

AR01

Annual Return



A fee is payable with this form
Please see 'How to pay' on the
last page

You can use the Web
Please go to www.companieshouse.gov.uk

☒ **What this form is for**
You may use this form to confirm
that the company information is
correct as at the date of this return
You must file an Annual Return at
least once every year

☐ **What this form is NOT for**
You cannot use this form to file
notice of changes to the
officers, registered office or
company type or information
relating to the company

TUESDAY



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A49 06/09/2011 153 e

COMPANIES HOUSE

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A16 12/08/2011 251

COMPANIES HOUSE

A12 03/08/2011 258

COMPANIES HOUSE

Part 1 Company details

The section must be completed by all companies

→ Filling in this form

Please complete in typescript or in
bold black capitals

All fields are mandatory unless
specified or indicated by *

A1 Company details

Company number 0 5 4 9 8 9 3 7

Company name in full **Heartwood Wealth Group Limited**

① Company name change

If your company has recently
changed its name, please provide
the company name as at the date of
this return

A2 Return date

Please give the annual return made up date. The return date must not be a future
date. The annual return must be delivered within 28 days of the date given below

Date of this return **0 5 0 7 2 0 1 1**

② Date of this return

Your company's return date
is usually the anniversary of
incorporation or the anniversary
of the last annual return filed at
Companies House. You may choose
an earlier return date but it must not
be a later date

A3 Principal business activity

Please show the trade classification code number(s) for the principal
activity or activities ①

Classification code 1 **6 7 1 2**

Classification code 2

Classification code 3

Classification code 4

If you cannot determine a code, please give a brief description of your
business activity below

Principal activity
description

① Principal business activity

You must provide a trade
classification code (SIC code) or a
description of your company's main
business in this section

A full list of the trade classification
codes are available on our website
www.companieshouse.gov.uk

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A4

Company type^①

Please confirm your company type by ticking the appropriate box below (only one box must be ticked)

- ☐ Public limited company
- ☒ Private company limited by shares
- ☐ Private company limited by guarantee
- ☐ Private company limited by shares exempt under section 60
- ☐ Private company limited by guarantee exempt under section 60
- ☐ Private unlimited company with share capital
- ☐ Private unlimited company without share capital

① Company type

If you are unsure of your company type, please check your latest certificate of incorporation or our website
www.companieshouse.gov.uk

A5

Registered office address^②

Building name/number	12
Street	Hennetta Street
Post town	London
County/Region	
Postcode	W C 2 E 8 L H

② Change of registered office

This must agree with the address that is held on the Companies House record at the date of this return

If the registered office address has changed, you should complete form AD01 and submit it together with this annual return

A6

Single alternative inspection location (SAIL) of the company records (if applicable)^③

Building name/number	77 Mount Ephraim
Street	
Post town	Tunbridge Wells
County/Region	
Postcode	T N 4 8 B S

③ SAIL address

This must agree with the address that is held on the Companies House record at the date of this return

If the address has changed, you should complete form AD02 and submit it together with this annual return

A7

Location of company records^④

Please tick the appropriate box to indicate which records are kept at the SAIL address in Section A6

- ☒ Register of members
- ☒ Register of directors
- ☒ Directors' service contracts
- ☒ Directors' indemnities
- ☒ Register of secretaries
- ☒ Records of resolutions etc
- ☐ Contracts relating to purchase of own shares
- ☐ Documents relating to redemption or purchase of own share out of capital by private company
- ☒ Register of debenture holders
- ☐ Report to members of outcome of investigation by public company into interests in its shares
- ☐ Register of interests in shares disclosed to public company
- ☒ Instruments creating charges and register of charges England and Wales or Northern Ireland
- ☐ Instruments creating charges and register of charges Scotland

④ Location of company records

If the company records are held at the registered office address, do not tick any of the boxes in this section

Certain records must be kept by every company while other records are only kept by certain company types where appropriate

If the records are not kept at the SAIL address, they must be available at the registered office

If any of the company records have moved from the registered office to the address in Section A6 since the last annual return, you must complete form AD03 and submit it together with this annual return

Part 2 Officers of the company

This section should include details of the company at the date to which this annual return is made up

- For a **secretary** who is an individual, go to **Section B1**
- For a **corporate secretary**, go to **Section C1**
- For a **director** who is an individual, go to **Section D1**
- For a **corporate director**, go to **Section E1**

Continuation pages

Please use a continuation page if you need to enter more officer details

Secretary

B1 Secretary's details ^①

Please use this section to list all the secretaries of the company
For a corporate secretary, complete Section C1-C4

Title*	Mr
Full forename(s)	Bernard Peter
Surname	Charles
Former name(s) ^②	

① Secretary appointments

You may not use this form to appoint a secretary. To do this, please complete form AP03 and submit it together with this annual return.

Corporate details

Please use Section C1-C4 to enter corporate secretary details

Secretary details

All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH03.

② Former name(s)

Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

B2 Secretary's service address ^③

Building name/number	The Company's Registered Office
Street	
Post town	
County/Region	
Postcode	
Country	

③ Service address

If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Corporate secretary

C1	Corporate secretary's details ^①	① Corporate secretary appointments You cannot use this form to appoint a corporate secretary. To do this, please complete form AP04 and submit it together with this annual return. Corporate secretary details All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH04. This information will appear on the public record.
	Please use this section to list all the corporate secretaries of the company	
Corporate body/firm name		
Building name/number		
Street		
Post town		
County/Region		
Postcode		
Country		
C2	Location of the registry of the corporate body or firm	
	Is the corporate secretary registered within the European Economic Area (EEA)? → Yes Complete Section C3 only → No Complete Section C4 only	
C3	EEA companies ^②	② EEA A full list of countries of the EEA can be found in our guidance www.companieshouse.gov.uk ③ This is the register mentioned in Article 3 of the First Company Law Directive (68/151/EEC)
	Please give details of the register where the company file is kept (including the relevant state) and the registration number in that register	
Where the company/firm is registered ^③		
Registration number		
C4	Non-EEA companies	④ Non-EEA Where you have provided details of the register (including state) where the company or firm is registered, you must also provide its number in that register.
	Please give details of the legal form of the corporate body or firm and the law by which it is governed. If applicable, please also give details of the register in which it is entered (including the state) and its registration number in that register	
Legal form of the corporate body or firm		
Governing law		
If applicable, where the company/firm is registered ^④		
If applicable, the registration number		

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Director

D1	Director's details ^①	
	Please use this section to list all the directors of the company For a corporate director, complete Section E1-E4	
Title*	Mr	① Director appointments You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return. Corporate details Please use Section E1-E4 to enter corporate director details. Director details All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01. ② Former name(s) Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.
Full forename(s)	Burr Noland	
Surname	Carter	
Former name(s) ^②		
Country/State of residence	United Kingdom	
Nationality	American	
Date of birth	1 6 0 8 1 9 6 1	
Business occupation (if any)	Chief Investment Officer	

D2	Director's service address ^①	
Building name/number	The Company's Registered Office	① Service address If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address. This information will appear on the public record.
Street		
Post town		
County/Region		
Postcode		
Country		

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Director

D1 Director's details ^①

	Please use this section to list all the directors of the company For a corporate director, complete Section E1-E4	
Title*	Mr	
Full forename(s)	Simon Nicholas	
Surname	Lough	
Former name(s) ^②		
Country/State of residence	United Kingdom	
Nationality	British	
Date of birth	08 08 1962	
Business occupation (if any)	Chief Executive Officer	

① Director appointments
You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return.

Corporate details
Please use Section E1-E4 to enter corporate director details.

Director details
All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01.

② Former name(s)
Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

D2 Director's service address ^③

Building name/number	The Company's Registered Office
Street	
Post town	
County/Region	
Postcode	
Country	

③ Service address
If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Director

D1	Director's details ^①	
	Please use this section to list all the directors of the company For a corporate director, complete Section E1-E4	
Title*	Mr	
Full forename(s)	Simon John	
Surname	Dixon	
Former name(s) ^②		
Country/State of residence	England	
Nationality	British	
Date of birth	<div> <div>d1</div> <div>d4</div> <div>m0</div> <div>m3</div> <div>y1</div> <div>y9</div> <div>y6</div> <div>y4</div> </div>	
Business occupation (if any)	Chartered Tax Advisor	

① Director appointments
You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return.

Corporate details
Please use Section E1-E4 to enter corporate director details.

Director details
All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01.

② Former name(s)
Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

D2	Director's service address ^③	
Building name/number	The Company's Registered Office	
Street		
Post town		
County/Region		
Postcode	<div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div>	
Country		

③ Service address
If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Director

D1

Director's details ^①

Please use this section to list all the directors of the company For a corporate director, complete Section E1-E4	
Title*	Mrs
Full forename(s)	Karen Lesley
Surname	Fryer
Former name(s) ^②	
Country/State of residence	England
Nationality	British
Date of birth	d ² d ¹ m ⁰ m ⁴ y ¹ y ⁹ y ⁶ y ⁴
Business occupation (if any)	Head of Finance

① Director appointments

You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return.

Corporate details

Please use Section E1-E4 to enter corporate director details.

Director details

All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01.

② Former name(s)

Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

D2

Director's service address ^③

Building name/number	The Company's Registered Office
Street	
Post town	
County/Region	
Postcode	
Country	

③ Service address

If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Director

D1	Director's details ^①	
	Please use this section to list all the directors of the company For a corporate director, complete Section E1-E4	
Title*	Mr	
Full forename(s)	David John	
Surname	Gamble	
Former name(s) ^②		
Country/State of residence	England	
Nationality	British	
Date of birth	<div> <div>d2</div> <div>d0</div> <div>m0</div> <div>m2</div> <div>y1</div> <div>y9</div> <div>y4</div> <div>y4</div> </div>	
Business occupation (if any)	Retired	

① Director appointments
You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return.

Corporate details
Please use Section E1-E4 to enter corporate director details.

Director details
All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01.

② Former name(s)
Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

D2	Director's service address ^③	
Building name/number	The Company's Registered Office	
Street		
Post town		
County/Region		
Postcode	<div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div>	
Country		

③ Service address
If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Director

D1

Director's details ^①

Please use this section to list all the directors of the company
For a corporate director, complete Section E1-E4

Title*	Mr
Full forename(s)	John Errington
Surname	Heskett
Former name(s) ^②	
Country/State of residence	England
Nationality	British
Date of birth	d2 d0 m0 m8 y1 y9 y4 y6
Business occupation (if any)	Retired Banker

① Director appointments

You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return

Corporate details

Please use Section E1-E4 to enter corporate director details

Director details

All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01

② Former name(s)

Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes

D2

Director's service address ^③

Building name/number	The Dairy House
Street	Maresfield Park
Post town	Uckfield
County/Region	East Sussex
Postcode	T N 2 2 2 H D
Country	England

③ Service address

If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address

This information will appear on the public record

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Director

D1

Director's details ^①

Please use this section to list all the directors of the company
For a corporate director, complete Section E1-E4

Title*	Mr
Full forename(s)	Guy Andrew
Surname	Hudson
Former name(s) ^②	
Country/State of residence	England
Nationality	British
Date of birth	d1 d5 m1 m1 y1 y9 y6 y2
Business occupation (if any)	Director

① Director appointments

You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return.

Corporate details

Please use Section E1-E4 to enter corporate director details.

Director details

All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01.

② Former name(s)

Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

D2

Director's service address ^③

Building name/number	The Company's Registered Office
Street	
Post town	
County/Region	
Postcode	
Country	

③ Service address

If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Director

D1	Director's details ^①	
	Please use this section to list all the directors of the company For a corporate director, complete Section E1-E4	
Title*	Mr	
Full forename(s)	David Anthony Bisset	
Surname	Lough	
Former name(s) ^②		
Country/State of residence	England	
Nationality	British	
Date of birth	<div> <div>d</div> <div>0</div> <div>7</div> </div> <div> <div>m</div> <div>0</div> <div>9</div> </div> <div> <div>y</div> <div>1</div> <div>9</div> <div>5</div> <div>0</div> </div>	
Business occupation (if any)	Director	

① Director appointments
You cannot use this form to appoint a director. To do this, please complete form AP01 and submit it together with this annual return.

Corporate details
Please use Section E1-E4 to enter corporate director details.

Director details
All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH01.

② Former name(s)
Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

D2	Director's service address ^③	
Building name/number	South Park Stables	
Street	Penshurst	
Post town	Tonbridge	
County/Region	Kent	
Postcode	<div> <div>T</div> <div>N</div> <div>1</div> <div>1</div> <div>8</div> <div>E</div> <div>A</div> </div>	
Country	England	

③ Service address
If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Director

D1

Director's details ^①

Please use this section to list all the directors of the company
For a corporate director, complete Section E1-E4

Title*	Mr
Full forename(s)	Gary
Surname	Rogerson
Former name(s) ^②	
Country/State of residence	England
Nationality	British
Date of birth	<div>d1</div> <div>d3</div> <div>m0</div> <div>m8</div> <div>y1</div> <div>y9</div> <div>y6</div> <div>y0</div>
Business occupation (if any)	Tax Advisor

① Director appointments

You cannot use this form to appoint a director. To do this, please complete form **AP01** and submit it together with this annual return.

Corporate details

Please use Section E1-E4 to enter corporate director details.

Director details

All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form **CH01**.

② Former name(s)

Please provide any previous names which have been used for business purposes during the period of this return. Married women do not need to give former names unless previously used for business purposes.

D2

Director's service address ^③

Building name/number	The Company's Registered Office
Street	
Post town	
County/Region	
Postcode	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
Country	

③ Service address

If you have previously notified Companies House that the service address is at 'The Company's Registered Office', please state 'The Company's Registered Office' in the address.

This information will appear on the public record.

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Corporate director

E1	Corporate director's details ^①		① Corporate director appointments You cannot use this form to appoint a corporate director. To do this, please complete form AP02 and submit it together with this annual return. Corporate director details All details must agree with those previously notified to Companies House. If you have made changes since the last annual return and have not notified us, please complete form CH02. This information will appear on the public record.
	Please use this section to list all the corporate director's of the company		
Corporate body/firm name			
Building name/number			
Street			
Post town			
County/Region			
Postcode	<div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>		
Country			
E2	Location of the registry of the corporate body or firm		
	Is the corporate director registered within the European Economic Area (EEA)? → Yes Complete Section E3 only → No Complete Section E4 only		
E3	EEA companies ^②		② EEA A full list of countries of the EEA can be found in our guidance www.companieshouse.gov.uk ③ This is the register mentioned in Article 3 of the First Company Law Directive (68/151/EEC)
	Please give details of the register where the company file is kept (including the relevant state) and the registration number in that register		
Where the company/firm is registered ^③			
Registration number			
E4	Non-EEA companies		④ Non-EEA Where you have provided details of the register (including state) where the company or firm is registered, you must also provide its number in that register.
	Please give details of the legal form of the corporate body or firm and the law by which it is governed. If applicable, please also give details of the register in which it is entered (including the state) and its registration number in that register		
Legal form of the corporate body or firm			
Governing law			
If applicable, where the company/firm is registered ^④			
If applicable, the registration number			

Part 3 Statement of capital¹

Does your company have share capital?

- Yes Complete the sections below and the following Part 4
→ No Go to Part 5 (Signature)

¹ This should reflect the company's capital status at the made up date of this annual return

F1 Share capital in pound sterling (£)

Please complete the table below to show each class of shares held in pound sterling
If all your issued capital is in sterling, only complete Section F1 and then go to Section F4

Class of shares (E g Ordinary/Preference etc)	Amount paid up on each share ²	Amount (if any) unpaid on each share ²	Number of shares ³	Aggregate nominal value ⁴
A Ordinary	11 95	0 00	553,030	£ 55,303 00
B Ordinary	11 95	0 00	53,530	£ 5,353 00
B1 Ordinary	11 95	0 00	11,108	£ 1,110 80
C Ordinary	0 10	0 00	130,484	£ 13,048 40
Totals			748,152	£ 74,815 20

F2 Share capital in other currencies

Please complete the table below to show any class of shares held in other currencies
Please complete a separate table for each currency

Currency	Class of shares (E g Ordinary/Preference etc)	Amount paid up on each share ²	Amount (if any) unpaid on each share ²	Number of shares ³	Aggregate nominal value ⁴
	Totals				

Currency	Class of shares (E g Ordinary/Preference etc)	Amount paid up on each share ²	Amount (if any) unpaid on each share ²	Number of shares ³	Aggregate nominal value ⁴
	Totals				

F3 Totals

Please give the total number of shares and total aggregate nominal value of issued share capital

Total number of shares 748,152

Total aggregate nominal value ⁵ 74,815 20

⁵ Total aggregate nominal value
Please list total aggregate values in different currencies separately For example £100 + €100 + \$10 etc

² Including both the nominal value and any share premium

³ Number of shares issued multiplied by nominal value of each share

⁴ Total number of issued shares in this class

Continuation Pages

Please use a Statement of Capital continuation page if necessary

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F4 Statement of capital (Voting rights)

Please give the prescribed particulars of rights attached to shares for each class of share shown in the statement of capital share tables in Sections F1 and F2

Class of share	A Ordinary
Voting rights	<p>Voting</p> <p>Each holder of A Ordinary Shares shall be entitled to receive notice of, and to attend and vote at, general meetings of the Company and on a show of hands every holder of A Ordinary Shares who (being an individual) is present in person or by proxy or (being a corporation) is present by a duly authorised representative or by proxy shall have one vote and on a poll every holder of A Ordinary Shares so present shall have one vote for each A Ordinary Share held by them</p>
Class of share	B Ordinary
Voting rights	<p>Voting</p> <p>(a) Each holder of B Ordinary Shares shall be entitled to receive notice of, and to attend and vote at, general meetings of the Company and on a show of hands every holder of B Ordinary Shares who (being an individual) is present in person or by proxy or (being a corporation) is present by a duly authorised representative or by proxy shall have one vote and on a poll every holder of B Ordinary Shares so present shall have one vote for each B Ordinary Share held by them</p> <p>(b) Non-Participating Shares (being B Ordinary Shares held by directors/employees of the Company who leave in certain circumstances) shall not entitle the holders to receive notice of or attend or vote at any general meeting of the Company</p>
Class of share	B1 Ordinary
Voting rights	<p>Each holder of B1 Ordinary Shares shall be entitled to receive notice of, and to attend and vote at, general meetings of the Company and on a show of hands every holder of B1 Ordinary Shares who (being an individual) is present in person or by proxy or (being a corporation) is present by a duly authorised representative or by proxy shall have one vote and on a poll every holder of B1 Ordinary Shares so present shall have one vote for each B1 Ordinary Share held by them</p> <p>Non-Participating Shares (being B1 Ordinary Shares held by directors/employees of the Company who leave in certain circumstances) shall not entitle the holders to receive notice of or attend or vote at any general meeting of the Company</p>
Class of share	C Ordinary
Voting rights	see over

F4 Statement of capital (Voting rights)

Class of share	C Ordinary Shares
Voting rights	<p>No right to receive notice of or attend or vote at general meetings prior to relevant Maturity Date</p> <p>On or after the relevant Maturity Date, each holder of an Allocated C Ordinary Share (being a share not held on behalf, or for the benefit, of the EBT) shall be entitled to receive notice of, and to attend and vote at, general meetings of the Company and on a show of hands every such person who (being an individual) is present in person or by proxy or (being a corporation) is present by a duly authorised representative or by proxy shall have one vote and on a poll the number of votes entitled to be cast by each such person in respect of a holding of Allocated C Ordinary Shares of the relevant Series is his proportion of the total number of votes available to such Series, calculated according to the formula $V = P \times Q$, where V is the total number of votes available to such Series of C Ordinary Shares, P is the Relevant Proportion for the relevant Series, and Q is the number of Allocated C Ordinary Shares in the relevant Series in issue on the date of the relevant resolution. However, Non-Participating Shares (being C Ordinary Shares held by directors/employees of the Company who leave in certain circumstances) shall not entitle the holders to receive notice of or attend or vote at any general meeting of the Company</p>

Part 4

Shareholders

Does your company have share capital?
→ Yes Complete the sections below
→ No Go to **Part 5 (Signature)**

❶ This should reflect the shareholder details at the made up date of this annual return

G1

Traded public companies ❷

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

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

G2

List of past and present shareholders

Private and 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 **Section G3**, or
- ☐ 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 **Section G4**
- ☐ A list of shareholder changes is enclosed
 - For private or non-traded public companies, please complete **Section G3**
 - For traded public companies, please complete **Section G4**
- ☐ There were no shareholder changes in this period
 - Go to **Part 5 (Signature)**

Please tick the appropriate box below to indicate the format of your shareholder details

- ☒ The list of shareholders is enclosed on paper
- ☐ The list of shareholders is enclosed in another format

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Private or non-traded public companies – list of past and present shareholders

This section should only be completed by companies that have not traded on a regulated market at any time during the period of this return

Changes during this period 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

Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Further shareholders

Please use a 'Private or non-traded public companies – list of past and present shareholders' continuation page if necessary

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Tamasin Absolon	A Ordinary	40		/ /
John Anderson	A Ordinary	41		/ /
Peter Ashford	A Ordinary	400		/ /
Samantha Baldwin	A Ordinary	153		/ /
Colin Barrett	A Ordinary	81		/ /
Mark Barrett	A Ordinary	719		/ /
Carole Beaney	A Ordinary	18		/ /
Kate Bonifacae	A Ordinary	19		/ /
Alistair Briggs	A Ordinary	10,717		/ /
Charles Brodie	A Ordinary	900		/ /
James Buck	A Ordinary	125		/ /
Burr Noland Carter	A Ordinary	3,000		/ /
Bernard Charles	A Ordinary	50		/ /

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G3 Private or non-traded public companies – list of past and present shareholders

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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

Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Nadine Charles	A Ordinary	37		/ /
Sarah Child	A Ordinary	1,599		/ /
Michael Clark	A Ordinary	11		/ /
Simon Clark	A Ordinary	105		/ /
Caroline Collier	A Ordinary	234		/ /
Emma Colvin	A Ordinary	211		/ /
Ian Cooper	A Ordinary	40		/ /
Jonathan Denny	A Ordinary	4,600		/ /
John Kevin Divall	A Ordinary	1,990		/ /
Simon Dixon	A Ordinary	4,947		/ /
Glenn Eaglestone	A Ordinary	1		/ /
Neil Edwards	A Ordinary	105		/ /
European Pension Management Limited	A Ordinary	10,683		/ /

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G3

Private or non-traded public companies – list of past and present shareholders

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Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Samantha Faircloth	A Ordinary	30		/ /
Andrew Fermor	A Ordinary	4,600		/ /
Karen Fryer	A Ordinary	500		/ /
Heartwood Nominees Limited	A Ordinary	38,180		/ /
Heartwood SPV Limited	A Ordinary	44,102		/ /
John Heskett	A Ordinary	3,555		/ /
Hugh Holloway	A Ordinary	1,000		/ /
Jonathan Howard	A Ordinary	1,530		/ /
Guy Hudson	A Ordinary	6,000		/ /
Anna Hunt	A Ordinary	241		/ /
Scott Ingham	A Ordinary	7,500		/ /
Louise Kingston	A Ordinary	675		/ /
Emma Laughlin	A Ordinary	201		/ /

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G3

Private or non-traded public companies – list of past and present shareholders

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- Every third annual return after a full list has been provided

Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Simon Leney	A Ordinary	1,267		/ /
David Lough	A Ordinary	149,560		/ /
Simon Lough	A Ordinary	144,091		/ /
Mattioli Woods Pension Management Ltd	A Ordinary	2,320		/ /
Mattioli Woods Pension Management Ltd	A Ordinary	14,394		/ /
Peter McCree	A Ordinary	3,733		/ /
Clive Meek	A Ordinary	861		/ /
Richard Mencner	A Ordinary	4,471		/ /
Julian Menges	A Ordinary	99		/ /
Ben Meredith	A Ordinary	4		/ /
Samantha Milns	A Ordinary	222		/ /
Andrew Mountfort	A Ordinary	101		/ /
Beverley Nemet	A Ordinary	793		/ /

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G3

Private or non-traded public companies – list of past and present shareholders

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Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Christopher Newman	A Ordinary	46		/ /
Alan Nicholson	A Ordinary	2,101		/ /
Jacqueline Officer	A Ordinary	60		/ /
Jaisal Pastakia	A Ordinary	58		/ /
Giles Peel	A Ordinary	10		/ /
Richard Penticost	A Ordinary	4,600		/ /
Martin Perry	A Ordinary	4,000		/ /
Sharon Reay	A Ordinary	138		/ /
Paul Roberts	A Ordinary	120		/ /
Gary Rogerson	A Ordinary	22,869		/ /
Peter Scott	A Ordinary	1,000		/ /
Matthew Searle	A Ordinary	657		/ /
Stephen Shepherd	A Ordinary	20		/ /

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Private or non-traded public companies – list of past and present shareholders

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- The company's first annual return following incorporation,
- Every third annual return after a full list has been provided

Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Graham Siddle	A Ordinary	21		/ /
Simon Dixon & Bernard Charles	A Ordinary	2,117		/ /
Simon Dixon & John Heskett	A Ordinary	16,361		/ /
Alan Sippetts	A Ordinary	3,000		/ /
Michael Stanes	A Ordinary	7,500		/ /
Michael Stevens	A Ordinary	1,000		/ /
Darrell Sykes	A Ordinary	11		/ /
Kenneth Taylor	A Ordinary	1,725		/ /
Darren Tickner	A Ordinary	2,606		/ /
Hugh Tottenham	A Ordinary	5,000		/ /
Jonathan Towers	A Ordinary	652		/ /
Michael Vos	A Ordinary	4,795		/ /
Roger Wildman	A Ordinary	494		/ /

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Private or non-traded public companies – list of past and present shareholders

This section should only be completed by companies that have not traded on a regulated market at any time during the period of this return

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- The company's first annual return following incorporation,
- Every third annual return after a full list has been provided

Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Susan Williamson	A Ordinary	310		/ /
Mark Wills	A Ordinary	903		/ /
Mark Barrett	B Ordinary	187		/ /
Simon Clark	B Ordinary	786		/ /
Simon Dixon	B Ordinary	9,434		/ /
Heartwood Nominees Limited	B Ordinary	2,330		/ /
John Heskett	B Ordinary	2,000		/ /
David Lough	B Ordinary	2,508		/ /
Simon Lough	B Ordinary	3,892		/ /
Peter McCree	B Ordinary	186		/ /
Andrew Mountfort	B Ordinary	55		/ /
Simon Dixon & John Heskett (RSP)	B Ordinary	15,819		/ /
Gary Rogerson	B Ordinary	11,197		/ /

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Private or non-traded public companies – list of past and present shareholders

This section should only be completed by companies that have not traded on a regulated market at any time during the period of this return

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- The company's first annual return following incorporation,
- Every third annual return after a full list has been provided

Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Simon Dixon & John Heskett (EBT)	B Ordinary	4,207		/ /
Mattioli Woods Pension Management Ltd (Albermarle)	B Ordinary	829		/ /
Darren Tickner	B Ordinary	100		/ /
Alistair Briggs	B1 Ordinary	2,100		/ /
European Pension Management Limited	B1 Ordinary	922		/ /
Heartwood Nominees Limited	B1 Ordinary	80		/ /
Mattioli Wood Pension Management Ltd (Albermarle)	B1 Ordinary	287		/ /
Mattioli Woods Pension Management Ltd (Titchpin)	B1 Ordinary	2,310		/ /
Richard Mencner	B1 Ordinary	39		/ /
Julian Menges	B1 Ordinary	1,833		/ /
Simon Dixon & John Heskett (EBT)	B1 Ordinary	2,673		/ /
Kenneth Taylor	B1 Ordinary	602		/ /
Roger Wildman	B1 Ordinary	262		/ /

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G3

Private or non-traded public companies – list of past and present shareholders

This section should only be completed by companies that have not traded on a regulated market at any time during the period of this return

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You must provide a 'full list' of all company shareholders on

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- Every third annual return after a full list has been provided

Please list the company shareholders in alphabetical order

Joint shareholders should be listed consecutively

Shareholder's Name (Address not required)	Class of share	Shares or stock currently held	Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer
Burr Noland Carter	C Ordinary	57,545		/ /
Bernard Charles	C Ordinary	5,220		/ /
Simon Dixon	C Ordinary	12,500		/ /
Guy Hudson	C Ordinary	18,000		/ /
Scott Ingham	C Ordinary	13,700		/ /
Gary Rogerson	C Ordinary	10,474		/ /
Michael Stanes	C Ordinary	7,045		/ /
Hugh Tottenham	C Ordinary	6,000		/ /
				/ /
				/ /
				/ /
				/ /
				/ /

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Traded public companies – list of past and present shareholders

This section should show the shareholders that hold at least 5% of any class of share(s) of the company at the date of this return. It should only be completed by public companies that have traded on a regulated market at any time during the period of this return.

Changes during this period 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.

Please list the company shareholders in alphabetical order.

Joint shareholders should be listed consecutively.


Further shareholders

Please use a 'Traded public companies – list of past and present shareholders' continuation page if necessary.

Shareholder's details	Class of share	Shares or stock currently held		Shares or stock transferred (if appropriate)	
		Number of shares or amount of stock	Number of shares or amount of stock	Date of registration of transfer	
Name				/ /	
Address				/ /	
				/ /	
Name				/ /	
Address				/ /	
				/ /	
Name				/ /	
Address				/ /	
				/ /	
Name				/ /	
Address				/ /	
				/ /	

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Part 5 **Signature**

	This must be completed by all companies		
	I am signing this form on behalf of the company		
Signature	<div>Signature</div> <div>X  X</div>		<p>❶ Societas Europaea If the form is being filed on behalf of a Societas Europaea (SE) please delete 'director' and insert details of which organ of the SE the person signing has membership</p> <p>❷ Person authorised Under either section 270 or 274 of the Companies Act 2006</p>
	This form may be signed by Director ❶, Secretary, Person authorised ❷, Charity commission receiver and manager, CIC manager, Judicial factor		

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Presenter information

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

Contact name	Melanie Romans
Company name	Heartwood Wealth Management Ltd
Address	77 Mount Ephraim
Post town	Tunbridge Wells
County/Region	Kent
Postcode	T N 4 8 B S
Country	England
DX	
Telephone	01892 701853



Checklist

We may return forms completed incorrectly or with information missing

Please make sure you have remembered the following

- ☐ The company name and number match the information held on the public Register
- ☐ You have completed your principal business activity
- ☐ You have not used this form to make changes to the registered office address
- ☐ You have not used this form to make changes to secretary and director details
- ☐ You have fully completed the Statement of capital (if applicable)
- ☐ You have signed the form
- ☐ You have enclosed the correct fee



Important information

Please note that all information on this form will appear on the public record



How to pay

A fee of £30 is payable to Companies House in respect of an Annual Return

Make cheques or postal orders payable to 'Companies House'



Where to send

You may return this form to any Companies House address, however for expediency we advise you to return it to the appropriate address below

For companies registered in England and Wales
The Registrar of Companies, Companies House,
Crown Way, Cardiff, Wales, CF14 3UZ
DX 33050 Cardiff

For companies registered in Scotland
The Registrar of Companies, Companies House,
Fourth floor, Edinburgh Quay 2,
139 Fountainbridge, Edinburgh, Scotland, EH3 9FF
DX ED235 Edinburgh 1
or LP - 4 Edinburgh 2 (Legal Post)

For companies registered in Northern Ireland
The Registrar of Companies, Companies House,
Second Floor, The Linenhall, 32-38 Linenhall Street,
Belfast, Northern Ireland, BT2 8BG
DX 481 N R Belfast 1



Further information

For further information, please see the guidance notes on the website at www.companieshouse.gov.uk or email enquiries@companieshouse.gov.uk

This form is available in an alternative format. Please visit the forms page on the website at www.companieshouse.gov.uk