

OMB Numbers 3038-0023 and 3038-0072

Registration Information Change

NFA ID 0209452 BARCLAYS BANK PLC

FIRM FINANCIAL MATTER INFORMATION FILED

MATTER NAME: ADVERSARY ACTIONS

MATTER DETAIL: THIS IS AN UPDATE TO THE MATTER TITLED "ADVERSARY ACTIONS." SINCE SEPTEMBER 2009, BARCLAYS HAS BEEN ENGAGED IN LITIGATION WITH VARIOUS ENTITIES THAT HAVE SOUGHT TO CHALLENGE CERTAIN ASPECTS OF THE TRANSACTION PURSUANT TO WHICH BARCLAYS ACQUIRED MOST OF THE ASSETS OF LEHMAN BROTHERS INC. (LBI) IN SEPTEMBER 2008, AS WELL AS THE COURT ORDER (ORDER) APPROVING THE SALE (SALE). THE ORDER WAS UPHELD BY THE COURTS AND IS NO LONGER BEING CHALLENGED. ON AUGUST 5TH, 2014, THE SECOND CIRCUIT AFFIRMED THE SDNY'S RULINGS IN FAVOR OF BARCLAYS ON CERTAIN CLAIMS WITH RESPECT TO ITS RIGHTS OVER ASSETS FROM THE SALE. ON OCTOBER 1ST, 2014, THE TRUSTEE FOR LBI FILED A MOTION WITH THE SDNY TO CONFIRM THE SCOPE OF THE SDNY'S JUDGEMENT REGARDING THE AMOUNT BARCLAYS IS ENTITLED TO RECEIVE. ON DECEMBER 15TH, 2014, THE TRUSTEE REQUESTED THAT THE US SUPREME COURT REVIEW THE RULINGS OF THE SDNY AND THE SECOND CIRCUIT. ON APRIL 22ND, 2015, THE SDNY RULED IN BARCLAYS' FAVOR BY HOLDING THAT BARCLAYS IS ENTITLED TO RECEIVE ALL OF THE ASSETS CLAIMED BY BARCLAYS. ON MAY 4TH, 2015, THE US SUPREME COURT DENIED THE TRUSTEE'S REQUEST THAT THE SUPREME COURT REVIEW THE RULINGS OF THE SDNY AND THE SECOND CIRCUIT.

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