

OMB Numbers 3038-0023 and 3038-0072

Registration Information Change

NFA ID 0209452 BARCLAYS BANK PLC

FIRM REGULATORY MATTER INFORMATION FILED

MATTER NAME: SEC ADMINISTRATIVE PROCEEDING FILE NO. 3-8617

MATTER DETAIL: ON FEBRUARY 15, 1995, BBPLC ANNOUNCED THAT IT HAD REACHED A SETTLEMENT WITH THE US SECURITIES AND EXCHANGE COMMISSION (THE "SEC") IN RELATION TO THE SEC'S INVESTIGATION OF ALLEGED VIOLATIONS OF THE FEDERAL SECURITIES LAWS BY BBPLC, RONALD MARGOLIN, AND ROGER B. WEBB. IN THE COMPLAINT FILED BY THE SEC (THE "COMPLAINT"), THE SEC ALLEGED THAT FROM JANUARY 8, 1992 THROUGH JANUARY 31, 1992, BBPLC, DIRECTLY OR INDIRECTLY, EXTENDED OR MAINTAINED, OR ARRANGED FOR THE EXTENSION OR MAINTENANCE OF CREDIT FOR THE PURPOSE OF PURCHASING OR CARRYING SECURITIES IN VIOLATION OF REGULATION U, 12 C.F.R. § 221 ET SEQ., PROMULGATED UNDER SECTION 7(D) OF THE EXCHANGE ACT, 15 U.S.C. § 78G(D), BY AMONG OTHER THINGS: (A) EXTENDING CREDIT TO MARGOLIN AND WEBB FOR THE PURPOSE OF PURCHASING OR CARRYING SECURITIES; (B) WHICH CREDIT WAS DIRECTLY OR INDIRECTLY SECURED BY MARGIN STOCK; AND (C) WHICH CREDIT EXCEEDED THE MAXIMUM LOAN VALUE OF THE COLLATERAL SECURING THE CREDIT WITHIN THE MEANING OF REGULATION U. AS PART OF THE SETTLEMENT, BBPLC CONSENTED TO, AMONG OTHER THINGS, ENTRY OF A FINAL ORDER (WITHOUT ADMITTING OR DENYING THE ALLEGATIONS), AGREED TO PAY A \$50,000 FINE, AND AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATION, AND COMMITTING OR CAUSING ANY FUTURE VIOLATION, OF SECTION 7(D) OF THE EXCHANGE ACT AND REGULATION U. THE NAME OF THE CASE IS IN THE MATTER OF BARCLAYS BANK PLC, RESPONDENT, ADMINISTRATIVE PROCEEDING FILE NO. 3-8617.

FILED BY: PODVESKERD1**FILED ON:** 11/27/2013 1:29:51 PM

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