



# General Assembly

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**United Nations Commission  
on International Trade Law**  
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## **Draft UNCITRAL Guide on the Implementation of a Security Rights Registry: Annex II, Examples of Registry Forms**

### **Note by the Secretariat**

#### **Addendum**

The Commission may wish to consider the examples of registry forms contained in this note. The examples are presented as annex II of the draft UNCITRAL Guide on the Implementation of a Security Rights Registry, following annex I on terminology and recommendations.



**I. INITIAL NOTICE**

<b>Time of effectiveness of registration:</b>	(dd/mm/yyyy)	(hh/mm/ss)
<b>Registration No.:</b>		
<b>THE ABOVE FIELDS ARE FOR REGISTRY OFFICE USE ONLY.</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 AND THAT THE INFORMATION IS COMPLETE, ACCURATE AND LEGALLY EFFECTIVE.*

**A.1 GRANTOR INFORMATION**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
[Additional Information about the Grantor]		
3. INDICATE IF THE GRANTOR IS		
<input type="checkbox"/> subject to insolvency proceedings. Insert name of the insolvency representative (if any):		
<input type="checkbox"/> a trustee or a representative of an estate		

**A.2 GRANTOR INFORMATION — TO BE USED ONLY IF THERE IS MORE THAN ONE GRANTOR**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
3. INDICATE IF THE GRANTOR IS		
<input type="checkbox"/> subject to insolvency proceedings. Insert name of the insolvency representative (if any):		
<input type="checkbox"/> a trustee or a representative of an estate		

**B.1 SECURED CREDITOR INFORMATION**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)

**B.2 SECURED CREDITOR INFORMATION — TO BE USED ONLY IF THERE IS MORE THAN ONE SECURED CREDITOR**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)

**C. DESCRIPTION OF THE ENCUMBERED ASSETS**

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**[D. DURATION OF REGISTRATION]<sup>1</sup>**

This notice shall be effective until (dd/mm/yyyy)
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**[E. MAXIMUM AMOUNT FOR WHICH SECURITY RIGHT IS ENFORCEABLE]<sup>2</sup>**

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**F. ADDITIONAL INFORMATION**

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**G.  INDICATE IF THE REGISTRATION IS TRANSITIONAL**

<sup>1</sup> If the law of the enacting State allows a registrant to choose the duration of a notice (see option B or C of recommendation 11, and *Secured Transactions Guide*, rec. 69).

<sup>2</sup> If the law of the enacting State provides that this information must be included in a notice (see *Secured Transactions Guide*, rec. 57, subpara. (d)).

**II. AMENDMENT NOTICE**

<b>Time of effectiveness of registration:</b> (dd/mm/yyyy)      (hh/mm/ss)
<b>THE ABOVE FIELD IS FOR REGISTRY OFFICE USE ONLY.</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 AND THAT THE INFORMATION IS COMPLETE, ACCURATE AND LEGALLY EFFECTIVE.*

<b>REGISTRATION NO. OF INITIAL NOTICE:</b>
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**SELECT ONE OR MORE OF THE FOLLOWING:**

**A. ADD GRANTOR**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
3. INDICATE IF THE GRANTOR IS		
<input type="checkbox"/> subject to insolvency proceedings. Insert name of the insolvency representative (if any):		
<input type="checkbox"/> a trustee or a representative of an estate		

**B. DELETE GRANTOR**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		

**C. CHANGE OF GRANTOR INFORMATION****1. GRANTOR TO WHOM THIS CHANGE RELATES**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		

**2. NEW GRANTOR INFORMATION**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
3. INDICATE IF THE GRANTOR IS		
<input type="checkbox"/> subject to insolvency proceedings. Insert name of the insolvency representative (if any):		
<input type="checkbox"/> a trustee or a representative of an estate		

 **D. ADD SECURED CREDITOR**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)

 **E. DELETE SECURED CREDITOR**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		

**F. CHANGE SECURED CREDITOR INFORMATION**

**1. SECURED CREDITOR TO WHOM THIS CHANGE RELATES**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		

**2. NEW SECURED CREDITOR INFORMATION**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)

**G. ADDITION OF ENCUMBERED ASSETS**

Insert description of encumbered assets to be added.
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**H. DELETION OF ENCUMBERED ASSETS**

Insert description of encumbered assets to be deleted.
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**I. CHANGE OF DESCRIPTION OF ENCUMBERED ASSETS**

**1. ENCUMBERED ASSETS TO WHICH THIS CHANGE RELATES**

Insert description of encumbered assets to be changed.
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**2. NEW DESCRIPTION OF ENCUMBERED ASSETS**

Insert new description of encumbered assets.
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**J. EXTEND OR REDUCE DURATION OF REGISTRATION**<sup>3</sup>

This notice shall be effective until (dd/mm/yyyy)

**K. CHANGE MAXIMUM AMOUNT FOR WHICH SECURITY RIGHT MAY BE ENFORCED**<sup>4</sup>

<sup>3</sup> If the law of the enacting State allows a registrant to choose the duration of a notice (see option B or C of recommendation 11, and *Secured Transactions Guide*, rec. 69).

<sup>4</sup> If the law of the enacting State provides that this information must be included in a notice (see *Secured Transactions Guide*, rec. 57, subpara. (d)).

### III. CANCELLATION NOTICE

<b>Time of effectiveness of registration:</b> (dd/mm/yyyy)      (hh/mm/ss)
<b>THE ABOVE FIELD IS FOR REGISTRY OFFICE USE ONLY.</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 AND THAT THE INFORMATION IS COMPLETE, ACCURATE AND LEGALLY EFFECTIVE.*

<b>REGISTRATION NO. OF INITIAL NOTICE TO BE CANCELLED:</b>
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*PLEASE NOTE THAT UPON REGISTRATION OF THIS CANCELLATION NOTICE, INFORMATION CONTAINED IN THE INITIAL AND ANY SUBSEQUENT AMENDMENT NOTICES SHALL BE REMOVED FROM THE PUBLIC REGISTRY RECORD. THEREAFTER, THE RELEVANT SECURITY RIGHT WILL NO LONGER BE EFFECTIVE AGAINST THIRD-PARTIES. WHILE THIRD-PARTY EFFECTIVENESS MAY BE RE-ESTABLISHED, IT WILL TAKE EFFECT ONLY FROM THE TIME IT IS RE-ESTABLISHED.*



**IV. AMENDMENT NOTICE PURSUANT TO A JUDICIAL OR ADMINISTRATIVE ORDER**

<b>Time of effectiveness of registration:</b> (dd/mm/yyyy) (hh/mm/ss)
<b>THE ABOVE FIELD IS FOR REGISTRY OFFICE USE ONLY.</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 AND THAT THE INFORMATION IS COMPLETE, ACCURATE AND LEGALLY EFFECTIVE.*

<b>REGISTRATION NO. OF INITIAL NOTICE:</b>
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**A. REGISTRANT INFORMATION**

Family name	First Given Name	Second Given Name (if any)
Position		
Name of Judicial or Administrative Authority		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)

 **B. COPY OF JUDICIAL OR ADMINISTRATIVE ORDER ATTACHED****SELECT ONE OR MORE OF THE FOLLOWING:** **C. DELETE GRANTOR**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		

 **D. CHANGE OF GRANTOR INFORMATION****1. GRANTOR TO WHOM THIS CHANGE RELATES**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name
<input type="checkbox"/> 2. LEGAL PERSON		
Name		

**2. NEW INFORMATION**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name

Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
<input type="checkbox"/> 2. LEGAL PERSON		
Name		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)
Additional information about the grantor (if necessary to uniquely identify the grantor)		
3. INDICATE IF THE GRANTOR IS		
<input type="checkbox"/> subject to insolvency proceedings. Insert name of the insolvency representative (if any):		
<input type="checkbox"/> a trustee or a representative of an estate		

**E. DELETION OF ENCUMBERED ASSETS**

Insert description of encumbers assets to be deleted.

**F. CHANGE OF DESCRIPTION OF ENCUMBERED ASSETS**

**1. ENCUMBERED ASSETS TO WHICH THIS CHANGE RELATES**

Insert description of encumbered assets to be changed.

**2. NEW DESCRIPTION**

Insert new description of encumbered assets.

**G. EXTEND OR REDUCE DURATION OF REGISTRATION]<sup>5</sup>**

This notice shall be effective until (dd/mm/yyyy)

**H. CHANGE MAXIMUM AMOUNT FOR WHICH SECURITY RIGHT MAY BE ENFORCED]<sup>6</sup>**

<sup>5</sup> If the law of the enacting State allows a registrant to choose the duration of a notice (see option B or C of recommendation 11, and *Secured Transactions Guide*, rec. 69).

<sup>6</sup> If the law of the enacting State provides that this information must be included in a notice (see *Secured Transactions Guide*, rec. 57, subpara. (d)).

**V. CANCELLATION NOTICE PURSUANT TO A JUDICIAL OR ADMINISTRATIVE ORDER**

<b>Time of effectiveness of registration:</b> (dd/mm/yyyy)      (hh/mm/ss)
<b>THE ABOVE FIELD IS FOR REGISTRY OFFICE USE ONLY.</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 AND THAT THE INFORMATION IS COMPLETE, ACCURATE AND LEGALLY EFFECTIVE.*

<b>REGISTRATION NO. OF INITIAL NOTICE TO BE CANCELLED:</b>
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**A. REGISTRANT INFORMATION**

Family name	First Given Name	Second Given Name (if any)
Position		
Name of Judicial or Administrative Authority		
Address (City/State/Postal Code)	P.O. Box (if any)	Electronic or other address (if any)

**B. COPY OF JUDICIAL OR ADMINISTRATIVE ORDER ATTACHED**

**VI. SEARCH REQUEST FORM**

*IT IS THE SEARCHER'S RESPONSIBILITY TO ENSURE THAT INFORMATION IN EITHER SECTION A OR B IS PROVIDED AND ENTERED IN A LEGIBLE MANNER.*

**A. GRANTOR INFORMATION**

<input type="checkbox"/> 1. NATURAL PERSON		
Family name	First Given Name	Second Given Name (if any)
<input type="checkbox"/> 2. LEGAL PERSON		
Name		

**B. REGISTRATION NO. OF INITIAL NOTICE:**

**VII. SEARCH RESULTS**

**A. TIME OF SEARCH:** (dd/mm/yyyy) (hh/mm/ss)

**B. SEARCH CRITERION USED**

1. Name of Grantor:

2. Registration No. of Initial Notice:

**C. SEARCH RESULT**

No corresponding notices were retrieved.

The following corresponding notices were retrieved.\*

	Registration No. of Initial Notice	Name of Grantor
1		
2		
3		
4		
5		

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\* This table is indicative. Depending on the design of the registry, a search result may show all the information in the retrieved notices.

**VIII. REJECTION OF A REGISTRATION OR A SEARCH REQUEST**

**A. TIME OF REJECTION:** (dd/mm/yyyy) (hh/mm/ss)

**B. THE REGISTRATION OF THE NOTICE IS REJECTED BECAUSE IT FAILED TO PROVIDE THE FOLLOWING INFORMATION IN THE DESIGNATED FIELD OR IN A LEGIBLE MANNER:**

- B.1 Registration of an initial notice
  - The identifier or address of the grantor
  - The identifier or address of the secured creditor
  - A description of the encumbered assets
  - [The duration of the registration]
  - [The maximum monetary amount for which the security right may be enforced]

- B.2 Registration of an amendment notice
  - The registration number of the initial notice
  - Relevant information for addition, deletion or change

- B.3 Registration of a cancellation notice
  - The registration number of an initial notice

**C. THE SEARCH REQUEST IS REJECTED BECAUSE IT FAILED TO PROVIDE A SEARCH CRITERION IN A LEGIBLE MANNER.**

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