



Companies House

— for the record —

Company Name

**IBJ NOMURA FINANCIAL
PRODUCTS (UK) PLC**

363s Annual Return

Company Type

Public Limited Company

Company Number

2444970

Information extracted from
Companies House records on
25th January 2000

- > Please check the details printed in blue on this statement.
- > If any details are wrong, strike them through and write the correct details in the "Amended details" column.
- > Please use black pen and write in capitals



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COMPANIES HOUSE

0556
03/02/00

Section 1: Company details

Ref: 2444970/03/10

	Current details	Amended details
<p>> Registered Office Address</p> <p><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i></p>	<p>Nomura House 1 Saint Martin's Le Grand London EC1A 4NP</p>	<p>Address</p> <p><u>BRACKEN HOUSE</u> <u>ONE FRIDAY STREET</u> <u>LONDON</u></p> <p>UK Postcode <u>EC 4M 9 JA</u></p>
<p>> Register of Members</p> <p><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i></p>	<p>Address where the Register is held</p> <p>Allen And Overy One New Change London EC4M 9QQ</p>	<p>Address</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>UK Postcode _ _ _ _ _</p>
<p>> Register of Debenture Holders</p> <p><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i></p>	<p>Not Applicable</p>	<p>Address</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>UK Postcode _ _ _ _ _</p>
<p>> Principal Business Activities</p> <p><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i></p>	<p>SIC Code Description</p> <p>6523 Other financial intermediation</p>	<p>SIC CODE Description</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>> <i>If no entries are shown, please enter principal activity code(s) in "Amended details" column. See notes for guidance for list of activity codes.</i></p>		

Section 2: Details of Officers of the Company

	Current details	Amended details
> Company Secretary <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i> <i>Particulars of a new Company Secretary must be notified on form 288.</i>	Name Kozo ESAKI Address 25-20-102 Hazawa 2-CHOME Nerima-Ku Tokyo 176-0003 Japan	Name Address UK Postcode _ _ _ _ _ Date of change _ _ / _ _ / _ _ _ _ Date Kozo ESAKI ceased to be secretary (if applicable) _ _ / _ _ / _ _ _ _
> Company Secretary <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i> <i>Particulars of a new Company Secretary must be notified on form 288.</i>	Name Takeo KONISHI Address 11-14-105 Daizawa 3-CHOME Setagaya-Ku Tokyo 155-0032 Japan	Name Address UK Postcode _ _ _ _ _ Date of change _ _ / _ _ / _ _ _ _ Date Takeo KONISHI ceased to be secretary (if applicable) _ _ / _ _ / _ _ _ _
> Director <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i> <i>Particulars of a new Director must be notified on form 288.</i>	Name Tsuyoshi HASE Address 1-9-22 Sakae Cho Tachikawa Tokyo 190-0003 Japan Date of birth 09/01/1955 Nationality Japanese Occupation Commercial/Investment Banker	Name Address UK Postcode _ _ _ _ _ Date of birth _ _ / _ _ / _ _ _ _ Nationality _____ Occupation _____ Date of change _ _ / _ _ / _ _ _ _ Date Tsuyoshi HASE ceased to be director (if applicable) _ _ / _ _ / _ _ _ _

	Current details	Amended details
<p>> Director If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</p> <p>Particulars of a new Director must be notified on form 288.</p>	<p>Name Shoichi KAWAHITO</p> <p>Address 20-23 Mitsuzawa-Shimocho Kanagawa-Ku Yokohama Kanagawa 221-0852 Japan 2210852</p> <p>Date of birth 04/02/1951</p> <p>Nationality Japanese</p> <p>Occupation Securities Businessman</p>	<p>Name</p> <p>Address</p> <p>UK Postcode _ _ _ _ _</p> <p>Date of birth _ _ / _ _ / _ _ _ _</p> <p>Nationality _ _ _ _ _</p> <p>Occupation _ _ _ _ _</p> <p>Date of change _ _ / _ _ / _ _ _ _</p> <p>Date Shoichi KAWAHITO ceased to be director (if applicable) _ _ / _ _ / _ _ _ _</p>
<p>> Director If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</p> <p>Particulars of a new Director must be notified on form 288.</p>	<p>Name Shin KIJIMA</p> <p>Address 1-11-16 202 Kasuga Bunkyo-Yu Tokyo Japan</p> <p>Date of birth 30/10/1949</p> <p>Nationality Japanese</p> <p>Occupation Stockbroker</p>	<p>Name</p> <p>Address</p> <p>UK Postcode _ _ _ _ _</p> <p>Date of birth _ _ / _ _ / _ _ _ _</p> <p>Nationality _ _ _ _ _</p> <p>Occupation _ _ _ _ _</p> <p>Date of change _ _ / _ _ / _ _ _ _</p> <p>Date Shin KIJIMA ceased to be director (if applicable) _ _ / _ _ / _ _ _ _</p>
<p>> Director If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</p> <p>Particulars of a new Director must be notified on form 288.</p>	<p>Name Naoki MORISHIGE</p> <p>Address 27 The Avenue Kew Gardens Richmond Surrey TW9 2AL</p> <p>Date of birth 18/02/1951</p> <p>Nationality Japanese</p> <p>Occupation Commercial & Investment Banker</p>	<p>Name</p> <p>Address</p> <p>UK Postcode _ _ _ _ _</p> <p>Date of birth _ _ / _ _ / _ _ _ _</p> <p>Nationality _ _ _ _ _</p> <p>Occupation _ _ _ _ _</p> <p>Date of change _ _ / _ _ / _ _ _ _</p> <p>Date Naoki MORISHIGE ceased to be director (if applicable) _ _ / _ _ / _ _ _ _</p>

	Current details	Amended details
> Director <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>	Name Shozo NURISHI Address 1-20-2 Minamimagome Ota-Ku Tokyo Japan 1430025 Date of birth 30/03/1946 Nationality Japanese Occupation Commercial/Investment Banker	Name Address UK Postcode _ _ _ _ _ Date of birth _ _ / _ _ / _ _ _ _ Nationality _____ Occupation _____ Date of change _ _ / _ _ / _ _ _ _ Date Shozo NURISHI ceased to be director (if applicable) _ _ / _ _ / _ _ _ _
<i>Particulars of a new Director must be notified on form 288.</i>		
> Director <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>	Name Kazuro WAKAIRO Address 1-9-2 Miwamidoriyama Machida Tokyo 195-0055 Japan Date of birth 16/02/1945 Nationality Japanese Occupation Securities Businessman	Name Address UK Postcode _ _ _ _ _ Date of birth _ _ / _ _ / _ _ _ _ Nationality _____ Occupation _____ Date of change _ _ / _ _ / _ _ _ _ Date Kazuro WAKAIRO ceased to be director (if applicable) _ _ / _ _ / _ _ _ _
<i>Particulars of a new Director must be notified on form 288.</i>		

Section 3: Share Capital

	Current details	Amended details
> Issued Share Capital <i>This table shows the total number of shares that have been issued by your company and their Nominal Value. If any of the details are wrong, please fill in the correct details.</i>	Class of share Ordinary A Nominal value of each share £4.00 Number of shares issued 12,500 Aggregate Nominal Value of issued shares £50,000.00	Class of share Nominal value of each share Number of shares issued Aggregate Nominal Value of issued shares
	Class of share Ordinary B Nominal value of each share £1.00 Number of shares issued 9,987,502 Aggregate Nominal Value of issued shares £9,987,502.00	Class of share Nominal value of each share <u>YEN 1,000</u> Number of shares issued Aggregate Nominal Value of issued shares <u>YEN 9,987,502,000</u>
> Total shares issued and value <i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>	Total number of shares issued 10,000,002 Total Nominal value of shares issued £10,037,502.00	Total number of shares issued Total Nominal value of shares issued <u>£50,000 + Yen 9,987,502,000</u>
> At the date of this Annual Return, if the company has altered or changed its share capital in any way or allotted new shares, please refer to the guidance notes for details of the appropriate form that should be sent with this Annual Return. Annual return guidance notes are available on the Companies House web site at www.companieshouse.gov.uk or by ringing 029 2038 0801.		

Section 4: Details of Shareholders

- > The details we hold on your company's shareholders and their shareholdings are printed below. These are based on your last Annual Return.
- > If any details have changed, or if any shares have been transferred, please fill in the details in the "Amended details" or "Shares transferred" column.
- > Please give details of any other shareholders in Section 5.

Current details	Amended details	Shares transferred
<p>> Shareholder Name IBJ NOMURA FINANCIAL PRODUCT</p> <p>Address Bracken House 1 Friday Street London EC4M 9JA</p> <p>Shares held Class Ordinary B</p>	<p>Name IBJ NOMURA FINANCIAL PRODUCTS HOLDING PLC</p> <p>Address BRACKEN HOUSE ONE FRIDAY STREET LONDON EC4M 9JA</p> <p>UK Postcode</p> <p>Shares held Class 'B' SHARES 'A' SHARES</p> <p>Number 99,87500 12,500</p>	<p>Shares transferred by IBJ NOMURA FINANCIAL PRODUCTS HOLD</p> <p>Class Number Date of transfer</p> <p>____/____/____</p> <p>____/____/____</p>
<p>> Shareholder Name NOMURA INTERNATIONAL PLC</p> <p>Address Nomura House 1 St. Martins-Le-Grand London EC1A 4NP</p> <p>Shares held Class Ordinary B Ordinary A</p> <p>Number 9987499 12500</p>	<p>Name SHOZO NURISHI</p> <p>Address 1-20-2 MINAMIMAGOME OTA-KU, TOKYO, JAPAN 1430025</p> <p>UK Postcode</p> <p>Shares held Class 'B' SHARES</p> <p>Number 1</p>	<p>Shares transferred by NOMURA INTERNATIONAL PLC</p> <p>Class Number Date of transfer</p> <p>____/____/____</p> <p>____/____/____</p>
<p>> Shareholder Name Takumi SHIBATA</p> <p>Address Flat 9, Welbeck House 62 Welbeck Street London W1M 7MB</p> <p>Shares held Class Ordinary B</p>	<p>Name SHIN KIJIMA</p> <p>Address 6-7-5 HONITOMAGOME BUNKYO-KU TOKYO, JAPAN 1130021</p> <p>UK Postcode</p> <p>Shares held Class 'B' SHARES</p> <p>Number 1</p>	<p>Shares transferred by Takumi SHIBATA</p> <p>Class Number Date of transfer</p> <p>____/____/____</p> <p>____/____/____</p>

Section 5: Details of Other Shareholders

- > Please fill in details of any persons or corporate bodies who are shareholders of the company at the date of this return, but whose details are not printed in Section 4.
- > Also, provide the details of any persons who became but have ceased to be shareholders of the company since the date of the last annual return.
- > For jointly held shares please list those joint shareholders consecutively on the form. If a joint shareholder also holds shares in their own right, list that holding separately.
- > Please copy this page if there is not enough space to enter all the company's other shareholders.

Shareholders details	Class and number of shares or amount of stock held	Class and number of shares or amount of stock transferred (If appropriate)	Date of registration of transfer (If appropriate)
Name _____ Address _____ _____ _____ UK Postcode _ _ _ _ _			
Name _____ Address _____ _____ _____ UK Postcode _ _ _ _ _			
Name _____ Address _____ _____ _____ UK Postcode _ _ _ _ _			
Name _____ Address _____ _____ _____ UK Postcode _ _ _ _ _			



Companies House

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363s Annual Return Declaration

- > When you have checked all the sections of this form, please complete this page and tick and sign the declaration below.
- > If you want to change the made up date of this annual return, please complete 2 below.

1. Declaration

- ☐ I confirm that the details in this annual return are correct as at the made-up-date (shown at 2 below). I enclose the filing fee of £15.

Signature

(Director / Secretary)

Date

1 / 2 / 2000

This date must not be earlier than the return date at 2 below

What to do now

Please detach and retain the covering letter, complete this page then send the whole of the Annual Return and the declaration to the address shown at 4 below.

2. Date of this return

- ☐ This AR is made up to **21/11/1999** If you are making this return up to an earlier date, please give the date here

___ / ___ / ___

Note: The form must be delivered to CH within 28 days of this date

3. Date of next return

- ☐ If you wish to change your next return to a date earlier than **21st November 2000** please give the new date here:

___ / ___ / ___

4. Where to send this form

- ☐ Please return this form to:
Registrar of Companies
Companies House
Crown Way
Cardiff CF14 3UZ

Have you enclosed the filing fee with the company number written on the reverse of the cheque?

Cheque ☒ Postal Order ☐ Cheque / Postal Order
Number _____

(Please complete as appropriate)

Contact Address

Please give the name and address of the person who should be contacted if there are any queries about this form.

Contact Name

D. A. NEWMAN

Telephone number inc code

0171 762 3308

Address

BRALLEN HOUSE

DX number if applicable

ONE FRIDAY STREET

DX exchange

LONDON

Postcode

EC4M 9JA