FOIA Office

U.S. COMMODITY FUTURES TRADING COMMISSION
Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
www.cftc.gov

April 13, 2020

Austin Evers
American Oversight
1030 15th Street NW, Suite B255
Washington, DC 20005

RE: 20-00070-FOIA

Dear Mr. Evers:

This is in response to your request dated February 13, 2020 under the Freedom of Information Act seeking access to:

All email communications (including email messages with complete email chains, email attachments, calendar invitations, and calendar invitation attachments) sent by any of the officials specified in Column A, below, to any of the external individuals or entities specified in Column B, below, regarding regulation of nonbank financial companies.

Column A: CFTC Officials

1. Heath Tarbert, Chairman and Chief Executive, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler
2. Christopher Giancarlo, former Chairman and Chief Executive, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler
3. Brian Quintenz, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler
4. Rostin Benham, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler
5. Dawn DeBerry Stump, Commissioner, and anyone communicating on her behalf, such as an executive or special assistant, or scheduler
6. Dan Berkovitz, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler
7. James McDonald, Director, Division of Enforcement
8. Bruce Tuckman, Chief Economist
9. Dorothy DeWitt, Director, Division of Market Oversight
10. Anyone serving in the role of White House Liaison or White House Advisor, including anyone in an acting capacity

Column B: External Entities

1. Prudential Financial, including but not limited to anyone communicating with an email address ending in @prudential.com
2. American International Group, including but not limited to anyone communicating with an email address ending in @aig.com
3. MetLife, including but not limited to anyone communicating with an email address ending in @metlife.com
4. GE Capital, including but not limited to anyone communicating with an email address ending in @gecapital.com
5. Invariant, including but not limited to anyone communicating with an email address ending in @invariantgr.com
6. Cypress Advocacy, including but not limited to anyone communicating with an email address ending in @cypressgroupdc.com
7. Williams Group, including but not limited to anyone communicating with an email address ending in @thewilliamsgroupdc.com
8. Baker & Hostetler, including but not limited to anyone communicating with an email address ending in @bakerlaw.com
9. Ballard Partners, including but not limited to anyone communicating with an email address ending in @ballardfl.com and @ballardpartners.com
10. Porterfield, Fettig, & Sears, including but not limited to anyone communicating with an email address ending in @pfs-dc.com

American Oversight requests that CFTC, at a minimum, employ these search terms to identify responsive records:

1. “nonbank”
2. “shadow bank”
3. “systemically important financial institution”
4. SIFI
5. “Financial Stability Oversight Council”
6. FSOC
7. “Dodd-Frank”
8. “activities based”
9. “activities-based”
10. “entity-based”
11. “entity based”

(Date Range for Record Search: From 1/1/2019 To 2/13/2020)

In accordance with the FOIA and agency policy, we have searched our records, as of February 13, 2020, the date we received your request in our FOIA office. Based on the information you provided, our search of the CFTC’s records did not identify any record that would respond to your request. If you believe that you have additional information that may help locate your requested records, please submit a new FOIA request with further details.

If you have any questions about the way we handled your request, or about our FOIA regulations or procedures, please contact me at 202-418-5912, or Jonathan Van Doren, our FOIA Public Liaison, at 202-418-5505.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, Room 2510, 8601 Adelphi Road, College Park, Maryland 20740-6001, email at ogis@nara.gov; telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

If you are not satisfied with this response to your request, you may appeal by writing to Freedom of Information Act Appeal, Office of the General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 8th Floor, 1155 21st Street, N.W., Washington, D.C. 20581, within 90 days of the date of this letter. Please enclose a copy of your original request and a copy of this response.

Sincerely,

Rose Bajorek

Rosemary Bajorek
Attorney-Advisor