

From: Crowley, Daniel F. C.[dan.crowley@klgates.com]
Attendees: Tarbert, Heath (Chairman); stephen.berger@citadel.com; richard.grant@aqr.com; jmoran@aima.org; Humenik, Stephen M.; Kr♦I, Ji?♦ (EXTERNAL); Brown, Karen
Location: Webinar
Importance: Normal
Subject: [EXTERNAL] AIMA/CFTC Discussion
Start Time: Fri 12/4/2020 2:15:00 PM (UTC-05:00)
End Time: Fri 12/4/2020 3:00:00 PM (UTC-05:00)
Required Attendees: Tarbert, Heath (Chairman); stephen.berger@citadel.com; richard.grant@aqr.com; jmoran@aima.org; Humenik, Stephen M.; Kr♦I, Ji?♦ (EXTERNAL); Brown, Karen

Topics: March developments in U.S. Treasuries and futures markets, IOSCO/FSB work on market-based finance, including asset management issues (leverage, liquidity) and pro-cyclicality of margin, as well as outstanding Brexit issues.

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Organizer: Tarbert, Heath (Chairman)[Chairman@CFTC.gov]
From: Brown, Karen[/o=CFTC/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=Brown, Karend6]
Importance: Normal
Subject: HOLD: Citadel
Start Time: Mon 12/14/2020 4:45:00 PM (UTC-05:00)
End Time: Mon 12/14/2020 5:15:00 PM (UTC-05:00)

To: Condit, Sara[Sara.Condit@citadel.com]
From: Tarbert, Heath (Chairman)[/O=CFTC/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=28E27D6E122C4A9CBC3E9ACC90B0091A-CHAIRMAN]
Sent: Thur 12/3/2020 1:48:56 PM (UTC-05:00)
Subject: RE: [EXTERNAL] RE: RE: Catch Up Call in December

Hi Sara,

Could we revisit the calendar regarding the 1:1 catch up call? The call is currently scheduled on Thursday, December 17 @ 2pm ET/ 1pm CT. Would one of the following be available?

Monday, December 14 @ 12:45 ET/11:45 CT or 3:15 ET/2:15 CT or 4:45 ET/3:45 CT

Looking forward to your response.

Kindest regards,
Karen



Karen Brown
Executive Assistant, Office of Chairman Tarbert
Commodity Futures Trading Commission
202-418-5880
kbrown@cftc.gov



From: Brown, Karen
Sent: Tuesday, November 17, 2020 3:02 PM
To: 'Condit, Sara' <Sara.Condit@citadel.com>
Subject: RE: [EXTERNAL] RE: RE: Catch Up Call in December

Sara,

Please disregard below response. 2:00 p.m. EST does work on 12/17. Could you provide either direct dial for call or video conference Zoom or WebEx?

Kindest regards,
Karen



Karen Brown
Executive Assistant, Office of Chairman Tarbert
Commodity Futures Trading Commission
202-418-5880
kbrown@cftc.gov



From: Brown, Karen
Sent: Tuesday, November 17, 2020 3:00 PM
To: 'Condit, Sara' <Sara.Condit@citadel.com>
Subject: RE: [EXTERNAL] RE: RE: Catch Up Call in December

Hi Sara,

Would Thursday, 12/17 at 3:15 pm EST work?

Kindest regards,
Karen



Karen Brown
Executive Assistant, Office of Chairman Tarbert
Commodity Futures Trading Commission
202-418-5880
kbrown@cftc.gov



From: Condit, Sara <Sara.Condit@citadel.com>
Sent: Tuesday, November 17, 2020 2:58 PM
To: Brown, Karen <KBrown@CFTC.gov>
Subject: [EXTERNAL] RE: RE: Catch Up Call in December

Hi Karen,

How about we confirm Thursday 12/17, either the 2 or 2:30 pm Eastern works.

Thanks,
Sara

Sara Condit
Executive Assistant to the Chief Legal Officer
O: 312-395-3106 | C: 708-917-0062
E: sara.condit@citadel.com



131 South Dearborn Street, Chicago, Illinois 60603
www.Citadel.com



From: Brown, Karen <KBrown@CFTC.gov>
Sent: Tuesday, November 17, 2020 10:01 AM

To: Condit, Sara <Sara.Condit@citadel.com>
Subject: [EXTERNAL] RE: RE: Catch Up Call in December

CAUTION: This email is from an external sender.

Hi Sara,

Would a 30 minute slot for one of the following be available for the 1:1 between Shawn and Heath?

Wednesday, December 16 between 4-5:30 p.m. EST

Thursday, December 17 between 2-3 p.m. EST

Wishing you a wonderful holiday season.

Kindest regards,
Karen



Karen Brown
Executive Assistant, Office of Chairman Tarbert
Commodity Futures Trading Commission
202-418-5880
kbrown@cftc.gov



From: Fagan, Shawn <Shawn.Fagan@citadel.com>
Sent: Tuesday, November 17, 2020 8:56 AM
To: Tarbert, Heath P. <hpt14@CFTC.gov>
Cc: Brown, Karen <KBrown@CFTC.gov>; Condit, Sara <Sara.Condit@citadel.com>
Subject: [EXTERNAL] RE: Catch Up Call in December

Heath:

Thank you for the note. That sounds great. I have copied Sara Condit and doing a call on 12/9 or later should work well. Have a great Thanksgiving.

Shawn F. Fagan
Citadel
131 South Dearborn Street
Chicago, IL 60603
Tel. (312) 395-3273
Mobile (312) 343-1266
shawn.fagan@citadel.com

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From: Tarbert, Heath P. <hpt14@CFTC.gov>
Sent: Tuesday, November 17, 2020 6:36 AM
To: Fagan, Shawn <Shawn.Fagan@citadel.com>
Cc: Brown, Karen <KBrown@CFTC.gov>
Subject: [EXTERNAL] Catch Up Call in December

CAUTION: This email is from an external sender.

Shawn,

I hope this note finds you and your family well. It would be great to have a catch up call in the next month, ideally after December 8th. I am copying Karen, who can work with your assistant to set it up. Looking forward to catching up.

Best regards,

Heath



Heath P. Tarbert
Chairman & Chief Executive
Commodity Futures Trading Commission
202-418-5030
chairman@cftc.gov



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Organizer: Tarbert, Heath (Chairman)[Chairman@CFTC.gov]
From: Brown, Karen[/o=CFTC/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=Brown, Karenfd6]
Location: Zoom Video Conference details embedded
Importance: Normal
Subject: [EXTERNAL] 1:1 Shawn Fagan with Citadel
Categories: Yellow category
Start Time: Mon 12/14/2020 3:15:00 PM (UTC-05:00)
End Time: Mon 12/14/2020 3:45:00 PM (UTC-05:00)

When: Monday, December 14, 2020 2:15 PM-2:45 PM (UTC-06:00) Central Time (US & Canada).

Where: (b)(7)(E)

Note: The GMT offset above does not reflect daylight saving time adjustments.

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To: Tarbert, Heath P. [hpt14@CFTC.gov]
From: Schwartz, Rob [O=CFTC/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=SCHWARTZ, ROBERT0C8]
Sent: Sun 1/17/2021 7:53:27 PM (UTC-05:00)
Subject: Re: Ethics Clearance on Citadel Travel for Interview

Good luck.
Rob

On: 17 January 2021 19:52,
"Tarbert, Heath P." <hpt14@CFTC.gov> wrote:

Thanks very much, Frank, John, and Rob. So sorry to bother you on a Sunday.

From: Walsh, Frank
Sent: Sunday, January 17, 2021 7:32 PM
To: Tarbert, Heath P. <hpt14@CFTC.gov>
Cc: Schwartz, Rob <RSchwartz@CFTC.gov>; Einstman, John <JEinstman@CFTC.gov>
Subject: Ethics Clearance on Citadel Travel for Interview

Chairman Tarbert,

Thank you for reaching out with your ethics query. I have discussed this issue in depth with my supervisor, John Einstman (Deputy General Counsel (General Law)), and the Acting General Counsel, Rob Schwartz, concurs with our advice set forth below.

(b)(5)

As always, please do not hesitate to reach out to me, John, or Rob with any questions or concerns about this issue or any others with which we may be able to assist. My personal cell phone number is (b)(6) and I always have that on me.

Sincerely,



Frank M. Walsh

Associate General Counsel

Alternate Designated Agency Ethics Official (ADAEO)

Office of General Counsel

Commodity Futures Trading Commission

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