

OMB Numbers 3038-0023 and 3038-0072

Registration Information Change

NFA ID 0209452 BARCLAYS BANK PLC

FIRM REGULATORY MATTER INFORMATION FILED

MATTER NAME: BARCLAYS PLC, ADMINISTRATIVE PROCEEDING FILE NO 3-19537

MATTER DETAIL: ON SEPTEMBER 27, 2019, BARCLAYS PLC ENTERED INTO A SETTLEMENT WITH THE SECURITIES AND EXCHANGE COMMISSION ("SEC") UNDER WHICH BARCLAYS PLC CONSENTED TO THE ENTRY OF AN ORDER (THE "ORDER") FINDING VIOLATIONS OF SECTIONS 13(B)(2)(B) AND 13(A)(2)(A) OF THE SECURITIES EXCHANGE ACT OF 1934. THE ORDER FINDS THAT FROM 2009 TO 2013, BARCLAYS VIOLATED BOOKS AND RECORDS AND INTERNAL ACCOUNTING CONTROLS PROVISIONS OF THE FOREIGN CORRUPT PRACTICES ACT RELATED TO THE PROVISION OF EMPLOYMENT OPPORTUNITIES TO THE RELATIVES AND FRIENDS OF CERTAIN FOREIGN GOVERNMENT OFFICIALS AND EXECUTIVES OF BARCLAYS' NON-GOVERNMENT CLIENTS IN THE ASIA PACIFIC REGION. THE ORDER REQUIRED BARCLAYS PLC TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF EXCHANGE ACT SECTIONS 13(B)(2)(A) AND 13(B)(2)(B). IN ADDITION, THE ORDER REQUIRES THAT BARCLAYS PLC PAY DISGORGEMENT OF \$3,824,868, PREJUDGMENT INTEREST OF \$984,040, AND A CIVIL MONEY PENALTY IN THE AMOUNT OF \$1,500,000. SOLELY FOR THE PURPOSE OF SETTLING THESE PROCEEDINGS, BARCLAYS PLC ENTERED INTO THE ORDER WITHOUT ADMITTING OR DENYING THE FINDINGS REFERRED TO IN THE ORDER.

FILED BY: HUMAYUNA1**FILED ON:** 10/16/2019 12:40:45 PM

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