

## Direct Owners/Executive Officers

**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	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
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	<a href="#">1907247</a>
NOTO, JOSEPH C	Individual	BOARD DIRECTOR	09/2018	Less than 5%	Y	N	<a href="#">4688658</a>
LAROCCA, GERARD SEBASTIAN	Individual	PRESIDENT	01/2011	Less than 5%	Y	N	<a href="#">2683227</a>
MELI, JEFFREY ANTHONY	Individual	CO-HEAD OF RESEARCH	07/2015	Less than 5%	N	N	<a href="#">4477654</a>
JAISING, RAHUL	Individual	ROSFP - PRIME SERVICES	08/2013	Less than 5%	N	N	<a href="#">4754959</a>
BANCONE, ANTHONY	Individual	ROSFP - DISTRIBUTION	08/2013	Less than 5%	N	N	<a href="#">1790892</a>
<a href="#">MATHIS, CAROL PEDERSEN</a>	<a href="#">Individual</a>	<a href="#">CHIEF FINANCIAL OFFICER</a>	<a href="#">01/2021</a>	<a href="#">Less than 5%</a>	<a href="#">N</a>	<a href="#">N</a>	<a href="#">4322657</a>
<a href="#">GLOGOFF, MARC JASON</a>	<a href="#">Individual</a>	<a href="#">BOARD DIRECTOR</a>	<a href="#">01/2021</a>	<a href="#">Less than 5%</a>	<a href="#">Y</a>	<a href="#">N</a>	<a href="#">5861911</a>
ABREU, JULIAN JAVIER	Individual	ROSFP - PRIME SERVICES	03/2019	Less than 5%	N	N	<a href="#">5160018</a>
FUQUA, JAMES	Individual	CHIEF LEGAL OFFICER	11/2018	Less than 5%	N	N	<a href="#">2933658</a>
LAROCCA, GERARD SEBASTIAN	Individual	BOARD DIRECTOR	10/2005	Less than 5%	Y	N	<a href="#">2683227</a>
LUBLINSKY, MICHAEL	Individual	CHIEF EXECUTIVE OFFICER	02/2018	Less than 5%	Y	N	<a href="#">2655249</a>
LUBLINSKY, MICHAEL	Individual	BOARD DIRECTOR	02/2018	Less than 5%	Y	N	<a href="#">2655249</a>
FORREST, MONTY LEE	Individual	BOARD DIRECTOR	05/2015	Less than 5%	Y	N	<a href="#">5812639</a>

10/21/2020

Web CRD - Direct Owners/Executive Officers [User Name: jross38, OrgID: 19714]

FORREST, MONTY LEE	Individual	CHIEF OPERATIONS OFFICER	05/2015	Less than 5%	Y	N	<a href="#">5812639</a>
<del>BARNES, MURRAY CHARLES</del>	<del>Individual</del>	<del>BOARD DIRECTOR</del>	<del>04/2018</del>	<del>Less than 5%</del>	<del>Y</del>	<del>N</del>	<del><a href="#">5773694</a></del>

ZACHARIA, ZACHARIA	Individual	CHIEF COMPLIANCE OFFICER	05/2019	Less than 5%	N	N	<a href="#">2440444</a>
-----------------------	------------	-----------------------------	---------	-----------------	---	---	-------------------------

8/2/2019 1/26/2021

Web CRD - ~~BD Historical Filing~~ » ~~Schedule B~~ Organization Indirect Owners [User Name: jross38, OrgID: 19714]

~~Primary Business~~

## Organization Indirect Owners

**Organization CRD Number: 19714**  
**AMENDMENT**  
**05/10/2019**

**Organization Name: BARCLAYS CAPITAL INC.** ~~BD Number: 19714 BD~~

### ~~BD~~ **INDIRECT OWNERS**

**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 SEC Number: 8-41342**

**Applicant Name: BARCLAYS CAPITAL INC.**

[View IA Record](#)

Full Legal Name	<del>DE/FE/ID</del> <u>omestic,</u> <u>Foreign,</u> <u>Individual</u>	Entity in Which Interest is Owned	Status	Date <u>Status</u> Acquired	<del>Own-Own</del> <u>rship Code</u>	Control <u>Person</u> <u>person</u>	<del>PR</del> <u>Public</u> <u>Reporting</u> <u>Company</u>	<del>CRD # (or #, EIN, SSN, IRS Tax #, Emp. ID) #</del>
BARCLAYS BANK PLC	<del>FE</del> <u>Foreign Entity</u>	BARCLAYS US <del>LLC</del> <u>HOLDINGS LIMITED</u>	SOLE-SHAREHOLDER	<del>03/2016</del> <u>09/2020</u>	<del>E</del> <u>75% or more</u>	Y	Y	13-4942190
<u>BARCLAYS US HOLDINGS LIMITED</u>	<u>Foreign Entity</u>	<u>BARCLAYS US LLC</u>	<u>SOLE SHARE HOLDER</u>	<u>09/2020</u>	<u>75% or more</u>	<u>Y</u>	<u>N</u>	<u>98-1360124</u>
BARCLAYS PLC	<del>FE</del> <u>Foreign Entity</u>	BARCLAYS BANK PLC	SOLE-SHAREHOLDER	01/1985	<del>E</del> <u>75% or more</u>	Y	Y	FOREIGN
BARCLAYS US LLC	<del>DE</del> <u>Domestic Entity</u>	BARCLAYS GROUP US-INC.	SOLE-SHAREHOLDER	04/2016	<del>E</del> <u>75% or more</u>	Y	N	47-3808943

© 2019

© 2021 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc. ~~Privacy~~ Legal  
~~Terms~~  
& Conditions Privacy

