

OMB Numbers 3038-0023 and 3038-0072

Registration Information Change

NFA ID 0209452 BARCLAYS BANK PLC

FIRM REGULATORY MATTER INFORMATION FILED

MATTER NAME: US DISTRICT COURT CASE NO. 1:16-CV-07057-KAM-RLM**MATTER DETAIL:** DATE OF EVENT: DECEMBER 22, 2016. PARTIES: UNITED STATES DISTRICT COURT FOR EASTERN NEW YORK AND BARCLAYS BANK PLC AND ITS UNITED STATES AFFILIATES. CASE NO. 1:16-CV-07057-KAM-RLM. THE COMPLAINT INCLUDES THE FOLLOWING ALLEGATIONS: ON DECEMBER 22, 2016 THE U.S. DEPARTMENT OF JUSTICE (DOJ) FILED A CIVIL COMPLAINT AGAINST BARCLAYS ASSERTING CLAIMS OF FRAUD RELATED TO BARCLAYS' RESIDENTIAL MORTGAGE-BACKED SECURITIES AND ASSOCIATED ACTIVITIES BETWEEN 2005 AND 2007. THE DOJ ASSERTS CLAIMS UNDER THE FEDERAL FINANCIAL INSTITUTIONS REFORM, RECOVERY, AND ENFORCEMENT ACT OF 1989 WHICH ALLOWS THE DOJ TO SEEK CIVIL MONETARY PENALTIES FOR VIOLATIONS OF CERTAIN FEDERAL STATUTES.**FILED BY:** HUMAYUNA1**FILED ON:** 1/20/2017 1:08:44 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.