



DIGITAL ASSET REGULATORY TRACKER

For the Investment Management Industry

May 11, 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.

April 2023

SEC - 6 Entries

April 28, 2023

Public Cease and Desist Proceedings Instituted Pursuant to Section 8A of the Securities Act of 1993 and Section 21C of the Securities Exchange Act of 1934 Against Up, Global SEZC, Coinme Inc. and Neil Bergquist

[Administrative Proceeding](#)
[Administrative Summary](#)

April 18, 2023

[SEC Settles Offering Fraud Case Against Convicted Fraudster and His Companies and Returns Funds To Certain Investors Harmed by The Fraud](#)

April 17, 2023

SEC Charges Crypto Asset Trading Platform Bittrex and Its Former CEO for Operating an Unregistered Exchange, Broker and Clearing Agency

[Press Release](#)
[SEC Complaint](#)
[Litigation Release](#)

April 14, 2023

[SEC Reopens Comment Period for Proposed Amendments To Exchange Act Rule 3b-16 and Provides Supplemental Information](#)

continued on next page

April 13, 2023

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

[SEC Complaint](#)

[Litigation Release](#)

April 3, 2023

SEC Charges Crypto Trading Platform Beaxy and Its Executives for Operating an Unregistered Exchange, Broker and Clearing Agency

[SEC Complaint](#)

[Litigation Release](#)

CFTC - 13 Entries

April 28, 2023

[Commissioner Goldsmith Romero To Engage in a Fireside Chat at Consensus 2023](#)

April 27, 2023

[Federal Court Orders South African CEO To Pay Over \\$3.4 Billion for Forex Fraud](#)

April 25, 2023

[Illicit Finance and Other Key Risks of Digital Assets: Keynote at City Week 2023](#)

April 25, 2023

[Commissioner Goldsmith Romero To Give a Keynote Address at City Week 2023](#)

April 25, 2023

[Commissioner Johnson To Deliver a Keynote Address at the City Week 2023 Meeting: Global Challenges through Innovation](#)

April 21, 2023

[CFTC Charges 14 Entities for Fraudulently Claiming To Be Registered With The Agency](#)

April 20, 2023

[Commissioner Johnson To Deliver a Keynote Address at the New York City Bar Event Cryptocurrency & Digital Assets: Regulatory Trends and Customer Protections](#)

April 13, 2023

[Commissioner Caroline D. Pham Will Speak to Columbia Business School Students on Financial Regulation, Innovation and Digital Assets](#)

April 13, 2023

[Chairman Behnam To Participate in a Fireside Chat at the DeCenter Spring Conference](#)

April 11, 2023

[Commissioner Goldsmith Romero To Participate in the Digital Security Threats Panel at AFCEA's 2023 Tech Summit](#)

April 11, 2023

[Commissioner Caroline D. Pham Will Speak to Boston College Law School Students on Innovation and Regulation of Digital Assets](#)

April 11, 2023

[CFTC Charges New York Resident with Fraud and Misappropriation in Digital Assets Trading Scheme](#)

continued on next page

April 4, 2023

[Commissioner Pham To Participate in a Fireside Chat at Pantera Blockchain Summit 2023](#)

DOL

No entries.

ARCHIVES

[March 2023](#)

[February 2023](#)

[January 2023](#)

[December 2022](#)

[November 2022](#)

[October 2022](#)

[September 2022](#)

[August 2022](#)

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