

For the Investment Management Industry

**November 14, 2023** 

A lot is happening in the world of digital assets regulation, and we understand how challenging it is to keep track of it all. To assist, we publish a monthly digital asset regulatory tracker, including links to digital asset-related materials issued by the SEC, CFTC and DOL. Make sure to receive the monthly tracker via email and check out our current content and prior months' postings on our website.

## October 2023 Recap

#### SEC - 8 Entries

## October 27, 2023

Overdue: Statement of Dissent on LBRY - Commissioner Hester M. Peirce

## October 27, 2023

In the Matter of Impact Theory, LLC, the Division of Enforcement requesting an extension of time until July 26, 2024, to submit a Proposed Plan of Distribution under Rule 1101(a) of the Commission's Rules on Fair Fund and Disgorgement Plans, 17 C.F.R. § 201.1101(a)

#### October 25, 2023

<u>"Partners of Honest Business and Prosecutors of Dishonesty": Remarks Before the 2023 Securities Enforcement Forum – Chair Gary Gensler</u>

## October 23, 2023

NYSE Arca, Inc.; Notice of Filing of Proposed Rule Change to List and Trade Shares of the Grayscale Ethereum Trust Under NYSE Arca Rule 8.201-E

## October 19, 2023

SEC Obtains Judgment Against Issuer and CEO for Unregistered Crypto Asset Securities Offering <u>Litigation Release</u> <u>Final Judgment</u>

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## **Digital Asset Regulatory Tracker**

#### October 13, 2023

Reporting of Securities Loans - Statement from Commissioner Hester M. Peirce

## October 10, 2023

In the Matter of Quantstamp, Inc., the Division of Enforcement requesting an extension of time until October 10, 2024, to submit a Proposed Plan of Distribution under Rule 1101(a) of the Commission's Rules on Fair Fund and Disgorgement Plans, 17 C.F.R. § 201.1101(a)

#### October 3, 2023

SEC Shuts Down Zera Financial LLC Offering Fraud

#### CFTC - 18 Entries

#### October 31, 2023

Commissioner Pham to Speak at Columbia Business School

#### October 25, 2023

Commissioner Pham to Speak at the Center for Strategic and International Studies (CSIS) Event

#### October 24, 2023

Commissioner Mersinger to Participate in a Fireside Chat at the State of Crypto Policy and Regulation Conference

## October 24, 2023

Commissioner Mersinger to Participate in a Live Interview with CoinDesk TV

#### October 23, 2023

Commissioner Johnson to Participate in a Centennial Celebration Fireside Chat for Academy of Legal Studies in Business

## October 19, 2023

Commissioner Pham to Speak on a Practising Law Institute (PLI) Podcast

#### October 18, 2023

Commissioner Pham to Speak at the Wharton Future of Finance Forum

#### October 17, 2023

Remarks of Enforcement Director Ian McGinley at the New York University School of Law Program on Corporate Compliance and Enforcement: "The Right Touch: Updated Guidance on Penalties, Monitors and Admissions"

## October 12, 2023

Statement of Commissioner Kristin N. Johnson Regarding CFTC Charges Against Voyager Chief Executive Officer

#### October 12, 2023

Statement of Commissioner Caroline D. Pham Regarding Enforcement Action on Crypto Lending

## October 12, 2023

CFTC Charges Former Chief Executive Officer of Digital Asset Platform with Fraud in Massive Commodity Pool Scheme

#### October 10, 2023

Commissioner Mersinger to Participate in a Virtual Fireside Chat at Paul Hastings' Crypto Derivative Event

## **Digital Asset Regulatory Tracker**

## October 5, 2023

Keynote Remarks of Commissioner Kristin N. Johnson at Rice University's Baker Institute for Public Policy Annual Energy Summit

#### October 4, 2023

CFTC to Host Technology and Fraud Virtual Event for World Investor Week

## October 4, 2023

Opening Remarks of Commissioner Kristin N. Johnson at CFTC's Technology and Fraud Virtual Event for World Investor Week

## October 2, 2023

Commissioner Pham to Speak at FIA Expo 2023

## October 2, 2023

Commissioner Johnson to Participate in a Fireside Chat at the Fordham Law Blockchain Regulatory Symposium

## October 2, 2023

Keynote Address of Chairman Rostin Behnam at the Futures Industry Association Expo 2023, Chicago, Illinois

# **DOL**

No entries.

## **ARCHIVES**

September 2023

August 2023

July 2023

June 2023

May 2023

April 2023

March 2023

February 2023

January 2023

December 2022

November 2022

October 2022

September 2022

August 2022

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