



DIGITAL ASSET REGULATORY TRACKER

For the Investment Management Industry

September 20, 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.

August 2023 Recap

SEC – 20 Entries

August 31, 2023

[NASDAQ Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change to List and Trade Shares of the iShares Bitcoin Trust under Nasdaq Rule 5711\(d\), Commodity-Based Trust Shares](#)

August 31, 2023

[NASDAQ Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change to List and Trade Shares of the Valkyrie Bitcoin Fund under Nasdaq Rule 5711\(d\), Commodity-Based Trust Shares](#)

August 31, 2023

[NYSE Arca, Inc. Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change to List and Trade Shares of the Bitwise Bitcoin ETP Trust under NYSE Arca Rule 8.201-E \(Commodity-Based Trust Shares\)](#)

August 31, 2023

[Cboe BZX Exchange, Inc.: Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change, as Modified by Amendment No. 1, to List and Trade Shares of the VanEck Bitcoin Trust under BZX Rule 14.11\(e\)\(4\)](#)

August 31, 2023

[Cboe BZX Exchange, Inc. Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change, as Modified by Amendment No. 1, to List and Trade Shares of the WisdomTree Bitcoin Trust under BZX Rule 14.11\(e\)\(4\)](#)

continued on next page

www.stradley.com | Pennsylvania | Washington, DC | New York | New Jersey | Illinois | Delaware

This communication is provided as a general informational service to clients and friends of Stradley Ronon Stevens & Young, LLP. It should not be construed as, and does not constitute, legal advice on any specific matter, nor does this message create an attorney-client relationship. The enclosed materials may have been abridged from other sources. They are provided for educational and informational purposes for the use of clients and others who may be interested in the subject matter. This material may be considered attorney advertising in some states. Please note that the prior results discussed in the material do not guarantee similar outcomes.



August 31, 2023

[Cboe BZX Exchange, Inc. Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change, as Modified by Amendment No. 2, to List and Trade Shares of the Wise Origin Bitcoin Trust under BZX Rule 14.11\(e\)\(4\)](#)

August 31, 2023

[Cboe BZX Exchange, Inc.; Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change, as Modified by Amendment No. 1, to List and Trade Shares of the Invesco Galaxy Bitcoin ETF under BZX Rule 14.11\(e\)\(4\)](#)

August 29, 2023

[SEC Obtains Final Judgment against Bittrex, Inc. and Bittrex Global GmbH](#)

August 28, 2023

SEC Charges LA-Based Media and Entertainment Co. Impact Theory for Unregistered Offering of NFTs
[Press Release](#)
[SEC Order](#)

August 28, 2023

[In the Matter of Impact Theory, LLC, Order Instituting Cease-and-Desist Proceedings](#)

August 28, 2023

[NFTs & the SEC: Statement on Impact Theory, LLC, Statement from Commissioner Hester M. Peirce and Commissioner Mark T. Uyeda](#)

August 23, 2023

SEC Charges Former New Jersey Corrections Officer with Crypto Fraud Scheme Targeting Law Enforcement Personnel
[Press Release](#)
[SEC Complaint](#)
[Litigation Release](#)

August 21, 2023

[In the Matter of Titan Global Capital Management USA LLC, Order Instituting Cease-and-Desist Proceedings](#)

August 18, 2023

[SEC Charges Georgia Resident in Crypto-Related Affinity Fraud](#)

August 17, 2023

[Cboe BZX Exchange, Inc. Notice of Filing of a Proposed Rule Change to List and Trade Shares of the Global X Bitcoin Trust, under BZX Rule 14.11\(e\)\(4\)](#)

August 15, 2023

SEC Charges Ault Alliance, Inc. and former CEO Milton Charles (Todd) Ault III with Making Misleading Disclosures and Other Violations and Charges Current CEO for Record-keeping and Internal Control Violations
[Administrative Proceeding Order - Ault Alliance, et al.](#)

August 11, 2023

[Cboe BZX Exchange, Inc. Notice of Filing of Amendment No. 3 to, and Order Instituting Proceedings to Determine Whether to Approve or Disapprove, a Proposed Rule Change to List and Trade Shares of the ARK 21Shares Bitcoin ETF under BZX Rule 14.11\(e\)\(4\)](#)

continued on next page

August 10, 2023

[Crypto Asset Trading Platform Bittrex and Former CEO to Settle SEC Charges for Operating an Unregistered Exchange, Broker and Clearing Agency](#)

August 7, 2023

[SEC Obtains Consent Judgment Against Celebrity Charged with Illegally Touting Crypto Asset Securities for Crypto Entrepreneur Justin Sun](#)

August 4, 2023

SEC Obtains Emergency Relief to Halt Utah-Based Company's Crypto Asset Fraud Scheme Involving 18 Defendants

[Litigation Release](#)

[Press Release](#)

[SEC Complaint](#)

CFTC – 2 Entries

August 29, 2023

[Commissioner Johnson to Participate on a Financial Regulation Panel at DeFi Retreat US](#)

August 11, 2023

[CFTC Charges Residents of Florida, Louisiana and Arkansas in Ongoing Cryptocurrency and Precious Metals Fraud](#)

DOL

No entries.

ARCHIVES

[July 2023](#)

[June 2023](#)

[May 2023](#)

[April 2023](#)

[March 2023](#)

[February 2023](#)

[January 2023](#)

[December 2022](#)

[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