



## General Assembly

Distr.: Limited  
19 September 2012

Original: English

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**United Nations Commission  
on International Trade Law**  
Working Group VI (Security Interests)  
Twenty-second session  
Vienna, 10-14 December 2012

### **Draft Technical Legislative Guide on the Implementation of a Security Rights Registry: Annex II, Examples of Registry Forms**

#### **Note by the Secretariat**

##### **Addendum**

The Working Group may wish to consider the examples of registry forms contained in this note. The examples are presented as annex II of the draft Technical Legislative Guide on the Implementation of a Security Rights Registry, following annex I on terminology and recommendations. The Working Group may wish to consider whether examples of other forms should also be prepared (for example, schedules for entering additional information).



**REGISTRY OF SECURITY RIGHTS IN MOVABLE ASSETS**  
**EXAMPLE OF INITIAL NOTICE**  
**(FORM A)**

IT IS THE REGISTRANT’S RESPONSIBILITY TO ENSURE THAT ALL REQUIRED INFORMATION IS PROVIDED AND ENTERED IN THE DESIGNATED FIELD OF THE NOTICE IN A LEGIBLE MANNER.

[.....(dd).....(mm).....(yyyy).....(hour)\* of registration of initial notice and registration No. .... — DO NOT COMPLETE — REGISTRY SYSTEM GENERATED]

**A. GRANTOR INFORMATION**

1. NATURAL PERSON

...../...../...../

Family Name

First Given Name

Second Given Name

[ADDITIONAL GRANTOR INFORMATION]<sup>1</sup> .....

ADDRESS.....

and/or E-Mail Address<sup>2</sup>.....

2. LEGAL PERSON OR OTHER ENTITY

NAME .....

[ADDITIONAL GRANTOR INFORMATION]

.....

ADDRESS.....

and/or E-Mail Address .....

\* In digits.

<sup>1</sup> Note to the Working Group: The Working Group may wish to note that this field is designed to be used in States that elect option B of rec. 22, subpara. (a), of the draft Registry Guide, i.e., a State that elects to require or permit the registration of additional grantor identifier information such as, for example, the grantor’s birthdate or an identification number or other number assigned by the State to its residents or citizens. While the form should set out the precise type of additional identifier information that is either required or that may be entered, this will depend on the choice made by each enacting State.

<sup>2</sup> Note to the Working Group: The Working Group may wish to consider the function of listing the address. If the function is to help searchers distinguish among various grantors named, for example, “John Smith,” the grantor’s e-mail address will not be helpful, since people have many e-mail addresses and listing one of them will not necessarily help searchers distinguish one John Smith from another. If, on the other hand, the intent is to provide a way for interested parties to contact the grantor, this provides a method (see rec. 54, subpara. (c)); but the registrant should have the e-mail of the grantor anyway). The grantor’s e-mail could be used though if a State requires the registry to give notice to the grantor if the secured creditor makes changes to the registered notice.

3. INDICATE IF THE GRANTOR IS<sup>3</sup>

- ..... an insolvent person
- ..... a syndicate or joint venture
- ..... a named trust or estate
- ..... an entity other than those mentioned above

4. ADDITIONAL GRANTOR (if applicable)

(a) NATURAL PERSON

NAME: ...../...../...../

Family Name	First Given Name	Second Given Name
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IDENTIFICATION NUMBER [if issued by the enacting State].....

ADDRESS .....  
and/or E-Mail Address .....

(b) LEGAL PERSON OR OTHER ENTITY

NAME .....

[ADDITIONAL GRANTOR INFORMATION]

.....

ADDRESS .....  
and/or E-Mail Address .....

(c) INDICATE IF THE GRANTOR IS

- .....an insolvent person
- ..... a syndicate or joint venture
- ..... a named trust or estate
- ..... an entity other than those mentioned above

**B. SECURED CREDITOR INFORMATION**

1. NATURAL PERSON

...../...../...../

Family Name	First Given Name	Second Given Name
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ADDRESS .....  
and/or E-Mail Address .....

<sup>3</sup> Note to the Working Group: The Working Group may wish to note that this part reflects the special cases dealt with in recommendation 24.

2. LEGAL PERSON OR OTHER ENTITY

NAME.....

ADDRESS.....

and/or E-Mail Address.....

3. ADDITIONAL SECURED CREDITOR (if applicable)

(a) NATURAL PERSON

NAME:...../...../...../

Family Name

First Given Name

Second Given Name

ADDRESS.....

and/or E-Mail Address.....

(b) LEGAL PERSON OR OTHER ENTITY

NAME .....

ADDRESS .....

and/or E-Mail Address .....

C. DESCRIPTION OF ENCUMBERED ASSETS

.....

[D. PERIOD OF EFFECTIVENESS OF REGISTRATION .....(dd) ..... (mm) ..... (yyyy)]\*4

[E. MAXIMUM AMOUNT FOR WHICH SECURITY RIGHT IS ENFORCEABLE]5

.....\*

[F. ADDITIONAL INFORMATION] .....

.....

[REGISTRY USER INFORMATION FOR ACCESS PURPOSES].....

4 If the enacting State has chosen option B or C in recommendation 11 (see *Secured Transactions Guide*, rec. 69).

5 If the secured transactions law of the enacting State requires it (see *Secured Transactions Guide*, rec. 57, subpara. (d)).

**REGISTRY OF SECURITY RIGHTS IN MOVABLE ASSETS**  
**EXAMPLE OF AMENDMENT NOTICE**  
**(FORM B)**

IT IS THE REGISTRANT’S RESPONSIBILITY TO ENSURE THAT ALL REQUIRED INFORMATION IS PROVIDED AND ENTERED IN THE DESIGNATED FIELD OF THE NOTICE IN A LEGIBLE MANNER.

SELECT [ONE] [ONE OR MORE]<sup>6</sup> OF THE FOLLOWING:

- Add or delete a grantor or change/edit grantor information
- Add or delete a secured creditor or change/edit secured creditor information
- Add or delete an encumbered asset or change/edit the description of encumbered assets (including adding or deleting items or kinds of encumbered assets and adding a description of assets that are proceeds of the original encumbered assets)
- Extend the period of effectiveness of registration (if the enacting State has specified a universal period of effectiveness of registration or a maximum initial registration period)]
- [Extend or reduce the period of effectiveness of registration (if the enacting State permits secured creditors to specify the period of effectiveness of the registration)]
- [Change the maximum amount for which the security right is enforceable (if the enacting State permits it)]
- Edit secured creditor information in all such notices with a single global amendment
- Add, change or delete information pursuant to a judicial or administrative order

[.....(dd)....(mm).....(yyyy).....(hour)\* of registration of amendment notice ..... — DO NOT COMPLETE — REGISTRY SYSTEM GENERATED]

**A. REGISTRATION NO.** .....

**B. ADD GRANTOR**

1. NATURAL PERSON

...../...../...../

Family Name

First Given Name

Second Given Name

<sup>6</sup> Note to the Working Group: The Working Group may wish to consider which of the two alternatives (one amendment per notice or multiple amendments per notice) should be retained. The Working Group may wish to note that in any case it should be clear that, if there is first an assignment of the secured obligation and a notice with the new secured creditor identified is registered, and then there is a change to the encumbered assets, only the assignee will have the power to change the encumbered assets.

\* In digits.

[ADDITIONAL GRANTOR INFORMATION] .....  
ADDRESS.....  
and/or E-Mail Address .....

2. LEGAL PERSON OR OTHER ENTITY

NAME .....

[ADDITIONAL GRANTOR INFORMATION] .....  
ADDRESS.....  
and/or E-Mail Address .....

3. INDICATE IF THE GRANTOR IS

- ..... an insolvent person
- ..... a syndicate or joint venture
- ..... a named trust or estate
- ..... an entity other than those mentioned above

**C. DELETE GRANTOR**

1. NATURAL PERSON

NAME:

...../...../...../

Family Name                      First Given Name                      Second Given Name

[ADDITIONAL GRANTOR INFORMATION] .....  
ADDRESS.....  
and/or E-Mail Address.....

2. LEGAL PERSON OR OTHER ENTITY

NAME .....

[ADDITIONAL GRANTOR INFORMATION] .....  
ADDRESS .....  
and/or E-Mail Address .....

3. INDICATE IF THE GRANTOR IS

- ..... an insolvent person
- ..... a syndicate or joint venture
- ..... a named trust or estate
- ..... an entity other than those mentioned above

**D. CHANGE OF GRANTOR INFORMATION**

1. NATURAL PERSON

NAME:...../...../...../  
Family Name First Given Name Second Given Name

[ADDITIONAL GRANTOR INFORMATION] .....

ADDRESS.....  
and/or E-Mail Address .....

2. LEGAL PERSON OR OTHER ENTITY

NAME .....

[ADDITIONAL GRANTOR INFORMATION] .....

ADDRESS.....  
and/or E-Mail Address .....

3. INDICATE IF THE GRANTOR IS

- ..... an insolvent person
- ..... a syndicate or joint venture
- ..... a named trust or estate
- ..... an entity other than those mentioned above

**E. ADD SECURED CREDITOR**

1. NATURAL PERSON

...../...../...../  
Family Name First Given Name Second Given Name

ADDRESS.....  
and/or E-Mail Address .....

2. LEGAL PERSON OR OTHER ENTITY

NAME.....

ADDRESS.....  
and/or E-Mail Address.....

**F. DELETE SECURED CREDITOR**

1. NATURAL PERSON

...../...../...../  
Family Name First Given Name Second Given Name

ADDRESS.....  
and/or E-Mail Address .....

2. LEGAL PERSON OR OTHER ENTITY

NAME .....

ADDRESS.....

and/or E-Mail Address.....

G. CHANGE SECURED CREDITOR INFORMATION

1. NATURAL PERSON

...../...../...../

Family Name

First Given Name

Second Given Name

ADDRESS.....

and/or E-Mail Address .....

2. LEGAL PERSON OR OTHER ENTITY

NAME.....

ADDRESS.....

and/or E-Mail Address .....

H. CHANGE DESCRIPTION OF ENCUMBERED ASSETS

.....

.....

I. EXTEND PERIOD OF EFFECTIVENESS OF REGISTRATION (if the enacting State has specified a universal registration term or a maximum initial registration term ..... (enter extended period)\*

[J. EXTEND OR REDUCE PERIOD OF EFFECTIVENESS OF REGISTRATION (if the enacting State permits secured creditors to specify the duration of the registration) \_\_\_\_ (dd) \_\_\_\_ (mm) \_\_\_\_ (yyyy)\*]

[K. CHANGE MAXIMUM AMOUNT FOR WHICH SECURITY RIGHT IS ENFORCEABLE] ..... \*

L. ADD OR DELETE INFORMATION PURSUANT TO A REQUEST BY THE GRANTOR OR AN ORDER OF A JUDICIAL OR ADMINISTRATIVE AUTHORITY

.....

.....

.....

[REGISTRY USER INFORMATION FOR ACCESS PURPOSES]



**[PERSON SUBMITTING AN AMENDMENT NOTICE PURSUANT TO A JUDICIAL OR ADMINISTRATIVE ORDER]**

NAME OF PERSON .....

TITLE .....

NAME OF JUDICIAL OR ADMINISTRATIVE AUTHORITY .....

ADDRESS .....

and/or E-Mail Address .....

**REGISTRY OF SECURITY RIGHTS IN MOVABLE ASSETS**  
**EXAMPLE OF CANCELLATION NOTICE**  
**(FORM C)**

IT IS THE REGISTRANT'S RESPONSIBILITY TO ENSURE THAT ALL REQUIRED INFORMATION IS PROVIDED AND ENTERED IN THE DESIGNATED FIELD OF THE NOTICE IN A LEGIBLE MANNER.

[.....(dd).....(mm).....(yyyy).....(hour)\* of registration of cancellation notice — DO NOT COMPLETE —  
REGISTRY SYSTEM GENERATED]

**REGISTRATION NO.** .....

**[REGISTRY USER INFORMATION FOR ACCESS PURPOSES]**

**[PERSON SUBMITTING A CANCELLATION NOTICE PURSUANT TO A JUDICIAL OR ADMINISTRATIVE ORDER**

NAME OF PERSON .....

TITLE .....

NAME OF JUDICIAL OR ADMINISTRATIVE AUTHORITY .....

ADDRESS .....

and/or E-Mail Address .....

**REGISTRY OF SECURITY RIGHTS IN MOVABLE ASSETS**  
**EXAMPLE OF SEARCH REQUEST FORM**  
**(FORM D)**

IT IS THE REGISTRANT’S RESPONSIBILITY TO ENSURE THAT ALL REQUIRED INFORMATION IS PROVIDED AND ENTERED IN THE DESIGNATED FIELD OF THE NOTICE IN A LEGIBLE MANNER.

[.....(dd).....(mm).....(yyyy).....(hour)\* of search request — DO NOT COMPLETE — REGISTRY SYSTEM GENERATED]

[REGISTRATION NO. .... ]

**A. GRANTOR INFORMATION**

1. NATURAL PERSON

...../...../...../

Family Name

First Given Name

Second Given Name

[ADDITIONAL GRANTOR INFORMATION]

.....

2. LEGAL PERSON OR OTHER ENTITY

NAME .....

[ADDITIONAL GRANTOR INFORMATION]

.....

3. INDICATE IF THE GRANTOR IS

..... an insolvent person

..... a syndicate or joint venture

..... a named trust or estate

..... an entity other than those mentioned above

4. ADDITIONAL GRANTOR (if applicable)

(a) NATURAL PERSON

NAME:...../...../...../

Family Name

First Given Name

Second Given Name

[ADDITIONAL GRANTOR INFORMATION]

(b) LEGAL PERSON OR OTHER ENTITY

NAME .....

[ADDITIONAL GRANTOR IDENTIFIER] .....

.....  
 \* In digits.

(c) INDICATE IF THE GRANTOR IS

..... an insolvent person

..... a syndicate or joint venture

..... a named trust or estate

..... an entity other than those mentioned above

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**REGISTRY OF SECURITY RIGHTS IN MOVABLE ASSETS**

**EXAMPLE OF REJECTION OF A SEARCH RESULT**

**(FORM E)**

[.....(dd)....(mm).....(yyyy).....(hour)\* of search result — DO NOT COMPLETE — REGISTRY SYSTEM GENERATED]

- A. The search was performed on ..... (dd)/..... (mm)/..... (yyyy).\*
- B. The following security rights were found: .....
- C. No security rights were found.

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\* In digits.

**REGISTRY OF SECURITY RIGHTS IN MOVABLE ASSETS**  
**EXAMPLE OF REJECTION OF A REGISTRATION OR SEARCH REQUEST**  
**(FORM F)**

- A. The registration request is rejected because:
1. In the case of an initial notice, it failed to provide in a legible manner in the designated field:
    - (a) The identifier and address of the grantor,
    - (b) The identifier and address of the secured creditor or its representative,
    - (c) The description of the encumbered assets,
    - (d) [The period of effectiveness of the registration],
    - (e) [The maximum monetary amount for which the security right may be enforced].
  2. In the case of an amendment notice, it failed to provide in a legible manner in the designated field:
    - (a) The registration number of the registered notice to which the amendment relates,
    - (b) If information is to be added, the additional information,
    - (c) If information is to be changed, the changed information.
  3. In the case of a cancellation notice, it failed to provide in a legible manner in the designated field the registration number.
- B. The search request is rejected because it failed to provide in a legible manner in the designated field:
1. The grantor identifier.
  2. The registration number.
- \_\_\_\_\_