**California Secretary of State**



**UCC XML API Implementation Guide**

|  |  |
| --- | --- |
| **Version:** | 2.0.4 |
| **Revision Date:** | March 7, 2024 |
| **Author:** | Tecuity |

**Document Control**

Any changes to the UCC XML Implementation Guide will follow the Integrated Change Control process. Upon approval of requested modifications, the version number will increase by one and the following information documented in the table below:

|  |  |  |
| --- | --- | --- |
| **Version** | **Date Applied** | **Change** |
| 1.0.1 | 09/18/2019 | Initial documentation created. |
| 1.0.2 | 10/29/2019 | Updated to include more DTD information. |
| 1.0.3 | 11/19/2019 | Updated per feedback. |
| 1.0.4 | 12/09/2019 | Updated to meet IACA 4.0 Changes. |
| 1.0.5 | 12/16/2019 | Updated to include state and country codes. |
| 1.0.6 | 12/30/2019 | Updated example code snippets. |
| 1.0.7 | 3/24/2020 | Updated per feedback. |
| 1.0.8 | 3/25/2020 | Updated to meet IACA 4.0 Changes. |
| 1.0.9 | 3/26/2020 | Updated example code snippets. |
| 1.1.0 | 3/26/2020 | Updated per feedback. |
| 1.1.1 | 4/3/2020 | Updated to include IACA 3.1 to 4.0 updates summary. |
| 1.1.2 | 4/8/2020 | Updated per feedback. |
| 1.1.3 | 4/28/2020 | Updated per feedback. |
| 1.1.4 | 6/4/2020 | Updated per feedback; include updates summary. |
| 1.1.5 | 6/5/2020 | Updated per feedback. |
| 1.1.6 | 6/10/2020 | Updated per feedback. |
| 1.1.7 | 6/10/2020 | Updated per feedback. |
| 1.1.8 | 6/11/2020 | Updated per feedback. |
| 1.1.9 | 6/14/2020 | Update AmendmentActions, Appendix D and Appendix F with how to handle foreign addresses. |
| 1.1.10 | 7/1/2020 | Updated ColText and TextData element’s acceptable length. |
| 1.2.0 | 7/6/2020 | Updated Jurisdiction Specific Data, Real Estate. |
| 1.2.1 | 7/10/2020 | Update 6.5 Get Receipt with time limitations. |
| 2.0.0 | 7/10/2020 | Removal of Draft and final version number applied. |
| 2.0.1 | 7/21/2020 | Added Appendix J Valid Error Messages. |
| 2.0.2 | 7/23/2020 | Updated Amendment type and action for CollateralAssign. |
| 2.0.3 | 7/27/2020 | Updated per feedback. |
| 2.0.4 | 3/7/2024 | Appendix C - Add Amendment type “AmendmentCollateral” and additional note on AmendmentAction. |

Table of Contents

[1 Introduction 5](#_Toc46921002)

[2 Who Should Use This Guide? 5](#_Toc46921003)

[3 What is XML? 5](#_Toc46921004)

[4 File Guidelines 5](#_Toc46921005)

[4.1 File Size 5](#_Toc46921006)

[4.2 Reserved Characters 5](#_Toc46921007)

[4.3 HTTP Post Limitation 6](#_Toc46921008)

[4.4 Texts and Characters 6](#_Toc46921009)

[5 Setting Up Your Interface Integration 6](#_Toc46921010)

[5.1 Onboarding 6](#_Toc46921011)

[5.2 Testing an XML Transaction 6](#_Toc46921012)

[5.3 Testing 6](#_Toc46921013)

[5.4 Setting up XML in Production 7](#_Toc46921014)

[5.5 Prerequisites 7](#_Toc46921015)

[5.6 XML API Access 7](#_Toc46921016)

[6 Using UCC XML API 8](#_Toc46921017)

[6.1 XML API Overview 8](#_Toc46921018)

[6.2 Submitting a Document 8](#_Toc46921019)

[6.3 Checking Status of a Document 10](#_Toc46921020)

[6.4 Retrieving the Document 13](#_Toc46921021)

[6.5 Retrieving the Receipt 15](#_Toc46921022)

[6.6 Getting PAD Balance 17](#_Toc46921023)

[7 Filing Number Generation Logic 19](#_Toc46921024)

[8 Appendix A – XML Sample of a UCC1 20](#_Toc46921025)

[9 Appendix B – XML Sample of UCC3’s 21](#_Toc46921026)

[10 Appendix C – XML Document DTD (Document Type Definition) 22](#_Toc46921027)

[10.1 Document Specifications 23](#_Toc46921028)

[10.2 Header Specifications 24](#_Toc46921029)

[10.3 Record Specifications 26](#_Toc46921030)

[11 Appendix D – XML Rejection Error Messages 44](#_Toc46921031)

[12 Appendix E - State Codes 45](#_Toc46921032)

[13 Appendix F - Country Codes 47](#_Toc46921033)

[14 Appendix G – IACA 3.1 to 4.0 Updates Summary 53](#_Toc46921034)

[14.1 Header & Record 53](#_Toc46921035)

[14.2 Header 53](#_Toc46921036)

[14.3 Record 53](#_Toc46921037)

[15 Appendix H – File Number Formats 56](#_Toc46921038)

[16 Appendix I – Summary of Updates 06/04/2020 57](#_Toc46921039)

[17 Appendix J – Valid Error Messages 59](#_Toc46921040)

# Introduction

This document is intended to clarify the function, structure and usage of the California Secretary of State (SOS) Uniform Commercial Code (UCC) eXtensible Markup Language (XML) Interface, by using Representational State Transfer (REST) Web Services.

This guide provides instruction on how to initiate an XML transaction, the options available, as well as essential information required to initiate XML transactions. Finally, this document provides the technical information necessary for a customer to implement XML transactions within his or her own technical environment.

# Who Should Use This Guide?

This document is intended to serve as an implementation guide for business and technical people who intend to file UCC documents electronically/remotely.

The document can be used by technical implementers that need to know how to implement and integrate SOS UCC XML interface in their environment.

# What is XML?

XML is an eXtensible Markup Language derived from the Standard Generalized Markup Language (SGML). Among its many purposes, XML is designed to make it easy to share and transmit documents across the Web. XML and SGML are text-based formats that are easy to read and edit using standard text-editing tools. XML is commonly referred to as an extensible, platform-independent, and fully Unicode compliant language. It is called extensible because it is not a fixed format like HyperText Markup Language (HTML). XML is not tied to any programming language, operating system, or software vendor. It is actually a ‘metalanguage’ (a language for describing other languages) that lets you design your own customized markup languages for different types of documents.

# File Guidelines

## File Size

The payload size cannot exceed 10 MB.

## Reserved Characters

There are five special characters that are reserved and cannot be used directly in XML element or attribute data. They must be replaced with what is called as XML Entity References. These special characters act as flags to the parser; they delimit the actual content of the document and tell the parser to take specific actions. In order to prevent misinterpretation by the parser, if these special characters are used, they must be represented using the Entity References shown in the following table.

|  |  |  |
| --- | --- | --- |
| **Reserved Character Entity Reference Character Name** | | |
| **&** | &amp; | Ampersand |
| **‘** | &apos; | Apostrophe |
| **“** | &quot; | Quote |
| **<** | &lt; | Less Than |
| **>** | &gt; | Greater Than |

For example, the debtor name of Crate & Barrel would be represented as:

**<OrganizationName>Crate &amp; Barrel</OrganizationName>**

Customers should account for the conversion of reserved characters into equivalent Entity References when determining OrganizationName length. If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may exceed the 300-character limit after conversion of reserved characters.

## HTTP Post Limitation

* There is a maximum of 10 MB.

## Texts and Characters

* The xmlData needs to be HTML encoded to encode characters that may interfere with the HTTP (see Section 4.2).
* The text must conform to the 8-bit Unicode Transformation Format (UTF8) text format and special characters must either be converted or removed.

# Setting Up Your Interface Integration

## Onboarding

Customers should contact the SOS office to set up a user account and password for the use with this interface. The Uniform Resource Locator (URL) for the API will also be provided at that time.

## Testing an XML Transaction

It is recommended that customers test their automated exchange applications prior to submitting documents in production using XML. A testing environment will be provided to allow customers to test their transactions to help ensure compliance with applicable standards established by the SOS and to facilitate a successful file transfer process.

## Testing

Once API Access is confirmed, testing can begin.

1. What to Test
   1. The table below outlines the scenarios in the XML API implementation guide and those tested during System Integration Test (SIT). Customers are encouraged to create with their own scenarios that align with typical day-to-day activities.

|  |  |
| --- | --- |
| # | Scenario |
| 1 | Verify XML API access |
| 2 | Verify submitting a document |
| 3 | Verify the status of a document |
| 4 | Retrieve a document |
| 5 | Retrieve the receipt |

1. Reach out to UCC Support Center, for any questions.

## Setting up XML in Production

To use XML in production, the following is required:

* + - A UCC Customer Account in Production enabled for XML
    - A pre-funded customer account

Payment for XML filings must be made via a pre-funded customer account. Please contact the UCC Support Center for more information.

## Prerequisites

The steps below must be completed as a prerequisite to participating in the UCC XML API UAT.

1. Read The Secretary of State’s UCC XML API Implementation Guide.
   1. This guide provides instruction on how to initiate an XML transaction, the options available, as well as essential information required to initiate XML transactions. Finally, this document provides the technical information necessary for a customer to implement XML transactions within his or her own technical environment.
2. Subscribe/self-register to the system.
   1. Record your USER ID (Customer Account Id) and PASSWORD for API XML submissions.

## XML API Access

After subscription and self-registration is complete, you can gain access to the XML API testing environment.

1. Open a new page using Chrome or Firefox
   1. Both Firefox and Chrome can be used. Chrome is recommended!
2. Navigate to the XML API testing environment
   1. Copy the URL below and paste it onto the address bar. It will take you to the XML API login screen.
      1. <https://calicodev.sos.ca.gov/>
   2. In order to log in, use the username and password provided during registration.
3. Enter login credentials
   1. You should have received two emails, One, with your username and another with your password.
   2. Use your credentials to log in.
      1. **Quick Tip:** Save your credentials to streamline continued to testing.

# Using UCC XML API

## XML API Overview



## Submitting a Document

A document must first be submitted to the Secretary of State’s UCC system via a secured HTTP POST to https://<baseURL>/FilingAsync. Upon successful submission, a DocumentReceiptID will be returned in the response XML with a Status of “Received”. All API calls will return an HTTP Status code listed below. The details of the submission are part of the XML response.

**Note:** *Your web site is made up a series of web pages. Each web page has a full Uniform Resource Locator (URL) something like*[*http://www.your.com/intro.htm*](http://www.your.com/intro.htm)*. Your web page URLs will usually start with the same set of letters, eg*[*http://www.your.com/*](http://www.your.com/)*in this case. This common prefix is what we call your Base URL.*

The following variables are required for submission:

|  |  |  |
| --- | --- | --- |
| Required Variables | Type | Description |
| Ocp-Apim-Subscription-Key | String | Customer’s subscription key found in the API Management Portal. |
| SOS-Key | String | The key provided by the State when the account was set up. |
| xmlData | String | The XML of the UCC filing being submitted. See *Appendix A – XML Sample of UCC 1* for XMLData sample filings. |

The following HTTP Status Codes will be returned for this API call:

|  |  |
| --- | --- |
| HTTP Status Code | Explanation |
| 202 (Accepted) | The xmlData was valid and is in the queue for processing. |
| 401 (Unauthorized) | Invalid Ocp-Apim-Subscription-Key or SOS-Key provided, or keys not found in request headers. |
| 400 (BadRequest) | No xmlData submitted or submission failed. |
| 406 (NotAcceptable) | Invalid xmlData or filing is rejected. |
| 500 (InternalServerError) | Unknown server error has occurred. |

**C# Code Sample:**

private static string SubmitFiling(string api\_key, string sos\_key, string \_xmlData)

{

var client = new HttpClient { BaseAddress = new Uri(\_url) };

client.DefaultRequestHeaders.Add("Ocp-Apim-Subscription-Key", api\_key);

client.DefaultRequestHeaders.Add("SOS-Key", sos\_key);

var obj = new StringContent(\_xmlData, Encoding.UTF8, "application/xml");

System.Net.ServicePointManager.Expect100Continue = false;

var response = client.PostAsync(\_subUrl + "FilingAsync", obj).Result;

byte[] data = response.Content.ReadAsByteArrayAsync().Result;

string value = Encoding.ASCII.GetString(data);

\_httpStatusCode = response.StatusCode;

return value;

}

**Response - Accepted (202):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>12/20/2013 11:26:49 AM</Date>

<PacketNum>5</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>

<OptionalFilerReference>A-UCC1.xml</ OptionalFilerReference >

<Status value="Received">Submission has been received and is in queue for processing at the SOS Office </Status>

<StatusDate>12/20/2013 11:32:22 AM</StatusDate>

</Record>

</Document>

**Notes:**

* Possible Status values are Received, Rejected, InternalProcessingError, and InvalidXml.
* If a submission is refused for any reason, a valid error message will be returned. *(see Appendix J -Valid Error Messages)*
* A DocumentReceiptID does not mean that the filing has been completed; only that it has been received. It is placed into the Processing Queue and will be processed accordingly and could still be rejected for some reason. The Status method needs to be called in order to find out when the document has been processed and if it is ready for retrieval.

## Checking Status of a Document

Calling https://<baseURL>/Status/?id=<id> will provide feedback to the submitter on the document and whether it was processed and filed or rejected. If filed correctly, the Status will return filing information such as date/time and the UCC1 / UCC3 number.

The following variables are required for submission:

|  |  |  |
| --- | --- | --- |
| Required Variable | Type | Description |
| Ocp-Apim-Subscription-Key | String | Customer’s subscription key found in the API Management Portal. |
| SOS-Key | String | The key provided by the State when the account was set up. |
| id | String | The id (DocumentReceiptID) that was returned when the document was first submitted. |

The following HTTP Status Codes will be returned for this API call:

|  |  |
| --- | --- |
| HTTP Status Code | Explanation |
| 202 (Accepted) | The xmlData was valid and is in queue for processing. |
| 200 (OK) | The filing has been processed and filed. |
| 102 (Processing) | The xmlData is being processed. |
| 401 (Unauthorized) | Invalid Ocp-Apim-Subscription-Key or SOS-Key provided or keys not found in request headers. |
| 400 (BadRequest) | No xmlData submitted or submission failed. |
| 404 (NotFound) | Invalid id (Document Receipt ID) provided. |
| 406 (NotAcceptable) | Invalid xmlData or filing is rejected. |
| 500 (InternalServerError) | Unknown server error has occurred. |

**C# Code Sample:**

private static string GetStatus(string api\_key, string sos\_key, string id)

{

var client = new HttpClient {BaseAddress = new Uri(\_url)};

client.DefaultRequestHeaders.Add("Ocp-Apim-Subscription-Key", api\_key);

client.DefaultRequestHeaders.Add("SOS-Key", sos\_key);

var response = client.GetAsync(\_subUrl + "Status/?id=" + id).Result;

\_httpStatusCode = response.StatusCode;

byte[] data = response.Content.ReadAsByteArrayAsync().Result;

string status = Encoding.ASCII.GetString(data);

return status;

}

**Response - Accepted (202):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>12/20/2013 11:26:49 AM</Date>

<PacketNum>5</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>

<OptionalFilerReference>A-UCC1.xml</ OptionalFilerReference >

<Status value="Received">Submission has been received and is in queue for processing at the SOS Office </Status>

<StatusDate>12/20/2013 11:32:22 AM</StatusDate>

</Record>

</Document>

**Response - OK (200):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>12/20/2013 11:26:49 AM</Date>

<PacketNum>5</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>

<OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>

<Status value="OK">Filing completed</Status>

<StatusDate>12/20/2013 11:32:22 AM</StatusDate>

<Acknowledgement>

<FileNumber>20160191550278</FileNumber>

<FileDate>01/01/2016</FileDate>

<FileTime>11:26:49</FileTime>

<FeeAmount>20.0000</FeeAmount>

<LapseDate>01/01/2021</LapseDate>

<FilingOffice>CA</FilingOffice>

<FileStatus Status=”Accepted”/>

</Acknowledgement>

</Record>

</Document>

**Response - InvalidXml (406):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>01/01/2016 11:33:47 AM</Date>

<PacketNum>5</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<DocumentReceiptID>2a5dbae4-0046-4de3-888c-78bb137e54d7</DocumentReceiptID>

<OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>

<Status value="InvalidXml">

Missing Filer OrganizationName or IndividualName

</Status>

<StatusDate>01/01/2016 11:33:56 AM</StatusDate>

</Record>

</Document>

**Response - NotFound (404):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>01/01/2016 11:33:47 AM</Date>

</Header>

<Record>

<DocumentReceiptID>2a5dbae4-0046-4de3-888c-78bb137e54d7</DocumentReceiptID>

<Status value="IDNotFound">DocumentReceiptID not found</Status>

</Record>

</Document>

**Response – Rejected (406):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>01/01/2016 11:33:47 AM</Date>

</Header>

<Record>

<DocumentReceiptID>2a5dbae4-0046-4de3-888c-78bb137e54d7</DocumentReceiptID>

<Status value="Rejected">Lapsed Record</Status>

</Record>

</Document>

**Notes:**

* Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError, and OK.

## Retrieving the Document

Calling https://<baseURL>/FilingAsync/?id=<id> will provide the submitter with a pdf of the document. The document will be available for a to-be determined number of days for download.

***Note:*** *Following submission, the submitter will need to wait for a minimum of 60 minutes prior to retrieving their document. The processing time of XML submissions is dependent upon the XML queue’s load.*

The following variables are required for submission:

|  |  |  |
| --- | --- | --- |
| Required Variable | Type | Description |
| Ocp-Apim-Subscription-Key | String | Customer’s subscription key found in the API Management Portal. |
| SOS-Key | String | The key provided by the State when the account was set up. |
| id | String | The id (DocumentReceiptID) that was returned when the document was first submitted. |

The following HTTP Status Codes will be returned for this API call:

|  |  |
| --- | --- |
| HTTP Status Code | Explanation |
| 202 (Accepted) | The xmlData was valid and is in queue for processing. |
| 200 (OK) | Byte[] of document will be returned |
| 102 (Processing) | The xmlData is being processed. |
| 401 (Unauthorized) | Invalid Ocp-Apim-Subscription-Key or SOS-Key provided or keys not found in request headers. |
| 400 (BadRequest) | No xmlData submitted or submission failed. |
| 404 (NotFound) | Invalid id (Document Receipt ID) provided. |
| 406 (NotAcceptable) | Invalid xmlData or filing is rejected. |
| 500 (InternalServerError) | Unknown server error has occurred. |

**C# Code Sample:**

private static object GetFiling(string api\_key, string sos\_key, string id, ref string contentType)

{

var client = new HttpClient { BaseAddress = new Uri(\_url) };

client.DefaultRequestHeaders.Add("Ocp-Apim-Subscription-Key", api\_key);

client.DefaultRequestHeaders.Add("SOS-Key", sos\_key);

var response = client.GetAsync(\_subUrl + "FilingAsync/?id=" + id).Result;

\_httpStatusCode = response.StatusCode;

contentType = response.Content.Headers.ContentType.MediaType;

if (contentType == "text/xml")

{

byte[] data = response.Content.ReadAsByteArrayAsync().Result;

string xml = Encoding.ASCII.GetString(data);

return xml;

}

else

{

byte[] data = response.Content.ReadAsByteArrayAsync().Result;

return data;

}

}

**Response - OK (200):**

The pdf document in byte array format.

**Response – Accepted (202):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>12/20/2013 11:26:49 AM</Date>

<PacketNum>5</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>

<OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>

<Status value="Received">Submission has been received and is in queue for processing at the SOS Office </Status>

<StatusDate>12/20/2013 11:32:22 AM</StatusDate>

</Record>

</Document>

**Response - NotFound (404):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>01/01/2016 11:33:47 AM</Date>

</Header>

<Record>

<DocumentReceiptID>2a5dbae4-0046-4de3-888c-78bb137e54d7</DocumentReceiptID>

<Status value="IDNotFound">DocumentReceiptID not found</Status>

</Record>

</Document>

**Notes:**

* If https://<baseURL>/FilingAsync/?id=<id> is called and the document is not available, the submitter will receive back an XML document with some information in it, not a byte[] of the pdf document. Therefore, when coding, the content type of the response must be checked.
* Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError , and OK.

## Retrieving the Receipt

Calling https:/<baseURL>/Receipt/?id=<id> will provide the submitter with a pdf of the document receipt.

The following variables are required for submission:

|  |  |  |
| --- | --- | --- |
| Required Variable | Type | Description |
| Ocp-Apim-Subscription-Key | String | Customer’s subscription key found in the API Management Portal. |
| SOS-Key | String | The key provided by the State when the account was set up. |
| id | String | The id (DocumentReceiptID) that was returned when the document was first submitted. |

The following HTTP Status Codes will be returned for this API call:

|  |  |
| --- | --- |
| HTTP Status Code | Explanation |
| 202 (Accepted) | The xmlData was valid and is in queue for processing. |
| 200 (OK) | Byte[] of document will be returned |
| 102 (Processing) | The xmlData is being processed. |
| 401 (Unauthorized) | Invalid Ocp-Apim-Subscription-Key or SOS-Key provided or keys not found in request headers. |
| 400 (BadRequest) | No xmlData submitted or submission failed. |
| 404 (NotFound) | Invalid id (Document Receipt ID) provided. |
| 406 (NotAcceptable) | Invalid xmlData or filing is rejected. |
| 500 (InternalServerError) | Unknown server error has occurred. |

**C# Code Sample:**

private static object GetReceipt(string api\_key, string sos\_key, string id, ref string contentType)

{

var client = new HttpClient { BaseAddress = new Uri(\_url) };

client.DefaultRequestHeaders.Add("Ocp-Apim-Subscription-Key", api\_key);

client.DefaultRequestHeaders.Add("SOS-Key", sos\_key);

var response = client.GetAsync(\_subUrl + "Receipt/?id=" + id).Result;

\_httpStatusCode = response.StatusCode;

contentType = response.Content.Headers.ContentType.MediaType;

if (contentType == "application/json")

{

byte[] data = response.Content.ReadAsByteArrayAsync().Result;

string json = Encoding.ASCII.GetString(data);

return json;

}

else

{

byte[] data = response.Content.ReadAsByteArrayAsync().Result;

return data;

}

}

**Response – OK (200):**

The pdf document in byte array format.

**Response – Accepted (202):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>12/20/2013 11:26:49 AM</Date>

<PacketNum>5</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<DocumentReceiptID>cbb2e789-9658-467f-b53d-1bfcbcbf22ba</DocumentReceiptID>

<OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>

<Status value="Received">Submission has been received and is in queue for processing at the SOS Office </Status>

<StatusDate>12/20/2013 11:32:22 AM</StatusDate>

</Record>

</Document>

**Response – NotFound 404):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>01/01/2016 11:33:47 AM</Date>

</Header>

<Record>

<DocumentReceiptID>2a5dbae4-0046-4de3-888c-78bb137e54d7</DocumentReceiptID>

<Status value="IDNotFound ">DocumentReceiptID not found</Status>

</Record>

</Document>

**Notes:**

* If https:/<baseURL>/Receipt/?id=<id> is called and the document is not available, the submitter will receive back an XML document with some information in it, not a byte[] of the pdf document receipt. Therefore, when coding, the content type of the response must be checked.
* Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError and OK.

## Getting PAD Balance

*Note: There are two types of PAD accounts. Pre-paid and Billable. The pre-paid PAD account is an account that the customer funds by depositing money into the account and using the money to pay for transactions. The pre-paid account cannot have a negative balance. The billable PAD account is similar to the pre-paid PAD account with the exception that a negative balance is acceptable. The customer will be billed each month for any negative dollar amount.*

Calling https:/<baseURL>/Balance will provide the submitter with a balance of the PAD account.

The following variables are required for a submission:

|  |  |  |
| --- | --- | --- |
| Required Variable | Type | Description |
| Ocp-Apim-Subscription-Key | String | Customer’s subscription key found in the API Management Portal. |
| SOS-Key | String | The key provided by the State when the account was set up. |

The following HTTP Status Codes will be returned for this API call:

|  |  |
| --- | --- |
| HTTP Status Code | Explanation |
| 200 (OK) | API call was successful and balance information was returned. |
| 401 (Unauthorized) | Invalid Ocp-Apim-Subscription-Key or SOS-Key provided or keys not found in request headers. |
| 404 (NotFound) | No PAD account has been setup. |
| 429 (GetBalance) | Rate limit is exceeded. Try again in 16 seconds. |
| 500 (InternalServerError) | Unknown server error has occurred. |

**C# Code Sample:**

private static string GetBalance(string api\_key, string sos\_key)

{

var client = new HttpClient { BaseAddress = new Uri(\_url) };

client.DefaultRequestHeaders.Add("Ocp-Apim-Subscription-Key", api\_key);

client.DefaultRequestHeaders.Add("SOS-Key", sos\_key);

var response = client.GetAsync(\_subUrl + "Balance").Result;

\_httpStatusCode = response.StatusCode;

byte[] data = response.Content.ReadAsByteArrayAsync().Result;

string value = Encoding.ASCII.GetString(data);

return value;

}

**Response – OK (200):**

<?xml version="1.0" encoding="UTF-8"?>

<Document>

<XMLVersion info="1.07"/>

<Header>

<Date>12/20/2013 11:26:49 AM</Date>

</Header>

<Record>

<Balance>100.0000</Balance>

<Name>John Doe</Name>

<Num>00001</Num>

</Record>

</Document>

# Filing Number Generation Logic

Filing number generation will follow the same format used in the past. Please refer to *Appendix H* for File Number Formats based on date ranges.

# Appendix A – XML Sample of a UCC1

<Document>

<XMLVersion Version="08172001" />

<Header>

<Filer>

<Names>

<OrganizationName>ABC COMPANY</OrganizationName>

<MailAddress>P.O. BOX 100</MailAddress>

<City>HYDE PARK</City>

<State>UT</State>

<PostalCode>84418</PostalCode>

<Country>USA</Country>

</Names>

<ContactName>JOHN DOE CONTACT</ContactName>

<ContactPhone>800-111-0000</ContactPhone>

<ContactEmail>[ABC@ABC.com](mailto:ABC@ABC.com)</ContactEmail>

</Filer>

<PacketNum>abc packet 123</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<TransType Type="Initial" />

<AmendmentType Type="NOType" />

<AmendmentAction Action="NOAction" />

<OptionalFilerReference>A-UCC1.xml</OptionalFilerReference>

<OptionalIndicators>

<OptionalIndicator Type=”NoOptionalIndicator” />

</OptionalIndicators>

<Debtors>

<DebtorName>

<Names>

<OrganizationName>DEBTOR ORG 1</OrganizationName>

<MailAddress>3800 N 50 W</MailAddress>

<City>HYDE PARK</City>

<State>UT</State>

<PostalCode>84418</PostalCode>

<Country>USA</Country>

</Names>

</DebtorName>

</Debtors>

<SecuredParties>

<SecuredName>

<Names>

<OrganizationName>BIG BANK</OrganizationName>

<MailAddress>200 RICHARDS BLVD</MailAddress>

<City>SACRAMENTO</City>

<State>CA</State>

<PostalCode>95814</PostalCode>

<Country>USA</Country>

</Names>

</SecuredName>

</SecuredParties>

<Collateral>

<ColText>Certain pieces of property. </ColText>

</Collateral>

<CollateralDesignation Type="NODesignation" />

</Record>

</Document>

# Appendix B – XML Sample of UCC3’s

<Document>

<XMLVersion Version="08172001" />

<Header>

<Filer>

<Names>

<OrganizationName>ABC COMPANY</OrganizationName>

<MailAddress>P.O. BOX 100</MailAddress>

<City>SMITHFIELD</City>

<State>UT</State>

<PostalCode>84335</PostalCode>

<Country>USA</Country>

</Names>

<ContactName>JOHN DOE CONTACT</ContactName>

<ContactPhone>800-111-0000</ContactPhone>

<ContactEmail>ABC@ABC.com</ContactEmail>

<ContactFax>800-112-0000</ContactFax>

</Filer>

<PacketNum>abc packet 123</PacketNum>

</Header>

<Record>

<SeqNumber>1</SeqNumber>

<TransType Type="Amendment" />

<AmendmentType Type="AmendmentParties" />

<AmendmentAction Action="DebtorChange" />

<OptionalFilerReference>A-UCC3B-DebtorChange.xml</OptionalFilerReference>

<InitialFileNumber>[UCC1 Num goes here]</InitialFileNumber>

<CurrentName>

<OrganizationName>DEBTOR ORG 1</OrganizationName>

</CurrentName>

<Debtors>

<DebtorName>

<Names>

<OrganizationName>CHANGED DEBTOR ORG 1</OrganizationName>

<MailAddress>136 E 800 S</MailAddress>

<City>SMITHFIELD</City>

<State>UT</State>

<PostalCode>84335</PostalCode>

<Country>USA</Country>

</Names>

</DebtorName>

</Debtors>

<AuthorizingParty>

<AuthSecuredParty>

<OrganizationName>ABC COMPANY</OrganizationName>

</AuthSecuredParty>

</AuthorizingParty>

</Record>

</Document>

# Appendix C – XML Document DTD (Document Type Definition)

The following table describes each element and its application in detail. The container elements are marked in bold and indicate that the data elements are made up of sub-elements and will not contain data. The definition column also describes the attribute value of the element.

***Note****: The data types are alphanumeric unless specified for the element.*

Bold text in the Element Location column or Element column indicates data elements that are made up of sub- elements, and will not contain data

O = Optional

R = Required

- = N/A

R/O – Required, for Filing Office Use

O/O = Optional, for Filing Office Use

## Document Specifications

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Document Specifications* | | | | | | Amendment | | |  | | |
| **Location** | **Element** | **Max Length** | **Occurrence** | **Definition** | **Original** | **Debtor** | **Secured Party** | **Collateral** | **Assignment** | **Continuation** | **Termination** |
| XMLVersion | Attribute: Version | - | 0 or 1 | The CA SOS system will allow an Attribute Value of 06232003.  If the XML file contains any other version number or is empty, XML file will be refused. The Tag value will be discarded. | R | R | R | R | R | R | R |
| Header |  | - | 1 | Global information for all filing records | R | R | R | R | R | R | R |
| Record |  | - | 1 or More | Contains all the information for a filing | R | R | R | R | R | R | R |

## Header Specifications

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Header Specifications* | | | | | | | Amendment | | | |  | | | |
| **Location** | **Element** | **Max Length** | **Occurrence** | **Definition** | **Original** | **Debtor** | | **Secured Party** | **Collateral** | **Assignment** | | **Continuation** | **Termination** |
| Filer |  | - | 1 |  | R | R | | R | R | R | | R | R |
|  | **Names** | - | 1 | The OrganizationName or the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank. * Failure to enter filer name will be grounds for refusal of the XML File. | R | R | | R | R | R | | R | R |
|  | OrganizationName | 300 | 1 | Designates an entity having a legal identity separate from its owner | R | R | | R | R | R | | R | R |
|  | **IndividualName** | - | 0 or 1 | For the IndividualName, the Surname is required.   * The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | O | O | | O | O | O | | O | O |
|  | Surname | 100 | 1 | Family name or surname of the Individual. | R | R | | R | R | R | | R | R |
|  | FirstPersonalName | 100 | 1 | First given name of the Individual. | O | O | | O | O | O | | O | O |
|  | AdditionalNamesInitials | 60 | 0 or 1 | All additional given names for an individual excluding the family name and the first given name | O | O | | O | O | O | | O | O |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | O | O | | O | O | O | | O | O |
|  | MailAddress | 150 | 1 | Mailing Address of the designated party | O | O | | O | O | O | | O | O |
|  | MailAddress2 | 150 | 1 | Mailing Address of the designated party | O | O | | O | O | O | | O | O |
|  | City | 100 | 1 | City of the designated party | O | O | | O | O | O | | O | O |
|  | State | 2 | 1 | 2 character US postal identification code.  **Values:**  See Appendix A – State Codes | O | O | | O | O | O | | O | O |
|  | PostalCode | 9 | 1 | The postal code for the party | O | O | | O | O | O | | O | O |
|  | Country | 3 | 0 or 1 | 3 character Country Code of the party.  **Values:**  See Appendix B – Country Codes | O | O | | O | O | O | | O | O |
| ClientAccountNum |  | 7 | 1 | Unique Customer Id assigned to the XML Filer.  Must be numeric. | R | R | | R | R | R | | R | R |
| ContactName |  | 35 | 1 | Contact person for the XML filer. | O | O | | O | O | O | | O | O |
| ContactPhone |  | 12 | 1 | Contact phone for the XML filer. | O | O | | O | O | O | | O | O |
| ContactEmail |  | 254 | 1 | Email for the XML filer. | R | R | | R | R | R | | R | R |
| ReturnURL |  | 2083 | 0 or 1 | **Note:** California does not use this element. | - | - | | - | - | - | | - | - |
| ReturnUserID |  | 255 | 0 or 1 | **Note:** California does not use this element. | - | - | | - | - | - | | - | - |
| ReturnUserPWD |  | 255 | 0 or 1 | **Note:** California does not use this element. | - | - | | - | - | - | | - | - |
| PacketNum |  | 32 | 0 or 1 | Unique identifying number for the file. Must be numeric.  **Note:** Must be unique for each file submitted by a filer. | R | R | | R | R | R | | R | R |
| Test |  | 1 | 1 | **Note:** California does not use this element. | - | - | | - | - | - | | - | - |

## Record Specifications

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Record Specifications* | | | | | | | Amendment | | | |  | | | |
| **Location** | **Element** | **Max Length** | **Occurrence** | **Definition** | **Original** | **Debtor** | | **Secured Party** | **Collateral** | **Assignment** | | **Continuation** | **Termination** |
| SeqNumber |  | 5 | 0 or 1 | Unique sequential number identifying the record. **Must be numeric.**  ***Note:*** *Must be unique for each filing in the document.* | R | R | | R | R | R | | R | R |
| TransType | Attribute: Type | - | 1 | Indicates whether the Filing is an Initial Filing or a Change Filing.  **Values:**   * Initial * Amendment | R | R | | R | R | R | | R | R |
| AmendmentType | Attribute: Type | - | 0 or 1 | Identifies the type of Change Filing.  **Values:**   * AmendmentParties * AmendmentCollateral * Assignment * Continuation * TerminationDebtor * TerminationSecuredParty * TerminationErroneous * NOType   ***Note:***   * *Value “NOType” applies only for the Initial Filing.* * *Only one AmendmentType per record is allowed.* * *Only State Liens use “TerminationErroneous”.* | - | R | | R | R | R | | R | R |
| AmendmentAction | Attribute: Action | - | 0 or 1 | The Filing DTD allows for only one AmendmentType and AmendmentAction per record. Information statements are not part of the XML filing.  Identified the type of Change Requested  **Values:**   * DebtorAdd * DebtorChange * DebtorDelete * SecuredPartyAdd * SecuredPartyChange * SecuredPartyDelete * CollateralAdd * CollateralChange * CollateralDelete * CollateralRestate * CollateralAssign * NOAction   ***Note:***   * *Value ‘NOAction’ applies only for AmendmentType of Assignment, Continuation and Termination.* * *If AmendmentType = "AmendmentParties", values allowed will be "DebtorAdd", "DebtorChange", "DebtorDelete", "SecuredPartyAdd", "SecuredPartyChange" and "SecuredPartyDelete".* * *If AmendmentType = "AmendmentCollateral", values allowed will be "CollateralAdd", "CollateralChange", "CollateralDelete", and "CollateralRestate" .* * *If AmendmentType =”Assignment”, values allowed will be “CollateralAssign”, and “NOAction”.* | - | R | | R | R | R | | - | - |
| InitialFileNumber |  | 100 | 0 or 1 | ***Note:***   * *If TranType = “Initial”, this field is blank.* * *If TranType = “Amendment”, this field contains the file number for the financing statement.* | - | R | | R | R | R | | R | R |
| OptionalFilerReference |  | 80 | 1 | The reference information provided by the filer | O | O | | O | O | O | | O | O |
| OptionalIndicators | Attribute: Type | - | 0 or More | Used to further indicate the type of lien.  **Value:**   * NoOptionalIndicator (default) * TransmittingUtility * ManufacturedHome * PublicFinance * Lessee-Lessor * Consignee-Consignor * Bailee-Bailor * Seller-Buyer * Licensee-Licensor * Creditor * StateLien   ***Note:*** *Multiple Indicators may be used.* | O | - | | - | - | - | | - | - |
| MiscInfo |  | 300 | 0 or 1 | Identifies additional information not provided for the Filing  ***Note:*** *This field can be used on a UCC1 to note assignor information. See Assignor below.* | - | O | | O | O | O | | O | O |
| CurrentName |  | - | 0 or 1 | The system will accept the values only for DebtorChange, DebtorDelete, SecuredPartyChange or SecuredPartyDelete Amendment Action. Otherwise the data will be discarded.  The OrganizationName **or** the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank | - | O | | O | - | - | | - | - |
|  | OrganizationName | 300 | 0 or 1 | Identifies the affected party in an Amendment.  ***Note:*** *If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may be greater than 300 characters.* | - | R | | R | - | - | | - | - |
|  | **IndividualName** | - | 1 | For the IndividualName, the Surname is required.   * The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | - | O | | O | - | - | | - | - |
|  | Surname | 100 | 1 | Family name or surname of the Individual. | - | R | | R | - | - | | - | - |
|  | FirstPersonalName | 100 | 1 | First given name of the Individual. | - | O | | O | - | - | | - | - |
|  | AdditionalNamesInitials | 60 | 0 or 1 | All additional given names for an individual excluding the family name and the first given name | - | O | | O | - | - | | - | - |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | - | O | | O | - | - | | - | - |
| Debtors |  | - | 1 |  | R | R | | - | - | - | | - | - |
|  | DebtorName | - | 1 or more | * System will accept only 1 name for Amendment Action = DebtorChange. * System will accept multiple names for TransType = Initial, and Amendment Action = DebtorAdd. | R | R | | - | - | - | | - | - |
|  | Names |  | 1 | The OrganizationName **or** the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank. * *Failure to enter filer name will be grounds for refusal of the XML File.* | R | R | | - | - | - | | - | - |
|  | OrganizationName | 300 | 1 | Designates an entity having a legal identity separate from its owner | R | R | | - | - | - | | - | - |
|  | **IndividualName** | - | 0 or 1 | For the IndividualName, the Surname is required.   * The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | O | O | | - | - | - | | - | - |
|  | Surname | 100 | 1 | Family name or surname of the Individual. | R | R | | - | - | - | | - | - |
|  | FirstPersonalName | 100 | 1 | First given name of the Individual. | O | O | | - | - | - | | - | - |
|  | AdditionalNamesInitials | 60 | 0 or 1 | All additional given names for an individual excluding the family name and the first given name | O | O | | - | - | - | | - | - |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | O | O | | - | - | - | | - | - |
|  | MailAddress | 150 | 1 | Mailing Address of the designated party | R | R | | - | - | - | | - | - |
|  | MailAddress2 | 150 | 1 | Mailing Address of the designated party | 0 | 0 | | - | - | - | | - | - |
|  | City | 100 | 1 | City of the designated party | R | R | | - | - | - | | - | - |
|  | State | 2 | 1 | 2 character US postal identification code.  **Values:**  See Appendix A – State Codes | R | R | | - | - | - | | - | - |
|  | PostalCode | 9 | 1 | The postal code for the party | O | O | | - | - | - | | - | - |
|  | Country | 3 | 0 or 1 | 3 character Country Code of the party.  **Values:**  See Appendix B – Country Codes | R | R | | - | - | - | | - | - |
|  | Not-Indexed-Reason | 100 | 0 or 1 | **Note:** California does not image or index it | - | - | | - | - | - | | - | - |
| SecuredParties |  | - | 1 or More | ***Note:***   * *System will accept only 1 name for AmendmentAction = SecuredPartyChange.* * *System will accept multiple names for TransType = Initial and AmendmentAction = SecuredPartyAdd.* * *Name is required for AmendmentType = Assignment.* | R | - | | R | - | R | | - | - |
|  | SecuredName | - | 1 or more |  | R | - | | R | - | R | | - | - |
|  | Names | - | 1 | The OrganizationName **or** the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank. * *Failure to enter filer name will be grounds for refusal of the XML File.* | R | - | | R | - | R | | - | - |
|  | OrganizationName | 300 | 1 | Designates an entity having a legal identity separate from its owner | R | - | | R | - | R | | - | - |
|  | **IndividualName** | - | 0 or 1 | For the IndividualName, the Surname is required.   * The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | O | - | | O | - | O | | - | - |
|  | Surname | 100 | 1 | Family name or surname of the Individual. | R | - | | R | - | R | | - | - |
|  | FirstPersonalName | 100 | 1 | First given name of the Individual. | O | - | | O | - | O | | - | - |
|  | AdditionalNamesInitials | 60 | 0 or 1 | All additional given names for an individual excluding the family name and the first given name | O | - | | O | - | O | | - | - |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | O | - | | O | - | O | | - | - |
|  | MailAddress | 150 | 1 | Mailing Address of the designated party | R | - | | R | - | R | | - | - |
|  | MailAddress2 | 150 | 1 | Mailing Address of the designated party | 0 | - | | 0 | - | 0 | | - | - |
|  | City | 100 | 1 | City of the designated party | R | - | | R | - | R | | - | - |
|  | State | 2 | 1 | 2 character US postal identification code.  **Values:**  See Appendix A – State Codes | R | - | | R | - | R | | - | - |
|  | PostalCode | 9 | 1 | The postal code for the party | O | - | | O | - | O | | - | - |
|  | Country | 3 | 0 or 1 | 3 character Country Code of the party.  **Values:**  See Appendix B – Country Codes | O | - | | O | - | O | | - | - |
|  | Not-Indexed-Reason | 100 | 0 or 1 | **Note:** California does not image or index it | - | - | | - | - | - | | - | - |
| Assignor |  | - | 0 | ***Note:*** *California does not use this element.*  On a UCC1, if the filer wishes to add an assignor, an additional secured party can be added and the MiscInfo element can be used to notate that secured party is an Assignor.  On a UCC3 or UCC5, the Assignor information will be discarded. | O | - | | - | - | O | | - | - |
|  | Names | - | 1 or More | The OrganizationName **or** the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank. | R | - | | - | - | R | | - | - |
|  | OrganizationName | 300 | 1 | Identifies the affected party in an Amendment. | R | - | | - | - | R | | - | - |
|  | **IndividualName** | - | 0 or 1 | For the IndividualName, the Surname is required.   * The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | O | - | | - | - | O | | - | - |
|  | Surname | 100 | 1 | Family name or surname of the Individual. | R | - | | - | - | O | | - | - |
|  | FirstPersonalName | 100 | 1 | First given name of the Individual. | O | - | | - | - | O | | - | - |
|  | AdditionalNamesInitials | 60 | 0 or 1 | All additional given names for an individual excluding the family name and the first given name | O | - | | - | - | O | | - | - |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | O | - | | - | - | O | | - | - |
|  | MailAddress | 150 | 1 | Mailing Address of the designated party. | R | - | | - | - | O | | - | - |
|  | MailAddress2 | 150 | 1 | Mailing Address of the designated party. | 0 | - | | - | - | O | | - | - |
|  | City | 100 | 1 | City of the designated party. | O | - | | - | - | O | | - | - |
|  | State | 2 | 1 | 2 character US postal identification code.  **Values:**  See Appendix A – State Codes | R | - | | - | - | O | | - | - |
|  | PostalCode | 9 | 1 | The postal code for the party | O | - | | - | - | O | | - | - |
|  | Country | 3 | 0 or 1 | 3 character Country Code of the party.  **Values:**  See Appendix B – Country Codes | R | - | | - | - | O | | - | - |
| Collateral |  | - | 0 or 1 | Either ColText or Attachment can be provided, but both elements cannot be provided together. If both are provided, the system will index the Collateral information provided in ColText and discard the attachment | O | - | | - | O | - | | - | - |
|  | ColText | 10000 | 0 or 1 | Provide the entire collateral description for **all** collateral covered by the Financing Statement in **one** ColText data element. The Collateral will be indexed in the system. | O | - | | - | O | O | | - | - |
|  | Attachment | - | 0 or 1 | Contains Base64 Encoded PDF document(s). | O | - | | - | O | - | | - | - |
|  | TextData | 10 MB\* | 1 | The attachment files should be encoded using Base 64 prior to being inserted into the xml document. The SOS system will decode the data to create the image attachment.  \*Total filing submission size including attachment cannot exceed 10MB. The size limit is in binary and the maximum filing size is 10485760 bytes. | O | - | | - | O | - | | - | - |
| CollateralDesignation | Attribute: Type |  | 1 | Values:   * NODesignation * Trust * PersonalRepresentative | R | O | | - | - | O | | O | - |
| AuthorizingParty |  | - | 0 or More |  | - | O | | O | O | O | | O | O |
|  | AuthSecuredParty | - | 0 or 1 | The OrganizationName **or** the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank. | - | - | | O | O | O | | O | O |
|  | OrganizationName | 300 | 1 | Name of the Secured Party authorizing the change filing. | - | - | | R | R | R | | R | R |
|  | **IndividualName** | - | 1 | For the IndividualName, the Surname is required.   * The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | - | - | | O | O | O | | O | O |
|  | Surname | 100 | 0 or 1 | Family name or surname of the Individual. | - | - | | R | R | R | | R | R |
|  | FirstPersonalName | 100 | 1 | First given name of the Individual. | - | - | | O | O | O | | O | O |
|  | AdditionalNamesInitials | 60 | 1 | All additional given names for an individual excluding the family name and the first given name | - | - | | O | O | O | | O | O |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | - | - | | O | O | O | | O | O |
| **AuthDebtor** |  | - | 0 or 1 | The OrganizationName **or** the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank. | - | O | | - | O | - | | - | O |
|  | OrganizationName | 300 | 1 | Name of the Debtor authorizing the change filing. | - | R | | - | R | - | | - | R |
|  | **IndividualName** | - | 1 | For the IndividualName, the Surname is required.   * The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | - | O | | - | O | - | | - | O |
|  | Surname | 100 | 0 or 1 | Family name or surname of the Individual. | - | R | | - | R | - | | - | O |
|  | FirstPersonalName | 100 | 1 | First given name of the Individual. | - | O | | - | O | - | | - | O |
|  | AdditionalNamesInitials | 60 | 1 | All additional given names for an individual excluding the family name and the first given name | - | O | | - | O | - | | - | O |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | - | O | | - | O | - | | - | O |
| JurisdictionSpecificData |  | - | 0 or 1 | Addendum and Real Estate information. | O | - | | - | - | - | | - | - |
|  | FileInRealEstate | - | 1 |  | O | - | | - | - | - | | - | - |
|  | Designation  Attribute: Type | 50 | 0 or 1 | Values:   * NOType * Timber * AsExtractedCollateral * Fixtures | O | - | | - | - | - | | - | - |
|  | RealEstateDescription | 2000 | 0 or 1 | Description of Real Estate. | O | - | | - | - | - | | - | - |
|  | Names | - | 0 or More | The OrganizationName **or** the IndividualName is required.   * If the OrganizationName is blank, IndividualName is required. * If the OrganizationName is present, IndividualName must be blank. | O | - | | - | - | - | | - | - |
|  | OrganizationName | 300 | 0 or 1 | Identifies the affected party in an Amendment. | O | - | | - | - | - | | - | - |
|  | **IndividualName** | - | 0 or 1 | For the IndividualName, the Surname is required.  The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional. | O | - | | - | - | - | | - | - |
|  | Surname | 100 | 1 | Family name or surname of the Individual. | O | - | | - | - | - | | - | - |
|  | FirstPersonalName | 100 | 0 or 1 | First given name of the Individual. | O | - | | - | - | - | | - | - |
|  | AdditionalNamesInitials | 60 | 0 or 1 | All additional given names for an individual excluding the family name and the first given name | O | - | | - | - | - | | - | - |
|  | Suffix | 40 | 0 or 1 | A title of lineage for an Individual | O | - | | - | - | - | | - | - |
|  | FSAProducts | - | 1 | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Name-Code | - | 1 or more | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Years | - | 1 | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Year | 4 | 1 or more | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Counties | - | 1 | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | County | 50 | 1 or more | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Unit | 50 | 1 | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Quantity | 10 | 1 | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Location | 100 | 1 | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
|  | Description | 100 | 1 | ***Note:*** *California does not use this element.* | - | - | | - | - | - | | - | - |
| Acknowledgement |  | - | 0 or 1 |  | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |
|  | FileNumber | 20 | 1 | Unique Identifying number assigned by the Filing Office to an accepted UCC document. | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |
|  | FileDate | 8 | 1 | File Date the Filing Office accepted the Initial or Change Filing.  Note: The date the filing would have been filed is returned for Rejected documents.  **Format:**  YYYYMMDD | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |
|  | FileTime | 4 | 1 | The File Time the Filing Office accepted the Initial or Change Filing.  ***Note****: The date the filing would have been filed is returned for Rejected documents.*  **Format:**  HHMM | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |
|  | LapseDate | 8 | 0 or 1 | The Date on which the Initial Filing will Lapse.  **Format:**  YYYYMMDD | R/O | - | | - | - | - | | - | - |
|  | FeeAmount | 7 | 1 | The Fee for the Initial or Change Filing as charged by the Filing Office. The amount is deducted from either client’s ACH account or customer account.  **Format:**  NNNNNNN.NN (7.2) | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |
|  | AdditionalFees | 5 | 0 or 1 | Any additional fee on top of the Filing Fee as charged by the Filing Office. The amount is deducted either from the client’s ACH account or customer account.  **Format:**  NNNNNNN.NN (7.2) | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |
|  | FilingOffice | 100 | 1 | The Filing Office where the document was filed.  **Values:**  “California Secretary of State” | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |
|  | FileStatus | - | 1 | Indicates whether the Filing was accepted or rejected.  **Values:**   * Accepted * Rejected * AcceptedWithErrors   Note: The Status of AcceptedWithErrors will be returned if not all debtors or secured parties were indexed. | R/O | R/O | | R/O | R/O | R/O | | R/O | R/O |

# Appendix D – XML Rejection Error Messages

|  |  |
| --- | --- |
| **Error Message** | **Description** |
| OK | Filing was approved and filed. |
| Received | Filing has been received and is still in queue to be processed. |
| InternalProcessingError | The filing system had an internal error processing the filing that is not related to the submitted filing |
| InvalidXml | A filing was submitted that did not contain a valid XML document |
| InProcess | The submitted filing has not finished the filing process |
| IDNotFound | The filing system did not find the information associated with the provided DocumentReceiptID |
| Rejected | Various reasons including invalid account, bad xml values, insufficient funds, etc. |

# Appendix E - State Codes

|  |  |  |
| --- | --- | --- |
| **State Code** | **State Name** | **Country** |
| AA | Armed Forces Americas, except Canada. | USA |
| AB | Alberta | CAN |
| AE | Armed Forces Europe, the Middle East, & Canada. | USA |
| AK | Alaska | USA |
| AL | Alabama | USA |
| AP | Armed Forces Pacific | USA |
| AR | Arkansas | USA |
| AS | American Samoa | USA |
| AZ | Arizona | USA |
| BC | British Columbia | CAN |
| CA | California | USA |
| CO | Colorado | USA |
| CT | Connecticut | USA |
| DC | District of Columbia | USA |
| DE | Delaware | USA |
| FL | Florida | USA |
| FM | Federated States of Micronesia | USA |
| GA | Georgia | USA |
| GU | Guam | USA |
| HI | Hawaii | USA |
| IA | Iowa | USA |
| ID | Idaho | USA |
| IL | Illinois | USA |
| IN | Indiana | USA |
| KS | Kansas | USA |
| KY | Kentucky | USA |
| LA | Louisiana | USA |
| MA | Massachusetts | USA |
| MB | Manitoba | CAN |
| MD | Maryland | USA |
| ME | Maine | USA |
| MH | Marshall Islands | USA |
| MI | Michigan | USA |
| MN | Minnesota | USA |
| MO | Missouri | USA |
| MP | Northern Mariana Islands | USA |
| MS | Mississippi | USA |
| MT | Montana | USA |
| NB | New Brunswick | CAN |
| NC | North Carolina | USA |
| ND | North Dakota | USA |
| NE | Nebraska | USA |
| NL | Newfoundland and Labrador | CAN |
| NH | New Hampshire | USA |
| NJ | New Jersey | USA |
| NM | New Mexico | USA |
| NN | Commonwealth of Northern Mariana Islands | USA |
| NS | Nova Scotia | CAN |
| NT | Northwest Territories | CAN |
| NU | Nunavut | CAN |
| NV | Nevada | USA |
| NY | New York | USA |
| OH | Ohio | USA |
| OK | Oklahoma | USA |
| ON | Ontario | CAN |
| OR | Oregon | USA |
| PA | Pennsylvania | USA |
| PE | Prince Edward Island | CAN |
| PQ | Province of Quebec (Alternate for 'QC') | CAN |
| PR | Puerto Rico | USA |
| PW | Palau | USA |
| QC | Quebec | CAN |
| RI | Rhode Island | USA |
| SC | South Carolina | USA |
| SD | South Dakota | USA |
| SK | Saskatchewan | CAN |
| TN | Tennessee | USA |
| TX | Texas | USA |
| UT | Utah | USA |
| VA | Virginia | USA |
| VI | Virgin Islands | USA |
| VT | Vermont | USA |
| WA | Washington | USA |
| WI | Wisconsin | USA |
| WV | West Virginia | USA |
| WY | Wyoming | USA |
| YT | Yukon Territory | CAN |

# Appendix F - Country Codes

The Country Codes are based on ISO standard 1366. Some modifications have been made to accommodate countries not included in ISO 1366. These are indicated by a double asterisk, “\*\*”.

To support foreign addresses, a MailAddress3 element is supported when the Country Code is not USA. As there is a variety of different display styles for city, state/province, and postal codes for foreign countries, it is up to the filer to render the appropriate foreign address correctly. City, State, and PostalCode are not used when capturing and displaying a foreign address. As an example, when filing a Canadian address, the following would be submitted:

<MailAddress>101A</MailAddress>

<MailAddress2>300 Ward Street</MailAddress2>

<MailAddress3>Balfour BC V1L 123</MailAddress3>

<Country>CAN</Country>

OR

<MailAddress>300 Ward Street</MailAddress>

<MailAddress2>Balfour BC V1L 123</MailAddress2>

<Country>CAN</Country>

|  |  |
| --- | --- |
| **Country Code** | **Country Description** |
| ABW | Aruba |
| AFG | Afghanistan |
| AGO | Angola |
| AIA | Anguilla |
| ALB | Albania |
| AND | Andorra |
| ANT | Netherlands Antilles |
| ARE | United Arab Emirates |
| ARG | Argentina |
| ARM | Armenia |
| ASM | American Samoa |
| ATA | Antarctica |
| ATF | French Southern Territories |
| ATG | Antigua and Barbuda |
| AUS | Australia |
| AUT | Austria |
| AZE | Azerbaijan |
| BDI | Burundi |
| BEL | Belgium |
| BEN | Benin |
| BFA | Burkina Faso |
| BGD | Bangladesh |
| BGR | Bulgaria |
| BHR | Bahrain |
| BHS | Bahamas |
| BIH | Bosnia and Herzegovina |
| BLR | Belarus |
| BLZ | Belize |
| BMU | Bermuda |
| BOL | Bolivia |
| BRA | Brazil |
| BRB | Barbados |
| BRN | Brunei Darussalam |
| BTN | Bhutan |
| BVT | Bouvet Island |
| BWA | Botswana |
| BWI | \*\* British West Indies |
| CAF | Central African Republic |
| CAN | Canada |
| CHE | Switzerland |
| CHL | Chile |
| CHN | China |
| CIV | Cote D'Ivoire |
| CMR | Cameroon |
| COD | Democratic Republic of Congo (was Zaire) |
| COG | People’s Republic of Congo |
| COK | Cook Islands |
| COL | Columbia |
| COM | Comoros |
| CPV | Cape Verde |
| CRI | Costa Rica |
| CUB | Cuba |
| CXR | Christmas Island |
| CYM | Cayman Islands |
| CYP | Cyprus |
| CZE | Czech Republic |
| DEU | Germany |
| DJI | Djibouti |
| DMA | Dominica |
| DNK | Denmark |
| DOM | Dominican Republic |
| DZA | Algeria |
| ECU | Ecuador |
| EGY | Egypt |
| ERI | Eritrea |
| ESH | Western Sahara |
| ESP | Spain |
| EST | Estonia |
| ETH | Ethiopia |
| FIN | Finland |
| FJI | Fiji |
| FLK | Falkland Islands (Malvinas) |
| FRA | France |
| FRO | Faeroe Islands |
| FSM | Micronesia |
| GAB | Gabon |

|  |  |
| --- | --- |
| **Country Code** | **Country Description** |
| GBC | \*\*Channel Islands |
| GBG | \*\*Guernsey |
| GBI | \*\*Isle of Man |
| GBR | United Kingdom |
| GEO | Georgia |
| GHA | Ghana |
| GIB | Gibraltar |
| GIN | Guinea |
| GLP | Guadeloupe |
| GMB | Gambia |
| GNB | Guinea-Bissau |
| GNQ | Equatorial Guinea |
| GRC | Greece |
| GRD | Grenada |
| GRL | Greenland |
| GTM | Guatemala |
| GUF | French Guiana |
| GUM | Guam |
| GUY | Guyana |
| HKG | Hong Kong Special Administrative Region of China |
| HMD | Heard and McDonald Islands |
| HND | Honduras |
| HRV | Croatia |
| HTI | Haiti |
| HUN | Hungary |
| IDN | Indonesia |
| IND | India |
| IOT | British Indian Ocean Territory |
| IRL | Ireland |
| IRN | Iran |
| IRQ | Iraq |
| ISL | Iceland |
| ISR | Israel |
| ITA | Italy |
| JAM | Jamaica |
| JOR | Jordan |
| JPN | Japan |
| KAZ | Kazakhstan |
| KEN | Kenya |
| KGZ | Kyrgyzstan |
| KHM | Cambodia |
| KIR | Kiribati |
| KNA | Saint Kitts and Nevis |
| KOR | Republic of Korea |
| KWT | Kuwait |
| LAO | Lao People's Democratic Republic |

|  |  |
| --- | --- |
| **Country Code** | **Country Description** |
| LBN | Lebanon |
| LBR | Liberia |
| LBY | Libyan Arab Jamahiriya |
| LCA | Saint Lucia |
| LIE | Liechtenstein |
| LKA | Sri Lanka |
| LSO | Lesotho |
| LTU | Lithuania |
| LUX | Luxemborg |
| LVA | Latvia |
| MAC | Macao |
| MAR | Morocco |
| MCO | Monaco |
| MDA | Moldova |
| MDG | Madagascar |
| MDV | Maldives |
| MEX | Mexico |
| MHL | Marshall Islands |
| MKD | The former Yugoslav Republic of Macedonia |
| MLI | Mali |
| MLT | Malta |
| MMR | Myanmar |
| MNG | Mongolia |
| MNP | Northern Mariana Islands |
| MOZ | Mozambique |
| MRT | Mauritania |
| MSR | Montserrat |
| MTQ | Martinque |
| MUS | Mauritius |
| MWI | Malawi |
| MYS | Malaysia |
| MYT | Mayotte |
| NAM | Namibia |
| NCL | New Caledonia |
| NER | Niger |
| NFK | Norfolk Island |
| NGA | Nigeria |
| NIC | Nicaragua |
| NIU | Niue |
| NLD | Netherlands |
| NOR | Norway |
| NPL | Nepal |
| NRU | Nauru |
| NZL | New Zealand |
| OMN | Oman |
| PAK | Pakistan |
|  |  |
| **Country Code** | **Country Description** |
| PAN | Panama |
| PCN | Pitcairn |
| PER | Peru |
| PHL | Philippines |
| PLW | Palau |
| PNG | Papua New Guinea |
| POL | Poland |
| PRI | Puerto Rico |
| PRK | Democratic People's Republic of Korea |
| PRT | Portugal |
| PRY | Paraguay |
| PSE | Palestinian Territory |
| PYF | French Polynesia |
| QAT | Qatar |
| REU | Reunion |
| ROU | Romania |
| RUS | Russian Federation |
| RWA | Rwanda |
| SAU | Saudi Arabia |
| SCG | Serbia and Montenegro |
| SCO | \*\*Scotland |
| SDN | Sudan |
| SEN | Senegal |
| SGP | Singapore |
| SGS | South Georgia and the Ssouth Sandwich Islands |
| SHN | St. Helena |
| SJM | Svalbard and Jan Mayen Islands |
| SLB | Solomon Islands |
| SLE | Sierra Leone |
| SLV | El Salvador |
| SVN | Slovenia |
| SMR | San Marino |
| SOM | Somalia |
| STP | Sao Tome and Principe |
| SUR | Suriname |
| SVK | Slovakia |
| SVN | Slovenia |
| SWE | Sweden |
| SWZ | Swaziland |
| SYC | Seychelles |
| SYR | Syrian Arab Republic |
| TCA | Turks and Caicos Islands |
| TCD | Chad |
| TGO | Togo |
| THA | Thailand |
| TJK | Tajikistan |

|  |  |
| --- | --- |
| **Country Code** | **Country Description** |
| TKL | Tokelau |
| TKM | Turkmenistan |
| TLS | East Timor |
| TON | Tonga |
| TTO | Trinidad and Tobago |
| TUN | Tunisia |
| TUR | Turkey |
| TUV | Tuvalu |
| TWN | Taiwan |
| TZA | Tanzania |
| UGA | Uganda |
| UKR | Ukraine |
| UMI | United States Minor Outlying Islands |
| URY | Uruguay |
| USA | United States of America |
| UZB | Uzbekistan |
| VAT | Vatican City State (Holy See) |
| VCT | Saint Vincent and the Grenadines |
| VEN | Venezuela |
| VGB | British Virgin Islands |
| VIR | United States Virgin Islands |
| VNM | Viet Nam |
| VUT | Vanuatu |
| WLF | Wallis and Futuna Islands |
| WSM | Samoa |
| YEM | Yemen |
| ZAF | South Africa |
| ZMB | Zambia |
| ZWE | Zimbabwe |
| ZZZ | Other Country |

# Appendix G – IACA 3.1 to 4.0 Updates Summary

The below information provides a list of XML elements that are either modified or removed based on IACA 4.0 (International Association of Commercial Administrators) standard, for California Secretary of State’s UCC implementation.

## Header & Record

|  |  |  |  |
| --- | --- | --- | --- |
|  | **IACA 3.1** | **IACA 4.0** | **Notes** |
|  | LastName | Surname |  |
| FirstName | FirstPersonalName |  |
| MiddleName | AdditionalNamesInitials |  |
| IndividualName | Updated | Surname is required. The FirstPersonalName, AdditionalNamesInitials, and Suffix are optional |
| MailAddress2 |  |  | Mailing Address of the designated party additional line (optional) |
| MailAddress3 |  |  | If the country is not the United States to support foreign addresses |

## Header

|  |  |  |  |
| --- | --- | --- | --- |
|  | **IACA 3.1** | **IACA 4.0** | Notes |
| Names | TaxID | Removed |  |
| OrganizationType | Removed |  |
| OrganizationJuris | Removed |  |
| OrganziationID | Removed |  |
| Mark | Removed |  |
| County | Removed |  |
| Test |  | Test | California does not use this element |
| Filer |  | ReturnURL | California does not use this element |
|  | ReturnUserID | California does not use this element |
|  | ReturnUserPWD | California does not use this element |
| ContactEmail | Updated | Up to 254 Length |

## Record

|  |  |  |  |
| --- | --- | --- | --- |
|  | **IACA 3.1** | **IACA 4.0** | Notes |
|  | SubmitterRef | OptionalFilerReference |  |
| InitialFileDate | Removed |  |
| ActionCode | Removed |  |
| AltNameDesignation | Removed |  |
| AltFilingType | Removed |  |
| AltFilingType1 | Removed |  |
| SearchToReflect | Removed |  |
| Secured | SecuredParties |  |
| InitialFileDate | Removed |  |
|  | JurisdictionSpecificData | Placeholder for any jurisdiction-specific changes |
| FileInRealEstate | Removed | Child element under JurisdictionSpecificData |
| FSAProducts | Removed | Child element under JurisdictionSpecificData |
| MiscInfo | Updated | Up to 300 Length |
| InitialFileNumber | Updated | Up to 100 Length |
| OptionalIndicators |  | TransmittingUtility |  |
|  | ManufacturedHome |  |
|  | PublicFinance |  |
|  | FederalLien |  |
|  | StateLien |  |
|  | JudgementLien |  |
|  | Lessee-Lessor |  |
|  | Consignee-Consignor |  |
|  | Bailee-Bailor |  |
|  | Seller-Buyer |  |
|  | Licensee-Licensor |  |
|  | Beneficiary |  |
|  | Trustee |  |
|  | Creditor |  |
|  | NoOptionalIndicator | (Default) |
| Debtors | DebtorAltCapacity | Removed |  |
| Trust | Removed |  |
| TrustDate | Removed |  |
| AmendmentType | Correction | Removed |  |
| OfficerStatement | Removed |  |
| Collateral | FSAProducts | Removed | Child element under JurisdictionSpecificData |
| MIMEType | Removed |  |
| TextData | Updated | Up to 10MB |
| Acknowledgement | ErrorText | Updated | Up to 1024 Length |

# Appendix H – File Number Formats

File Numbers format from 1964 to 8/10/1995

**Initial File Number:**

Total digits 8

Year 2 digits

Julian Date – 3 digits

File number -3 digits

Example: **78076878**

**Change Filings**:

Total 10 digits-

Alfa/Numeric

Original File Number plus two digits alga numeric associated to the initial file number

Example: **78076878A0**

**78076878A1**

File Numbers format from: 08/**DD**/1995 to 08/11/2004

**Initial File Number:**

Total digits **10**

Year: 2 digits

Julian Date: 3 digits

Number “**6**” Identifies that the filing is an Initial Filing

Last 4 digits: File number

Example: **9530560143**

**Change Filings**:

Total **10** digits

Alfa/Numeric

Year:2 digits

Julian Date: 3 digits

Letter “**C:** Identifies that the filing is a change

Last 4 digits: File number

Example: **00216C0129**

08/12/2004 to Present

**Initial File Number:**

Total digits **12**

Mathematically Derived starting with the year

Example: **197728294766**

**Change Filings**:

Total 10 digits

Year 2 digits

Consecutive Numbering

Example: **1876635468**

**1876635469**

# Appendix I – Summary of Updates 06/04/2020

|  |  |  |  |
| --- | --- | --- | --- |
| **Section** | **Segment** | **Update** | |
| [6.2](#_Submitting_a_Document)  [Submitting a Document](#_Submitting_a_Document) | HTTP Status code 406 (NotAcceptable) | Invalid xmlData or filing is rejected. | |
| C# Code – Response | Accepted (202) | |
| [6.3](#_Checking_Status_of)  [Checking Status of a Document](#_Checking_Status_of) | HTTP Status code 200 (OK) | The filing has been processed and filed. | |
| C# Code | Response – Accepted (202) | |
|  | Response – OK (200) | |
| Response – OK | <Status value="OK">Filing completed</Status> | |
| Response – InvalidXml | InvalidXml (406)  <Status value="InvalidXml">  \*InvalidXml is the right status value. Also, error message is now just a string, not an xml document | |
| Response – NotFound | Response – Not Found (404)  <Status value="IDNotFound">DocumentReceiptID not found</Status> | |
| Response – Rejected | Response – Rejected (406)  <?xml version="1.0" encoding="UTF-8"?>  <Document>  <XMLVersion info="1.07"/>  <Header>  <Date>01/01/2016 11:33:47 AM</Date>  </Header>  <Record>  <DocumentReceiptID>2a5dbae4-0046-4de3-888c-78bb137e54d7</DocumentReceiptID>  <Status value="Rejected">Lapsed Record</Status>  </Record>  </Document> | |
| Notes | Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError, and OK | |
| [6.4](#_Retrieving_the_Document)  [Retrieving the Document](#_Retrieving_the_Document) | HTTPS Status Code 200 (OK) | Byte[] of document will be returned | |
| C# Code Sample | Response – OK (200)  Response – Accepted (202)  Response – NotFound (404)  <Status value="IDNotFound">DocumentReceiptID not found</Status> | |
| Notes | Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError, and OK. | |
| [6.5](#_Retrieving_the_Receipt)  [Retrieving the Receipt](#_Retrieving_the_Receipt) | HTTP Status Code 200 (OK) | Byte[] of document will be returned | |
| C# Code | Response – OK (200)  Response – Accepted (202)  Response – NotFound (404)  <Status value="IDNotFound">DocumentReceiptID not found</Status> | |
| Notes | Possible Status values are Received, Rejected, IDNotFound, InvalidXml, InProcess, InternalProcessingError, and OK. | |
| [10](#_Appendix_C_–)  [XML Document DTD](#_Appendix_C_–) | [10.1 Header Specifications](#_Document_Specifications) | ClientAccountNum | Max Length 7 |
| [10.2 Record Specifications](#_Header_Specifications) | FileNumber | Max Length 20 |
|  | FeeAmount | Max Length 7 |
|  | AdditionalFees | Max Length 5 |
|  | FilingOffice | Max Length 100 |
| [10.3 OptionalIndicators](#_Record_Specifications) | Removed | AgLien |
|  | Removed | NonUCCFiling |

|  |  |
| --- | --- |
| HTTP Status Code | Explanation |
| 102 (Processing) | The xmlData is being processed. |
| 200 (OK) | The filing has been processed and filed. |
| 202 (Accepted) | The xmlData was valid and is in queue for processing. |
| 400 (BadRequest) | No xmlData submitted or submission failed. |
| 401 (Unauthorized) | Invalid Ocp-Apim-Subscription-Key or SOS-Key provided, or keys not found in request headers. |
| 404 (NotFound) | Invalid id (Document Receipt ID) provided. |
| 406 (NotAcceptable) | Invalid xmlData or filing is rejected. |
| 429 (GetBalance) | Rate limit is exceeded. Try again in 16 seconds. |
| 500 (InternalServerError) | Unknown server error has occurred. |

# Appendix J – Valid Error Messages