **Add to Cart** button to add the filing to the shopping cart.

## 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.

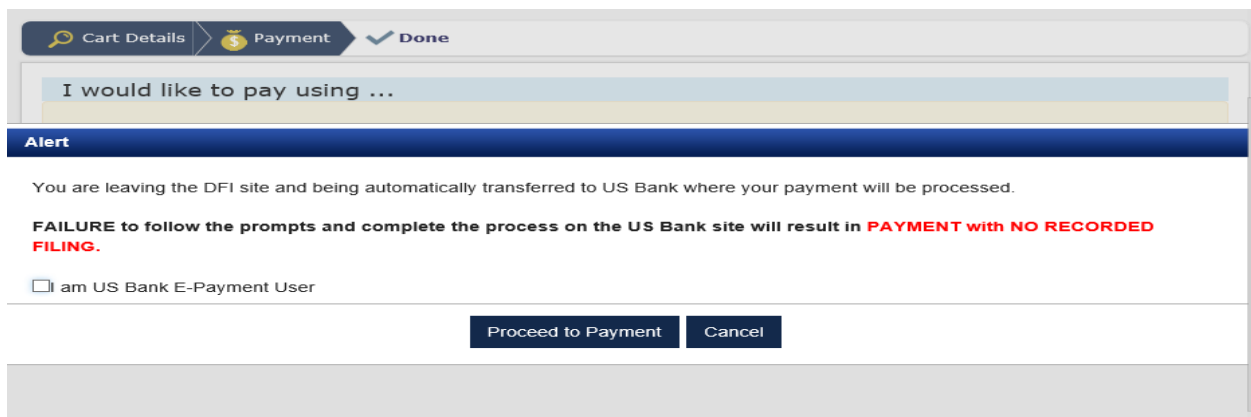


**NOTE:** Credit Card is selected by default.

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.

**State of Wisconsin**  
**e-Payment Services**

### Make a Payment

**My Payment**

**DFI Online CC Purchase**  
Amount Due \$15.00

**Payment Information**

Frequency One Time  
Payment Amount \$15.00  
Payment Date Pay Now

**Contact Information**

First Name Matt  
Last Name Hazard  
Company (Optional)  
Address 1 123 Online Filer Rd.  
Address 2 (Optional)  
City/Town Belgium  
State/Province/Region WI  
Zip/Postal Code 53004  
Country USA  
Phone Number 5555555555  
Email Address mhazard@gcrincorporated.com  
[Become a Registered User](#)

**Payment Method**

Card Number   
Expiration Date Month Year  
Card Security Code  
Card Billing Address  Use my contact information address  
 Use a different address

**Continue** [Cancel](#)

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

<b>Description</b>	Dept. of Wisconsin Financial Institutions DFI Online CC Purchase <a href="https://www.wdfi.org/">https://www.wdfi.org/</a>
<b>Payment Amount</b>	\$15.00
<b>Payment Date</b>	02/04/2019

#### Payment Method

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

#### Billing Address

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

#### Contact Information

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

[Confirm](#) [Back](#)

- Click the  button.

The system displays the Confirmation screen.



### 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

<b>Description</b>	Dept. of Wisconsin Financial Institutions DFI Online CC Purchase <a href="https://www.wdfi.org/">https://www.wdfi.org/</a>
<b>Payment Amount</b>	\$15.00
<b>Payment Date</b>	02/04/2019
<b>Status</b>	PROCESSED

#### Payment Method

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

#### Billing Address

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