

Louisiana UCC Bulk Filings API Integration Guide

Last Revision

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10/15/2019	1.3	Added code samples and validatexml method
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Filing Bulk UCC Documents in Louisiana

You can complete a paper form and file a Uniform Commercial Code (UCC) initial financing statement at the Clerk of Court's Office in any parish in Louisiana without regard to the debtor's address, location of the collateral or of any related immovable. You can also [file an initial financing statement online](#) (UCC-1 and UCC-1F only) and subsequent filings (UCC-3 and UCC-3F filings, such as amend crops, assignments, collateral changes, continuations, party information changes and terminations) as well as UCC-5 Information Statements (on UCC-3 or UCC-3F filings) through the UCC Filings application, which is available through the Louisiana Secretary of State's website. The Secretary of State's Office does not process UCC filings; rather, the online filing system requires you to select the Louisiana parish clerk of court where you want the filing to be processed. Subsequent filings will be processed by the same Louisiana parish clerk of court that processed the initial financing statement.

The online filing system is designed to process one filing at a time, requires you to manually type descriptions of the collateral, and incurs a state fee to process the credit card transaction required for each filing. This works well if you process single initial financing statements at a time, but is not convenient or cost effective if your organization processes hundreds of filings each month or multiple filings at one time.

For organizations with high-volume requirements, the Louisiana Secretary of State's Office developed the UCC Bulk Filings API based on the UCC [secured transactions XML technical specifications](#) published by the [International Association of Commercial Administrators \(IACA\)](#). The system exposes a secure web service application programming interface (API) that allows your organization to securely and efficiently submit a volume of initial filing statements at one time, accruing only one transaction fee per batch of filings that are submitted for processing (each additional filing after the first includes a \$2 charge). Each financing statement you submit is directed to the parish clerk of court of your choice for processing. You can also use the API to check the verification status of submitted filings at any time for no additional fee.

Using the Louisiana UCC Bulk Filing API requires some upfront coding, even if your organization's in-house applications currently integrate with other states' UCC filing systems according to the IACA XML standard, as the XML required for Louisiana UCC filings is slightly different than the IACA standard XML and any other state's XML requirements. However, once the upfront coding is done, you can use the Louisiana UCC Bulk Filing API to submit batches of UCC-1, UCC-1F, UCC-3, UCC-3F and UCC-5 filings, and then check the status of submitted filings at any time, directly from your in-house applications.

Currently, UCC-1 and UCC-1F initial filing statements, subsequent amendments and Information Statements and status requests are supported. However, financing statements that include real estate are not currently supported.

Please review this document to understand the XML and API requirements, to configure your in-house applications as needed to comply with the requirements and to complete the onboarding process.

What We Provide

In order to assist you complete the tasks necessary to integrate with the Louisiana UCC Bulk Filing API, the Secretary of State's Office provides the following:

- This API guide (https://static.sos.la.gov/UCC/UCC_Bulk_API_Guide.PDF)
- XSD schema for filings (<https://static.sos.la.gov/UCC/filing.XSD.TXT>)
- Sample XML
- UCC support for questions related to UCC-1, UCC-1F, UCC-3, UCC-3F and UCC-5 financing statements (see the **Get Help** tab after signing in to the [UCC Filings web application](#))
- Helpdesk support for API and connectivity questions (message us at helpdesk@sos.la.gov)
- A secure web service that validates API calls and XML during the onboarding process
- A secure web service that supports production API calls

Understanding the Onboarding Process

Complete all of the following steps to get started filing bulk financing statements in Louisiana:

1. Review the IACA [secured transactions XML technical specifications](#) documentation. You can use this standard, with the modifications described in this document, to produce the custom XML required by the Louisiana UCC Bulk Filing API method calls.
2. View the WSDL for the web service at https://api.training.sos.la.gov/WS_UCC_XML.svc?wsdl. For more information, see **Understanding the Web service Methods and Parameters** on page 6.
3. Review this API guide to construct your API calls, and understand the differences between the IACA standard XML and the XML required by the API. For more information, see
4. **Constructing the xmlDoc** Parameter on page 8, and **Error! Reference source not found.** on page **Error! Bookmark not defined.**
Create a certificate for securing transactions to our servers. For more information, see **Understanding Certificate Requirements** on page 10.
5. Create a single sign-on training account in our training environment at https://uccfilings.training.sos.la.gov/UCC_Home.aspx, complete your UCC training profile information, click **Manage Saved Payments** to add a test credit card and then click the radio button to set it as the default credit card for UCC bulk filings. For more information about the test credit card, see **Adding the Test Credit Card** on page 11.
Note: You must add this test card to your training profile after every Sunday refresh.
6. Create an identical single sign-on training account in our production environment at https://uccfilings.sos.la.gov/UCC_Home.aspx, and then complete your UCC profile information. There is no need to add a credit card to your production profile as we do not recommend using this account for your production filings. This production account is used to populate profile information in the testing environment after the weekly refresh. For more information about why identical training and production accounts are required, see **Using the Training Environment** on page 10.

7. Contact Helpdesk support at helpdesk@sos.la.gov, let them know you want UCC Bulk API training access, provide the email address of your training account and your certificate thumbprint (public key). We will contact you when your training account has been activated for submitting financing statement and status tests.
8. Use our training web service, and the <test>Y</test> key in your XML to submit initial filing tests to our training web service. For more information, see https://api.training.sos.la.gov/WS_UCC_XML.svc.
9. SubmitXML Method on page 6.
10. Once you get a successful result, your XML is valid. You can change the test key to <test>N</test> in your XML, and then submit filing tests that are processed similar to real filings, with a receipt, financing statement document and acknowledgement produced for each filing.
11. View your receipts, financing statement documents and acknowledgements that are produced at https://uccfilings.training.sos.la.gov/UCC_Home.aspx. Please note that acknowledgements are automatically generated after the appropriate grace period, which is typically over on the third business day after the financing statement test is submitted. Also, all content in your training account is removed weekly. For more information, see
12. **Using the Training Environment** on page 10.
Note: Since the training environment refreshes every Sunday, the recommended testing procedure is to add the test credit card to your training profile, and then submit tests on Mondays. This allows the grace period to expire and the acknowledgements to be generated and the results verified before the next refresh.
13. Use the **DocumentReceiptID** that is returned on successful filings to test status requests. For more information, see GetStatus Method on page 7.
14. Once your XML and API calls are tested to your satisfaction, create a new single sign-on account in production at https://uccfilings.sos.la.gov/UCC_Home.aspx and then complete your UCC profile information that will appear on production filings.
15. Contact your support person, provide your production account email address and request production access. We will provide the production web service link.
16. Make sure the web service URL is updated, the test key is <test>N</test> in your XML and a valid credit card is configured. You now have access to the production system and you can use your in-house application for filing requests normally.

Understanding the Secure Web Service

All communication between your application and the UCC Bulk Filing API is SSL-encrypted. Your application has a client certificate, which identifies it uniquely with the API. The API holds a server certificate, which your application checks to ensure that it is communicating with the UCC Bulk Filing API. In addition, each request made to the API requires the user name and password of your single sign-on account. These security mechanisms guarantee that the transaction data sent to UCC Bulk Filing API stays private and is available only to your application.

You can view the Web Service Definition Language (WSDL) for the web service. The WSDL file for the UCC Bulk Filing API is located at: https://api.training.sos.la.gov/WS_UCC_XML.svc?wsdl.

Understanding the Web service Methods and Parameters

The WSDL defines the two methods and the parameters required by the API:

- SubmitXML
- GetStatus

To call these methods, open a browser and navigate to the following URL:

https://api.training.sos.la.gov/WS_UCC_XML.svc.

SubmitXML Method

You can use the SubmitXML method to submit a financing statement for processing. The method takes four parameters:

- **userID:** (string) Your single sign-on account email address
- **password:** (string) Your single sign-on account password
- **xmlDoc:** (string) The XML data for your filings, as specified by filing.XSD. For more information, see
- **Constructing the xmlDoc** Parameter on page 8.

The XML returned includes:

- **Header:** Includes batch information, such as filer name and address, packet Number, document receipt ID and test value
- **Records:** includes record information, such as file date, fees and status, for each financing statement submitted

GetStatus Method

You can use the GetStatus method to submit a status request for a specific filing. The method takes three parameters:

- **userId:** (string) Your single sign-on account email address
- **password:** (string) Your single sign-on account password
- **documentReceiptId:** (string) The document receipt ID returned after the filing was submitted
- **filingNumber:** (string) The filing number assigned by the parish. This value appears only after the parish receives the filing and assigns the filing number.

The XML returned includes:

- **Header:** includes the date of the status query
- **Records:** Includes status information, including the date of the last status change, for each financing statement associated with the document receipt ID you submitted

ValidateXML Method

This is a method intended for testing xml during integration development. The method takes one parameter:

- **documentXml:** (string) the xml you would like to validate.

The method returns a string that includes any validation and error messages. An empty string being returned means that the xml was validated successfully.

AcknowledgmentPDF Method

This method will return a PDF Acknowledgment of a submitted filing based on the previously supplied packet number. The PDF acknowledgment will be returned as a byte array. The method takes three parameters:

- **userId:** (string) Your single sign-on account email address
- **password:** (string) Your single sign-on account password
- **packetNumber:** (string) The previously supplied packet number

Understanding the XML Technical Specifications

Please review the [secured transactions XML technical specifications](#) published by the [International Association of Commercial Administrators \(IACA\)](#). This document provides the base specifications for UCC XML according to 2010 amendments to Article 9, as documented in the 2013 XML specification (effective as of July 1, 2013). You can use this specification, with modifications as described below, to produce the custom XML required by the Louisiana UCC Bulk Filing API method calls. The technical specifications document also offers useful discussions on XML, XSD, the filing process and other topics relevant to coding and configuring your in-house applications to submit and check the status of UCC bulk filings.

While reviewing the document, please consider the following differences unique to filing UCC documents in Louisiana:

- HTML Post methods are not supported. All transactions are performed using secure web service method calls.
- XSD schema documents are provided in lieu of DTD documents.
- Asynchronous communication is not supported.
- Receipts are not returned after submission. However, you can view documents and print receipts from our [UCC Filings web application](#).
- Web services cannot be used to retrieve PDF images of financing statements or acknowledgement letters. You can retrieve images of these documents for 120 days after verification using the links provided in emailed verification alerts, or by signing into our [UCC Filings web application](#).
- Web services do not support search requests. You can subscribe to the [Direct Access Service](#) to search for financing statements after the 120 day after-verification limit expires. You can use this service for free by visiting a Clerk of Court's Office in any Louisiana parish.
- Filings with elements that have been deprecated per the 2013 XML specifications will be rejected.
- Sequence numbers in the XML technical specifications document begin with 1. Louisiana requires the sequence number to begin with 0.
- Payment information will be submitted to your credit card processing company for all filings in the batch. The standard state fee (\$5 as of December 2014) will be charged once for the entire batch, plus \$2 for each filing after the first filing, in addition to the processing fees associated with each filing. [Current information about the UCC fee schedule](#) is provided on the secretary of state's website.
- In compliance with [Payment Card Industry Data Security Standards](#) (PCI), your credit card information is not stored in our system once the transaction is complete. However, we do store the first and last four digits of your card in an encrypted format for a period of time after the transaction. This information is only used to identify transactions in the case of a dispute.
- Web services are secured by HTTPS, certificate authentication, as well as a user name and password that you maintain via our [UCC Filings web application](#).
- The XML tags are similar to the tags documented in the XML technical specifications document, but there are differences that must be considered when coding XML for Louisiana. More information about the deprecated and modified tags is provided below.

Constructing the xmlDoc Parameter

The xmlDoc parameter used in the SubmitXML method requires XML as defined by filing.XSD. You can download the current filing.xsd as a text file from <http://static.sos.la.gov/UCC/filing.XSD.TXT>. This document defines all the XML elements required to file a financing statement in Louisiana. For further descriptions of each element, see the IACA [XML Technical Specifications](#) document, but please follow

the filing.XSD document when constructing your XML as the DTD provided by IACA will not validate due to minor differences unique to Louisiana filings.

The following includes a summary of differences between the Louisiana filings.XSD and the IACA standard DTD:

XML Element Differences

- Filer element ContactPhone, ContactFax, ReturnURL, ReturnUserID and ReturnUserPWD are not allowed.
- Record element requires County which contains the four character code to indicate the parish clerk of court that will receive and process the filing. Refer to ParishList in the filer.XSD for a list of the parish codes.
- Record element AmendmentType includes the values TerminationDebtor and OfficerStatement, but these amendments are not available in Louisiana.
- Record element does not allow FileInRealEstate due to differences in implementations across the state.
- Record element allows a ReturnCopy element. This element allows you to provide an email address of an interested party to receive acknowledgement of the filing.
- Record element requires Signature and SignatureDate elements to allow creation of an image of the filing document.
- Names elements allows TaxIdNumber (formerly TaxID), MailAddress2 and County. At least the last four digits of the debtor's TaxIdNumber is required for UCC-1F financing statements.
- Collateral element does not allow Attachment.
- Collateral element ColTextLong has been added. This field allows the entire collateral description to be submitted up to a 256,000 character limit.
- Collateral elements Location, Description, JointChecks and ProductsOfCollateralAreAlsoCovered have been added to allow UCC-1F statements to be filed.
- Assignor elements are not allowed. Use SecuredParty element instead.
- Assignee element has been added to allow Assignment on Original initial financing statements.
- FSAProducts Name-Code element has been renamed FSAProduct. This FSAProduct element Description has been renamed Name-Code2. SecuredAmount has also been added to the FSAProduct element.
- Assignee and SecuredNames require ContactEmail. Online and bulk filings will be acknowledged via email instead of by mail.
- State and PostalCode are required for domestic addresses.
- Use City (string 100) to indicate the City/Province and PostalCode to indicate the Postal code for foreign addresses.
- For UCC-5 filings, an InfoStatementClaim element has been added that has an enumerator type for ease of use.

Field Length Differences

- Filer element ContactEmail is expanded to 256 characters.

- Names element MailAddress is reduced to 75 characters. (MailAddress2 allows an additional 75 characters. MailAddress2 will appear on a separate line on any paper correspondence.)
- Collateral element ColText is reduced to 300 characters. This short collateral description is used to display on acknowledgements and search results. Use ColTextLong (256,000 characters) for the entire collateral description.
- The FSAProduct, formerly Name-Code, element allows no Unit element. The existing Quantity element has been expanded to 25 characters to allow for inclusion of the unit value with the quantity values.

Attribute Differences

- AltFilingType does not allow ManufacturedHome, JudgementLien, StateLien, FederalLien nor FoodSecurityAct values.
- AltNameDesignation does not allow Creditor, Beneficiary, Trustee nor Licensee-Licensor values.
- TransType does not allow Amendment value as only initial financing statements are supported.
- ParishList four character parish code values have been added.
- StateEnum and CountryEnum have been added for your convenience.

Understanding Certificate Requirements

A client certificate must be a valid x.509 certificate that uses 2048 bit encryption. You will generate a certificate on your network. You will then send us the public key of your certificate. We use this to authenticate your transactions. You will store the certificate with the private key on any devices that will be communicating directly with the UCC Bulk Filing API. We recommend that you limit the number of devices that communicate with the API.

Using the Training Environment

We provide a sandbox training environment, where you can submit financing statements and status tests. The training environment is a copy of our production environment, which is overwritten weekly, during the weekend (typically on Sundays). In our onboarding process, we ask you to create identical training accounts in our production and training environments. The account in our training environment lets you start submitting tests right away (after approval), but your account profile in the training environment will be overwritten every week with your production account profile, which is why an identical training account in production is needed. Only the training environment will let you add test credit cards, which is why you must repeat the step weekly after the environment is overwritten. Similarly, any financing statements, acknowledgements and receipts that are produced in the training environment as a result of your tests will be removed weekly and overwritten with a copy of any production data associated with the account.

Please note that the behind-the-scenes processing is automated in the training environment, so that the clerk transmission process occurs automatically and the acknowledgement process occurs after the appropriate grace period, which is typically occurs three business days after you submit the financing

statement test or when you submit actual financing statements in production. We recommend that you add the test credit card and submit your test filings on Mondays so that the results can be verified later in the week.

To avoid confusion, we recommend that you maintain an account in production and training just for training purposes, and create a completely different account for production purposes.

Adding the Test Credit Card

In production, you must add a valid credit card to your account that we will use to process your filings. In the training environment, please complete the following steps to add a test credit card to your account that we will use to simulate processing of your test filings:

1. Sign in to your test account at https://uccfilings.training.sos.la.gov/UCC_Home.aspx.
2. Click **Account Information**.
3. Click Update Master Account Information (link).
4. Click **Manage Saved Payments**.
5. Click **Add New Credit Card**.
6. Click **Checkout**, complete the following information and then click Submit.
Credit Card Number: 4000 0000 0000 0002 (VISA)
Expiration: (any date in the future)
CCV: 123
Cardholder Name: (any)
You should receive a message that your card was added successfully.
7. Click **Account Information**.
8. Under **Select a Default Credit Card for Bulk Filings**, select **VISA ending in 0002**.
9. Check the checkbox to agree with the terms and conditions in the disclaimer.
10. Click **Update UCC Filing Profile**.
11. Click **Return to Home Page**.

Obtaining Production Receipts, Documents, and Acknowledgements

Receipts, documents and acknowledgements are available only in PDF format, and there is one receipt per batch of bulk filings. Receipts for production filings are available by signing on to the UCC Filings web application at https://uccfilings.sos.la.gov/UCC_Home.aspx. You can also retrieve the documents and acknowledgements on this site.

Obtaining Training Receipts, Documents, and Acknowledgements

When submitting test filings, the test documents and acknowledgements that are produced include a watermark and other features that invalidate the document. We encourage you to create test filings where the test data is representative in structure and form, but cannot be confused with actual data. Although the test financing statements are invalid, any printed copies of these documents should be destroyed after testing. Test documents and acknowledgements are available by signing on to the UCC Filings Training web application at https://uccfilings.training.sos.la.gov/UCC_Home.aspx.

Getting Help

Please contact helpdesk@sos.la.gov or your assigned support person to get help at any time.

Appendix A : Code Samples

WCF Service Model Configuration

```
<system.serviceModel>
  <bindings>
    <binding name="BasicHttpBinding_IWS_UCC_XML_SSL">
      <security mode="TransportWithMessageCredential">
        <message clientCredentialType="Certificate" />
      </security>
    </binding>
  </bindings>
  <client>
    <endpoint address="https://api.training.sos.la.gov/WS_UCC_XML.svc"
      behaviorConfiguration="UCCBulkSecureBehavior"
      binding="basicHttpBinding"
      bindingConfiguration="BasicHttpBinding_IWS_UCC_XML_SSL"
      contract="UCC.IWS_UCC_XML"
      name="WS_UCC_XML_Training" />
  </client>
  <behaviors>
    <endpointBehaviors>
      <behavior name="UCCBulkSecureBehavior">
        <clientCredentials>
          <clientCertificate findValue="UCCBulkFilings"
            x509FindType="FindBySubjectName"
            storeLocation="LocalMachine"
            storeName="My" />
          <serviceCertificate>
            <authentication certificateValidationMode="None"/>
            <defaultCertificate findValue="UCCBulkFilings"
              storeLocation="LocalMachine"
              storeName="My"
              x509FindType="FindBySubjectName" />
          </serviceCertificate>
        </clientCredentials>
      </behavior>
    </endpointBehaviors>
  </behaviors>
</system.serviceModel>
```

ValidateXML Method

```
public string UCCValidateXML(string documentXML)
{
    using (var client = new UCCBulkFilingClient())
    {
        return client.ValidateXML(documentXML);
    }
}
```

GetStatus Method

```
public string UCCBulkGetStatus(string username, string password, int documentReceiptId)
{
    using (var client = new UCCBulkFilingClient())
    {
        return client.GetStatus(userName, password, documentReceiptId);
    }
}
```

SubmitXml Method

```
public string UCCBulkSubmitXML(string username, string password, string documentXML)
{
    using (var client = new UCCBulkFilingClient())
    {
        return client.SubmitXML(username, password, documentXml);
    }
}
```

AcknowledgmentPDF Method

```
public byte[] AcknowledgmentPDF(string userName, string password, string packetNumber)
{
    using (var client = new UCCBulkFilingClient())
    {
        return client.AcknowledgmentPdf(userName, password, packetNumber);
    }
}
```