

363a

Please complete in typescript, or in bold black capitals.

Annual Return

CHFP000

Company number

4341768

Company name in full

NEPTUNE INVESTMENT MANAGEMENT LIMITED

Date of this return

The information in this return is made up to

| Day | Month | Year |
|-----|-------|------|
| 1 | 8 | 1 |
| 2 | 2 | 0 |
| 0 | 0 | 8 |

Date of next return

If you wish to make your next return to a date earlier than the anniversary of this return please show that date here. Companies House will then send a form at the appropriate time.

| Day | Month | Year |
|-----|-------|------|
| | | |

Registered Office

Show here the address at the date of this return

LION HOUSE

RED LION STREET

Any change of registered office must be notified on form 287

Post town

LONDON

County/Region

UK Postcode

W C 1 R 4 G B

6712

SECURITY BROKING AND FUND MANAGEMENT

THURSDAY



| | | | |
|-----------------|------------|------------|-----|
| A04 | *A5VMN8VM* | 09/04/2009 | 319 |
| COMPANIES HOUSE | | | |
| DSR | | 27/03/2009 | 3 |
| COMPANIES HOUSE | | | |
| A63 | *AGRWN8AI* | 19/03/2009 | 103 |
| COMPANIES HOUSE | | | |
| A35 | | 06/03/2009 | 180 |
| COMPANIES HOUSE | | | |

When you have completed and signed the form please send it to the Registrar of Companies at:
Companies House, Crown Way, Cardiff, CF14 3UZ
 for companies registered in England or Wales or
Companies House, 37 Castle Terrace, Edinburgh, EH1 2EB
 For companies registered in Scotland

DX 33050 Cardiff

DX ED235 Edinburgh 1
or LP-4 Edinburgh 2

Register of members

If the register of members is not kept at the registered office, state here where it is kept

1 LYRIC SQUARE

HAMMERSMITH

Post town

LONDON

County/Region

UK Postcode

W 6 L L 0 N B

Register of Debenture holders

If there is a register of debenture holders, or a duplicate of any such register or part of it, which is not kept at the registered office, state here where it is kept

1 LYRIC SQUARE

HAMMERSMITH

Post town

LONDON

County/Region

UK Postcode

W 6 L L 0 N B

Company type

Public limited company

Private company limited by shares

Private company limited by guarantee without share capital

Private company limited by shares exempt under section 30

Private company limited by guarantee exempt under section 30

Private unlimited company with share capital

Private unlimited company without share capital

Please tick the appropriate box

Company Secretary

Details of a new company secretary must be notified on form 288a

* Voluntary details (Please photocopy this area to provide details of joint secretaries).

Name

*Style/Title

MR

Forename(s)

ROBERT HENRY

Surname

WARNER

Address ††

NATIONS HOUSE

103 WIGMORE STREET

Post town

LONDON

County/Region

UK Postcode

W 1 E L 1 A E

Country

UK

†† Tick the box if the address shown is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985. Otherwise, give your usual residential address. In the case of a corporation or Scottish firm, give the registered or principal office address.



If a partnership, give the names and addresses of the partners or the name of the partnership and office address

Directors

Please list the directors in alphabetical order

* Voluntary details

In the case of a director that is a corporation or a Scottish firm, the name is the corporate or firm name

†† Tick the box if the address shown is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985. Otherwise, give your usual residential address. In the case of a corporation or Scottish firm, give the registered or principal office address.

Name

*Style/Title

MR

Day

Month

Year

Date of birth 2 3 / 0 3 / 1 9 6 0

Forename(s) PATRICK DENNY

Surname BERTON

Address †† STAFFORD HOUSE

AVENUE ROAD

Post town COBHAM

County/Region SURREY

UK Postcode K T 1 1 3 H W

Country UK

Nationality BRITISH

Business occupation SALES DIRECTOR

Directors

Please list the directors in alphabetical order

* Voluntary details

In the case of a director that is a corporation or a Scottish firm, the name is the corporate or firm name

Name

*Style/Title

THE HON

Day

Month

Year

Date of birth 2 2 / 0 6 / 1 9 5 2

Forename(s) ALEXANDER GORDON

Surname CATTO

Address †† SUDGROVE HOUSE

SUDGROVE, MISERDEN

Post town STROUD

County/Region GLOUCS

UK Postcode G L 6 7 J D

Country UK

Nationality BRITISH

Business occupation DIRECTOR

Issue share capital

Enter details of all the shares in issue at the date of this return

Class (e.g. Ordinary/Preference)

Number of shares issued

Aggregate Nominal Value

(i.e. Number of shares issued multiplied by nominal value per share, or total amount of stock)

ORDINARY

7,534,645

£75,346.45

Totals

7,534,645

£75,346.45

Traded public companies

A traded public company means a company any of whose shares are shares admitted to trading on a regulated market

Please tick this box if your company was a traded public company at any time during the period of this return

☐
List of past and present shareholders

(use attached schedule where appropriate)

Please tick the appropriate box below:

On paper

In another format

Private or non-traded public companies are required to provide a "full list" if one was not included with either of the last two returns.

A full list of shareholders for a private or non-traded public company is enclosed. **Please complete Schedule A.**

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Traded public companies are required to provide a list of shareholders who held at least 5% of the issued shares of any share class if a list was not provided with either of the last two returns.

A list of shareholders holding at least 5% of the issued shares of any share class for a traded public company is enclosed. **Please complete Schedule B.**

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☐

A list containing shareholder changes is enclosed

☐
☐

→ For private or non-traded public companies, **please complete Schedule A**


→ For traded public companies, **please complete Schedule B**

There were no shareholder changes in this period

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Certificate

I certify that the information given in this return is true to the best of my knowledge and belief

Signed



Date

5/3/2009

* Please delete as appropriate

When you have signed the return, send it with the fee to the Registrar of Companies. Make cheques payable to Companies House.

*(director / secretary)

This return includes

☐

continuation sheets

(enter number)

You do not have to give any contact information in the box opposite but if you do, it will help Companies House to contact you if there is a query on the form. The contact information that you give will be visible to searchers of the public record.

1 LYRIC SQUARE, LONDON, W6 0NB

DX number

DX exchange

Directors

Please list the directors in alphabetical order

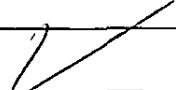
* Voluntary details

In the case of a director that is a corporation or a Scottish firm, the name is the corporate or firm name

Details of new directors must be notified on form 288a

| | | | | |
|---------------------|----------------------|-----|-------|-------------|
| Name | *Style/Title | MR | | |
| | | Day | Month | Year |
| Date of birth | | 1 | 1 / 1 | 0 / 1 9 5 7 |
| Forename(s) | ROBIN JOHN HENRY | | | |
| Surname | GEFFEN | | | |
| Address †† | 7 HURLINGHAM GARDENS | | | |
| | | | | |
| Post town | LONDON | | | |
| County/Region | | | | |
| UK Postcode | S | W | 6 | 3 P L |
| Country | UK | | | |
| Nationality | BRITISH | | | |
| Business occupation | FUND MANAGER | | | |

†† Tick the box if the address shown is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985. Otherwise, give your usual residential address. In the case of a corporation or Scottish firm, give the registered or principal office address.

☐**Directors**

Please list the directors in alphabetical order

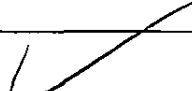
* Voluntary details

In the case of a director that is a corporation or a Scottish firm, the name is the corporate or firm name

Details of new directors must be notified on form 288a

| | | | | |
|---------------------|--------------------------------|-----|-------|-------------|
| Name | *Style/Title | MR | | |
| | | Day | Month | Year |
| Date of birth | | 1 | 2 / 0 | 7 / 1 9 5 8 |
| Forename(s) | RICHARD HOWARD | | | |
| Surname | GREEN | | | |
| Address †† | ONE LYRIC SQUARE | | | |
| | | | | |
| Post town | LONDON | | | |
| County/Region | | | | |
| UK Postcode | W | 6 | | 0 N B |
| Country | UK | | | |
| Nationality | BRITISH | | | |
| Business occupation | CORPORATE DEVELOPMENT DIRECTOR | | | |

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Please list the directors in alphabetical order

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Details of new directors must be notified on form 288a

Name *Style/Title MR

Day

Month

Year

Date of birth 0 8 / 0 5 / 1 9 5 7

Forename(s) JONATHAN DOMINIC

Surname PUNTER

Address †† 7 ORCHARD DRIVE

BLACKHEATH

Post town LONDON

County/Region

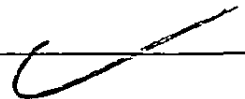
UK Postcode S E 3 0 Q P

Country UK

Nationality BRITISH

Business occupation CONSULTING ACTUARY

†† Tick the box if the address shown is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985. Otherwise, give your usual residential address. In the case of a corporation or Scottish firm, give the registered or principal office address.

☐**Directors**

Please list the directors in alphabetical order

* Voluntary details

In the case of a director that is a corporation or a Scottish firm, the name is the corporate or firm name

Name *Style/Title MR

Day

Month

Year

Date of birth 2 0 / 0 2 / 1 9 5 8

Forename(s) STUART MALCOLM

Surname SOUTHALL

Address †† WOODHURST

THE WARREN

Post town EAST HORSLEY

County/Region SURREY

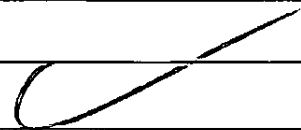
UK Postcode K T 2 4 5 R H

Country UK

Nationality BRITISH

Business occupation CONSULTING ACTUARY

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Directors

Please list the directors in alphabetical order

* Voluntary details

In the case of a director that is a corporation or a Scottish firm, the name is the corporate or firm name

Details of new directors must be notified on form 288a

Name *Style/Title MR

Day Month Year

Date of birth 0 3 / 0 4 / 1 9 5 7

Forename(s) ROBERT HENRY

Surname WARNER

Address †† ☒ NATIONS HOUSE
103 WIGMORE STREET

Post town LONDON

County/Region

UK Postcode W 1 E L 1 A E

Country UK

Nationality BRITISH

Business occupation FINANCE DIRECTOR

Directors

Please list the directors in alphabetical order

* Voluntary details

In the case of a director that is a corporation or a Scottish firm, the name is the corporate or firm name

Details of new directors must be notified on form 288a

Name *Style/Title

Day Month Year

Date of birth / /

Forename(s)

Surname

Address †† ☐

Post town

County/Region

UK Postcode / / / / / /

Country

Nationality

Business occupation

†† Tick the box if the address shown is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985. Otherwise, give your usual residential address. In the case of a corporation or Scottish firm, give the registered or principal office address.

Schedule A

for private or non-traded public companies

List of past and present shareholders

| | |
|----------------------|---------------------------------------|
| Company number | 4341768 |
| Company name in full | NEPTUNE INVESTMENT MANAGEMENT LIMITED |
| | (SEE ATTACHED) |

- Changes to shareholders' particulars or details of the amount of stock or shares transferred must be completed each year
- You must provide a "full list" of all company shareholders on:
 - The company's first annual return following incorporation
 - Every third annual return after a full list has been provided
- List the company shareholders in alphabetical order or provide an index
- List joint shareholders consecutively

Do not give shareholder address information

[illegible]

NEPTUNE INVESTMENT MANAGEMENT LIMITED
REGISTER OF SHAREHOLDERS
AS AT 18 DECEMBER 2008

| | |
|---|------------------|
| Michael Anthony Ahearn | 61,020 |
| Karen Barker | 3,622 |
| Derek William Bartlett | 88,000 |
| Patrick Berton | 349,600 |
| Paul Boughton | 5,000 |
| Alex Breese | 5,000 |
| Philippe Bretaudeau | 200 |
| Robert W A Burnett | 30,000 |
| Caimsea Investments Ltd | 80,155 |
| CAM Nominees Ltd | 190,891 |
| Alexander Gordon Catto | 56,262 |
| Lord Catto and Alexander Catto as Trustees for Lord Catto's Settlement of November 1976 | 321,628 |
| City Financial Asset Management Ltd | 103,310 |
| Tim Cockcroft | 67,000 |
| Robin Bruce Collins | 50,000 |
| Charles Cozens | 8,000 |
| Crescent Trustees Limited C3006 | 15,000 |
| David Cule | 65,000 |
| Leigh Fisher | 1,000 |
| Michael Ian Freeman | 60,813 |
| Susan Patricia Ann French | 67,143 |
| Robin Geffen | 3,808,000 |
| Richard Green | 10,000 |
| Harriet Grieve | 2,500 |
| AK Gwynne Jones | 20,240 |
| David Alexander Hill Scott | 58,088 |
| Philip Horton | 1,000 |
| Adam Hughes | 25,000 |
| L Gary Jackson | 63,571 |
| Iain Jee | 22,727 |
| Matt Jenkins | 1,000 |
| Alasdair Johnson | 1,000 |
| Philip Keiff | 750 |
| Shelley Kuhn | 5,000 |
| John Lester | 20,000 |
| London Hanover Associates Ltd. | 5,320 |
| Martin Makey | 145,280 |
| Peter Mallinson | 20,000 |
| Mark Martin | 100 |
| Kenneth John McKelvey | 228,571 |
| Robin McKelvey | 20,000 |
| Hugh McLoughlin | 27,908 |
| C Frederick McNeill | 500 |
| Neil Moore | 2,000 |
| Angela Mowbray | 500 |
| Georgina Pardoe | 12,000 |
| Parita Patel | 300 |
| Dennis Pellerito | 1,000 |
| PSFM Trustees Limited | 14,000 |
| PSFM Trustees Limited | 10,000 |
| Jonathan Dominic Punter | 351,064 |
| Rathbone Nominees Ltd (Paul Hart) | 214,000 |
| Rock (Nominees) Limited a/c 1322010 | 57,500 |
| Rock (Nominees) Limited a/c 1322008 | 64,885 |
| Rysaffe Trustee Company (C.I.) Ltd as Trustee of the Neptune Employee Share Ownership Trust | 47,319 |
| J A A Samuels | 40,000 |
| Michael Sandwick | 25,000 |
| Jeremy Smith | 40,000 |
| Stuart Malcolm Southall | 280,000 |
| Emma Stanford | 1,000 |
| Christopher James Taylor | 22,500 |
| Richard John Temple (Hargreave Hale Nominees Ltd a/c 043284) | 60,812 |
| Ewan Thompson | 2,500 |
| Sandra Thomson | 200 |
| Douglas Turnbull | 200 |
| Robert Warner | 110,000 |
| WB Nominees Ltd a/c 094168 | 28,025 |
| WB Nominees Ltd a/c 094359 | 8,455 |
| Alistair Wilson | 25,000 |
| Felix Wintle | 8,500 |
| Michael Woolley | 2,500 |
| Rebecca Young | 200 |
| Dimitris Zografos | 200 |
| | 7,534,646 |