

Direct Owners/Executive Officers**Primary Business Name:** ~~BARCLAYS CAPITAL INC.~~**BD Number:** ~~19714~~**BD** ~~AMENDMENT~~**05/10/2019****~~BD~~ DIRECT OWNERS/EXECUTIVE OFFICERS**

Are there any indirect owners of the applicant required to be reported on Schedule B?

Yes ~~No~~**Ownership Codes:** ~~NA less than 5%~~ ~~B 10% but less than 25%~~ ~~D 50% but less than 75%~~~~A 5% but less than 10%~~ ~~C 25% but less than 50%~~ ~~E 75% or more~~**Organization CRD Number:** ~~19714~~**Organization Name:** ~~BARCLAYS CAPITAL INC.~~**Organization SEC Number:** ~~8-41342~~**Applicant Name:** ~~BARCLAYS CAPITAL INC.~~[View IA Record](#)

Full Legal Name	DE/FE/ <u>Domestic, Foreign, Individual</u>	Title or Status	Date <u>Status</u> Acquired	<u>Own. Ownersh</u> <u>ip Code</u>	Control Person per <u>son</u>	PR <u>Public</u> <u>Reporting</u> <u>Company</u>	CRD # (or <u>S.S.No., EIN,</u> <u>SSN, IRS Tax #,</u> <u>Emp-ID)</u>
BARCLAYS GROUP US INC.	Domestic Entity	OWNS BARCLAYS CAPITAL INC.	12/1999	75% or more	Y	N	13- 3249618
O'CONNOR, CLAIRE SCHOLZ	Individual	BOARD DIRECTOR	09/2018	Less than 5%	Y	N	1907247
NOTO, JOSEPH C	Individual	BOARD DIRECTOR	09/2018	Less than 5%	Y	N	4688658
LAROCCA, GERARD SEBASTIAN	Individual	PRESIDENT	01/2011	Less than 5%	Y	N	2683227
MELL, JEFFREY ANTHONY	Individual	CO-HEAD OF RESEARCH	07/2015	Less than 5%	N	N	4477654
JAISING, RAHUL	Individual	ROSFP - PRIME SERVICES	08/2013	Less than 5%	N	N	4754959
BANCONI, ANTHONY	Individual	ROSFP - DISTRIBUTION	08/2013	Less than 5%	N	N	1790892
ABREU, JULIAN JAVIER	Individual	ROSFP - PRIME SERVICES	03/2019	NA Less than 5%	N	N	5160018
BANCONI, ANTHONY	↓	ROSFP-DISTRIBUTION	08/2013	NA	N	N	1790892
BARCLAYS GROUP US INC.	DE	OWNS BARCLAYS CAPITAL INC.	12/1999	E	Y	N	13-3249618
BARNES, MURRAY- CHARLES	↓	BOARD DIRECTOR	04/2018	NA	Y	N	5773694
FORREST, MONTY LEE	↓	BOARD DIRECTOR	05/2015	NA	Y	N	5812639
FORREST, MONTY LEE	↓	CHIEF OPERATIONS OFFICER	05/2015	NA	Y	N	5812639

8/2/2019

Web CRD - BD Historical Filing » Schedule A Direct Owners/Executive Officers

FUQUA, JAMES	Individual	CHIEF LEGAL OFFICER	11/2018	NA Less than 5%	N	N	2933658
JAINING, RAHUL	†	ROSEFP – PRIME SERVICES	08/2013	NA	N	N	4754959
LAROCCA, GERARD-SEBASTIAN	†	PRESIDENT	01/2011	NA	Y	N	2683227
LAROCCA, GERARD SEBASTIAN	Individual	BOARD DIRECTOR	10/2005	NA Less than 5%	Y	N	2683227
LARSON, MATTHEW-SCOTT	†	CHIEF FINANCIAL OFFICER	06/2017	NA	Y	N	2605152
LARSON, MATTHEW-SCOTT	†	BOARD DIRECTOR	06/2017	NA	Y	N	2605152
LUBLINSKY, MICHAEL	Individual	CHIEF EXECUTIVE OFFICER	02/2018	NA Less than 5%	Y	N	2655249
LUBLINSKY, MICHAEL	Individual	BOARD DIRECTOR	02/2018	NA Less than 5%	Y	N	2655249
MELIFORREST, JEFFREY MONTY ANTHONY LEE	Individual	CO-HEAD OF RESEARCH BOARD DIRECTOR	0705/2015	NA Less than 5%	N	N	4477654 , 5812639
NOTO FORREST, JOSEPH MONTY C LEE	Individual	BOARD DIRECTOR CHIEF OPERATIONS OFFICER	0905/20182015	NA Less than 5%	Y	N	4688658 , 5812639
O'CONNOR, CLAIRES, MURRAY SCHOLZCH ARLES	Individual	BOARD DIRECTOR	0904/2018	NA Less than 5%	Y	N	1907247 , 5773694
OLSEN LARSON, EDWARD MATTHEW SCOTT	Individual	CHIEF COMPLIANCE FINANCIAL OFFICER – BD	06/20182017	NA Less than 5%	N	N	4584109 , 2605152
ZACHARIA LARSON, ZACHARIA MATTHEW	Individual	CHIEF COMPLIANCE OFFICER – SECURITIES TRADING BOARD DIRECTOR	0506/20192017	NA Less than 5%	N	N	2440444 , 2605152

SCOTT							
ZACHARIA ZACHARIA	Individual	CHIEF COMPLIANCE OFFICER	05/2019	Less than 5%	N	N	2440444