

HEATH P. TARBERT

3501 Sansom Street Philadelphia, PA 19104 • (215) 898-7483 • htarbert@penncareylaw.upenn.edu

SUMMARY

Globally recognized executive and thought leader in the private sector and government with over two decades of experience at the intersection of international law, finance, policy, and technology.

EDUCATION

Harvard Business School, Cambridge, MA

Advanced Management Program (A.M.P.), expected 2025

University of Oxford, Oxford, UK

Doctor of Philosophy (D.Phil.) in Comparative Law, 2005

- Dissertation: “Deal Protection Devices in Stock-for-Stock Mergers”

Master of Studies (M.St.) in Legal Research, *with Distinction*, 2002

- Thesis: “Merger Break-up Fees”
- Thouron Scholar (full fellowship for postgraduate study in Britain)

University of Pennsylvania, Philadelphia, PA

Doctor of Juridical Science (S.J.D.), 2002

- Dissertation: “Rethinking International Capital Adequacy Rules”

Juris Doctor (J.D.), *magna cum laude*, 2001

- Editor, *University of Pennsylvania Law Review* (1999–2001)
- President, Penn Law Class of 2001
- Oscar Bregman Graduation Prize for Excellence in Business Law
- Elected to the Order of the Coif
- Mendes Hershman Student Writing Award, American Bar Association (2000)

Mount Saint Mary’s University, Emmitsburg, MD

Doctor of Humane Letters (D.H.L.), *honoris causa*, 2020

Bachelor of Science (B.S.) in Accounting and International Business, *summa cum laude*, 1998

- Class Valedictorian/highest grade point average in graduating class
- President, Delta Mu Delta, National Honor Society for Business Administration
- Honors Intern, Federal Bureau of Investigation (FBI), Washington, DC (1997)
- Full academic scholarship (1994–1998)

ACADEMIC APPOINTMENTS

University of Pennsylvania Carey Law School, Philadelphia, PA

Distinguished Policy Fellow, September 2024–Present

Lecturer in Law, January 2021–Present

- Appointed as part of the Leo Model Foundation Government and Public Affairs Initiative to “enrich the intellectual life” of the law school and university community by sharing my “expertise and perspectives on law and policy with students, faculty, and staff.”
- Deliver guest lectures to Carey Law and Wharton students on topics including international economic law, financial regulation, digital assets, contracts, corporations, and engage with students and student organizations.
- Serve as an adjunct faculty member in the university’s Robert A. Fox Leadership Program, focused on equipping and empowering Penn students and alumni for present and future roles as ethical and effective leaders.

Harvard Law School, Cambridge, MA

Senior Fellow, September 2013–June 2017

- Appointed to the Program on International Financial Systems, established at Harvard University in 1986 to conduct the international legal and economic research, provide an international forum for exchange of ideas, deliver public policy advice to governments, and educate lawyers from around the world.

PROFESSIONAL EXPERIENCE

Circle, Kenilworth, IL (Remote)

Chief Legal Officer and Head of Corporate Affairs, July 2023–Present

- Manage the legal department of America’s preeminent stablecoin issuer, leading on a range of global legal and regulatory matters, corporate governance, capital markets transactions, M&A deals, and negotiations with financial institutions and governments around the world.
- Lead the corporate affairs function, driving Circle’s vision and business goals forward by expanding the company’s profile with key external stakeholders including capital markets regulators, central banks, traditional financial institutions, and international organizations.

Citadel Securities, Chicago, IL

Chief Legal Officer, April 2021–June 2023

- Served as Global General Counsel and Corporate Secretary of one of the world’s leading next-generation capital markets firms, which operates in more than 50 markets globally and executes over \$400 billion in trades daily.
- Advised C-Suite colleagues and led legal, compliance, surveillance, regulatory affairs, internal audit, and corporate governance functions across the company’s offices in North America, Europe, and Asia.

Commodity Futures Trading Commission (CFTC), Chicago, Kansas City, New York, Washington, DC

Chairman & Chief Executive, July 2019–January 2021

- Presidentially-appointed and Senate-confirmed head of the world’s foremost derivatives regulator, responsible for overseeing complex financial markets with over \$400 trillion in notional value.
- Issued 41 final regulations—including right-sizing the cross-border application of swap dealer registration, harmonizing swap data reporting, setting position limits for critical derivatives contracts, strengthening the safety and soundness of clearinghouses, imposing risk controls for electronic trading, implementing margin rules for uncleared swaps, and updating the bankruptcy regime for the first time in 37 years.
- Positioned the CFTC as a leader in digital assets and emerging technologies by declaring the cryptocurrency Ether (ETH) to be a commodity within the CFTC’s jurisdiction, facilitating the listing of additional Bitcoin and ETH futures on exchanges, and bringing actions against offshore crypto exchanges violating U.S. laws.

U.S. Department of the Treasury, Washington, DC

Acting Under Secretary for International Affairs, April 2019–July 2019

Assistant Secretary for International Markets and Development, October 2017–April 2019

- Served as America’s “chief financial diplomat,” and as the Presidentially-appointed and Senate-confirmed official responsible for advancing U.S. interests bilaterally and within multilateral organizations to promote growth by leveling the global playing field for U.S. financial services firms while encouraging foreign investment into the U.S.
- Delivered key policy wins by successfully advocating for, overseeing, and architecting numerous initiatives addressing issues related to national security, trade finance, systemic risk, and foreign investment interests—including by serving as policy chair of the Committee on Foreign Investment in the United States (CFIUS).
- Served as Member of the Financial Stability Board (FSB) and all three of its standing committees.

Allen & Overy LLP, Washington, DC, New York, London

Partner, January 2014–October 2017

- Chaired the U.S. bank regulatory group and served as a member of the UK-EU financial services regulatory practice.
- Counseled more than 130 banks, securities firms, clearinghouses, and other institutions on compliance with U.S. financial laws.

Weil, Gotshal & Manges LLP, Washington, DC, New York

Partner, January 2012–December 2013

Senior Counsel, April 2010–December 2011

- Counseled over 80 financial institutions, private equity firms, and sovereign wealth funds on aspects of the Dodd-Frank Act and other federal banking and securities laws.
- Established and led the firm’s Financial Regulatory Reform Working Group and served as co-chair of the Financial Institutions Regulatory practice.

U.S. Senate Committee on Banking, Housing, and Urban Affairs, Washington, DC

Special Counsel, August 2009–March 2010

- Served as an expert and negotiator on the various legislative proposals that culminated in the Dodd-Frank Act.
- Provided expertise on measures aimed at the reduction of systemic risk, the prudential regulation of financial institutions, and the centralized clearing of over-the-counter derivatives.

Committee on Capital Markets Regulation, Cambridge, MA

Vice President & Deputy Director, February 2009–August 2009

- Managed the coordination and work of the Committee—a group of 30 leaders from business, finance, law, accounting, academia, and the investor community—focusing on U.S. capital markets competitiveness and financial stability.

Executive Office of the President, The White House

Associate Counsel to the President, August 2008–January 2009

- Provided legal advice to senior White House and Cabinet department officials with respect to financial markets and related economic issues.
- Served as counsel to the National Economic Council and the Council of Economic Advisers and as legal liaison to the Treasury Department, Federal Reserve Board, Securities and Exchange Commission, and Federal Deposit Insurance Corporation during the global financial crisis.

Justice Clarence Thomas, Supreme Court of the United States

Law Clerk, July 2007–July 2008

- Reviewed and wrote memoranda on hundreds of petitions for certiorari; assisted with merits work and other business of the Supreme Court.

Office of Legal Counsel, U.S. Department of Justice, Washington, DC

Attorney-Adviser, September 2006–July 2007

- Drafted legal opinions on behalf of the U.S. Attorney General and provided written opinions and oral advice in response to requests from the White House and various Cabinet departments and agencies.
- Reviewed over 100 pieces of pending legislation for constitutional issues.

Chief Judge Douglas H. Ginsburg, U.S. Court of Appeals for the DC Circuit

Law Clerk, August 2005–August 2006

- Assisted with the disposition of over 30 cases and dozens of petitions for panel and en banc rehearing; performed research for several scholarly publications.

Sullivan & Cromwell LLP, Washington, DC

Associate, February 2003–August 2005

Summer Associate, 2000 and 2001

- Performed corporate due diligence for major transactions and filed periodic reports with the Securities and Exchange Commission.
- Drafted legal briefs and other submissions for courts and federal agencies.

BOARD MEMBERSHIPS

Northwestern Memorial Foundation, Chicago, IL

Member of the Board of Directors, September 2022–Present

- Serve alongside other senior leaders within Illinois to raise funds that support the patient-centered care and strategic goals of Northwestern Medicine and its mission to provide the highest-quality health care.

Program on International Financial Systems (PIFS), Cambridge, MA

Member of the Board of Directors, June 2022–Present

- Provide strategic advice to further PIFS's mission of enhancing the role of regulation in building the global financial system; teach non-U.S. regulators in training programs co-sponsored by Harvard Law School Executive Education.

International Organization of Securities Commissions (IOSCO), Madrid, Spain

Vice Chairman of the Board of Directors, June 2020–January 2021

Member of the Board of Directors, June 2019–June 2020

- Advised on significant policy and managerial issues related to the global standard-setting body, whose combined membership includes more than 115 jurisdictions that regulate more than 95% of the world’s securities markets.

World Bank Group, Washington, DC

Acting U.S. Executive Director, November 2017–April 2018

- Served on the World Bank’s 25-member board and negotiated a landmark \$13 billion capital package that resulted in key institutional reforms, including financial discipline mechanisms and policies shifting funding to poorer nations.

SELECT PUBLIC SECTOR AWARDS/RECOGNITION

Freedom of the City of London (in recognition of service to U.S.-UK financial regulatory relations) (2022)

The Chairman’s Award for Regulatory Excellence, Securities and Exchange Commission (SEC) (2020)

Exceptional Service Award for Excellence in Law Enforcement, Fraud Section, U.S. Department of Justice (2020)

The Alexander Hamilton Award (Treasury’s highest honor), U.S. Department of the Treasury (2019)

Secretary of Defense Medal for Outstanding Public Service, U.S. Department of Defense (2019)

SELECT PRIVATE SECTOR AWARDS/RECOGNITION

“100 Most Influential People in Crypto,” *Modern Consensus* (2020)

“The *Cointelegraph* Top 100,” (most important people to the crypto and blockchain community) (2020)

“Band 3 Ranking,” Financial Services Regulation (Nationwide), *Chambers USA* (2016)

“Washington, DC Super Lawyer,” *Super Lawyers* (2016)

“Recommended Lawyer” for Financial Institutions Regulatory, *The Legal 500 USA* (2013, 2014, 2015, 2016)

“Leading Lawyer,” *IFLR 1000: The Guide to the World’s Leading Law Firms* (2012, 2013, 2014, 2015, 2016)

SELECT CURRENT AFFILIATIONS/ASSOCIATIONS

Assistant Scoutmaster, Boy Scout Troop 13, Kenilworth, IL (2023–Present)

Finance Leaders Fellow, Aspen Global Leadership Network, Aspen Institute (2021)

Life Member, Council on Foreign Relations (2020–Present)

Elected Fellow, National Academy for Public Administration (2020–Present)

Elected Member, American Law Institute (2017–Present)

Life Fellow, American Bar Foundation (2016–Present)

Fellow & Faculty Member, Salzburg Global Seminar (2011–Present)

Knight of Magistral Grace, Sovereign Military Order of Malta (2010–Present)

Life Member, National Eagle Scout Association (1991–Present)

BAR ADMISSIONS

State of Illinois (House Counsel) (2023)

Supreme Court of England & Wales (Solicitor) (2010)

Supreme Court of the United States (2008)

U.S. Court of Appeals for the DC Circuit (2006)

U.S. Court of Appeals for the Second Circuit (2005)

District of Columbia (2004)

State of New York (2003)

FINANCIAL CERTIFICATIONS/CHARTERS

Certified Anti-Money Laundering Specialist (CAMS) (2015)

Chartered Financial Analyst (CFA) (2013)

Certified Public Accountant (CPA) (2003)

EDITORIAL BOARDS

Board of Advisors, *Review of Securities & Commodities Regulation* (2015–2017)
Board of Advisors, *Bloomberg BNA Banking Report* (2015–2017)
Board of Editors, *Banking Law Journal* (2011–2017)
Board of Advisors, *Review of Banking and Financial Services* (2012–2015)

ENDOWED ACADEMIC LECTURES

“The Dollar’s Digital Future (and Why It Matters),” Stevens Center for Innovation in Finance Lecture Series, The Wharton School, University of Pennsylvania, available at <https://stevenscenter.wharton.upenn.edu/events-hq/a1WHq00000FtzzyMAB/>

“Self-Regulation in the Derivatives Markets: Stability through Collaboration,” 2020 Brodsky Family JD-MBA Lecture, Pritzker School of Law and Kellogg School of Management, Northwestern University, available at <https://www.law.northwestern.edu/student-life/events/public-lectures/brodsky/>

“Rules for Principles and Principles for Rules,” 2019 Annual Robert Glauber Lecture, Kennedy School of Government, Harvard University, available at <https://www.hks.harvard.edu/centers/mrcbg/news-events/annual-robert-glauber-lecture>

PUBLISHED WORK—LAW REVIEWS & LEGAL JOURNALS

Strengthening the Treasury Market, 2021 COLUM. BUS. L. REV. 1368 (2022)

Self-Regulation in the Derivatives Markets: Stability Through Collaboration, 41 NW. J. INT’L L. & BUS. 175 (2021)

The CFTC’s Swap Data Overhaul, 20 FLA. ST. UNIV. BUS. REV. 1 (2021) (co-author)

Modernizing CFIUS, 88 GEO. WASH. L. REV. 101 (2020)

The Enduring Legacy of the Dodd-Frank Act’s Derivatives Reforms, 6 OXFORD J. FIN. REG. 1 (2020)

Rules for Principles and Principles for Rules: Tools for Crafting Sound Financial Regulation, 10 HARV. BUS. L. REV. 1 (2020)

Bank-Affiliate Transactions, BLOOMBERG BNA BANKING PRACTICE PORTFOLIO SERIES (Mar. 2017) (co-author)

Liquidity Coverage Ratio, BLOOMBERG BNA BANKING PRACTICE PORTFOLIO SERIES (Feb. 2017) (co-author)

Cybersecurity for Banks: The Legal and Regulatory Framework, PRACTICAL LAW-THE JOURNAL 52 (June 2016) (co-author)

The Perils and Promise of Correspondent Banking, 133 BANKING L.J. 53 (Feb. 2016) (co-author)

CLOs and the Volcker Rule, REV. BANKING & FIN. SERV. 81 (Aug. 2015) (co-author)

Confronting Systemic Risk: Enhanced Standards for Foreign Banks, 25 BUS. L. TODAY (May 2015) (co-author)

Global Banks Face Higher Capital Requirements in FSB “TLAC” Proposal, 132 BANKING L.J. 186 (Apr. 2015) (co-author)

Regulators Confront Weakening Lending Standards, 131 BANKING L.J. 767 (Oct. 2014) (co-author)

Private Equity Funds and the Volcker Rule, 47 REV. SECURITIES & COMMODITIES REG. 171 (July 2014) (co-author)

The Dodd-Frank Act—Two Years Later, 66 (OKLA. CITY U.) CONSUMER FIN. L. Q. REP. 3 (Dec. 2012/Jan. 2013)

Better Late Than Never? FSB Reports Regulatory Reform Is Advancing, But Slowly, 66 (OKLA.CITY U.) CONSUMER FIN. L. Q. REP. 34 (Dec. 2012/Jan. 2013) (co-author)

Resolve To Make It Better: Lessons Learned in the Resolution Planning Process, THE RMA JOURNAL (Oct. 1, 2012) (co-author)

FSB Reports Regulatory Reform Is Advancing, But Slowly, THE HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE AND FINANCIAL REGULATION (July 20, 2012) (co-author)

A SIFI in Three Easy Steps? FSOC Approves Final Rule for Nonbank SIFI Designations, 129 BANKING L.J. 419 (May 2012) (co-author)

Navigating Dodd-Frank's Resolution Plan Requirement, N.Y.L.J. (Dec. 5, 2011) (co-author)

Test Your Resolution: Living Wills in an Era of Regulatory Uncertainty, 128 BANKING L.J. 916 (Nov./Dec. 2011) (co-author)

Dodd-Frank, One Year Later: A Primer on the Federal Rulemaking Process, THE METROPOLITAN CORPORATE COUNSEL 30 (Aug. 2011) (co-author)

Basel III: An Overview, BANKING & FIN. SERV. POL'Y REP. 1 (May 2011) (co-author)

The Volcker Rule and the Future of Private Equity, REV. BANKING & FIN. SERV. 43 (May 2011) (co-author)

Dodd-Frank's Enforcement and Litigation Provisions, ABA IN-HOUSE LITIGATOR (Winter 2011) (co-author)

Bank M&A in the Wake of Dodd-Frank, 127 BANKING L.J. 909 (Nov./Dec. 2010) (co-author)

Bank Deaths Give Rise to "Living Wills," THOMPSON REUTERS: WALL STREET LAWYER (Oct. 2010)

The Dodd-Frank Act and Credit Derivatives: A Market Transformed, BLOOMBERG LAW REPORTS: COMMODITIES & DERIVATIVES—SWAPS AND OVER-THE-COUNTER DERIVATIVES (Sept. 7, 2010) (co-author)

The Dodd-Frank Act: The UK Perspective, PRACTICAL LAW COMPANY: FINANCE (Sept. 2, 2010) (co-author)

The Vagaries of the Volcker Rule: The Rule Raises Far More Questions Than It Answers, INT'L FIN. L. REV. 38 (Sept. 2010)

The President Signs Landmark Financial Reform Bill, THE METROPOLITAN CORPORATE COUNSEL 16 (Aug. 2010)

The Global Financial Crisis: A Plan for Regulatory Reform, COMMITTEE ON CAPITAL MARKETS REGULATION (May 26, 2009) (contributor)

Merger Breakup Fees: A Critical Challenge to Anglo-American Corporate Law, 34 (GEORGETOWN) LAW & POL'Y INT'L BUS. 627 (2003)

Rethinking Capital Adequacy: The Basel Accord and the New Framework, 56 BUS. LAW. 767 (2001)

Are International Capital Adequacy Rules Adequate? The Basel Accord and Beyond, 148 U. PA. L. REV. 1771 (2000) (comment)

PUBLISHED WORK—NEWSPAPERS/ONLINE PERIODICALS

The Stablecoin Bill is a Vital Upgrade for US Financial Plumbing, COINDESK (Oct. 16, 2023)

Strengthening EU Capital Markets Through Transparency, EUROFI MAGAZINE 214 (Feb. 2022)

US Treasury Market Needs to Enter Modern Age, FIN. TIMES (Dec. 21, 2021)

The Digital Asset Tipping Point, GLOBAL DIGITAL FIN. (Jan. 25, 2021)

What is Insider Trading in the Derivatives Markets?, LAW 360 (Jan. 12, 2021)

Strengthening Supervisory Cooperation in Derivatives Markets, RISK.NET (Oct. 20, 2020) (co-author)

A New Pact Will Help Derivatives Markets, WALL ST. J. (Sept. 16, 2020) (co-author)

A Sustainable System of Supervisory Cooperation, EUROFI MAGAZINE 50 (Apr. 2020)

Volatility Ain't What It Used to Be, WALL ST. J. (Mar. 20, 2020)

Coronavirus Crisis: How the CFTC is Tackling a Major Economic Threat, FOX BUS. (Mar. 18, 2020)

Making Derivatives Markets Work for American Agriculture, VIEWPOINTS American Farm Bureau Federation (Jan. 22, 2020)

Fintech Regulation Needs More Principles, Not More Rules, FORTUNE (Nov. 19, 2019)

Why the CFTC is the Most Important Regulator You've Never Heard of, FOX BUS. (July 29, 2019)

US-New Zealand Shared Economic Priorities for the Pacific Rim, Department of State, U.S. Embassy and Consulate, New Zealand (<https://nz.usembassy.gov>) (Oct. 2018)

Volcker Rule Continues to Challenge the CLO Market, LAW 360 (Oct. 22, 2015) (co-author)

Resolution Planning: Lessons Learned, BANK DIRECTOR (July 6, 2012) (co-author)

"Living Wills" Present an Opportunity for Banks, AMERICAN BANKER (July 3, 2012) (co-author)

Dodd-Frank & Securitization: The Basics You Need to Know, ABS EAST DAILY (Oct. 4, 2010) (co-author)

Hedge Funds: Spotlight, BLOOMBERG BRIEF (Nov. 12, 2010) (co-author)

FEDERAL REGISTER STATEMENTS

Statement in Support of Long-Awaited Updates to the CFTC's Bankruptcy Regime, 86 Fed. Reg. 19,324, 19,473–19,475 (Apr. 13, 2021)

Statement in Support of the Withdrawal of the Remaining Portions of the November 2018 SEF Proposal, 86 Fed. Reg. 9,304, 9,305 (Feb. 12, 2021)

Statement in Support of Final Rule on Position Limits, 86 Fed. Reg. 3,236, 3,483–3,484 (Jan. 14, 2021)

Statement in Support of the Final Rule on Electronic Trading Risk Principles, 86 Fed. Reg. 2,048, 2,072–2,073 (Jan. 11, 2021)

Statement in Support of Foreign Clearinghouse Registration Exemption Framework, 86 Fed. Reg. 949, 969 (Jan. 7, 2021)

Statement in Support of Final Rule on Swap Execution Facilities, 85 Fed. Reg. 82,313, 82,330–82,331 (Dec. 18, 2020)

Statement in Support of Amending the Registration Exemption for Foreign CPOs, 85 Fed. Reg. 78,718, 78,740–78,741 (Dec. 7, 2020)

Statement in Support of Final Amendments to the Part 50 Clearing Requirements, 85 Fed. Reg. 76,428, 76,449–76,450 (Nov. 30, 2020)

Statement in Support of Final Rules on Swap Data Reporting, 85 Fed. Reg. 75601, 75,672–75,674 (Nov. 25, 2020)

Statement in Support of Revising Form CPO-PQR, 85 Fed. Reg. 71,772, 71,810–71,811 (Nov. 10, 2020)

Statement in Support of Final Rule on Alternative Compliance for Non-U.S. Clearinghouses, 85 Fed. Reg. 67,160, 67,189–67,190 (Oct. 21, 2020)

Statement in Support of Final Swap Dealer Capital Rule, 85 Fed. Reg. 57,462, 57,570–57,572 (Sept. 15, 2020)

Statement in Support of Final Cross-Border Swap Rule, 85 Fed. Reg. 56,924, 57,001–57,004 (Sept. 14, 2020)

Statement in Support of the Final Rule to Revise the Volcker Rule, 85 Fed. Reg. 46,422, 46,529 (July 31, 2020)

Joint Statement (with CFTC Commissioners Rostin Behnam and Dan M. Berkovitz) in Support of Final Rule Restricting Post-Trade Name Give-Up, 85 Fed. Reg. 44,693, 44,707–44,708 (July 24, 2020)

Statement in Support of Final Rule on Alternative Compliance for the Inter-Affiliate Swap Clearing Exemption, 85 Fed. Reg. 44,170, 44,182 (July 22, 2020)

Statement in Support of the Proposed Rule on Electronic Trading Risk Principles, 85 Fed. Reg. 42,755, 42,756–42,758 (July 15, 2020)

Statement in Support of Extending the Phase 5 Initial Margin Compliance Deadline, 85 Fed. Reg. 41,346, 41,353–41,354 (July 10, 2020)

Statement in Support of Final Rule Preventing Bad Actors from Relying on CPO Exemptions, 85 Fed. Reg. 40,877, 40,890 (July 8, 2020)

Statement in Support of Amending the Registration Exemption for Foreign CPOs, 85 Fed. Reg. 35,820, 35,832–35,833 (June 12, 2020)

Statement in Support of Long-Awaited Updates to the CFTC’s Bankruptcy Regime, 85 Fed. Reg. 36,000, 36,129–36,131 (June 12, 2020)

Statement in Support of Proposed Amendments to the Part 50 Clearing Requirement, 85 Fed. Reg. 27,955, 27,974 (May 12, 2020)

Statement in Support of Margin Relief for the European Stability Mechanism, 85 Fed. Reg. 27,674, 27,678–27,677 (May 11, 2020)

Statement in Support of Revising Form CPO-PQR, 85 Fed. Reg. 26,378, 26,410–26,411 (May 4, 2020)

Statement in Support of Proposed Rules on Swap Data Reporting, 85 Fed. Reg. 21,578, 21,654–21,656 (Apr. 17, 2020)

Statement in Support of Proposed Rule on Speculative Position Limits, 85 Fed. Reg. 11,596, 11,730–11,732 (Feb. 27, 2020)

Statement in Support of Final Amendments for Derivatives Clearinghouses, 85 Fed. Reg. 4,800, 4,900 (Jan. 27, 2020)

Statement in Support of the Cross-Border Swaps Proposal, 85 Fed. Reg. 952, 1,005–1,007 (Jan. 8, 2020)

Joint Statement (with CFTC Commissioners Rostin Behnam and Dan Berkovitz) in Support of Proposed Rule Restricting Post-Trade Name Give-Up, 84 Fed. Reg. 72,262, 72,272–72,273 (Dec. 31, 2019)

Statement in Support of Revisions to the Volcker Rule, 84 Fed. Reg. 61,974, 62,273–62,275 (Nov. 14, 2019)

CONGRESSIONAL/OFFICIAL TESTIMONY

Legislative Hearing to Review S. 4760, The Digital Commodities Consumer Protection Act, U.S. Senate Committee on Agriculture, Nutrition, and Forestry (Sept. 15, 2022)

Nomination of Heath P. Tarbert (CFTC Chairman), U.S. Senate Committee on Agriculture, Nutrition, and Forestry (Mar. 13, 2019)

Perspectives on Reform of the CFIUS Review Process, U.S. House of Representatives Committee on Energy and Commerce, Subcommittee on Digital Commerce and Consumer Protection (Apr. 26, 2018)

Evaluating CFIUS: Administration Perspectives, U.S. House of Representatives Committee on Financial Services, Subcommittee on Monetary Policy and Trade (Mar. 15, 2018)

China, the United States, and Next Generation Connectivity (written testimony only), U.S.–China Economic and Security Review Commission (Mar. 8, 2018)

CFIUS Reform: Administration Perspectives on the Essential Elements, U.S. Senate Committee on Banking, Housing, and Urban Affairs (Jan. 25, 2018)

Nomination Hearing (Assistant Secretary of the Treasury), U.S. Senate Committee on Banking, Housing, and Urban Affairs (May 16, 2017)

SPEECHES/KEYNOTES/FIRESIDE CHATS

“Stable Coins and Regulation,” MIT Bitcoin Expo, Massachusetts Institute of Technology, Cambridge, MA (April 20, 2024)

“Digital Assets and Fintech: The Evolution of the Payment System,” Robert H. Smith School of Business, Finance Grand Challenges Speaker Series, College Park, MD (March 6, 2024)

“Fireside Chat with Former Chairmen of the U.S. Commodity Futures Trading Commission,” Wharton Future of Finance Forum, Philadelphia, PA (Oct. 18, 2023)

“Closing Remarks: Roundtable on the Future of Cryptoassets & Investor Protection,” Program on International Financial Systems, Washington, DC (June 8, 2023)

“Remarks of Chairman Tarbert at Awards Ceremony Recognizing the Department of Justice’s Fraud Section,” Washington, DC (Dec. 10, 2020)

“Remarks of CFTC Chairman Heath P. Tarbert to the 36th Annual FIA Expo 2020,” Virtual (Nov. 10, 2020)

A Conversation with CFTC Chairman and Chief Executive Heath Tarbert, Milken Institute Global Conference (Oct. 13, 2020)

“Virtual Fireside Chat,” LA Blockchain Summit (Oct. 7, 2020)

“CFTC Fireside Chat,” U.S. Treasury Market Conference, Federal Reserve Bank of New York, Virtual (Sept. 29, 2020)

“A Special (Regulatory) Relationship: Remarks of Chairman Heath P. Tarbert to the City of London Corporation,” Virtual (Sept. 24, 2020)

“Message from Commencement Speaker Heath Tarbert, C’98,” Mount St. Mary’s University, Emmitsburg, MD (May 14, 2020)

“Remarks on New York as the World’s Preeminent Financial Center,” The Economic Club of New York, New York, NY (Feb. 10, 2020)

“Remarks of Chairman Tarbert,” Live Cattle Marketing Committee, National Cattleman’s Beef Association’s Annual Convention, San Antonio, TX (Feb. 6, 2020)

“Remarks of Chairman Tarbert,” Commodity Markets Council State of the Industry 2020, Miami Beach, FL (Jan. 27, 2020)

“Keynote Address,” Derivatives & Futures Law Committee, American Bar Association, Naples, FL (Jan. 24, 2020)

“Keynote Address,” American Bar Association, Banking Law Committee, Washington, DC (Jan. 17, 2020)

“Fireside Chat,” 2019 Global Financial Leadership Conference, Naples, FL (Nov. 18, 2019)

“Fireside Chat,” Third Annual Invest, New York, NY (Nov. 12, 2019)

“Keynote Address,” 35th Annual FIA Futures & Options Expo 2019, Chicago, IL (Oct. 30, 2019)

“Remarks of Chairman Heath P. Tarbert at Fintech Forward 2019: Exploring the Unwritten Future,” Washington, DC (Oct. 24, 2019)

“Fireside Chat,” Women in Derivatives, Washington, DC (Oct. 22, 2019)

“Fireside Chat,” DC Fintech Week 2019, Washington, DC (Oct. 21, 2019)

“Q&A: Currencies, Bitcoin, and Beyond,” Yahoo Finance All Markets Summit: Generational Opportunities, New York, NY (Oct. 10, 2019)

“CFTC Fireside Chat,” U.S. Treasury Market Conference, Federal Reserve Bank of New York, New York, NY (Sept. 23, 2019)

“Fireside Chat with New CFTC Chairman Heath Tarbert,” Program on Corporate Compliance and Enforcement, Institute for Corporate Governance & Finance, NYU School of Law, New York, NY (Sept. 10, 2019)

“Dinner Keynote Address: U.S.–China Relations: Implications for Cross-Border Financial Services” 2019 China–U.S. Symposium, Washington, DC (June 5, 2019)

Press Conference, Asia-Pacific Economic Cooperation Finance Ministers’ Meeting, Port Moresby, Papua New Guinea (Oct. 17, 2018)

“Closing Keynote: Putting FIRRMA into Practice: What CFIUS Reform Means for Foreign Investment in the United States,” Center for Strategic and International Studies, Washington, DC (Sept. 25, 2018)

“Financial Stability After Brexit: A U.S. Perspective,” Chatham House, London, UK (Sept. 13, 2018)

“Keynote with Q&A: UK-U.S. Financial Cooperation After Brexit,” House of Commons, Henry Jackson Society, London, UK (Sept. 13, 2018)

“World Bank General Capital Increase: A Conversation with U.S. Treasury Assistant Secretary Heath P. Tarbert,” Legislative Task Force, The Bretton Woods Committee (May 17, 2018)

“Keynote Address,” BIS 2018 Annual Conference on Export Controls and Policy, Washington, DC (May 15, 2018)

“Keynote: The Five Roles of Lawyers in Public Service,” William Holdsworth Society Annual Dinner, St. John’s College, Oxford, UK (Mar. 15, 2015)

PANEL PRESENTATIONS

“How to Regulate Crypto: Striking a Balance Between Oversight and Innovation,” Wyoming Blockchain Symposium, Jackson Hole, WY (Aug. 20, 2024)

“Recent Shifts in the US Regulatory and Political Climate,” Web3 Investor Day, Chicago, IL (Aug. 1, 2024)

“The Next Generation of Borderless Money Movement,” Circle Forum São Paulo, São Paulo, Brazil (May 29, 2024)

“Policy Session (Payment System Harmonization: What Brazil Can Teach the World),” Circle Forum São Paulo, São Paulo, Brazil (May 29, 2024)

“The Role and Regulation of Digital Assets and Crypto Markets,” IOSCO/Program on International Financial Systems–Harvard School of Executive Education: Global Certificate Program for Regulators of Securities Markets, Cambridge, MA (Dec. 13, 2023)

“Digital Assets and the Future of Money,” Parliamentary Intelligence-Security Forum, U.S. Senate, Washington, DC (Dec. 7, 2023)

“Panel: Cross-Border Challenges in the Regulation of Crypto Assets,” IOSCO/Program on International Financial Systems–Harvard Law School Executive Education: Global Certificate Program for Regulators of Securities Markets, Boston, MA (Dec. 14, 2022)

“Panel: How is Distributed Ledger Technology Transforming Traditional Capital Markets?,” 2020 Block Chair Forum, Organisation for Economic Co-operation and Development, Virtual (Nov. 19, 2020)

Moderated discussion, G20 OECD Corporate Governance Seminar, Fukuoka, Japan (Jun. 8, 2019)

“Navigating the New Paradigm in International Investment and Trade,” Milken Institute Global Conference 2019, Beverly Hills, CA (Apr. 30, 2019)

“CFIUS Tomorrow,” National Venture Capital Association’s Emerging Technology Meets National Security Conference, Washington, DC (Nov. 14, 2018)

“Problems with Regulation by Deal,” Financial Regulation: Political, Administrative, and Constitutional Accountability, Panel, C. Boyden Gray Center for the Study of the Administrative State, Antonin Scalia Law School, George Mason University (Dec. 9, 2016)

“U.S. AML & Sanctions Regimes: Challenges for Non-U.S. Banks,” Taiwan Academy of Banking and Finance, Taipei, Taiwan (Sept. 29, 2016)

“Cybersecurity for Banks: The Legal and Regulatory Framework,” Thomson Reuters Practical Law Webinar Series (July 26, 2016)

- “The Crisis Canada Never Had: Lessons for America,” American Bar Association Annual Business Law Section Meeting, Toronto, Canada (Apr. 8, 2016)
- “AML/Sanctions Regulation and Enforcement Update,” American Bar Association Annual Banking Law Committee Meeting (Jan. 9, 2016)
- “The New Liquidity Rules for Banks: The Basics and Beyond,” 2015 Fall Annual Meeting, American Bar Association Business Law Section, Chicago, IL (Sept. 17, 2015)
- “U.S. Financial Regulation Update: A View from Inside Washington,” International Financial Regulation Seminar, London School of Economics, London, UK (Mar. 11, 2015)
- “Coherence and Convergence in International Financial Regulation: To What Extent Can These Be Achieved?,” City Week 2014: The International Financial Services Forum (sponsored by UK Government & City of London), London, UK (Mar. 31, 2014)
- “CLO Regulatory Issues,” UK Loan Market Association & U.S. Loan Syndications & Trading Association Joint Documents Teach-In, London, UK (Jan. 30, 2014)
- “What Every Business Lawyer Should Know About the Final Volcker Rule,” American Bar Association Business Law Section Webinar (Jan. 21, 2014)
- “How Would the Deconstruction of SIFIs Change Market Efficiencies and the Way that Capital is Allocated?,” 2013 Millstein Governance Forum, Columbia Law School, New York, NY (June 25, 2013)
- “Cybersecurity: What is Next?,” NACHA—The Electronic Payments Ass’n, Washington, DC (May 1, 2013)
- “In the Valley of the Shadow of the Banking System: The Future of Money Market Fund Regulation in the Post–Dodd Frank Era,” 2013 Spring Annual Meeting, American Bar Association Business Law Section, Washington, DC (Apr. 4, 2013)
- “Living Wills, Complexity, and Resolution Approaches,” 2013 Regulatory Summit: Revisiting Regulatory Priorities, Global Association of Risk Professionals (GARP), New York, NY (Mar. 11, 2013)
- “U.S. Economic and Regulatory Outlook: Implications for Corporate Leaders,” Harvard Business School Association of Boston/Directors Roundtable, Cambridge, MA (Feb. 26, 2013)
- “Election Day Outcomes and Their Implication for Securitization Policy,” Sunset Seminar, American Securitization Forum, Las Vegas, NV (Nov. 7, 2012)
- “Resolution and Recovery Plans,” 2012 Fall Annual Meeting, American Bar Association Business Law Section, Washington, DC (Nov. 2–3, 2012)
- “Freedom and Financial Markets Colloquium,” The Federalist Society for Law and Public Policy Studies, Charlottesville, VA (Sept. 21–22, 2012)
- “Living Wills: Lessons Learned from the First Round,” American Bar Association Banking Law Committee, Washington, DC (Aug. 4, 2012)
- “Bank Regulatory Update: Systemic Risk, Basel III, and the Volcker Rule,” Securities Regulation Committee, Business Law Section Meeting, New York State Bar Association, New York, NY (June 20, 2012)
- “A Crisis of Confidence in Financial Services,” 15th Annual April Fools Panel Discussion, Turnaround & Management Association, New York, NY (Mar. 26, 2012)

“U.S. Economic & Regulatory Outlook: Implications for Corporate Leaders,” Directors Roundtable, New York, NY (Jan. 18, 2012)

“Systemic Risk: The Age of SIFIs and GSIBs,” First Annual Business Meeting & Conference, The Clearing House Association, New York, NY (Nov. 9-10, 2011)

“The Volcker Rule’s Impact on Private Funds: Recent Rulemakings and Market Trends,” Webcast, Practising Law Institute (Oct. 25, 2011)

“Before and After Financial Reform: Postscripts and Previews,” CLE Panel Discussion, University of Pennsylvania Law School, Philadelphia, PA (May 13, 2011)

“Adapting Your Compliance Programs to Key Portions of Dodd-Frank,” Premier Forum on Regulatory Compliance & Risk Management for Financial Services, American Conference Institute, New York, NY (May 5–6, 2011)

“Important Regulatory Issues,” 18th Annual Private Equity Summit, American Conference Institute, New York, NY (Feb. 24–25, 2011)

“Key Considerations for Financial Institutions in Crafting Living Wills,” Webinar Series, Thomson Reuters (Dec. 14, 2010)

“The Future of Proprietary Trading,” Global Summit, Markets Media, New York, NY (Dec. 9, 2010)

“The Impact of U.S. Financial Regulatory Reform and a Perspective on Credit Conditions and Credit Risk Management,” British-American Business Association, London, UK (Dec. 6, 2010)

“Dodd-Frank’s Implication for Advisers Act Registration,” Webcast Series, Emerging Markets Private Equity Association (Nov. 17, 2010)

“Highlights of the Dodd-Frank Act,” Weil, Gotshal & Manges: Webinar (Nov. 2010)

“The Dodd-Frank Act,” Breakfast Briefing, Weil, Gotshal & Manges, New York, NY (Oct. 21, 2010)

“Effect of Dodd-Frank on Asian Funds,” Asian Association for Investors in Non-Listed Real Estate Vehicles, Singapore (Oct. 18–19, 2010)

“Seminar on Financial Regulatory Reform in the United States,” National University of Singapore, Centre for Commercial Law Studies, Singapore (Oct. 18, 2010)

“Impact of Dodd-Frank on UK Companies,” Dodd-Frank Podcast, CDP (Oct. 13, 2010)

“The Dodd-Frank Act: What is Changing in the Regulation of US Financial Institutions and How Will the Changes Affect the UK,” British-American Chamber of Commerce, London, UK (Oct. 12, 2010)

“Impact of the Dodd-Frank Act,” NYSE Euronext Program, Yale School of Management Executive Education, New Haven, CT (Oct. 4, 2010)

“Heath Tarbert on the Dodd-Frank Act,” Podcast, Bloomberg Law (July 22, 2010)

“Financial Regulatory Reform: Developments and Opportunities,” Roundtable for Indian Financial Institutions, Mumbai, India (July 13, 2010)

“Financial Regulatory Reform: An Insider’s View,” Securities Regulation Committee, New York State Bar Association, New York, NY (May 26, 2010)

MEDIA INTERVIEWS—TELEVISION/RADIO

“Chairman Tarbert Recaps His First Year Leading the CFTC,” Bloomberg TV (July 21, 2020)

“Chairman Tarbert Discusses Crude Oil Futures,” CNBC Squawk Alley (Apr. 21, 2020)

“Chairman Tarbert Discusses CFTC’s Response to COVID-19,” Bloomberg TV (Mar. 26, 2020)

“Chairman Tarbert Highlights CFTC’s COVID-19 Response,” Fox Business, Cavuoto: Coast to Coast (Mar. 18, 2020)

“Chairman Tarbert Discusses Position Limits,” Bloomberg TV (Jan. 30, 2020)

“Chairman Tarbert Discusses U.S. Leadership in Digital Assets,” CNBC, The Exchange (Nov. 20, 2019)

MEDIA INTERVIEWS—PRINT

Place Your Bets, CITY JOURNAL (Sept. 17, 2024)

Commodity Futures Trading Commission Has Been Keeping Busy, FED. NEWS NETWORK (Dec. 29, 2020)

U.S. Commodity Futures Trading Commission Chair to Resign Early Next Year, REUTERS (Dec. 10, 2020)

Global Standards for Crypto and CCPs are Top Industry Priorities, MARKETVOICE (Futures Industry Ass’n) (Nov. 19, 2020)

On Integrity, Resilience, and Vibrancy in the U.S. Derivatives Markets, TRADE FINANCE (Oct. 7, 2020)

POLITICO Pro Q&A: CFTC Chairman Heath Tarbert, POLITICO (July 22, 2020)

US Regulator Investigates Oil Fund Disclosures, FIN. TIMES (July 14, 2020)

“The Work Goes On,” IQ (Int’l Swaps and Derivatives Ass’n) (Mar. 27, 2020)

NGFA Interviews New CFTC Chairman Heath Tarbert, NAT’L GRAIN AND FEED ASS’N NEWSLETTER (Aug. 16, 2019)

CFIUS Head Sat Down with NVCA Members. Here’s What We Learned, National Venture Capital Ass’n Blog (Nov. 27, 2018)

Vetting the Vault: Counsel’s Vital Role in Bank Cybersecurity, LEGAL TECH NEWS (July 27, 2016)

Brexit Vote Sparks US Fears Over Transatlantic Regulation, FIN. TIMES (June 28, 2016)

Brexit Bedevils Plan to Unify EU Capital Markets, WALL ST. J. (June 26, 2016)

Brexit “Extraordinarily Dangerous” for U.S. Banks, AMERICAN BANKER (June 24, 2016)

Real Breach in Swift Heists May Be Banks’ Complacency, AMERICAN BANKER (June 1, 2016)

Negative Interest Rates Would Test Banks’ Creativity, CNBC.COM (Mar. 23, 2016)

Banks Explore Spin-offs for Cleared Swaps Desks, RISK.NET (Feb. 8, 2016)

US Anti-Money Laundering Laws: Key Issues for Financial Institutions, PRACTICAL LAW-THE JOURNAL 52 (Dec. 2015/Jan. 2016)

Banks Shouldn't Expect Enforcement Lull to Last, LAW 360 (Dec. 10, 2015)

Money-Laundering Crackdown Hits Hard in Developing World, LAW 360 (Nov. 9, 2015)

Dodd-Frank: Turning 5 and Hanging Tough, CONG. Q. WEEKLY (July 20, 2015)

Feds Will Keep Firms Hustling Even as Bank Crisis Cases End, LAW 360 (Apr. 29, 2015)

Global Merchants React Slowly to China's Fast-Growing Currency, PAYMENTS SOURCE (Apr. 29, 2015)

Q&A: Heath Tarbert, US Banking Partner at A&O, Talks About Competing for Regulatory Work and if US Regulators are Setting the Pace, LEGAL BUS. (Feb. 4, 2015)

Thirst Versus Prudence, INT'L FINANCING REV. (Americas Review of the Year) (Dec. 2014)

How Volcker Will Stir Up the CLO Market, AMERICAN BANKER (Nov. 18, 2014)

Despite Reprieve, Money Funds Under Pressure, TREASURY & RISK: THE FUTURE OF FINANCE (Aug. 28, 2012)

International M&A: Will China Buy More U.S. Banks?, BANK DIRECTOR (July 4, 2012)

Volcker Rule: Hero or Villain?, BANK DIRECTOR (June 26, 2012)

Banks' Living Wills Face First Critical Test, AMERICAN BANKER (June 25, 2012)

Should Bank Directors Approve Loans?, BANK DIRECTOR (May 18, 2012)

A New Era Under the Volcker Rule, FINANCIER WORLDWIDE (Feb. 1, 2012)

Challenging Federal Agency Rulemakings, THE METROPOLITAN CORPORATE COUNSEL (Dec. 19, 2011)

Biggest Firms Resist Added Capital Demand, THE DEAL PIPELINE (Nov. 7, 2011)

Heath Tarbert on Compliance Issues, THE METROPOLITAN CORPORATE COUNSEL (Oct. 2011)

Did Dodd-Frank Resolve the "Too Big to Fail" Issue or Give it New Life?, AMERICAN BANKER (Dec. 23, 2010)

Mixed Views Abound on US Law's Effect, CHINA DAILY-ASIA WEEKLY (Dec. 10, 2010)

New Idea for Unwinding Big Banks May Be as Hard to Sell as It Is to Pronounce, AMERICAN BANKER (Nov. 15, 2010)

Obama's Recession Fixes: Helping or Hurting?, THE STREET (Oct 4, 2010)

Is Rhetoric Hurting the Economic Recovery?, NEWSWEEK (Oct. 1, 2010)

BRT & BC: Financial Reform Concerns of Nonfinancial Companies, THE METROPOLITAN CORPORATE COUNSEL (Aug. 30, 2010)

Dodd-Frank Limits Fed's Flexibility in a Crisis, AMERICAN BANKER (Aug. 5, 2010)

OTS Pays the Price of Failure, RISK MAGAZINE (July 29, 2010)

Wall Street Whispers: Will Obama Slay the Fannie and Freddie Beast?, THE STREET (July 22, 2010)

Firms Fielding First Work from Financial Reform, NAT'L LAW JOURNAL (May 31, 2010)