



# DIGITAL ASSET REGULATORY TRACKER

For the Investment Management Industry

March 13, 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 [here](#) if you would like to sign up to receive this monthly tracker via email.

## FEBRUARY 2023

### SEC - 12 Entries

#### February 28, 2023

SEC Charges Nishad Singh with Defrauding Investors in Crypto Asset Trading Platform FTX

Press Release: <https://www.sec.gov/news/press-release/2023-40>

SEC Complaint: <http://www.sec.gov/litigation/complaints/2023/comp-pr2023-40.pdf>

#### February 17, 2023

SEC Charges NBA Hall of Famer Paul Pierce for Unlawfully Touting and Making Misleading Statements about Crypto Security

Press Release: <https://www.sec.gov/news/press-release/2023-34>

SEC Order: <https://www.sec.gov/litigation/admin/2023/33-11157.pdf>

#### February 16, 2023

SEC Charges Terraform and CEO Do Kwon with Defrauding Investors in Crypto Schemes

Press Release: <https://www.sec.gov/news/press-release/2023-32>

SEC Complaint: <https://www.sec.gov/litigation/complaints/2023/comp-pr2023-32.pdf>

#### February 15, 2023

SEC Proposes Enhanced Safeguarding Rule for Registered Investment Advisers

Press Release: <https://www.sec.gov/news/press-release/2023-30>

Proposed Rule: <https://www.sec.gov/rules/proposed/2023/ia-6240.pdf>

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**February 15, 2023**

Chair Gary Gensler's Statement on Proposed Rules regarding Investment Adviser Custody  
Statement: <https://www.sec.gov/news/statement/gensler-statement-custody-021523>

**February 15, 2023**

Commissioner Hester M. Peirce's Statement on Safeguarding Advisory Client Assets Proposal  
Statement: <https://www.sec.gov/news/statement/peirce-statement-custody-021523>

**February 15, 2023**

Commissioner Caroline A. Crenshaw's Statement on Safeguarding Advisory Client Assets Proposal  
Statement: <https://www.sec.gov/news/statement/crenshaw-statement-custody-021523>

**February 15, 2023**

Commissioner Mark T. Uyeda's Statement on Proposed Rule Regarding the Safeguarding of Advisory Client Assets  
Statement: <https://www.sec.gov/news/statement/uyeda-statement-custody-021523>

**February 9, 2023**

Kraken to Discontinue Unregistered Offer and Sale of Crypto Asset Staking-As-A-Service Program and Pay \$30 Million to Settle SEC Charges  
Press Release: <https://www.sec.gov/news/press-release/2023-25>

**February 9, 2023**

Commissioner Hester M. Peirce Statement on Kraken Down: Statement on SEC v. Payward Ventures, Inc., et al.  
Statement: <https://www.sec.gov/news/statement/peirce-statement-kraken-020923>

**February 7, 2023**

SEC Division of Examinations Announces 2023 Priorities which will include emerging technologies and Crypto assets.  
Press Release: <https://www.sec.gov/news/press-release/2023-24>  
2023 Examination Priorities Report: <https://www.sec.gov/files/2023-exam-priorities.pdf>

**February 7, 2023**

SEC Charges Las Vegas Resident in Crypto Fraud Targeting Filipino Community in California  
Litigation Release: <https://www.sec.gov/litigation/litreleases/2023/lr25634.htm>  
SEC Complaint: <https://www.sec.gov/litigation/complaints/2023/comp25634.pdf>

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**CFTC - 15 Entries**

**February 28, 2023**

CFTC Charges FTX Co-Owner with Fraud by Misappropriation and Aiding and Abetting Fraud Related to Digital Asset Commodities  
<https://www.cftc.gov/PressRoom/PressReleases/8669-23>

**February 28, 2023**

Commissioner Pham Announces New Subcommittees of the CFTC's Global Markets Advisory Committee and Seeks Nominations by March 14  
<https://www.cftc.gov/PressRoom/PressReleases/8668-23>

**February 23, 2023**

The Market Risk Advisory Committee to Meet on March 8  
<https://www.cftc.gov/PressRoom/PressReleases/8666-23>

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**February 17, 2023**

Commissioner Goldsmith Romero to Participate in the Federal Bar Council's Winter Bench & Bar Conference 2023: Digital Assets & Blockchain: Legal Issues and Developments  
<https://www.cftc.gov/PressRoom/Events/opaeventromero021723>

**February 16, 2023**

Statement of Commissioner Kristin N. Johnson Regarding Fraud and Misappropriation by a Digital Asset Ponzi Scheme  
<https://www.cftc.gov/PressRoom/SpeechesTestimony/johnsonstatement021623>

**February 16, 2023**

CFTC Charges California-based Company and Its CEO with Fraudulent Solicitation and Misappropriation of Digital Asset Commodities  
<https://www.cftc.gov/PressRoom/PressReleases/8660-23>

**February 13, 2023**

Opening Statement of Commissioner Caroline D. Pham before the Global Markets Advisory Committee  
<https://www.cftc.gov/PressRoom/SpeechesTestimony/phamstatement021323>

**February 13, 2023**

Commissioner Pham Announces CFTC Global Markets Advisory Committee Meeting and Leadership  
<https://www.cftc.gov/PressRoom/Events/opaeventgmac021323>

**February 13, 2023**

Opening Statement of Commissioner Kristin N. Johnson Regarding Global Markets Advisory Committee  
<https://www.cftc.gov/PressRoom/SpeechesTestimony/johnsonstatement021323>

**February 8, 2023**

Keynote Address of Commissioner Kristin Johnson at UC Berkeley Law Crypto Regulation Virtual Conference: Post Crypto-Crises: Pathways for Protecting Customers and Preserving Market Integrity  
<https://www.cftc.gov/PressRoom/SpeechesTestimony/opajohnson3>

**February 8, 2023**

Commissioner Johnson to Deliver Remarks and Participate in a Fireside Chat at the Berkeley Cryptocurrency Regulation Virtual Conference  
<https://www.cftc.gov/PressRoom/Events/opaeventjohnson020823>

**February 7, 2023**

The Global Markets Advisory Committee Announces Agenda for February 13 Meeting  
<https://www.cftc.gov/PressRoom/PressReleases/8653-23>

**February 3, 2023**

Keynote Address of Chairman Rostin Behnam at the ABA Business Law Section Derivatives & Futures Law Committee Winter Meeting  
<https://www.cftc.gov/PressRoom/SpeechesTestimony/opabehtnam31>

**February 3, 2023**

Chairman Behnam to Keynote at ABA's Derivatives and Futures Law Winter Committee Meeting  
<https://www.cftc.gov/PressRoom/Events/opaeventbehnam02023>

**February 3, 2023**

Commissioner Johnson to Participate in a Panel Discussion at the ABA Derivatives and Futures Law Committee Winter Meeting: DeFi & Crypto Developments  
<https://www.cftc.gov/PressRoom/Events/opaeventjohnson020323>

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**DOL**

No entries.

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[November 2022](#)

[October 2022](#)

[September 2022](#)

[August 2022](#)

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