

MoCo Cryptocurrency Litigation Tracker

Updated as of January 13, 2020

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SEC Litigation

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>SEC v. Eyal and UnitedData, Inc. d/b/a “Shopin”</u>	12/11/2019	S.D.N.Y.	19-cv-11325	Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act §§ 5(a) and 5(c)	<u>Defendant pleads guilty to fraud in related criminal case in Kings County, New York, ordered to pay \$125k in restitution to Springleap investors, \$475k in fines, and give up remaining digital assets paid by investors, valued at \$450k.</u>
<u>SEC v. Telegram Group, Inc. and Ton Issuer, Inc.</u>	10/11/2019	S.D.N.Y.	19-cv-9439	Securities Act §§ 5(a) and 5(c)	
<u>SEC v. Lucas</u>	9/20/2019	S.D.N.Y.	19-cv-08771	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c)	
<u>SEC v. ICOBox and Evdokimov</u>	9/18/2019	C.D. Cal	19-cv-08066	Securities Act §§ 5(a) and 5(c); Exchange Act § 15	

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>SEC v. Bitqyck, Inc. Bruce E. Bise, and Samuel J. Mendez</u>	8/29/2019	N.D. Tex. – Dallas Division	19-cv-02059	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); Exchange Registration Provisions of the Exchange Act § 5; aiding and abetting	
<u>SEC v. Middleton, Veritaseum, Inc., and Veritaseum, LLC</u>	8/12/2019	E.D.N.Y.	19-cv-4625	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); Exchange Act § 9(a)(2)	<u>Proposed Settlement and Final Judgment</u>

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>SEC v. Longfin Corp., and Meenavalli</u>	6/5/2019	S.D.N.Y.	19-cv-05296	Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 13(a) and Rules 12b-20, 13a-1, 13a-11, and 13a-13; Exchange Act § 13(b)(2)(A) and (B); Exchange Act § 13(b)(5) and Rule 13b2-1; Exchange Act Rule 13a-14; Exchange Act Rule 13b2-2	<u>Default judgment against Longfin ordering \$3,532,235 in disgorgement and a \$3,243,613 civil monetary penalty</u>
<u>SEC v. Kik Interactive Inc.</u>	6/4/2019	S.D.N.Y.	19-cv-05244	Exchange Act § 5(a) and (c)	<u>Wells submission made public by the company on 12/10/2018</u>
<u>SEC v. Savraj Gata-Aura and Core Agents, Ltd.</u>	5/23/2019	S.D.N.Y.	19-cv-04780	Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5	
<u>SEC v. Pacheco</u>	5/22/2019	C.D.Cal	19-cv-00958	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a)(1) and (3); Securities Act §§ 5(a) and 5(c); unjust enrichment	
<u>SEC v. Natural Diamonds Investment Co., et al.</u>	5/21/2019	S.D.Fl.	19-cv-80633	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c)	

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SEC v. Saint James Holding and Investment Company Trust and Jeffrey James	10/5/2018	C.D.Cal.	18-mc-135	15 U.S.C. § 77s(c), 15 U.S.C. § 78u(b) (application for order compelling compliance with investigative subpoenas)	
SEC v. Blockvest et al.	10/3/2018	S.D.Cal.	18-cv-2287	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); Exchange Act § 5	Denial of preliminary injunction; SEC did not show tokens were securities because of issue of fact as to whether they were sold to real investors Order Granting Plaintiff's Motion for Partial Reconsideration
SEC v. 1Pool Ltd. a.k.a. 1Broker and Patrick Brunner	9/27/2018	D.D.C.	18-cv-02244	Securities Act § 5(c); and Exchange Act §§ 6(l) and 15(a)(1)	Final Judgment
SEC v. Barry C. Honig et al.	9/7/2018	S.D.N.Y.	18-cv-08175	Exchange Act § 10(b) and Rule 10b-5; Securities Act §§ 17(a) and 17(b); Exchange Act § 9(a); Securities Act §§ 5(a) and 5(c); Exchange Act §§ 13(d) and Rule 13d-1(a); aiding and abetting	
SEC v. Moore, et al.	8/27/2018	S.D.N.Y.	18-cv-07803	Securities Act §§ 17(a); Exchange Act § 10(b) and Rule 10b-5	

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SEC v. Jesky et al.	7/2/2018	S.D.N.Y.	18-cv-5980	Securities Act §§ 5(a) and 5(c)	“Without admitting or denying guilt, Defendants agree to return approx. \$1.4mm in gains and pay penalties”
SEC v. Titanium Blockchain Infrastructure Services et al.	5/22/2018	C.D.Ca.	18-cv-4315	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17; Securities Act §§ 5(a) and 5(c); Exchange Act § 5	Preliminary Injunction Order Stipulation for Modification of Asset Freeze
SEC v. Altahawi, et al.	4/4/2018	S.D.N.Y.	18-cv-02977	Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act § 5	Final Judgment as to Defendant Andy Altahawi Final Judgment as to Defendant Dorababu Penumarathi Final Judgment as to Defendant Suresh Tammineedi
SEC v. Sharma and Farkas	4/2/2018	S.D.N.Y.	18-cv-02909	Exchange Act § 10(b) and Rule 10b-5(a)-(c); Securities Act § 17(a)(1)-(3); Securities Act § 5(a) and (c); aiding and abetting	

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
SEC v. Montroll and BitFunder	2/21/2018	S.D.N.Y.	18-cv-1582	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17; Securities Act §§ 5(a) and 5(c); Exchange Act § 5; control person liability	
SEC v. AriseBank et al.	1/25/2018	N.D.Tx.	18-cv-186	Securities Act §§ 5(a) and 5(c); Securities Act § 17; Exchange Act § 10(b) and Rule 10b-5; aiding and abetting	Preliminary injunction granted against Defendant Stanley Ford Order Governing the Sale of Personal Property Final Judgment as to Defendants Jared Rice Sr. and Stanley Ford
SEC v. Plexcorps et al.	12/1/2017	E.D.N.Y.	17-cv-7007	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 17; Securities Act §§ 5(a) and 5(c); aiding and abetting	Denial of motion to dismiss based on personal jurisdiction Final Judgment as to all Defendants
SEC v. ReCoin and DRC World Inc.	9/29/2017	E.D.N.Y.	17-cv-5725	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); aiding and abetting	Order granting motion for intervention and a stay

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
SEC v. Haddow et al.	6/30/2017	S.D.N.Y.	17-cv-4950	Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; aiding and abetting; control person liability; unjust enrichment	Preliminary injunction granted against Defendants and Relief Defendant Judgment permanently restraining Defendant from violating Section 10(b) of the Exchange Act
SEC v. Garza	12/1/2015	D. Conn.	15-cv-1760	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); §§ 5(a) and 5(c);	Joint Motion for Approval of Settlement and Entry of Final Judgment
SEC v. Shavers and Bitcoin Savings and Trust	7/23/2013	E.D.Tx.	13-cv-416	Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act §§ 5(a) and 5(c)	Amended Final Judgment

CFTC Litigation

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>CFTC v. David Gilbert Saffron a/k/a David Gilbert and Circle Society, Corp.</u>	9/30/2019	S.D.N.Y.	19-cv-01697	CEA § 4c(b) and Regulation 32.4; CEA § 4o(1)(A)-(B); Regulation 4.20(a)(1), (b) and (c), CEA § 4m(1) and 4k(2)	
<u>CFTC v. Jon Barry Thompson</u>	9/30/2019	S.D.N.Y.	19-cv-9052	CEA § 6(c)(1); Regulation 180.1(a)	
<u>CFTC v. Control-Finance Limited and Benjamin Reynolds</u>	6/17/2019	S.D.N.Y.	19-cv-5631	CEA § 6(c)(1); Regulation 180.1(a)	
<u>CFTC v. John Doe 1 aka Morgan Hunt dba Diamonds Trading Investment House and John Doe 2 aka Kim Hecroft dba First Options Trading</u>	9/28/2018	N.D. Tex.	18-cv-00807-O	CEA § 4b(a)(2)(A)-(C), Regulation 5.2; CEA § 4o(1); CEA § 6(c)(1), Regulation 180.1(a)	<u>Order and Default Judgment for civil penalties and restitution against Defendants</u>
<u>CFTC v. 1Pool Ltd. and Patrick Brunner</u>	9/27/2018	D.D.C.	18-cv-02243	CEA § 4(a); CEA § 4d(a)(1); Regulation 166.3	<u>Consent Order For Permanent Injunction Against Defendants</u>
<u>CFTC v. Blake Harrison Kantor aka Bill Gordon et al.</u>	4/16/2018	E.D.N.Y.	18-cv-2247	CEA § 2(c); CEA § 4c(b) and Regulation 32.2; CEA § 4d(a)(1); CEA § 4c(b) and Regulation 32.4; CEA § 6(c)(1) and Regulation 180.1	<u>Order of Stay of Proceedings</u> <u>Default Judgment Against Defendants</u>

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>CFTC v. McDonnell and CabbageTech</u>	1/18/2018	E.D.N.Y.	18-cv-361	CEA § 6(c)(1) and Regulation 180.1(a)	<u>Memorandum and Order (on CFTC jurisdiction)</u> <u>Memorandum, Findings of Fact, Conclusions of Law, and Directions for Final Judgment and Injunction</u> <u>Final Judgment and Order of Permanent Injunction, Restitution, and Civil Monetary Penalties</u>
<u>CFTC v. Dean and The Entrepreneurs Limited</u>	1/18/2018	E.D.N.Y.	18-cv-345	CEA § 4c(b) and Regulation 32.4; CEA § 4o(1)(A)-(B); § 4m(1) and 4k(2) and Regulation 3.12(a)	<u>Certificate of Default</u> <u>Default Judgment Order</u>
<u>CFTC v. My Big Coin Pay, Inc.</u>	1/16/2018	D.Mass.	18-cv-10077	CEA § 6(c)(1) and Regulation 180.1(a); disgorgement	<u>Memorandum of Decision (on CFTC jurisdiction)</u>

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CFTC v. Gelfman Blueprint Inc. and Nicholas Gelfman	9/21/2017	S.D.N.Y.	17-cv-7181	CEA § 6(c)(1); Regulation 180.1(a)	Consent order against Gelfman (permanent injunction, restitution of \$492,064.53; civil penalty of \$177,501). Also, the Manhattan District Attorney's office seized a flame thrower. Final Judgment against GBI (permanent injunction; restitution of \$554,734.48; civil monetary penalty of \$1,854,000)

DOJ and other Criminal Proceedings

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
U.S. v. Goettsche et al.	12/5/2019	D. N. J.	19-877	Conspiracy to commit wire fraud; Conspiracy to offer and sell unregistered securities;	
U.S. v. Griffith	11/21/2019	S.D.N.Y.	19-mag-10987	Conspiracy to violate the International Emergency	

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				Economic Powers Act	
U.S. v. Meiggs and Harrington	11/13/2019	D. Mass.	19-cr-10438	Conspiracy to commit computer fraud and abuse and wire fraud; Wire fraud; Aiding and abetting; Computer fraud and abuse; Aggravated identity theft	
U.S. v. Asa Saint Clair	11/6/2019	S.D.N.Y.	19-cr-_____	Wire Fraud	
U.S. v. Oz Yosef	10/23/2019	S.D.N.Y.	19-cr-00254	Conspiracy to Commit Bank Fraud; Bank Fraud; Conspiracy to Operate an Unlicensed Money Transmitting Business;	
U.S. v. Nerayoff and Hlady	9/17/2019	E.D.N.Y.	19-M-830	Extortion	
U.S. v. Gunton and Nashatka	8/13/2019	N.D. Cal.	19-cr-0372	Conspiracy to commit computer fraud and abuse; transmission of a program to cause damage to a computer; unauthorized access to a protected computer to obtain value; conspiracy to commit wire fraud; aggravated identity theft; forfeiture allegations	

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U.S. v. BTC-E and Vinnick	7/25/2019	N.D. Cal.	19-cv-4281	Recovery of civil monetary penalty	Civil complaint
U.S. v. Jon Barry Thompson	7/18/2019	S.D.N.Y.	19-MAG-6649; 19-cr-0698	Commodities fraud (2 counts), wire fraud (2 counts)	Indictment filed 9/27/2019
U.S. v. Savraj Gata-Aura	5/21/2019 (unsealed)	S.D.N.Y.	18-cr-00759	Conspiracy to commit wire fraud (18 U.S.C. § 1343)	
U.S. v. Yosef and Fowler	4/30/2019	S.D.N.Y.	19-cr-254	Conspiracy to commit bank fraud; bank fraud; conspiracy to operate an unlicensed money transmitting business; operation of an unlicensed money transmitting business	
U.S. v. Gift and Usifoh	4/24/2019	D. Or.	19-cr-141-H2	Conspiracy to commit wire fraud; wire fraud; money laundering conspiracy	
U.S. v McDonnell	3/25/2019	E.D.N.Y.	19-cr-148	Wire fraud (18 U.S.C. § 1343); forfeiture (18 U.S.C. § 981 (a)(1)(C) and 28 U.S.C. § 2461(c))	
U.S. v. Antonenko	2/26/2019	D. Mass	19-mj-04153	Money laundering conspiracy (18 U.S.C. § 1956(h))	Assented to Motion to Have Defendant Vitalli Antonenko Evaluated for Mental Competency

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
U.S. v. Crater	2/26/2019	D. Mass	19-cr-10063	Wire fraud (18 U.S.C. § 1343); unlawful monetary transaction (18 U.S.C. § 1957); forfeiture (18 U.S.C. §§ 981(a)(1)(C), 982(a)(1) and 28 U.S.C. § 2461);	
U.S. v. Rice	11/20/2018	N.D. Tex – Dallas Division	18-cr-00587-K	Securities fraud (15 U.S.C. §§ 78j(b) and 78ff; 17 U.S.C. § 240.10b-5); wire fraud (18 U.S.C. § 1343); forfeiture (18 U.S.C. § 981 (a)(1)(C) and 28 U.S.C. § 2461(c))	Guilty plea agreement to securities fraud; pending sentencing; parties agreed to recommendation of 60 months (see factual resume)
New York Attorney General v. Eyal	8/27/2018	Supreme Court of the State of New York, County of Kings		N.Y. General Business Law Article 23-A (the “Martin Act”)	Defendant pleads guilty, ordered to pay \$125k in restitution to Springleap investors, \$475k in fines, and give up remaining digital assets paid by investors, valued at \$450k.
U.S. v. Moore	8/27/2018	S.D.N.Y.	18-cr-00759	Conspiracy to commit wire fraud (18 U.S.C. § 1343)	
U.S. v. Scott	8/21/2018	S.D.N.Y.	17-cr-00630	Conspiracy to commit money laundering (18 U.S.C. § 1956(a)(1)(B)(i))	Conviction

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U.S. v. Campos	8/9/2018	S.D.Ca.	18-cr-3554	18 U.S.C. § 1960(a); 31 U.S.C. § 5318(h); 18 U.S.C. § 1956(a)(2)(A); 18 U.S.C. § 371; 31 U.S.C. § 5324(c); 18 U.S.C. § 982 (a)(1) and (b)(1); 31 U.S.C. § 5317(c) (1)(A) and (B)	Guilty plea to operating an unlicensed money transmitting business (18 USC § 1960); agreed forfeiture of \$823,357; sentence of two years in prison
New York v. Meza, Guzman, Nunez and Colon	6/12/2018	Supreme Court of the State of New York, County of New York	04350/2017 & 1932/2018	Penal Law §155.42 (Grand Larceny); Penal Law §165.54 (Criminal Possession of Stolen Property in First Degree); Penal Law §135.20 (Kidnapping in the Second Degree); Penal Law §160.15(4) (Robbery in the First Degree); Penal Law §265.09(1)(b) (Criminal Use of a Firearm in the First Degree); Penal Law §140.25(2) (Burglary in the Second Degree)	Indictment
U.S. v. Trapani	4/18/2018	S.D.N.Y.	18-mag-3271	15 U.S.C. §§ 78j(b), 78ff; 17 C.F.R. §§ 240,10b-5; 18 U.S.C. §§ 371, 1343, 1349, 2	Trapani pleads guilty to nine counts

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U.S. v. Kantor	4/10/2018	E.D.N.Y.	18-cr-0177	Conspiracy to commit wire fraud; obstruction; false statement; criminal forfeiture	Judgment (Guilty plea to one count of wire fraud; sentence of 86 months in prison; ordered to forfeit roughly \$1.65 million and pay \$806,405 in restitution)
U.S. v. Sharma and Farkas	3/31/2018	S.D.N.Y.	18-mag-2695	15 U.S.C. §§ 78j(b), 78ff; 17 C.F.R. §§ 240, 10b-5; 18 U.S.C. §§ 371, 1343, 1349, 2	
U.S. v. Montroll	2/20/2018	S.D.N.Y.	18-mag-1372 (sealed complaint)	18 U.S.C. § 1621; 18 U.S.C. § 1512(c)	Sentence of 14 months in prison
U.S. v. Kim	2/15/2018	N.D. Ill.	18-cr-107	18 U.S.C. § 1343	Guilty plea to one count of wire fraud; sentence of 15 months in prison ; \$1.14m in restitution
U.S. v. Mansy and TV TOYZ, LLC	12/4/2017	D. Me.	15-cr-198	18 U.S.C. § 1960	Denial of motion to dismiss Final Order of Forfeiture

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
U.S. v. Tetley	11/28/17	C.D.Ca.	17-cr-738	18 U.S.C. § 1960; 18 U.S.C. § 1956	Judgment and Probation/Commitment Order Final Order of Forfeiture (\$292,264; 25 gold bars; and 40 BTC)
U.S. v. Zaslavskiy	10/27/2017	E.D.N.Y.	17-cr-647	18 U.S.C. § 371 and 3551 <i>et seq.</i>	Order denying Defendant's motion to dismiss Judgment sentencing Zaslavskiy to 18 months in prison
U.S. v. Stetkiw	10/25/2017	E.D. Mich.	17-mj-30566	18 U.S.C. § 1960	
U.S. v. Ong	8/16/2017	W.D.Wa.	17-cr-191	18 U.S.C. § 1956(a)(3)(B) and § 1960(b)(1)(A)	Judgment (20 days incarceration; over \$1 million in forfeiture) Final Order of Forfeiture
U.S. v. Garza	7/20/2017	D. Conn.	17-cr-158	18 U.S.C. §§ 1343 (wire fraud)	Judgment (sentence of 21 months; restitution of \$9,182,000)
U.S. v. Haddow	6/29/2017	S.D.N.Y.	17-cr-4939	18 U.S.C. §§ 1343 and 2 (wire fraud)	

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U.S. v. BTC-E and Vinnick	1/17/2017	N.D.Ca.	16-cr-227	18 U.S.C. § 1960; 18 U.S.C § 1956(h); 18 U.S.C § 1956(a)(1); 18 U.S.C § 1957; 18 U.S.C § 982(a)(1)	FinCen civil money penalty (\$110 million as to BTC-e; \$12 million as to Vinnick)
U.S. v. Petix	12/4/2015	W.D.N.Y.	15-cr-227	18 U.S.C. § 1960	Denial of motion to dismiss Judgment Final order of forfeiture
U.S. v. Michael Lord and Randall Lord	11/18/2015	W.D.La	15-cr-00240	18 U.S.C. § 371; 18 U.S.C. §§ 1960(a), (b)(1)-(2); 18 U.S.C. §§ 1956(a); 18 U.S.C. §§ 5313, 5322; 18 U.S.C. § 2; 18 U.S.C. §§ 1343	Opinion affirming district court's judgment denying Defendants' motion to withdraw their guilty pleas
U.S. v. Murgio, Lebedev, and Gross	7/21/2015	S.D.N.Y.	15-cr-769	18 U.S.C. § 371; 18 U.S.C. § 1960 and 2; 18 U.S.C. § 215(a); 18 U.S.C. § 1349; 18 U.S.C. § 1343; 18 U.S.C. § 1956(a)(2)(A)	Denial of motion to dismiss Defendants plead guilty; sentenced to prison Second Circuit affirms district court verdicts and sentences

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Florida v. Espinoza	2/6/2014 (approx.)	11 th Judicial Circuit, Miami-Dade County, Florida	F14-2923	§ 560.125(5)(a), Fla. Stat.; § 896.101(5)(a) and (5)(b) (revised to add virtual currency)	Case dismissed Case reinstated on appeal; in part on the basis of the definition of bitcoin as a “medium of exchange”
U.S. v. Budovsky and Liberty Reserve	5/28/2013	S.D.N.Y.	13-cr-368	18 U.S.C § 1956(h) (conspiracy to commit money laundering); 18 U.S.C. § 371 (conspiracy to operate an unlicensed money transmission business); 18 U.S.C. § 1960 (operation of an unlicensed money transmission business)	Denial of motion to dismiss, to strike surplusage, and to compel Final order of forfeiture Second Final Order of Forfeiture
U.S. v. Faiella (aka BTCKing) and Shrem	1/24/2013	S.D.N.Y.	14-mag-0164	18 U.S.C. §§ 1960, 1956; 31 U.S.C. §§ 5318(g) & 5322(a)	Defendants both plead guilty ; Shrem sentenced to 2 years in prison, 3 years supervised release, and \$950,000 in forfeiture ; Faiella sentenced to 4 years in prison, 3 years supervised release, and \$950,000 in forfeiture

Other Regulatory Litigation and Proceedings

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
U.S. v. \$44,601 In U.S. Currency	12/9/2019	S.D.N.Y.	19-cv-11248	Action <i>in rem</i> to forfeit and condemn funds arising from an investigation into widespread online drug transactions on the “dark web” using BitCoin pursuant to 18 U.S.C. § 981(a)(1)(A)	
Grewal, Attorney General of the State of New Jersey on behalf of Christopher W. Gerold, Chief of the New Jersey Bureau of Securities v. Pocketinns, Inc. and Mada	7/17/2019	Superior Court of New Jersey, Chancery Division, General Equity, Essex County	C-151-19	N.J.S.A 49:3-60 (offer and sale of unregistered securities); N.J.S.A 49:3-56 (a)(Acting as an agent without registration); N.J.S.A 49:3-56(h)(employing unregistered agent)	

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U.S. v. \$194,073.14 in U.S. Currency	6/28/2019	W.D. La.	19-cv-00837	Action <i>in rem</i> to forfeit and condemn proceeds involved in Defendant Randall Lord's conspiracy to operate an unlicensed money transmitting or servicing business prohibited by 18 U.S.C. § 1960, and thereby forfeitable pursuant to 18 U.S.C. § 981(a)(1)(A) and Defendant Randall Lord's Plea Agreement filed on April 19, 2016.	Judgment granting motion for summary judgment forfeiting and condemning the \$194,073.14 in United States Currency for the use of the United States of America and further ordering that Randall Lord's claim to said currency is dismissed with prejudice.
In the Matter of the Inquiry by Letitia James, Attorney General of the State of New York v. iFinex, Inc. et al.	4/25/2019	Supreme Court of New York, County of New York	450545/2019	N.Y. General Business Law Article 23-A (the "Martin Act"); N.Y. Executive Law § 63(12)	Order granting preliminary injunction Decision & Order modifying preliminary injunction Order denying Respondents' motion for lack of personal and subject matter jurisdiction

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FINRA Department of Enforcement v. Timothy Tilton Ayre	9/11/2018	FINRA administrative proceeding	2016049307801	Exchange Act § 10(b) and Rule 10b-5; negligent misrepresentation; Securities Act § 5; NASD Rule 3040 & FINRA Rule 3280; (private securities transactions)	
FTC v. Dluca (d/b/a Bitcoin Funding Team and My7Network) et al.	2/20/2018	S.D.FI	18-cv-60379	15 U.S.C. § 45(a) (FTC Act § 5(a))	Order granting Preliminary Injunction Order to Liquidate Cryptocurrency Order on Motion to Strike Order Denying Motion to Dismiss Contempt Order
In the Matter of Linda Healthcare Corporation Co. and Arturo Devesa	5/2/2018	Colorado administrative proceeding	2018-CDS-022	C.R.S. § 11-51-201, 301	
In the Matter of Broad Investments, LLC and Guoyong Liu	5/2/2018	Colorado administrative proceeding	2018-CDS-021	C.R.S. § 11-51-201, 301	
U.S. v. Coinbase	3/16/2017	N.D.Cal.	17-cv-1431	Petition to enforce IRS summons	Petition granted in part , 11/29/17

Filing / order	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
FTC v. Equiliv Investments and Ryan Ramminger	6/29/2015	D.N.J.	14-cv-00815	15 U.S.C. § 45(a) (FTC Act § 5(a)); N.J.S.A. 56:8-1 et seq.	Stipulated Order for Permanent Injunction and Monetary Judgment
In re Ripple Labs	5/5/2015	FinCEN / USAO-N.D.Ca.		12 U.S.C. §§ 1829b, 1951-1959 and 31 U.S.C. §§ 5311-5314, 5316-5332 (Bank Secrecy Act)	
FTC v. BF Labs, Inc., d/b/a Butterfly Labs	9/15/2014	W.D.Mo.	14-cv-00815	15 U.S.C. § 45(a) (FTC Act § 5(a))	Stipulated Final Order for Permanent Injunction and Monetary Judgment

[Cease and Desist Orders / Settlement Orders / Summary Suspensions](#)

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
In the Matter of Blockchain of Things, Inc.	12/18/2019	SEC Administrative Release	Sections 5(a) and 5(c) of the Securities Act
In the Matter of XBT Corp Sarl d/b/a First Global Credit	10/31/2019	CFTC Administrative Release	Section 4d(a)(l) of the CEA
In the Matter of XBT Corp Sarl d/b/a First Global Credit	10/31/2019	SEC Administrative Release	Section 5(e) of the Securities Act; Sections 6(1) and 15(a) of the Exchange Act
In the Matter of PK Crypto Investment	10/14/2019	Texas State Securities Board	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; Fraud
In the Matter of Crypto Miner	10/14/2019	Texas State Securities Board	Section 7 of the Texas Securities

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
<u>Limited and Elizabeth Frazier</u>			Act; Section 12 of the Texas Securities Act; Fraud
<u>In the Matter of Nebulous</u>	9/30/2019	SEC Administrative Release	Sections 5(a) and 5(c) of the Securities Act
<u>In the Matter of Block.one</u>	9/30/2019	SEC Administrative Release	Sections 5(a) and 5(c) of the Securities Act
<u>In the Matter of ICO Rating</u>	8/20/2019	SEC Administrative Release	Section 17(b) of the Securities Act
<u>In the Matter of SimplyVital Health, Inc.</u>	8/12/2019	SEC Administrative Release	Sections 5(a) and 5(c) of the Securities Act
<u>In the Matter of Zoptax LLC</u>	8/7/2019	New Jersey Bureau of Securities	N.J.S.A. 49:3
<u>In the Matter of Unocall</u>	8/7/2019	New Jersey Bureau of Securities	N.J.S.A. 49:3
<u>In the Matter of Forex and Bitcoin Trader AKA Forex & Bitcoin Traders AKA FX & Bitcoin Trader AKA FX & Bitcoin</u>	8/6/2019	Texas State Securities Board Administrative Proceeding, Order No. ENF-19-CDO-1785	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; fraud
<u>In the Matter of Mikhail Rania Safiya</u>	6/28/2019	Texas State Securities Board Administrative Proceeding, Order No. ENF-19-CDO-1779	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; fraud
<u>In the Matter of Madeline O'Farrell</u>	6/28/2019	Texas State Securities Board Administrative Proceeding, Order No. ENF-19-CDO-1780	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; fraud
<u>In the Matter of TintX Mining Pool and Maxi Samantha Fortune</u>	6/28/2019	Texas State Securities Board Administrative Proceeding, Order No. ENF-19-CDO-1781	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; fraud
<u>In the Matter of NextBlock Global Ltd. and Alex Tapscott</u>	5/14/2019	<u>SEC Administrative Release Ontario Securities Commission</u>	Section 17(a)(2) of the Securities Act
<u>In the Matter of Bitcoin Generation, Inc.</u>	4/29/2019	SEC Administrative Release	Section 12(k) of the Exchange Act of 1934

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
<u>In the Matter of FxBitGlobe Ltd.</u>	4/9/2019	Texas State Securities Board Administrative Proceeding, Order No. ENF-19-CDO-1776	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act
<u>In the Matter of Mintage Mining, LLC, et al.</u>	2/21/2019	Texas State Securities Board Administrative Proceeding, Order No. ENF-19-CDO-1774	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act
<u>In the Matter of Gladius Network LLC</u>	2/20/2019	SEC Administrative Release	Section 5(a) & 5(c) of the Securities Act
<u>In the Matter of CoinAlpha Advisors LLC</u>	12/7/2018	SEC Administrative Release	Section 5(a) & 5(c) of the Securities Act
<u>In the Matter of Floyd Mayweather, Jr.</u>	11/29/2018	SEC Administrative Release	Section 17(b) of the Securities Act - disgorgement of \$300,000, prejudgment interest of \$14,775.67, and a civil money penalty in the amount of \$300,000
<u>In the Matter of Khaled Khaled</u>	11/29/2018	SEC Administrative Release	Section 17(b) of the Securities Act - disgorgement of \$50,000, prejudgment interest of \$2,725.72, and a civil money penalty in the amount of \$100,000
<u>In the Matter of My Crypto Mine and Mark Steven Royer</u>	11/27/2018	Texas State Securities Board Administrative Proceeding, Order No. ENF-18-CDO-1773	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; Fraud
<u>In the Matter of Paragon Coin, Inc.</u>	11/16/2018	SEC Administrative Release	Section 5(a) & 5(c) of the Securities Act
<u>In the Matter of CarrierEQ, Inc., d/b/a AirFox</u>	11/16/2018	SEC Administrative Release	Section 5(a) & 5(c) of the Securities Act

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
<u>In the Matter of Zachary Coburn (Etherdelta founder)</u>	11/8/2018	SEC Administrative Release	Section 5 of the Exchange Act
<u>In the Matter of Exy Crypto AKA Execrypto et al.</u>	11/6/2018	Texas State Securities Board Administrative Proceeding, Order No. ENF-18-CDO-1772	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; Fraud
<u>In the Matter of AWS Mining Pty LTD</u>	11/6/2018	Texas State Securities Board Administrative Proceeding, Order No. ENF-18-CDO-1771	Section 7 of the Texas Securities Act; Section 12 of the Texas Securities Act; Fraud
<u>American Retail Group, Inc.</u>	10/19/2018	SEC Administrative Release	Section 12(k) of the Exchange Act
<u>In the Matter of Crypto Asset Management, LP and Timothy Enneking</u>	9/11/2018	SEC Administrative Release	Section 8A of the Securities Act; Sections 203(c), 203(f), and 203(k) of the Investment Advisers Act; Section 9(f) of the Investment Company Act
<u>Crystal Token</u>	10/11/2018	North Dakota Securities Commissioner	North Dakota Century Code Chapter 10-04
<u>Advertiza Holdings (Pty) Ltd.</u>	10/11/2018	North Dakota Securities Commissioner	North Dakota Century Code Chapter 10-04
<u>Life Cross Coin a/k/a LifecrosscoinGmbH</u>	10/11/2018	North Dakota Securities Commissioner	North Dakota Century Code Chapter 10-04
<u>Bitconnect Ltd. and Bitconnect International plc</u>	9/19/2018	North Dakota Securities Commissioner	North Dakota Century Code Chapter 10-04
<u>Magma Foundation a/k/a Magma Coin a/k/a Magma</u>	9/19/2018	North Dakota Securities Commissioner	North Dakota Century Code Chapter 10-04
<u>In the Matter of TokenLot, LLC, Lenny Kugel, and Eli L. Lewitt</u>	9/11/2018	SEC Administrative Release	Section 15(a) of the Exchange Act; Sections 5(a) and 5(c) of the Securities Act

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
<u>In the Matter of CrowdShare Mining</u>	9/28/2018	Colorado Division of Securities	Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud)
<u>In the Matter of Cyber Capital Invest (a/k/a CCI Token)</u>	8/30/2018	Colorado Division of Securities	Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud)
<u>In the Matter of Cred (dba Credits LLC)</u>	8/30/2018	Colorado Division of Securities	Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud)
<u>In the matter of Global Pay Net (aka GLPN Coin and GPN Token)</u>	8/10/2018	Colorado Division of Securities	Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud)
<u>In the matter of Bionic Coin;</u> In the matter of Sybrelabs Ltd. (aka CryptoARB)	8/10/2018	Colorado Division of Securities	Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud)
<u>In the Matter of Tomahawk Exploration and David Thompson Laurence</u>	8/14/2018	SEC Administrative Release	Sections 5(a) and 5(c) of the Securities Act; Section 10(b) of the Exchange Act and Rule 10b-5(b)
<u>In the matter of Bitcoin Investments Ltd. (aka DB Capital);</u> <u>In the matter of EstateX;</u> <u>In the matter of Bitconnect Ltd.;</u>	8/2/2018	Colorado Division of Securities	[press release available]

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
<u>In the matter of Magma Foundation (aka Magma Coin)</u>			
<u>In the Matter of LevelNet Inc.</u>	5/28/2018	Vermont Department of Regulation, No. 18-030-S	9 V.S.A. §§ 5301, 5401(a), 5402(a); V.S.R § 3-1(c)(16)
<u>In the Matter of Springcryptoinvest</u>	5/21/2018	New Jersey Bureau of Securities	N.J.S.A. 49:3-56 and 49:3-52(b)
<u>In the Matter of Bullcoin Foundation a/k/a Bullcoin Gold</u>	5/21/2018	New Jersey Bureau of Securities	N.J.S.A. 49:3-56 and 49:3-52(b)
<u>In the Matter of Trident a/k/a Trident Crypto Index Fund</u>	5/21/2018	New Jersey Bureau of Securities	N.J.S.A. 49:3-56 and 49:3-52(b)
<u>In the Matter of ShipChain, Inc. (d/b/a ShipChain.io)</u>	5/21/2018 <u>C&D vacated 7/26/2018</u>	South Carolina State Securities Commissioner, No. 20182574	S.C. Code Ann. § 35-1-301, 35-1-401(a), 35-1-401(d)
<u>In the Matter of Browsers Lab, LLC</u>	5/21/2018	Securities Commissioner of Maryland Administrative Proceeding	M.S.A. § 11-501, 11-401, 11-402, 11-301
<u>In the Matter of Wind Wide Coin a/k/a WWC, Inc.</u>	5/15/2018	Texas State Securities Board, Order No. ENF-18-CDO-1764	Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12
<u>In the Matter of Adosia LLC and Kyle Solomon</u>	5/10/2018	North Carolina Secretary of State Securities Division, 18 ADM 007	N.C. Gen. Stat. §§78A-24; 78A-36
<u>In the Matter of Forex EA & Bitcoin Investment LLC a/k/a My Forex EA & Bitcoin Investment LLC a/k/a Forex EA</u>	5/8/2018	Texas State Securities Board, Order No. ENF-18-CDO-1763	Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12
<u>In the Matter of Bitcoin Trading & Cloud Mining Limited a/k/a BTCRUSH</u>	5/8/2018	Texas State Securities Board, Order No. ENF-18-CDO-1762	Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12
<u>In the Matter of Power Mining Pool</u>	5/2/2018	North Carolina Secretary of State Securities Division, 18 ADM 006	N.C. Gen. Stat. §§78A-24; 78A-36

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
In the Matter of Sparkco, Inc. d/b/a Librium	3/27/2018	Massachusetts Securities Division (consent order)	Mass. Gen. Laws ch. 110A § 301
In the Matter of Pink Ribbon ICO	3/27/2018	Massachusetts Securities Division (consent order)	Mass. Gen. Laws ch. 110A § 301
In the Matter of Mattervest, Inc.	3/27/2018	Massachusetts Securities Division (consent order)	Mass. Gen. Laws ch. 110A § 301
In the Matter of Across Platforms, Inc. d/b/a ClickableTV	3/27/2018	Massachusetts Securities Division (consent order)	Mass. Gen. Laws ch. 110A § 301
In the Matter of 18Moons, Inc.	3/27/2018	Massachusetts Securities Division (consent order)	Mass. Gen. Laws ch. 110A § 301
In the matter of Swiss Gold Global, Inc. and Genesis Mining, Ltd.	3/9/2018	Securities Commissioner of South Carolina administrative proceeding	S.C. Code Ann. § 35-1-101 et seq.
In the Matter of Bitcoin a/k/a Bitcoin B2G	3/7/2018	New Jersey Bureau of Securities	N.J.S.A. 49:3
In the Matter of LeadInvest	2/26/2018	Texas State Securities Board, Order No. ENF-18-CDO-1760	Texas Securities Act § 23-2
In the Matter of Investors of Crypto LLC and Daniel Neves	2/26/2018	Texas State Securities Board, Order No. ENF-18-CDO-1759	Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12
Cherubim Interests, Inc. suspension of trading	2/15/2018	SEC administrative release	
PDX Partners, Inc. suspension of trading	2/15/2018	SEC administrative release	
Victura Construction Group, Inc. suspension of trading	2/15/2018	SEC administrative release	
In the Matter of DavorCoin	2/26/2018	Texas State Securities Board, Order No. ENF-18-CDO-1757	Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12
In the Matter of R2B Coin	1/24/2018	Texas State Securities Board, Order No. ENF-18-CDO-1756	Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
<u>In the Matter of Caviar and Kirill Bensonoff</u>	1/17/2018	Massachusetts administrative proceeding	Mass. Gen. Laws ch. 110A § 201, § 301; Massachusetts Uniform Securities Act; 950 Mass. Code Regs 10.00-14.413
<u>UBI Blockchain suspension of trading</u>	1/5/2018	SEC administrative release	
<u>Texas State Securities Board v. Bitconnect</u>	1/4/2018	Texas State Securities Board, Order No. ENF-18-CDO-1754	Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12
<u>In the matter of Munchee Inc.</u>	12/11/2017	SEC administrative proceeding	Securities Act §§ 5(a) and 5(c)
<u>First Bitcoin Capital Corp. suspension of trading</u>	8/23/2017	SEC administrative release	
<u>CIAO Group, Inc. suspension of trading</u>	8/9/2017	SEC administrative release	
<u>Strategic Global Investments, Inc. suspension of trading</u>	8/3/2017	SEC administrative release	
<u>Sunshine Capital, Inc. suspension of trading</u>	4/11/2017	SEC administrative release	
<u>In the matter of Bitcoin Investment Trust and Secondmarket Inc.</u>	7/11/2016	SEC administrative proceeding	Regulation M
<u>In the matter of BFNXA Inc., d/b/a Bitfinex</u>	6/2/2016	CFTC administrative proceeding	CEA §§ 4(a) and 4d
<u>In the matter of Coinflip, Inc.</u>	9/17/2015	CFTC administrative proceeding	CEA §§ 4c(b) and 5h(a)(1) and Regulations 32.2 and 37.3(a)(1), 17 C.F.R. § 32.2 and 37.3(a)(1) (2014).
<u>In the matter of BTC Trading, Corp. and Ethan Burnside</u>	12/8/2014	SEC administrative proceeding	Sections 8A of the Securities Act; Section 15(b) and 21C of the Exchange Act; Section 9(b) of the Investment Company Act

Filing / order	Filing Date	Court	Causes of Action / Relevant Authority
In the matter of Erik Vorhees (FeedZeBirds and SatoshiDICE)	6/3/2014	SEC administrative proceeding	Securities Act § 8A
Texas State Securities Board v. Balanced Energy LLC and Kirk Johnson	3/10/2014	Texas State Securities Board, Order No. ENF-14-CD0-1731	Texas Securities Act § 23-2

Class Action and Other Private Litigation

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Farbus, individually and on behalf of all other persons similarly situated v. iFinex Inc., et al.	1/9/2020	S.D.N.Y	20-cv-211	Sherman Act (15 U.S.C. § 2); CEA § 5 (7 U.S.C. § 7); CEA § 6 (7 U.S.C. § 9); CEA § 22 (7 U.S.C. § 25); CEA § 2 (7 U.S.C. § 2); CEA § 22(a)(1) (7 U.S.C. § 25)(a)(1)); RICO (18 U.S.C. § 1962(c)); Unjust Enrichment	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Young, Kurtz, and Crystal, individually and on behalf of all other persons similarly situated v. iFinex Inc., et al.	1/8/2020	S.D.N.Y.	20-cv-169	Sherman Act (15 U.S.C. § 2); CEA § 5 (7 U.S.C. § 7); CEA § 6 (7 U.S.C. § 9); CEA § 22 (7 U.S.C. § 25); CEA § 2 (7 U.S.C. § 2); CEA § 22(a)(1) (7 U.S.C. § 25)(a)(1)); RICO (18 U.S.C. § 1962(c)); Unjust Enrichment	
Runyon v. Payward, Inc. d/b/a Kraken, et al.	11/26/2019	Superior Court of California, San Francisco County	CGR-19-581099	Discrimination, Failure to Engage in the Interactive Process, Failure to Accommodate, Retaliation, Failure to Prevent Harassment and Retaliation, Wrongful Termination, all in violation of Cal. Gov't Code § 12940 <i>et seq.</i> ; Breach of Covenant of Good Faith and Fair Dealing; Wrongful Termination in violation of Labor Code § 1102.5; Wrongful Termination in violation of public policy; Intentional Infliction of Emotional Distress	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>Young and Kurtz v. iFinex Inc., et al.</u>	11/22/2019	W.D. Wa	19-cv-1902	Sherman Act (15 U.S.C. § 2); CEA § 5 (7 U.S.C. § 7); CEA § 6 (7 U.S.C. § 9); CEA § 22 (7 U.S.C. § 25); CEA § 2 (7 U.S.C. § 2); CEA § 22(a)(1) (7 U.S.C. § 25)(a)(1)); RICO (18 U.S.C. § 1962(c)); Unjust Enrichment	
<u>James et al. v. Valo et al.</u>	11/4/2019	E.D. Tex.	19-cv-801	Securities Act § 5(a) and (c); Securities Act § 12(a); Computer Fraud and Abuse Act (18 U.S.C. § 1030); Conversion; Unjust Enrichment; Product Liability	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Bitcoin Manipulation Abatement LLC v. FTX Trading LTD, et al.	11/2/2019	N.D. Cal.	19-cv-07245	Conspiracy to participate and participation in racketeering activity(18 U.S.C. §§ 1962(d) and (c)); Use of Deceptive or Manipulative Device (7 U.S.C. §§ 9(1)); Price Manipulation (7 U.S.C. §§ 9(3) and 13(a)(2)); Aiding and Abetting Price Manipulation (7 U.S.C. § 25(a)(1); Cal Corp. Code § 29536, Negligence, Fraud, Civil Conspiracy, Unfair Business Practices (Cal. Bus. & Prof. Code § 17200 et seq.; Unjust Enrichment (restitution); Constructive Trust and Accounting	
In re Application of iFinex Inc. for the Issuance of a Subpoena for the Taking of a Deposition and the Production of Documents Pursuant to 28 U.S.C. § 1782	10/21/2019	C.D. Cal	19-mc-00021	Application to Conduct Discovery pursuant to 28 U.S.C. §1782	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>Finco Services Inc. v. Facebook Inc., et al.</u>	10/10/2019	S.D.N.Y.	19-cv-09410	Section 32(1)(a) of the Lanham Act (Infringement); Section 43(a) of the Lanham Act (Unfair Competition and False Designation of Origin); common law trademark infringement and unfair competition; breach of covenant of good faith and fair dealing	
<u>Crypto Asset Fund, LLC, et al. v. MedCredits, et al.</u>	9/27/2019	S.D. Cal	19-cv-1869	Securities Act § 12(a)(2); Securities Act § 15; Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a); Cal. Bus. & Prof. Code §§ 25504, 25401, 17200 <i>et seq.</i> ; breach of contract; unjust enrichment; conversion; promissory estoppel; fraud; negligent misrepresentation; interference with contractual relations	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>Leibowitz, et al. v. iFinex Inc., et al.</u>	10/6/2019	S.D.N.Y.	19-cv-9236	CEA § 6(c)(1), Regulation 180.1(a); CEA § 2(a)(1), CEA § 22(a)(1), Sherman Act § 2; RICO 18 U.S.C. § 1962(c); Fraud; NY GBL § 349; permanent injunctive relief	
<u>Anaykin and Bondarev v. Evdokimov and Cryptonomics Capital</u>	9/20/2019	C.D. Cal	19-cv-8165	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20; Securities Act § 5(a) and 12(a)(1); Securities Act § 15; common law fraud	
<u>Hall, individually and derivatively on behalf of Veritaseum, Inc. v. Middleton et al.</u>	8/30/2019	Supreme Court of New York, County of New York	655003/2019	Breach of fiduciary duty; Violation of N.Y. Bus. Corp. Law § 720; breach of contract; unjust enrichment; fraud; accounting	
<u>Ferrie v. Woodford Research LLC, et al.</u>	8/28/2019	W.D. Wash	19-cv-05798	Securities Act § 5(a) and 5(c); breach of contract; fraudulent misrepresentation; negligent misrepresentation; fraudulent concealment; unjust enrichment; alter ego liability; civil conspiracy	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Invictus Hyperion v. Gamedex Limited	8/28/2019	D. Md.	19-cv-02489	Securities Act § 5(a) and 5(c); breach of contract; fraudulent misrepresentation; negligent misrepresentation; fraudulent concealment; unjust enrichment; breach of the implied duty of good faith and fair dealing; alter ego liability; civil conspiracy	
Blockchain Capital, LLC v. Blockchain Capital Limited and Gavin Brown	8/21/2019	S.D.N.Y.	19-cv-07847	Section 32(1)(a) of the Lanham Act (Infringement); Section 43(a) of the Lanham Act (Unfair Competition); common law trademark infringement; unfair competition; trademark infringement under N.Y. Gen. Bus. Law §360-K; dilution under N.Y. Gen. Bus. Law §360-L	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Oracle Corporation et al v. Crypto Oracle, LLC et al.	8/15/2019	N.D.Ca	19-cv-04900	Section 32(1)(a) of the Lanham Act (infringement); Section 43(a) of the Lanham Act (unfair competition); Section 43(c) of the Lanham Act (dilution under federal law); 15 U.S.C. § 1125(d) (bad faith registration and use of domain names); Trademark Infringement under Cal. Bus. & Prof. Code §§ 14200 and 17200 <i>et seq.</i> ; trademark dilution under Cal. Bus. & Prof. Code §§ 14247; trademark infringement under CA common law	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Crypto Asset Fund, LLC v. Opskins Group, Inc.	8/12/2019	C.D.Ca	19-cv-06983	Securities Act § 12(a)(2); Securities Act § 15; Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a); Cal. Bus. & Prof. Code §§ 17200 <i>et seq.</i> ; breach of contract; breach of covenant of good faith and fair dealing; unjust enrichment; conversion; promissory estoppel; fraud; negligent misrepresentation	
White v. Sharabati	8/9/2019	New York State Supreme Court	157792/2019	Replevin; CAFA (18 USC § 1030); fraud; conversion; unjust enrichment; declaratory relief	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
In re Ripple Labs Inc. Litigation (consolidated complaint)	8/5/2019	N.D.Ca	18-cv-06753	Securities Act §§ 5 and 12(c)(1); Securities Act § 15; Unregistered offer and sale of securities in violation of California Corporations Code §§ 25110 and 25503; Section 25401 of the California Corporations Code (aiding and abetting); Sections 25110 and 25504 of the California Corporations Code (control person liability); false advertising; unfair competition	
Merkamerica, Inc. v. Glover, et al.	7/16/2019	C.D.Cal.	19-cv-06111	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20; Cal. Corp. Code § 25401; Cal. Corp. Code § 25504 and 25504.1; fraud; conspiracy to defraud; negligent misrepresentation; rescission; quantum meruit; Cal. Business & Professions § 17200; implied contract; equitable restitution	Order denying motion to dismiss

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
SG Family Investments LLC et al. v. Argyle Coin LLC	7/12/2019	S.D.FI.	19-cv-22899	Securities Act §§ 5(a) and (c); Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 17(a)(1), (2) and (3); Florida securities law violations	
Invictus Hyperion v. Menlo, Inc., et al.	7/1/2019	S.D.N.Y.	19-cv-06146	Securities Act §§ 5(a) and (c); breach of contract; fraudulent misrepresentation; negligent misrepresentation; fraudulent concealment; breach of duty of good faith and fair dealing; alter ego liability; civil conspiracy	
Anuwave LLC v. Coinbase	6/27/2019	D. Del.	19-cv-01226	Patent Infringement	Notice of Voluntary Dismissal with Prejudice
In re Cryptopia Limited (In Liquidation)	5/24/2019	U.S. Bankruptcy Court, S.D.N.Y.	19-11688	Requesting relief under Chapter 15 of U.S. Bankruptcy Code	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Grablis, et al. v. OneCoin Ltd., et al.	5/7/2019	S.D.N.Y.	19-cv-4074	Securities Act § 12(a); Securities Act § 15(a); breach of contract; unjust enrichment; fraudulent inducement; fraudulent misrepresentation; negligent misrepresentation; conversion; civil conspiracy	
Lightwire, LLC v. Zerocoin Electric Coin Company, LLC	5/3/2019	D. Colo.	19-cv-1292	Patent Infringement	Notice of Voluntary Dismissal Without Prejudice
Alm, et al. v. Spence, et al.	5/3/2019	S.D.N.Y.	19-cv-4005	Fraud; negligent misrepresentation; breach of fiduciary duty; breach of contract; conversion; unjust enrichment; accounting	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Polites v. Alchemy Finance, Inc., et al.	4/30/2019	S.D.N.Y	19-cv-03862	Breach of contract; fraudulent misrepresentation; negligent misrepresentation; fraudulent concealment; unjust enrichment; breach of implied duty of good faith & fair dealing; RICO Sections 1962(a), (b), (c) and (d); civil conspiracy; civil aiding & abetting	Notice of Voluntary Dismissal with Prejudice
Fasulo v. Xtrade Digital Assets Inc., et al.	4/26/2019	S.D.N.Y.	19-cv-03741	Securities Act § 5 (failure to comply with Regulation D); Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(A) (control person liability); Securities Act §§ 5 and 12(a)(1) (unregistered securities); Securities Act § 15; fraud; restraining order	
Hunichen v. Atonomi LLC et al.	4/25/2019	W.D. Wa	19-cv-00615	Washington Securities Act, RCW 21.20.430	
Silverman v. Payward, Inc.	4/4/2019	S.D.N.Y.	19-cv-02997	Breach of contract; quantum meruit; unjust enrichment	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
<u>GSR Markets Limited v. Diana McDonald, et al.</u>	3/1/2019	N.D. Ga	19-cv-01005	TRO/injunction; fraud; breach of contract; breach of fiduciary duty; negligence; conspiracy; conversion; aiding and abetting (fraud, fiduciary duty, conversion); unjust enrichment; accounting	
<u>Ball and Toth v. DG Rollins, et al.</u>	2/18/2019	D. Ore	19-cv-00242	Declaratory judgment – successor liability; fraudulent transfer (ORS Ch. 95, <i>et seq.</i>); fraudulent transfer, (O.R.S. § 95.230, <i>et seq.</i>); piercing the corporate veil; deceit by misrepresentation & concealment; civil conspiracy	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Garrison and Garrison v. Ringgold et al.	2/4/2019	S.D. Cal	19-cv-00244	Exchange Act § 10(b) and Rule 10b-5; California Corporate Securities Law (Cal. Corp. Code §§ 25000 <i>et seq.</i>); Financial Abuse of an Elder (Cal. Welf. & Inst. Code §§15610)	Order Granting in Part and Denying in Part Defendant's Motion to Dismiss with Leave to Amend Order Granting Plaintiffs/Counterdefendants' Motion to Dismiss Counterclaim as Unopposed and Denying Plaintiffs/Counterdefendants' Request for Attorney's Fees
Lijun Sun v. Blue Ocean Capital Group, Inc. et al.	2/1/2019	S.D.N.Y.	19-cv-01033	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a); Section 5(a) & 5(c) of the Securities Act; Securities Act § 12(a)(1); Securities Act § 15(a); Fraud	
Mark Owen, individually and on behalf of others similarly situated v. Elastos Foundation et al.	1/31/2019	Supreme Court of New York, County of New York	650628/2019	Securities Act § 5(a) and (c); Securities Act § 12(a)(1); Securities Act § 15(a);	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
ZG Top Technology Co., Lt. v. John Doe	1/22/2019	W.D.Wa	19-cv-92	Computer Fraud and Abuse Act (18 U.S.C. § 1030 et seq.); Washington Cybercrime Act (RCW 9A.90.050 and RCW 9A.90.100); conversion	
Wu, et al. v. Bitfloor, Inc., et ano.	1/9/2019	S.D.N.Y.	19-cv-0238	Section 6(c)(1) of the Commodity Exchange Act (“CEA”) and Regulation 180.1(a); larceny by conversion (NY Penal Law 155); fraudulent misrepresentation; breach of fiduciary duty; loss of opportunity; negligent misrepresentation; unjust enrichment; bailment and/or constructive trust	
Emerging Markets Intrinsic Cayman, Ltd., et al. v. Kadena LLC, et al.	1/4/2019	Supreme Court of New York, County of Kings	500262/2019	Breach of contract; duty of good faith and fair dealing; declaratory judgment; fraud; quantum meruit	
Factset Research Systems Inc. v. CG Blockchain, Inc.	1/3/2019	Supreme Court of New York, County of New York	650027/2019	Breach of contract; unjust enrichment	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Fabian, individually and on behalf of other similarly situated, v. Nano f/k/a Railblocks f/k/a Hieusys, LLC et al.	1/3/2019	N.D.Cal.	19-cv-00054	Securities Act § 12(a)(1); Securities Act § 15(a); breach of contract; breach of fiduciary duty; aiding and abetting breach of fiduciary duty; fraud; negligent misrepresentation; constructive fraud; unjust enrichment; civil conspiracy	Order Granting in Part and Denying in Part Motion to Dismiss
Adler v. Payward, Inc.	9/5/2018	S.D.N.Y.	18-cv-08100	Breach of Contract; Breach of Good Faith and Fair Dealing; Statutory Damages for Failure to Pay Sales Commissions; New York Labor Law and New York Wage Theft Prevention Act	
Terpin v. Truglia, et al.	12/28/2018	Superior Court of California, County of Los Angeles	18STCV09875	Conversion; money had and received; Penal code § 502 (unauthorized access of computers); Section 1962(c) of the RICO Act; imposition of constructive trust	Notice of Entry of Judgment against Defendant Truglia

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Oto, individually and on behalf of others similarly situated v. NVIDIA Corp., et al.	12/28/2018	N.D.Cal.	18-cv-07783	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a)	
Corram Holdings, LLC v. Edith A. Pardo Mehler a/k/a Edith A. Pardo et al.	12/27/2018	Supreme Court of New York, County of New York	162155/2018	Breach of contract; fraud; violation of Judiciary Law § 487; injunctive relief; order of attachment; piercing the corporate veil	
Lageman, et al. v. Spence, et al.	12/26/2018	S.D.Fla.	18-cv-12218	Fraudulent inducement; breach of fiduciary duty; fraudulent misrepresentation; negligent misrepresentation; rescission; unjust enrichment; conversion; civil conspiracy; accounting; imposition of a constructive trust	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Blocktree Props., LLC et al. v. Pub. Utility Dist. No. 2 of Grant Cty. Wash	12/19/2018	E.D.Wa	18-cv-390	Injunctive relief, a declaratory judgment, and damages under the Commerce Clause, the Due Process Clause of the Fifth Amendment as applied to the states through the Fourteenth Amendment, 42 U.S.C. §§ 1983 & 1988, the Federal Power Act, RCW Title 54, and the Constitution of the State of Washington	
Schafer, et al. v. Graf, et al.	12/14/2018	N.D.Ill.	18-cv-08236	Breach of contract; constructive fraud; conversion; fraud and misrepresentation in the offer and sale of securities; Exchange Act § 10(b) and Rule 10b-5	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Auctus Fund, LLC, et ano. v. Sunstock, Inc.	12/13/2018	D.Mass.	18-cv-12568	Securities Act §12(a)(2); Exchange Act § 10(b) and Rule 10b-5; Mass. Uniform Securities Act §§ 101; breach of contract; breach of implied covenant of good faith and fair dealing; unjust enrichment; breach of fiduciary duty; fraud & deceit; negligent misrepresentation; Mass. Consumer Protection Act (M.G.L. c. 93A §§ 2 & 11)	
United American Corp. v. Bitmain, Inc. et al.	12/6/2018	S.D.Fla.	18-cv-25106	Violation of Section 1 of the Sherman Act; negligent misrepresentation; negligence; equitable estoppel; unjust enrichment; conversion; injunctive relief	
818Computer, Inc. v. Sentinel Insurance Company, Ltd., et al.	12/5/2018	Sup. Ct. CA Cty of Los Angeles	19-cv-00009	Breach of contract breach of implied covenant of good faith and fair dealing; violation of business and professional code Section § 17200, <i>et seq.</i> , Negligent Misrepresentation	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Blockchain Mining Supply and Services Ltd., v. Super Crypto Mining, Inc., and DPW Holdings, Inc.	11/28/2018	S.D.N.Y.	18-cv-11099	Breach of contract; promissory estoppel	
Patterson et al. v. Budbo, Inc. et al.	11/20/2018	W.D.Tex	18-cv-998	Breach of Fiduciary Duty & Conversion; Common Law and Securities Fraud in Violation of Rule 10b-5; Ultra Vires Acts (§124(1) of the Delaware Corporation Law)	
Galavis v. Bank of America and Visa	11/8/2018	C.D.Cal.	18-cv-9490	15 U.S.C. § 1601 (Truth in Lending Act); breach of contract; tortious interference; declaratory judgment	
In re Giga Watt Inc.	11/19/2018	E.D.Wa	18-br-3197	Chapter 11 Bankruptcy Filing	
Loong Chee Min et ano v. Longfin Corp. et al.	11/14/2018	S.D.N.Y.	18-cv-10635	Securities Act §12(a)(2); Securities Act §15(a); Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a); Fraud	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Cryplex, Inc. v. Bitmain Technologies Holding Company	11/8/2019	Santa Clara County Superior Courts, California	18-cv-337836	breach of contract (nondisclosure agreement); misappropriation of trade secrets; breach of contract (MOU); & violation of California's unfair competition law (UCL)	Order overruling the demurrer to the first, second and third causes of action, and sustaining with 10 days leave to amend the demurrer to the fourth cause of action
Smoak v. Bitcoin Market, LLC, et al.	11/7/2018	W.D.Ok.	18-cv-1096-G	Breach of contract	Second Amended Complaint
Bitmain v. Doe	11/7/2018	W.D.Wa.	18-cv-1626	CFAA, 18 U.S.C. § 1030(a)(5)(A)(ii), (iii) (unauthorized access); Washington Cybercrime Act, CWA § 9A.90.040 (computer trespass in the second degree); Washington Cybercrime Act, CWA § 9A.90.100 (electronic data theft); conversion	Plaintiff's Voluntary Notice of Dismissal Without Prejudice
Beranger v. Harris et al.	11/1/2018	N.D. Ga	18-cv-05054	Securities Act §12(a); Securities Act §15(a); Control Person Liability under the Georgia Uniform Securities Act	Order granting in part, and denying in part Defendants' motion to dismiss First Amended Complaint
Weathersbee v. Meenavalli et al. (Longfin)	11/1/2018	S.D.N.Y.	18-cv-10182	Derivative complaint for breach of fiduciary duties; unjust enrichment; abuse of control; corporate waste	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Fintz v. O'Rourke (Riot Blochchain)	10/22/2018	S.D.N.Y.	18-cv-9640	Derivative complaint for breach of fiduciary duties; unjust enrichment; corporate waste	
Clarity LLC v. CG Blockchain, Inc.	10/19/2018	Supreme Court of New York, County of New York	655211/2018	Breach of contract; unjust enrichment; account stated	
[Confidential T-Mobile Customer] v. T-Mobile USA, Inc.	10/11/2018	American Arbitration Association	01-18-0003-7835	Declaratory judgment (unenforceability of T-Mobile consumer agreement as unconscionable); breach of Fed. Comm. Act (47 U.S.C. §§ 206.222) ("FCA"); breach of implementing regs. of FCA (47 U.S.C. § 64.2001 et seq.); negligence; negligent misrepresentation; negligent training & supervision; breach of contract; breach of implied contract; breach of covenant of good faith and fair dealing	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
[Confidential AT&T Customer] v. AT&T, Inc., AT&T Mobility, LLC a/k/a AT&T Wireless	10/11/2018	American Arbitration Association	01-18-0003-7841	Declaratory judgment (unenforceability of AT&T consumer agreement as unconscionable); breach of Fed. Comm. Act (47 U.S.C. §§ 206.222) (“FCA”); breach of implementing regs. of FCA (47 U.S.C. § 64.2001 <i>et seq.</i>); negligence; negligent misrepresentation; negligent training & supervision; breach of contract; breach of implied contract; breach of covenant of good faith and fair dealing	
Wanlin Wang, Bibox Grou Holdings, Ltd. v. Wei Liu	10/10/2018	Supreme Court of New York, County of New York.	655050/2018	Fraud; conversion; unjust enrichment; breach of contract; unfair competition; faithless servant; tortious interference; constructive trust; declaratory relief; permanent injunction	
Klingberg v. MGT Capital Investments et al.	9/28/2018	D.N.J.	18-cv-14380	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 9(a) and (f); Exchange Act § 20(a)	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Blockchain Luxembourg S.A. v. Paymium, SAS	9/20/2018	S.D.N.Y.	18-cv-8612	Trademark infringement; unfair competition; false advertising; deceptive acts and practices; injury to business reputation and dilution; misappropriation	
Rothesay Ltd., individually and derivatively on behalf of The Iconic Deo Volente Corp. v. Patrick Damien O'Brien et al.	9/12/2018	Del. Ch. Ct.	2018-0674	Breach of fiduciary duty (usurping corporate opportunity and self-dealing); aiding and abetting breach of fiduciary duty; intentional interference with business relations; civil conspiracy; unjust enrichment	
Winklevoss Capital Fund, LLC v. Shrem	9/11/2018	S.D.N.Y.	18-cv-08250	Breach of fiduciary duty; fraud; constructive trust; accounting	Order of prejudgment attachment Order denying Plaintiff's motion to confirm order of attachment Order denying Defendant's motions to dismiss and to strike

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Martinangeli v. Akerman, LLP	9/4/2018	S.D.Fla.	18-cv-23607	Fraudulent inducement; negligent misrepresentations; negligent retention and supervision; constructive trust/disgorgement	Order dismissing case
John Hastings, individually and on behalf of others similarly situated v. Unikrn, Inc., a Delaware Corporation; Unikrn Bermuda, Ltd, a Bermuda corporation; Rahul Sood, an individual, Karl Flores, an individual, and DOES 1-25	8/13/18	Superior Court of Washington for King County	18-2-20306-6	Securities Act § 5; Securities Act § 12(a)(1); Securities Act § 15	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Michael Terpin v. AT&T INC.; AT&T Mobility, LLC; and DOES 1-25	8/15/2018	C.D.Ca	18-cv-6975	Declaratory relief; Unenforceability of consumer agreement as unconscionable and contrary to public policy; Federal Communications Act 47 U.S.C. §§ 206, 222 (Unauthorized disclosure of customer confidential proprietary information and proprietary network information); Cal. Penal Code § 502 <i>et seq.</i> (Assisting unlawful access to computer); Cal. Bus. & Prof. Code § 17200 <i>et seq.</i> (Unlawful business practice); Cal. Bus. & Prof. Code § 17200 <i>et seq.</i> (Fraudulent business practice); Cal. Civ. Code § 1750 <i>et seq.</i> (CA Consumer Legal Remedies Act); Cal. Civ. Code §§ 1709, 1710 (Deceit by concealment); Misrepresentation; Negligence; Negligent supervision and training; Negligent hiring; Breach of contract; Breach of covenant of good faith and fair dealing	Order granting, in part, and denying, in part, Defendants' motion to dismiss and denying Defendants' motion to strike

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Johnsen v. Kirtz et al	8/2/2018	S.D.Fla.	18-cv-81019	Exchange Act § 10(b) and Rule 10b-5; Securities Act § 5; Texas Securities Act; Florida fraudulent transfer	
Greenwald v. Ripple Labs, Inc	8/8/2018	N.D.Ca	18-cv-04790	Securities Act § 5; Securities Act § 12(a)(1); Securities Act § 15	
Gladius Network LLC v. Krypton Blockchain Holdings Ltd.	7/23/2018	D.D.C.	18-cv-1713	Declaratory judgment; misrepresentation	
Srinivasan v. Kenna, et al.	7/2/2018	N.D. Cal.	18-cv-3977	Breach of warranty; Intentional misrepresentation; Negligent misrepresentation; Conversion; Violation of CA. Unfair Competition Act	Order granting defendants' motion to dismiss Order granting defendants' motion to dismiss second amended complaint
Joseph Bents,derivatively on behalf of Longfin Corp. v. Venkat S Meenavalli; Vivek K Ratakonda; Ghanshyam Dass; Yogesh Patel; Linda M Gaddi; David Nichols; John Parker; Henry Wang; Longfin Corp.	6/26/2018	Supreme Court of New York, County of New York	653216/2018	Breach of fiduciary duty; Unjust enrichment; Abuse of control; Gross mismanagement; Waste of corporate assets	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Balestra v. Cloud With Me LTD., Gilad Somjen, and Asaf Zamir	6/19/2018	W.D.Pa.	05-mc-02025	Securities Act § 12(a)(1); Securities Act § 15(a)	
Solis v. Latium Network, Inc. et al.	6/6/2018	D.N.J.	18-cv-10255	Securities Act § 5(a); Securities Act § 15(a)	Defendants' Motion to Dismiss Denied
Founder Starcoin, Inc. v. Launch Labs Inc. (d/b/a Axiom Zen)	5/16/2018	S.D.Ca	08-cv-972	Breach of contract; trade secret misappropriation; intentional interference with prospective economic advantage; and unfair competition	Case closed following notice of voluntary dismissal
Telegram Messenger Inc v. Lantah, LLC	5/11/2018	N.D.Ca	18-cv-02811	False designation of origin; trademark infringement; unfair competition	
Denke v. Citibank	5/8/2018	S.D.N.Y.	18-cv-4133	15 U.S.C. § 1601 (Truth in Lending Act)	
Coffey v. Ripple Labs et al.	5/3/2018	Superior Court of California, San Francisco County (removed to N.D.Ca)	18-cv-03286	Securities Act § 5, § 12(a)(1); Cal. Corp. Code § 25110, 25503 (unregistered sale of securities); Securities Act § 15; Cal. Corp. Code § 25110, 25504 (control person liability)	Order denying plaintiff's motion to remand case to state court Voluntary Dismissal Without Prejudice
Eckhardt v. State Farm Bank	5/2/2018	C.D. Ill.	18-cv-1180	Truth in Lending Act (15 U.S.C. § 1601 et seq.), Regulation Z, breach of contract	Motion to dismiss granted in part, denied in part

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Chen Wei v. Longfin Corp., et al	4/19/2018	S.D.N.Y.	18-cv-3462	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a)	Dismissal without prejudice
Tucker v. Chase Bank USA, N.A.	4/10/2018	S.D.N.Y.	18-cv-3155	Truth in Lending Act (15 U.S.C. § 1601 et seq.); Regulation Z	Decision on motion to dismiss (partially granted; partially denied)
Squeeze, LLC v. Biricik, LLC and Cemhan Biricik	4/9/2018	Circuit Court for the Fifteenth Judicial Circuit, Palm Beach County, Florida	50-18-CA-004290-XXXX-MB	Rescission of Agreements; Fraudulent Inducement; Conversion; Unjust Enrichment	
Liston v. Peterson et al. (Forecast Foundation)	4/9/2018	Superior Court of California, San Francisco County	CGC-18-565915	Fraud, declaratory judgment, conspiracy to commit fraud, breach of contract, and breach of implied duty of good faith and fair dealing	Amended complaint as of 5/10/2018
Miller v. Longfin Corp. et al.	4/9/2018	S.D.N.Y.	18-cv-3121	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a)	
Dunleavy v. Lux Vending, LLC	4/6/2018	S.D.Fl.	18-cv-21367	Telephone Consumer Protection Act (47 U.S.C. § 227)	Dismissal without prejudice

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Brola v. Nano et al.	4/6/2018	E.D.N.Y.	18-cv-2049	Securities Act §§ 12(a)(1) and 15; negligent misrepresentation; unjust enrichment; civil conspiracy	Voluntary dismissal with prejudice
Alibaba Group Holding Ltd. v. Alibabacoin Foundation et al.	4/2/2018	S.D.N.Y.	18-cv-2897	Trademark infringement; unfair competition; false advertising; trademark dilution (federal and New York state)	Order denying Preliminary Injunction Opinion and Order Granting Renewed Application for Preliminary Injunction Opinion and Order denying Defendants' motion to dismiss
Babiak v. Mizuho Bank, Ltd.	3/28/2018	E.D.Va	18-cv-352	Tortious interference with contract	Order granting Defendant's motion to dismiss Judgment dismissing case
Greenhouse v. Polychain Fund I LP, et al.	3/26/2018	Del. Ch.	2018-0214	Records request (DGCL § 220)	Stayed pending arbitrator's decision on arbitrability Memorandum and Order granting Defendant's motion on the pleadings
Moss v. Giga Watt	3/19/2018	E.D.Wa.	18-cv-100; 18-cv-103	Securities Act §§ 12(a)(1) and 15; Washington Securities Act RCW 21.20; rescission	Consolidation Order

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Anotek LLC v. Cryptotickets S.A.	3/13/2019	D. Del.	18-cv-398	Breach of Contract; Breach of Implied Covenant of Good Faith and Fair Dealing; Unjust Enrichment	Notice of Settlement
Faasse v. Coinbase, Inc.	3/2/2018	N.D.Ca.	18-cv-1382	California's Unclaimed Property Law, Cal. Civ. Proc. Code §§ 1500, et seq.; Unlawful and Unfair Business Practices, Cal. Bus. Prof. Code §§ 17200; conversion	Dismissed sua sponte for lack of subject matter jurisdiction Joint Stipulation of Voluntary Dismissal
Berk v. Coinbase, Inc.	3/1/2018	N.D.Ca.	18-cv-1364	California Unfair Competition Law; negligence and negligent misrepresentation, Commodities Exchange Act	Dismissed without prejudice (except for CEA claim, which was dismissed with prejudice) Order denying motion to compel; granting in part and denying in part motion to dismiss
White v. Sharabati	2/18/2018	Superior Court of the State of Delaware	N18C-02-170	Replevin (DE common law); 11 Del. C. § 931, et seq. (Misuse of Computer System Information Act); Fraud; Conversion; Unjust Enrichment; 10 Del. C. § 6501 (Declaratory Relief)	Opinion granting Defendant's motion to dismiss for lack of personal jurisdiction and staying Defendant's motion for return or escrow of funds garnished under the vacated default judgment

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Takata v. Riot Blockchain	2/17/2018	D.N.J.	18-cv-2293	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a)	
Kleiman v. Wright	2/14/2018	S.D.Fl.	18-cv-80176	Conversion; misappropriation; replevin; breach of fiduciary duty; breach of partnership agreement; unjust enrichment	Order Granting Motion to Stay Discovery Order Denying Defendant's Motion for Judgment on the Pleadings
Ezra C. Sultan v. Coinbase, Inc.	2/13/2018	E.D.N.Y.	18-cv-00934	Negligence; Breach of Contract; Breach of Bailment; Gross Negligence	Memorandum and Order Compelling Arbitration
Kline v. Bitconnect et al.	2/7/2018	M.D.Fl.	18-cv-319	Securities Act §§ 5(a) and 5(c); Securities Act §§ 12(a)(1) and 15; Securities Act § 17(a); Exchange Act § 20(a); common law fraud; aiding and abetting; FDUPTA; Fla. Stat. § 517.011; Rhode Island Gen. Laws § 6-13.1 et seq. (consumer protection); Rhode Island Gen. Laws § 7-11 (securities laws)	Transferred to S.D. Fl.

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Tapang v. T-Mobile USA, Inc.	2/4/2018	W.D.Wa.	18-cv-167	FCA § 222; breach of contract; negligence; Washington Consumer Protection Act 19.86 et seq.; negligent hiring, retention, and supervision; negligent infliction of emotional distress	
Kimmelman v. Wayne Insurance Group	2/1/2018	Oh. Ct. of Common Pleas, Franklin County	18-cv-1041	Breach of contract; lack of good faith	Decision and Entry Denying Defendant's Motion for Judgment on the Pleadings
Davy v. Paragon Coin, Inc.	1/30/2018	N.D.Ca.	18-cv-671	Securities Act §§ 12(a)(1) and 15(a)	Default Judgment entered as to defendant Taylor, aka "The Game"
Paige v. Bitconnect et al.	1/29/2018	W.D.Ky.	18-cv-58	Kentucky securities laws (KRS 292.310 et seq.); Securities Act §§ 5(a) and 5(c); breach of contract; fraud by concealment; Kentucky Consumer Protection Act, KRS 367.120	Order granting preliminary injunction against Defendant Ryan Maasen Order extending temporary restraining order as to Bitconnect Defendants

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Pearce v. Karpeles	1/24/2018	E.D.Pa	18-cv-306	Negligence; fraud; tortious interference with contract	Memorandum and Opinion granting Mizuho's motion to dismiss for lack of personal jurisdiction Order granting Mizuho's motion to dismiss for lack of personal jurisdiction and dismissing Mizuho from case Order denying Karpeles motion to dismiss for lack of personal jurisdiction
Wildes et al. v. Bitconnect Int'l PLC et al.	1/24/2018	S.D.Fl.	18-cv-80086	Securities Act §§ 5(a) and 5(c); Securities Act § 17(a); rescission; Fla. Stat. § 517.011; FDUPTA; fraudulent inducement; fraudulent misrepresentation; negligent misrepresentation; conversion; civil conspiracy	Order denying motion for temporary restraining order Consolidation Order
Hamel derivatively on behalf of The Crypto Company v. Poutre et al.	1/24/2018	C.D.Ca.	18-cv-616	Breach of fiduciary duty; unjust enrichment	Order transferring case to Judge Snyder

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Peng Li Secretary of the Interior v. Xunlei Limited; Lei Chen; Eric Zhou; Tao Thomas Wu	1/18/2018	S.D.N.Y.	18-cv-646;	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a)	Consolidation Order
Dookeran v. Xunlei Ltd.	1/18/2018	S.D.N.Y.	18-cv-467	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a)	Opinion & Order granting Defendants' motion to dismiss
Shaw v. Vircorex et al.	1/10/2018	D. Colo.	18-cv-67	Breach of contract; conversion; constructive fraud; unjust enrichment	Default judgment entered against Defendants Plaintiff's motion for default judgment denied without prejudice, dismissing case without prejudice Case dismissed
Stormsmedia, LLC v. GigaWatt, Inc.	12/28/2017	E.D.Wa.	17-cv-438	Securities Act §§ 5(a) and 5(c); rescission	Case dismissed
Balestra v. ATBCoin LLC	12/21/2017	S.D.N.Y.	17-cv-10001	Securities Act §§ 12(a)(1) and 15(a)	Motion to dismiss denied (finding that token was a security under <i>Howey</i>, and that personal jurisdiction existed)
Shepherdson v. The Crypto Company	12/21/2017	C.D.Ca.	17-cv-9157	Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a)	Case dismissed

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Hodges v. Monkey Capital	12/19/2017	S.D.Fl.	17-cv-81370	Securities Act §§ 5(a) and 5(c); Securities Act § 17(a); rescission; alter ego; Fla. Stat. § 517.011; FDUPTA	Final Default Judgment Order on Plaintiffs' Motion for Summary Judgment (against Pro Se Defendant) Final Judgment Awarding Damages
Rensel v. Centra Tech, Inc. et al.	12/13/2017	S.D.Fl.	17-cv-24500	Securities Act §§ 12(a)(1) and 15(a)	Order granting Plaintiff's renewed motion for TRO and finding that token is a security under <i>Howey</i> test. Omnibus Order granting Defendants' Motions to Dismiss
MacDonald v. Dynamic Ledger Solutions et al. (Tezos)	12/13/2017	N.D.Ca.	17-cv-7095	Cal. Corp. Code § 25110; unfair competition	
Oksuko v. Dynamic Ledger Solutions et al. (Tezos)	11/28/2017	N.D.Ca.	17-cv-6829	Securities Act §§ 12(a)(1) and 15(a)	
GGCC v. Dynamic Ledger Solutions et al. (Tezos)	11/26/2017	N.D.Ca.	17-cv-6779	Securities Act §§ 5(a) and 5(c); Securities Act § 15	Motions to dismiss by Defendants Dynamic Ledger Solutions and Tezos Foundation denied; Motions to dismiss by Defendants Bitcoin Suisse and Draper granted;

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Gaviria v. Dynamic Ledger Solutions et al. (Tezos)	11/13/2017	M.D.Fl.	17-cv-1959	Securities Act §§ 5(a) and 5(c); Securities Act § 17(a); rescission; alter ego; Fla. Stat. § 517.011; FDUPTA	Case dismissed without prejudice following Plaintiff's notice of voluntary dismissal
Confidential v. Payward, Inc. (Kraken)	10/31/2017	JAMS arbitration		Negligence; breach of contract; unjust enrichment; fraudulent inducement; fraudulent misrepresentation; negligent misrepresentation	
Baker v. Dynamic Ledger Solutions et al. (Tezos)	10/25/2017	Superior Court of California, County of San Francisco	CGC-17-562144	Securities Act §§ 5(a) and 5(c); Securities Act § 17(a); false advertising; unfair competition; alter ego	Order granting Defendant Tezos Stiftung's Motion to Quash Service of Summons
Elev3n, LLC v. Vanbex Group, Inc.	9/29/17	E.D.Pa.	17-cv-4350	CAFA (18 U.S.C. § 1030); conversion; copyright violations; breach of contract; unjust enrichment; declaratory judgment	Order on motion to dismiss; voluntary stipulation of dismissal
R3 HoldCo LLC v. Ripple Labs, Inc.	9/8/2017	Delaware Chancery	2017-0652	Breach of contract; tortious interference with contract	Dismissal for lack of personal jurisdiction over an indispensable party

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Leidel v. Coinbase, Inc.	12/13/2016	S.D.Fl.	16-cv-81992	Aiding and abetting breach of fiduciary duty; conversion; negligence; unjust enrichment	Denial of motion to compel arbitration Order granting Defendant's motion to stay litigation pending appeal Appellate order affirming denial of motion to compel arbitration Order denying without prejudice plaintiff's motion for a protective order
Leidel and Wilson v. Project Investors Inc. (Cryptsy)	12/13/2016	S.D.Fl.	16-cv-80060	Conversion; negligence; unjust enrichment; specific performance; FDUPTA; injunctive relief; fraudulent conveyance; civil conspiracy	Settlement Order
Bitstamp Ltd. v. Ripple Labs et al.	4/1/2015	N.D.Ca.	15-cv-1503	Interpleader	Joint stipulation and order to dismiss
Raggio v. Mt. Gox et al.	9/18/2014	Cir. Ct. of Hinds Cty, Miss.	14-cv-00071	Negligence, gross negligence, fraud, conversion, breach of contract, unjust enrichment, UCC	

Filing name	Filing Date	Court	Docket #	Causes of Action / Relevant Authority	Rulings / Orders of Note
Liquid Bits v. Shavers	8/4/2014	S.D.Fla.	14-cv-61771	FDUPTA; fraudulent inducement; civil theft statute (Fla. Stat. 772.11); Florida SPIA (Fla. Stat. 517.011)	Final default judgment

Select U.S. Regulatory Pronouncements

Date	Topic
SEC	
10/28/2019	No-Action Letter (Paxos Trust Company, LLC) [and Request Letter]
10/11/2019	Notice of Filing of Proposed Rule Change Related to Adopting Rules to Govern the Trading of Equity Securities on the Exchange Through a Facility of the Exchange Known as the Boston Security Token Exchange LLC
10/11/2019	Joint Statement on Activities Involving Digital Assets (CFTC, FinCEN, SEC)
10/9/2019	Self-Regulatory Organizations: NYSE Arca, Inc.; Order Disapproving a Proposed Rule Change, as Modified by Amendment No. 1, Relating to the Listing and Trading of Shares of the Bitwise Bitcoin ETF Trust Under NYSE Arca Rule 8.201-E
7/25/2019	No-Action Letter (Pocketful of Quarters, Inc.) [and Request Letter]
7/8/2019	SEC/FINRA Joint Staff Statement on Broker-Dealer Custody of Digital Asset Securities
4/3/2019	Framework for “Investment Contract” Analysis of Digital Assets (Strategic Hub for Innovation and Financial Technology (“FinHub”))
4/3/2019	No-Action Letter (TurnKey Jet, Inc.) [and Request Letter]
3/15/2019	SEC Staff to Hold Fintech Forum to Discuss Distributed Ledger Technology and Digital Assets
3/7/2019	Letter Response From Jay Clayton to Hon. Ted Budd re: Application of Federal Securities Laws to Digital Assets
11/16/2018	Statement on Digital Asset Securities Issuance and Trading
10/23/2018	Improving Information For Investors In The Digital Age
10/19/2018	Request Form for FinTech-Related Meetings and Other Assistance
10/11/2018	Investor Alert: Watch Out For False Claims About SEC And CFTC Endorsements Used To Promote Digital Asset Investments

Date	Topic
9/20/2018	<u>Measuring the Impact of the SEC's Enforcement Program</u> (Stephanie Avakian, Co-Director, Division of Enforcement)
9/20/2018	<u>Statement on Order of Suspension of Trading of Certain Bitcoin/Ether Tracking Certificates</u> (Division of Trading and Markets and Division of Corporation Finance)
8/22/2018	<u>Self-Regulatory Organizations; NYSE Arca, Inc.; Order Disapproving a Proposed Rule Change to List and Trade the Shares of the ProShares Bitcoin ETF and the ProShares Short Bitcoin ETF</u>
8/22/2018	<u>Self-Regulatory Organizations; Cboe BZX Exchange, Inc.; Order Disapproving a Proposed Rule Change to List and Trade the Shares of the GraniteShares Bitcoin ETF and the GraniteShares Short Bitcoin ETF</u>
8/22/2018	<u>Self-Regulatory Organizations; NYSE Arca, Inc.; Order Disapproving a Proposed Rule Change Relating to Listing and Trading of the Direxion Daily Bitcoin Bear 1X Shares, Direxion Daily Bitcoin 1.25X Bull Shares, Direxion Daily Bitcoin 1.5X Bull Shares, Direxion Daily Bitcoin 2X Bull Shares, and Direxion Daily Bitcoin 2X Bear Shares Under NYSE Arca Rule 8.200-E</u>
8/7/2018	<u>Self-Regulatory Organizations; 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 SolidX Bitcoin Shares Issued by the VanEck SolidX Bitcoin Trust</u>
7/26/2018	<u>Self-Regulatory Organizations; Bats BZX Exchange, Inc.; Order Setting Aside Action by Delegated Authority and Disapproving a Proposed Rule Change, as Modified by Amendments No. 1 and 2, to List and Trade Shares of the Winklevoss Bitcoin Trust</u>
6/15/2018	<u>Self-Regulatory Organizations; NYSE Arca, Inc.; Notice of Designation of a Longer Period for Commission Action on Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change to List and Trade the Shares of the ProShares Bitcoin ETF and the ProShares Short Bitcoin ETF under NYSE Arca Rule 8.200-E, Commentary .02</u>
6/14/2018	<u>Digital Asset Transactions: When Howey Met Gary (Plastic)</u> (speech by William Hinman, Director, Division of Corporation Finance)

Date	Topic
5/22/2018	<u>Statement on NASAA's Announcement of Enforcement Sweep Targeting Fraudulent ICOs and Crypto-Asset Investment Products</u>
5/16/2018	<u>Statement from the Co-Directors, Division of Enforcement, re: Oversight of the SEC's Division of Enforcement</u>
5/15/2018	<u>"HoweyCoins" website (SEC Investor Advisory)</u>
4/23/2018	<u>Order Instituting Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change Relating to Listing and Trading of the Direxion Daily Bitcoin Bear 1X Shares, Direxion Daily Bitcoin 1.25X Bull Shares, Direxion Daily Bitcoin 1.5X Bull Shares, Direxion Daily Bitcoin 2X Bull Shares and Direxion Daily Bitcoin 2X Bear Shares Under NYSE Arca Rule 8.200-E</u>
4/5/2018	<u>Order Instituting Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change to List and Trade the Shares of the GraniteShares Bitcoin ETF and the GraniteShares Short Bitcoin ETF Under BZX Rule 14.11(f)(4), Trust Issued Receipts</u>
3/23/2018	<u>Order Instituting Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change to List and Trade the Shares of the ProShares Bitcoin ETF and the ProShares Short Bitcoin ETF under NYSE Arca Rule 8.200-E, Commentary .02</u>
3/7/2018	<u>Statement on Potentially Unlawful Online Platforms for Trading Digital Assets</u>
2/6/2018	<u>Written Testimony of Jay Clayton Before the United States Senate Committee on Banking, Housing, and Urban Affairs: "Virtual Currencies: The Oversight Role of the U.S. Securities and Exchange Commission and the U.S. Commodity Futures Trading Commission"</u>
1/25/2018	<u>Statement by SEC Chairman Jay Clayton and CFTC Chairman J. Christopher Giancarlo: Regulators are Looking at Cryptocurrency</u>
1/22/2018	<u>Opening Remarks At The Securities Regulation Institute</u>
1/19/2018	<u>Joint statement from CFTC and SEC Enforcement Directors Regarding Virtual Currency Enforcement Actions</u>
1/18/2018	<u>Staff Letter: Engaging on Fund Innovation and Cryptocurrency-related Holdings</u>
12/11/2017	<u>Statement on Cryptocurrencies and Initial Coin Offerings</u>

Date	Topic
11/8/2017	Governance and Transparency at the Commission and in Our Markets
11/1/2017	Statement on Potentially Unlawful Promotion of Initial Coin Offerings and Other Investments by Celebrities and Others
8/28/2017	Investor Alert: Public Companies Making ICO-Related Claims
7/25/2017	SEC Issues Investigative Report Concluding DAO Tokens, a Digital Asset, Were Securities
5/7/2014	Investor Alert: Bitcoin and Other Virtual Currency-Related Investments
7/1/2013	Investor Alert: Ponzi Schemes Using Virtual Currencies
CFTC	
10/11/2019	Joint Statement on Activities Involving Digital Assets (CFTC, FinCEN, SEC)
5/21/2018	Advisory with respect to Virtual Currency Derivative Product Listings
2/15/2018	Customer Advisory: Beware Virtual Currency Pump-and-Dump Schemes
2/6/2018	Written testimony of J. Christopher Giancarlo Before the United States Senate Committee on Banking, Housing, and Urban Affairs
1/19/2018	Joint statement from CFTC and SEC Enforcement Directors Regarding Virtual Currency Enforcement Actions
1/4/2018	Explanation of Oversight and Approach to Virtual Currency Markets
12/15/2017	Retail Commodity Transactions Involving Virtual Currency
12/15/2017	Customer Advisory: Understand the Risks of Virtual Currency Trading
12/1/2017	CFTC Backgrounder on Self-Certified Contracts for Bitcoin Products
10/17/2017	A CFTC Primer on Virtual Currencies
FinCEN	
10/11/2019	Joint Statement on Activities Involving Digital Assets (CFTC, FinCEN, SEC)

Date	Topic
5/9/2019	Advisory on Illicit Activity Involving Convertible Virtual Currency
5/9/2019	Application of FinCEN's Regulations to Certain Business Models Involving Convertible Virtual Currencies
4/18/2019	FinCEN Penalizes Peer-to-Peer Virtual Currency Exchanger for Violations of Anti-Money Laundering Laws
8/9/2018	Prepared Remarks of FinCEN Director Kenneth A. Blanco, delivered at the 2018 Chicago-Kent Block (Legal) Tech Conference
2/13/2018	Oversight and Enforcement Capabilities of FinCEN over Virtual Currency Financial Activities Letter
10/27/2014	Request for Administrative Ruling on the Application of FinCEN's Regulations to a Virtual Currency Payment System
1/30/2014	Application of FinCEN's Regulations to Virtual Currency Mining Operations
FINRA	
7/8/2019	SEC/FINRA Joint Staff Statement on Broker-Dealer Custody of Digital Asset Securities
7/6/2018	FINRA Encourages Firms to Notify FINRA if They Engage in Activities Related to Digital Assets
1/8/2018	2018 Regulatory and Examination Priorities Letter
New York State Attorney General's Office	
9/18/2018	Virtual Markets Integrity Initiative Report
4/17/2018	A.G. Schneiderman Launches Inquiry Into Cryptocurrency "Exchanges"
New York State Department of Financial Services	
12/11/2019	Proposed Guidance Regarding Adoption or Listing of Virtual Currencies
4/10/2019	Termination of Bittrex License to Engage in Virtual Currency Business Activity
9/10/2018	Press Release by DFS Announcing that DFS Has Authorized Gemini Trust Company LLC and Paxos Trust Company LLC to Each Offer Price-Stable Cryptocurrency Pegged to U. S. Dollar

Date		Topic
7/31/2018		Statement By DFS Superintendent Maria T. Vullo on Treasury’s Endorsement of Regulatory Sandboxes for FinTech Companies and the OCC’s Decision to Accept FinTech Charter Applications
2/7/2018		Guidance on Prevention of Market Manipulation and Other Wrongful Activity
8/8/2015		NYCRR 23:200: Virtual Currencies (BitLicense Regulations)
Office of the Director of National Intelligence		
9/2017		Risks and Vulnerabilities of Virtual Currency Cryptocurrency as a Payment Method
American Bar Association (ABA)		
3/2019		Digital and Digitized Assets: Federal and State Jurisdictional Issues
Other Regulatory Announcements		
Internal Revenue Service	10/9/2019	Revenue Ruling 2019-24 (on hard forks and airdrops), with accompanying Q&A
National Futures Association	7/20/2018	Proposed Interpretive Notice: Disclosure Requirements for NFA Members Engaging in Virtual Currency Activities
North American Securities Administrators Association	5/21/2018	State and Provincial Securities Regulators Conduct Coordinated International Crypto Crackdown
Texas State Securities Board	4/10/2018	Widespread Fraud Found In Cryptocurrency Offerings
Executive Order	3/19/2018	Executive Order on Taking Additional Steps to Address the Situation in Venezuela
FTC	3/16/2018	It’s time for a FTC Blockchain Working Group

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- [“Crypto Enforcement Actions and Litigation Report 2018”](#), *Bloomberg Law* (March 15, 2019)
- [“The SEC’s Paragon Coin and AirFox Settlements: a Path Forward?”](#), *Bloomberg Law* (November 30, 2018)
- [“Cryptocurrency and Blockchain Litigation and Regulatory Enforcement”](#), *Lexis Practice Advisor Financial Services Regulation* (November 2018)
- [“With States’ Crypto Regulation, Problems Multiply”](#), *Law360* (May 24, 2018)
- [“Jurisdictional Overreach by Regulators in Cryptocurrency Actions”](#), *Law360* (April 12, 2018)
- [“Insider Trading and Cryptocurrency: A Primer for Traders”](#), *Bloomberg Law – Securities Regulation & Law Report* (February 19, 2018)
- [“SEC, CFTC Testify to Senate Banking Committee About Hopes, Fears, and Future Actions on Cryptocurrencies”](#), *PaymentsJournal* (February 7, 2018)
- [“For Blockchain, a Coming Wave of Change?”](#), *The National Law Journal* (October 1, 2017)