



**Uniform Commercial Code Section  
Reasons for Refusal  
(Rev. 08/07/2013)**

**Office of the Secretary of State  
Uniform Commercial Code  
P.O. Box 13193  
Austin, Texas 78711-3193  
512-475-2703**

**ALL DOCUMENTS — GENERAL**

The enclosed check(s) must be made payable to or endorsed to the Secretary of State of Texas, must be payable in US dollars and drawn on a US bank or other financial institution.

The submitted payment cannot be accepted because the WRITTEN AMOUNT was not sufficient to satisfy the statutory filing fee of the filing document.

The submitted payment was insufficient to accept filing pursuant to Sec. 9.516(b)(2), Texas Business and Commerce Code.

There are insufficient funds in the client account to file the submitted document(s).

The Payment Form must be signed by the authorized card holder.

The LegalEase account is not a valid account number.

The credit card that was provided is invalid or has expired. Please resubmit with a valid credit card.

Your credit card, client account, or LegalEase account was not charged for any rejected documents.

A refund has been ordered by this office and should arrive in two to three weeks.

The enclosed form(s) was submitted without payment. Please resubmit with the appropriate payment.

No form(s) was submitted with the enclosed payment. Please resubmit with the appropriate form(s) or information which pertains to the enclosed payment.

Documents presented in person or transmitted by fax for filing are treated as an expedited filing and subject to an expedited handling fee of \$15 per record. Faxed documents are subject to an additional fee of \$2 per page for a fax acknowledgment copy.

Fax filings must include a Payment Form completed with the proper information.

**DO NOT PROVIDE DUPLICATE FILING OFFICE COPY OR ACKNOWLEDGMENT COPY OF FORM OR DOCUMENT WHEN SUBMITTING A RECORD FOR FILING.** Filer will automatically receive an acknowledgment letter and image of the filed record.

Do not include a self-addressed envelope for returning acknowledgment copy. Acknowledgment letter and image of filed record will be automatically sent to the return address on submitted envelope.

Document presented appears to be a duplicate of document filed that is referenced in batch packing slip. If this applies and duplicate document does not require filing, do not return to filing office.

The document is not clear and legible for the scanning process in this filing office. The letters are too small, dark, blurry, or bleed together. Unable to read party information. Please provide a more legible document for filing.

Filing office is unable to read or decipher the information pursuant to Sec. 9.516(c)(1), Texas Business and Commerce Code.

The record has not been communicated by a method or medium authorized by this filing office pursuant to Sec. 9.516(b)(1), Texas Business and Commerce Code.

Document has not been submitted on a form approved by the International Association of Commercial Administrators (IACA) or this filing office. Please resubmit on an approved form pursuant to Section 95.103, Texas Administrative Code.

The submitted form is not from a printer or supplier that has been approved by the International Association of Commercial Administrators (IACA) or this filing office. [Current printers or suppliers](#) can be found on the Agency website.

[Fillable PDF forms](#) can be found on the Agency website.

The submitted filing requires additional documentation pursuant to Sec. 405.022, Texas Government Code. See attached.

Pursuant to Sec. 405.022, Texas Government Code, the Office of the Attorney General has determined your document to be legally insufficient to set forth a valid lien of claim. See attached.

Initial financing statement names the same person as the debtor and secured party and filing officer is not required to accept the document for filing pursuant to Attorney General Opinion No. JC-0256 (July 18, 2000).

The document has been revoked pursuant to Sec. 405.033, Texas Government Code.

This document has been previously rejected for the same reason(s) as listed in this rejection notice.

<b>INITIAL FILINGS</b>
<b>FEES</b>
<b>Financing Statement, Agricultural Lien, Aircraft Maintenance Lien, Contract Agricultural Lien, Transition Property Notice (TPN1)</b>
The enclosed form requires a filing fee of \$15 if it contains 2 pages or less pursuant to Sec. 9.525, Texas Business and Commerce Code.
The enclosed form requires a filing fee of \$30 if it contains 3 pages or more pursuant to Sec. 9.525, Texas Business and Commerce Code.
<b>Manufactured-Home Transaction, Public-Finance Transaction, Transmitting Utility</b>
The enclosed form requires a filing fee of \$60 pursuant to Sec. 9.525, Texas Business and Commerce Code.
<b>Utility Security Instrument</b>
The enclosed form requires a filing fee of \$25 pursuant to Sec. 261.008, Texas Business and Commerce Code.
<b>Notice of Federal Lien</b>
The enclosed form requires a filing fee of \$10 pursuant to Sec. 14.005, Texas Property Code.
<b>Restitution Lien</b>
The enclosed form requires a filing fee of \$5 pursuant to Sec. 42.22, Texas Code of Criminal Procedure.
<b>INITIAL FILINGS — GENERAL</b>
<b>FINANCING STATEMENT</b>
Failure to provide a name for the debtor pursuant to Sec. 9.516(b)(3)(A), Texas Business and Commerce Code.
If identified as an individual, failure to provide the last name of the debtor pursuant to Sec. 9.516(b)(3)(C), Texas Business and Commerce Code.
Failure to provide a mailing address for the debtor pursuant to Sec. 9.516(b)(5)(A), Texas Business and Commerce Code.
Failure to provide a name and/or mailing address for the secured party pursuant to Sec. 9.516(b)(4), Texas Business and Commerce Code.
In the case of an additional secured party/assignor, reflected on an initial financing statement, failure to provide a name and/or mailing address for the assignee pursuant to Sec. 9.516(b)(6), Texas Business and Commerce Code.
The enclosed UCC1Ad and/or UCC1AP form requires a Financing Statement (Form UCC1) for filing.
Format of UCC1 and/or UCC1Ad form does not meet filing requirements of being on white paper, letter-size, and correct revision date of 04/20/11. No reduced/shrunken or legal-size/enlarged versions accepted.
Format of UCC1AP form does not meet filing requirements of being on white paper, letter-size, and correct revision date of 08/22/11. No reduced/shrunken or legal-size/enlarged versions accepted.
<b>UTILITY SECURITY INSTRUMENT</b>
Provide the filing information on the first page of the document (filing parties and addresses).
<b>AMENDMENT FILINGS</b>
<b>FEES</b>
<b>Financing Statement, Agricultural Lien, Aircraft Maintenance Lien, Contract Agricultural Lien, Manufactured-Home Transaction, Public-Finance Transaction, Transition Property Notice, Transmitting Utility</b>
The enclosed form requires a filing fee of \$15 if it contains 2 pages or less pursuant to Sec. 9.525, Texas Business and Commerce Code.
The enclosed form requires a filing fee of \$30 if it contains 3 pages or more pursuant to Sec. 9.525, Texas Business and Commerce Code.
<b>Utility Security Instrument</b>
The enclosed form requires a filing fee of \$25 pursuant to Sec. 261.008, Texas Business and Commerce Code.
<b>Notice of Federal Lien</b>
The enclosed form requires a filing fee of \$10 pursuant to Sec. 14.005, Texas Property Code.
<b>Restitution Lien</b>
The enclosed form requires a filing fee of \$5 pursuant to Sec. 42.22, Texas Code of Criminal Procedure.
<b>Contract Agricultural Lien Notice of Discharge</b>
The enclosed form does not require a filing fee pursuant to Sec. 70.404, Texas Property Code.

<b>AMENDMENT FILINGS (continued)</b>
<b>FEES</b>
<b>Judicial Finding of Fact</b>
The enclosed form does not require a filing fee pursuant to Sec. 51.905, Texas Government Code.
<b>AMENDMENT FILINGS — GENERAL</b>
<b>FINANCING STATEMENT AMENDMENT</b>
The enclosed form requires a remittance of \$15 per change pursuant to Sec. 9.525, Texas Business and Commerce Code.
The filing fee for two (2) changes is \$30.
The enclosed form requires a remittance of \$45 (\$30 filing fee for the first change on a form that contains 3 pages or more and an additional \$15 for the second change that is indicated on the filing).
Each form may reference only one initial financing statement file number.
The initial financing statement file number in item 1a was not located in our filing system.
The initial financing statement file number in item 1a is either incorrect, has expired, was terminated or may be a county filing.
Initial financing statement has lapsed pursuant to Sec. 9.516(b)(3)(B)(ii), Texas Business and Commerce Code.
Initial financing statement file number is either missing or is invalid pursuant to Sec. 9.516(b)(3)(B)(i), Texas Business and Commerce Code. Please check your records online at <a href="#">SOSDirect</a> or call 512-475-2703.
Initial financing statement file numbers for filings filed through July 30, 2001, consist of the two digit year and an eight digit number (Example for 1999: 99-00123456 and 2000: 00-00123456).
Initial financing statement file numbers for filings filed on or after July 31, 2001, consist of the two digit year and a ten digit number (Example for 2002: 02-0012345678).
The continuation statement was submitted too early pursuant to Sec. 9.516(b)(7), Texas Business and Commerce Code (cannot be continued earlier than six (6) months prior to the expiration date). Please check expiration date.
Form does not facilitate the filing of an assignment and amendment (change) on the same form. Please file on separate forms along with the appropriate filing fees.
Failure to provide a name and/or mailing address for the assignee pursuant to Sec. 9.516(b)(6), Texas Business and Commerce Code.
Instructions for item 5 were not followed. Please read instructions for item 5, correct, and resubmit.
To void a selected change, write "VOID" over incorrect choice, initial, and resubmit for filing.
The enclosed UCC3Ad and/or UCC3AP form requires a Financing Statement Amendment (Form UCC3) for filing.
Format of UCC3 and/or UCC3Ad form does not meet filing requirements of being on white paper, letter-size, and correct revision date of 04/20/11. No reduced/shrunken or legal-size/enlarged versions accepted.
Format of UCC3AP form does not meet filing requirements of being on white paper, letter-size, and correct revision date of 08/22/11. No reduced/shrunken or legal-size/enlarged versions accepted.
The enclosed document appears to be a county filing and must be filed with them, not the Office of the Secretary of State.
<b>UTILITY SECURITY INSTRUMENT</b>
The record has not been communicated by a method or medium authorized by this filing office pursuant to Sec. 261.007, Texas Business and Commerce Code. Do not use the UCC Financing Statement Amendment (Form UCC3) form.
Provide the filing information on the first page of the document (filing parties, file number, etc.).
The record has not been communicated by a method or medium authorized by this filing office pursuant to Sec. 14.005, Texas Property Code. Do not use the UCC Financing Statement Amendment (Form UCC3) form.
<b>MISCELLANEOUS</b>
A Continuation Statement is not filed pursuant to the applicable statute.
<b>INFORMATION STATEMENT (Form UCC5)</b>
<b>FEES</b>
The enclosed form requires a filing fee of \$15 if it contains 2 pages or less pursuant to Sec. 9.525, Texas Business and Commerce Code.
The enclosed form requires a filing fee of \$30 if it contains 3 pages or more pursuant to Sec. 9.525, Texas Business and Commerce Code.

<b>INFORMATION STATEMENT (Form UCC5) (continued)</b>
<b>GENERAL</b>
Format of UCC5 form does not meet filing requirements of being on white paper, letter-size, and correct revision date of 07/19/12. No reduced/shrunken or legal-size/enlarged versions accepted.
Each form may reference only one initial financing statement file number in item 1a pursuant to Sec. 9.518(b)(1), Texas Business and Commerce Code. Please check your records online at <a href="#">SOSDirect</a> or call 512-475-2703.
Initial financing statement file number in item 1a is either missing or is invalid pursuant to Sec. 9.518(b)(1), Texas Business and Commerce Code. Please check your records online at <a href="#">SOSDirect</a> or call 512-475-2703.
Instructions for item 2 were not followed. Please read instructions for item 2 and correct by selecting either 2a, 2b, or 2c and provide the basis for that belief as required pursuant to Sec. 9.518(b)(3), Texas Business and Commerce Code.
<b>INFORMATION REQUEST (Form UCC11) (Texas)</b>
<b>FEEES</b>
The enclosed certified search report per debtor request requires a filing fee of \$15 pursuant to Sec. 9.525, Texas Business and Commerce Code.
The fee for a certification stamp for specified copies only request (each) is \$15 pursuant to Sec. 405.031, Texas Government Code.
The fee for a certified copy (per page) is \$1 pursuant to Sec. 405.031, Texas Government Code.
The fee for a plain copy (per page) is \$0.10 pursuant to Sec. 552.261, Texas Government Code and Sec. 71.8, Texas Administrative Code.
<b>GENERAL</b>
Format of UCC11 form does not meet filing requirements of being on white paper, letter-size, and correct revision date of 07/19/12. No reduced/shrunken or legal-size/enlarged versions accepted.
The Search Report/Information Request on all or some debtors was not processed because the submitted UCC1/UCC3 was rejected.
The Information Request fails to provide a debtor name in item 1a or 1b.
Failure to complete item 2. Please mark only one box for items 2a-2d.
Record number is not provided in item 3.
One or more financing statement number(s) and date provided in item 3 do not match our records. Correct filing information may be obtained by checking your records online at <a href="#">SOSDirect</a> or call 512-475-2703.
A governmental body is not required to accept or comply with a request for information from an incarcerated individual pursuant to Sec. 552.028(a)(1) and (2), Texas Government Code.

**Note:** The list does not include all Reasons for Refusal and others may be included as deemed necessary by the Office of the Secretary of State of Texas.

(Rev. 08/07/2013)