Compliance 101

Carta Europe Upgrade

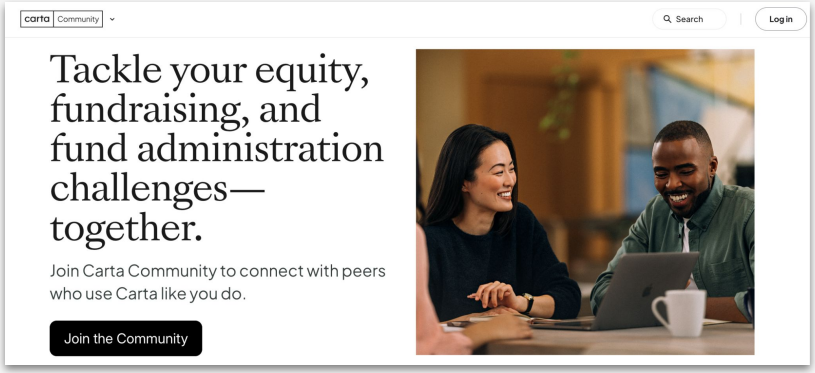
JUNE 2026

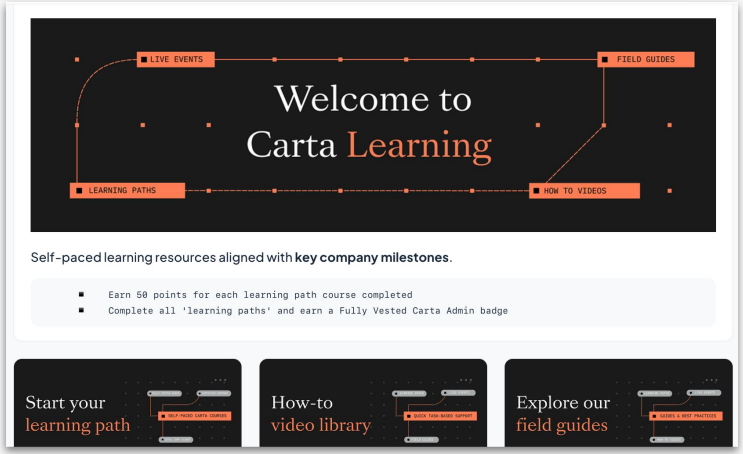
PART 3 OF 3

Continue the conversation..

Collaborate with peers and industry experts while learning how to make Carta work for you:

- Learning Courses
- Customer chats
- Register for future **Learning Labs**





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Agenda

- Companies House & Statutory Obligations
- Company Settings & Permissions
- Get Filing-Ready: Cap Table Hygiene
- Your Company Registers
- Filing & the Confirmation Statement (CS01)
- Live Compliance Q&A

01

Team Introductions

Carta Team

Meet the team supporting you



Brianne – *Customer Education*

Brianne will host today's session and present a live demo



Diego – Manager, *Carta Support*

Diego will answer any questions within the chat and follow up with any support related queries

02

Companies House Basics

Your company registers

MEMBERS

Register of Members

Lists every shareholder and what they hold. Built from your cap table and updated automatically as you issue or transfer shares.

DIRECTORS

Register of Directors

Records current and former directors and their details, with appointment, change and termination filings generated for you.

PSCs

Register of PSCs

Tracks anyone with significant control (usually >25% of shares or votes). Maps to the public PSC register at Companies House.

CS01, PSCs & SH01

■ CS01

Confirmation Statement

Your annual filing confirming your company details are accurate.

Due at least every 12 months — within 14 days of your review period.

■ PSC

Person with Significant Control

Anyone holding more than 25% of shares or votes.

Tracked on your PSC register and filed to Companies House.

■ SH01

Return of Allotment

Filed when you issue new shares.

Carta generates the SH01 from your cap table — file within 30 days.

Two Regulators — Companies House & HMRC

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■ Companies House → company law

Keeps your statutory registers — allotments, transfers, members, directors, secretaries — in sync with the cap table, and generates Companies House filings (CS01, SH01, CH01, TM01, PSC01).

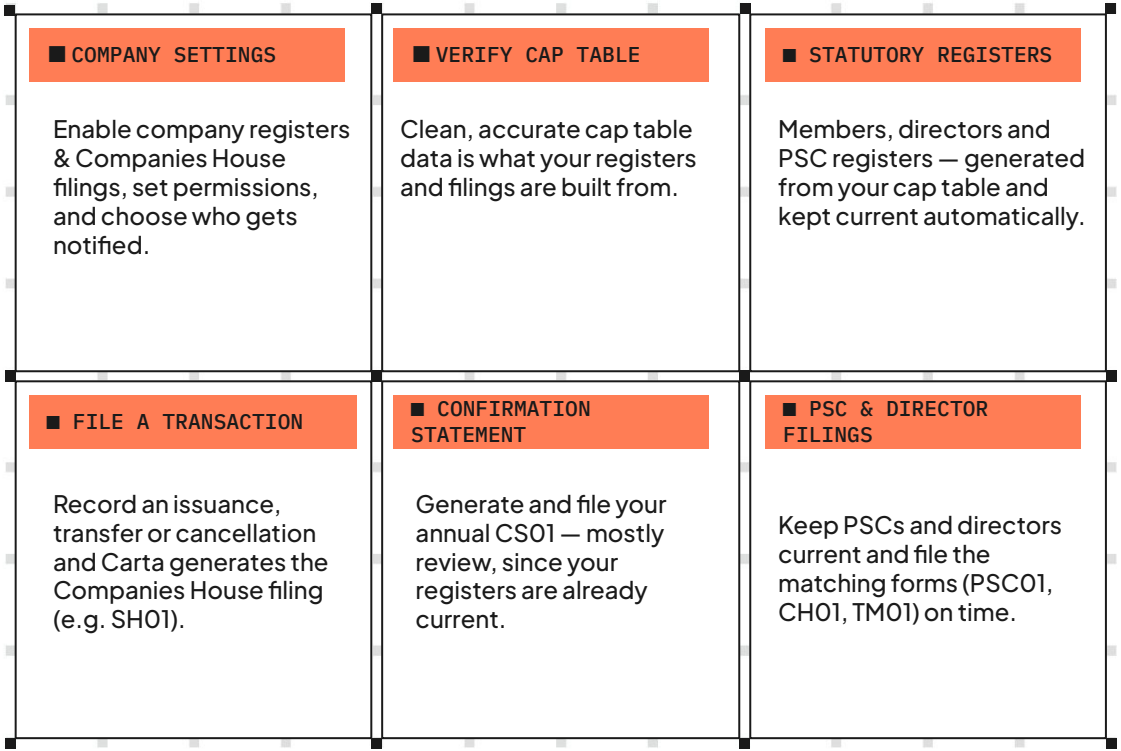
■ HMRC → tax

EMI option scheme filings, EMI valuations (AMV and UMV at issue and exercise), and the HMRC Limits Tracker.

03

What we'll cover within Carta

What we'll be demoing live in Carta



04

Live Compliance Q&A



For more information:

Submit a ticket with support@europe.carta.com or contact your CSM