

# **REGISTRAR'S RULES 2009**

## **VOLUME 2**

### **REQUIREMENTS APPLICABLE TO DOCUMENTS DELIVERED TO THE REGISTRAR IN PAPER FORM**

|                          |                          |
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The registrar of companies makes the following rules in exercise of the powers conferred by the enactments specified in Schedule 1 to this Volume of the rules.

## **PART 1**

### **GENERAL INTRODUCTORY PROVISIONS**

#### **Commencement**

1. The rules shall come into force on 6<sup>th</sup> April 2010.

#### **Application of this Volume**

2. (1) The rules in this Volume apply to the documents specified in these rules that are delivered to the registrar in paper form on or after 1<sup>st</sup> October 2009 but not to a document delivered in pursuance of an obligation arising before that date.
- (2) Other Volumes of the registrar's rules 2009 cover the following matters-
  - (a) Requirements applicable to documents delivered to the registrar in electronic form (Volume 1);
  - (b) Requirements applicable to a document or part of a document delivered to the registrar on a CD-ROM or DVD-ROM (Volume 3);
  - (c) Requirements applicable to instructions for the informal correction of a document delivered to the registrar (Volume 4);
  - (d) Authentication of a certificate sent by the registrar by electronic means (Volume 5);
  - (e) Nomination of an address to be the registered office address (Volume 6).

#### **Transitional interpretation**

3. (1) Except as provided in paragraph (2), any reference in these rules to a document or particular type of document delivered to the registrar shall be construed as a reference to any such document delivered to the registrar on or after 1<sup>st</sup> October 2009 other than a document delivered in pursuance of an obligation arising before that date.
- (2) This rule does not apply to Part 12 of these rules.

#### **Definitions and general interpretation**

4. (1) In this Volume of the rules-

“the 2006 Act” means the Companies Act 2006;

“Address Regulations” means the Companies (Disclosure of Address) Regulations 2009<sup>1</sup>;

“CIC manager”, in relation to a company that is a community interest company, means a manager appointed pursuant to section 47 of the Companies (Audit, Investigations and Community Enterprise) Act 2004;

“company” has the meaning given to it in section 1 of the 2006 Act;

“Company PSC Regulations” means the Register of People with Significant Control Regulations 2016<sup>2</sup>;

“credit or financial institution” means a credit or financial institution to which section 1050 of the 2006 Act applies;

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<sup>1</sup> S.I. 2009/214.

<sup>2</sup> S.I. 2016/339

“designated member,” in relation to an LLP, shall be construed in accordance with section 8 of the Limited Liability Partnerships Act 2000;

“EEIG” means a European Economic Interest Grouping being a grouping formed in pursuance of Article 1 of the EEIG EEC Regulation and

- (a) which is to be, or is, registered in the UK, or
- (b) whose official address is outside the UK, but the grouping is registering or has registered an establishment in the UK;

“the EEIG EEC Regulation” means the Council Regulation (EEC) No 2137/85 on the European Economic Interest Grouping;

“EEIG Regulations” means the European Economic Interest Grouping Regulations 1989;<sup>3</sup>

“excluded document” means an excluded insolvency document or a document delivered to the registrar under

- (a) section 466 of the Companies Act 1985 or that section as applied to LLPs and section 1040 companies by the Limited Liability Partnerships Regulations 2001<sup>4</sup> and the Companies (Companies Authorised to Register) Regulations 2009<sup>5</sup> respectively,
- (b) the Limited Partnerships Act 1907, or
- (c) the Newspaper Libel and Registration Act 1881.

“excluded insolvency document” means-

- (a) a document delivered to the registrar of Northern Ireland under the Insolvency (Northern Ireland) Order 1989 or any provision of that Order that is applied to LLPs by the Limited Liability Partnerships Regulations (Northern Ireland) 2004 or section 14 of the Limited Liability Partnerships Act 2000 provided that such exclusion shall not apply to any notice(s) served upon the registrar further to Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989 (as amended by the Corporate Insolvency and Governance Act 2020),
- (b) any document delivered to the registrar of companies for Scotland under the Insolvency Act 1986 that is applied to LLPs by the Limited Liability Partnerships Regulations 2001, or
- (c) any of the following documents delivered to the registrar of companies for England and Wales under the specified section of the Insolvency Act 1986 or the specified Rule in the Insolvency Rules 1986<sup>6</sup> or that section or Rule as applied to LLPs by regulations made under section 14 of the Limited Liability Partnerships Act 2000-
  - (i) notice of administration order (rules 2.10(3) and 2.10(4));
  - (ii) administrator’s abstract of receipts and payments (rule 2.52);
  - (iii) statement of affairs (rule 2.29(1))
  - (iv) statement of concurrence (rule 2.29(2));

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<sup>3</sup> S.I. 1989/638

<sup>4</sup> S.I. 2001/1090

<sup>5</sup> S.I. 2009/ 2437

<sup>6</sup> S.I. 1986/1925

- (v) notice by administrator of a change in committee membership (rule 2.51(6));
- (vi) statement of affairs (rules 3.4(1), 4.34(2) or 4.34(3));
- (vii) notice of order to deal with charged property (section 15(7));
- (viii) notice of discharge of administration order or variation of administration order (section 18(4));
- (ix) administration order delivered (section 21(2));
- (x) statement of administrator's proposals (section 23(1)(a));
- (xi) notice of result of meeting of creditors (sections 24(4) and 25(6));
- (xii) members' voluntary winding up declaration of solvency embodying a statement of assets and liabilities (section 89(3)).

(d) any of the following documents delivered to the registrar of companies for England and Wales under the specified section of the Insolvency Act 1986 or the specified Rule in the Insolvency Rules 1986 in each case as applied to LLPs by regulations made under section 14 of the Limited Liability Partnerships Act 2000-

- (i) notice of administration order (rules 2.10(3) and 2.10(4));
- (ii) administrator's abstract of receipts and payments (rule 2.52);
- (iii) statement of affairs (rule 2.29(1));
- (iv) statement of concurrence (rule 2.29(2));
- (v) notice by administrator of a change in committee membership (rule 2.51(6));
- (vi) statement of affairs (rules 3.4(1), 4.34(2) or 4.34(3));
- (viii) notice of order to deal with charged property (section 15(7));
- (ix) notice of discharge of administration order or variation of administration order (section 18(4));
- (x) administration order (section 21(2));
- (xi) statement of administrator's proposals (section 23(1)(a));
- (xii) notice of result of meeting of creditors (sections 24(4) and 25(6));
- (xiii) members' voluntary winding up declaration of solvency embodying a statement of assets and liabilities (section 89(3)).

“LLP” means a limited liability partnership registered under the Limited Liability Partnerships Act 2000;

“member” -

- (a) in relation to an SE, means-
  - i) (for rules 83 and 85) a member of the management organ, administrative organ, or supervisory organ, or
  - (ii) (for all other references) a member of the management organ or administrative organ, and
- (b) in relation to an LLP, shall be construed in accordance with section 4 of the Limited Liability Partnerships Act 2000;

“non-scheduled form document” means a document or part of a document which is not required by these rules to be delivered to the registrar in scheduled form;

“overseas company” has the meaning given to it by section 1044 of the 2006 Act;

“partner,” in relation to an SLP, has the meaning given to it in regulation 2 of the Scottish Partnerships PSC Regulations;

“permanent representative,” in relation to an overseas company, means a person authorised to represent an overseas company as a permanent representative of the overseas company in respect of a UK establishment;

“person authorised” means a person authorised by the directors of a company in accordance with section 270(3)(b) or section 274 of the 2006 Act;

registrable person” has the following meaning:

- (a) (in relation to a company) the meaning given to it in section 790C (4) of the 2006 Act,
- (b) (in relation to a section 1040 company) the meaning given to it in section 790C (4) of the 2006 Act as applied to section 1040 companies by regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009,
- (c) (in relation to an SE) the meaning given to it in section 790C (4) of the 2006 Act as applied to SEs by Article 9(1)(c)(ii) of the SE EC Regulation, and
- (d) (in relation to an LLP) the meaning given to it in 790C (4) of the 2006 Act as applied to LLPs by regulation 31B in Schedule 1 of the Limited Liability Partnerships (Register of People with Significant Control) Regulations 2016;
- (e) (in relation to an SQP or SLP) the meaning given to it by regulation 3(5) of the Scottish Partnerships PSC Regulations;

“registered number” has the following meaning-

- (a) (in relation to a company or an overseas company) the meaning given to it in section 1066 of the 2006 Act,
- (b) (in relation to a section 1040 company) the meaning given to it in section 1066 of the 2006 Act as applied to registered section 1040 companies by regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009,
- (c) (in relation to an SE) the meaning given to it in section 1066 of the 2006 Act as applied to SEs by regulation 14 of the European Public Limited-Liability Company Regulations 2004,
- (d) (in relation to an LLP) the meaning given to it in regulation 62 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009<sup>7</sup>;
- (e) (in relation to an EEIG) the meaning given to it in section 1066 of the 2006 Act as applied to a European Economic Interest Grouping by regulation 18 of the EEIG Regulations;
- (f) (in relation to an EEIG) the meaning given to it in section 1066 of the 2006 Act as applied to a European Economic Interest Grouping by regulation 18 of the EEIG Regulations;

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<sup>7</sup> S.I. 2009/1804.

(g) (in relation to an SQP) the meaning given to it in section 1066 of the 2006 Act as applied to an SQP by regulation 58 of the Scottish Partnerships PSC Regulations;

(h) (in relation to an SLP) it means the registration number stated in the certificate issued by the registrar pursuant to section 8C of the Limited Partnerships Act 1907;

“registrar” has the meaning given to it by section 1060 of the 2006 Act;

“Registrar Regulations” means the Registrar of Companies and Applications for Striking Off Regulations 2009<sup>8</sup>;

“replacement document” means a document delivered to the registrar which is a replacement to which section 1076(1) of the 2006 Act applies other than

(a) any such document which relates to an EEIG or a credit or financial institution that is not an overseas company, or

(b) an excluded document;

“scheduled form” means a Schedule 2 form, a Schedule 3 form, a Schedule 4 form, a Schedule 5 form, a Schedule 6 form, a Schedule 7 form, a Schedule 7A form, a Schedule 8 form, a Schedule 8A form, Schedule 8B form, Schedule 8C form or a Schedule 9 form;

“Schedule 2 form” means a form in Schedule 2;

“Schedule 3 form” means a form in Schedule 3;

“Schedule 4 form” means a form in Schedule 4;

“Schedule 5 form” means a form in Schedule 5;

“Schedule 6 form” means a form in Schedule 6;

“Schedule 7 form” means a form in Schedule 7;

“Schedule 7A form” means a form in Schedule 7A;

“Schedule 8 form” means a form in Schedule 8;

“Schedule 8A form” means a form in Schedule 8A;

“Schedule 8B form” means a form in Schedule 8B;

“Schedule 8C form” means a form in Schedule 8C;

“Schedule 9 form” means a form in Schedule 9;

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<sup>8</sup> S.I. 2009/1803.



“The Scottish Partnerships PSC Regulations” means the Scottish Partnerships (Register of People with Significant Control) Regulations 2017<sup>9</sup>

“SE” means a European Public-Limited Liability Company (or Societas Europaea) which is within the meaning of the SE EC Regulation and is to be, or is, registered in the UK;

“the SE EC Regulation” means the Council Regulation 2157/2001/EC of 8 October 2001 on the Statute for a European Company;

“section 1040 company” means any of the following companies-

- (a) a company authorised by section 1040 of the 2006 Act to register under that section or a company registered under that section,
- (b) a company registered under section 680 of the Companies Act 1985, or
- (c) a company registered under Article 629 of the Companies (Northern Ireland) Order 1986<sup>10</sup>;

“SLP” has the meaning given to “Scottish limited partnership” in regulation 3(2)(a) of the Scottish Partnerships PSC Regulations;

“SQP” has the meaning given to “Scottish qualifying partnership” in regulation 3(2)(b) of the Scottish Partnerships PSC Regulations;

“unregistered company” means a body to which section 1043 of the 2006 Act applies.

(2) In this Volume of the rules -

- (a) any reference to “these rules” is a reference to the rules in this Volume of the registrar’s rules 2009 and any reference to a numbered rule, Chapter, Part, or Schedule is to the rule, Chapter, Part, or Schedule so numbered in this Volume;
- (b) any reference to an Act includes a reference to any subordinate legislation made under that Act.

## **PART 2**

### **MANNER OF DELIVERY AND RECEIPT**

#### **Application and interpretation of Part**

5. This Part applies to any document delivered to the registrar other than an excluded document. This Part shall be construed accordingly.

#### **Delivery in paper form**

6. (1) A document may be delivered to the registrar in paper form. This is subject to the following proviso.

(2) Where a PROOF agreement is in force for a company or other body, a PROOF document which relates to that company or other body cannot be delivered in paper form except as provided for in the PROOF agreement—.

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<sup>9</sup> SI 2017/694

<sup>10</sup> S.I. 1986/1032 (NI 6).

In this paragraph -

“PROOF agreement” means an agreement for delivery by electronic means under section 1070 of the 2006 Act;

“PROOF document” means a document that is included in the terms of a PROOF agreement.

### **Delivery and receipt**

7. (1) In this rule a reference to a numbered column is a reference to a column in the table set out in paragraph (5).

(2) A document can be delivered to the registrar by one of the means of delivery specified in column 1.

(3) The address applicable to each means of delivery are set out in column 2.

(4) A document is to be regarded as received by the registrar when it satisfies the criterion in column 3 which corresponds to the means of delivery and delivery address used for delivery of that document.

(5) In the following table-

“Document Exchange” means the document exchange service provided by DX Network Services Ltd (company number 5023914);

“opening hours,” in relation to an address specified in the table, means the opening hours of Companies House at that address as specified from time to time on the website [www.gov.uk/government/organisations/companies-house](http://www.gov.uk/government/organisations/companies-house)

| (1)<br>Means of<br>delivery | (2)<br>Address  | (3)<br>Receipt criteria  |
|-----------------------------|---|--|
| By post                     | Companies<br>House<br>Crown Way<br>Cardiff<br>Wales<br>CF14 3UZ     | When handed over at a loading bay at<br>Companies House, Crown Way, Cardiff.   |
|                             | The Registrar of<br>Companies<br>PO Box 4082<br>Cardiff<br>CF14 3WE | When handed over at a loading bay at<br>Companies House, Crown Way, Cardiff.   |
| Delivery by<br>hand         | Companies<br>House<br>Crown Way<br>Cardiff<br>Wales<br>CF14 3UZ     | Delivery at any time to Companies House<br>when put through the<br>Post Box situated between the security gates at<br>the main entrance at Companies House, Crown<br>Way, Cardiff. |
| Document<br>Exchange        | Companies<br>House<br>DX 33050<br>Cardiff                           | When handed over at a loading bay<br>at Companies House, Crown Way, Cardiff  |

**PART 3**  
**FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO A**  
**COMPANY**

**Chapter 1**  
**Application**

**Application and interpretation of Part**

8. (1) This Part imposes requirements as to the form and authentication of documents.  
(2) This Part applies to specified documents delivered to the registrar which relate to a company and this Part shall be construed accordingly. Parts 4, 5, 6 and 7 apply to documents which relate to a section 1040 company, an unregistered company, an overseas company, and an SE, respectively.  
(3) Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.  
(4) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

**Chapter 2**  
**Documents in Schedule 2 form delivered under the Companies Act 2006**

**Application of Chapter**

9. This Chapter imposes requirements as to the use of a Schedule 2 form for specified documents delivered to the registrar under the 2006 Act.

**Schedule 2 forms**

10. (1) Subject to rule 12(2)(b), the Schedule 2 forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms.  
(2) For some legislative provisions there is more than one Schedule 2 form. The top of a Schedule 2 form refers to the circumstances in which it is to be used.

**Welsh language forms**

11. (1) Each form in Part 2 of Schedule 2 is partly in Welsh and partly in English and can be used instead of a form in Part 1 of Schedule 2 where the form relates to a Welsh company.  
(2) In this rule-  
    “Welsh company” has the meaning given to it in section 88 of the 2006 Act.

**Continuation forms**

12. (1) Some of the Schedule 2 forms are continuation forms for other Schedule 2 forms. The top of a continuation form refers to “continuation page.”  
(2) When in the circumstances indicated on a Schedule 2 form the information to be inserted in that Schedule 2 form is to be continued, the information to be continued is to be inserted either-  
    (a) on the appropriate continuation form (and where there is more than one continuation form for a particular Schedule 2 form the type of information to be continued determines which continuation form is to be used); or

(b) subject to rule 12(3), on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

(3) Rule 12(2)(b) does not apply where the information to be continued includes the usual residential address, registered email address or date of birth of a director or registrable person or where rule 15A applies. The appropriate continuation form must be used for that information.

### **Reproduction of a Schedule 2 form**

13 (1) Subject to rule 15 and 15A, a document for which a Schedule 2 form must be used must be reproduced as set out in Schedule 2 as to its text, layout and format and must be in black ink.

(2) Subject to rule 15 and 15A, a Schedule 2 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

### **Barcode on some Schedule 2 forms which contain a usual residential address or date of birth**

14. (1) This rule applies to a form in Part 1 or Part 2 of Schedule 2 which is required by these rules to be used to deliver a document which is required by the 2006 Act to contain the usual residential address, registered email address or date of birth of a director or registrable person.

(2) A Schedule 2 form to which this rule applies must contain the barcode indicated on that form in Schedule 2.

(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 2 form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 2 form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

### **Orange coloured forms to be obtained from the registrar**

15. A document for which a form is provided in Part 3 of Schedule 2 must be delivered to the registrar on a form obtained from the registrar because the form must be on orange coloured paper.

### **Purple coloured forms to be obtained from the registrar**

15A. (1) This rule applies to a document if –

- (a) it is a document for which a form is provided in Part 4 of Schedule 2, and
- (b) at the time of delivery to the registrar, one or both of the following apply:

(i) in relation to one or more of the current or proposed registrable persons of the company or proposed company, restrictions on using or disclosing the particulars of that person or persons in relation to that company or proposed company are in force under regulations under section 790ZG of the 2006 Act, and

(ii) in relation to one or more of the past registrable persons of the company, restrictions on using or disclosing the particulars of that person or persons in relation to that company are in force under regulations under section 790ZG of the 2006 Act and the fact that the person has ceased to be a registrable person in relation to that company has not yet been registered by the registrar.

(2) The forms in Parts 1 and 2 of Schedule 4 must not be used to deliver to the registrar a document to which this rule applies and instead the document must be delivered to the registrar on a form obtained from the registrar because the form must be on purple coloured paper.

(3) A form in Part 4 of Schedule 2 cannot be used to deliver a document to which this rule does not apply.”

#### **Use of black ink for text inserted in a Schedule 2 form**

16. Text inserted in a Schedule 2 form must be in black typescript or handwritten in black ink.

#### **Name and registered number**

17. (1) A document specified in the following table (being one for which these rules require a Schedule 2 form to be used) is required by legislation to contain the proposed name or name and registered number of the company or proposed company to which the document relates.

| Description of document   | Section of the 2006 Act or regulation under which the document is delivered to the registrar | What is required by legislation? |
|---|--|----------------------------------|
| <b>Registration of a company</b>  |  |                                  |
| Application for registration of a company   | Section 9(2)   | Proposed name                    |
| <b>Documents relating to disclosure of addresses</b>  |  |                                  |
| Application to registrar to refrain from disclosing information to a credit reference agency (application by a company)                                   | Section 243(4) and regulation 6 of the Address Regulations                                   | Name and registered number       |
| Application to registrar to refrain from disclosing information to a credit reference agency (application by a subscriber to a memorandum of association) | Section 243(4) and regulation 7 of the Address Regulations                                   | Name of the proposed company     |

|   |  |   |
|---|--|---|
| Application to registrar to refrain from disclosing information to a credit reference agency (application by a company)   | Section 790ZF and regulation 26 of the Company PSC Regulations | Name and registered number  |
| Application to registrar to refrain from disclosing information to a credit reference agency (application by a subscriber to a memorandum of association)                           | Section 790ZF and regulation 27 of the Company PSC Regulations | Name of the proposed company  |
| Application to registrar to make address unavailable for public inspection (application by a company)   | Section 1088 and regulation 10 of the Address Regulations      | Name and registered number  |
| <b>Documents relating to disclosure of information relating to some people with significant control</b>   |  |   |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by a company)                                   | Section 790ZG and regulation 37 of the Company PSC Regulations | Name and registered number  |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by a subscriber to a memorandum of association) | Section 790ZG and regulation 38 of the Company PSC Regulations | Name of the proposed company  |
| <b>Documents relating to company charges</b>  |  |   |
| Section 859D statement of particulars   | Section 859A (2), 859B (2) or 859C (2)                         | Name and registered number  |
| Statement of company acting as trustee of property or undertaking   | Section 859(J)(2)  | Name and registered number  |
| Particulars set out in section 859L (4)   | Section 859L (1)   | Name and registered number of the company that created the charge or acquired the property or undertaking subject to the charge |
| Statement of particulars set out in section 859O (3)  | Section 859O (2)   | Name and registered number  |

| Rectification of register  |  |      |
|--|--|------|
| Application for rectification of the register (application by a company) | Section 1095 and regulation 4 of the Registrar Regulations | Name |

(2) All other Schedule 2 forms must contain the name and registered number of the company to which the Schedule 2 form relates.

(3) The name and registered number must be inserted in black typescript or handwritten in black ink in the name and number boxes on the Schedule 2 form.

18. (1) Subject to express provision to the contrary, a Schedule 2 form must be authenticated: -

- (a) by the person or persons indicated on the form
- (b) where indicated on the form.
- (c) by signature or by printed name.

(2) Where a Schedule 2 form is delivered to the registrar under section 1025(5)(a) of the 2006 Act (requirements for administrative restoration) a former director or former member is required to authenticate the form instead of the person or persons indicated on the form.

### **Authentication**

18. (1) A Schedule 2 form and a Schedule 9 form must be authenticated

- (a) by the person or persons indicated on the form
- (b) where indicated on the form

(2) Subject to rule 19 and express legislative provision to the contrary

- (a) authentication may be either by printed name or signature
- (b) where there is reference to a signature on a Schedule 2 form or a Schedule 9 form, it may also be authenticated by printed name.
- (c) where there is reference to authentication by printed name on a Schedule 2 form or a Schedule 9 form, it may be authenticated by signature.

(3) Where a Schedule 2 form is delivered to the registrar under section 1025(5)(a) of the 2006 Act (requirements for administrative restoration) a former director or former member is required to authenticate the form instead of the person or persons indicated on the form.

### **Print of name of applicant**

19. (1) In an application section 1003 of the 2006 Act the applicant must authenticate the application by printing their name where indicated on the Schedule 2 form.

### **Signature on statement of guarantee by a parent undertaking**

19A. (1) This rule applies to statements of guarantee by parent undertaking delivered to the registrar under sections 394A(2)(e), 448A(2)(e) or 479A(2)(e) of the 2006 Act (Form AA06 in Schedule 2).

(2) The 2006 Act requires the statement to be authenticated by the parent undertaking and the registrar requires that authentication to be by way of the signature of the person making the statement on behalf of the parent undertaking where indicated on the form.

(3) The signature required by this rule is additional to the signature required by rule 18(1).

### **Chapter 3**

#### **Non-scheduled form documents delivered under the Companies Act 2006**

#### **Application of Chapter**

20. (1) Except as provided in paragraph (2), this Chapter applies to a non-scheduled form document delivered to the registrar under the 2006 Act.

(2) This Chapter does not apply to certified copies, verified copies or translations. Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.

#### **White paper and black ink**

21. (1) Except as provided in paragraph (2), a document to which this Chapter applies must be on white paper and the text of the document must be in black typescript or handwritten in black ink.

(2) This rule does not apply to the following documents-

| Description of document(s)  | Section of the 2006 Act or regulation under which the document is delivered to the registrar   |
|---|--|
| <b>Court order or direction</b>   |  |
| Court order (but not the copy of the court order delivered under section 649(1)) (reduction of share capital) | Section 649(1)   |
| Direction from the court dispensing with the need for a statement by the creditor                             | Section 887(2)   |
| <b>Charge documents</b>   |  |
| Instrument by which charge is created or evidenced  | Sections 860(1)  |
| Deed containing the charge or one of the debentures of the series   | Section 863(1)   |
| Copy of the deed containing the charge or of one of the debentures of the series                              | Section 882(1)   |
| <b>Documents relating to disclosure of addresses</b>  |  |
| Evidence relating to an application under section 243(4) of the 2006 Act                                      | Regulation 5(3)(b), 6(3)(b), 7(3)(b) or 8(1) of the Address Regulations                        |
| Notification that a person wishes a decision under section 243 to cease to apply                              | Regulation 15(1)(a) of the Address Regulations   |
| Evidence relating to an application under section 790ZF of the 2006 Act                                       | Regulations 25(4), 26(6), 27(6) and 28(1)(a) of the Company PSC Regulations                    |
| Notification that a person wishes a determination relating to section 790ZF to cease to have effect           | Regulation 31(a) of the Company PSC Regulations  |
| Representations as to why a revocation decision should not be made  | Regulation 16(4) of the Address Regulations or Regulation 32(3) of the Company PSC Regulations |



|   |  |
|---|--|
| Evidence relating to an application under section 1088 of the 2006 Act  | Regulation 10(3)(b), 11(3)(b) and 12(1) of the Address Regulations   |
| <b>Documents relating to disclosure of information relating to some people with significant control</b>                     |  |
| Notification that a person wishes a determination relating to section 790ZG to cease to have effect                         | Regulation 43(1)(a) of the Company PSC Regulations   |
| Representations as to why a revocation decision should not be made in relation to a determination relating to section 790ZG | Regulation 44(3) of the Company PSC Regulations  |
| <b>Rectification of the register</b>  |  |
| Evidence to show that a person consented to act as a director of the company  | Section 1095(4B) and regulation 5(15C) of the Registrar Regulations  |
| Documents or information supporting an application to change the address of a company's registered office                   | Section 1097A (2) and regulation 3(d) of the Companies (Address of Registered Office) Regulations 2015     |
| Evidence showing that the company is authorised to use the address as its registered office                                 | Section 1097A (2) and regulation 6(d)(ii) of the Companies (Address of Registered Office) Regulations 2015 |

### **Name and registered number**

22. (1) A document specified in the following table is required by legislation to contain the name or name and number of the company to which the document relates.

| Description of document   | Section of the 2006 Act or regulation under which the document is delivered to the registrar | What is required by legislation? |
|---|--|----------------------------------|
| <b>Memorandum of association</b>  |  |                                  |
| Memorandum of association   | Section 9(1)   | Name                             |
| <b>Form of assent</b>   |  |                                  |
| Form of assent  | Section 103(2)(a) or section 110(2)(a)   | Name and number                  |
| <b>Rectification of register</b>  |  |                                  |
| Objection to an application for rectification of the register (objection made by the company) | Section 1095 and regulation 5(9) of the Registrar Regulations                                | Name                             |

(2) A document which is specified in the following table must contain the name and registered number of the company to which the document relates.

| Description of document(s) | Section of the 2006 Act or regulation under which the document is delivered to the registrar |
|----------------------------|--|
| <b>Constitution</b>        |  |

|  |  |
|--|--|
| Copy of resolution or agreement  | Section 30(1), 94(2)(a), 100(2)(a), 106(2)(a), 602(1), 664(4)(a)   |
| Copy of amended articles   | Section 26(1)  |
| <b>Orders charging land: Northern Ireland</b>  |  |
| Copies of an order (made under Article 46 of the Judgments Enforcement (Northern Ireland) Order 1981 <sup>11</sup> ) or of any notice (under Article 48 of the 1981 Order) | Section 868(1)   |
| Copies of an order made under Article 46 of the Judgments Enforcement (Northern Ireland) Order 1981  | Section 868(2)   |
| <b>Names</b>   |  |
| Copy of any response received from a government department or other body (in connection with a change in a company's name)   | Section 56(4)(b)   |
| Copy of the written statement consenting to the same name but only when delivered in connection with a change in a company's name  | Regulation 8(2)(c) of the Company and Business Names (Miscellaneous Provisions) Regulations 2009 <sup>12</sup> |
| <b>Auditor ceasing to hold office information</b>  |  |
| Copy of notice of resignation of auditor   | Section 517(1)   |
| Copy of statement by auditor under section 520 of the circumstances connected with his ceasing to hold office  | Section 521(1) and (2)   |
| <b>Second company audit</b>  |  |
| Copy of report under section 1248(2)(b) on whether a second audit is needed  | Section 1248(6)(a)   |
| <b>Valuer's report</b>   |  |
| Copy of valuer's report  | Section 602(1)   |
| <b>Statements by directors</b>   |  |
| Statement by the directors in connection with redenomination   | Section 627(6)   |
| Copy of solvency statement   | Section 644(1)   |
| Statement by the directors about the solvency statement  | Section 644(5)   |
| Copy of directors' statement and auditor's report required by section 714 of the 2006 Act  | Section 719(4)   |
| <b>Draft terms</b>   |  |
| Copy of draft terms (merger)   | Section 906(1)   |
| Details of website where draft terms of merger published   | Section 906A (4)   |
| Copy of draft terms (division)   | Section 921(1)   |

<sup>11</sup> S.I. 1981/226 (NI 6).

<sup>12</sup> S.I. 2009/1085.

|   |   |
|---|---|
| Details of website where draft terms of division published                      | Section 921A (4)                              |
| Dissolved company   |   |
| Notice of disclaimer of property vesting bona vacantia                          | Section 1013(6)                               |
| Written consent by Crown representative (administrative restoration of company) | Section 1025(3)                               |
| Accounts and related documents  |   |
| A written notice of agreement   | Section 394A(2)(e), 448A(2)(e), or 479A(2)(e) |

(3) A document which is specified in the following table must contain the name and registered number of the company to which the document relates. This is subject to the proviso in column (3) of the table.

| (1)  | (2)  | (3)  |
|--|--|--|
| Description of document(s)   | Section of the 2006 Act or regulation under which the document is delivered to the registrar | Is name and registered number required?  |
| Accounts and related documents   |  |  |
| Copy of parent undertaking's consolidated accounts, copy of the auditor's report on those accounts, and copy of the consolidated annual report drawn up by the parent undertaking            | Section 394A(2)(e), 448A(2)(e) or 479A(2)(e)   | Yes, the name and registered number of the subsidiary filing, but only required in one of the documents comprised in the parent's accounts |
| Copy of balance sheet or abbreviated accounts and (where applicable) copy of profit and loss account, copy of directors' report, directors' remuneration report and copy of auditor's report | Section 441(1)   | Yes, but only required in one of the documents   |
| Copy of annual accounts in euros   | Section 469(2)   | Yes, but only required in one of the documents comprised in the annual accounts  |
| Copy of interim accounts   | Section 838(6)   | Yes, but only required in one of the documents comprised in the interim accounts   |
| Copy of initial accounts, auditor's report and (where applicable) any auditor's statement  | Section 839(7)   | Yes, but only required in one of the documents   |
| Revised accounts or revised report (as those terms are defined in the Companies (Revision of Defective   | Regulation 14(2) of the Companies (Revision of   | Yes, but where more than one of those documents is   |

|  |  |  |
|--|--|--|
| Accounts and Reports) Regulations 2008 <sup>13</sup> ) and (where applicable) copy of the auditor's report | Defective Accounts and Reports) Regulations 2008 | delivered at the same time under regulation 14(2) the name and registered number is only required in one of them |
|--|--|--|

(4) A name or registered number which is required by paragraph (2) or paragraph (3) of this rule must be inserted in black typescript or handwritten in black ink in a prominent position in the document.

### Authentication

23. (1) Subject to paragraph (2), a document specified in column 1 of the table delivered to the registrar must be authenticated by a person or persons specified in column 3 in accordance with the means specified and at the location specified in column 4 of the table. Column 2 references the provision of the 2006 Act under which the document is delivered to the registrar.

(2) The authentication must be applied to the document in a prominent position unless otherwise specified in the last column of the table.

(3) Where a printed name is given as a means of authentication it must in black typescript or handwritten in black ink.

| Description of document   | Section of the 2006 Act or regulation under which the document is delivered to the registrar    | Person or persons who must sign | Location and means of authentication  |
|---|---|---------------------------------|---|
| Accounts and related documents  |   |                                 |   |
| Copy of balance sheet   | Section 94(2)(c)  | Director                        | By signature at end of balance sheet  |
| Copy of balance sheet, abbreviated accounts, or annual accounts   | Section 441(1)  | Director                        | By signature at end of balance sheet  |
| Copy of annual accounts   | Section 469(2)  | Director                        | By signature at end of balance sheet  |
| Interim accounts  | Section 838(6)  | Director                        | By signature at end of balance sheet  |
| Initial accounts  | Section 839(7)  | Director                        | By signature at end of balance sheet  |
| Revised accounts or revised report (as those terms are defined in the Companies (Revision of Defective Accounts and | Regulation 14(2) of the Companies (Revision of Defective Accounts and Reports) Regulations 2008 | Director                        | By signature in a prominent position on the document but where more than one of those documents is delivered at the same time under |

<sup>13</sup> S.I 2008/373.

|   |   |  |   |
|---|---|--|---|
| Reports)<br>Regulations 2008<br>and (where<br>applicable) copy<br>of the auditor's<br>report  |   |  | regulation 14(2)<br>signature is only<br>required on one of<br>them |
| Documents relating to disclosure of addresses   |   |  |   |
| Notification that a<br>person wishes a<br>decision under<br>section 243 to<br>cease to apply  | Regulation<br>15(1)(a) of the<br>Address<br>Regulations | The section 243<br>beneficiary (as<br>defined in the<br>Address<br>Regulations) or<br>their personal<br>representative   | By printed name in<br>a prominent<br>position on the<br>document    |
| Representations<br>from a company<br>as to why a<br>revocation<br>decision should<br>not be made<br>(where the<br>application under<br>section 243 or<br>section 1088 was<br>made by a<br>company)    | Regulation 16(4)<br>of the Address<br>Regulations       | Director, secretary,<br>or person<br>authorised  | By printed name in<br>a prominent<br>position on the<br>document    |
| Representations<br>from a person<br>who is not a<br>company as to<br>why a revocation<br>decision should<br>not be made in<br>relation to a<br>section 243<br>decision or<br>section 1088<br>decision | Regulation 16(4)<br>of the Address<br>Regulations       | The section 243<br>beneficiary (as<br>defined for the<br>purposes of<br>regulation 16 of the<br>Address<br>Regulations) or the<br>section 1088<br>beneficiary (as<br>defined in the<br>Address<br>Regulations) | By printed name<br>in a prominent<br>position on the<br>document    |
| Notification that a<br>person wishes a<br>determination<br>relating to section<br>790ZF to cease to<br>have effect  | Regulation 31(a)<br>of the Company<br>PSC Regulations   | The person to<br>whom the<br>determination<br>relates or their<br>personal<br>representative   | By printed name<br>in a prominent<br>position on the<br>document    |
| Representations<br>from a company<br>as to why a<br>revocation<br>decision should<br>not be made in<br>relation to a<br>determination   | Regulation 32(3)<br>of the Company<br>PSC Regulations   | Director, secretary,<br>or person<br>authorised  | By printed name<br>in a prominent<br>position on the<br>document    |

|  |  |   |   |
|--|--|---|---|
| relating to section 790ZF (where the application was made by a company)  |  |   |   |
| Representations from a person who is not a company as to why a revocation decision should not be made in relation to a determination relating to section 790ZF                           | Regulations 32(3) of the Company PSC Regulations   | The person making the representations   | By printed name in a prominent position on the document |
| Statements by directors  |  |   |   |
| Copy of solvency statement   | Section 644(1)                                     | Director, secretary, person authorised or CIC manager                         | By signature in a prominent position on the document    |
| Statement by the directors about the solvency statement  | Section 644(5)                                     | All directors or a majority of the directors                                  | By signature in a prominent position on the document    |
| Copy of directors' statement   | Section 719(4)                                     | Director, secretary, person authorised or CIC manager                         | By signature in a prominent position on the document    |
| Documents relating to disclosure of information relating to some people with significant control   |  |   |   |
| Notification that a person wishes a determination relating to section 790ZG to cease to have effect  | Regulation 43(1)(a) of the Company PSC Regulations | The person to whom the determination relates or their personal representative | By printed name in a prominent position on the document |
| Representations from a company as to why a revocation decision should not be made in relation to a determination relating to section 790ZG (where the application was made by a company) | Regulation 44(3) of the Company PSC Regulations    | Director, secretary, or person authorised                                     | By printed name in a prominent position on the document |
| Representations from a person who is not a company as to   | Regulation 44(3) of the Company PSC Regulations    | The person making the representations   | By printed name in a prominent position on the document |

|   |                  |          |  |
|---|------------------|----------|--|
| why a revocation decision should not be made in relation to a determination relating to section 790ZG |                  |          |  |
| <b>Draft terms</b>  |                  |          |  |
| Details of website where draft terms of merger published  | Section 906A (4) | Director | By signature in a prominent position on the document |
| Details of website where draft terms of division published  | Section 921A (4) | Director | By signature in a prominent position on the document |

(2) Where a document specified in the table in paragraph (1) is delivered to the registrar under section 1025(5)(a) of the 2006 Act (requirements for administrative restoration) a former director or former member is required to sign the document instead of the person or persons specified in the table.

(3) Documents specified in column 1 of the table must be authenticated in accordance with column 2-

| Description of Document  | Authentication               |
|--|------------------------------|
| Memorandum of association delivered to the registrar under section 9(1) of the Act               | by signature or printed name |
| Form of assent (delivered to the registrar under section 103(2)(a) or 110(2)(a) of the 2006 Act. | By signature                 |

#### **Chapter 4**

##### **Documents delivered under the Companies (Audit, Investigations and Community Enterprise) Act 2004**

#### **White paper and black ink**

25. (1) This rule applies to a document delivered to the registrar under the Companies (Audit, Investigations and Community Enterprise) Act 2004.

(2) A document to which this rule applies must be on white paper and the text of that document must be in black typescript or handwritten in black ink.

#### **Chapter 5**

##### **Documents delivered under the Companies (Cross-Border Mergers) Regulations 2007**

#### **Application of Chapter**

26. (1) This Chapter applies to a document delivered to the registrar under the Companies (Cross–Border Mergers) Regulations 2007<sup>14</sup>.

(2) This Chapter does not apply to translations. Part 10 imposes requirements on translations.

### **Schedule 3 forms**

27. (1) Subject to rule 27(2)(b), the Schedule 3 forms are to be used to deliver to the registrar the particulars required by regulations 12(1) and 12A(4) of the Companies (Cross–Border Mergers) Regulations 2007 being the particulars of the date, time and place of every meeting summoned under regulation 11 and the particulars referred to in regulations 12(1)(c) and 12A(4).

(2) Two of the Schedule 3 forms are continuation forms for one of the other Schedule 3 forms. The top of the continuation form refers to “continuation page.” When in the circumstances indicated on a Schedule 3 form, the information to be inserted in that Schedule 3 form is to be continued, the information to be continued is to be inserted either-

- (a) on the appropriate continuation form (and the type of information to be continued determines which continuation form is to be used); or
- (b) on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

(3) A document for which a Schedule 3 form must be used must be reproduced as set out in Schedule 3 as to its text, layout and format and must be in black ink.

(4) A Schedule 3 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

(5) Text inserted in a Schedule 3 form must be in black typescript or handwritten in black ink.

(6) A Schedule 3 form must be signed by a director of the merging company. The signature must be applied to the Schedule 3 form where indicated on the scheduled form.

(7) The particulars referred to in regulation 12(1)(c) of the Companies (Cross–Border Mergers) Regulations 2007 (being particulars for which this rule requires a Schedule 3 form to be used) include the name and registered number of the company.

### **White paper and black ink for a non-scheduled form document**

28. A non-scheduled form document to which this Chapter applies must be on white paper and the text of that document must be in black typescript or handwritten in black ink.

### **Name and registered number on some non-scheduled form documents**

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<sup>14</sup> S.I. 2007/2974 as amended by S.I. 2011/1606



29. (1) A document which is specified in the following table must contain the name and registered number of the company to which the document relates.

| Description of document(s)   | Regulation of the Companies (Cross – Border Mergers) Regulations 2007 under which the document is delivered to the registrar |
|--|--|
| Copy of the order made under regulation 16 (court approval of merger)  | Regulation 19(1)   |
| Copy of the company's articles or resolution or agreement (to accompany the court order delivered under regulation 19) | Regulation 20(1)   |

(2) A name and registered number which is required by this rule must be inserted in black typescript or handwritten in black ink in a prominent position in the document.

## **Chapter 6**

### **Documents delivered under the Housing Act 1996**

#### **Application of Chapter**

30. This Chapter applies to a copy of a consent delivered to the registrar under paragraph 11(4), 13(2), 13(3), 13(4) or 13(6)(b) of Schedule 1 to the Housing Act 1996.

#### **White paper and black ink**

31. A document to which this Chapter applies must be on white paper and the text of the document must be in black typescript or handwritten in black ink.

#### **Name and registered number**

32. (1) A document to which this Chapter applies must contain the name and registered number of the company to which the document relates.

(2) A name or registered number which is required by this rule must be inserted in black typescript or handwritten in black ink in a prominent position in the document.

## **Chapter 7**

### **Documents delivered under the Insolvency Act Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989**

#### **Application of Chapter**

32A. This Chapter applies to specified documents delivered to the registrar under the Insolvency Act 1986 Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989.

### **Schedule 9 forms for documents delivered under the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989**

- 32B. (1) This rule applies to specified documents delivered to the registrar under the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989
- (2) The Schedule 9 forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms. For some legislative provisions there is more than one Schedule 9 form. The top of a Schedule 9 form refers to the circumstances in which it is to be used.
- (3) A document for which a Schedule 9 form must be used must be reproduced as set out in Schedule 9 as to its text, layout and format and must be in black ink.
- (4) A Schedule 9 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

- (5) Text inserted in a Schedule 9 form must be in black typescript or handwritten in black ink.

### **Schedule 9 forms for documents delivered under the Investment Bank Special Administration Regulations 2011**

- 32C. (1) This rule applies to specified documents delivered to the registrar under the Investment Bank Special Administration Regulations 2011.
- (2) In this rule-
- (a) any reference to a numbered column is a reference to a column in the table set out in paragraph (3);
  - (b) any reference to a Schedule 9 form is to the specified form as amended pursuant to paragraph (3).
- (3) The Schedule 9 forms specified in column 2 are to be used for documents delivered to the registrar under the legislative provisions specified in column 1 subject to the specified form being amended as required in column 3.
- In column 1 of the following table-
- (a) any reference to a numbered rule is to the rule so numbered in the Investment Bank Special Administration (England and Wales) Rules 2011<sup>15</sup>;
  - (b) any reference to a numbered regulation is to the regulation so numbered in the Investment Bank Special Administration Regulations 2011<sup>16</sup>.

| (1)<br>Rule or regulation<br>under which the<br>document is delivered<br>to the registrar | (2)<br>Form number and<br>name                           | (3)<br>Amendment  |
|---|--|---|
| Rule 51(4)  | 2.12B(CH)<br>Notice of<br>administrator's<br>appointment | <ul style="list-style-type: none"> <li>• Replace 'Rule 2.27' with 'Rule 51(4)'.</li> <li>• Replace 'The Insolvency Act 1986' with 'The Investment Bank Special Administration Regulations 2011'.</li> </ul> |

<sup>15</sup> S.I. 2011/1301

<sup>16</sup> S.I. 2011/245

|                |   |   |
|----------------|---|---|
| Rule 54(7)     | 2.16B<br>Notice of<br>statement of<br>affairs                     | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.29’ with ‘Rule 54(7)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>   |
| Rule 59(1)     | 2.17B<br>Statement of<br>administrator’s<br>proposals             | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.33’ with ‘Rule 59(1)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>   |
| Rule 61(3)     | 2.18B(CH)<br>Notice of<br>extension of time<br>period             | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.33’ with ‘Rule 61(3)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> <li>• Delete ‘Paragraph 49(5)(b) of Schedule B1 of the Insolvency Act 1986 (“the Schedule”) has been extended to (c)’</li> <li>• Delete ‘Paragraph 50(1)(b) of the Schedule has been extended to (c)’</li> <li>• Replace ‘Paragraph 51(2)(b) of the Schedule’ with ‘Paragraph 51(2)(b) of the Schedule as applied by regulation 15 of The Investment Bank Special Administration Regulations 2011’</li> </ul> |
| Rule 65(1)     | 2.22B(CH)<br>Statement of<br>administrator’s<br>revised proposals | <ul style="list-style-type: none"> <li>• Replace ‘2.45’ with ‘Rule 65(1)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>  |
| Rule 67(a)     | 2.23B(CH)<br>Notice of result of<br>meeting of<br>creditors       | <ul style="list-style-type: none"> <li>• Replace ‘In accordance with Schedule B1, paragraph 53(2) of the Insolvency Act 1986’ with ‘Rule 67(a)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>  |
| Rule 123(1)(b) | 2.24B(CH)<br>Administrator’s<br>progress report                   | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.47’ with ‘Rule 123(1)(b)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>   |
| Rule 105       | 2.26B(CH)<br>[Amended]<br>Certificate of                          | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.51’ with ‘Rule 105’.</li> </ul>  |

|               |   |  |
|---------------|---|--|
|               | constitution of creditors committee   | <ul style="list-style-type: none"> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>  |
| Rule 131(5)   | 2.28B<br>Notice of order to deal with charged property                      | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.66’ with ‘Rule 131(5)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>   |
| Rule 223(1)   | 2.33B<br>Notice of court order ending administration                        | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.116’ with ‘Rule 223(1)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>  |
| Rule 224(1)   | 2.35B<br>Notice of move from administration to dissolution                  | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.118’ with ‘Rule 224(1)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> <li>• Replace ‘paragraph 84(1) of Schedule B1 to the Insolvency Act 1986’ with ‘paragraph 84(1) of Schedule B1 to the Insolvency Act 1986 as applied by regulation 15 of The Investment Bank Special Administration Regulations 2011’</li> </ul>   |
| Regulation 15 | 2.36B<br>Notice to registrar of companies in respect of date of dissolution | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.118’ with ‘Paragraph 84(8) of Schedule B1 of the Insolvency Act 1986, as applied by regulation 15 of The Investment Bank Special Administration Regulations 2011’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> <li>• Replace ‘paragraph 84(7) of Schedule B1 to the Insolvency Act 1986’ with ‘paragraph 84(7) of Schedule B1 to the Insolvency Act 1986 as applied by regulation 15 of The Investment Bank Special Administration Regulations 2011’</li> </ul> |
| Rule 208(5)   | 2.38B(CH)<br>Notice of resignation by administrator                         | <ul style="list-style-type: none"> <li>• Replace ‘Rule 2.121’ with ‘Rule 208(5)’.</li> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> </ul>  |

|                               |  |  |
|-------------------------------|--|--|
| Rule 209(6), 210(a) or 211(2) | 2.39B<br>Notice of vacation of office by administrator   | <ul style="list-style-type: none"> <li>• Replace 'Rule 2.122' with 'Rule 209(6), Rule 210(a), Rule 211(2)'.</li> <li>• Replace 'The Insolvency Act 1986' with 'The Investment Bank Special Administration Regulations 2011'.</li> </ul>  |
| Rule 218(1)                   | 2.40B<br>Notice of appointment of replacement / additional administrator                                       | <ul style="list-style-type: none"> <li>• Replace 'Rule 2.128' with 'Rule 218(1)'.</li> <li>• Replace 'The Insolvency Act 1986' with 'The Investment Bank Special Administration Regulations 2011'.</li> </ul>  |
| Rule 32(7) or 50(3)(d)        | 4.15A<br>Notice of appointment of provisional liquidator in winding up by the court                            | <ul style="list-style-type: none"> <li>• Replace 'Rule 4.26' with 'Rule 32(7), Rule 50(3)(d)'.</li> <li>• Replace 'The Insolvency Act 1986' with 'The Investment Bank Special Administration Regulations 2011'.</li> <li>• Replace 'Notice of appointment of provisional liquidator in winding up by the court' with 'Notice of appointment of provisional administrator by the court.'</li> <li>• Replace all references to 'provisional liquidator' with 'provisional administrator.'</li> </ul> |
| Rule 36(5) or 50(7)           | F4.39<br>Notice of termination of appointment of provisional liquidator  | <ul style="list-style-type: none"> <li>• Replace 'Rule 4.31' with 'Rule 36(5), Rule 50(7)'.</li> <li>• Replace 'The Insolvency Act 1986' with 'The Investment Bank Special Administration Regulations 2011'.</li> <li>• Replace all references to 'provisional liquidator' with 'provisional administrator.'</li> <li>• Delete 'winding up petition date.'</li> </ul>  |
| Rule 188(3)(a)                | F10.2<br>Notice to registrar of companies of notice of disclaimer under section 178 of the Insolvency Act 1986 | <ul style="list-style-type: none"> <li>• Replace 'Rule 4.187' with 'Rule 188(3)(a)'.</li> <li>• Replace 'The Insolvency Act 1986' with 'The Investment Bank Special Administration Regulations 2011'.</li> <li>• Replace 'Section 178 of the Insolvency Act 1986' with 'Section 178 of the Insolvency Act 1986 as applied by regulation 15 of The Investment Bank Special Administration Regulations 2011'.</li> <li>• Replace all references to 'liquidator' with 'administrator.'</li> </ul>     |
| Rule 249(5)                   | 12.1   | <ul style="list-style-type: none"> <li>• Replace 'Rule 12A.57' with 'Rule 249(5)'.</li> </ul>  |

|  |  |  |
|--|--|--|
|  | <p>Notice to registrar of companies in respect of order under section 176A</p> | <ul style="list-style-type: none"> <li>• Replace ‘The Insolvency Act 1986’ with ‘The Investment Bank Special Administration Regulations 2011’.</li> <li>• Replace references to ‘Section 176A’ with ‘Section 176A as applied by regulation 15 of The Investment Bank Special Administration Regulations 2011’.</li> <li>• Replaces references to ‘Section 176A of the Insolvency Act 1986’ with ‘Section 176A of the Insolvency Act 1986 as applied by regulation 15 of The Investment Bank Special Administration Regulations 2011’.</li> </ul> |
|--|--|--|

(4) Subject to the amendments specified in paragraph (3), a document for which a Schedule 9 form must be used must be reproduced as set out in Schedule 9 as to its text, layout and format and must be in black ink.

(5) A Schedule 9 form must be on paper that complies with the following requirements

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (shorter edge across the top) |

(6) Text inserted in a Schedule 9 form must be in black typescript or handwritten in black ink.

**White paper and black ink for a non-scheduled form document delivered under the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989**

32D. (1) This rule applies to a non-scheduled form document delivered to the registrar under the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989 other than an excluded insolvency document.

(2) A non-scheduled form document to which this rule applies must be on white paper and the text of that document must be in black typescript or handwritten in black ink.

**PART 4**  
**FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO A**  
**SECTION 1040 COMPANY**

**Chapter 1**  
**Application**

**Application and interpretation of Part**

33. (1) This Part imposes requirements as to the form and authentication of documents.  
(2) This Part applies to specified documents delivered to the registrar which relate to a section 1040 company and this Part shall be construed accordingly.  
(3) Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.  
(4) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

**Definition**

34. In this Part-  
“application for registration” means an application for registration of a section 1040 company delivered to the registrar under section 1040 of the 2006 Act.

**Chapter 2**  
**Documents in Schedule 4 form relating to an application for registration of a**  
**section 1040 company**

**Application of Chapter**

35. This Chapter imposes requirements as to the use of a Schedule 4 form for specified documents relating to an application for registration.

**Schedule 4 forms**

36. (1) Subject to rule 37(2)(b), the forms in Part 1 of Schedule 4 are to be used for -  
(a) an application for registration – delivered to the registrar under Part 2 of the Companies (Companies Authorised to Register) Regulations 2009 other than: (i) documents referred to in regulations 4(4)(b), 7(3) and 9(4) of those Regulations, and (ii) a statement delivered to the registrar under section 56(3)(a) or section 60(2) of the 2006 Act.  
b) notifying the registrar of a change of registered office address pursuant to section 86 of the 2006 Act as applied by regulation 19 of the Companies (Companies Authorised to Register) Regulations 2009.  
(c) submitting a confirmation statement pursuant to section 853A of the 2006 Act as applied by regulation 19 of the Companies (Companies Authorised to Register) Regulations 2009.  
(2) The forms in Part 2 of Schedule 4 are to be used for an application delivered to the registrar under regulation 7 of the Address Regulations as applied to section 1040 companies by regulation 7(3) of the Companies (Companies Authorised to Register) Regulations 2009.

**Continuation forms**

37. (1) Some of the Schedule 4 forms are continuation forms for other Schedule 4 forms. The top of a continuation form refers to “continuation page.”

(2) When in the circumstances indicated on a Schedule 4 form, the information to be inserted in that Schedule 4 form is to be continued, the information to be continued is to be inserted either-

- (a) on the appropriate continuation form (and the type of information to be continued determines which continuation form is to be used); or
- (b) subject to rule 37(3), on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

(3) Rule 37(2)(b) does not apply where the information to be continued includes the usual residential address of a director. The appropriate continuation form must be used for that information.

### **Reproduction of a Schedule 4 form**

38. (1) Subject to rule 40, a document for which a Schedule 4 form must be used must be reproduced as set out in Schedule 4 as to its text, layout and format and must be in black ink.

(2) Subject to rule 40, a Schedule 4 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

### **Barcode on some Schedule 4 forms which contain a usual residential address or date of birth**

39. (1) This rule applies to a form in Part 1 of Schedule 4 which is required by these rules to be used to deliver a document which is required by Part 2 of the Companies (Companies Authorised to Register) Regulations 2009 to contain the usual residential address or date of birth of a director.

(2) A Schedule 4 form to which this rule applies must contain the barcode indicated on that form in Schedule 4.

(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 4 form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 4 form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

### **Orange coloured forms to be obtained from the registrar**

40. A document for which a form is provided in Part 2 of Schedule 4 must be delivered to the registrar on a form obtained from the registrar because the form must be on orange coloured paper.



### **Use of black ink for text inserted in a Schedule 4 form**

41. Text inserted in a Schedule 4 form must be in black typescript or handwritten in black ink.

### **Authentication**

42. (1) A Schedule 4 form must be authenticated

(a) by the person or persons indicated on the form

(b) where indicated on the form

(2) Subject to express legislative provision to the contrary

(a) authentication may be either by printed name or signature

(b) where there is reference to a signature on a Schedule 4 form, the form may also be authenticated by printed name.

(c) where there is reference to authentication by printed name on a Schedule 4 form, the form may be authenticated by signature.

## **Chapter 3**

### **Non-scheduled form documents relating to an application for registration of a section 1040 company**

#### **Application of Chapter**

43. This Chapter applies to a non-scheduled form document relating to an application for registration delivered to the registrar under

(a) Part 2 of the Companies (Companies Authorised to Register) Regulations 2009 other than regulation 7(3) of those Regulations, or

(b) section 56(3)(b) of the 2006 Act or regulation 8(2) of the Company and Business Names (Miscellaneous Provisions) Regulations 2009.

### **White paper and black ink**

44. A document to which this Chapter applies must be on white paper and the text of the document must be in black typescript or handwritten in black ink.

## **Chapter 4**

### **Documents (other than documents relating to an application for registration of a section 1040 company) delivered under the Companies (Companies Authorised to Register) Regulations 2009 or the Companies Act 2006**

#### **Application of Chapter**

45. (1) Except as provided in paragraphs (2) and (3), this Chapter applies to documents delivered to the registrar under

(a) Part 3 of the Companies (Companies Authorised to Register) Regulations 2009, or

(b) the 2006 Act.

(2) This Chapter does not apply to documents relating to an application for registration of a section 1040 company. Chapters 2 and 3 of this Part impose requirements on such documents.

(3) This Chapter does not apply to certified copies, verified copies or translations. Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.

### **Requirements as to form and authentication**

46. (1) A document to which this Chapter applies must comply with the applicable provisions in Part 3 of these rules. In determining which of those provisions is

applicable to a particular document to which this Chapter applies, any reference in a rule in Part 3, in a Schedule 2 form or a Schedule 3 form to a legislative provision shall, unless the provision is directly applicable to a section 1040 company, be read as a reference to that legislative provision as applied to section 1040 companies by the Companies (Companies Authorised to Register) Regulations 2009.

(2) In the application of any provision of Part 3 or a Schedule 2 form or Schedule 3 form to a section 1040 company by virtue of this rule, any reference to a company shall be read as a reference to a section 1040 company.

## **Chapter 5**

### **Documents delivered under the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989**

#### **Application of Chapter**

46A. (1) Except as provided in paragraph (2), this Chapter applies to documents delivered to the registrar under the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989.

(2) This Chapter does not apply to an excluded insolvency document.

#### **Requirements as to form and authentication**

46B. (1) A document to which this Chapter applies must comply with the applicable provisions in Chapter 7 of Part 3 of these rules.

(2) In the application of any provision of Chapter 7 of Part 3 or a Schedule 9 form to a section 1040 company by virtue of this rule, any reference to a company shall read as a reference to a section 1040 company.

## **PART 5**

### **FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO AN UNREGISTERED COMPANY**

#### **Chapter 1 Application**

##### **Application and interpretation of Part**

47. (1) This Part imposes requirements as to the form and authentication of documents.

(2) This Part applies to specified documents delivered to the registrar which relate to an unregistered company and this Part shall be construed accordingly.

(3) Part 10 imposes requirements on translations.

(4) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

##### **Definition**

48. In this Part-

“annual return” means an annual return relating to an unregistered company delivered to the registrar under section 854 of the 2006 Act as applied to unregistered companies by regulation 3 of the Unregistered Companies Regulations 2009<sup>17</sup>.

#### **Chapter 2 Annual Return**

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<sup>17</sup> S.I. 2009/2436.

## **Application of Chapter**

49. (1) This Chapter imposes requirements as to the use of a Schedule 5 form for an annual return.

## **Schedule 5 forms**

50. Subject to rule 51(2)(b), the Schedule 5 forms are to be used to deliver

- (a) an annual return to the registrar.
- (b) notification of a change of registered office address to the registrar pursuant to section 86 of the 2006 Act as applied by the regulation 3 and Schedule 1 of the Unregistered Companies Regulations 2009
- (c) submitting a confirmation statement pursuant to section 853A of the 2006 Act as applied by regulation 3 and Schedule 1 of the Unregistered Companies Regulations 2009.

## **Continuation forms**

51. (1) Some of the Schedule 5 forms are continuation forms for one of the other Schedule 5 forms. The top of a continuation form refers to “continuation page.”

(2) When in the circumstances indicated on a Schedule 5 form, the information to be inserted in that Schedule 5 form is to be continued, the information to be continued is to be inserted either-

- (a) on the appropriate continuation form (and the type of information to be continued determines which continuation form is to be used); or
- (b) on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

## **Reproduction of a Schedule 5 form**

52. (1) A Schedule 5 form must be reproduced as set out in Schedule 5 as to its text, layout and format and must be in black ink.

(2) A Schedule 5 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

## **Use of black ink for text inserted in a Schedule 5 form**

53 Text inserted in a Schedule 5 form must be in black typescript or handwritten in black ink.

## **Name**

54. (1) A Schedule 5 form must contain the name of the unregistered company to which the Schedule 5 form relates.

(2) The name must be inserted in black typescript or handwritten in black ink in the name box on the Schedule 5 form.

## **Authentication**

55. (1) A Schedule 5 form must be authenticated

- (a) by the person or persons indicated on the form
- (b) where indicated on the form

- (2) Subject to express legislative provision to the contrary
- (a) authentication may be either by printed name or signature
  - (b) where there is reference to a signature on a Schedule 5 form, the form may also be authenticated by printed name.
  - (c) where there is reference to authentication by printed name on a Schedule 5 form, the form may be authenticated by signature.

### **Chapter 3**

## **Documents (other than Schedule 5 documents) delivered under the Unregistered Companies Regulations 2009**

### **Application of Chapter**

56. (1) Except as provided in paragraph (2), this Chapter applies to documents delivered to the registrar under the Unregistered Companies Regulations 2009.
- (2) This Chapter does not apply to an annual return. Chapter 2 imposes requirements on an annual return.

### **Definition**

57. In this Chapter-

“instrument constituting or regulating the company” means any enactment, royal charter, letters patent, deed of settlement, contract of partnership, or other instrument constituting or regulating the unregistered company.

### **Requirements as to form and authentication**

58. (1) A document to which this Chapter applies must comply with the applicable provisions in Chapters 2 or 3 of Part 3 of these rules. In determining which of those provisions is applicable to a particular document to which this Chapter applies, any reference in a rule in Chapters 2 or 3 of Part 3 or in a Schedule 2 form to a legislative provision shall be read as a reference to that legislative provision as applied to unregistered companies by the Unregistered Companies Regulations 2009.
- (2) In the application of any provision of Chapters 2 or 3 of Part 3 or a Schedule 2 form to an unregistered company by virtue of this rule-
- (a) any reference to a company shall be read as a reference to an unregistered company,
  - (b) any reference to registered number shall be deleted,
  - (c) the reference in rule 22(2) to amended articles shall be read as a reference to any instrument constituting or regulating the company,
  - (d) the reference in rule 23(1) and in a Schedule 2 form to CIC manager shall be deleted,
  - (e) the reference in rule 23(1) and in a Schedule 2 form to receiver and manager (appointed under section 18 of the Charities Act 1993) shall be deleted,
  - (f) the reference in rule 23(1) and in a Schedule 2 form to judicial factor shall be deleted,
  - (g) any reference in a Schedule 2 form to a company’s registered office shall be read as a reference to the unregistered company’s principal office in the United Kingdom,
  - (h) any reference in a Schedule 2 form to a public company shall be read as a reference to an unregistered company which has power under the instrument constituting or regulating it to offer its shares or debentures to the public, and

- (i) any reference in a Schedule 2 form to a private company shall be read as a reference to an unregistered company which does not have power to offer its shares or debentures to the public.

## **Chapter 4**

### **Documents delivered under the Companies (Cross-Border Mergers) Regulations 2007**

#### **Application of Chapter**

59. (1) This Chapter applies to a document delivered to the registrar under the Companies (Cross-Border Mergers) Regulations 2007.
- (2) This Chapter does not apply to translations. Part 10 imposes requirements on translations.

#### **Schedule 6 forms**

60. (1) Subject to rule 60(2)(b), the Schedule 6 forms are to be used to deliver to the registrar the particulars required by regulations 12(1) and 12A(4) of the Companies (Cross-Border Mergers) Regulations 2007 being the particulars of the date, time and place of every meeting summoned under regulation 11 and the particulars referred to in regulations 12(1)(c) and 12A(4).
- (2) Two of the Schedule 6 forms are continuation forms for one of the other Schedule 6 forms. The top of the continuation form refers to “continuation page.” When in the circumstances indicated on a Schedule 6 form, the information to be inserted in that Schedule 6 form is to be continued, the information to be continued is to be inserted either-
- (a) on the appropriate continuation form (and the type of information to be continued determines which continuation form is to be used); or
  - (b) on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

- (3) A document for which a Schedule 6 form must be used must be reproduced as set out in Schedule 6 as to its text, layout and format and must be in black ink.
- (4) A Schedule 6 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

- (5) Text inserted in a Schedule 6 form must be in black typescript or handwritten in black ink.
- (6) A Schedule 6 form must be signed by a director of the merging unregistered company. The signature must be applied to the Schedule 6 form where indicated on the scheduled form.

**White paper and black ink for a non-scheduled form document**

61. A non-scheduled form document to which this Chapter applies must be on white paper and the text of that document must be in black typescript or handwritten in black ink.

**Name on some non-scheduled form documents**

62. (1) A document which is specified in the following table must contain the name of the unregistered company to which the document relates.

|  |  |
|--|--|
| Description of document(s)   | Regulation of the Companies (Cross – Border Mergers) Regulations 2007 under which the document is delivered to the registrar |
| Copy of the order made under regulation 16 (court approval of merger)  | Regulation 19(1)   |
| Copy of the company's articles or resolution or agreement (to accompany the court order delivered under regulation 19) | Regulation 20(1)   |

(2) A name which is required by this rule must be inserted in black typescript or handwritten in black ink in a prominent position in the document.

**Chapter 5****Documents delivered under the Insolvency Act 1986****Application of Chapter**

62A. (1) Except as provided in paragraph (2), this Chapter applies to documents delivered to the registrar under the Insolvency Act 1986.

(2) This Chapter does not apply to an excluded insolvency document.

**Requirements as to form and authentication**

62B. (1) A document to which this Chapter applies must comply with the applicable provisions in Chapter 7 of Part 3 of these rules. In determining which of those provisions is applicable to a particular document to which this Chapter applies, any reference in a rule in Part 3 or in a Schedule 9 form to a legislative provision shall be read as a reference to that legislative provision as applied to unregistered companies by section 221 of the Insolvency Act 1986.

(2) In the application of any provision of Chapter 7 of Part 3 or a Schedule 9 form to an unregistered company by virtue of this rule, any reference to a company shall be read as a reference to an unregistered company.

## **PART 6**

### **FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO AN OVERSEAS COMPANY**

#### **Chapter 1**

##### **Application**

##### **Application and interpretation of Part**

63. (1) This Part imposes requirements as to the form and authentication of documents.
- (2) This Part applies to specified documents delivered to the registrar which relate to an overseas company and this Part shall be construed accordingly.
- (3) Parts 9 and 10 impose requirements on certified copies and translations, respectively.
- (4) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

##### **Definition**

64. In this Part-
- “the Overseas Companies Regulations” means the Overseas Companies Regulations 2009<sup>18</sup>.

#### **Chapter 2**

##### **Documents in Schedule 7 form delivered under the Companies Act 2006**

##### **Application of Chapter**

65. This Chapter imposes requirements as to the use of a Schedule 7 form for specified documents delivered to the registrar under the 2006 Act.

##### **Schedule 7 forms**

66. (1) Subject to rule 67(2)(b), the Schedule 7 forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms.
- (2) For some legislative provisions there is more than one Schedule 7 form. The top of a Schedule 7 form refers to the circumstances in which it is to be used.

##### **Continuation forms**

67. (1) Some of the Schedule 7 forms are continuation forms for other Schedule 7 forms. The top of a continuation form refers to “continuation page.”
- (2) When in the circumstances indicated on a Schedule 7 form, the information to be inserted in that Schedule 7 form is to be continued, the information to be continued is to be inserted either-
- (a) on the appropriate continuation form (and the type of information to be continued determines which continuation form is to be used); or
  - (b) subject to rule 67(3), on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

---

<sup>18</sup> S.I. 2009/1801.

(3) Rule 67(2)(b) does not apply where the information to be continued includes the usual residential address of a director or permanent representative. The appropriate continuation form must be used for that information.

### **Reproduction of a Schedule 7 form**

68. (1) Subject to rule 70, a document for which a Schedule 7 form must be used must be reproduced as set out in Schedule 7 as to its text, layout and format and must be in black ink.

(2) Subject to rule 70, a Schedule 7 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

### **Barcode on some Schedule 7 forms which contain a usual residential address or date of birth**

69. (1) This rule applies to a form in Part 1 of Schedule 7 which is required by these rules to be used to deliver a document which is required by the 2006 Act to contain the usual residential address or date of birth of a director or permanent representative.

(2) A Schedule 7 form to which this rule applies must contain the barcode indicated on that form in Schedule 7.

(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 7 form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 5 form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

### **Orange coloured forms to be obtained from the registrar**

70. A document for which a form is provided in Part 2 of Schedule 7 must be delivered to the registrar on a form obtained from the registrar because the form must be on orange coloured paper.

### **Use of black ink for text inserted in a Schedule 7 form**

71. Text inserted in a Schedule 7 form must be in black typescript or handwritten in black ink.

### **Name and registered number**

72. (1) A document specified in the following table (being one for which these rules require a Schedule 7 form to be used) is required by legislation to contain the company's name, name of UK establishment or registered number of the overseas company to which the document relates.

| Description of document | Section of the 2006 Act or regulation under which the | What is required by legislation? |
|-------------------------|---|----------------------------------|
|-------------------------|---|----------------------------------|



|  |   |   |
|--|---|---|
|  | document is delivered to the registrar  |   |
| <b>Opening of a UK establishment</b>   |   |   |
| Return of opening of a UK establishment  | Regulation 4(1) (a) of the Overseas Companies Regulations   | Company's name and name of the establishment if different from the name of the company  |
| <b>Returns of alterations</b>  |   |   |
| Return of alteration in particulars  | Regulation 13(1) and (5) of the Overseas Companies Regulations                                      | Company's name, company's registered number, the name (if different from the company's name) and registered number of each UK establishment to which the return relates |
| Return of alteration in overseas company's constitution                            | Regulation 14(1) and (5) of the Overseas Companies Regulations                                      | Company's name, company's registered number, the name (if different from the company's name) and registered number of each UK establishment to which the return relates |
| Return of alteration as regards filing of certified copy of constitution           | Regulation 15(2) and (4) of the Overseas Companies Regulations                                      | Company's name, company's registered number, the name (if different from the company's name) and registered number of each UK establishment to which the return relates |
| Return of alteration of manner of compliance with accounting requirements          | Regulation 16(2) and (4) of the Overseas Companies Regulations                                      | Company's name, company's registered number, the name (if different from the company's name) and registered number of each UK establishment to which the return relates |
| <b>Document relating to disclosure of addresses</b>                                |   |   |
| Application for higher protection  | Regulation 25(1) and paragraph 3 of Schedule 3 of the Overseas Companies Regulations                | Name and registered number  |
| <b>Rectification of register</b>   |   |   |
| Application for rectification of the register (application by an overseas company) | Section 1095 as applied to overseas companies by section 1059A (5) of the 2006 Act and regulation 4 | Name  |

|  |                                 |  |
|--|---------------------------------|--|
|  | of the Registrar<br>Regulations |  |
|--|---------------------------------|--|

(2) The following documents (being ones for which these rules require a Schedule 7 form to be used) are required by legislation to contain the company's name and the registrar requires those documents to contain the registered number of the overseas company to which the document relates.

| Description of document   | Regulation of the Overseas Companies Regulations under which the document is delivered to the registrar |
|---|---|
| <b>Returns in case of insolvency proceedings</b>                              |   |
| Return in case of winding up  | Regulation 69(1)  |
| Return in case of insolvency proceedings etc (other than winding up)          | Regulation 71(1)  |
| Return in case of cessation of insolvency proceedings (other than winding up) | Regulation 71(3)  |

(3) All other Schedule 7 forms must contain the name and registered number of the overseas company to which the Schedule 7 form relates.

(4) The name and registered number must be inserted in black typescript or handwritten in black ink in the name and number boxes on the Schedule 7 form.

### **Authentication**

73. (1) A Schedule 7 form must be authenticated

(a) by the person or persons indicated on the form

(b) where indicated on the form

(2) Subject to express legislative provision to the contrary

(a) authentication may be either by printed name or signature

(b) where there is reference to a signature on a Schedule 7 form, the form may be authenticated by printed name.

(c) where there is reference to authentication by printed name on a Schedule 7 form, the form may be authenticated by signature.

## **Chapter 3**

### **Non-scheduled form documents delivered under the Companies Act 2006**

#### **Application of Chapter**

74. (1) Except as provided in paragraph (2), this Chapter applies to a non-scheduled form document delivered to the registrar under the 2006 Act.

(2) This Chapter does not apply to certified copies or translations. Parts 9 and 10 impose requirements on certified copies and translations, respectively.

#### **White paper and black ink**

75. (1) Except as provided in paragraph (2), a document to which this Chapter applies must be on white paper and the text of the document must be in black typescript or handwritten in black ink.

(2) This rule does not apply to the following documents-

| Description of document(s)   | Section of the 2006 Act or regulation under which the document is delivered to the registrar                   |
|--|--|
| <b>Documents relating to disclosure of addresses</b>   |  |
| Evidence relating to an application for higher protection  | Regulation 25 and paragraphs 2, 3 and 4(1) of Schedule 3 to the Overseas Companies Regulations                 |
| Notification that a person wishes a decision on an application for higher protection to cease to apply                                       | Regulation 25 and paragraph 6(a) of Schedule 3 to the Overseas Companies Regulations                           |
| Representations as to why a revocation decision should not be made   | Paragraph 7 of Schedule 3 to the Overseas Companies Regulations or regulation 16(4) of the Address Regulations |
| Evidence relating to an application under section 1088 of the 2006 Act as applied to overseas companies by section 1059A (5) of the 2006 Act | Regulation 11(3)(b) and 12(1) of the Address Regulations   |

### **Name and registered number**

76. (1) An objection by an overseas company is required by legislation to contain the name of the overseas company to which the document relates.

In this paragraph-

“an objection by an overseas company” means an objection by an overseas company to an application for rectification of the register (objection delivered to the registrar under section 1095 of the 2006 Act (as applied to overseas companies by section 1059A (5) of the 2006 Act) and regulation 5(9) of the Registrar Regulations).

(2) A document which is specified in the following table must contain the name and registered number of the overseas company to which the document relates.

| Description of document(s)   | Section of the 2006 Act or regulation under which the document is delivered to the registrar  |
|--|---|
| <b>Names</b>   |   |
| Copy of any response received from a government department or other body (except where that copy accompanies a return under regulation 4(1) of the Overseas Companies Regulations) | Section 56(4)(b) of the 2006 Act as applied to overseas companies by section 1047(4)(b) of the 2006 Act   |
| Copy of the written statement consenting to the same name (except where that copy accompanies a return under regulation 4(1) of the Overseas Companies Regulations)                | Section 66 of the 2006 Act as applied to overseas companies by section 1047(4)(d) of the 2006 Act and regulation 12 of the Company and Business Names (Miscellaneous Provisions) Regulations 2009 |

(3) A document which is specified in the following table must contain the name and registered number of the overseas company to which the document relates. This is subject to the proviso in column (3) of the table.

|     |     |     |
|-----|-----|-----|
| (1) | (2) | (3) |
|-----|-----|-----|

| Description of document(s)          | Regulation of the Overseas Companies Regulations under which the document is delivered to the registrar | Is name and registered number required?        |
|-------------------------------------|---|--|
| <b>Accounting documents</b>         |   |  |
| Copy of the accounting documents    | Regulation 32   | Yes, but only required in one of the documents |
| Copy of accounting documents        | Regulation 40 (applying section 441(1) of the 2006 Act to overseas companies)                           | Yes, but only required in one of the documents |
| Copy of latest accounting documents | Regulation 45   | Yes, but only required in one of the documents |
| Copy of accounting documents        | Regulation 55 (applying section 441(1) of the 2006 Act to credit or financial institutions)             | Yes, but only required in one of the documents |

(4) A name or registered number which is required by paragraph (2) or paragraph (3) of this rule must be inserted in black typescript or handwritten in black ink in a prominent position in the document.

### **Authentication**

77. (1) Subject to paragraph (2), a document specified in column 1 of the table delivered to the registrar must be authenticated by a person or persons specified in column 3 in accordance with the means specified and at the location specified in column 4 of the table. Column 2 references the provision of the 2006 Act under which the document is delivered to the registrar.

(2) The authentication must be applied to the document in a prominent position unless otherwise specified in the last column of the table.

(3) Where a printed name is given as a means of authentication it must in black typescript or handwritten in black ink.

| Description of document      | Regulation under which the document is delivered to the registrar   | Person or persons who must sign | Location and means of authentication |
|------------------------------|---|---------------------------------|--------------------------------------|
| <b>Accounting documents</b>  |   |                                 |                                      |
| Copy of accounting documents | Regulation 32, 40 (applying section 441(1) of the 2006 Act to overseas companies), 45 or 55 (applying section 441(1) of | Director                        | By signature at end of balance sheet |

|  |  |   |   |
|--|--|---|---|
|  | the 2006 Act to credit or financial institutions)                  |   |   |
| Documents relating to disclosure of addresses  |  |   |   |
| Notification that a person wishes a decision on an application for higher protection to cease to apply   | Paragraph 6(a) of Schedule 3 to the Overseas Companies Regulations | The individual in respect of whom the application for higher protection was made or their personal representative | By printed name in a prominent position on the document |
| Representations as to why a revocation decision should not be made (revocation relating to application for higher protection)  | Paragraph 7(4) of Schedule 3 to the Overseas Companies Regulations | Individual in respect of whom the application for higher protection was made                                      | By printed name in a prominent position on the document |
| Representations as to why a revocation decision should not be made (revocation relating to section 1088 of the 2006 Act as applied to overseas companies by section 1059A (5)) | Regulation 16(4) of the Address Regulations                        | The section 1088 beneficiary (as defined in the Address Regulations)  | By printed name in a prominent position on the document |

## Chapter 4

### Documents delivered under the Insolvency Act 1986

#### Application of Chapter

78A. (1) Except as provided in paragraph (2), this Chapter applies to documents delivered to the registrar under the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989.

(2) This Chapter does not apply to an excluded insolvency document.

#### Requirements as to form and authentication

78B. (1) A document to which this Chapter applies must comply with the applicable provisions in Chapter 7 of Part 3 of these rules. In determining which of those provisions is applicable to a particular document to which this Chapter applies, any reference in a rule in Part 3 or in a Schedule 9 form to a legislative provision shall be read –

- (a) in relation to any overseas company as a reference to that legislative provision as applied to overseas companies by sections 221 and 225 of the Insolvency Act 1986; and
- (b) in relation to an overseas company granted a moratorium in accordance with section A5 of the Insolvency Act 1986 or Article 13BB of the Insolvency (Northern Ireland) Order 1989 as excluding any overseas company in relation to paragraph 18 of Schedule ZA1 of either the Insolvency Act 1986 or the Insolvency (Northern Ireland) Order 1989;
- (2) In the application of any provision of Chapter 7 of Part 3 or a Schedule 9 form to an overseas company by virtue of this rule, any reference to a company shall be read as a reference to an overseas company.

## **PART 7**

### **FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO A EUROPEAN PUBLIC-LIMITED LIABILITY COMPANY**

#### **Chapter 1**

##### **Application**

##### **Application and interpretation of Part**

79. (1) This Part imposes requirements as to the form and authentication of documents.
- (2) This Part applies to specified documents delivered to the registrar which relate to an SE and this Part shall be construed accordingly.
- (3) Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.
- (4) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

##### **Definition**

80. In this Part-

“SE Regulations” means the European Public Limited-Liability Company Regulations 2004<sup>19</sup>;

#### **Chapter 2**

### **Documents in Schedule 7A form delivered under Council Regulation 2157/2001/EC of 8 October 2001 on the Statute for a European Company and the European Public Limited-Liability Company Regulations 2004**

##### **Application of Chapter**

81. This Chapter imposes requirements as to the use of a Schedule 7A form for specified documents delivered to the registrar under the SE EC Regulation and SE Regulations.

##### **Schedule 7A forms**

82. (1) Subject to rule 83(2)(b), the Schedule 7A forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms.
- (2) For some legislative provisions there is more than one Schedule 7A form. The top of a Schedule 7A form refers to the circumstances in which it is to be used.

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<sup>19</sup> S.I. 2004/2326

### **Continuation forms**

83.(1) Some of the Schedule 7A forms are continuation forms for other Schedule 7A forms. The top of a continuation form refers to “continuation page.”

(2) When in the circumstances indicated on a Schedule 7A form the information to be inserted in that Schedule 7A form is to be continued, the information to be continued is to be inserted either-

- (a) on the appropriate continuation form (and where there is more than one continuation form for a particular Schedule 7A form the type of information to be continued determines which continuation form is to be used); or
- (b) subject to rule 83(3), on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

(3) Rule 83(2)(b) does not apply where the information to be continued includes the usual residential address of a member. The appropriate continuation form must be used for that information.

### **Reproduction of a Schedule 7A form**

84 (1) A document for which a Schedule 7A form must be used must be reproduced as set out in Schedule 7A as to its text, layout and format and must be in black ink.

(2) A Schedule 7A form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

### **Barcode on some Schedule 7A forms which contain a usual residential address or date of birth**

85. (1) This rule applies to a form in Schedule 7A which is required by these rules to be used to deliver a document which is required by the SE Regulations to contain the usual residential address or date of birth of a member.

(2) A Schedule 7A form to which this rule applies must contain the barcode indicated on that form in Schedule 7A.

(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 7A form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 7A form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

### **Orange coloured forms to be obtained from the registrar**

85A. A document for which a form is provided in Part 2 of Schedule 7A must be delivered to the registrar on a form obtained from the registrar because the form must be on orange coloured paper.

#### **Use of black ink for text inserted in a Schedule 7A form**

86. Text inserted in a Schedule 7A form must be in black typescript or handwritten in black ink.

#### **Authentication**

87. (1) A Schedule 7A form must be authenticated

(a) by the person or persons indicated on the form

(b) where indicated on the form

(2) Subject to express legislative provision to the contrary

(a) authentication may be either by printed name or signature

(b) where there is reference to a signature on a Schedule 7A form, the form may be authenticated by printed name.

(c) where there is reference to authentication by printed name on a Schedule 7A form, the form may be authenticated by signature.

#### **Print of name on employee involvement statement**

88. (1) This rule applies to a Schedule 7A form containing an employee involvement statement delivered to the registrar under regulations 6 to 9 of the SE Regulations.

(2) If the statement is authenticated under rule 87 by signature in addition the name of each person who signs it must be printed in black typescript or handwritten in black ink where indicated on the Schedule 7A form.

### **Chapter 3**

#### **Documents delivered under legislation applicable to public companies**

##### **Application of this Chapter**

89. (1) Except as provided in paragraph (2), this Chapter applies to documents which relate to an SE delivered to the registrar under

(a) the 2006 Act

(b) the Companies (Audit, Investigations and Community Enterprise) Act 2004

(c) the Housing Act 1996 and

(d) the Insolvency Act 1986 and Articles 13BE, 13CH, 13DM, 13DN, 13ED, 13EE of the Insolvency (Northern Ireland) Order 1989.

in each case as applied to SEs by Articles 5, 9(1)(c)(ii) and 61 of the SE EC Regulation and regulations 13(1B) and 14 of SE Regulations.

(2) This Chapter does not apply to certified copies, verified copies or translations. Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.

##### **Requirements as to form and authentication**

90. (1) A document to which this Part applies must comply with the applicable provisions in Chapters 2, 3, 4, 6 and 7 of Part 3 of these rules. In determining which of those provisions is applicable to a particular document to which this Part applies, any reference in a rule in Part 3, in a Schedule 2 form or a Schedule 9 form to a legislative provision shall be read as a reference to that legislative provision as applied to SEs by the SE EC Regulation or the SE Regulations.



(2) In the application of any provision of Part 3, a Schedule 2 form, or a Schedule 9 form to an SE by virtue of this rule-

- (a) any reference to a company shall be read as a reference to an SE,
- (b) any reference to a director shall be read as a reference to a member, and
- (c) any reference to articles shall be read as a reference to statutes.

## **PART 8**

### **FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO A LIMITED LIABILITY PARTNERSHIP**

#### **Chapter 1**

#### **Application**

##### **Application of Part**

91. (1) This Part imposes requirements as to the form and authentication of documents.
- (2) This Part applies to specified documents delivered to the registrar which relate to an LLP and this Part shall be construed accordingly. Parts 8B and 8C apply to documents which relate to an SQP and an SLP, respectively.
- (3) Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.
- (4) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

##### **Interpretation**

92. (1) In this Part-
- “LLP Act” means the Limited Liability Partnerships Act 2000;
  - “LLP PSC Regulations” means the Limited Liability Partnerships (Register of People with Significant Control) Regulations 2016<sup>20</sup>;
  - “LLP Regulations 2008” means the Limited Liability Partnerships (Accounts and Audit) (Application of Companies Act 2006) Regulations 2008<sup>21</sup>;
  - “LLP Regulations 2009” means the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009.
- (2) In this Part, any reference to the application by the LLP Regulations 2008, LLP Regulations 2009 or LLP PSC Regulations of a legislative provision relating to companies is to application of that legislative provision to LLPs.

#### **Chapter 2**

### **Documents in Schedule 8 form delivered under the Limited Liability Partnerships Act 2000**

##### **Application of Chapter**

93. This Chapter imposes requirements as to the use of a Schedule 8 form for specified documents delivered to the registrar under the LLP Act.

##### **Schedule 8 forms**

94. (1) Subject to rule 96(2)(b), the Schedule 8 forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms.
- (2) For some legislative provisions there is more than one Schedule 8 form. The top of a Schedule 8 form refers to the circumstances in which it is to be used.

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<sup>20</sup> SI 2016/340

<sup>21</sup> S.I. 2008/1911.

### **Welsh language forms**

95. (1) Each form in Part 2 of Schedule 8 is partly in Welsh and partly in English and can be used instead of a form in Part 1 of Schedule 8 where the form relates to a Welsh LLP.

(2) In this rule-

“Welsh LLP” has the meaning given to it in regulation 17 of the LLP Regulations 2009.

### **Continuation forms**

96. (1) Some of the Schedule 8 forms are continuation forms for other Schedule 8 forms. The top of a continuation form refers to “continuation page.”

(2) When in the circumstances indicated on a Schedule 8 form, the information to be inserted in that Schedule 8 form is to be continued, the information to be continued is to be inserted either-

(a) on the appropriate continuation form (and the type of information to be continued determines which continuation form is to be used); or

(b) subject to rule 96(3), on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

(3) Rule 96(2)(b) does not apply where the information to be continued includes the usual residential address, registered email address or date of birth of a member or registrable person of an LLP where rule 99A applies. The appropriate continuation form must be used for that information.

### **Reproduction of a Schedule 8 form**

97. (1) Subject to rule 99 and 99A, a document for which a Schedule 8 form must be used must be reproduced as set out in Schedule 8 as to its text, layout and format and must be in black ink.

(2) Subject to rule 99 and 99A, a Schedule 8 form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

### **Barcode on some Schedule 8 forms which contain a usual residential address or date of birth**

98. (1) This rule applies to a form in Part 1 or Part 2 of Schedule 8 which is required by these rules to be used to deliver a document which is required by the LLP Act to contain the usual residential address, registered email address or date of birth of a member of an LLP or registrable person.

(2) A Schedule 8 form to which this rule applies must contain the barcode indicated on that form in Schedule 8.

(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 8 form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 8 form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

#### **Orange coloured forms to be obtained from the registrar**

99. A document for which a form is provided in Part 3 of Schedule 8 must be delivered to the registrar on a form obtained from the registrar because the form must be on orange coloured paper.

#### **Purple coloured forms to be obtained from the registrar**

99A. (1) This rule applies to a document if –

- (a) it is a document for which a form is provided in Part 4 of Schedule 8, and
- (b) at the time of delivery to the registrar, one or both of the following apply:
  - (i) in relation to one or more of the current or proposed registrable persons of the company or proposed company, restrictions on using or disclosing the particulars of that person or persons in relation to that company or proposed company are in force under regulations under section 790ZG of the 2006 Act, and
  - (ii) in relation to one or more of the past registrable persons of the company, restrictions on using or disclosing the particulars of that person or persons in relation to that company are in force under regulations under section 790ZG of the 2006 Act and the fact that the person has ceased to be a registrable person in relation to that company has not yet been registered by the registrar.

(2) The forms in Parts 1 and 2 of Schedule 8 must not be used to deliver to the registrar a document to which this rule applies and instead the document must be delivered to the registrar on a form obtained from the registrar because the form must be on purple coloured paper.

(3) A form in Part 4 of Schedule 8 cannot be used to deliver a document to which this rule does not apply.

#### **Use of black ink for text inserted in a Schedule 8 form**

100. Text inserted in a Schedule 8 form must be in black typescript or handwritten in black ink.

#### **Name and registered number**

101. (1) A document specified in the following table (being one for which these rules require a Schedule 8 form to be used) is required by legislation to contain the name and registered number of the LLP or proposed LLP to which the document relates.

| Description of document           | Section of the LLP Act or regulation under which the document is delivered to the registrar | What is required by legislation? |
|-----------------------------------|---|----------------------------------|
| Incorporation document            |   |                                  |
| Incorporation document            | Section 2(1)(a) of the LLP Act  | Name                             |
| Documents relating to LLP charges |   |                                  |

|  |  |   |
|--|--|---|
| Section 859D statement of particulars  | Regulation 32 of the LLP Regulations 2009 applying section 859A (2), 859B (2) or 859C (2) of the 2006 Act  | Name and registered number  |
| Statement of company acting as trustee of property or undertaking  | Regulation 32 of the LLP Regulations 2009 applying section 859(J)(2) of the 2006 Act   | Name and registered number  |
| Particulars set out in section 859L (4)  | Regulation 32 of the LLP Regulations 2009 applying section 859L (1) of the 2006 Act  | Name and registered number of the LLP that created the charge or acquired the property or undertaking subject to the charge |
| Statement of particulars set out in section 859O (3)   | Regulation 32 of the LLP Regulations 2009 applying section 859O (2) of the 2006 Act  | Name and registered number  |
| Document relating to disclosure of addresses   |  |   |
| Application to registrar to refrain from disclosing information to a credit reference agency (application by an LLP)                                   | Regulation 19 of the LLP Regulations 2009 applying regulation 6 of the Address Regulations   | Name and registered number  |
| Application to registrar to refrain from disclosing information to a credit reference agency (application by a proposed member of a proposed LLP)      | Regulation 19 of the LLP Regulations 2009 applying regulation 7 of the Address Regulations   | Name of the proposed LLP  |
| Application to registrar to refrain from disclosing information to a credit reference agency (application by an LLP)                                   | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Section 790ZF and regulations 26 of the Company PSC regulations | Name and registered number  |
| Application to registrar to refrain from disclosing information to a credit reference agency (application by a by a proposed member of a proposed LLP) | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Section 790ZF and regulations 27 of the Company PSC regulations | Name of the proposed LLP  |
| Documents relating to disclosure of information relating to some people with significant control   |  |   |
| Application to registrar to refrain from using or  | Regulation 4 of the LLP PSC Regulations and  | Name and registered number  |

|   |   |                            |
|---|---|----------------------------|
| disclosing particulars relating to a person with significant control (application by an LLP)  | Regulations 31B and 31L of the LLP Regulations 2009 applying Section 790ZF and regulations 26 & 37 of the Company PSC regulations   |                            |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by proposed member of a proposed LLP) | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Section 790ZF and regulations 26 & 37 of the Company PSC regulations | Name of the proposed LLP   |
| <b>Cross-Border Mergers</b>   |   |                            |
| The particulars relating to a merging LLP as referred to in regulation 12(1)(c) of the Companies (Cross-Border Mergers) Regulations 2007                                  | Regulation 46 of the LLP Regulations 2009 applying the Companies (Cross-Border Mergers) Regulations 2007  | Name and registered number |
| <b>Rectification of register</b>  |   |                            |
| Application for rectification of the register (application by an LLP)   | Regulation 66 of the LLP Regulations 2009 applying section 1095 of the 2006 Act and regulation 4 of the Registrar Regulations   | Name                       |

(2) All other Schedule 8 forms must contain the name and registered number of the LLP to which the Schedule 8 form relates.

(3) The name and registered number must be inserted in black typescript or handwritten in black ink in the name and number boxes on the Schedule 8 form.

### **Authentication**

102. (1) Subject to rule 103 and express provision to the contrary, a Schedule 8 form must be authenticated; -

- (a) by the person or persons indicated on the form
- (b) where indicated on the form.
- (c) by signature or by printed name.

(2) Where a Schedule 8 form is delivered to the registrar under regulation 56 of the LLP Regulations 2009 (applying section 1025(5)(a) of the 2006 Act) (requirements for administrative restoration) a former member is required to authenticate the form instead of the person or persons indicated on the form.

### **Print of name of applicant signatory on an application for striking off an LLPs name**

103. (1) Authentication of application for striking off

In an application under regulation 51 of the LLP Regulations 2009 (applying section 1003 of the 2006 Act) the applicant must authenticate the application by printing their name where indicated on the Schedule 8 form

### **Signature on statement of guarantee by a parent undertaking**

104. (1) This rule applies to statements of guarantee by a parent undertaking delivered to the registrar under regulation 9, regulation 19A or regulation 34A of the LLP Regulations 2008 (applying sections 394A(2)(e), 448A(2)(e) and 479A(2)(e) of the 2006 Act respectively) (Form LL06 in Schedule 8).

(2) The LLP Regulations 2008 require the statement to be authenticated by the parent undertaking and the registrar requires that authentication to be by way of the signature of the person making the statement on behalf of the parent undertaking where indicated on the form.

(3) The signature required by this rule is additional to the signature required by rule 102(1).

## **Chapter 3**

### **Non-scheduled form documents (other than insolvency and winding up documents) delivered under the Limited Liability Partnerships Act 2000**

#### **Application of Chapter**

105. (1) Except as provided in paragraphs (2) and (3), this Chapter applies to a non-scheduled form document delivered to the registrar under the LLP Act.

(2) This Chapter does not apply to documents delivered to the registrar under regulations made under section 14 of the LLP Act (insolvency and winding up) or the Investment Bank Special Administration Regulations 2011. Chapter 4 of this part imposes requirements on some of those documents.

(3) This Chapter does not apply to certified copies, verified copies or translations. Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.

#### **White paper and black ink**

106. (1) Except as provided in paragraph (2), a document to which this Chapter applies must be on white paper and the text of the document must be in black typescript or handwritten in black ink.

(2) This rule does not apply to the following documents-

| Description of document(s)  | Regulation under which the document is delivered to the registrar                 |
|---|---|
| <b>Court direction</b>  |   |
| Direction from the court dispensing with the need for a statement by the creditor | Regulation 42 of the LLP Regulations 2009 applying section 887(2) of the 2006 Act |
| <b>Charge documents</b>   |   |
| Instrument by which charge is created or evidenced                                | Regulation 32 of the LLP Regulations 2009 applying section 860(1) of the 2006 Act |
| Deed containing the charge or one of the debentures of the series                 | Regulation 33 of the LLP Regulations 2009 applying section 863(1) of the 2006 Act |

|   |  |
|---|--|
| Copy of the deed containing the charge or of one of the debentures of the series  | Regulation 40 of the LLP Regulations 2009 applying section 882(1) of the 2006 Act  |
| Documents relating to disclosure of addresses   |  |
| Evidence relating to an application under section 243(4) of the 2006 Act  | Regulation 19 of the LLP Regulations 2009 applying section 243(4) of the 2006 Act and regulations 5(3)(b), 6(3)(b), 7(3)(b) and 8(1) of the Address Regulations                            |
| Notification that a person wishes a decision under section 243 of the 2006 Act to cease to apply                            | Regulation 19 of the LLP Regulations 2009 applying regulation 15(1) of the Address Regulations   |
| Evidence relating to an application under section 790ZF   | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulations 24(4), 26(6), 27(6) and 28(1) of the Company PSC Regulations          |
| Notification that a person wishes a determination relating to section 790ZF to cease to have effect                         | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulation 31(a) of the Company PSC Regulations                                   |
| Representations as to why a revocation decision should not be made (revocation relating to section 243 of the 2006 Act)     | Regulation 19 of the LLP Regulations 2009 applying section 243(4) of the 2006 Act and Regulation 16(4) of the Address Regulations or Regulation 32(3) of the Company PSC Regulations       |
| Evidence relating to an application under section 1088 of the 2006 Act  | Regulation 66 of the LLP Regulations 2009 applying regulations 11(3)(b) and 12(1) of the Address Regulations   |
| Representation as to why a revocation decision should not be made (revocation relating to section 1088 of the 2006 Act)     | Regulation 66 of the LLP Regulations 2009 applying section 1088 of the 2006 Act and Regulation 16(4) of the Address Regulations  |
| Documents relating to disclosure of information relating to some people with significant control                            |  |
| Notification that a person wishes a determination relating to section 790ZG to cease to have effect                         | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulations 24(4), 26(6), 27(6) and 28(1) of the Company PSC Regulations          |
| Representations as to why a revocation decision should not be made in relation to a determination relating to section 790ZG | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulations 36(3)(b), 37(4)(b), 38(4)(b) and 39(1) of the Company PSC Regulations |

|   |  |
|---|--|
| Evidence relating to an application under sections 790ZG of the Small Business, Enterprise, and Employment Act 2015 | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulations 36(3)(b), 37(4)(b), 38(4)(b) and 39(1) of the Company PSC Regulations |
| <b>Rectification of the register</b>  |  |
| Documents or information supporting an application to change the address of a LLP's registered office               | Section 1097A (2) and regulation 3(d) Address Regulations 2015 as applied to LLPs  |
| Evidence showing that the company is authorised to use the address as its registered office                         | Section 1097A (2) and regulation 6(d)(ii) Address Regulations 2015 as applied to LLPs  |

### **Name and registered number**

107. (1) An objection by an LLP is required by legislation to contain the name of the LLP to which the document relates.

In this paragraph-

“an objection by an LLP” means an objection by an LLP to an application for rectification of the register (objection delivered to the registrar under Regulation 67 of the LLP Regulations 2009 applying section 1095 of the 2006 Act and regulation 5(9) of the Registrar Regulations).

(2) A document which is specified in the following table must contain the name and registered number of the LLP to which the document relates.

| Description of document(s)  | Regulation under which the document is delivered to the registrar  |
|---|--|
| <b>Orders charging land: Northern Ireland</b>   |  |
| Copies of an order (made under Article 46 of the Judgments Enforcement (Northern Ireland) Order 1981) or of any notice (under Article 48 of the 1981 Order)                             | Regulation 35 of the LLP Regulations 2009 applying section 868(1) of the 2006 Act  |
| Copies of an order made under Article 46 of the Judgments Enforcement (Northern Ireland) Order 1981   | Regulation 35 of the LLP Regulations 2009 applying section 868(2) of the 2006 Act  |
| <b>Names</b>  |  |
| Copy of any response received from a government department or other body (in connection with a change of name of an LLP)  | Regulation 8 of the LLP Regulations 2009 applying section 56(4)(b) of the 2006 Act   |
| Copy of the written statement consenting to the same name but only when delivered in connection with a change in the name of an LLP under paragraph 5(1) of the Schedule to the LLP Act | Regulation 11 of the LLP Regulations 2009 applying section 66 of the 2006 Act and regulation 8(2)(c) of the Company and Business Names (Miscellaneous Provisions) Regulations 2009 |
| <b>Auditor ceasing to hold office information</b>   |  |



|   |   |
|---|---|
| Copy of notice of resignation of auditor  | Regulation 45 of the LLP Regulations 2008 applying section 517(1) of the 2006 Act   |
| Copy of statement by auditor (under section 520 of the 2006 Act) of the circumstances connected with his ceasing to hold office | Regulation 46 of the LLP Regulations 2008 applying section 521(1) and (2) of the 2006 Act   |
| <b>Dissolved LLP</b>  |   |
| Notice of disclaimer of property vesting bona vacantia  | Regulation 52 of the LLP Regulations 2009 applying section 1013(6) of the 2006 Act  |
| Written consent by Crown representative (administrative restoration of an LLP)  | Regulation 56 of the LLP Regulations 2009 applying section 1025(3) of the 2006 Act  |
| <b>Cross-Border Mergers</b>   |   |
| Copy of the order made under regulation 16 of the Companies (Cross-Border Mergers) Regulations 2007 (court approval of merger)  | Regulation 46 of the LLP Regulations 2009 applying regulation 19(1) of the Companies (Cross-Border Mergers) Regulations 2007  |
| <b>Accounts and related documents</b>   |   |
| Notice of agreement   | Regulation 9 of the LLP Regulations 2008 applying section 394A(2)(e) of the 2006 Act,<br>Regulation 19A of the LLP Regulations 2008 applying section 448A(2)(e) of the 2006 Act or<br>Regulation 34A of the LLP Regulations 2008 applying section 479A(2)(e) of the 2006 Act. |

(3) A document which is specified in the following table must contain the name and registered number of the LLP to which the document relates. This is subject to the proviso in column (3) of the table.

| (1)   | (2)   | (3)  |
|---|---|--|
| Description of document(s)  | Regulation under which the document is delivered to the registrar   | Is name and registered number required?  |
| <b>Accounts and related documents</b>   |   |  |
| Copy of parent undertaking's consolidated accounts, copy of the auditor's report on those accounts, and copy of the consolidated annual report drawn up by the parent undertaking | Regulation 9 of the LLP Regulations 2008 applying section 394A(2)(e) of the 2006 Act,<br>Regulation 19A of the LLP Regulations 2008 applying section 448A(2)(e) of the 2006 Act or<br>Regulation 34A of the LLP Regulations | Yes, the name and registered number of the subsidiary filing, but only required in one of the documents comprised in the parent's accounts |

|  |  |   |
|--|--|---|
|  | 2008 applying section 479A92) (e) of the 2006 Act.   |   |
| Copy of balance sheet or abbreviated accounts and (where applicable) copy of profit and loss account and copy of auditor's report  | Regulation 17 of the LLP Regulations 2008 applying section 441(1) of the 2006 Act  | Yes but only required in one of the documents   |
| Copy of annual accounts in euros   | Regulation 28 of the LLP Regulations 2008 applying section 469(2) of the 2006 Act  | Yes, but only required in one of the documents comprised in the annual accounts   |
| Revised accounts or revised report (as those terms are defined in the Companies (Revision of Defective Accounts and Reports) Regulations 2008) and (where applicable) copy of the auditor's report | Regulation 23 of the LLP Regulations 2008 applying section 454 of the 2006 Act and Regulation 14(2) of the Companies (Revision of Defective Accounts and Reports) Regulations 2008 | Yes, but where more than one of those documents is delivered at the same time under regulation 14(2) the name and registered number is only required in one of them |

(4) A name or registered number which is required by paragraph (2) or (3) of this rule must be inserted in black typescript or handwritten in black ink in a prominent position in the document.

### Authentication

108. (1) Subject to paragraph (2), a document specified in column 1 of the table delivered to the registrar must be authenticated by a person or persons specified in column 3 in accordance with the means specified and at the location specified in column 4 of the table. Column 2 references the provision of the 2006 Act under which the document is delivered to the registrar.

(2) The authentication must be applied to the document in a prominent position unless otherwise specified in the last column of the table.

(3) Where a printed name is given as a means of authentication it must in black typescript or handwritten in black ink.

| Description of document   | Regulation under which the document is delivered to the registrar                 | Person or persons who must sign | Location and means of authentication |
|---|---|---------------------------------|--------------------------------------|
| <b>Accounts and related documents</b>                                     |   |                                 |                                      |
| Copy of balance sheet or abbreviated accounts and (where applicable) copy | Regulation 17 of the LLP Regulations 2008 applying section 441(1) of the 2006 Act | Designated member               | By signature at end of balance sheet |

|  |  |  |  |
|--|--|--|--|
| of profit and loss account and copy of auditor's report  |  |  |  |
| Copy of annual accounts in euros   | Regulation 28 of the LLP Regulations 2008 applying section 469(2) of the 2006 Act  | Designated member  | By signature at end of balance sheet   |
| Revised accounts or revised report (as those terms are defined in the Companies (Revision of Defective Accounts and Reports) Regulations 2008) and (where applicable) copy of the auditor's report | Regulation 23 of the LLP Regulations 2008 applying section 454 of the 2006 Act and regulation 14(2) of the Companies (Revision of Defective Accounts and Reports) Regulations 2008 | Designated member  | By signature in a prominent position on the document but where more than one of those documents is delivered at the same time under regulation 14(2) signature is only required on one of them |
| <b>Documents relating to disclosure of addresses</b>   |  |  |  |
| Notification that a person wishes a decision under section 243 of the 2006 Act to cease to apply   | Regulation 19 of the LLP Regulations 2009 applying section 243(4) of the 2006 Act and regulation 15(1) of the Address Regulations  | The section 243 beneficiary (as defined in the Address Regulations) or their personal representative |  |
| Representations from an LLP as to why a revocation decision should not be made in relation to a section 243 decision (where the application was made by an LLP)                                    | Regulation 19 of the LLP Regulations 2009 applying section 243(4) of the 2006 Act and regulation 16(4) of the Address Regulations  | Designated member or member  | By printed name in a prominent position on the document  |
| <b>Documents relating to disclosure of PSC information</b>   |  |  |  |
| Notification that a person wishes a decision under section 790ZF to cease to apply (where the application was  | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying   | The person to whom the determination relates or their personal representative                        | By printed name in a prominent position on the document  |

|   |   |   |   |
|---|---|---|---|
| made in relation to LLP)  | Regulation 31(a) of the Company PSC Regulations   |   |   |
| Representations from an LLP as to why a revocation decision should not be made in relation to a decision under section 790ZF (where the application was made by an LLP) | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulation 32(3) of the Company PSC Regulations    | Designated member or member   | By printed name in a prominent position on the document |
| <b>Documents relating to disclosure of PSC information</b>  |   |   |   |
| Notification that a person wishes a decision under section 790ZG to cease to apply (where the application was made in relation to LLP)                                  | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulation 43(1)(a) of the Company PSC Regulations | The person to whom the determination relates or their personal representative | By printed name in a prominent position on the document |
| Representations from an LLP as to why a revocation decision should not be made in relation to a decision under section 790ZG (where the application was made by an LLP) | Regulation 4 of the LLP PSC Regulations and Regulations 31B and 31L of the LLP Regulations 2009 applying Regulation 44(3) of the Company PSC Regulations    | Designated member or member   | By printed name in a prominent position on the document |

(2) Where a document specified in the table in paragraph (1) is delivered to the registrar under regulation 56 of the LLP Regulations 2009 (applying section 1025(5)(a) of the 2006 Act)(requirements for administrative restoration), a former member is required to authenticate the document instead of the person or persons specified in the table.

#### **Chapter 4**

#### **Documents delivered under regulations made under section 14 of the Limited Liability Partnerships Act 2000 (insolvency and winding up) and the Investment Bank Special Administration Regulations 2011**

#### **Application of Chapter**

110. (1) Except as provided in paragraph (2), this Chapter applies to documents delivered to the registrar under regulations made under section 14 of the LLP Act and the Investment Bank Special Administration Regulations 2011.

(2) This chapter does not apply to an excluded insolvency document.

### **Requirements as to form and authentication**

111. (1) A document to which this Chapter applies must comply with the applicable provisions in Chapter 7 of Part 3 of these rules. In determining which of those provisions is applicable to a particular document to which this Chapter applies, any reference in a rule in Part 3 or in a Schedule 9 form to a legislative provision shall be read as a reference to that legislative provision as applied to LLPs by regulations made under section 14 of the LLP Act or the Investment Bank Special Administration Regulations 2011.

(2) In the application of any provision of Chapter 7 of Part 3 or a Schedule 9 form to an LLP by virtue of this rule,

(a) any reference to a company shall be read as a reference to an LLP,

(b) any reference to a director of a company shall include references to a member and designated member of an LLP.

## **PART 8A**

### **FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO A EUROPEAN ECONOMIC INTEREST GROUPING**

#### **Chapter 1 Application**

##### **Application and interpretation of Part**

112. (1) This Part imposes requirements as to the form and authentication of documents.

(2) This Part applies to specified documents delivered to the registrar which relate to an EEIG, and this Part shall be construed accordingly.

(3) Parts 9 and 10 impose requirements on certified copies and verified copies and translations, respectively.

#### **Chapter 2**

##### **Documents in Schedule 8A form delivered under Council Regulation (EEC) No 2137/85 on the European Economic Interest Grouping and the European Economic Interest Grouping Regulations 1989**

##### **Application of Chapter**

113. This Chapter imposes requirements as to the use of a Schedule 8A form for specified documents delivered to the registrar under the EEIG EEC Regulation and the EEIG Regulations.

##### **Schedule 8A forms**

114. (1) Subject to rule 115(2)(b), the Schedule 8A forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms.

(2) For some legislative provisions there is more than one Schedule 8A form. The top of a Schedule 8A form refers to the circumstances in which it is to be used.

##### **Continuation forms**

115. (1) Some of the Schedule 8A forms are continuation forms for other Schedule 8A forms. The top of a continuation form refers to “continuation page.”

(2) When in the circumstances indicated on a Schedule 8A form the information to be inserted in that Schedule 8A form is to be continued, the information to be continued is to be inserted either-

(a) on the appropriate continuation form (and where there is more than one continuation form for a particular Schedule 8A form the type of information to be continued determines which continuation form is to be used); or

(b) on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

### **Reproduction of a Schedule 8A form**

116 (1) A document for which a Schedule 8A form must be used must be reproduced as set out in Schedule 8A as to its text, layout and format and must be in black ink.

(2) A Schedule 8A form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

### **Barcode on some Schedule 2 forms which contain a date of birth**

116A. (1) This rule applies to a form in Schedule 8A which is required by these rules to be used to deliver a document which is required by the 2006 Act to contain a date of birth.

(2) A Schedule 8A form to which this rule applies must contain the barcode indicated on that form in Schedule 8A.

(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 8A form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 8A form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

### **Use of black ink for text inserted in a Schedule 8A form**

117. Text inserted in a Schedule 8A form must be in black typescript or handwritten in black ink.

### **Authentication**

118. (1) A Schedule 8A form must be authenticated

(a) by the person or persons indicated on the form

(b) where indicated on the form

(2) Subject to express legislative provision to the contrary

(a) authentication may be either by printed name or signature

- (b) where there is reference to a signature on a Schedule 8A form, the form may also be authenticated by printed name.
- (c) where there is reference to authentication by printed name on a Schedule 8A form, the form may be authenticated by signature.

### **Chapter 3**

#### **Documents relating to charges delivered under the European Economic Interest Grouping Regulations 1989**

##### **Application of Chapter**

119. (1) Except as provided in paragraph (2), this Chapter applies to documents delivered to the registrar under regulation 18 of the EEIG Regulations which applies Part 25 of the 2006 Act to EEIGs.

(2) This Chapter does not apply to certified copies or verified copies. Part 9 imposes requirements on certified copies and verified copies.

##### **Requirements as to form and authentication.**

120. (1) A document to which this Chapter applies must comply with the applicable provisions in Chapter 2 of Part 3 of these rules. In determining which of those provisions is applicable to a particular document to which this Chapter applies, any reference in a rule in Part 3 or in a Schedule 2 form to a legislative provision shall be read as a reference to that legislative provision as applied to EEIGs by regulation 18 of the EEIG Regulations

(2) In the application of any provision of Chapter 2 of Part 3 or a Schedule 2 form to an EEIG by virtue of this rule, any reference to a company shall be read as a reference to an EEIG.

### **PART 8B**

#### **FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO A SCOTTISH QUALIFYING PARTNERSHIP**

##### **Chapter 1 Application**

##### **Application and interpretation of Part**

121. (1) This Part imposes requirements as to the form and authentication of documents.

(2) This Part applies to specified documents delivered to the registrar which relate to an SQP, and this Part shall be construed accordingly. Parts 8 and 8C apply to documents which relate to an LLP and an SLP, respectively.

(3) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

### **Chapter 2**

#### **Documents in Schedule 8B form delivered under the Scottish Partnerships PSC Regulations**

##### **Application of Chapter**

122. This Chapter imposes requirements as to the use of a Schedule 8B form for specified documents delivered to the registrar under the Scottish Partnerships PSC Regulations.

### **Schedule 8B forms**

123. (1) Subject to rule 124(2)(b), the Schedule 8B forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms.

(2) For some legislative provisions there is more than one Schedule 8B form. The top of a Schedule 8B form refers to the circumstances in which it is to be used.

### **Continuation forms**

124. (1) Some of the Schedule 8B forms are continuation forms for other Schedule 8B forms. The top of a continuation form refers to “continuation page.”

(2) When in the circumstances indicated on a Schedule 8B form the information to be inserted in that Schedule 8B form is to be continued, the information to be continued is to be inserted either-

(a) on the appropriate continuation form (and where there is more than one continuation form for a particular Schedule 8B form the type of information to be continued determines which continuation form is to be used); or

(b) subject to rule 124(3), on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements –

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

(3) Rule 124(2)(b) does not apply where the information to be continued includes the usual residential address or date of birth of a registrable person or where rule 128 applies. The appropriate continuation form must be used for that information.

### **Reproduction of a Schedule 8B form**

125. (1) Subject to rule 127 and 128, a document for which a Schedule 8B form must be used must be reproduced as set out in Schedule 8B as to its text, layout and format and must be in black ink.

(2) Subject to rule 127 and 128, a Schedule 8B form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

### **Barcode on some Schedule 8B forms which contain a usual residential address or date of birth**

126. (1) This rule applies to a form in Part 1 of Schedule 8B which is required by these rules to be used to deliver a document which is required by the Scottish Partnerships PSC Regulations to contain the usual residential address or date of birth of a registrable person.

(2) A Schedule 8B form to which this rule applies must contain the barcode indicated on that form in Schedule 8B



(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 8B form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 8B form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

### **Orange coloured forms to be obtained from the registrar**

127. A document for which a form is provided in Part 2 of Schedule 8B must be delivered to the registrar on a form obtained from the registrar because the form must be on orange coloured paper.

### **Purple coloured forms to be obtained from the registrar**

128. (1) This rule applies to a document if –

(a) it is a document for which a form is provided in Part 3 of Schedule 8B, and

(b) at the time of delivery to the registrar, one or both of the following apply:

- (i) in relation to one or more of the current or proposed registrable persons of the SQP, restrictions on using or disclosing the particulars of that person or persons in relation to that SQP are in force under regulation 45 of the Scottish Partnerships PSC Regulations, and
- (ii) in relation to one or more of the past registrable persons of the SQP, restrictions on using or disclosing the particulars of that person or persons in relation to that SQP are in force under regulation 45 of the Scottish Partnerships PSC Regulations and the fact that the person has ceased to be a registrable person in relation to that SQP has not yet been registered by the registrar.

(2) The forms in Part 1 of Schedule 8B must not be used to deliver to the registrar a document to which this rule applies and instead the document must be delivered to the registrar on a form obtained from the registrar because the form must be on purple coloured paper.

(3) A form in Part 3 of Schedule 8B cannot be used to deliver a document to which this rule does not apply.”

### **Use of black ink for text inserted in a Schedule 8B form**

128. Text inserted in a Schedule 8B form must be in black typescript or handwritten in black ink.

### **Name and registered number**

129. (1) A document specified in the following table (being one for which these rules require a Schedule 8B form to be used) is required by legislation to contain the proposed name or name and registered number of the partnership or proposed partnership to which the document relates.

|   |   |  |
|---|---|--|
| Description of document   | Regulation of the Scottish Partnerships PSC<br>Regulations under which the document is delivered to the registrar | What is required by legislation?           |
| <b>Registration of an SQP</b>   |   |  |
| Application for registration of an SQP  | Regulation 5  | Name                                       |
| <b>Documents relating to disclosure of information relating to some people with significant control</b>   |   |  |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by an individual)         | Regulation 48   | Name and (if applicable) registered number |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by an SQP)                | Regulation 49   | Name and (if applicable) registered number |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by a prospective partner) | Regulation 50   | Name of the proposed SQP                   |
| Application to registrar to make address unavailable for public inspection (application by an individual)   | Regulation 64   | Name and (if applicable) registered number |

(2) All other Schedule 8B forms must contain the name and registered number of the SQP to which the Schedule 8B form relates.

(3) The name and registered number must be inserted in black typescript or handwritten in black ink in the name and number boxes on the Schedule 8B form.

### **Signature**

130. A Schedule 8B form must be signed by the person or persons indicated on the form. The signature must be applied to the Schedule 8B form where indicated on the form.

## **Chapter 2**

### **Non-scheduled form documents delivered under the Scottish Partnerships (Register of People with Significant Control) Regulations**

#### **Application of Chapter**

131. (1) This Chapter applies to a non-scheduled form document delivered to the registrar in relation to an SQP.

### **White paper and black ink**

132. (1) Except as provided in paragraph (2), a document to which this Chapter applies must be on white paper and the text of the document must be in black typescript or handwritten in black ink.

(2) This rule does not apply to the following documents-

|  |  |
|--|--|
| Description of document  | Regulation of the Scottish Partnerships PSC Regulations under which the document is delivered to the registrar |
| Document relating to disclosure of information relating to some people with significant control  |  |
| Representations as to why a revocation decision should not be made in relation to a determination made under regulation 48(5), 49(5) or 50(5) of the Scottish Partnerships PSC Regulations | Regulation 56(2)   |
| Notification that a person wishes a determination under regulation 48(5), 49(5) or 50(5) of The Scottish Partnerships PSC Regulations to cease to have effect                              | Regulation 55(1)   |

### **Authentication**

133. (1) A document specified in column 1 of the table delivered to the registrar must be authenticated by a person or persons specified in column 3 in accordance with the means specified and at the location specified in column 4 of the table. Column 2 references the legislative provision under which the document is delivered to the registrar.

(3) Where a printed name is given as a means of authentication it must be in black typescript or handwritten in black ink.

| Description of document   | Regulation of the Scottish Partnerships PSC Regulations under which the document is delivered to the registrar | Person or persons who must authenticate                                       | Location and means of signature authentication          |
|---|--|---|---|
| Documents relating to disclosure of information relating to some people with significant control              |  |   |   |
| Notification that a person wishes a determination made under regulation 48(5), 49(5) or 50(5) of the Scottish | Regulation 55(1)   | The person to whom the determination relates or their personal representative | By printed name in a prominent position on the document |

|   |               |                                       |   |
|---|---------------|---------------------------------------|---|
| Partnerships PSC Regulations to cease to have effect  |               |                                       |   |
| Representations from an SQP as to why a revocation decision should not be made in relation to a determination made under regulation 48(5), 49(5) or 50(5) of the Scottish Partnerships PSC Regulations (where the application was made by an SQP) | Regulation 56 | The person making the representations | By printed name in a prominent position on the document |
| Representations from a person who is not a SQP as to why a revocation decision should not be made in relation to a determination made under regulation 48(5), 49(5) or 50(5) of the Scottish Partnerships PSC Regulations.                        | Regulation 56 | The person making the representations | By printed name in a prominent position on the document |

**PART 8C**  
**FORM AND AUTHENTICATION OF DOCUMENTS RELATING TO**  
**A SCOTTISH LIMITED PARTNERSHIP**

**Chapter 1**  
**Application**

**Application and interpretation of Part**

135. (1) This Part imposes requirements as to the form and authentication of documents.

(2) This Part applies to specified documents delivered to the registrar which relate to an SLP, and this Part shall be construed accordingly. Parts 8 and 8B apply to documents which relate to an LLP and an SQP, respectively.

(3) For a replacement document, Part 11 imposes requirements that are in addition to the requirements imposed by this Part.

## **Chapter 2**

### **Documents in Schedule 8C form delivered under the Scottish Partnerships (Register of People with Significant Control) Regulations**

#### **Application of Chapter**

136. This Chapter imposes requirements as to the use of a Schedule 8C form for specified documents delivered to the registrar under the Scottish Partnerships PSC Regulations.

#### **Schedule 8C forms**

137. (1) Subject to rule 138(2)(b), the Schedule 8C forms are to be used for documents delivered to the registrar under the legislative provisions which are referred to on those forms.

(2) For some legislative provisions there is more than one Schedule 8C form. The top of a Schedule 8C form refers to the circumstances in which it is to be used.

#### **Continuation forms**

138. (1) Some of the Schedule 8C forms are continuation forms for other Schedule 8C forms. The top of a continuation form refers to “continuation page.”

(2) When in the circumstances indicated on a Schedule 8C form the information to be inserted in that Schedule 8C form is to be continued, the information to be continued is to be inserted either-

(a) on the appropriate continuation form (and where there is more than one continuation form for a particular Schedule 8C form the type of information to be continued determines which continuation form is to be used); or

(b) subject to rule 138(3), on a document whose text is in black typescript or handwritten in black ink and on paper that complies with the following requirements-

|             |   |
|-------------|---|
| Size        | A4                                      |
| Colour      | White                                   |
| Orientation | Portrait (shorter edge across the top)” |

(3) Rule 138(2)(b) does not apply where the information to be continued includes the usual residential address or date of birth of a registrable person or where rule 142 applies. The appropriate continuation form must be used for that information.

#### **Reproduction of a Schedule 8C form**

139. (1) Subject to rules 141 and 142, a document for which a Schedule 8C form must be used must be reproduced as set out in Schedule 8C as to its text, layout and format and must be in black ink.

(2) Subject to rules 141 and 142, a Schedule 8C form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

**Barcode on some Schedule 8C forms which contain a usual residential address or date of birth**

140. (1) This rule applies to a form in Part 1 Schedule 8C which is required by these rules to be used to deliver a document which is required by the Scottish Partnerships PSC Regulations to contain the usual residential address or date of birth of a registrable person.

(2) A Schedule 8C form to which this rule applies must contain the barcode indicated on that form in Schedule 8C

(3) A person reproducing that form for delivery to the registrar can obtain an image of the barcode from the registrar.

(4) The barcode must be included in the Schedule 8C form in the format supplied by the registrar including it being in black ink, 13.5 mm high and 70.5 mm wide.

(5) The barcode must be set out in the location indicated on the Schedule 8C form being as follows-

- (a) 41mm from the left edge of the page,
- (b) 47.5mm from the top edge of the page,
- (c) 236mm from the bottom of the page; and
- (d) 98.55mm from the right edge of the page.

**Orange coloured forms to be obtained from the registrar**

141. A document for which a form is provided in Part 2 of Schedule 8C must be delivered to the registrar on a form obtained from the registrar because the form must be on orange coloured paper.

**Purple coloured forms to be obtained from the registrar**

142. (1) This rule applies to a document if –

(a) it is a document for which a form is provided in Part 3 of Schedule 8C, and

(b) at the time of delivery to the registrar, one or both of the following apply:

- (i) in relation to one or more of the current or proposed registrable persons of the SLP, restrictions on using or disclosing the particulars of that person or persons in relation to that SLP are in force under regulation 45 of the Scottish Partnerships PSC Regulations, and
- (ii) in relation to one or more of the past registrable persons of the SLP, restrictions on using or disclosing the particulars of that person or persons in relation to that SLP are in force under regulation 45 of the Scottish Partnerships PSC Regulations and the fact that the person has ceased to be a registrable person in relation to that SLP has not yet been registered by the registrar.

(2) The forms in Part 1 of Schedule 8C must not be used to deliver to the registrar a document to which this rule applies and instead the document must be delivered to the registrar on a form obtained from the registrar because the form must be on purple coloured paper.

(3) A form in Part 3 of Schedule 8C cannot be used to deliver a document to which this rule does not apply.

#### **Use of black ink for text inserted in a Schedule 8C form**

143. Text inserted in a Schedule 8C form must be in black typescript or handwritten in black ink.

#### **Name and registered number**

144. (1) A document specified in the following table (being one for which these rules require a Schedule 8C form to be used) is required by legislation to contain the proposed name or name and registered number of the company or proposed company to which the document relates.

| Description of document   | Regulation of The Scottish Partnership PSC Regulations under which the document is delivered to the registrar | What is required by legislation?                  |
|---|---|---|
|   |   |   |
| Documents relating to disclosure of information relating to some people with significant control  |   |   |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by a SLP)                 | Regulation 48   | Name and registered number (if applicable)        |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by a Partner)             | Regulation 49   | Name and registered number (if applicable)        |
| Application to registrar to refrain from using or disclosing particulars relating to a person with significant control (application by a Prospective Partner) | Regulation 50   | Name of the proposed Scottish Limited Partnership |
| Application to registrar to make address unavailable for public inspection (application by an individual)   | Regulation 64   | Name and (if applicable) registered number        |

(2) All other Schedule 8C forms must contain the name and registered number of the SLP to which the Schedule 8C form relates.

(3) The name and registered number must be inserted in black typescript or handwritten in black ink in the name and number boxes on the Schedule 8C form.

### **Signature**

145. A Schedule 8C form must be signed by the person or persons indicated on the form. The signature must be applied to the Schedule 8C form where indicated on the form.

## **Chapter 3**

### **Non-scheduled form documents delivered under The Scottish Partnership PSC Regulations**

#### **Application of Chapter**

146 (1) Except as provided in paragraph (2), this Chapter applies to a non-scheduled form document delivered to the registrar under the Scottish Partnership PSC Regulations.

(2) This Chapter does not apply to certified copies, verified copies. Part 9 imposes requirements on certified copies and verified copies.

#### **White paper and black ink**

147. (1) Except as provided in paragraph (2), a document to which this Chapter applies must be on white paper and the text of the document must be in black typescript or handwritten in black ink.

(2) This rule does not apply to the following documents-

| Description of document(s)   | Regulation of The Scottish Partnership PSC Regulations under which the document is delivered to the registrar |
|--|---|
| Documents relating to disclosure of information relating to some people with significant control   |   |
| Notification that a person wishes a determination made under regulation 48, 49 or 50 of the Scottish Partnerships PSC Regulations to cease to have effect  | Regulation 55   |
| Representations from a SLP as to why a revocation decision should not be made in relation to a determination relating to regulation 48, 49 or 50 of the Scottish Partnerships PSC Regulations (where the application was made by an SLP) | Regulation 56   |
| Representations from a person who is not a SLP as to why a revocation decision should not be made in relation to a determination relating to regulation 48, 49 or 50 of the Scottish Partnerships PSC Regulations                        | Regulation 56   |



## Authentication

148. (1) A document specified in column 1 of the table delivered to the registrar must be authenticated by a person or persons specified in column 3 in accordance with the means specified and at the location specified in column 4 of the table. Column 2 references the legislative provision under which the document is delivered to the registrar.

(3) Where a printed name is given as a means of authentication it must in black typescript or handwritten in black ink.

| Description of document  | Regulation of The Scottish Partnership PSC Regulations under which the document is delivered to the registrar | Person or persons who must authenticate                                       | Means and location of authentication                    |
|--|---|---|---|
| Documents relating to disclosure of information relating to some people with significant control   |   |   |   |
| Notification that a person wishes a determination relating to secure information to cease to have effect   | Regulation 55   | The person to whom the determination relates or their personal representative | By printed name in a prominent position on the document |
| Representations from an SLP as to why a revocation decision should not be made in relation to a determination relating to secure information (where the application was made by a SLP) | Regulation 56   | The person making the representations   | By printed name in a prominent position on the document |
| Representations from a person who is not an SLP as to why a revocation decision should not be made in relation to a determination relating to secure information                       | Regulation 56   | The person making the representations   | By printed name in a prominent position on the document |

## **PART 9**

### **CERTIFIED COPIES AND VERIFIED COPIES**

#### **Chapter 1**

##### **Certified or verified copy of a document relating to a charge**

##### **Application of Chapter**

150. This Chapter applies to a certified copy or verified copy of an instrument or debenture delivered to the registrar under the following provisions-

- (a) Sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act,
- (b) regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009 applying sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act to section 1040 companies,
- (c) regulation 10(1) of the Overseas Companies (Execution of Documents and Registration of Charges) Regulations 2009<sup>22</sup>,
- (d) Article 9(1)(c)(ii) of the EC Regulation applying sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act to SEs,
- (e) regulations 32, 34 and 39 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act to LLPs, and
- (f) regulation 18 of the EEIG Regulations applying sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act to EEIGs.

##### **Requirements as to certification or verification**

151. (1) The certification or verification of a copy document to which this Chapter applies must be given-

- (a) (for a copy of an instrument effecting an amendment, variation or regulation delivered to the registrar under section 859O or that section as applied to the relevant entity) by a person with an interest in the charge or another charge referred to in section 859O(1)(b), and
  - (b) (for any other copy document) by a person interested in the charge.
- (2) The person giving the certificate or verification must sign at the end of the certificate or verification.

#### **Chapter 2**

##### **Certified copy of constitution of an overseas company**

##### **Application of Chapter**

152. This Chapter applies to a certified copy of the constitution of an overseas company delivered to the registrar under regulations 8(1), 14(2) or 15(2)(b)(i) of the Overseas Companies Regulations 2009.

##### **Requirements as to certification**

153. (1) The certification of a copy document to which this Chapter applies must be given by a director, secretary, permanent representative, administrator, administrative

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<sup>22</sup> S.I. 2009/1917.

receiver, receiver manager, receiver, or liquidator of the overseas company to which the copy relates.

(2) The certificate must be in black typescript or handwritten in black ink.

(3) The person giving the certificate must sign at the end of the certificate.

### **White paper and black ink**

154. A copy document to which this Chapter applies must be on white paper and in black typescript or handwritten in black ink.

### **Name and registered number**

155. (1) A certified copy of the constitution of an overseas company delivered under regulation 8(1) of the Overseas Companies Regulations 2009 must contain the name of the overseas company.

(2) All other copy documents to which this Chapter applies must contain the name and registered number of the overseas company to which the document relates.

(3) A name or registered number required by this rule must be inserted in black typescript or handwritten in black ink in a prominent position in the document.

## **PART 10 TRANSLATIONS**

### **Chapter 1 Interpretation provisions**

#### **Definitions**

156. In this Part-

“translation” means a translation into English, a translation into Welsh or a translation into a language other than English or Welsh as the case may be;

“translation into a language other than English or Welsh” means a translation into a language other than English or Welsh delivered to the registrar under

- (a) the following provisions applicable to companies
  - section 1106(1) of the 2006 Act, or
  - regulation 4(4) of the Companies (Cross-Border Mergers) Regulations 2007,
- (b) the following provisions applicable to section 1040 companies
  - section 1106(1) of the 2006 Act as applied to section 1040 companies by regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009, or
  - Regulation 4(4) of the Companies (Cross-Border Mergers) Regulations 2007 as applied to section 1040 companies by regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009,
- (c) the following provision applicable to unregistered companies
  - regulation 4(4) of the Companies (Cross-Border Mergers) Regulations 2007,
- (d) the following provision applicable to overseas companies
  - section 1106(1) of the 2006 Act as applied to overseas companies by section 1059A (5) of the 2006 Act,
- (e) the following provision applicable to SEs
  - section 1106(1) of the 2006 Act as applied to SEs by Article 9(1)(c)(ii) of the EC Regulation and regulation 13A (3) of the European Public Limited-Liability Company Regulations 2004,

- (f) the following provisions applicable to LLPs
  - regulation 68 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying section 1106(1) of the 2006 Act to LLPs, or
  - regulation 46 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying regulation 4(4) of the Companies (Cross-Border Mergers) Regulations 2007 to LLPs;

“translation into English” means a translation into English which is delivered to the registrar under

- (a) section 1105(1) of the 2006 Act other than a translation which relates to a credit or financial institution that is not an overseas company,
- (b) the following provisions applicable to companies
  - section 1104(2) of the 2006 Act, or
  - regulation 4(1)(b) or regulation 4(3) of the Companies (Cross-Border Mergers) Regulations 2007,
- (c) The following provision applicable to section 1040 companies
  - section 1104(2) of the 2006 Act as applied to section 1040 companies by regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009, or
  - regulation 4(1)(b) or regulation 4(3) of the Companies (Cross-Border Mergers) Regulations 2007 as applied to section 1040 companies by regulation 19 of the Companies (Registration of Other Companies) Regulations 2009,
- (d) the following provision applicable to unregistered companies
  - regulation 4(3) of the Companies (Cross-Border Mergers) Regulations 2007,
- (e) the following provision applicable to SEs
  - section 1104(2) of the 2006 Act as applied to SEs by Article 9(1)(c)(ii) of the EC Regulation, or
  - section 1105(1) of the 2006 Act as applied to SEs by regulation 13A (3) of the European Public Limited-Liability Company Regulations 2004,
- (f) the following provisions applicable to LLPs
  - regulation 68 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying section 1104(2) or section 1105(1) of the 2006 Act to LLPs,
  - regulation 46 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying regulation 4(1)(b) or regulation 4(3) of the Companies (Cross-Border Mergers) Regulations 2007 to LLPs,
- (g) the following provisions applicable to EEIGs
  - Article 10 of the EEIG EEC Regulation and regulations 9 and 12 of the EEIG Regulations, or
  - Article 7 of the EEIG EEC Regulation and regulation 13 of the EEIG Regulations.

“translation into Welsh” means a translation into Welsh delivered to the registrar under

- (a) the following provisions applicable to companies
  - section 1104(4) of the 2006 Act, or

- regulation 4(1)(b) of the Companies (Cross-Border Mergers) Regulations 2007,
- (b) the following provisions applicable to section 1040 companies
  - section 1104(4) of the 2006 Act as applied to section 1040 companies by regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009, or
  - regulation 4(1)(b) of the Companies (Cross-Border Mergers) Regulations 2007 as applied to section 1040 companies by regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009,
- (c) the following provision applicable to an SE
  - section 1104(4) of the 2006 Act as applied to SEs by Article 9(1)(c)(ii) of the EC Regulation,
- (d) the following provisions applicable to LLPs
  - regulation 68 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying section 1104(4) of the 2006 Act to LLPs, or
  - regulation 46 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying regulation 4(1)(b) of the Companies (Cross-Border Mergers) Regulations 2007 to LLPs.

## **Chapter 2**

### **Certification of a translation**

#### **Requirements as to certification of translation of a document relating to a charge**

157. (1) This rule applies to a translation of an instrument or debenture delivered to the registrar under the following provisions-

- (a) Sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act,
  - (b) regulation 18 of the Companies (Companies Authorised to Register) Regulations 2009 applying sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act to section 1040 companies,
  - (c) regulation 10(1) of the Overseas Companies (Execution of Documents and Registration of Charges) Regulations 2009,
  - (d) Article 9(1)(c)(ii) of the EC Regulation applying sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act to SEs,
  - (e) regulations 32, 34 and 39 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009 applying sections 862(2), 866(1), 867(2), 878(1), 880(2), 859A (3), 859B (3), 859B (4), 859C (3) and 859O(2)(a) of the 2006 Act to LLPs, and
  - (f) regulation 18 of the EEIG Regulations applying Part 25 of the 2006 Act to EEIGs.
- (2) The certification of a translation as accurate must be given-
- (a) (for a translation of an instrument effecting an amendment, variation or regulation delivered to the registrar under section 859O or that section as applied to the relevant entity) by a person with an interest in the charge or another charge referred to in section 859O(1)(b), and
  - (b) (for any other translation) by a person interested in the charge.
- (3) The certificate must be in black typescript or handwritten in black ink.
- (4) The person giving the certificate must sign at the end of the certificate.

**Requirements as to certification of other translations**

158. (1) This rule applies to the certification of a translation except one to which rule 128 applies.

(2) The certification of a translation as accurate must be given by one of the persons specified for that translation in the following table.

| Description of translation  | Person who must certify  |
|---|--|
| Translation of a document relating to a company or a section 1040 company | A director, secretary, person authorised, administrator, administrative receiver, receiver manager, receiver, liquidator; or if applicable, a CIC manager, receiver, and manager (appointed under section 18 of the Charities Act 1993) or judicial factor, in each case, of the company or section 1040 company to which the document relates |
| Translation of a document relating to an unregistered company             | A director, secretary, person authorised, administrator, administrative receiver, receiver manager, receiver, or liquidator, in each case, of the unregistered company to which the document relates   |
| Translation of a document relating to an overseas company                 | A director, secretary, permanent representative, administrator, administrative receiver, receiver manager, receiver, liquidator, or judicial factor, in each case, of the overseas company to which the document relates   |
| Translation of a document relating to an SE                               | A member, administrator, administrative receiver, receiver manager, receiver, liquidator; or if applicable, a CIC manager, receiver, and manager (appointed under section 18 of the Charities Act 1993) or judicial factor, in each case, of the SE to which the document relates  |
| Translation of a document relating to an LLP                              | A member, designated member, administrator, administrative receiver, receiver manager, receiver, liquidator, or judicial factor, in each case, of the LLP to which the document relates  |

(3) The certificate must be in black typescript or handwritten in black ink.

(4) The person giving the certificate must sign at the end of the certificate.

### **Chapter 3**

#### **Form and authentication of translations**

**Requirements as to form of translation**

159. (1) This rule imposes requirements on all translations. Rules 131 and 132 impose additional requirements as to form and authentication of some translations.

(2) A scheduled form translation (defined in paragraph (4)) must be delivered to the registrar in the relevant scheduled form. That translation must comply with the requirements in Parts 3, 4, 5, 6, 7 and 8 as the case may be which are applicable to that scheduled form except any such requirements as to signature, supply of name and registered number and supply of a print of the name of signatory.

(3) A non-scheduled form translation (defined in paragraph (4)) must be on white paper and the text of the translation must be in black typescript or handwritten in black ink.

(4) In this rule-

“non-scheduled form translation” means a translation which is not a scheduled form translation;

“scheduled form translation” means a translation of a document that is or was delivered in scheduled form or that would have been delivered in scheduled form if delivered in paper form instead of in electronic form.

### **Translation covering form (translation into a language other than English or Welsh)**

160. (1) This rule applies to a translation into a language other than English or Welsh. The requirements in this rule are in addition to those imposed by rule 159.

(2) A translation to which this rule applies must be accompanied by the following information-

(a) a description of the original document to which the translation relates, and

(b) (if the original document does not accompany the translation) the date of registration of that original document by the registrar.

(3) That information must be delivered to the registrar in a translation covering form (defined in paragraph (9)).

(4) A translation covering form must be reproduced as set out in Schedule 10 as to its text, layout and format and must be in black ink.

(5) A translation covering form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

(6) Text inserted in a translation covering form must be in black typescript or handwritten in black ink.

(7) A translation covering form must contain the name and registered number of the company or other body to which the form relates except that the requirement for registered number does not apply to such a form which relates to an unregistered company. The name and registered number must be inserted in black typescript or handwritten in black ink in the name and number boxes on the translation covering form.

(8) A translation covering form must be signed by one of the persons indicated on that form. The signature must be applied to the translation covering form where indicated on the form.

(9) In this rule-

“translation covering form” means the following form-

(a) (for a document relating to a company, a section 1040 company, an unregistered company, an overseas company, or an SE) the form in Part 1 of Schedule 10;

- (b) (for a document relating to an LLP) the form in Part 2 of Schedule 10.

**Name and registered number (translation into Welsh)**

161. A translation into Welsh must contain the name and registered number of the company or other body to which the translation relates. The name and registered number must be inserted in black typescript or handwritten in black ink in a prominent position in the translation.

**PART 11**  
**REPLACEMENT DOCUMENTS**

**Requirements applicable to a replacement document**

162. A replacement document (as defined in rule 4) must comply with the following-
- (a) the requirements in Part 2 (manner of delivery and receipt),
  - (b) the requirements in Parts 3, 4, 5, 6, 7, 8, 8B, 8C, 9 and 10 (as the case may be) that are applicable to that document, and
  - (c) the requirements in rule 164 (replacement covering form).

**Replacement covering form**

163. (1) A replacement document must be accompanied by the following information-
- (a) a description of the original document to which the replacement relates, and
  - (b) the date of registration of that original document by the registrar.
- (2) That information must be delivered to the registrar in a replacement covering form (defined in paragraph 8).
- (3) A replacement covering form must be reproduced as set out in Schedule 11 as to its text, layout and format and must be in black ink.
- (4) A replacement covering form must be on paper that complies with the following requirements-

|             |  |
|-------------|--|
| Size        | A4                                     |
| Colour      | White                                  |
| Orientation | Portrait (Shorter edge across the top) |

- (5) Text inserted in a replacement covering form must be in black typescript or handwritten in black ink.
- (6) A replacement covering form must contain the name and registered number of the company or other body to which the form relates except that the requirement for registered number does not apply to such a form which relates to an unregistered company. The name and registered number must be inserted in black typescript or handwritten in black ink in the name and number boxes on the replacement covering form.
- (7) A replacement covering form must be authenticated by one of the persons indicated on that form. The authentication must be applied to the replacement covering form where indicated on the form
- (8) In this rule-
- “replacement covering form” means the following form-



- (a) (for a document relating to a company, a section 1040 company, an unregistered company, an overseas company, or an SE) the form in Part 1 of Schedule 11;
- (b) (for a document relating to an LLP) the form in Part 2 of Schedule 11.

## **PART 12 REVOCATION**

### **Revocation of existing rules**

164. (1) The existing rules (defined in paragraph (3)) are revoked, subject to paragraph (2).

(2) The revocation of the existing rules does not affect the operation of those rules in relation to a document delivered to the registrar in pursuance of an obligation arising before 1<sup>st</sup> October 2009.

(3) In this rule-

“existing rules” means

- (a) the registrar’s rules 2007; and
- (b) the requirements in regulation 5 of the Companies (Welsh Language Forms and Documents) Regulations 1994<sup>23</sup> that took effect pursuant to paragraph 1 of Schedule 5 to the Companies Act 2006 (Commencement No.1, Transitional Provisions and Savings) Order 2006<sup>24</sup> as if they were imposed by means of rules under section 1117 of the 2006 Act;
- (c) (for a document relating to an SQP or SLP) the form in Part 3 of schedule 11.

Signed by:

***Gareth Jones*** - Registrar of Companies for England and Wales

***Dorothy Blair*** - Registrar of Companies for Scotland

***Helen Shilliday*** - Registrar of Companies for Northern Ireland

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<sup>23</sup> S.I. 1994/117

<sup>24</sup> S.I. 2006/3428

**SCHEDULE 1**  
**PROVISIONS CONFERRING POWERS EXERCISED IN MAKING THESE**  
**RULES**

- (1) The following provisions of the Companies Act 2006-  
Sections 1059A, 1068, 1071, 1076(3), 1106(4), 1111 and 1117
- (2) Section 26 of the Welsh Language Act 1993
- (3) The following provisions of the Companies (Cross-Border Mergers) Regulations 2007-  
Regulations 4(1)(b), 4(4), 12(6)(a) and 19(4)(a)
- (4) Regulation 3 of the Unregistered Companies Regulations 2009
- (5) Regulation 13A (3) of the European Public Limited-Liability Company Regulations 2004
- (6) The following provisions of the Limited Liability Partnerships Act 2000 and the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009  
Section 15 and 17 of the Limited Liability Partnerships Act 2000  
Regulation 46 and 68 of the Limited Liability Partnerships (Application of Companies Act 2006) Regulations 2009
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**SCHEDULE 2**  
**SCHEDULED FORMS FOR DOCUMENTS RELATING TO COMPANIES**  
**DELIVERED UNDER THE COMPANIES ACT 2006**

**Part 1 English forms**

| <b><u>Form</u></b>      | <b><u>Name of Form</u></b>  |
|-------------------------|---|
| <b><u>AA01</u></b>      | <u>Change of accounting reference date</u>  |
| <b><u>AA03</u></b>      | <u>Notice of resolution removing auditors from office</u>   |
| <b><u>RT01</u></b>      | <u>Application for administrative restoration to the Register</u>                                     |
| <b><u>AR01 2015</u></b> | <u>Annual Return</u>  |
| <b><u>CS01</u></b>      | Confirmation Statement  |
| <b><u>AD02</u></b>      | <u>Notification of single alternative inspection location (SAIL)</u>                                  |
| <b><u>AD03</u></b>      | <u>Change of location of the company records to the single alternative inspection location (SAIL)</u> |
| <b><u>AD04</u></b>      | <u>Change of location of the company records to the registered office</u>                             |
| <b><u>CC01</u></b>      | <u>Notice of restriction on the company's articles</u>  |
| <b><u>CC02</u></b>      | <u>Notice of removal of restriction on the company's articles</u>                                     |

|                    |  |
|--------------------|--|
| <b><u>CC03</u></b> | <u>Statement of compliance where amendment of articles restricted</u>                              |
| <b><u>CC04</u></b> | <u>Statement of company's objects</u>  |
| <b><u>CC05</u></b> | <u>Change of constitution by enactment</u>   |
| <b><u>CC06</u></b> | <u>Change of constitution by order of court or other authority</u>                                 |
| <b><u>NE01</u></b> | <u>Exemption from requirement as to use of "limited" or "cyfyngedig" on change of name</u>         |
| <b><u>NM01</u></b> | <u>Notice of change of name by resolution</u>  |
| <b><u>NM02</u></b> | <u>Notice of change of name by conditional resolution</u>  |
| <b><u>NM03</u></b> | <u>Notice confirming satisfaction of the conditional resolution for change of name</u>             |
| <b><u>NM04</u></b> | <u>Notice of change of name by means provided for in the articles</u>                              |
| <b><u>NM05</u></b> | <u>Notice of change of name by resolution of directors</u>   |
| <b><u>NM06</u></b> | <u>Request to seek comments of government department or other specified body on change of name</u> |
| <b><u>AD01</u></b> | <u>Change of registered office address</u>   |
| <b><u>EM01</u></b> | Change of registered email address   |
| <b><u>AD05</u></b> | <u>Notice to change the situation of an England and Wales company or a Welsh company</u>           |
| <b><u>AP01</u></b> | <u>Appointment of director</u>   |
| <b><u>AP02</u></b> | <u>Appointment of corporate director</u>   |
| <b><u>AP03</u></b> | <u>Appointment of secretary</u>  |
| <b><u>AP04</u></b> | <u>Appointment of corporate secretary</u>  |
| <b><u>TM01</u></b> | <u>Termination of appointment of director</u>  |
| <b><u>TM02</u></b> | <u>Termination of appointment of secretary</u>   |
| <b><u>CH01</u></b> | <u>Change of director's details</u>  |
| <b><u>CH02</u></b> | <u>Change of corporate director's details</u>  |
| <b>RP CH01</b>     | Correction of a director's date of birth which was incorrectly stated on incorporation             |
| <b><u>CH03</u></b> | <u>Change of secretary's details</u>   |
| <b><u>CH04</u></b> | <u>Change of corporate secretary's details</u>   |
| <b>EH01</b>        | Elect to keep register of directors' information on the public register                            |
| <b>EH02</b>        | Elect to keep directors' residential addresses on the central register                             |

|                    |  |
|--------------------|--|
| EH03               | Elect to keep register of secretary's information on the central register  |
| EH04               | Elect to keep register of people with significant control (PSC) information on the central register  |
| EH05               | Elect to keep register of members information on central register  |
| EH06               | Give notice of an update to members' information held on the central register  |
| EW01               | Withdraw register of directors' information from the central register  |
| EW02               | Withdraw usual residential addresses information from the central register   |
| EW03               | Withdraw register of secretaries' information from the central register  |
| EW04               | Withdraw register of people of significant control (PSC) information from the central register   |
| EW05               | Withdraw register of members' information from the public register   |
| <b><u>DS01</u></b> | <u>Striking off application by a company</u>   |
| <b><u>DS02</u></b> | <u>Withdrawal of striking off application by a company</u>   |
| <b><u>IN01</u></b> | <u>Application to register a company</u>   |
| <b><u>IC01</u></b> | <u>Notice of intention to carry on business as an investment company</u>   |
| <b><u>IC02</u></b> | <u>Notice that a company no longer wishes to be an investment company</u>  |
| <b><u>MR01</u></b> | <u>Particulars of a charge</u>   |
| <b><u>MR02</u></b> | <u>Particulars of a charge subject to which property or undertaking has been acquired</u>  |
| <b><u>MR03</u></b> | <u>Particulars for the registration of a charge to secure a series of debentures</u>   |
| <b><u>MR04</u></b> | <u>Statement of satisfaction in full or in part of a charge</u>  |
| <b><u>MR05</u></b> | <u>Statement that part or the whole of the property charged (a) has been released from the charge (b) no longer forms part of the company's property</u> |
| <b><u>MR06</u></b> | <u>Statement of a company acting as a trustee</u>  |
| <b><u>MR07</u></b> | <u>Particulars of alteration of a charge (particulars of a negative pledge)</u>  |
| <b><u>MR08</u></b> | <u>Particulars of a charge where there is no instrument</u>  |
| <b><u>MR09</u></b> | <u>Particulars of a charge subject to which property or undertaking has been acquired where there is no instrument</u>                                   |
| <b><u>MR10</u></b> | <u>Particulars for the registration of a charge in a series of debentures where there is no instrument</u>   |

|                     |   |
|---------------------|---|
| <b><u>RM01</u></b>  | <u>Notice of appointment of administrative receiver, receiver, or manager</u>   |
| <b><u>RM02</u></b>  | <u>Notice of Ceasing to act as administrative receiver, receiver or manager</u>   |
| <b><u>MG01</u></b>  | <u>Particulars of a mortgage or charge</u>  |
| <b><u>MG06</u></b>  | <u>Particulars of a charge subject to which property has been acquired</u>  |
| <b><u>MG07</u></b>  | <u>Particulars for the registration of a charge to secure a series of debentures</u>  |
| <b><u>MG08</u></b>  | <u>Particulars of an issue of secured debentures in a series</u>  |
| <b><u>MG09</u></b>  | <u>Certificate of registration of a charge comprising property situated in another UK jurisdiction</u>  |
| <b><u>AD06</u></b>  | <u>Notice of opening of overseas branch register</u>  |
| <b><u>AD07</u></b>  | <u>Notice of discontinuance of overseas branch register</u>   |
| <b><u>AP05</u></b>  | <u>Appointment of a manager under Section 47 of the Companies (Audit, Investigations and Community Enterprise) Act 2004 or receiver and manager under Section 18 of the Charities Act 1993 or judicial factor (Scotland)</u>                        |
| <b><u>TM03</u></b>  | <u>Termination of appointment of manager under Section 47 of the Companies (Audit, Investigations and Community Enterprise) Act 2004 or receiver and manager under Section 18 of the Charities Act 1993 or judicial factor (Scotland)</u>           |
| <b><u>CH05</u></b>  | <u>Change of service address for manager appointed under Section 47 of the Companies (Audit, Investigations and Community Enterprise) Act 2004 or receiver and manager under Section 18 of the Charities Act 1993 or judicial factor (Scotland)</u> |
| <b><u>RP01</u></b>  | <u>Replacement of document not meeting requirements for proper delivery</u>   |
| <b><u>RP02A</u></b> | <u>Application for rectification by the Registrar of Companies</u>  |
| <b><u>RP02B</u></b> | <u>Application for rectification of a registered office or a UK establishment address by the Registrar of Companies</u>   |
| <b><u>RP06</u></b>  | Application for removal of material about directors who have not consented to act   |
| <b><u>RP07</u></b>  | Application to change a company's disputed registered office address  |
| <b><u>RP08</u></b>  | Application to remove material  |
| <b><u>RR01</u></b>  | <u>Application by a private company for re-registration as a public company</u>   |
| <b><u>RR02</u></b>  | <u>Application by a public company for re-registration as a private limited company</u>   |

|                    |  |
|--------------------|--|
| <b><u>RR03</u></b> | <u>Notice by the company of application to the court for cancellation of resolution for re-registration</u>                            |
| <b><u>RR04</u></b> | <u>Notice by the applicants of application to the court for cancellation of resolution for re-registration</u>                         |
| <b><u>RR05</u></b> | <u>Application by a private limited company for re-registration as an unlimited company</u>  |
| <b><u>RR06</u></b> | <u>Application by an unlimited company for re-registration as a private limited company</u>  |
| <b><u>RR07</u></b> | <u>Application by a public company for re-registration as a private unlimited company</u>  |
| <b><u>RR08</u></b> | <u>Application by a public company for re-registration as a private limited company following a court order reducing capital</u>       |
| <b><u>RR09</u></b> | <u>Application by a public company for re-registration as a private company following a cancellation of shares</u>                     |
| <b><u>RR10</u></b> | <u>Application by a public company for re-registration as a private company following a reduction of capital due to redenomination</u> |
| <b><u>SH01</u></b> | <u>Return of allotment of shares</u>   |
| <b><u>SH02</u></b> | <u>Notice of consolidation, sub-division, redemption of shares or re-conversion of stock into shares</u>                               |
| <b><u>SH03</u></b> | <u>Return of purchase of own shares</u>  |
| <b><u>SH04</u></b> | <u>Notice of sale or transfer of treasury shares by a public limited company (PLC)</u>   |
| <b><u>SH05</u></b> | <u>Notice of cancellation of treasury shares by a public limited company (PLC)</u>   |
| <b><u>SH06</u></b> | <u>Notice of cancellation of shares</u>  |
| <b><u>SH07</u></b> | <u>Notice of cancellation of shares held by or for a public company</u>  |
| <b><u>SH08</u></b> | <u>Notice of name or other designation of class of shares</u>  |
| <b><u>SH09</u></b> | <u>Return of allotment by an unlimited company allotting new class of shares</u>   |
| <b><u>SH10</u></b> | <u>Notice of particulars of variation of rights attached to shares</u>   |
| <b><u>SH11</u></b> | <u>Notice of new class of members</u>  |
| <b><u>SH12</u></b> | <u>Notice of particulars of variation of class rights</u>  |
| <b><u>SH13</u></b> | <u>Notice of name or other designation of class of members</u>   |
| <b><u>SH14</u></b> | <u>Notice of redenomination</u>  |
| <b><u>SH15</u></b> | <u>Notice of reduction of capital following redenomination</u>   |

|                                    |  |
|------------------------------------|--|
| <b><u>SH16</u></b>                 | <u>Notice by the applicants of application to court for cancellation of the special resolution approving a redemption or purchase of shares out of capital</u> |
| <b><u>SH17</u></b>                 | <u>Notice by the company of application to court for cancellation of the special resolution approving a redemption or purchase of shares out of capital</u>    |
| <b><u>SH19 (108)</u></b>           | <u>Statement of capital (Section 108)</u>  |
| <b><u>SH19 (644 &amp; 649)</u></b> | <u>Statement of capital (Section 644 &amp; 649)</u>  |
| <b><u>SH19</u></b>                 | <u>Statement of capital (cancellation of bearer shares)</u>  |
| <b><u>SH50</u></b>                 | <u>Application for trading certificate for a public company</u>  |
| <b><u>SR01</u></b>                 | Application under section 1088 by an individual to make an address unavailable for public inspection by an individual  |
| PSC01                              | Give notice of individual person with significant control  |
| PSC02                              | Give notice of relevant legal entity with significant control  |
| PSC03                              | Give notice of other registrable person with significant control   |
| PSC04                              | Give notice of change of details for person with significant control   |
| PSC05                              | Give notice of change of details for relevant legal entity with significant control  |
| PSC06                              | Give notice of change of details of other registrable person with significant control  |
| PSC07                              | Give notice ceasing to be an individual person with significant control  |
| PSC08                              | Give notice of PSC statements  |
| PSC09                              | Give notice of update to PSC statements  |
| <b><u>MG01s</u></b>                | <u>Particulars of a charge created by a company registered in Scotland</u>   |
| <b><u>MG06s</u></b>                | <u>Particulars of a charge subject to which property has been acquired by a company registered in Scotland</u>   |
| <b><u>MG07s</u></b>                | <u>Particulars for the registration of a charge to secure a series of debentures by a company registered in Scotland</u>                                       |
| <b><u>MG08s</u></b>                | <u>Particulars of an issue of secured debentures in a series by a company registered in Scotland</u>   |
| <b><u>AA06</u></b>                 | <u>Statement of guarantee by a parent undertaking of a subsidiary company</u>  |

## Part 2 Welsh language forms

| <b><u>Ffurflenni</u></b><br><b><u>/ Form</u></b> | <b><u>Enw ffurflen / Name of form</u></b>  |
|--|--|
| <b><u>AP01c</u></b>                              | <u>Penodiad cyfarwyddwr / Appointment of director</u>  |
| <b><u>AP02c</u></b>                              | <u>Penodiad cyfarwyddwr corfforaethol / Appointment of corporate director</u>  |
| <b><u>AP03c</u></b>                              | <u>Penodiad ysgrifennydd / Appointment of secretary</u>  |
| <b><u>AP04c</u></b>                              | <u>Penodiad ysgrifennydd corfforaethol / Appointment of corporate secretary</u>  |
| <b><u>CH01c</u></b>                              | <u>Newid manylion cyfarwyddwr / Change of director's details</u>   |
| <b><u>CH02c</u></b>                              | <u>Newid manylion cyfarwyddwr corfforaethol / Change of corporate director's details</u>   |
| <b><u>CH03c</u></b>                              | <u>Newid manylion ysgrifennydd / Change of secretary's details</u>   |
| <b><u>CH04c</u></b>                              | <u>Newid manylion ysgrifennydd corfforaethol / Change of corporate secretary's details</u>   |
| <b><u>TM01c</u></b>                              | <u>Terfynu penodiad cyfarwyddwr / Termination of appointment of director</u>   |
| <b><u>TM02c</u></b>                              | <u>Terfynu penodiad ysgrifennydd / Termination of appointment of secretary</u>   |
| EH01c  | Dewis cadw gwybodaeth o gofrestr y cyfarwyddwyr ar y gofrestr ganolog (cyhoeddus) / Election to keep information from register of directors on the central (public) register   |
| EH02c  | Dewis cadw gwybodaeth o gofrestr cyfeiriadau preswyl arferol y cyfarwyddwyr ar y gofrestr ganolog (gyhoeddus) / Election to keep information from register of directors' residential addresses on the central (public) register                                    |
| EH03c  | Dewis cadw gwybodaeth o gofrestr yr ysgrifenyddion ar y gofrestr ganolog (gyhoeddus) / Election to keep information from register of secretaries on the public register  |
| EW01c  | Tynnu'n ôl y dewis i gadw gwybodaeth o gofrestr y cyfarwyddwyr ar y gofrestr ganolog (gyhoeddus) / Withdrawal of election to keep information from register of directors on the central (public) register  |
| <b>EW02c</b>                                     | Tynnu'n ôl y dewis i gadw gwybodaeth o gofrestr cyfeiriadau preswyl arferol y cyfarwyddwyr ar y gofrestr ganolog (gyhoeddus) / Withdrawal of election to keep information from register of director's usual residential addresses on the central (public) register |
| EW03c  | Tynnu'n ôl y dewis i gadw gwybodaeth o gofrestr yr ysgrifenyddion ar y gofrestr ganolog (gyhoeddus) / Withdrawal of election to keep information from register of secretaries on the central (public) register   |



|                                     |   |
|-------------------------------------|---|
| <b><u>AA01c</u></b>                 | <u>Newid dyddiad cyfeirnod cyfrifeg / Change of accounting reference date</u>   |
| <b><u>CS01c</u></b>                 | Datganiad cadarnhau / Confirmation statement  |
| <b><u>AR01c</u><br/><u>2015</u></b> | Ffurlen Flynyddol / Annual Return   |
| <b><u>SH01c</u></b>                 | <u>Dychwelyd cyfrannau a glustnodwyd / Return allotment of shares</u>   |
| <b><u>IN01c</u></b>                 | <u>Cais am gofrestru cwmni / Application to register a company</u>  |
| <b><u>NE01c</u></b>                 | <u>Eithrio rhag rheidrwydd defnyddio ‘cyfyngedig’ neu ‘limited’ wrth newid enw / Exemption from requirement as to use of ‘limited’ or ‘cyfyngedig’ on change of name</u>            |
| <b><u>NM01c</u></b>                 | <u>Rhoi gwybod am newid enw drwy benderfyniad / Notice of change of name by resolution</u>  |
| <b><u>AD01c</u></b>                 | <u>Newid cyfeiriad y swyddfa gofrestredig / Change of registered office address</u>   |
| <b><u>AD02c</u></b>                 | <u>Rhoi gwybod am leoliad archwilio amgen unigol (SAIL) / Notification of single alternative inspection location (SAIL)</u>   |
| <b><u>AD03c</u></b>                 | <u>Newid lleoliad cofnodion y cwmni i'r lleoliad archwilio amgen unigol (SAIL) / Change of location of the company records to the single alternative inspection location (SAIL)</u> |
| <b><u>AD04c</u></b>                 | <u>Newid lleoliad cofnodion y cwmni i'r swyddfa gofrestredig/ Change of location of the company records to the registered office</u>  |
| <b><u>AD05c</u></b>                 | <u>Hysbysiad i newid sefyllfa cwmni yn Lloegr a Chymru neu gwmni Cymreig / Notice to change the situation of an England and Wales company or a Welsh company</u>                    |
| <b><u>DS01c</u></b>                 | <u>Cais cwmni am gael ei ddileu o'r Gofrestr / Striking off application by a company</u>  |
| <b><u>DS02c</u></b>                 | <u>Tynnu'n ôl gais cwmni am gael ei ddileu o'r Gofrestr / Withdrawal of striking off application by a company</u>   |
| <b><u>PSC01c</u></b>                | Hysbysiad am berson a rheolaeth arwyddocaol (PRhA) unigol / Notice of individual person with significant control (PSC)  |
| <b><u>PSC02c</u></b>                |   |
| <b><u>PSC03c</u></b>                |   |
| <b><u>PSC04c</u></b>                | Newid ym manylion person a rheolaeth arwyddocaol (prhA) unigol / give notice of change of details for person with significant control (PSC04c)                                      |
| <b><u>PSC05c</u></b>                |   |
| <b><u>PCS06c</u></b>                |   |

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| PSC07c | Hysbysiad rhoi'r gorau I fod yn berson a rheolaeth arwyddocaol (PRhA) unigol / give notice ceasing to be an individual person with significant control |
| PSC08c |  |
| PSC09c |  |

### Part 3 Orange coloured forms

| <u>Form</u>        | <u>Name of Form</u>  |
|--------------------|--|
| <b>SR02</b>        | Application by a company under section 1088 to make members' addresses unavailable for public inspection   |
| <b>SR03</b>        | Application under section 1088 by a person who registered a charge to make an address unavailable for public inspection  |
| <b><u>SR04</u></b> | <u>Application under section 243 by an individual</u>  |
| <b>SR19</b>        | Application by an individual director who has a section 790ZF exemption to prevent their usual residential address being disclosed to a credit reference agency                                    |
| <b><u>SR05</u></b> | <u>Application under section 243 by a company</u>  |
| <b>SR20</b>        | Application by a company to prevent a director's (who has section 790ZF exemption) usual residential address being disclosed to a credit reference agency  |
| <b><u>SR06</u></b> | <u>Application under section 243 by a subscriber to a memorandum of association</u>  |
| <b>SR21</b>        | Application by a subscriber to a memorandum of association to prevent a director's (who has section 790ZF exemption) usual residential address being disclosed to a credit reference agency)       |
| <b>SR07</b>        | Application by an individual to prevent PSC information being disclosed on the public register and to prevent the PSC residential address being disclosed to credit reference agencies             |
| <b>SR08</b>        | Application by a company to prevent PSC information being disclosed on the public register and to prevent the PSC residential address being disclosed to credit reference agencies                 |
| <b>SR09</b>        | Application by a subscriber to a company to prevent PSC information being disclosed on the public register and to prevent the PSC residential address being disclosed to credit reference agencies |
| <b>SR10</b>        | Application under section 790ZF by an individual PSC to prevent their usual residential address being disclosed to a credit reference agency)  |
| <b>SR11</b>        | Application by a company to prevent an individual PSC's usual residential address being disclosed to a credit reference agency)  |

|             |  |
|-------------|--|
| <b>SR12</b> | Application by a subscriber to a memorandum of association to prevent an individual PSC's usual residential address being disclosed to a credit reference agency)  |
| <b>SR13</b> | Application by an individual to prevent all their PSC information being disclosed on the public register   |
| <b>SR14</b> | Application by a company to prevent PSC information being disclosed on the public register   |
| <b>SR15</b> | Application by a subscriber to a memorandum of association to prevent all PSC information being disclosed on the public register   |
| <b>SR16</b> | Application by an individual who has a section 243 exemption to prevent their usual residential address being disclosed to a credit reference agency   |
| <b>SR17</b> | Application by a company to prevent an individual PSC's (who has a section 243 exemption) usual residential address being disclosed to a credit reference agency   |
| <b>SR18</b> | Application by a subscriber to a memorandum of association to prevent a proposed individual PSC's (who has a section 243 exemption) usual residential address being disclosed to a credit reference agency |

#### **Part 4 Purple coloured forms**

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| <b>Form</b>      | <b>Name of Form</b>   |
|------------------|---|
| <b>IN01(ZG)</b>  | Application to register a company                                       |
| <b>PSC01(ZG)</b> | Give notice of individual person with significant control               |
| <b>PSC04(ZG)</b> | Give notice of change of details for person with significant control    |
| <b>PSC07(ZG)</b> | Give notice ceasing to be an individual person with significant control |
| <b>PSC08(ZG)</b> | Give notice of PSC statements   |
| <b>PSC09(ZG)</b> | Update to PSC statements  |

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### **SCHEDULE 3 SCHEDULED FORMS FOR DOCUMENTS RELATING TO COMPANIES DELIVERED UNDER THE COMPANIES (CROSS-BORDER MERGERS) REGULATIONS 2007**

| <u><b>Form</b></u> | <u><b>Name of Form</b></u> |
|--------------------|----------------------------|
|--------------------|----------------------------|

**CB01** [Notice of a cross border merger involving a UK registered company](#)

#### **SCHEDULE 4**

### **SCHEDULED FORMS FOR DOCUMENTS RELATING TO SECTION 1040 COMPANIES**

#### **Part 1 English forms**

| <b>Form</b>                      | <b>Name of Form</b>   |
|----------------------------------|---|
| <b><u>NC</u><br/><u>IN01</u></b> | <a href="#"><u>Application by a joint stock company for registration as a public company under the Companies Act 2006</u></a> |

#### **Part 2 Orange coloured forms**

| <b>Form</b>                      | <b>Name of Form</b>   |
|----------------------------------|---|
| <b><u>NC</u><br/><u>SR06</u></b> | <a href="#"><u>Application under section 243 by a subscriber to a memorandum of association</u></a> |

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#### **SCHEDULE 5**

### **SCHEDULED FORMS FOR ANNUAL RETURN RELATING TO UNREGISTERED COMPANIES**

| <b>Form</b>                      | <b>Name of Form</b>   |
|----------------------------------|---|
| <b><u>UN</u><br/><u>AR01</u></b> | <a href="#"><u>Annual Return for an unregistered company with a made-up date before 1 October 2011</u></a>      |
| <b><u>UN</u><br/><u>AR01</u></b> | <a href="#"><u>Annual Return for an unregistered company with a made-up date on or after 1 October 2011</u></a> |

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#### **SCHEDULE 6**

### **SCHEDULED FORMS FOR DOCUMENTS RELATING TO UNREGISTERED COMPANIES DELIVERED UNDER THE COMPANIES (CROSS-BORDER MERGERS) REGULATIONS 2007**

| <b>Form</b>                      | <b>Name of Form</b>   |
|----------------------------------|---|
| <b><u>UN</u><br/><u>CB01</u></b> | <a href="#"><u>Notice of a cross border merger involving an unregistered company that has a principal place of business in the UK</u></a> |

#### **SCHEDULE 7**

## SCHEDULED FORMS FOR DOCUMENTS RELATING OVERSEAS COMPANIES

### Part 1 English forms

| Form                     | Name of Form  |
|--------------------------|---|
| <u>OS</u><br><u>IN01</u> | <u>Registration of an overseas company opening a UK establishment</u>   |
| <u>OS</u><br><u>NM01</u> | <u>Registration of change of name of overseas company as registered in the UK</u>   |
| <u>OS</u><br><u>CC01</u> | <u>Return by an overseas company of an alteration to constitutional documents</u>   |
| <u>OS</u><br><u>CC02</u> | <u>Return by an overseas company of change of UK establishment relating to constitutional documents</u>   |
| <u>OS</u><br><u>AA01</u> | <u>Statement of details of parent law and other information for and overseas company</u>  |
| <u>OS</u><br><u>AA02</u> | <u>Return of alteration of manner of compliance with accounting requirements</u>  |
| <u>OS</u><br><u>AD02</u> | <u>Notice of location, or change in location, of instruments creating charges and register of charges for an overseas company</u>                         |
| <u>OS</u><br><u>AP01</u> | <u>Appointment of director of an overseas company</u>   |
| <u>OS</u><br><u>AP02</u> | <u>Appointment of corporate director of an overseas company</u>   |
| <u>OS</u><br><u>AP03</u> | <u>Appointment of secretary of an overseas company</u>  |
| <u>OS</u><br><u>AP04</u> | <u>Appointment of corporate secretary of an overseas company</u>  |
| <u>OS</u><br><u>AP05</u> | <u>Appointment by an overseas company of a person authorised to represent the company as a permanent representative in respect of a UK establishment</u>  |
| <u>OS</u><br><u>AP06</u> | <u>Appointment of a judicial factor (Scotland) for an overseas company</u>  |
| <u>OS</u><br><u>AP07</u> | <u>Appointment by an overseas company of a person authorised to accept service of documents on behalf of the company in respect of a UK establishment</u> |
| <u>OS</u><br><u>TM01</u> | <u>Termination of appointment of director of an overseas company</u>  |
| <u>OS</u><br><u>TM02</u> | <u>Termination of appointment of secretary of an overseas company</u>   |

|                           |   |
|---------------------------|---|
| <u><b>OS<br/>TM03</b></u> | <u>Termination of appointment by an overseas company of a person authorised to accept service of documents or person authorised to represent the company in respect of a UK establishment</u> |
| <u><b>OS<br/>TM04</b></u> | <u>Termination of appointment of judicial factor (Scotland) of an overseas company</u>  |
| <u><b>OS<br/>CH01</b></u> | <u>Return by a UK establishment of an overseas company for change of details</u>  |
| <u><b>OS<br/>CH02</b></u> | <u>Return by an overseas company for a change of company details</u>  |
| <u><b>OS<br/>CH03</b></u> | <u>Change of details of a director of an overseas company</u>   |
| <u><b>OS<br/>CH04</b></u> | <u>Change of details of a corporate director of an overseas company</u>   |
| <u><b>OS<br/>CH05</b></u> | <u>Change of details of a secretary of an overseas company</u>  |
| <u><b>OS<br/>CH06</b></u> | <u>Change of details of a corporate secretary of an overseas company</u>  |
| <u><b>OS<br/>CH07</b></u> | <u>Change of details by an overseas company for a person authorised to represent the company in respect of a UK establishment</u>   |
| <u><b>OS<br/>CH08</b></u> | <u>Change of service address for a judicial factor (Scotland) of an overseas company</u>  |
| <u><b>OS<br/>CH09</b></u> | <u>Change of details by an overseas company for a person authorised to accept service of documents on behalf of the company in respect of a UK establishment</u>                              |
| <u><b>OS<br/>DS01</b></u> | <u>Notice of closure of a UK establishment of an overseas company</u>   |
| <u><b>OS<br/>DS02</b></u> | <u>Notice of termination of winding up of an overseas company</u>   |
| <u><b>OS<br/>LQ01</b></u> | <u>Notice of appointment of a liquidator of an overseas company</u>   |
| <u><b>OS<br/>LQ02</b></u> | <u>Notice by an overseas company which becomes subject to proceedings relating to insolvency</u>  |
| <u><b>OS<br/>LQ03</b></u> | <u>Notice of winding up of an overseas company</u>  |
| <u><b>OS<br/>LQ04</b></u> | <u>Notice by an overseas company on cessation of proceedings relating to insolvency</u>   |
| <u><b>OS<br/>MG01</b></u> | <u>Particulars of a mortgage or charge by an overseas company</u>   |
| <u><b>OS<br/>MG02</b></u> | <u>Statement of satisfaction in full or in part of a mortgage or charge for an overseas company</u>   |

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| <b><u>OS</u></b><br><b><u>MG03</u></b> | <u>Application for registration of a memorandum of satisfaction that part (or the whole) of the property charged (a) has been released from the charge; (b) no longer forms part of the company's property, for an overseas company</u> |
| <b><u>OS</u></b><br><b><u>MG04</u></b> | <u>Particulars for the registration of a charge to secure a series of debentures for an overseas company</u>  |
| <b><u>OS</u></b><br><b><u>MG05</u></b> | <u>Particulars of an issue of secured debentures in a series for an overseas company</u>  |
| <b><u>OS</u></b><br><b><u>TN01</u></b> | <u>Transitional return by a UK establishment of an overseas company</u>   |

## Part 2 Orange coloured forms

| Form                                   | Name of Form  |
|--|---|
| <b><u>OS</u></b><br><b><u>SR01</u></b> | <u>Application for higher protection by a director or permanent representative of an overseas company to prevent disclosure to a credit reference agency of protected information</u> |
| <b><u>OS</u></b><br><b><u>SR02</u></b> | <u>Application for higher protection by an overseas company to prevent disclosure to a credit reference agency of protected information</u>   |

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## SCHEDULE 7A

### SCHEDULED FORMS FOR DOCUMENTS RELATING TO EUROPEAN PUBLIC-LIMITED LIABILITY COMPANIES

| Form                                   | Name of Form  |
|--|---|
| <b><u>SE</u></b><br><b><u>FM01</u></b> | Formation by merger of Societas Europea (SE) to be registered in the United Kingdom (UK)                  |
| <b><u>SE</u></b><br><b><u>FM02</u></b> | Formation of holding Societas Europaea (SE)   |
| <b><u>SE</u></b><br><b><u>FM03</u></b> | Formation of subsidiary Societas Europaea (SE) under Article 2(3) of Council Regulation (EC) No 2157/2001 |
| <b><u>SE</u></b><br><b><u>FM04</u></b> | Transformation of a Public Limited Company (PLC) to Societas Europaea (SE)                                |
| <b><u>SE</u></b><br><b><u>FM05</u></b> | Formation of subsidiary Societas Europaea (SE) under Article 3(2) of Council Regulation (EC) No 2157/2001 |
| <b><u>SE</u></b><br><b><u>TR02</u></b> | Transfer to the United Kingdom (UK) of Societas Europaea (SE)   |

|                                  |  |
|----------------------------------|--|
| <b><u>SE</u><br/><u>TR03</u></b> | Transfer from the United Kingdom (UK) of Societas Europaea (SE)  |
| <b><u>SE</u><br/><u>DT01</u></b> | Draft terms of formation of holding Societas Europaea (SE) involving a United Kingdom (UK) registered company or SE  |
| <b><u>SE</u><br/><u>DT02</u></b> | Draft terms of conversion of a Public Limited Company (PLC) to Societas Europaea (SE)  |
| <b><u>SE</u><br/><u>TR01</u></b> | Proposed transfer from the United Kingdom (UK) of Societas Europaea (SE)   |
| <b><u>SE</u><br/><u>SC01</u></b> | Notice of satisfaction of conditions for the formation of holding Societas Europaea (SE) by a United Kingdom (UK) registered company or SE                               |
| <b><u>SE</u><br/><u>SS01</u></b> | Statement of solvency by members of Societas Europaea (SE) which is proposing to transfer from the United Kingdom (UK)   |
| <b><u>SE</u><br/><u>AP01</u></b> | Appointment of a member of a supervisory organ of a Societas Europaea (SE)   |
| <b><u>SE</u><br/><u>AP02</u></b> | Appointment of corporate member of a supervisory organ of Societas Europaea (SE)   |
| <b><u>SE</u><br/><u>CH01</u></b> | Change of member's details of a supervisory organ of a Societas Europaea (SE)  |
| <b><u>SE</u><br/><u>CH02</u></b> | Change of member's details of a supervisory organ of a Societas Europaea (SE)  |
| <b><u>SE</u><br/><u>TM01</u></b> | Terminating appointment of member of a supervisory organ of Societas Europaea (SE)   |
| <b><u>SE</u><br/><u>AS01</u></b> | Amendment of Statutes of a Societas Europaea (SE)  |
| <b><u>SE</u><br/><u>WU01</u></b> | Notice of initiation or termination of winding up, liquidation, insolvency, cessation of payment procedures and decision to continue operating of Societas Europaea (SE) |
| <b><u>SE</u><br/><u>CV01</u></b> | Conversion of Societas Europaea (SE) to a Public Limited Company (PLC)   |
| <b><u>SE</u><br/><u>DT03</u></b> | Notification of draft terms of conversion of Societas Europaea (SE) to a Public Limited Company (PLC)  |

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## SCHEDULE 8

### SCHEDULED FORMS FOR DOCUMENTS RELATING TO LIMITED LIABILITY PARTNERSHIPS

#### Part 1 English forms

| Form | Name of Form |
|------|--------------|
|------|--------------|



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|---------------------------|---|
| <b><u>LL<br/>IN01</u></b> | <u>Application for the incorporation of a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>AP01</u></b> | <u>Appointment of member of a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>AP02</u></b> | <u>Appointment of corporate member of a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>AP03</u></b> | <u>Appointment of judicial factor (Scotland) to a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>CH01</u></b> | <u>Change of details of a member of a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>CH02</u></b> | <u>Change of details of a corporate member of a Limited Liability Partnership (LLP)</u>   |
| <b>RP LL<br/>CH01</b>     | Correction of the date of birth of a member of a limited liability partnership (LLP) which was incorrectly stated on incorporation            |
| <b><u>LL<br/>CH03</u></b> | <u>Change of service address for a judicial factor (Scotland) of a Limited Liability Partnership (LLP)</u>                                    |
| <b><u>LL<br/>TM01</u></b> | <u>Termination of appointment of member of a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL<br/>TM02</u></b> | <u>Termination of appointment of a judicial factor (Scotland) of a Limited Liability Partnership (LLP)</u>                                    |
| LL<br>EH01                | Elect to keep register of members information on the central register   |
| LL<br>EH02                | Elect to keep register of LLP members' residential addresses information on the central register  |
| LL<br>EH04                | Elect to keep register of people with significant control (PSC) information on the central register for a limited liability partnership (LLP) |
| LL<br>EW01                | Withdraw register of LLP members information from the central register for a Limited Liability Partnership (LLP)                              |
| LL<br>EW02                | Withdraw register of members' usual residential addresses information from the central register for a Limited Liability Partnership (LLP)     |
| LL<br>EW04                | Withdraw register of people of significant control (PSC) information from the central register for a Limited Liability Partnership (LLP)      |
| <b><u>LL<br/>AA01</u></b> | <u>Change of accounting reference date of a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>AA02</u></b> | <u>Notice of removal of auditor from a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL<br/>AD01</u></b> | <u>Change of registered office of a Limited Liability Partnership (LLP)</u>   |

|                            |   |
|----------------------------|---|
| <b><u>LL<br/>AD02</u></b>  | <u>Notification of the single alternative inspection location (SAIL) of a Limited Liability Partnership (LLP)</u>                           |
| <b><u>LL<br/>AD03</u></b>  | <u>Change of location of the records to the single alternative inspection location (SAIL) of a Limited Liability Partnership (LLP)</u>      |
| <b><u>LL<br/>AD04</u></b>  | <u>Change of location of the records to the registered office of a Limited Liability Partnership (LLP)</u>                                  |
| <b><u>LL<br/>AD05</u></b>  | <u>Notice to change the situation of an England and Wales Limited Liability Partnership or a Welsh Limited Liability Partnership (LLP)</u>  |
| <b><u>LL<br/>CS01</u></b>  | <u>Confirmation Statement</u>   |
| <b><u>LL<br/>AR01</u></b>  | <u>Annual Return of a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>DE01</u></b>  | <u>Notice of change of status of a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL<br/>NM01</u></b>  | <u>Notice of change of name of a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL<br/>DS01</u></b>  | <u>Striking off of application by a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL<br/>DS02</u></b>  | <u>Withdrawal of striking off application by a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL<br/>RP01</u></b>  | <u>Replacement of document not meeting requirements for proper delivery for a Limited Liability Partnership (LLP)</u>                       |
| <b><u>LL<br/>RP02A</u></b> | <u>Application for rectification by the Registrar of Companies for a Limited Liability Partnership (LLP)</u>                                |
| <b><u>LL<br/>RP02B</u></b> | <u>Application for rectification of a registered office address by the Registrar of Companies for a Limited Liability Partnership (LLP)</u> |
| <b><u>LL<br/>RT01</u></b>  | <u>Application for administrative restoration of a Limited Liability Partnership (LLP) to the Register</u>                                  |
| <b>SR01</b>                | Application under section 1088 by an individual to make an address unavailable for public inspection  |
| <b>LL<br/>PSC01</b>        | Give notice of individual person with significant control of a limited liability partnership  |
| <b>LL<br/>PSC02</b>        | Give notice of relevant legal entity with significant control of a limited liability partnership  |
| <b>LL<br/>PSC03</b>        | Give notice of other registrable person with significant control of a limited liability partnership   |
| <b>LL<br/>PSC04</b>        | Give notice to change details of a person with significant control of a limited liability partnership                                       |

|                                  |  |
|----------------------------------|--|
| <b>LL<br/>PSC05</b>              | Give details of relevant legal entity with significant control of a limited liability partnership  |
| <b>LL<br/>PSC06</b>              | Give notice changing details of other person with significant control of a limited liability partnership   |
| <b>LL<br/>PSC07</b>              | Give notice of ceasing to be a PSC, RLE or ORP of an LLP   |
| <b>LL<br/>PSC08</b>              | Give notice of a person of PSC statements for a limited liability partnership  |
| <b>LL<br/>PSC09</b>              | Give notice of update to PSC statements for a Limited Liability Partnership (LLP)  |
| <b><u>LL</u><br/><u>MR01</u></b> | <u>Particulars of a charge created by a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL</u><br/><u>MR02</u></b> | <u>Particulars of a charge subject to which property or undertaking has been acquired by a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL</u><br/><u>MR03</u></b> | <u>Particulars for the registration of a charge to secure a series of debentures by a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL</u><br/><u>MR04</u></b> | <u>Statement of satisfaction in full or in part of a charge by a Limited Liability Partnership (LLP)</u>   |
| <b><u>LL</u><br/><u>MR05</u></b> | <u>Statement that part or the whole of the property charged (a) has been released from the charge (b) no longer forms part of the Limited Liability Partnership's (LLP)'s property</u> |
| <b><u>LL</u><br/><u>MR06</u></b> | <u>Statement of Limited Liability Partnership (LLP) acting as a trustee</u>  |
| <b><u>LL</u><br/><u>MR07</u></b> | <u>Particulars of alteration of a charge for a Limited Liability Partnership (LLP) (Particulars of a negative pledge)</u>  |
| <b><u>LL</u><br/><u>MR08</u></b> | <u>Particulars of a charge created by a Limited Liability Partnership (LLP) where there is no instrument</u>   |
| <b><u>LL</u><br/><u>MR09</u></b> | <u>Particulars of a charge subject to which property or undertaking has been acquired by a Limited Liability Partnership (LLP) where there is no instrument</u>                        |
| <b><u>LL</u><br/><u>MR10</u></b> | <u>Particulars for the registration of a charge in a series of debentures by a Limited Liability Partnership (LLP) where there is no instrument</u>                                    |
| <b><u>LL</u><br/><u>RM01</u></b> | <u>Notice of appointment of administrative receiver, receiver, or manager</u>  |
| <b><u>LL</u><br/><u>RM02</u></b> | <u>Notice of Ceasing to act as administrative receiver, receiver or manager</u>  |
| <b><u>LL</u><br/><u>MG01</u></b> | <u>Particulars of a mortgage or charge created by a Limited Liability Partnership (LLP)</u>  |
| <b><u>LL</u><br/><u>MG06</u></b> | <u>Particulars of charge subject to which property has been acquired by a Limited Liability Partnership (LLP)</u>  |

|                                 |  |
|---------------------------------|--|
| <a href="#"><u>LL MG07</u></a>  | <a href="#"><u>Particulars for the registration of a charge to secure a series of debentures by a Limited Liability Partnership (LLP)</u></a>                        |
| <a href="#"><u>LL MG08</u></a>  | <a href="#"><u>Particulars of an issue of secured debentures in a series by a Limited Liability Partnership (LLP)</u></a>  |
| <a href="#"><u>LL MG09</u></a>  | <a href="#"><u>Certificate of registration of a charge comprising property situated in another UK jurisdiction by a Limited Liability Partnership (LLP)</u></a>      |
| <a href="#"><u>LL MG01s</u></a> | <a href="#"><u>Particulars of a charge created by a Limited Liability Partnership (LLP) registered in Scotland</u></a>   |
| <a href="#"><u>LL MG06s</u></a> | <a href="#"><u>Particulars of a charge subject to which property has been acquired by a Limited Liability Partnership (LLP) registered in Scotland</u></a>           |
| <a href="#"><u>LL MG07s</u></a> | <a href="#"><u>Particulars for the registration of a charge to secure a series of debentures by a Limited Liability Partnership (LLP) registered in Scotland</u></a> |
| <a href="#"><u>LL MG08s</u></a> | <a href="#"><u>Particulars of an issue of secured debentures in a series by a Limited Liability Partnership (LLP) registered in Scotland</u></a>                     |
| <a href="#"><u>LL CB01</u></a>  | <a href="#"><u>Notice of a cross border merger involving a UK registered Limited Liability Partnership (LLP)</u></a>   |
| <a href="#"><u>LL AA06</u></a>  | <a href="#"><u>Statement of guarantee by a parent undertaking of a subsidiary Limited Liability Partnership (LLP)</u></a>  |

## Part 2 Welsh language forms

| Form                            | Name of Form  |
|---------------------------------|---|
| <a href="#"><u>LL AA01c</u></a> | <a href="#"><u>Newid dyddiad cyfeirnod cyfrifeg Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u></a>   |
| <a href="#"><u>LL AD01c</u></a> | <a href="#"><u>Newid cyfeiriad swyddfa gofrestredig Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u></a>   |
| <a href="#"><u>LL AD02c</u></a> | <a href="#"><u>Rhoi gwybod am leoliad archwilio amgen unigol (SAIL) Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u></a>   |
| <a href="#"><u>LL AD03c</u></a> | <a href="#"><u>Newid lleoliad y cofnodion i leoliad archwilio amgen unigol (SAIL) Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u></a>                                 |
| <a href="#"><u>LL AD04c</u></a> | <a href="#"><u>Newid lleoliad y cofnodion i swyddfa gofrestredig Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u></a>  |
| <a href="#"><u>LL AD05c</u></a> | <a href="#"><u>Hysbysiad am newid sefyllfa Partneriaeth Atebolrwydd Cyfyngedig yn Lloegr a Chymru neu Bartneriaeth Atebolrwydd Cyfyngedig (PAC) yng Nghymru</u></a> |
| <a href="#"><u>LL CS01c</u></a> | <a href="#"><u>Datganiad cadarnhau / Confirmation statement</u></a>   |
| <a href="#"><u>LL AP01c</u></a> | <a href="#"><u>Penodi aelod o Bartneriaeth Atebolrwydd Cyfyngedig (PAC)</u></a>   |

|                        |   |
|------------------------|---|
| <b><u>LL AP02c</u></b> | <u>Penodi aelod corfforaethol o Bartneriaeth Atebolrwydd Cyfyngedig (PAC)</u>   |
| <b><u>LL CH01c</u></b> | <u>Newid manylion aelod o Bartneriaeth Atebolrwydd Cyfyngedig (PAC)</u>   |
| <b><u>LL CH02c</u></b> | <u>Newid manylion aelod corfforaethol o Bartneriaeth Atebolrwydd Cyfyngedig (PAC)</u>   |
| <b><u>LL TM01c</u></b> | <u>Terfynu penodiad aelod o Bartneriaeth Atebolrwydd Cyfyngedig (PAC)</u>   |
| <b><u>LL AR01c</u></b> | <u>Ffurflen Flynyddol Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u>   |
| LL EH01c               | Dewis cadw gwybodaeth o gofrestru aelodau PAC ar y gofrestr ganolog (cyhoeddus) / Election to keep information from register of LLP members on the central (public) register  |
| LL EH02c               | Dewis cadw gwybodaeth o gofrestr cyfeiriadau preswyl y aelodau PAC ar y gofrestr ganolog (gyhoeddus) / Election to keep information from register of LLP members' usual residential addresses on the central (public) register                                    |
| <b>LL EW01c</b>        | Tynnu'n ol y dewis i gadw gwybodaeth o gofrestr y aelodau PAC ar y gofrestr ganolog (gyhoeddus) / Withdrawal of election to keep information from register of LLP members on the central (public) register  |
| <b>LL EW02c</b>        | Tynnu'n ol y dewis i gadw gwybodaeth o gofrestr cyfeiriadau preswyl arferol aelodau PAC ar y gofrestr ganolog (gyhoeddus) / Withdrawal of election to keep information from register of LLP members' usual residential addresses on the central (public) register |
| <b><u>LL DE01c</u></b> | <u>Hysbysiad am newid statws Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u>  |
| <b><u>LL IN01c</u></b> | <u>Cais am gorffori Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u>   |
| <b><u>LL NM01c</u></b> | <u>Rhoi gwybod am newid enw Partneriaeth Atebolrwydd Cyfyngedig (PAC)</u>   |
| <b><u>LL DS01c</u></b> | <u>Cais Partneriaeth Atebolrwydd Cyfyngedig (PAC) am gael ei ddileu o'r Gofrestr</u>  |
| <b><u>LL DS02c</u></b> | <u>Tynnu'n ôl gais dileu gan Bartneriaeth Atebolrwydd Cyfyngedig (PAC)</u>  |
| LL PSC01c              |   |
| LL PSC02c              |   |
| LL PSC03c              |   |
| LL PSC04c              |   |
| LL PSC05c              |   |

|                  |  |
|------------------|--|
| <b>LL PSC06c</b> |  |
| <b>LL PSC07c</b> |  |
| <b>LL PSC08c</b> |  |
| <b>LL PSC09c</b> |  |

### Part 3 Orange coloured forms

| <b>Form</b>           | <b>Name of Form</b>   |
|-----------------------|---|
| <b>SR03</b>           | Application under section 1088 by a person who registered a charge to make an address unavailable for public inspection   |
| <b><u>LL SR03</u></b> | <u>Application under section 243 by an individual member of a Limited Liability Partnership (LLP)</u>   |
| <b>LL SR18</b>        | Application by an individual LLP member who has a section 790ZF exemption to prevent their usual residential address being disclosed to a credit reference agency   |
| <b><u>LL SR04</u></b> | <u>Application under section 243 by a Limited Liability Partnership (LLP)</u>   |
| <b>LL SR19</b>        | Application by an LLP to prevent an LLP member's (who has a section 790ZF exemption) usual residential address being disclosed to a credit reference agency   |
| <b><u>LL SR05</u></b> | <u>Application under section 243 by a proposed member of a proposed Limited Liability Partnership (LLP)</u>   |
| <b>LL SR20</b>        | Application by a proposed member of a Limited Liability Partnership (LLP) to prevent an LLP member's (who has a section 790ZF exemption) usual residential address being disclosed to a credit reference agency                     |
| <b>LL SR06</b>        | Application by an individual PSC of a Limited Liability Partnership (LLP) to prevent PSC information being disclosed on the public register and to prevent the PSC residential address being disclosed to credit reference agencies |
| <b>LL SR07</b>        | Application by a Limited Liability Partnership (LLP) to prevent PSC information being disclosed on the public register and to prevent the PSC residential address being disclosed to a credit reference agency                      |
| <b>LL SR08</b>        | Application by a proposed member of a Limited Liability Partnership (LLP) to prevent PSC information being disclosed on the public register and to prevent the PSC residential address being disclosed to credit reference agencies |
| <b>LL SR09</b>        | Application under section 790ZF by an individual PSC to prevent their usual residential address being disclosed to a credit reference agency  |
| <b>LL SR10</b>        | Application by an LLP to prevent an individual PSC's usual residential address being disclosed to a credit reference agency   |

|                |   |
|----------------|---|
| <b>LL SR11</b> | Application by a proposed member of a Limited Liability Partnership (LLP) to prevent an individual PSC's usual residential address being disclosed to a credit reference agency                                     |
| <b>LL SR12</b> | Application by an individual to prevent all their PSC information being disclosed on the public register  |
| <b>LL SR13</b> | Application by an LLP to prevent PSC information being disclosed on the public register   |
| <b>LL SR14</b> | Application by a proposed member of a Limited Liability Partnership (LLP) to prevent all PSC information being disclosed to the public register   |
| <b>LL SR15</b> | Application by an individual who has section 243 exemption to prevent their usual residential address being disclosed to a credit reference agency  |
| <b>LL SR16</b> | Application by an LLP to prevent an individual PSC's (who has a section 243 exemption) usual residential address being disclosed to a credit reference agency   |
| <b>LL SR17</b> | Application by a proposed member of a Limited Liability Partnership (LLP) to prevent a proposed individual PSC's (who has a section 243 exemption) residential address being disclosed to a credit reference agency |

#### Part 4 Purple coloured forms

| Form                                 | Name of Form  |
|--------------------------------------|---|
| <b><u>LL</u><br/><u>IN01(ZG)</u></b> | Application to register an LLP  |
| <b>LL PSC01<br/>(ZG)</b>             | Give notice of individual person with significant control               |
| <b>LL PSC04<br/>(ZG)</b>             | Give notice of change of details for person with significant control    |
| <b>LL PSC07<br/>(ZG)</b>             | Give notice ceasing to be an individual person with significant control |
| <b>LL PSC08<br/>(ZG)</b>             | Give notice of PSC statements   |
| <b>LL PSC09<br/>(ZG)</b>             | Update to PSC statements  |

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### SCHEDULE 8A

#### SCHEDULED FORMS FOR DOCUMENTS RELATING TO EUROPEAN ECONOMIC INTEREST GROUPINGS

| <b>Form</b>        | <b>Name of Form</b>  |
|--------------------|--|
| <b>EE<br/>MP01</b> | Notice of documents and particulars required to be filed for an EEIG   |
| <b>EE<br/>AP01</b> | Appointment of a manager of an EEIG where the official address of the EEIG is in the UK  |
| <b>EE<br/>AP02</b> | Appointment of corporate manager of an EEIG where the official address of the EEIG is in the UK  |
| <b>EE<br/>CH01</b> | Change of managers details of an EEIG where the official address of the EEIG is in the UK  |
| <b>EE<br/>CH02</b> | Change of corporate manager's details of an EEIG where the official address of the EEIG is in the UK   |
| <b>EE<br/>TM01</b> | Termination of an appointment of a manager of an EEIG where the official address is in the UK  |
| <b>EE<br/>FM01</b> | Registration of an EEIG whose official address is in the UK  |
| <b>EE<br/>FM02</b> | Statement of name, Registration of establishment of EEIG whose official address is outside the UK  |
| <b>EE<br/>NM01</b> | Registration of change of name, other than its grouping name, under which it proposes to carry on business in the UK   |
| <b>EE<br/>NM02</b> | Statement of name other than registered name under which an EEIG whose official address is outside the UK proposes to carry on business in substitution for the name previously approved |
| <b>EE<br/>MP02</b> | Notice of setting up or closure of an establishment of an EEIG whose official address is outside the UK  |

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## SCHEDULE 8B

### SCHEDULED FORMS FOR DOCUMENTS RELATING TO SCOTTISH QUALIFYING PARTNERSHIPS

#### Part 1 English forms

| <b>Form</b>          | <b>Name of Form</b>   |
|----------------------|---|
| <b>SQP1</b>          | Registration of a Scottish Qualifying Partnership   |
| <b>SQP2</b>          | Change of details for a Scottish Qualifying Partnership                                   |
| <b>SQP3</b>          | Notice of ceasing to be a Scottish Qualifying Partnership                                 |
| <b>SQP<br/>PSC01</b> | Notice of individual Person with Significant control of a Scottish Qualifying Partnership |



|                      |   |
|----------------------|---|
| <b>SQP<br/>PSC02</b> | Notice of relevant legal entity (RLE) Person with significant control of a Scottish Qualifying Partnership  |
| <b>SQP<br/>PSC03</b> | Notice of other registrable person with significant control of a Scottish Qualifying Partnership            |
| <b>SQP<br/>PSC04</b> | Notice of change of individual person with significant control details of a Scottish Qualifying Partnership |
| <b>SQP<br/>PSC05</b> | Notice of Change of relevant legal entity (RLE) details of a Scottish Qualifying Partnership                |
| <b>SQP<br/>PSC06</b> | Notice of Change of details of other registrable person of a Scottish Qualifying Partnership                |
| <b>SQP<br/>PSC07</b> | Notice of ceasing to be a person with significant control of a Scottish Qualifying Partnership              |
| <b>SQP<br/>PSC08</b> | Notice of additional matters for a Scottish Qualifying Partnership  |
| <b>SQP<br/>PSC09</b> | Give notice of updates to PSC statements for a Scottish Qualifying Partnership                              |
| <b>SR01</b>          | Application under section 1088 by an individual to make an address unavailable for public inspection        |

## Part 2 Orange coloured forms

| Form               | Name of Form   |
|--------------------|--|
| <b>SP<br/>SR01</b> | <u>Application by an individual to prevent all their PSC information being disclosed on the public register</u>  |
| <b>SP<br/>SR02</b> | <u>Application by a partnership to prevent an individual's PSC information being disclosed on the public register</u>  |
| <b>SP<br/>SR03</b> | <u>Application by a prospective partner of a prospective Scottish limited partnership or Scottish qualifying partnership to prevent an individual's PSC information being disclosed on the public register</u> |

## Part 3 Purple coloured forms

| Form                            | Name of Form   |
|---------------------------------|--|
| <b>Secure<br/>SQP1</b>          | Registration of a Scottish Qualifying Partnership  |
| <b>Secure<br/>SQP<br/>PSC01</b> | Notice of individual Person with Significant control of a Scottish Qualifying Partnership  |
| <b>Secure<br/>SQP<br/>PSC04</b> | Notice of change of individual person with significant control details of a Scottish Qualifying Partnership Scottish Partnership |

|                                 |  |
|---------------------------------|--|
| <b>Secure<br/>SQP<br/>PSC07</b> | Notice of ceasing to be a person with significant control of a Scottish Qualifying Partnership |
| <b>Secure<br/>SQP<br/>PSC08</b> | Notice of additional matters of a Scottish Qualifying Partnership                              |
| <b>Secure<br/>SQP<br/>PSC09</b> | Give notice of updates to PSC statements of Scottish Qualifying Partnership                    |

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**SCHEDULE 8C**  
**SCHEDULED FORMS FOR DOCUMENTS RELATING TO SCOTTISH**  
**LIMITED PARTNERSHIPS**

**Part 1 English forms**

| <b>Form</b>      | <b>Name of Form</b>   |
|------------------|---|
| <b>SLP CS01</b>  | Confirmation Statement for a Scottish Limited Partnership   |
| <b>SLP PSC01</b> | Notice of individual Person with Significant control of a Scottish Limited Partnership                  |
| <b>SLP PSC02</b> | Notice of relevant legal entity (RLE) Person with significant control of a Scottish Limited Partnership |
| <b>SLP PSC03</b> | Notice of other registrable person with significant control of a Scottish Limited Partnership           |
| <b>SLP PSC04</b> | Change of individual person with significant control details of a Scottish Limited Partnership          |
| <b>SLP PSC05</b> | Change of relevant legal entity (RLE) details of a Scottish Limited Partnership                         |
| <b>SLP PSC06</b> | Change of details of other registrable person of significant control of a Scottish Limited Partnership  |
| <b>SLP PSC07</b> | Notice of ceasing to be a person with significant control of a Scottish Limited Partnership             |
| <b>SLP PSC08</b> | Notice of additional matters of a Scottish Limited Partnership  |
| <b>SLP PSC09</b> | Give notice of updates to PSC statements of Scottish Limited Partnership                                |
| <b>SR01</b>      | Application under section 1088 by an individual to make an address unavailable for public inspection    |

**Part 2 Orange coloured forms**

| <b>Form</b>    | <b>Name of Form</b>   |
|----------------|---|
| <b>SP SR01</b> | Application by an individual to prevent all their PSC information being disclosed on the public register  |
| <b>SP SR02</b> | Application by a partnership to prevent an individual's PSC information being disclosed on the public register  |
| <b>SP SR03</b> | Application by a prospective partner of a prospective Scottish limited partnership or Scottish qualifying partnership to prevent an individual's PSC information being disclosed on the public register |

**Part 3 Purple coloured forms**

| <b>Form</b>                | <b>Name of Form</b>  |
|----------------------------|--|
| <b>Secure<br/>SLPPSC01</b> | Notice of individual Person with Significant control of a Scottish Limited Partnership                   |
| <b>Secure<br/>SLPPSC04</b> | Notice of change of individual person with significant control details of a Scottish Limited Partnership |
| <b>Secure<br/>SLPPSC07</b> | Notice of ceasing to be a person with significant control of a Scottish Limited Partnership              |
| <b>Secure<br/>SLPPSC08</b> | Notice of additional matters of a Scottish Limited Partnership   |
| <b>Secure<br/>SLPPSC09</b> | Give notice of updates to PSC statements of a Scottish Limited Partnership                               |

**SCHEDULE 9  
SCHEDULED FORMS RELATING TO INSOLVENCY AND WINDING UP  
DOCUMENTS**

| <b>Form</b> | <b>Name of Form</b>   |
|-------------|---|
| MT01        | Notice of commencement of moratorium  |
| MT02        | Notice of extension of moratorium   |
| MT03        | Notice of early end of moratorium   |
| MT04        | Notice of end of moratorium by a monitor  |
| MT05        | Notice of end of moratorium by a court  |
| MT06        | Notice of end of moratorium following disposal of application for extension by the court or following CVA proposal taking effect or being withdrawn |
| MT08        | Notice of appointment of replacement or additional monitor following court order  |
| MT09        | Notice of monitor ceasing to act following court order  |
| VAC         | Notice of court order in respect of a voluntary arrangement   |
| CVA1        | Notice of voluntary arrangement taking effect   |
| CVA2        | Notice of order of revocation or suspension of CVA  |
| CVA3        | Notice of Supervisor's progress report in CVA & progress report attachment  |
| CVA4        | Notice of termination or full implementation of CVA   |

|             |   |
|-------------|---|
| AM01        | Notice of administrator's appointment   |
| AM02        | Notice of statement of affairs in administration  |
| AM03        | Notice of administrator's proposals (& attachment)  |
| AM04        | Notice of extension of time to deliver administrator's proposals  |
| AM05        | Notice of extension of time to seek approval of administrator's proposals   |
| AM06        | Notice of approval of administrator's proposals   |
| AM07        | Notice of creditor's decision on administrator's proposals  |
| AM08        | Notice of revision of administrator's proposals (& attachment)  |
| AM09        | Notice of result of creditors' decision on revised administrator's proposals  |
| AM10        | Notice of Administrator's progress report (& attachment)  |
| AM11        | Notice of appointment of replacement or additional administrator  |
| AM12        | Notice of order limiting disclosure of statement of affairs or proposals in administration                            |
| <b>AM12</b> | Statement of Affairs (attachment)   |
| <b>AM12</b> | Statement of Concurrence (attachment)   |
| <b>AM12</b> | Statement of Proposals (attachment)   |
| <b>AM12</b> | Court Order (attachment)  |
| AM13        | Notice of rescission or amendment of order limiting disclosure of statement of affairs or proposals in administration |
| <b>AM13</b> | Statement of Affairs (attachment)   |
| <b>AM13</b> | Statement of Concurrence (attachment)   |
| <b>AM13</b> | Court Order (attachment)  |
| AM14        | Notice of disposal of charged property in administration (order attached)   |
| AM15        | Notice of resignation of administrator (notice attached)  |
| AM16        | Notice of order removing administrator from office (Court Order attached)   |
| AM17        | Notice of vacation of office when administrator ceases to be qualified to act   |
| AM18        | Notice of deceased administrator  |
| AM19        | Notice of extension of period of administration   |
| AM20        | Notice of automatic end of administration (final progress report attached)  |

|              |  |
|--------------|--|
| AM21         | Notice of end of administration (final progress report attached)   |
| AM22         | Notice of move from administration to creditors' voluntary liquidation (final progress report attached)    |
| AM23         | Notice of move from administration to dissolution (final progress report attached)                         |
| AM24         | Notice of court order in respect of date of dissolution (Court Order attachment)                           |
| AM25         | Notice of court order ending administration (Court Order attachment)                                       |
| REC1         | Notice of administrative receiver's report & report as an attachment                                       |
| <b>REC1</b>  | Statement of Affairs (attachment)  |
| REC2         | Notice of summary of receipts and payments in administrative receivership                                  |
| REC3         | Notice of order of disposal of charged property in administrative receivership (Order attached)            |
| REC4         | Notice of statement of affairs in administrative receivership (if delivered after admin receiver's report) |
| <b>REC4</b>  | Statement of Affairs (attachment)  |
| <b>REC4</b>  | Statement of Concurrence (attachment)  |
| REC5         | Notice of deceased administrative receiver   |
| <u>LIQ01</u> | <u>Notice of Statutory Declaration of Solvency (MVL) (Declaration of Solvency attached)</u>                |
| LIQ02        | Notice of statement of affairs by Liquidator (conversion from MVL to CVL)                                  |
| <b>LIQ02</b> | Statement of Affairs (attachment)  |
| <b>LIQ02</b> | Notice of statement of affairs by liquidator (CVL)   |
| <b>LIQ02</b> | Statement of Affairs incorporating the Statement of Truth (attachment)                                     |
| LIQ03        | Notice of progress report in voluntary winding up (progress report attached)                               |
| LIQ04        | Notice of order deferring the date of dissolution in MVL / CVL   |
| LIQ05        | Notice of order limiting disclosure of statement of affairs in CVL   |
| <b>LIQ05</b> | Statement of Affairs (attachment)  |
| <b>LIQ05</b> | Statement of Concurrence (attachment)  |
| LIQ06        | Notice of liquidator's resignation in MVL & CVL  |
| LIQ07        | Notice of removal of liquidator by creditors   |

|             |  |
|-------------|--|
| LIQ08       | Notice of loss of qualification of insolvency practitioner in MVL & CVL  |
| LIQ09       | Notice of deceased liquidator in MVL & CVL   |
| LIQ10       | Notice of removal of liquidator by court in MVL & CVL (& Court Order attachment)   |
| LIQ11       | Notice of removal of liquidator by company meeting in MVL  |
| LIQ12       | Notice of release of liquidator by Secretary of State in MVL & CVL   |
| LIQ13       | Notice of final account prior to dissolution in MVL (final account attached)   |
| LIQ14       | Notice of final account prior to dissolution in CVL (final account attached)   |
| WU02        | Notice of order of appointment of provisional liquidator in a winding-up by the court (& Court Order attachment)             |
| WU03        | Notice of termination of appointment of provisional liquidator in a winding-up by the court                                  |
| WU04        | Notice of appointment of liquidator in a winding-up by the court   |
| <b>WU05</b> | Notice of statement of affairs in a winding-up by the court  |
| <b>WU05</b> | Statement of Affairs (attachment)  |
| <b>WU05</b> | Statement of Concurrence (attachment)  |
| <b>WU06</b> | Notice of court order limiting disclosure of statement of affairs in a winding-up by the court                               |
| <b>WU06</b> | Notice of court order limiting disclosure of statement of affairs in a winding-up by the court                               |
| <b>WU06</b> | Statement of Affairs (attachment)  |
| <b>WU06</b> | Statement of Concurrence (attachment)  |
| <b>WU06</b> | Court Order limiting disclosure (attachment)   |
| WU07        | Notice of progress report in a winding-up by the court (progress report attached)  |
| <b>WU08</b> | Notice of removal of liquidator by creditors in a winding-up by court  |
| <b>WU09</b> | Notice of release of OR by the Secretary of State in a winding-up by court (& final progress report attached)                |
| <b>WU11</b> | Notice of deceased liquidator in a winding-up by the court   |
| <b>WU12</b> | Notice of loss of qualification as insolvency practitioner in a winding-up by the court (notice attached)                    |
| <b>WU13</b> | Notice of order of court on appeal against Secretary of State's decision in a winding-up by the court (Court Order attached) |

|                        |  |
|------------------------|--|
| <b>WU14</b>            | Notice of order for removal of liquidator by court in a winding-up by the court (Court Order attached)               |
| <b>WU15</b>            | Notice of final account prior to dissolution in a winding up by the court (final progress report attached)           |
| <b>IE01</b>            | Notice of approval of an undertaking by an office holder in respect of assets another member state                   |
| <b>IE02</b>            | Notice of approval of an undertaking proposed by the member state liquidator to local creditors in the UK            |
| <b>IE03</b>            | Notice of an order opening group co-ordination proceedings   |
| <b>IE04</b>            | Notice of insolvency proceedings in another member state with consent to dissolution                                 |
| <b>IE05</b>            | Notice of insolvency proceedings in another member state without consent to dissolution                              |
| <b>AM01<br/>(Scot)</b> | Notice of administrator's appointment  |
| <b>AM02<br/>(Scot)</b> | Notice of statement of affairs in administration   |
| <b>AM03<br/>(Scot)</b> | Notice of administrator's proposals  |
| <b>AM04<br/>(Scot)</b> | Notice of extension of time to deliver administrator's proposals   |
| <b>AM05<br/>(Scot)</b> | Notice of extension of time to seek approval of administrator's proposals  |
| <b>AM06<br/>(Scot)</b> | Notice of approval of administrator's proposals  |
| <b>AM07<br/>(Scot)</b> | Notice of creditor's decision on administrator's proposals   |
| <b>AM08<br/>(Scot)</b> | Notice of revision of administrator's proposals  |
| <b>AM09<br/>(Scot)</b> | Notice of result of creditors' decision on revised administrator's proposals   |
| <b>AM10<br/>(Scot)</b> | Notice of administrator's progress report  |
| <b>AM11<br/>(Scot)</b> | Notice of appointment of replacement or additional administrator   |
| <b>AM12<br/>(Scot)</b> | Notice of Order limiting disclosure of statement of affairs or proposals in administration                           |
| <b>AM13<br/>(Scot)</b> | Notice of discharge or variation of order limiting disclosure of statement of affairs or proposals in administration |



|                         |   |
|-------------------------|---|
| <b>AM14<br/>(Scot)</b>  | Notice of an order to dispose of charged property in administration           |
| <b>AM15<br/>(Scot)</b>  | Notice of resignation of administrator  |
| <b>AM16<br/>(Scot)</b>  | Notice of order removing administrator from office                            |
| <b>AM17<br/>(Scot)</b>  | Notice of vacation of office when administrator ceases to be qualified to act |
| <b>AM18<br/>(Scot)</b>  | Notice of deceased administrator  |
| <b>AM19<br/>(Scot)</b>  | Notice of extension of period of administration                               |
| <b>AM20<br/>(Scot)</b>  | Notice of automatic end of administration                                     |
| <b>AM21<br/>(Scot)</b>  | Notice of end of administration   |
| <b>AM22<br/>(Scot)</b>  | Notice of move from administration to creditors' voluntary liquidation        |
| <b>AM23<br/>(Scot)</b>  | Notice of move from administration to dissolution                             |
| <b>AM24<br/>(Scot)</b>  | Notice of court order in respect of date of dissolution                       |
| <b>AM25<br/>(Scot)</b>  | Notice of court order ending administration                                   |
| <b>COM1<br/>(Scot)</b>  | Notice of establishment of creditors' committee (administration)              |
| <b>COM2<br/>(Scot)</b>  | Notice of change of membership of a creditors' committee (administration)     |
| <b>CVA1<br/>(Scot)</b>  | Notice of voluntary arrangement taking effect                                 |
| <b>CVA2<br/>(Scot)</b>  | Notice of order of revocation or suspension of voluntary arrangement          |
| <b>CVA3<br/>(Scot)</b>  | Notice of supervisor's progress report in voluntary arrangement               |
| <b>CVA4<br/>(Scot)</b>  | Notice of termination or full implementation of voluntary arrangement         |
| <b>LIQ04<br/>(Scot)</b> | Notice of order deferring the date of dissolution in MVL or CVL               |

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| <b>LIQ13<br/>(Scot)</b> | Notice of final account prior to dissolution in MVL   |
| <b>LIQ14<br/>(Scot)</b> | Notice of final account prior to dissolution in CVL   |
| <b>LIQ15<br/>(Scot)</b> | Notice of a court order staying or sisting proceedings in a CVL or MVL winding up   |
| <b>REC1<br/>(Scot)</b>  | Notice of receiver's report   |
| <b>REC3<br/>(Scot)</b>  | Notice of authorisation to dispose of secured property in receivership  |
| <b>REC5<br/>(Scot)</b>  | Notice of deceased receiver   |
| <b>RM01<br/>(Scot)</b>  | Notice of appointment of a receiver   |
| <b>RM02<br/>(Scot)</b>  | Notice of ceasing to act as a receiver  |
| <b>MT01</b>             | Notice of commencement of moratorium  |
| <b>MT02</b>             | Notice of extension of moratorium   |
| <b>MT03</b>             | Notice of early end of moratorium   |
| <b>MT04</b>             | Notice of end of moratorium by a monitor  |
| <b>MT05</b>             | Notice of end of moratorium by a court  |
| <b>MT06</b>             | Notice of end of moratorium following disposal of application for extension by the court or following CVA proposal taking effect or being withdrawn |
| <b>MT08</b>             | Notice of appointment of replacement or additional monitor following court order  |
| <b>MT09</b>             | Notice of monitor ceasing to act following court order  |
| <b>VAC<br/>(Scot)</b>   | Notice of a court order in respect of a voluntary arrangement or moratorium   |
| <b>WU01<br/>(Scot)</b>  | Notice of a court order in a winding-up   |
| <b>WU02<br/>(Scot)</b>  | Notice of order of appointment of provisional liquidator in a winding-up by the court   |
| <b>WU03<br/>(Scot)</b>  | Notice of termination of appointment of provisional liquidator in a winding-up by the court   |
| <b>WU15<br/>(Scot)</b>  | Notice of final account prior to dissolution in a winding up by the court   |

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| <b>WU16<br/>(Scot)</b> | Notice of a court order for early dissolution in a winding up by the court                     |
| <b>WU17<br/>(Scot)</b> | Notice of a court order to defer dissolution in a winding up by the court                      |
| <b>WU18<br/>(Scot)</b> | Notice of a court order staying or sisting proceedings in a winding up by the court            |
| <b>NOCP<br/>(Scot)</b> | Notice of an order under section 176A (5)  |
| <b>COM1</b>            | Notice of establishment of creditors or liquidation committee                                  |
| <b>COM2</b>            | Notice of change of membership of a creditors or liquidation committee                         |
| <b>COM3</b>            | Notice of continuation of creditors' committee in winding up by court following administration |
| <b>COM4</b>            | Notice of cessation of liquidation committee in winding up when creditors paid in full         |
| <b>600</b>             | Notice of appointment of liquidator in a members' or creditors' voluntary winding up           |

| <b>Form</b>                            | <b>Name of Form</b>   |
|--|---|
| <b>Corporate Voluntary Arrangement</b> |   |
| 1.1                                    | <u>Notice to registrar of companies of voluntary arrangement taking effect</u>                        |
| 1.2                                    | <u>Notice to registrar of companies of order or revocation or suspension of voluntary arrangement</u> |
| 1.3                                    | <u>Notice to registrar of companies of supervisor's progress report</u>                               |
| 1.4                                    | <u>Notice to registrar of companies of completion or termination of voluntary arrangement</u>         |
| <b>In Administration</b>               |   |
| 2.12B (CH)                             | <u>Notice of administrator's appointment</u>  |
| 2.16B                                  | <u>Notice of statement of affairs</u>   |
| 2.17B                                  | <u>Statement of administrator's proposals</u>   |
| 2.18B(CH)                              | <u>Notice of extension of time period</u>   |
| F2.18                                  | <u>Notice of deemed approval of proposals</u>   |
| 2.22B(CH)                              | <u>Statement of administrator's revised proposals</u>   |
| 2.23B(CH)                              | <u>Notice of result of meeting of creditors</u>   |
| 2.24B(CH)                              | <u>Administrator's progress report</u>  |

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|---------------------|--|
| 2.26B(CH)           | <u>[Amended] Certificate of constitution of creditors committee</u>                              |
| 2.28B               | <u>Notice of order to deal with charged property</u>   |
| 2.30B(CH)           | <u>Notice of automatic end of administration</u>   |
| 2.31B               | <u>Notice of extension of period of administration</u>   |
| 2.32B(CH)           | <u>Notice of end of administration</u>   |
| 2.33B               | <u>Notice of court order ending administration</u>   |
| 2.34B               | <u>Notice of move from administration to creditors' voluntary liquidation</u>                    |
| 2.35B               | <u>Notice of move from administration to dissolution</u>   |
| 2.36B               | <u>Notice to registrar of companies in respect of date of dissolution</u>                        |
| 2.38B(CH)           | <u>Notice of resignation by administrator</u>  |
| 2.39B               | <u>Notice of vacation of office by administrator</u>   |
| 2.40B               | <u>Notice of appointment of replacement/additional administrator</u>                             |
| <b>Receivership</b> |  |
| 3.3                 | <u>Statement of affairs in administrative receivership following report to creditors</u>         |
| 3.4                 | <u>Certificate of constitution (amended certificate) of creditors' committee</u>                 |
| 3.5                 | <u>Administrative receiver's report as to change in membership of creditors committee</u>        |
| 3.6 (CH)            | <u>Receiver or manager or administrative receiver's abstract of receipts and payments</u>        |
| 3.7                 | <u>Notice of administrative receiver's death</u>   |
| 3.8                 | <u>Notice of order to dispose of charged property.</u>   |
| 3.10                | <u>Administrative receiver's report</u>  |
| <b>Liquidation</b>  |  |
| 4.15A               | <u>Notice of appointment of provisional liquidator in winding up by the court</u>                |
| 4.20                | <u>Statement of company's affairs</u>  |
| F4.20               | <u>Notice of revised account</u>   |
| 4.31                | <u>Notice of appointment of liquidator in winding-up by the court</u>                            |
| 4.33                | <u>Notice of resignation as voluntary liquidator under section 171(5) of insolvency act 1986</u> |
| 4.35                | <u>Order of court granting voluntary liquidator leave to resign</u>                              |
| 4.38                | <u>Certificate of removal of voluntary liquidator</u>  |
| F4.39               | <u>Notice of termination of appointment of provisional liquidator</u>                            |

|       |   |
|-------|---|
| 4.40  | <u>Notice of ceasing to act as voluntary liquidator</u>   |
| F4.41 | <u>Notice of statement of affairs</u>   |
| 4.43  | <u>Notice of final meeting of creditors</u>   |
| 4.44  | <u>Notice of death of voluntary liquidator</u>  |
| 4.46  | <u>Notice of vacation of office by voluntary liquidator</u>   |
| F4.47 | <u>Notice of removal of liquidator</u>  |
| 4.48  | <u>Notice of constitution of liquidation committee</u>  |
| 4.50  | <u>Liquidator's certificate that creditors paid in full</u>   |
| 4.51  | <u>Certificate that creditors have been paid in full</u>  |
| 4.68  | <u>Liquidator's progress report</u>   |
| 4.69  | <u>Order of court on appeal against secretary of state's decision under section 203(4) &amp; 203(5) insolvency act 1986</u> |
| 4.71  | <u>Return of final meeting in a members' voluntary winding up</u>   |
| 4.72  | <u>Return of final meeting in a creditors' voluntary winding up</u>   |
| F9.4  | <u>Notice of constitution of creditors or liquidation committee</u>   |
| F10.2 | <u>Notice to registrar of companies of notice of disclaimer under s178 of the insolvency act 1986</u>                       |
| 12.1  | <u>Notice to registrar of companies in respect of order under section 176a</u>  |
| IE01  | Notice of approval of an undertaking by an office holder in respect of assets another member state                          |
| IE02  | Notice of approval of an undertaking proposed by the member state liquidator to local creditors in the UK                   |
| IE03  | Notice of an order opening group co-ordination proceedings  |
| IE04  | Notice of insolvency proceedings in another member state with consent to dissolution  |
| IE05  | Notice of insolvency proceedings in another member state without consent to dissolution                                     |

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## SCHEDULE 10

### TRANSLATION COVERING FORMS

**Part 1 Companies, section 1040 companies, unregistered companies, overseas companies, and European Public-Limited Liability Companies**

| Form               | Name of Form   |
|--------------------|--|
| <b><u>VT01</u></b> | <u>Certified voluntary translation of an original document that is or has been delivered to the Registrar of Companies</u> |

## Part 2 Limited Liability Partnerships

| Form                      | Name of Form   |
|---------------------------|--|
| <b><u>LL<br/>VT01</u></b> | <u>Certified voluntary translation of an original document that is or has been delivered to the Registrar of Companies for a Limited Liability Partnership (LLP)</u> |

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## SCHEDULE 11 REPLACEMENT COVERING FORMS

### Part 1 Companies, section 1040 companies, unregistered companies, overseas companies, and European Public-Limited Liability Companies

| Form               | Name of Form  |
|--------------------|---|
| <b><u>RP01</u></b> | <u>Replacement of document not meeting requirements for proper delivery</u> |

### Part 2 Limited Liability Partnerships

| Form                      | Name of Form  |
|---------------------------|---|
| <b><u>LL<br/>RP01</u></b> | <u>Replacement of document not meeting requirements for proper delivery for a Limited Liability Partnership (LLP)</u> |

### Part 3 Scottish Qualifying Partnerships and Scottish Limited Partnerships

| Form | Name of Form |
|------|--------------|
|      |              |
|      |              |