



DIGITAL ASSET REGULATORY TRACKER

For the Investment Management Industry

December 21, 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 digital asset regulatory tracker, including links to digital asset-related materials issued by the SEC, CFTC and DOL. Make sure to [receive the tracker](#) via email and check out our [current content and prior postings](#) on our website.

November 2023 Recap

SEC – 14 Entries

November 30, 2023

[Cboe BZX Exchange, Inc.: Notice of Filing of a Proposed Rule Change to List and Trade Shares of the Fidelity Ethereum Fund Under BZX Rule 14.11\(e\)\(4\)](#)

November 28, 2023

[Cboe BZX Exchange, Inc.: Order Instituting Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change to List and Trade Shares of the Franklin Bitcoin ETF Under BZX Rule 14.11\(e\)\(4\)](#)

November 28, 2023

[NYSE Arca, Inc.: Order Instituting Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change to List and Trade Shares of the Hashdex Bitcoin Futures ETF under NYSE Arca Rule 8.500-E](#)

November 20, 2023

SEC Charges Kraken for Operating as an Unregistered Securities Exchange, Broker, Dealer and Clearing Agency
[Press Release](#)
[Litigation Release](#)
[SEC Complaint](#)

November 17, 2023

[Cboe BZX Exchange, Inc.: Order Instituting Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change to List and Trade Shares of the Global X Bitcoin Trust Under BZX Rule 14.11\(e\)\(4\)](#)

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November 15, 2023

[Cboe BZX Exchange, Inc.; Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change to List and Trade Shares of the Franklin Bitcoin ETF Under BZX Rule 14.11\(e\)\(4\)](#)

November 15, 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 Grayscale Ethereum Futures Trust \(ETH\) ETF Under NYSE Arca Rule 8.200-E, Commentary .02](#)

November 15, 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 Hashdex Bitcoin Futures ETF Under NYSE Arca Rule 8.500-E](#)

November 14, 2023

[SEC Announces Enforcement Results for Fiscal Year 2023](#)

November 9, 2023

SEC Charges Former Co-CEOs of Tech Start-Up Bitwise Industries for Falsifying Documents While Raising \$70 Million from Investors

[Press Release](#)

[Litigation Release](#)

[SEC Complaint](#)

November 6, 2023

[Remarks to the 2023 Conference on SEC Regulation Outside the United States: Fifth Annual Scott Friestad Memorial Lecture by Commissioner Mark T. Uyeda](#)

November 3, 2023

[In the Matter of Stoner Cats 2, LLC](#)

November 2, 2023

[Cboe BZX Exchange, Inc.; Notice of Filing of a Proposed Rule Change to List and Trade Shares of the Invesco Galaxy Ethereum ETF Under BZX Rule 14.11\(e\)\(4\)](#)

November 1, 2023

SEC Charges Crypto Company SafeMoon and Its Executive Team for Fraud and Unregistered Offering of Crypto Securities

[Press Release](#)

[Litigation Release](#)

[SEC Complaint](#)

CFTC – 23 Entries

November 30, 2023

[Speech of Commissioner Kristin N. Johnson: Beyond Policing for Fraud: Post-Crisis Crypto-Corporate Governance Reforms](#)

November 30, 2023

[Commissioner Pham to Speak at the Hogan Lovells GDF Digital Assets Summit 2023](#)

November 30, 2023

[Commissioner Johnson to Deliver Remarks and Participate in Fireside Chat at the Blockchain Association Policy Summit](#)

November 29, 2023

[Commissioner Johnson to Deliver Remarks and Participate in Fireside Chat at the Inaugural DeFi Summit hosted by S&P Global](#)

November 21, 2023

[Statement of Commissioner Caroline D. Pham Regarding Binance Consent Orders](#)

November 21, 2023

[Statement of Commissioner Christy Goldsmith Romero on Bringing Binance and Its Founder to Justice](#)

November 21, 2023

[Statement of Commissioner Kristin N. Johnson Regarding CFTC's Landmark Resolution of Charges Against Binance and Its CEO and CCO](#)

November 21, 2023

[Statement of Chairman Rostin Behnam Regarding Binance and Its Founder](#)

November 21, 2023

[Binance Former Chief Compliance Officer, Samuel Lim, Agrees to Pay \\$1.5 Million for Willfully Evading U.S. Law and Aiding and Abetting the Illegal Operation of a Digital Asset Derivatives Exchange and Other Violations](#)

November 21, 2023

[Binance and Its CEO, Changpeng Zhao, Agree to Pay \\$2.85 Billion for Willfully Evading U.S. Law, Illegally Operating a Digital Asset Derivatives Exchange and Other Violations](#)

November 16, 2023

[Remarks of Commissioner Christy Goldsmith Romero: Financial Stability Is Foundational for Consumer Protection](#)

November 16, 2023

[Commissioner Pham to Speak at the Singapore Fintech Festival](#)

November 13, 2023

[Atlanta Economics Club Keynote Address at the Federal Reserve Bank of Atlanta by Commissioner Kristin N. Johnson](#)

November 10, 2023

[Commissioner Pham to Speak at the Blockchain Week in Busan 2023](#)

November 9, 2023

[Chairman Behnam to Provide Opening Remarks at the Global Financial Innovation Network Conference](#)

November 8, 2023

[Commissioner Goldsmith Romero to Participate in a Fireside Chat at TRM Labs' Crypto Law Enforcement Summit](#)

November 8, 2023

[Chairman Behnam to Participate in the 7th Annual DC Fintech Week Conference](#)

November 7, 2023

[Chairman Behnam to Participate in a Fireside Chat at SIFMA's Annual Meeting](#)

November 7, 2023

[CFTC Releases FY 2023 Enforcement Results](#)

November 6, 2023

[Commissioner Pham Announces Agenda for the Upcoming Global Markets Advisory Committee Meeting on November 6](#)

November 3, 2023

[Statement of Commissioner Kristin N. Johnson: Preserving Trust and Preventing the Erosion of Customer Protection Regulation](#)

November 2, 2023

[Commissioner Johnson to Participate in Fireside Chat with Former FTC Chair William Kovacic Hosted by WSJ](#)

November 2, 2023

[Commissioner Pham Announces Agenda for the Upcoming Global Markets Advisory Committee Meeting on November 6](#)

DOL - 1 Entry

November 3, 2023

[Retirement Security Rule: Definition of an Investment Advice Fiduciary, 88 Fed. Reg. 75890](#)

ARCHIVES

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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



[Samuel Kishiyama](#)
Associate
215.564.8743 | skishiyama@stradley.com



[Geena Marzouca](#)
Associate
202.507.6408 | gmarzouca@stradley.com