

## Annual Return

Company Number

SC166531

Company Name in full

CHARLOTTE SECURITIES LIMITED



**Date of this return** (See note 1)

The information in this return is made up to

Day Month Year

28 12 96

**Date of next return** (See note 2)

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

28 12 97

**Registered Office** (See note 3)

Show here the address at the date of this return.

IVORY & SIME PLC

ONE CHARLOTTE SQUARE

EDINBURGH.MIDLOTHIAN.EH2 4DZ

Any change of registered office must be notified on form 287.

Post town

County / Region

Postcode

**Principal business activities**

(See note 4)

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

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

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

**Companies House, Crown Way, Cardiff, CF4 3UZ DX 33050 Cardiff**  
for companies registered in England and Wales

or

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

for companies registered in Scotland

**DX 235 Edinburgh**

**Register of members** (See note 5)

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

BANK OF SCOTLAND

APEX HOUSE

Post town EDINBURGH

County / Region

Postcode EH2 4EA

**Register of Debenture holders**

(See note 6)

If there is a register of debenture holders and it is not kept at the registered office, state here where it is kept.

Post town

County / Region

Postcode

**Company type** (See note 7)

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 mark the appropriate box

**Company Secretary** (See notes 1-5)

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

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

Name \*Style / Title

\*Honours etc

Forename(s)

Gordon James

Surname

Humphries

\* Voluntary details.

Previous Forename(s)

Previous Surname

Address

43 CAIYSIDE

**Usual residential**

address must be given. In the case of a corporation, give the registered or principal office address.

Post town

EDINBURGH

County / Region

Postcode

EH10 7HW

Country

**Directors** (see notes 1-5)*Please list directors in alphabetical order.***Details of new directors must be notified on form 288a**

<b>Name</b>	*Style / Title				
	*Honours etc				
		Date of birth	Day <b>31</b>	Month <b>12</b>	Year <b>61</b>
Forename(s)	<b>Gordon James</b>				
Surname	<b>Humphries</b>				
Previous forename(s)					
Previous surname(s)					
<b>Address</b>	<b>43 CAIYSIDE</b>				
Post town	<b>EDINBURGH</b>				
County / Region		Postcode	<b>EH10 7HW</b>		
Country	<b>Scotland</b>	Nationality	<b>British</b>		
<b>Business occupation</b>	<b>COMPANY SECRETARY</b>				
<b>Other directorships</b>	<b>(See continuation sheet).</b>				

\* Voluntary details.

<b>Name</b>	*Style / Title				
	*Honours etc				
		Date of birth	Day <b>23</b>	Month <b>07</b>	Year <b>47</b>
Forename(s)	<b>THOMAS JAMES</b>				
Surname	<b>MAXWELL</b>				
Previous forename(s)					
Previous surname(s)					
<b>Address</b>	<b>25 RAVELSTON DYKES</b>				
Post town	<b>EDINBURGH</b>				
County / Region		Postcode	<b>EH4 3JE</b>		
Country	<b>Scotland</b>	Nationality	<b>BRITISH</b>		
<b>Business occupation</b>	<b>INVESTMENT MANAGER</b>				
<b>Other directorships</b>	<b>(See continuation sheet).</b>				

**Details of new directors must be notified on form 288a**

<b>Name</b>	*Style / Title			
	*Honours etc			
		Date of birth	Day <b>10</b>	Month <b>05</b>
			Year <b>44</b>	
Forename(s)	<b>JOHN</b>			
Surname	<b>STUBBS</b>			
Previous forename(s)				
Previous surname(s)				
<b>Address</b>	<b>44 HURST ROAD</b>			
	Post town	<b>HASSOCKS</b>		
	County / Region	<b>WEST SUSSEX</b>	Postcode	<b>BN6 9NL</b>
	Country	<b>England</b>	Nationality	<b>BRITISH</b>
<b>Business occupation</b>	<b>INVESTMENT MANAGER</b>			
<b>Other directorships</b>	<b>(See continuation sheet).</b>			

\* Voluntary details.

<b>Name</b>	*Style / Title			
	*Honours etc			
		Date of birth	Day <input type="text"/>	Month <input type="text"/>
			Year <input type="text"/>	
Forename(s)				
Surname				
Previous forename(s)				
Previous surname(s)				
<b>Address</b>				
	Post town			
	County / Region		Postcode	
	Country		Nationality	
<b>Business occupation</b>				
<b>Other directorships</b>				

**Usual residential address** must be given. In the case of a corporation, give the registered or principal office address

**Issued share capital** (see note 9)  
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)

ORDINARY SHARES	500,000	£500,000
<b>Totals</b>	500,000	£500,000

### List of past and present members

(Use attached schedule where appropriate)

There were no changes in the period

☐

A full list is required if one was not included with either of the last two

(see note 10)

on paper

in another format

A list of changes is enclosed

☐
☐

A full list of members is enclosed

☐
☒

### Elective resolutions

(Private companies only)

(see note 11)

If at the date of this return an election is in force to dispense with annual general meetings, mark this box

☐

If at the date of this return an election is in force to dispense with laying accounts in general meetings, mark this box

☐

### Certificate

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

Signed

*Gordon J. Humphries*

Date

23/1/97

† Please delete as appropriate.

† a-director /secretary

When you have signed the return send it with the fee to the Registrar of Companies. Cheques should be made payable to **Companies House**.

This return includes

3

continuation sheets

(enter number)

#### <Insert Presenter Details Here>

DEREK OSBORNE  
IVORY & SIMS PLC  
ONE CHARLOTTE SQUARE  
EDINBURGH EH2 4DZ

Please give the name, address, telephone number, and if available, a DX number and Exchange, for the person Companies House should contact if there is any query

## Individual Profile

Gordon James Humphries

### Personal Details

<b>Surname</b>	Humphries	<b>Title</b>	
<b>Forenames</b>	Gordon James		
<b>Preferred Forename</b>			
<b>Honours</b>			
<b>Nationality</b>	British		
<b>Occupation</b>	COMPANY SECRETARY		
<b>Date of Birth</b>	31 December 1961		

### Current Directorships

Company Name	Title	Date of Appointment
CHARLOTTE SECURITIES LIMITED	DIRECTOR	25 Jun 1996
I & S UK SECURITIES LIMITED	DIRECTOR	10 Jan 1994

### Past Directorships

Company Name	Title	Date of Appointment	Date of Cessation
THE NILE DEALING COMPANY LIMITED	DIRECTOR	21 Feb 1995	25 Apr 1995

## Individual Profile

THOMAS JAMES MAXWELL

### Personal Details

Surname	MAXWELL	Title	
Forenames	THOMAS JAMES		
Preferred Forename			
Honours			
Nationality	BRITISH		
Occupation	INVESTMENT MANAGER		
Date of Birth	23 July 1947		

### Current Directorships

Company Name	Title	Date of Appointment
CHARLOTTE SECURITIES LIMITED	DIRECTOR	25 Jun 1996
INVESTORS SECURITIES COMPANY LIMITED	DIRECTOR	01 Oct 1992
IVORY & SIME INVESTMENT MANAGEMENT LIMITED	DIRECTOR	15 Sep 1995

## Individual Profile

JOHN STUBBS

### Personal Details

Surname	STUBBS	Title	
Forenames	JOHN		
Preferred Forename			
Honours			
Nationality	BRITISH		
Occupation	INVESTMENT MANAGER		
Date of Birth	10 May 1944		

### Current Directorships

Company Name	Title	Date of Appointment
CHARLOTTE SECURITIES LIMITED	DIRECTOR	25 Jun 1996
INVESTORS SECURITIES COMPANY LIMITED	DIRECTOR	11 Sep 1995
IVORY & SIME ASSET MANAGEMENT LIMITED	DIRECTOR	31 Jul 1995
IVORY & SIME INVESTMENT MANAGEMENT LIMITED	DIRECTOR	02 May 1995
IVORY & SIME PLC	Chief Investment Officer	24 Apr 1995
SHIRES HIGH-YIELDING SMALLER COMPANIES TRUST PLC	DIRECTOR	01 Jan 1992
SHIRES INCOME PLC	DIRECTOR	01 Jan 1985
SHIRESCOT SECURITIES	DIRECTOR	01 Jan 1993
TOPSHIRE LTD	DIRECTOR	01 Jan 1989
WARRANTS & VALUE INVESTMENT TRUST PLC	DIRECTOR	01 Jan 1993
WISTON INVESTMENT COMPANY LTD	DIRECTOR	01 Jan 1985
WVT DEALING LTD	DIRECTOR	01 Jan 1995

### Past Directorships

Company Name	Title	Date of Appointment	Date of Cessation
HERMES INVESTMENT MANAGEMENT LTD	DIRECTOR		01 Jan 1995



**List of past and present members  
Schedule to form 363a and 363b**

**Company Number** 1666531

**Company Name in full** CHARLOTTE SECURITIES LIMITED

Number of shares  
or amount of  
stock held by  
existing members  
at date of this  
return

Particulars of shares or stock transferred since  
the date of the last return (or in the case of the  
first return, since the incorporation of the  
company) by  
(a) persons who are still members, and  
(b) persons who have ceased to be members

Name and address	Number or amount currently held	Number or amount Transferred	Date of registration of transfer	Remarks
<b>BRITISH ASSETS TRUST PLC</b>				
<b>One Charlotte Square, Edinburgh, Midlothian, EH2 4DZ, Scotland</b>				
<b>Ordinary Shares</b>	<b>500,000</b>			