



Companies House

AR01 (ef)

Annual Return



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Company Name: **NEPTUNE INVESTMENT MANAGEMENT LIMITED**

Company Number: **04341768**

Date of this return: **18/12/2013**

SIC codes: **64302**
64304

Company Type: **Private company limited by shares**

Situation of Registered Office: **C/O SAFFERY CHAMPNESS**
LION HOUSE
RED LION STREET
LONDON
WC1R 4GB

Single Alternative Inspection Location (SAIL)

The address for an alternative location to the company's registered office for the inspection of registers is:

**3 SHORTLANDS
LONDON
UNITED KINGDOM
W6 8DA**

The following records have moved to the single alternative inspection location:

Register of members (section 114)
Register of directors (section 162)
Directors' service contracts (section 228)
Directors' indemnities (section 237)
Register of secretaries (section 275)
Records of resolutions and meetings (section 358)
Register of debenture holders (section 743)
Contracts relating to purchase of own shares (section 702)
Documents relating to redemption or purchase of own shares out of capital by private company (section 720)

Officers of the company

Company Secretary 1

Type: **Person**
Full forename(s): **ROBERT HENRY**

Surname: **WARNER**

Former names:

Service Address: **3 SHORTLANDS
LONDON
UNITED KINGDOM
W6 8DA**

Company Director 1

Type: **Person**
Full forename(s): **MR PATRICK DENNY**

Surname: **BERTON**

Former names:

Service Address recorded as Company's registered office

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **23/03/1960** Nationality: **BRITISH**

Occupation: **SALES DIRECTOR**

Company Director 2

Type: **Person**

Full forename(s): **THE HONOURABLE ALEXANDER GORDON**

Surname: **CATTO**

Former names:

Service Address recorded as Company's registered office

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **22/06/1952**

Nationality: **BRITISH**

Occupation: **DIRECTOR**

Company Director **3**

Type: **Person**

Full forename(s): **THE HON RICHARD JAMES NIGEL**

Surname: **CRIPPS**

Former names:

Service Address: **3 SHORTLANDS
LONDON
ENGLAND
W6 8DA**

Country/State Usually Resident: **ENGLAND**

Date of Birth: **15/03/1956** *Nationality:* **BRITISH**

Occupation: **SOLICITOR**

Company Director **4**

Type: **Person**
Full forename(s): **ROBIN JOHN HENRY**

Surname: **GEFFEN**

Former names:

Service Address recorded as Company's registered office

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **11/10/1957** *Nationality:* **BRITISH**

Occupation: **FUND MANAGER**

Company Director **5**

Type: **Person**
Full forename(s): **MR RICHARD HOWARD**

Surname: **GREEN**

Former names:

Service Address recorded as Company's registered office

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **12/07/1958** *Nationality:* **BRITISH**

Occupation: **DEPUTY MANAGING DIRECTOR**

Company Director **6**

Type: **Person**
Full forename(s): **ROBERT MARK**

Surname: **PICKERING**

Former names:

Service Address recorded as Company's registered office

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **30/11/1959** *Nationality:* **BRITISH**

Occupation: **NONE**

Company Director **7**

Type: **Person**
Full forename(s): **MR JONATHAN DOMINIC**

Surname: **PUNTER**

Former names:

Service Address recorded as Company's registered office

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **08/05/1957** *Nationality:* **BRITISH**

Occupation: **CONSULTING ACTUARY**

Company Director 8

Type: **Person**

Full forename(s): **MR STUART MALCOLM**

Surname: **SOUTHALL**

Former names:

Service Address recorded as Company's registered office

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **20/02/1958**

Nationality: **BRITISH**

Occupation: **CONSULTING ACTUARY**

Company Director 9

Type: **Person**
Full forename(s): **ROBERT HENRY**

Surname: **WARNER**

Former names:

Service Address: **3 SHORTLANDS
LONDON
UNITED KINGDOM
W6 8DA**

Country/State Usually Resident: **UNITED KINGDOM**

Date of Birth: **03/04/1957** *Nationality:* **BRITISH**
Occupation: **FINANCE DIRECTOR**

Statement of Capital (Share Capital)

Class of shares	ORDINARY	<i>Number allotted</i>	7535245
		<i>Aggregate nominal value</i>	75352.45
<i>Currency</i>	GBP	<i>Amount paid per share</i>	0.01
		<i>Amount unpaid per share</i>	0

Prescribed particulars

ALL SHARES RANK PARI PASSU AND HAVE A RIGHT TO VOTE AND TO RECEIVE ANY DIVIDENDS.

Statement of Capital (Totals)

<i>Currency</i>	GBP	<i>Total number of shares</i>	7535245
		<i>Total aggregate nominal value</i>	75352.45

Full Details of Shareholders

The details below relate to individuals / corporate bodies that were shareholders as at 18/12/2013 or that had ceased to be shareholders since the made up date of the previous Annual Return

A full list of shareholders for the company are shown below

<i>Shareholding 1</i>	: 45614 ORDINARY shares held as at the date of this return
<i>Name:</i>	ROBIN COLLINS
<i>Shareholding 2</i>	: 23766 ORDINARY shares held as at the date of this return
<i>Name:</i>	MICHAEL SANDWICK
<i>Shareholding 3</i>	: 84072 ORDINARY shares held as at the date of this return
<i>Name:</i>	ALEXANDER CATTO
<i>Shareholding 4</i>	: 190706 ORDINARY shares held as at the date of this return
<i>Name:</i>	PATRICK BERTON
<i>Shareholding 5</i>	: 98287 ORDINARY shares held as at the date of this return
<i>Name:</i>	CITY FINANCIAL ASSET MANAGEMENT LIMITED
<i>Shareholding 6</i>	: 3516897 ORDINARY shares held as at the date of this return
<i>Name:</i>	ROBIN GEFFEN
<i>Shareholding 7</i>	: 202421 ORDINARY shares held as at the date of this return

Name: RATHBONE NOMINEES LTD

Shareholding 8 : 92689 ORDINARY shares held as at the date of this return
Name: MARTIN MAKEY

Shareholding 9 : 83238 ORDINARY shares held as at the date of this return
Name: DEREK BARTLETT

Shareholding 10 : 9017 ORDINARY shares held as at the date of this return
Name: ROBIN MCKELVEY

Shareholding 11 : 60813 ORDINARY shares held as at the date of this return
Name: MICHAEL FREEMAN

Shareholding 12 : 61060 ORDINARY shares held as at the date of this return
Name: L JACKSON

Shareholding 13 : 5566 ORDINARY shares held as at the date of this return
Name: CHARLES COZENS

Shareholding 14 : 188024 ORDINARY shares held as at the date of this return
Name: JONATHAN PUNTER

Shareholding 15 : 37835 ORDINARY shares held as at the date of this return
Name: J SAMUELS

Shareholding 16 : 19800 ORDINARY shares held as at the date of this return
Name: PETER MALLINSON

Shareholding 17 : 59900 ORDINARY shares held as at the date of this return
Name: HARGREAVE HALE NOMINEES LTD AC 043284

Shareholding 18 : 55497 ORDINARY shares held as at the date of this return
Name: DAVID SCOTT

Shareholding 19 : 75817 ORDINARY shares held as at the date of this return
Name: CAIRNSEA INVESTMENTS LTD

Shareholding 20 : 171607 ORDINARY shares held as at the date of this return
Name: KENNETH MCKELVEY

Shareholding 21 : 14147 ORDINARY shares held as at the date of this return
Name: A KEITH GWYNNE JONES

Shareholding 22 : 26395 ORDINARY shares held as at the date of this return

Name: **HUGH MCLOUGHLIN**

Shareholding 23 : **39600 ORDINARY shares held as at the date of this return**
Name: **ROCK NOMINEES LIMITED AC 1323008**

Shareholding 24 : **20341 ORDINARY shares held as at the date of this return**
Name: **CAM NOMINEES LTD**

Shareholding 25 : **63700 ORDINARY shares held as at the date of this return**
Name: **SUSAN FRENCH**

Shareholding 26 : **58644 ORDINARY shares held as at the date of this return**
Name: **DAVID CULE**

Shareholding 27 : **43278 ORDINARY shares held as at the date of this return**
Name: **ALEXANDER CATTO AS TRUSTEES FOR LORD CATTO'S SETTLEMENT OF NOVEMBER 1976 ALEXANDER**
Name: **SHAREHOLDER NAME NOT KNOWN**

Shareholding 28 : **53915 ORDINARY shares held as at the date of this return**
Name: **TIM COCKROFT**

Shareholding 29 : **57717 ORDINARY shares held as at the date of this return**
Name: **MICHAEL AHEARNE**

Shareholding 30 : **5216 ORDINARY shares held as at the date of this return**
Name: **LONDON HANOVER ASSOCIATES LTD**

Shareholding 31 : **125995 ORDINARY shares held as at the date of this return**
Name: **STUART SOUTHALL**

Shareholding 32 : **12414 ORDINARY shares held as at the date of this return**
Name: **CRESCENT TRUSTEES LTD E100644**

Shareholding 33 : **25307 ORDINARY shares held as at the date of this return**
Name: **WB NOMINEES LTD 094168**

Shareholding 34 : **7778 ORDINARY shares held as at the date of this return**
Name: **WB NOMINEES LTD 094359**

Shareholding 35 : **51668 ORDINARY shares held as at the date of this return**
Name: **DOMINIC OLIVER MAY**

Shareholding 36 : **32448 ORDINARY shares held as at the date of this return**

Name: PSFM TRUSTEES LTD (SMS)

Shareholding 37 : 9458 ORDINARY shares held as at the date of this return
Name: PSFM TRUSTEES LTD (JAAS)

Shareholding 38 : 93120 ORDINARY shares held as at the date of this return
Name: CHEVIOT CAPITAL (NOMINEES) LTD

Shareholding 39 : 17652 ORDINARY shares held as at the date of this return
Name: CRESCENT TRUSTEES LTD C3006

Shareholding 40 : 9965 ORDINARY shares held as at the date of this return
Name: CRESCENT TRUSTEES LTD C3002

Shareholding 41 : 38207 ORDINARY shares held as at the date of this return
Name: GEORGINA PARDOE

Shareholding 42 : 6442 ORDINARY shares held as at the date of this return
Name: ADAM HUGHES

Shareholding 43 : 85906 ORDINARY shares held as at the date of this return
Name: LUCY ANDREA TAYLOR

Shareholding 44 : 12003 ORDINARY shares held as at the date of this return
Name: JOHN LESTER

Shareholding 45 : 5321 ORDINARY shares held as at the date of this return
Name: ANN LESTER

Shareholding 46 : 8500 ORDINARY shares held as at the date of this return
Name: LEIGH FISHER

Shareholding 47 : 505 ORDINARY shares held as at the date of this return
Name: C FREDERICK MCNEILL

Shareholding 48 : 1650 ORDINARY shares held as at the date of this return
Name: ALASDAIR JOHNSON

Shareholding 49 : 9067 ORDINARY shares held as at the date of this return
Name: KAREN BARKER

Name: KEVIN BARKER

Shareholding 50 : 21570 ORDINARY shares held as at the date of this return

Name: JENNIFER NETLEY

Shareholding 51 : 92706 ORDINARY shares held as at the date of this return
Name: ROBERT W A BURNETT

Shareholding 52 : 64845 ORDINARY shares held as at the date of this return
Name: MARY JANE WINTLE

Shareholding 53 : 29962 ORDINARY shares held as at the date of this return
Name: ALEX BREESE

Shareholding 54 : 310070 ORDINARY shares held as at the date of this return
Name: RYSAFFE TRUSTEE COMPANY (CI) LTD

Shareholding 55 : 4829 ORDINARY shares held as at the date of this return
Name: DENTONS SIPP RM JOYNER

Shareholding 56 : 10000 ORDINARY shares held as at the date of this return
Name: RICHARD GREEN

Shareholding 57 : 1350 ORDINARY shares held as at the date of this return
Name: MARK MARTIN

Shareholding 58 : 1 ORDINARY shares held as at the date of this return
Name: DOUGLAS TURNBULL

Shareholding 59 : 47000 ORDINARY shares held as at the date of this return
Name: MARY MAKEY

Shareholding 60 : 2000 ORDINARY shares held as at the date of this return
Name: TRUSTEES OF WESTERBY PRIVATE PENSION (CEGC)

Shareholding 61 : 200 ORDINARY shares held as at the date of this return
Name: REBECCA YOUNG

Shareholding 62 : 1000 ORDINARY shares held as at the date of this return
Name: PRITIE MISTRY

Shareholding 63 : 28688 ORDINARY shares held as at the date of this return
Name: RICHARD JOHN COLEBROOK

Shareholding 64 : 19125 ORDINARY shares held as at the date of this return
Name: TREVOR BEDFORD

Shareholding 65 : 19125 ORDINARY shares held as at the date of this return

Name: GARY DIVER

Shareholding 66 : 4903 ORDINARY shares held as at the date of this return
Name: ROGER STEPHEN HILL

Shareholding 67 : 250 ORDINARY shares held as at the date of this return
Name: NEAL GILBERT

Shareholding 68 : 47813 ORDINARY shares held as at the date of this return
Name: RICHARD KILSBY

Shareholding 69 : 13206 ORDINARY shares held as at the date of this return
Name: ANTON ROBINSON

Shareholding 70 : 18651 ORDINARY shares held as at the date of this return
Name: MARIAN FRANCES WHEATLEY

Shareholding 71 : 7300 ORDINARY shares held as at the date of this return
Name: PHILIP KEIFF

Shareholding 72 : 22600 ORDINARY shares held as at the date of this return
Name: KATIE HUGHES

Shareholding 73 : 2500 ORDINARY shares held as at the date of this return
Name: ROBERT PICKERING

Shareholding 74 : 144045 ORDINARY shares held as at the date of this return
Name: JULIE PUNTER

Shareholding 75 : 43278 ORDINARY shares held as at the date of this return
Name: INNES CATTO

Shareholding 76 : 43716 ORDINARY shares held as at the date of this return
Name: CHRISTIAN MENZIES-WILSON

Shareholding 77 : 43278 ORDINARY shares held as at the date of this return
Name: JAMES CATTO

Shareholding 78 : 43278 ORDINARY shares held as at the date of this return
Name: GEORGINA NEWMAN

Shareholding 79 : 44596 ORDINARY shares held as at the date of this return
Name: PSFM TRUSTEES LIMITED (KM)

Shareholding 80 : 9470 ORDINARY shares held as at the date of this return

<i>Name:</i>	HARRIET GRIEVE
<i>Shareholding 81</i>	: 4912 ORDINARY shares held as at the date of this return
<i>Name:</i>	KATHARINE THOMPSON
<i>Shareholding 82</i>	: 4780 ORDINARY shares held as at the date of this return
<i>Name:</i>	ANN TITCOMB
<i>Shareholding 83</i>	: 119651 ORDINARY shares held as at the date of this return
<i>Name:</i>	CAROLINE SOUTHALL
<i>Shareholding 84</i>	: 44550 ORDINARY shares held as at the date of this return
<i>Name:</i>	LORD CATTO'S WILL TRUST
<i>Shareholding 85</i>	: 9900 ORDINARY shares held as at the date of this return
<i>Name:</i>	PSFM TRUSTEES LIMITED (RM)
<i>Shareholding 86</i>	: 5179 ORDINARY shares held as at the date of this return
<i>Name:</i>	KJ EXECUTIVE PENSION SCHEME
<i>Shareholding 87</i>	: 3150 ORDINARY shares held as at the date of this return
<i>Name:</i>	JESSICA KEARNS
<i>Shareholding 88</i>	: 151260 ORDINARY shares held as at the date of this return
<i>Name:</i>	PATRICIA MARY BERTON
<i>Shareholding 89</i>	: 21773 ORDINARY shares held as at the date of this return
<i>Name:</i>	ROCK NOMINEES LTD 1322009
<i>Shareholding 90</i>	: 3750 ORDINARY shares held as at the date of this return
<i>Name:</i>	SHELLEY DUA
<i>Shareholding 91</i>	: 3000 ORDINARY shares held as at the date of this return
<i>Name:</i>	HAMISH RIDGWELL
<i>Shareholding 92</i>	: 3000 ORDINARY shares held as at the date of this return
<i>Name:</i>	RODDY SIMPSON

Authorisation

Authenticated

This form was authorised by one of the following:

Director, Secretary, Person Authorised, Charity Commission Receiver and Manager, CIC Manager, Judicial Factor.