

## Information

### Effective date

November 03, 2009

### Use

The *Security Agreement - Certificated Securities, Notes, Instruments, Etc.* (Form 630127S) can be used to convey a security interest in specific certificated securities to be held by the Collateral Department or specific instruments, documents, chattel paper, investment property, promissory notes, documents of title, documentary drafts, accounts, letter of credit rights, or general intangibles.

To obtain a blanket lien or a lien on all accounts and general intangibles, see the *Commercial Security Agreement - Inventory, Accounts, Equipment, General Intangibles, Etc.* (Form 630127U).

To obtain a security interest in securities maintained in a securities **account** or as part of trust corpus, refer to the applicable collateral topic to determine the security instrument to be used.

### Examples:

- SunTrust Investment Advisory Account,
- SunTrust Safekeeping Account,
- SunTrust Investment Services, Inc. Accounts,
- SunTrust Trust Corpus,
- Third Party Securities Accounts.

## Instructions

The table below shows section names and descriptions for the items required in the Security Agreement – Certificated Securities, Notes, Instruments, Etc. (Form 630127S).

Section	Description
<b>Page 1</b>	
<b>dated as of</b>	<i>Date</i> the Security Agreement is to be effective.
<b>Owner</b>	<i>Name(s)</i> of all Owner(s) of the collateral, whether or not the same as the Borrower.  <b>Notes:</b> <ul style="list-style-type: none"><li>• Owner's name must agree exactly with the name in which the collateral is held.</li><li>• If you have numerous items of collateral in different names, indicate all the name variations.</li></ul> <u>Example:</u> If the Owner holds various stock certificates in different names, enter each name in which a certificate is issued: John William Bennett, also known as John W Bennett, also known as John Bennett, Jr.

Section	Description										
<b>Borrower</b>	Name(s) of the Borrower(s), which may be different than the Owner.  <b>Note:</b> If the Borrower and the Owner are the same, the line must still be completed.										
<b>Collateral</b>	<i>Specific description</i> of the collateral.  <u>Example:</u> “(Number of shares) shares of (Name of Company) as evidenced by Certificate Number (Identification number of certificate) in the name of (Owner(s) of the certificate).”										
<b>Representations and Warranties Section – Pages 1 and 2</b>											
<b>b.</b>	<p>Check the box that accurately describes the Owner.</p> <p>Use the table below to determine what box best describes the Owner type.</p> <table border="1" data-bbox="509 659 1406 1398"> <thead> <tr> <th data-bbox="509 659 857 690">IF the Owner is...</th> <th data-bbox="857 659 1406 690">CHECK the...</th> </tr> </thead> <tbody> <tr> <td data-bbox="509 690 857 753">an individual (including a sole proprietor)</td> <td data-bbox="857 690 1406 753">first box and enter the <i>state</i> of the Owner’s primary residence.</td> </tr> <tr> <td data-bbox="509 753 857 1031">a corporation</td> <td data-bbox="857 753 1406 1031">           second box and:           <ul style="list-style-type: none"> <li>• provide the <i>state</i> in which Owner was incorporated, and</li> <li>• enter the <i>ID number</i> (also known as the <i>Organizational ID number</i>) issued by the state of incorporation.</li> </ul> <b>Note:</b> The jurisdiction may differ from where the Owner is doing business.         </td> </tr> <tr> <td data-bbox="509 1031 857 1215">           a registered entity   <u>Example:</u> registered partnership or limited liability company.         </td> <td data-bbox="857 1031 1406 1215">           third box and enter:           <ul style="list-style-type: none"> <li>• the <i>state</i> where the entity was organized and registered, and</li> <li>• the <i>ID number</i> (also known as the <i>Organizational ID number</i>) issued by the state of registration.</li> </ul> </td> </tr> <tr> <td data-bbox="509 1215 857 1398">           an entity which is not registered   <u>Example:</u> general partnership.         </td> <td data-bbox="857 1215 1406 1398">           fourth box and enter the <i>state</i> of the Owner’s place of business.   <b>Note:</b> If the Owner has more than one (1) place of business, enter the <i>state</i> where the chief executive office is located.         </td> </tr> </tbody> </table>	IF the Owner is...	CHECK the...	an individual (including a sole proprietor)	first box and enter the <i>state</i> of the Owner’s primary residence.	a corporation	second box and: <ul style="list-style-type: none"> <li>• provide the <i>state</i> in which Owner was incorporated, and</li> <li>• enter the <i>ID number</i> (also known as the <i>Organizational ID number</i>) issued by the state of incorporation.</li> </ul> <b>Note:</b> The jurisdiction may differ from where the Owner is doing business.	a registered entity  <u>Example:</u> registered partnership or limited liability company.	third box and enter: <ul style="list-style-type: none"> <li>• the <i>state</i> where the entity was organized and registered, and</li> <li>• the <i>ID number</i> (also known as the <i>Organizational ID number</i>) issued by the state of registration.</li> </ul>	an entity which is not registered  <u>Example:</u> general partnership.	fourth box and enter the <i>state</i> of the Owner’s place of business.  <b>Note:</b> If the Owner has more than one (1) place of business, enter the <i>state</i> where the chief executive office is located.
IF the Owner is...	CHECK the...										
an individual (including a sole proprietor)	first box and enter the <i>state</i> of the Owner’s primary residence.										
a corporation	second box and: <ul style="list-style-type: none"> <li>• provide the <i>state</i> in which Owner was incorporated, and</li> <li>• enter the <i>ID number</i> (also known as the <i>Organizational ID number</i>) issued by the state of incorporation.</li> </ul> <b>Note:</b> The jurisdiction may differ from where the Owner is doing business.										
a registered entity  <u>Example:</u> registered partnership or limited liability company.	third box and enter: <ul style="list-style-type: none"> <li>• the <i>state</i> where the entity was organized and registered, and</li> <li>• the <i>ID number</i> (also known as the <i>Organizational ID number</i>) issued by the state of registration.</li> </ul>										
an entity which is not registered  <u>Example:</u> general partnership.	fourth box and enter the <i>state</i> of the Owner’s place of business.  <b>Note:</b> If the Owner has more than one (1) place of business, enter the <i>state</i> where the chief executive office is located.										
<b>d.</b>	Check the Purchase Money box if funds advanced by the Bank will be used to purchase all or a portion of the Collateral.										
<b>e.</b>	<i>Primary address</i> where the collateral is located if the collateral will <b>not</b> be held by the Bank.										
<b>Pg 2. Choice of Law</b>	Indicate the <i>governing law</i> for the transaction.										
<b>Page 6</b>											
<b>Owner’s Signature</b>	All Owners must sign the Security Agreement.										
<b>Page 7</b>											
<b>Owner Address</b>	<i>Owner’s address</i> for purpose of receiving notices.										
<b>SunTrust Address</b>	<i>Address</i> of SunTrust for purpose of receiving notice.  <b>Note:</b> The <b>CCSC Address</b> may be used.										

Section	Description
	<b>Atlanta CCS</b>
	211 Perimeter Center Parkway GA-Atlanta-0039, Atlanta, GA 30346
	<b>Richmond CCS</b>
	10710 Midlothian Turnpike VA-RIC-2405, Richmond, VA 23235