

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

_____	x	
In re BARCLAYS BANK PLC SECURITIES	:	Master File No. 1:09-cv-01989-PAC
LITIGATION	:	
_____	:	<u>CLASS ACTION</u>
This Document Relates To:	:	
ALL ACTIONS.	:	DECLARATION OF CAROLE K.
_____	x	SYLVESTER REGARDING
		DISSEMINATION OF THE NOTICE OF
		PENDENCY OF CLASS ACTION,
		PUBLICATION OF THE SUMMARY
		NOTICE, AND REPORT ON REQUESTS
		FOR EXCLUSION RECEIVED

I, CAROLE K. SYLVESTER, declare:

1. I am employed by Gilardi & Co. LLC (“Gilardi”), located at 3301 Kerner Blvd., San Rafael, California, as the Director of Notice. Pursuant to its Order Granting Lead Plaintiff’s Unopposed Motion to Approve the Form and Manner of Class Notice (the “Order”), the Court approved Lead Plaintiff’s proposed Notice Plan which, among other things, appointed Gilardi to supervise and administer the notice procedure in connection with the Court’s certification of the above-captioned litigation as a class action (the “Action”). I oversaw the notice services that Gilardi provided in accordance with the Order.

2. I submit this declaration in order to provide the Court and the parties to the Action with information regarding: (i) the mailing of the Notice of Pendency of Class Action (the “Notice”), (ii) the posting of the Notice and other case documents on the website established for the Action, (iii) the publication of the Summary Notice of Pendency of Class Action (the “Summary Notice”), and (iv) the number of requests for exclusion from the Class received by Gilardi to date.

3. I am over 21 years of age and am not a party to this Action. I have personal knowledge of the facts set forth herein and, if called as a witness, could and would testify competently thereto.

MAILING OF THE NOTICE

4. In accordance with the Order and the Court-approved Notice Plan, Gilardi is responsible for disseminating the Notice to potential Class Members in the form approved by the Court. A true and correct copy of the Notice is attached hereto as Exhibit A.

5. On May 8, 2017, Gilardi received from counsel for Barclays Bank PLC (“Barclays”): (i) a spreadsheet listing the names and addresses of holders of Barclays American Depositary Shares (“ADS”), Series 5, representing non-cumulative callable dollar preference shares (“Series 5 ADS”),

as of June 30, 2008, which Barclays understands was provided by the transfer agent for the Series 5 ADS Depository (The Bank of New York Mellon), and (ii) a spreadsheet listing the banks and brokers that were participants within the Depository Trust Company (“DTC”) holding Series 5 ADS, as of January 29, 2010, which Barclays understands was provided by DTC. The spreadsheets were reviewed to identify and eliminate duplicate entries and incomplete data, resulting in a usable mailing list of 17 unique names and addresses. Gilardi had the unique name and address data printed on the Notices, posted the Notices for First-Class Mail prepaid, and delivered 17 Notices on May 22, 2017, to the United States Post Office located in Santa Rosa, California.

6. In addition, on May 22, 2017, as part of its normal mailing procedures, Gilardi mailed Notices and cover letters to 279 brokerages, custodial banks, and other institutions (“Nominal Holders”) that hold securities in “street name” as nominees for the benefit of their customers who are the beneficial owners of the securities. The Nominal Holders also include a group of filers/institutions who have requested notification of every securities case. These Nominal Holders are included in a proprietary database created and maintained by Gilardi. In Gilardi’s experience, the Nominal Holders included in this proprietary database represent a significant majority of the beneficial holders of securities. The cover letter accompanying the Notices advised the Nominal Holders of the pendency of class action and requested their cooperation in forwarding the Notice to potential Class Members. In the over 25 years that Gilardi has provided notice administration services in securities class actions, Gilardi has found that the majority of potential class members hold their securities in street name and are notified through the Nominal Holders. Gilardi also mailed Notices and cover letters to the 4,665 institutions included on the U.S. Securities and Exchange Commission’s (“SEC”) list of active brokers and dealers at the time of mailing. A copy of

the cover letter mailed to Nominal Holders and the institutions included on the SEC's list of active brokers and dealers is attached hereto as Exhibit B.

7. As part of the notice campaign for this Action, Gilardi also caused the Notice to be published by the DTC on the DTC Legal Notice System ("LENS"). LENS enables the participating bank and broker nominees to review the Notice and contact Gilardi for copies of the Notice for their beneficial holders.

8. Gilardi has acted as a repository for shareholder and nominee inquiries and communications received in this Action. In addition, the Notice directed those who purchased or otherwise acquired Barclays Series 5 ADS, pursuant or traceable to the offering that commenced on or about April 8, 2008 for the beneficial ownership of another to, no later than ten (10) business days after receipt of the Notice, either (i) send the Notice to all such beneficial owners; or (ii) provide a list of names and addresses of all such beneficial owners to Gilardi. In this regard, Gilardi has forwarded the Notice on request to nominees who held Barclays Series 5 ADS for the beneficial interest of other persons and has also forwarded the Notice directly to beneficial owners upon receipt of their names and addresses from such beneficial owners or nominees.

9. Since the initial mailing on May 22, 2017, Gilardi has received eight responses to the outreach efforts described above, including computer files containing a total of 11,244 names and addresses of potential Class Members. Gilardi also has received three responses that included mailing labels with names and addresses for an additional 483 potential Class Members. In addition, five institutions requested that Gilardi send them a total of 29,830 Notices for forwarding directly to their clients.

10. As of the date of this declaration, Gilardi has mailed a total of 46,518 Notices to potential Class Members and nominees.

TELEPHONE HOTLINE AND WEBSITE

11. Gilardi established and continues to maintain a toll-free telephone number to accommodate potential Class Member inquiries about the Notice and the Action. This toll-free number, 1-844-330-1181, became operational on May 22, 2017. Gilardi has and will continue to promptly respond to all inquiries to the toll-free telephone number.

12. To further assist potential Class Members in connection with the Notice and the Action, Gilardi established and maintains a website dedicated to the Action (www.barclaysbankplcsecuritieslitigation.com). This website became operational on May 22, 2017. Visitors to the website can download the Notice, and the Order, as well as other important case related documents.

PUBLICATION OF THE SUMMARY NOTICE

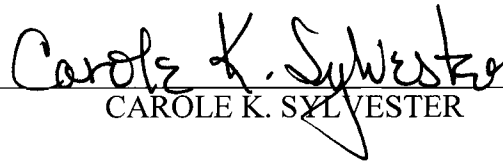
13. In accordance with the Order and Court-approved Notice Plan, Gilardi caused the Summary Notice to be published in *The Wall Street Journal* and transmitted over *PR Newswire* on May 25, 2017, as shown in the Declarations of Publication attached hereto as Exhibit C.

REPORT ON EXCLUSIONS RECEIVED TO DATE

14. The Notice informed potential Class Members that written requests for exclusion from the Class were to be mailed to *In re Barclays Bank PLC Securities Litigation*, EXCLUSIONS, c/o Gilardi & Co. LLC, 3301 Kerner Blvd, San Rafael, CA 94901, postmarked no later than July 21, 2017. The Notice also set forth the information that was required to be included in each request for exclusion. Gilardi has monitored and will continue to monitor all mail delivered to this address. As

of the date of this declaration, Gilardi has received a total of sixteen requests for exclusion from the Class. Fifteen of the requests for exclusion received were postmarked on or before July 21, 2017, and one was postmarked after that date. A list of all sixteen requests for exclusion are attached hereto as Exhibit D.

I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed this 31st day of July 2017, at San Rafael, California.


CAROLE K. SYLVESTER

CERTIFICATE OF SERVICE

I hereby certify that on July 31, 2017, I authorized a true and correct copy of the Declaration of Carole K. Sylvester Regarding Dissemination of the Notice of Pendency of Class Action, Publication of the Summary Notice, and Report on Requests for Exclusion Received, along with all exhibits referenced therein, to be electronically filed with the Clerk of the Court using the CM/ECF system, which will send notification of such public filing to all counsel registered to receive such notice.

/s/ Eric I. Niehaus

ERIC I. NIEHAUS

EXHIBIT A

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

In re BARCLAYS BANK PLC SECURITIES LITIGATION	X	Master File No. 1:09-cv-01989-PAC
This Document Relates To: ALL ACTIONS.	X	<u>CLASS ACTION</u>

NOTICE OF PENDENCY OF CLASS ACTION

TO: ALL PERSONS OR ENTITIES WHO PURCHASED OR OTHERWISE ACQUIRED AMERICAN DEPOSITORY SHARES ("ADS"), SERIES 5, REPRESENTING NON-CUMULATIVE CALLABLE DOLLAR PREFERENCE SHARES OF BARCLAYS BANK PLC, SERIES 5, PURSUANT OR TRACEABLE TO THE PUBLIC OFFERING THAT COMMENCED ON OR ABOUT APRIL 8, 2008

**A FEDERAL COURT AUTHORIZED THIS NOTICE.
THIS IS NOT A SOLICITATION FROM A LAWYER.**

PLEASE READ THIS NOTICE CAREFULLY AND IN ITS ENTIRETY. YOUR RIGHTS MAY BE AFFECTED BY A CLASS ACTION LAWSUIT PENDING IN THIS COURT.

This Notice is given pursuant to Rule 23 of the Federal Rules of Civil Procedure and an order of the United States District Court for the Southern District of New York (the "Court") to inform you (1) of a class action lawsuit that is now pending in the Court under the above caption (the "Action") against (i) Barclays Bank PLC ("Barclays") and Barclays PLC; (ii) Marcus Agius, David G. Booth, Sir Richard Broadbent, Richard Leigh Clifford, Fulvio Conti, Daniel Cronje, Dame Sandra J.N. Dawson, Robert Edward Diamond, Jr., Gary A. Hoffman, Sir Andrew Likierman, Dr. Christopher Lucas, Sir Nigel Rudd, Stephen George Russell, Frederik Seegers, John Michael Sunderland, and John Silvester Varley (the "Individual Defendants" and, with Barclays and Barclays PLC, the "Barclays Defendants"); and (iii) Banc of America Securities LLC, Barclays Capital Securities Limited, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Morgan Stanley & Co., Incorporated, RBC Dain Rauscher Inc., UBS Securities LLC and Wachovia Capital Markets, LLC (n/k/a Wells Fargo Securities, LLC) (the "Underwriter Defendants," and with the Barclays Defendants, "Defendants"); and (2) that the Action has been certified by the Court to proceed as a class action on behalf of the following Class:

All persons or entities who purchased or otherwise acquired American Depositary Shares, Series 5, representing non-cumulative callable, dollar preference shares of Barclays, Series 5, pursuant or traceable to the public offering that commenced on or about April 8, 2008. Excluded from the Class are: Defendants, the officers and directors of Barclays at all relevant times, members of their immediate families and their legal representatives, heirs, successors or assigns, and any entity in which Defendants have or had a controlling interest.¹

¹ Notwithstanding the foregoing exclusions, "Investment Vehicles" are not excluded from the Class. Investment Vehicles means any investment company or pooled investment fund, including, but not limited to: (i) mutual fund families, exchange-traded funds, fund of funds and hedge funds, in which a Defendant has or may have a direct or indirect interest, or as to which its affiliates may act as an investment advisor, but of which a Defendant or its respective affiliates is not a majority owner or does not hold a majority beneficial interest, and (ii) any Employee Benefit Plan as to which a Defendant or its affiliates acts as an investment advisor or otherwise may be a fiduciary.

1. What Is This Notice and Why Is It Important?

The Court has certified this lawsuit as a class action. A class action is a lawsuit in which one or more individual(s) sue an individual(s), company and/or other entity on behalf of all other people who are allegedly in a similar position. Collectively, these people are referred to as a “Class” or “Class Members.” In a class action, the court resolves certain issues, legal claims and/or defenses for all Class Members in one lawsuit, except for those who ask to be excluded from the Class (as discussed below). If you purchased or otherwise acquired Barclays ADS, Series 5, pursuant or traceable to the public offering that commenced on or about April 8, 2008, you may be a Class Member, and if so, this lawsuit will affect your legal rights. **Please read this entire Notice carefully.**

This Notice is not an admission by Defendants or an expression of any opinion by the Court concerning the merits of any of the Class Members’ claims, which Defendants have denied in their entirety. This Notice is not a finding by the Court that the claims asserted in this case are valid.

This Notice is intended solely to advise you of the pendency of the Action and of your rights in connection with it. There is no settlement or monetary recovery at this time.

2. What Is This Lawsuit About?

This is a securities class action against Barclays, certain of Barclays’ officers and directors and the Underwriters of the April 8, 2008 offering for alleged violations of the federal securities laws. The operative complaint alleges that the offering materials for the April 8, 2008 offering contained material misstatements or omissions concerning Barclays’ exposure to risky credit market assets.

Defendants have denied and continue to deny any wrongdoing in this Action and maintain that the claims asserted in the Action are without merit. Among other things, Defendants deny that they made any materially false or misleading statements or omissions in the offering materials for the April 8, 2008 offering, and deny that any Barclays’ Series 5 stock price declines were caused by any alleged misstatements or omissions in those offering materials or by any wrongdoing on the part of Defendants.

The parties litigated numerous motions to dismiss the complaints filed in the Action, as well as an appeal of one of those motions in the Second Circuit Court of Appeals. The parties have also engaged in extensive document and deposition discovery, and have retained numerous experts. On June 9, 2016, the Court issued an order certifying the case as a class action. The Court also appointed Lead Plaintiff Dennis Askelson to serve as Class Representative and Robbins Geller Rudman & Dowd LLP and Kessler Topaz Meltzer & Check, LLP to serve as Co-Class Counsel. The case is presently pending before United States District Judge Paul A. Crotty and is styled *In re Barclays Bank PLC Securities Litigation*, Master File No. 1:09-cv-01989-PAC.

On June 23, 2016, Defendants petitioned the Second Circuit Court of Appeals for permission to appeal the order granting class certification. Lead Plaintiff opposed the petition on July 8, 2016, and on November 22, 2016, the Second Circuit denied the petition.

3. How Do I Know if I Am a Class Member?

According to the Court’s June 9, 2016 order, you are a Class Member if you fall within the following definition:

All persons or entities who purchased or otherwise acquired Barclays ADS, Series 5, representing non-cumulative callable dollar preference shares of Barclays ADS, Series 5, pursuant or traceable to the public offering that commenced on or about April 8, 2008. Excluded from the Class are Defendants, the officers and directors of Barclays at all relevant times, members of their immediate families and their legal

representatives, heirs, successors or assigns, and any entity in which Defendants have or had a controlling interest.²

If you are a Class Member, you must decide to either stay in this lawsuit or exclude yourself, as described below. As a member of the Class, you will be represented by Co-Class Counsel. Alternatively, you may remain a member of the Class and elect to be represented by counsel of your own choosing. If you decide to retain separate counsel, you will be responsible for that attorney's fees and expenses and that attorney must enter an appearance on your behalf by filing a Notice of Appearance with the Court and mailing it to Co-Class Counsel at the addresses set forth below, on or before July 21, 2017. If you are a legal representative for a decedent's estate or an individual who is no longer in charge of his or her own financial matters, and you believe they fall within the Class definition, read this Notice carefully to decide what steps to take on their behalf.

4. If I Am a Class Member, What Are My Options?

If you are a Class Member, you have a right to decide whether to remain a Class Member and stay in the case, or be excluded from the Class and the lawsuit.

Option 1. Do Nothing. Choose to Remain a Class Member and Stay in the Lawsuit.

You have the right to stay in the lawsuit as a Class Member and await the outcome of the case. If you want to remain a Class Member, you do not need to do anything. It will not cost you anything to remain a Class Member. If you decide to stay in the lawsuit as a Class Member, you will be bound by all orders, judgments and decisions of the Court whether favorable or unfavorable to you or to the Class. At the end of the case, you may be eligible to receive money or other benefits as awarded by the Court as a result of a trial or by settlement reached between Class Representative and Defendants, or you may receive nothing. You do not need to do anything to remain eligible to be awarded money or other benefits from this lawsuit. If you stay in the case, Class Representative will pursue the claims and remedies on your behalf. There is no guarantee that Class Representative will be successful with his claims and/or win the lawsuit at trial or before. If the Class is awarded money or benefits, you will be notified about how to make a claim for your share, if any. **For this reason, please be sure to keep all records of your transactions in this security.**

The Court has appointed Dennis Askelson as Class Representative to pursue claims on behalf of you and other Class Members. The Court has also appointed the following law firms as Co-Class Counsel to represent those Class Members who stay in the lawsuit:

Andrew J. Brown
ROBBINS GELLER RUDMAN
& DOWD LLP
655 West Broadway, Suite 1900
San Diego, CA 92101
Website: www.rgrdlaw.com

Andrew L. Zivitz
KESSLER TOPAZ MELTZER
& CHECK, LLP
280 King of Prussia Road
Radnor, PA 19087
Website: www.ktmc.com

These attorneys are experienced in handling complex lawsuits on behalf of large classes of shareholders. More information about Co-Class Counsel is available on their respective websites listed above. Co-Class Counsel have agreed to represent the Class on a contingent fee basis, which means that they will be awarded fees and costs to be approved by the Court only if they succeed in obtaining a recovery from one or more Defendants. Any attorneys' fees for Co-Class Counsel will be awarded by the

² Notwithstanding the foregoing exclusions, "Investment Vehicles" are not excluded from the Class. Investment Vehicles means any investment company or pooled investment fund, including, but not limited to: (i) mutual fund families, exchange-traded funds, fund of funds and hedge funds, in which a Defendant has or may have a direct or indirect interest, or as to which its affiliates may act as an investment advisor, but of which a Defendant or its respective affiliates is not a majority owner or does not hold a majority beneficial interest, and (ii) any Employee Benefit Plan as to which a Defendant or its affiliates acts as an investment advisor or otherwise may be a fiduciary.

Court from a settlement or judgment, if any, obtained on behalf of the Class. You will not be personally responsible for any fees, costs or expenses of Co-Class Counsel related to the prosecution of this lawsuit. If you do nothing now and stay in the lawsuit, you will give up your rights to sue Defendants separately in another lawsuit regarding legal claims that are, or could have been, part of this lawsuit (described below) and you waive your right to bring a separate lawsuit about the issues raised in this Action. Your rights to recover in other lawsuits involving Defendants may also be impacted. You may also forgo your right to pursue claims based on alternative legal theories in favor of the theories being pursued in this case. If you stay in the case, you will be legally bound by all orders that the Court issues in this case, including final judgment. Pursuant to Rule 23(e)(4) of the Federal Rules of Civil Procedure, it is within the Court's discretion whether to allow a second opportunity to request exclusion from the Class if there is a settlement or judgment in the Action after a trial.

Option 2. Choose to Exclude Yourself from the Class.

You have the right not to be part of this lawsuit by excluding yourself or "opting out" of the Class. If you wish to exclude yourself from the Class, you must do so **on or before July 21, 2017**, as described below. If you exclude yourself from the Class, you give up your right to receive any money or other benefits that may be awarded in this case, and you will not be bound by any judgments or other orders of the Court, whether favorable or unfavorable to you and/or the Class. However, you will retain your rights, if any, to sue Defendants separately in another lawsuit and bring the same legal claims that are part of this lawsuit. If you wish to pursue this right, you will need to exclude yourself and hire your own attorney, at your expense. You will also need to bring evidence to support your own claims. If you choose this option, you should talk to an attorney soon because your claims may be subject to a statute of limitations and/or statute of repose which sets a deadline for filing a lawsuit within a certain period of time.

5. How Do I Exclude Myself from the Class?

To exclude yourself from the Class and/or preserve your right to bring a separate case, you must make a request to be excluded in writing and mail it to the Notice Administrator as follows:

In re Barclays Bank PLC Securities Litigation
EXCLUSIONS
c/o Gilardi & Co. LLC
3301 Kerner Blvd.
San Rafael, CA 94901

All requests for exclusion must be **postmarked on or before July 21, 2017**.

Your request for exclusion must contain:

1. The name of the lawsuit (*In re Barclays Bank PLC Securities Litigation*);
2. Your full name;
3. Your current address and telephone number;
4. A clear statement that you wish to be excluded such as: "I request exclusion from the Class in the *In re Barclays Bank PLC Securities Litigation*";
5. The number of Barclays ADS, Series 5, you purchased or otherwise acquired pursuant or traceable to the public offering that commenced on or about April 8, 2008, as well as the dates and prices of all such purchases and other acquisitions;
6. The number of Barclays ADS, Series 5, you sold, as well as the dates and prices of all such sales; and
7. Your signature.

Co-Class Counsel will present your request for exclusion to the Court. If you are signing on behalf of a Class Member (such as an estate, corporation or incompetent person) as a legal representative, please include your full name and the basis for your authority to act on behalf of the Class Member.

You cannot exclude yourself by telephone, facsimile or email. Requests for exclusion that do not comply with the above requirements will be considered invalid, unless otherwise accepted by the Court.

IF YOU DO NOT EXCLUDE YOURSELF BY THE DEADLINE ABOVE, YOU WILL REMAIN PART OF THE CLASS AND BE BOUND BY THE ORDERS OF THE COURT IN THIS LAWSUIT, INCLUDING THE FINAL JUDGMENT, WHETHER OR NOT IT IS FAVORABLE TO YOU AND/OR THE CLASS.

6. How Do I Find out More About This Lawsuit?

If you have any questions about this lawsuit or any matter raised in this Notice, please visit www.barclaysbankplcsecuritieslitigation.com or contact the Notice Administrator, Gilardi & Co. LLC, by calling toll free at (844) 330-1181, by writing to *In re Barclays Bank PLC Securities Litigation*, c/o Gilardi & Co. LLC, P.O. Box 43434, Providence, RI 02940-3434, or by sending an email to info@barclaysbankplcsecuritieslitigation.com. You may also contact Co-Class Counsel as listed above. Complete copies of the pleadings, orders and other documents that have been publicly filed in this Action may be examined and copied at any time during regular office hours at the Clerk of the Court, United States District Court for the Southern District of New York, located at the Daniel Patrick Moynihan Federal Building & United States Courthouse, 500 Pearl Street, New York, New York 10007, or obtained for a fee at www.pacer.gov.

7. Please Keep Your Address Current

To assist the Court and the parties in maintaining accurate lists of Class Members, you are requested to mail notice of any changes in your address to the Notice Administrator at the address listed above. If this Notice was forwarded to you by the postal service, or if it was otherwise sent to you at an address that is not current, you should immediately contact the Notice Administrator at the above address or call the Notice Administrator toll free at (844) 330-1181 and provide them with your correct address. If the Notice Administrator does not have your correct address, you may not receive notice of important developments in this Action.

SECURITIES BROKERS AND NOMINEES

Nominees who purchased or otherwise acquired Barclays ADS, Series 5, pursuant or traceable to the offering that commenced on or about April 8, 2008 for the beneficial ownership of another are requested to, no later than ten (10) business days after receipt of this Notice, either (i) send the Notice to all such beneficial owners; or (ii) provide a list of names and addresses of all such beneficial owners to the Notice Administrator at *In re Barclays Bank PLC Securities Litigation*, c/o Gilardi & Co. LLC, P.O. Box 43434, Providence, RI 02940-3434, and the Notice Administrator will send a copy of the Notice to such beneficial owners. Upon FULL AND TIMELY compliance with these directions, such nominees may seek reimbursement of their reasonable expenses actually incurred by providing the Notice Administrator with proper documentation supporting the expenses for which reimbursement is sought.

PLEASE DO NOT TELEPHONE OR CONTACT THE COURT OR CLERK OF THE COURT REGARDING THIS NOTICE.

DATED: May 22, 2017

BY ORDER OF THE COURT
THE HONORABLE PAUL A. CROTTY
UNITED STATES DISTRICT JUDGE

In re Barclays Bank PLC Securities Litigation
P.O. Box 43434
Providence, RI 02940-3434

BCY

EXHIBIT B



3301 Kerner Blvd.
San Rafael, CA 94901
P: (415) 461-0410
F: (415) 461-0412

May 22, 2017

«FirstName» «LastName»
«Company»
«Addr1»
«Addr2»
South Bend, IN 46601
«FCountry»

Re: In re Barclays Bank PLC Securities Litigation

Dear «GENDER» «LastName»:

Please find enclosed the Notice of Pendency for the above referenced litigation. Please note both the class period and the designated eligible securities described on page one of the Notice, specifically the inclusion of all persons or entities who purchased or otherwise acquired American Depositary Shares ("ADS"), Series 5, representing non-cumulative callable dollar preference shares of Barclays Bank PLC, Series 5, pursuant or traceable to the public offering that commenced on or about April 8, 2008.

Please pay particular attention to the "Securities Brokers and Nominees" on page five of the Notice. Additional copies of the appropriate documents may be requested by contacting us at the above address and/or phone number.

If we conduct the necessary mailing on your behalf, please submit names and addresses either via email to Notifications@Gilardi.com, via CD Rom to the above address or contact (415) 458-3015 to obtain secure FTP transmission instructions. Mailing labels will be accepted, but you may be requested to provide an additional copy of the address information you send. Do not include any confidential information that should not appear on a mailing label.

The data provided must be in one of the following formats:

- ASCII Fixed Length file
- ASCII Tab Delimited file
- Microsoft Excel spreadsheet

Your request must also specify the case name and Control Total(s) (for example, the total number of name and address records provided) for each file submission.

If you have any questions, please call (415) 458-3015.

Sincerely,

Gilardi and Company, LLC

Exhibit C

Declaration of Publication

I, Dominic Campodonico, as Senior Project Manager, Legal Notification Services at Gilardi & Co. LLC, a KCC Class Action Services Company in San Rafael, California, hereby certify that I caused the attached notice to be printed in said publication on May 25, 2017:

Name of Publication: The Wall Street Journal
Address: 1211 Avenue of the Americas
City, State, Zip New York, NY, 10036
Phone #: 1-800-568-7625
State of: New York

I declare under penalty of perjury that the foregoing is true and correct. Executed on this 31st day of July 2017, at San Rafael, California.



Dominic Campodonico

BUSINESS & FINANCE

Deutsche Bank Pressed on Links to Russia

Democratic lawmakers in U.S. Congress want details on trading with nation, loans to Trump

By JENNY STRASBURG

U.S. Democratic lawmakers have asked Deutsche Bank AG to provide details about its internal reviews into Russian trades and clients, as well as loans made to President Donald Trump, according to a letter made public on Wednesday.

Rep. Maxine Waters of California, the ranking Democrat on the House Financial Services Committee, and four other Democrats in a letter dated Tuesday asked Deutsche Bank Chief Executive John Cryan to disclose materials related to any internal reviews into Mr. Trump's accounts and any connections between those accounts and Russia.

The lawmakers asked for details of any Deutsche Bank reviews of whether loans to Mr. Trump "were backed by guarantees from the Russian government, or were in any way connected to Russia."

The lawmakers also asked for due-diligence documentation and details of assets and guarantees backing the loans to Mr. Trump.

Deutsche Bank, which has previously faced similar requests for information, declined to comment through a spokesman.

He hopes the probe—which he has dubbed a "witch hunt"—will soon end.

Deutsche Bank has faced scrutiny over courtrooms around its Russia operations, including roughly \$10 billion in equity trades that are a matter of a continuing U.S. Justice Department investigation, and for its ties to Mr. Trump.

The bank lent more than \$300 million to entities affiliated with Mr. Trump, disclosures show. Democratic lawmakers in March called for a hearing to examine Deutsche Bank's ties to Mr. Trump.

Tuesday's letter asks for a response and documentation by June 2.

In a separate letter sent Tuesday to Treasury Secretary Steven Mnuchin, Ms. Waters requested that the department's Financial Crimes Enforcement Network provide any records detailing the president's financial ties to Russia.



Rep. Maxine Waters wants to see internal reviews of Donald Trump and any connections to Russia.

ADVERTISEMENTS

Legal Notices

To advertise: 800-366-3975 or WSJ.com/classifieds

NOTICE OF ASSIGNMENT OF DEBTS... I, the undersigned, do hereby certify that the within and foregoing copy of the assignment of debts...

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FINANCE WATCH

CFPB Court Hears Appeal

WASHINGTON—An appeals court appeared hesitant to rule that the structure of a federal consumer regulator created after the 2008 financial crisis was unconstitutional, with several judges suggesting the ultimate word on the issue may have to come from the Supreme Court.

Bank to Pay Penalty

BNP Paribas SA agreed to pay a \$350 million penalty to resolve allegations by New York's banking regulator that foreign-exchange traders at the French bank engaged in collusion to manipulate currency rates.

CEO Talks III

Chief Group Inc. Chairman and Chief Executive Officer Terence A. Duffy underwent a procedure on his lung late last week, a CME spokesman said in an email. He is "expected to make a full recovery returning to work in the next couple of weeks," she said.

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Declaration of Publication

I, Dominic Campodonico, as Senior Project Manager, Legal Notification Services at Gilardi & Co. LLC, a KCC Class Action Services Company in San Rafael, California, hereby certify that I caused the attached notice to be published as a press release by the following wire service:

Name of Publication: PR Newswire
Address: 303 Second Street, 9th Floor
City, State, Zip San Francisco, CA 94107
Phone #: 866-732-1382
State of: California

The press release was distributed on May 25, 2017 to the following media circuits offered by the above-referenced wire service:

1. US1 National Newsline

I declare under penalty of perjury that the foregoing is true and correct. Executed on this 31st day of July 2017, at San Rafael, California.



Dominic Campodonico



Robbins Geller Rudman & Dowd LLP and Kessler Topaz Meltzer & Check, LLP Announce Notice of Pendency of Class Action In In Re Barclays Bank PLC Securities Litigation

NEWS PROVIDED BY

Robbins Geller Rudman & Dowd LLP and Kessler Topaz Meltzer & Check, LLP →

11:30 ET

NEW YORK, May 25, 2017 /PRNewswire/ -- The following statement is being issued by Robbins Geller Rudman & Dowd LLP and Kessler Topaz Meltzer & Check, LLP regarding the Barclays Bank PLC Securities Litigation:

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

In re BARCLAYS BANK PLC SECURITIES
LITIGATION

x Master File No. 1:09-cv-01989-PAC
:
: CLASS ACTION
:

This Document Relates To:

ALL ACTIONS.

x

SUMMARY NOTICE OF PENDENCY OF CLASS ACTION

TO: ALL PERSONS OR ENTITIES WHO PURCHASED OR OTHERWISE ACQUIRED AMERICAN DEPOSITARY SHARES ("ADS"), SERIES 5, REPRESENTING NON-CUMULATIVE CALLABLE DOLLAR PREFERENCE SHARES OF BARCLAYS BANK PLC, SERIES 5, PURSUANT OR TRACEABLE TO THE PUBLIC OFFERING THAT COMMENCED ON OR ABOUT APRIL 8, 2008

YOU ARE HEREBY NOTIFIED, pursuant to Rule 23 of the Federal Rules of Civil Procedure, that the above-captioned securities class action lawsuit (the "Action") is currently pending before the Honorable Paul A. Crotty, United States District Judge, Southern District of New York. On June 9, 2016, the Court certified a Class consisting of all persons or entities who purchased or otherwise acquired Barclays ADSs, Series 5, non-cumulative callable dollar preference shares pursuant or traceable to the April 8, 2008 public offering, and directed that notice of the Court's certification of the Action as a class action on behalf of the Class be provided to such persons and entities. No resolution of the litigation has yet been reached.

If you purchased or otherwise acquired Barclays ADS, Series 5, pursuant or traceable to the April 8, 2008 public offering, your rights may be affected by this Action. If you have not received a copy of the detailed "Notice of Pendency of Class Action," you may obtain a copy by contacting the Notice Administrator at: *In re Barclays Bank PLC Securities Litigation*, c/o Gilardi & Co. LLC, P.O. Box 43434, Providence, RI 02940-3434, or by downloading a copy at www.barclaysbankplcsecuritieslitigation.com. If you are a Class Member and did not receive the Notice by mail, please send your name and address to the Notice Administrator so that if any future notices are disseminated in connection with the Action, you will receive them.

Inquiries, other than requests for the Notice, may be made to Court-appointed Co-Class Counsel:

Andrew J. Brown, Esq.	Andrew L. Zivitz, Esq.
ROBBINS GELLER RUDMAN & DOWD LLP	KESSLER TOPAZ MELTZER & CHECK, LLP
655 West Broadway, Suite 1900 San Diego, CA 92101 Telephone: (619) 231-1058 www.rgrdlaw.com	280 King of Prussia Road Radnor, PA 19087 Telephone: (610) 667-7706 www.ktmc.com

If you are a Class Member, you have the right to decide whether to remain a member of the Class. ***If you choose to remain a member of the Class, you do not need to do anything at this time other than retain your documentation reflecting your transactions in Barclays ADSs, Series 5 shares.*** You will automatically be included in the Class, and you will be bound by the proceedings in this Action, including all past, present and future orders and judgments of the Court, whether favorable or unfavorable to the Class.

If you are a Class Member and **do not** wish to remain a member of the Class, you **must** take steps to exclude yourself from the Class. To exclude yourself from the Class, you must submit a written request for exclusion to the Notice Administrator at *In re Barclays Bank PLC Securities Litigation*, c/o Gilardi & Co. LLC, 3301 Kerner Blvd., San Rafael, CA 94901, **postmarked no later than July 21, 2017**, in accordance with the instructions set forth in the mailed Notice. Pursuant to Rule 23(e)(4) of the Federal Rules of Civil Procedure, it is within the Court's discretion as to whether a second opportunity to request exclusion from the Class will be allowed if there is a settlement or judgment in the Action.

PLEASE DO NOT CONTACT THE COURT OR THE CLERK'S OFFICE REGARDING THIS NOTICE.

DATED: May 22, 2017 BY ORDER OF THE COURT
UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

SOURCE Robbins Geller Rudman & Dowd LLP and Kessler Topaz Meltzer & Check, LLP

EXHIBIT D

EXCLUSIONS

BARCLAYS BANK PLC SECURITIES LITIGATION (BCY)

EXCLUSION DEADLINE: JULY 21, 2017(POSTMARK DATE)

OptOutNo	Name	City/State
EXCL00001	DALE H CHIDESTER(DECLD) NANCY A CHIDESTER(PERSONAL REPRESENTATIVE)	Sierra Vista, AZ
EXCL00002	DON D PHARES	Arvada, CO
EXCL00003	GERALD WILLIAM HAMER	Reno, NV
EXCL00004	SIMON L ZIMMERMAN REV LIV TR SIMON L ZIMMERMAN(DECLD)TTEE C/O JULIA JEFFERS	Elizabethtown, PA
EXCL00005	RICHARD SEARS	Capon Bridge, WV
EXCL00006	SCHROER TRUST CARL F SCHROER TTEE ROSELLA SCHROER TTEE	Tucson, AZ
EXCL00007	SHIRLEY JEAN HARROUN	Lake Wales, FL
EXCL00008	SHERYL EVELYN MCNEIL	Citrus Heights, CA
EXCL00009	NANCY CITTAR & VINCENT CITTAR ESTATE JEAN M STEIDLE	Fort Wayne, IN
EXCL00010	VIVIAN A FRANCE	Fremont, CA
EXCL00011	TRUST UW FLORENCE V MACDONALD JACQUELYN GIBBONS TTEE	Glen Mills, PA
EXCL00012	JOANNE E SHULTZ	Paola, KS
EXCL00013	THOMAS PAUL O'NEILL	Egg Harbor, NJ
EXCL00014	RICHARD L. ATWOOD	Van Wert, OH
EXCL00015	ELIZABETH A. HARMS	Columbus, NE
EXCL80001	PHIL CHEN	New Castle, WA