
STATUTORY INSTRUMENTS

2011 No. 1487

The Companies Act 2006 (Annual Returns) Regulations 2011

Information about shareholders

4.—(1) In section 856A(1) of that Act (contents of annual return: information about shareholders: non-traded companies)—

(a) for subsection (1) substitute—

“(1) This section applies to the annual return of a company none of whose shares were, at any time during the return period, shares admitted to trading on a relevant market or on any other market which is outside the United Kingdom.”; and

(b) in subsection (2) before “contain” insert “also”.

(2) For section 856B(2) of that Act (contents of annual return: information about shareholders: traded companies) substitute—

“856B Contents of annual return: information about shareholders: certain traded companies

(1) This section applies to the annual return of a company any of whose shares were, at any time during the return period, shares admitted to trading on a relevant market or on any other market which is outside the United Kingdom.

(2) But this section does not apply to the annual return of a company if throughout the return period—

(a) there were shares of the company which were shares admitted to trading on a relevant market, and

(b) the company was a DTR5 issuer.

(3) The annual return of a company to which this section applies must also state, in respect of each person who held at least 5% of the issued shares of any class of the company at the end of the date to which the return is made up—

(a) the person’s name and address (as they appear in the company’s register of members); and

(b) the number of shares of each class held by the person at that time.

(4) The return must conform to the following requirements for the purpose of enabling entries relating to any given person to be easily found—

(a) the entries must be listed in alphabetical order by name; or

(b) the return must have annexed to it an index that is sufficient to enable the name of the person in question to be easily found.”

(1) Section 856A was inserted by [S.I. 2008/3000](#), regulation 7.

(2) Section 856B was inserted by [S.I. 2008/3000](#), regulation 7.