



DIGITAL ASSET REGULATORY TRACKER

For the Investment Management Industry

November 10, 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.

OCTOBER 2022

SEC

October 11, 2022

[Applied Blockchain, Inc.
Form S-1 Notice of Effectiveness](#)

October 6, 2022

[Judgment as to Tyler Ostern. Securities and Exchange Commission v. The Hydrogen Technology Corporation, Michael Ross Kane, and Tyler Ostern, No. 1:22-cv-08284 \(S.D.N.Y. filed September 28, 2022\)
Litigation Release No. 25553](#)

October 3, 2022

[SEC Charges Kim Kardashian for Unlawfully Touting Crypto Security](#)

October 3, 2022

[Statement on Financial Stability Oversight Council's Report on Digital Asset Financial Stability Risks and Regulation Before the Financial Stability Oversight Council Open Meeting](#)

October 3, 2022

[SEC files charge to halt ongoing, multi-million dollar securities fraud directed at Latino Investors. Securities and Exchange Commission v. Mauricio Chavez et al., Civil Action No. 4:22cv3359 \(S.D. Tex. Filed September 19, 2022\)](#)

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October 3, 2022
In the Matter of Paragon Coin, Inc. Notice of Proposed Plan of Distribution And Opportunity For Comment
Administrative proceeding: [34-95965](#)

CFTC

October 28, 2022
[Commissioner Johnson to Deliver Keynote Address at the Evolving Regulation of Crypto Symposium](#)

October 27, 2022
[Remarks of CFTC Commissioner Christy Goldsmith Romero before the International Swaps and Derivatives Association's Crypto Forum 2022. New York](#)

October 27, 2022
[Commissioner Goldsmith Romero to Participate on a Panel at the Amazon Web Services Summit on the Future of Money and Fintech Innovation](#)

October 26, 2022
[Remarks of CFTC Commissioner Christy Goldsmith Romero before the International Swaps and Derivatives Association's Crypto Forum 2022. New York](#)

October 26, 2022
[Commissioner Johnson to Deliver Distinguished Jurist Lecture at the University of Pennsylvania Law School Institute for Law & Economics](#)

October 26, 2022
[Commissioner Goldsmith Romero to Delivery a Keynote Address at the ISDA Crypto Forum 2022](#)

October 24, 2022
[Chairman Behnam to Keynote a Rutgers Law School Crypto Regulation Symposium](#)

October 20, 2022
[CFTC Releases Annual Enforcement Results](#)

October 20, 2022
[Commissioner Johnson to Participate in a Fireside Chat at Skadden, Arps, Slate, Meagher & Flom LLP](#)

October 20, 2022
[Commissioner Kristin N. Johnson will deliver a keynote address at Symphony Innovate New York 2022.](#)

October 20, 2022
[Commissioner Mersinger to Participate in a Panel Discussion Regarding Pragmatic Commodity Surveillance in Unprecedented Times](#)

October 19, 2022
[Commissioner Johnson to Participate in a Panel Discussion at the MIT Golub Center for Finance and Policy Annual Conference: Building and Regulating the New Financial Infrastructure](#)

October 14, 2022
[CFTC Commissioner Goldsmith Romero to Participate in a Regulatory & Policy Roundtable at the Financial Markets Quality Conference 2022](#)

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October 14, 2022

[Commissioner Johnson to Participate in a Fireside Chat at the 2022 Future of Black Communities Summit hosted by the Joint Center for Political and Economic Studies](#)

October 13, 2022

[Chairman Behnam to Participate in a Conversation at the 2022 Institute of International Finance \(IIF\) Annual Membership Meeting](#)

October 13, 2022

[Commissioner Pham to Deliver a Lecture at LUISS Co-Sponsored by the Commissione Nazionale per le Società e la Borsa \(CONSOB\)](#)

October 13, 2022

[Commissioner Goldsmith Romero to Participate in a Fireside Chat at WCL's Virtual Currency Law, Regulation, and Policy Institute](#)

October 12, 2022

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

October 11, 2022

[Commissioner Goldsmith Romero to Give Closing Remarks at DC Fintech Week 2022](#)

October 11, 2022

[Commissioner Pham to Speak at the Harvard Law School Program on International Financial Systems Roundtable on Institutional Investors and Crypto Assets](#)

October 11, 2022

[Chairman Behnam to Participate in a Fireside Chat at DC Fintech Week 2022](#)

October 10, 2022

[Commissioner Johnson to Participate in a Panel Discussion at RAID Digital 2022 Conference: New Tech Governance for the New Globalization](#)

October 5, 2022

[CFTC to Host Panels for Financial Educators for World Investor Week](#)

October 3, 2022

[CFTC Charges Digital Asset Derivatives Platform and Miami Resident with Facilitating Unlawful Futures Transactions, Failing to Register, and Attempted Manipulation of Native Token](#)

October 3, 2022

[Statement of Commissioner Kristin N. Johnson Regarding Unregistered Crypto Futures Platform, Price Manipulation, and Failure to Comply with AML/KYC/CIP Obligations](#)

DOL

No entries.

ARCHIVES

[August 2022](#)

[September 2022](#)

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