



AMENDED

363a

Please complete in typescript,
or in bold black capitals.

Annual Return

CHFP010

Company Number

5289931

Company Name in full

Cazenove US Holdings Limited

Date of this return

The information in this return is made up
to

Day		Month		Year			
1	8	1	1	2	0	0	6

Date of next return

If you wish to make your next return to a
date earlier than the anniversary of this
return please show the 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.

20 Moorgate

Any change of
registered office must
be notified on form
287

Post town

London

County / Region

UK Postcode

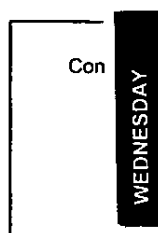
EC2R 6DA

Principal business activities

Show trade classification code number(s)
for the principal activity or activities

7415

If the code number cannot be determined,
give a brief description of principal activity



A2CSOKW3

A31 17/07/2013

#145

If you have completed and signed the form please send it to the
Registrar of Companies at

Companies House, Crown Way, Cardiff, CF14 3UZ

DX 33050 Cardiff

Companies registered in England and Wales or

Companies House, 37 Castle Terrace, Edinburgh, EH1 2EB

For companies registered in Scotland

DX ED235 Edinburgh 1

or LP-4 Edinburgh 2

10/08

Register of members

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

Post town

County / Region

UK Postcode

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

Post town

County / Region

UK Postcode

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

☐
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☐
☐
☐
☐
☐

Please tick the appropriate box

Company Secretary

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

Name

* Style / Title

Miss

Forename(s)

Jane

Surname

Earl

☒ Address ††

JPMorgan Cazenove Holdings, 20 Moorgate

Post town

London

County / Region

UK Postcode

EC2R 6DA

Country

†† 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 directors in alphabetical order

Details of new directors must be notified on form 288a

* Voluntary details

Name

* Style / Title

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

Day Month Year

Date of birth

0 9 0 5 1 9 6 3

Forename(s) Alan Thomas

Surname Carruthers

†† 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

☐

Address ††

10 Birds Hill Drive

Post town Oxshott

County / Region Surrey

UK Postcode KT22 0SP

Country England

Nationality British

Business occupation Company Director

Directors

Please list directors in alphabetical order

Details of new directors must be notified on form 288a

* Voluntary details

Name

* Style / Title

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

Day Month Year

Date of birth

2 0 0 5 1 9 4 6

Forename(s) David Lionel

Surname Mayhew

†† 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

☒

Address ††

JPMorgan Cazenove Holdings, 20 Moorgate

Post town London

County / Region

UK Postcode EC2R 6DA

Country

Nationality British

Business occupation Investment Banker

Directors

Please list directors in alphabetical order

Details of new directors must be notified on form 288a

* Voluntary details

Name

* Style / Title

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

Day Month Year

Date of birth

1 9 0 3 1 9 5 3

Forename(s) Michael Richard Parkes

Surname Power

†† 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



Address ††

JPMorgan Cazenove Holdings, 20 Moorgate

Post town London

County / Region

UK Postcode EC2R 6DA

Country

Nationality British

Business occupation Finance Director

Directors

Please list directors in alphabetical order

Details of new directors must be notified on form 288a

* Voluntary details

Name

* Style / Title

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

Day Month Year

Date of birth

3 0 1 1 1 9 5 9

Forename(s) Robert Mark

Surname Pickering

†† 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



Address ††

JPMorgan Cazenove Holdings, 20 Moorgate

Post town London

County / Region

UK Postcode EC2R 6DA

Country

Nationality British

Business occupation Investment Banker

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	1,136,641	1,136,641
Totals	1,136,641	1,136,641

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)

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

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

Please tick the appropriate box below

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

on paper in another
format

☒☐

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.**

☐☐

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

☒

Certificate

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

Signed



Date

16 July 2013

† Please delete as appropriate

† (director/secretary)

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

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

This return includes

1

continuation sheets

(enter number)

Tel

DX number

DX exchange





Schedule A
for private or non-traded public companies
List of past and present shareholders

(Please use a continuation sheet if required)

CHFP010

Company Number 5289931

Company Name in full Cazenove US Holdings Limited

This must only be completed by private and public limited companies that have not traded on a regulated market

- 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 the 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 to provide an index
- List joint shareholders consecutively

Do not give shareholder address information

Shareholder's name only	Shares or amount of stock transferred (if appropriate)		
	Class and number of shares or amount of stock held	Class and number of shares or amount of stock transferred	Date of registration of transfer
Name Cazenove Holdings Limited	£1 Ordinary Shares Held: 1,136,634		
Name			
Name			