

For the Investment Management Industry

January 10, 2023

A lot is happening in the world of digital assets regulation, and we know it is difficult to keep track of it all. That is why we built this digital assets regulatory tracker. Each month, we publish a list with links to digital asset-related materials issued by the SEC, CFTC, and DOL. Please click <a href="here">here</a> if you would like to sign up to receive this monthly tracker via email.

# **DECEMBER 2022**

#### **SEC**

December 21, 2022

SEC Charges Caroline Ellison and Gary Wang with Defrauding Investors in Crypto Asset Trading Platform FTX

December 21, 2022

SEC Charges Issuer, CEO, and Former CTO for \$2.6 Million Unregistered Crypto Asset Securities Offering

December 21, 2022

American CryptoFed DAO LLC

ALJ Orders: AP-6893

December 15, 2022

SEC Charges Four Individuals in Crypto Pyramid Scheme That Targeted Spanish-Speaking Communities

December 15, 2022

Order Directing Disbursement of Fair Fund in the matter of Paragon Coin, Inc.

Administrative proceeding: 34-96512

December 14, 2022

SEC Charges Four Individuals in Crypto Pyramid Scheme that Targeted Spanish-Speaking Communities

continued on next page

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### **Digital Asset Regulatory Tracker**

December 13, 2022

SEC Charges Samuel Bankman-Fried with Defrauding Investors in Crypto Asset Trading Platform FTX

December 12, 2022

Statement on Arrest of Sam Bankman-Fried

December 1, 2022

SEC Order Approving Plan of Distribution in the Matter of Paragon Coin, Inc.

Administrative proceedings: 34-96428

#### **CFTC**

December 21, 2022

Statement of Commissioner Summer K. Mersinger Regarding the Consent Orders of Judgment on Liability against Defendants Caroline Ellison and Zixiao "Gary" Wang

December 21, 2022

<u>CFTC Charges Alameda CEO and Alameda and FTX Co-Founder with Fraud in Action Against Sam Bankman-Fried</u> and his Companies

December 13, 2022

CFTC Charges Sam Bankman-Fried, FTX Trading and Alameda with Fraud and Material Misrepresentations

December 3, 2022

Commissioner Pham to Speak at the Harvard Law School Program on International Financial Systems 25th Annual Japan-U.S. Symposium

December 1, 2022

Statement of Commissioner Kristin N. Johnson Regarding CFTC Consent Order of \$2.8 Million in Restitution for Virtual Currency Fraud

December 1, 2022

Federal Court Orders Rhode Island Man to Pay More than \$2.8 Million in Restitution for Virtual Currency Fraud

## DOL

No entries.

# **ARCHIVES**

November 2022 October 2022 September 2022 August 2022

continued on next page

# For more information, contact:



Susan Gault-Brown
Chair, Fintech, Co-Chair, Derivatives & Commodities
202.507.5171 | sgault-brown@stradley.com



Katrina L. Berishaj
Co-Chair, Fiduciary Governance
202.507.5179 | kberishaj@stradley.com



Michael N. Amugo
Associate
215.564.8705 | mamugo@stradley.com



Zack Bradley
Associate
215.564.8157 | zbradley@stradley.com



Wesley Davis
Associate
215.564.8640 | wdavis@stradley.com



Geena Marzouca
Associate
202.507.6408 | gmarzouca@stradley.com