



# DIGITAL ASSET REGULATORY TRACKER

For the Investment Management Industry

October 11, 2022

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.

## SEPTEMBER 2022

### SEC

September 30, 2022

[SEC Files Charges in a Crypto Asset Pump-And-Dump Scheme: Securities and Exchange Commission v. Arbitrade Ltd., et al., Civil Action No. 1:22-cv-23171 \(S.D. Fla. filed September 29, 2022\)](#)

September 28, 2022

[SEC Charges The Hydrogen Technology Corp. and its Former CEO for Market Manipulation of Crypto Asset Securities](#)

September 26, 2022

[Notice of Effectiveness, Form N-1A](#)

[WisdomTree Digital Trust \(WisdomTree Short-Term Treasury Digital Fund](#)

September 19, 2022

[Sparkster to Pay \\$35 Million to Harmed Investor Fund for Unregistered Crypto Asset Offering](#)

September 16, 2022

American CryptoFed DAO LLC (Order Requesting Additional Briefing)  
Administrative Proceeding: [34-95812](#)

September 15, 2022

American CryptoFed DAO LLC  
Administrative Proceeding: [34-95799](#)

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September 15, 2022

Gabriel Edelman, Creative Advancement LLC and Edelman Blockchain Advisors LLC

Litigation Release: [LR-25509](#)

September 15, 2022

[Prepared Testimony of Gary Gensler Before the United States Senate Committee on Banking, Housing, and Urban Affairs](#)

September 15, 2022

[Oral Testimony of Gary Gensler Before the United States Senate Committee on Banking, Housing, and Urban Affairs](#)

September 14, 2022

Chicago Crypto Capital LLC, et al.

Litigation Release: [LR-25506](#)

[SEC Sues Chicago-Area Unregistered Crypto Assets Broker, Its Owner, and Two Salespeople with Fraud and with Conducting an Unregistered Offering](#)

September 9, 2022

[Prepared Remarks of Gurbir S. Grewal At SEC Speaks](#)

September 9, 2022

[Prepared Remarks of Mark T. Uyeda At SEC Speaks](#)

September 9, 2022

[SEC Division of Corporation Finance to Add Industry Offices Focused on Crypto Assets and Industrial Applications and Services](#)

September 9, 2022

[Notice of Effectiveness, Form F-10](#)

[HIVE Blockchain Technologies Ltd](#)

[Registration Statement](#)

September 9, 2022

[Notice of Effectiveness, POS-AM](#)

[Applied Blockchain, Inc.](#)

[Prospectus](#)

September 8, 2022

[Prepared Remarks of Gary Gensler "Kennedy and Crypto" At SEC Speaks](#)

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## **CFTC**

September 29, 2022

[Commissioner Pham to Participate on a Panel at POLITICO's AI & Tech Summit](#)

September 28, 2022

[Opening Statement of Commissioner Kristin N. Johnson Before the Market Risk Advisory Committee Meeting](#)

September 28, 2022

[Keynote Address by Commissioner Summer K. Mersinger: A Field of Dreams](#)

September 28, 2022

[The Market Risk Advisory Committee to Meet on September 28](#)

September 27, 2022

[Keynote Address by Commissioner Caroline D. Pham at CordaCon 2022: A Voice for the People: A Proposal for a New Office of the Retail Advocate](#)

September 27, 2022

[Commissioner Pham to Deliver a Keynote Address at CordaCon 2022](#)

September 27, 2022

[The Market Risk Advisory Committee Announces Agenda for September 28 Meeting](#)

September 27, 2022

[CFTC Seeks to Revoke Registrations of Commodity Trading Advisor and Its Principal and Associated Person](#)

September 27, 2022

[CFTC Chairman Behnam to Join N.J. Congressman Gottheimer to Discuss Digital Assets, Fintech and Investor Protection](#)

September 26, 2022

[CFTC Commissioner Christy Goldsmith Romero Calls for Nominations and Topics for the Technology Advisory Committee](#)

September 23, 2022

[Registration Opens Today for a CFTC Financial Education Event as Part of World Investor Week – October 3-9](#)

September 22, 2022

[CFTC Imposes \\$250,000 Penalty Against bZeroX, LLC and Its Founders and Charges Successor Ooki DAO for Offering Illegal, Off-Exchange Digital-Asset Trading, Registration Violations, and Failing to Comply with Bank Secrecy Act](#)

September 22, 2022

[Dissenting Statement of Commissioner Summer K. Mersinger Regarding Enforcement Actions Against: 1\) bZeroX, LLC, Tom Bean, and Kyle Kistner; and 2\) Ooki DAO](#)

September 22, 2022

[CFTC Charges Five Entities for Failing to Register as FCMs](#)

September 22, 2022

[Commissioner Pham to Participate in a Fireside Chat at Mainnet 2022](#)

September 20, 2022

[Opening Statement of Commissioner Christy Goldsmith Romero Before the Energy and Environmental Markets Advisory Committee](#)

September 20, 2022

[Commissioner Pham to Participate in a Fireside Chat at the NYC Climate Week Blockchain Summit](#)

September 16, 2022

[The Market Risk Advisory Committee to Meet on September 28](#)

September 15, 2022

[Testimony of Chairman Rostin Behnam Regarding the Legislative Hearing to Review S.4760, the Digital Commodities Consumer Protection Act at the U.S. Senate Committee on Agriculture, Nutrition, and Forestry](#)

September 15, 2022

[Chairman Behnam to Testify before the U.S. Senate Committee on Agriculture, Nutrition, and Forestry](#)

September 15, 2022

[Commissioner Goldsmith Romero to Participate in a Fireside Chat at a Chamber of Digital Commerce Event](#)

September 14, 2022

[Keynote Address of Commissioner Summer K. Mersinger: An Appropriate Regulatory Regime for Evolving Markets](#)

September 7, 2022

[Keynote Address by Commissioner Caroline D. Pham at the EUROFI Financial Forum Prague 2022](#)

September 7, 2022

[Commissioner Pham to Deliver a Keynote at the Eurofi Financial Forum 2022 – Prague](#)

September 6, 2022

[Chairman Behnam to be Featured at a University of Pennsylvania and Wharton School Event](#)

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## DOL

No entries.

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## ARCHIVES

[August 2022](#)

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