

**UNITED STATES OF AMERICA**  
Before the  
**SECURITIES AND EXCHANGE COMMISSION**

In the Matter of Barclays PLC and Barclays Bank PLC, Respondents.	ADMINISTRATIVE PROCEEDING File No. 3-21181
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**PROOF OF CLAIM FORM**

**I. GENERAL INSTRUCTIONS**

1. If you purchased or otherwise acquired Barclays American Depositary Receipts (“ADRs”) that traded on the New York Stock Exchange and/or Barclays ordinary shares that traded on the London Stock Exchange between June 26, 2019, and March 27, 2022, both dates inclusive (the “Relevant Period”), you may be entitled to receive payment from the Barclays Fair Fund, created in the captioned proceedings (the “Fair Fund”), subject to other provisions of the Plan. The Fair Fund will be allocated to harmed investors in two stages: first to investors who suffered Recognized Losses on Barclays ADRs, and then, from any remaining funds to investors who suffered Recognized Losses on Barclays ordinary shares, due to Barclays’ violations. In the view of the Commission staff, this methodology constitutes a fair and reasonable allocation of the Fair Fund. Please review this Distribution Plan Notice in full to determine if and how you can make a claim. **IF YOU DO NOT SATISFY THESE CRITERIA, DO NOT SUBMIT A PROOF OF CLAIM FORM.**

2. You must complete and sign this Proof of Claim Form to be considered for eligibility for a distribution from the Fair Fund. If you fail to file a completed, properly addressed (as set forth in paragraph 8 below), and executed Proof of Claim Form, as well as provide the required supporting documentation, your claim may be rejected, and you may be precluded from consideration for a distribution from the Fair Fund. **Alternatively, we encourage you to file a claim via the online Claim Filing Portal available at [www.BarclaysFairFund.com](http://www.BarclaysFairFund.com).**

3. The capitalized terms used herein shall have the meanings set forth in the Plan of Distribution approved in the captioned proceeding (the “Plan”) unless otherwise noted. A copy of the Plan can be reviewed and downloaded at [www.BarclaysFairFund.com](http://www.BarclaysFairFund.com).

4. Your submission of a properly completed and signed Proof of Claim Form does not, by itself, mean you will be eligible for a Distribution Payment from the Fair Fund; you must be determined to be eligible for a Distribution Payment under the criteria set forth in the Plan.

5. The Fair Fund will be allocated to harmed investors in two stages: first to investors who suffered Recognized Losses on Barclays ADRs, and then, from any remaining funds to investors who suffered Recognized Losses on Barclays ordinary shares, due to Barclays’ violations.

6. The Minimum Distribution Amount for each Security will be \$25.00. An Eligible Claimant whose distribution amount for a Security is less than the Minimum Distribution Amount will be deemed ineligible to recover for that Security and his, her or its distribution amount for that Security will be reallocated on a pro rata basis to Eligible Claimants whose distribution amounts for that Security are greater than or equal to the Minimum Distribution Amount.

7. An Eligible Claimant's distribution amount for each Security will be no larger than his, her or its Recognized Loss for that Security minus the amount of any compensation for the loss that resulted from the conduct described in the Order that was received from another source for the same Security (e.g., class action settlement), to the extent known by the Fund Administrator ("Prior Recovery"). That is, the first-stage and second-stage distribution amounts will each be capped at the Recognized Loss for that Security minus the Prior Recovery for the same Security.

8. **We encourage you to file a claim via the Online Filing Portal** no later than 11:59 P.M. PST on November 29, 2025. Alternatively, you may mail the enclosed COMPLETED AND SIGNED PROOF OF CLAIM FORM POSTMARKED ON OR BEFORE NOVEMBER 29, 2025, addressed as follows:

*Barclays Fair Fund*  
c/o KCC Class Action Services  
Fund Administrator  
P.O. Box 301175  
Los Angeles, CA 90030-1175 USA

## **II. CLAIMANT IDENTIFICATION**

Use Part I of this form entitled "CLAIMANT IDENTIFICATION" to provide all of the requested information. THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S), ACQUIRER(S) OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S) OF THE SECURITIES UPON WHICH THIS CLAIM IS BASED.

All joint purchasers must sign the Proof of Claim Form. Executors, administrators, guardians, conservators, and trustees must complete and sign this claim on behalf of persons represented by them, and documentation of their authority must accompany this claim, and their titles or capacities must be stated. The Social Security (or taxpayer identification) number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information and to otherwise complete the Proof of Claim Form could delay verification of your claim or result in rejection of the claim. If you are acting in a representative capacity on behalf of a Preliminary Claimant (for example, as an executor, administrator, trustee, or other representative), you must submit evidence of your current authority to act on behalf of that Preliminary Claimant. Such evidence would include, for example, testamentary letters, letters of administration, or a copy of the trust documents.

Excluded from the Barclays Fair Fund are: (a) The Respondents; (b) Present or former officers or directors of Respondents or any assigns, creditors, heirs, distributees, spouses, parents, dependent children or controlled entities of any of the foregoing Persons or entities; (c) Any employee or former employee of the Respondents or employee or former employee of any of its affiliates who has been terminated for cause or has otherwise resigned, in connection with the conduct described in the Order; (d) Any Person who, as of the Claims Bar Date, has been the subject of criminal charges related to the conduct described in the Order or any related Commission action; (e) Any firm, trust, corporation, officer, or other entity in which Respondents has or had a controlling interest; (f) The Fund Administrator, its employees, and those Persons assisting the Fund Administrator in its role as the Fund Administrator; or (g) Any purchaser or assignee of another Person's right to obtain a recovery from the Fair Fund for value; provided, however, that this provision shall not be construed to exclude those Persons who obtained such a right by gift, inheritance or devise.

### III. PROOF OF CLAIM FORM

Use Part II of the Proof of Claim Form entitled “Schedule of Transactions in Barclays American Depository Receipts (ADRs) and Barclays ordinary shares” to supply all required details of your transactions in the Securities between June 26, 2019, and March 27, 2022, both dates inclusive (the “Relevant Period”). If you need more space to list your transactions, make a copy of the applicable page. Additional copies of the schedule can also be found on the Fair Fund website, [www.BarclaysFairFund.com](http://www.BarclaysFairFund.com). Fill in the circle at the bottom of the transaction page, then sign and print or type your name on each additional schedule.

On the schedules, provide **all** requested information with respect to your purchases, acquisitions, sales, and disposition(s) of the Securities during the Relevant Period, regardless of whether such transactions resulted in a profit or a loss. You must also provide all the requested information with respect to your holdings in the Securities at the closing of trading on June 24, 2022. Failure to report all such transactions may result in the rejection of your claim.

List these transactions separately and in chronological order by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

The date of covering a “short sale” is deemed to be the date of purchase of the Eligible Security.

The date of a “short sale” is deemed to be the date of sale of the Eligible Security.

**YOU MUST INCLUDE ACCEPTABLE SUPPORTING DOCUMENTATION TO CONFIRM YOUR TRANSACTIONS WITH YOUR SUBMISSION.** Copies of broker confirmations or other documentation of your transactions **MUST** be attached to your Proof of Claim Form. If any such documents are not in your possession, please obtain a copy or equivalent document from your broker, because these documents are necessary to prove and process your claim. Failure to provide this documentation could delay verification of your claim or ultimately result in rejection of your claim.

**TAX FORM REQUIREMENTS.** You are required to provide a certification of your taxpayer identification number and potential exceptions. The interest component of any potential distribution payment is U.S. source income. To ensure that the Barclays Fair Fund can comply with its reporting and/or withholding obligations, please complete Part V of the Proof of Claim Form or include with your submission one (1) of the following forms, as applicable: (1) IRS Form W-9, (or substitute); OR IRS Form W-8BEN, W-8BEN-E, or other W-8 series form.

If you are a U.S. person, as that term is defined below, then you should complete the Substitute Form W-9 on page 9 of the Proof of Claim Form.

If you are not a U.S. person, then you should not complete the Substitute Form W-9 included with the Proof of Claim Form. Instead, you should complete the IRS Form W-8BEN, W-8BEN-E, or other W-8 series form, which can be found by visiting the following IRS website: <https://www.irs.gov/forms-instructions>.

The term “U.S. person” means: (a) a citizen or resident of the United States; (b) a partnership created or organized in the United States or under the laws of the United States or of any State, or the District of Columbia; (c) a corporation created or organized in the United States or under the laws of the United States or of any State, or the District of Columbia; (d) any estate or trust other than a foreign estate or foreign trust; or (e) any other person that is not a foreign person.

If the Barclays Fair Fund does not receive a valid and complete Form W-9 or W-8 from you, the Barclays Fair Fund may be required under the Internal Revenue Code to make certain presumptions about you for purposes of tax reporting and, as applicable, withholding. The Barclays Fair Fund may be required to presume the interest is being paid to: (1) a payee subject to 30% withholding under the Foreign Account Tax Compliance Act ("FATCA") and reporting on Form 1042-S; (2) a nonresident alien of the U.S. ("NRA") subject to reporting and 30% NRA withholding and reporting on Form 1042-S; or (3) a U.S. person subject to 24% backup withholding and reporting on Form 1099-INT.

**NOTICE TO BROKERS, CUSTODIANS, AND THIRD-PARTY ELECTRONIC FILERS REGARDING ELECTRONIC FILING:** Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. All claimants **MUST** submit a manually signed paper Proof of Claim Form whether or not they also submit electronic copies. If you wish to file your claim electronically, you must use the required file layout that is available at [www.BarclaysFairFund.com](http://www.BarclaysFairFund.com). No electronic files or electronic submission will be considered to have been properly submitted unless the Fund Administrator issues the claimant a written acknowledgment of receipt and acceptance of electronically submitted data. **Reimbursements for reasonable out-of-pocket expenses will be available, subject to the caps provided in paragraph 45 of the Plan of Distribution, available on the case documents tab of the Fair Fund website.**