



DIGITAL ASSET REGULATORY TRACKER

For the Investment Management Industry

February 13, 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.

JANUARY 2023

SEC - 12 Entries

January 31, 2023

In the Matter of Poloniex, LLC

Administrative Proceedings [34-96679](#)

Plan of Distribution: <https://www.sec.gov/litigation/admin/2023/34-96779-dp.pdf>

January 20, 2023

SEC Charges Avraham Eisenberg with Manipulating Mango Markets' "Governance Token" to Steal \$116 Million of Crypto Assets

Press Release: <https://www.sec.gov/news/press-release/2023-13>

Complaint: <https://www.sec.gov/litigation/complaints/2023/comp-pr2023-13.pdf>

Litigation Release: <https://www.sec.gov/litigation/litreleases/2023/lr25623.htm>

January 20, 2023

"Outdated" Remarks before the Digital Assets at Duke Conference by Commissioner Hester M. Peirce

<https://www.sec.gov/news/speech/peirce-remarks-duke-conference-012023>

January 20, 2023

American CryptoFED DAO, LLC

ALJ Orders: [AP-6896](#)

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January 19, 2023

Nexo Agrees to Pay \$45 Million in Penalties and Cease Unregistered Offering of Crypto Asset Lending Product
Press Release: <https://www.sec.gov/news/press-release/2023-11>
Administrative Proceedings: [33-11149](#)

January 19, 2023

SEC Charges Caroline Ellison and Gary Wang with Defrauding Investors in Crypto Asset Trading Platform FTX
Litigation Release: <https://www.sec.gov/litigation/litleases/2023/lr25617.htm>
Complaint: <https://www.sec.gov/litigation/complaints/2023/comp25617.pdf>

January 19, 2023

SEC Charges Samuel Bankman-Fried with Defrauding Investors in Crypto Asset Trading Platform FTX
Litigation Release: <https://www.sec.gov/litigation/litleases/2023/lr25616.htm>
Complaint: <https://www.sec.gov/litigation/complaints/2023/comp25616.pdf>

January 17, 2023

In the Matter of the Registration Statement of Electropremium (Order Granting Petition for Review and Scheduling Briefs)
Administrative Proceedings [33-11147](#)

January 13, 2023

Administrative Proceeding, In the Matter of Blockchain Credit Partners d/b/a DeFi Money Market, Gregory Keough and Derek Acree
Administrative Proceedings [34-96664](#)

January 13, 2023

In the matter of Unikrn, Inc.
Administrative Proceedings [34-96665](#)
Plan of Distribution: <https://www.sec.gov/litigation/admin/2023/34-96665-pdp.pdf>

January 12, 2023

SEC Charges Genesis and Gemini for the Unregistered Offer and Sale of Crypto Asset Securities through the Gemini Earn Lending Program
Press Release: <https://www.sec.gov/news/press-release/2023-7>
Complaint: <https://www.sec.gov/litigation/complaints/2023/comp-pr2023-7.pdf>

January 4, 2023

SEC Charges Creator of CoinDeal Crypto Scheme and Seven Others in Connection with \$45 Million Fraud
Press Release: <https://www.sec.gov/news/press-release/2023-2>
Complaint: <https://www.sec.gov/litigation/complaints/2023/comp-pr2023-2.pdf>

CFTC - 11 Entries

January 26, 2023

Keynote Address of Commissioner Kristin Johnson at Digital Assets @ Duke Conference, Duke's Pratt School of Engineering and Duke Financial Economics Center: Mitigating Crypto-Crises: Applying Lessons Learned in Governance, Risk Management and Compliance
<https://www.cftc.gov/PressRoom/SpeechesTestimony/opajohnson2>

January 26, 2023

Commissioner Johnson to Deliver a Keynote Address at Emory Law School's 2023 TI:GER Innovation Conference
<https://www.cftc.gov/PressRoom/Events/opaeventjohnson012623>

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January 21, 2023

Commissioner Johnson to Deliver Keynote Address at the Digital Assets at Duke
<https://www.cftc.gov/PressRoom/Events/opaeventjohnson012123>

January 18, 2023

Keynote Address by Commissioner Christy Goldsmith Romero at The Wharton School and the University of Pennsylvania Carey Law School: Crypto's Crisis of Trust: Lessons Learned from FTX's Collapse
<https://www.cftc.gov/PressRoom/SpeechesTestimony/oparomero5>

January 18, 2023

Commissioner Goldsmith Romero to Provide Keynote Address at the University of Pennsylvania Carey Law School's Symposium, The FTX Fiasco: Unpacking the Most Complex Bankruptcy in History
<https://www.cftc.gov/PressRoom/Events/opaeventromero011823>

January 18, 2023

Commissioner Pham to Participate in a Fireside Chat at the Global Blockchain Business Council's Blockchain Central Davos
<https://www.cftc.gov/PressRoom/Events/opaeventpham011823>

January 18, 2023

Commissioner Mersinger to Participate in a Fireside Chat at the Global Blockchain Business Council's Blockchain Central Davos
<https://www.cftc.gov/PressRoom/Events/opaeventmersinger011823>

January 16, 2023

Commissioner Goldsmith Romero to Discuss Blockchain for Public Institution Applications at GBBC's Blockchain Central Davos 2023
<https://www.cftc.gov/PressRoom/Events/opaeventromero011623>

January 10, 2023

Statement of Commissioner Caroline D. Pham Regarding Complaint Charging Swaps Manipulation and Fraud on a Decentralized Digital Asset Exchange
<https://www.cftc.gov/PressRoom/SpeechesTestimony/phamstatement011023>

January 9, 2023

Statement of Commissioner Kristin N. Johnson Regarding CFTC Action Against Market Manipulation Scheme in the Digital Assets Markets
<https://www.cftc.gov/PressRoom/SpeechesTestimony/johnsonstatement010923>

January 9, 2023

CFTC Charges Avraham Eisenberg with Manipulative and Deceptive Scheme to Misappropriate Over \$110 million from Mango Markets, a Digital Asset Exchange
<https://www.cftc.gov/PressRoom/PressReleases/8647-23>

DOL

No entries.

ARCHIVES

[December 2022](#)
[November 2022](#)
[October 2022](#)
[September 2022](#)
[August 2022](#)

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



[Michael N. Amugo](#)
Associate
215.564.8705 | mamugo@stradley.com



[Zack Bradley](#)
Associate



[Wesley Davis](#)
Associate
215.564.8640 | wdavis@stradley.com



[Geena Marzouca](#)
Associate