



Cryptocurrency Tracker

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Presented by

MorrisonCohen_{LLP}

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For more information, please contact the MoCo Cryptocurrency Litigation team.

[Jason P. Gottlieb](#)

Partner & Chair, White Collar and Regulatory Enforcement

212.735.8837

jgottlieb@morrisoncohen.com

[Daniel C. Isaacs](#)

Senior Counsel

212.735.8653

disaacs@morrisoncohen.com

[Christopher W. Pendleton](#)

Associate

212.735.8783

cpendleton@morrisoncohen.com

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SEC Litigation and Administrative Proceedings

| Filing / Order | | |
|--|----------------------------|----------------------|
| In the Matter of Tierion, Inc. | | |
| Filing Date | Court | Docket No. |
| 12/23/2020 | SEC Administrative Release | Release No. 33-10914 |
| Causes of Action / Relevant Authority | | |
| Order Instituting Cease-and-Desist Proceedings Pursuant to Section 8A of the Securities Act. | | |

| Filing / Order | | |
|--|----------|-------------|
| SEC v. Qin | | |
| Filing Date | Court | Docket No. |
| 12/22/2020 | S.D.N.Y. | 20-cv-10849 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b); Exchange Act Rule 10b-5; Securities Act § 17(a). | | |

| Filing / Order | | |
|--|----------|-------------|
| SEC v. Ripple Labs et al. | | |
| Filing Date | Court | Docket No. |
| 12/22/2020 | S.D.N.Y. | 20-cv-10832 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b); Exchange Act Rule 10b-5; Securities Act § 17(a); Exchange Act § 9(a)(1); Securities Act §§ 5(a) & 5(c); Securities Act § 17(b); Unjust Enrichment. | | |

| Filing / Order | | |
|---|----------|------------|
| SEC v. John David McAfee and Jimmy Gale Watson, Jr. | | |
| Filing Date | Court | Docket No. |
| 10/5/2020 | S.D.N.Y. | 20-cv-8281 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 17(a) and 17 (b); Exchange Act § 10(b); Exchange Act Rule 10b-5. | | |

| Filing / Order | | |
|---|--|--|
| In the Matter of Salt Blockchain Inc. f/k/a Salt Lending Holdings, Inc. | | |

| Filing Date | Court | Docket No. |
|--|----------------------------|-------------------|
| 9/30/2020 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5(a) & 5(c). | | |
| Ruling / Orders of Note | | |
| Settlement requiring registration and \$250,000 civil penalty. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| SEC v. Flik, et al. | | |
| Filing Date | Court | Docket No. |
| 9/10/2020 | N.D. Ga. | 20-cv-3739 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b); Exchange Act Rule 10b-5; Securities Act § 17(a); Exchange Act § 9(a)(1); Securities Act §§ 5(a) & 5(c); Securities Act § 17(b); Unjust Enrichment. | | |
| Ruling / Orders of Note | | |
| Settlement requiring cease-and-desist and \$75,000 payment. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| SEC v. Millan, et al. | | |
| Filing Date | Court | Docket No. |
| 8/19/2020 | S.D.N.Y. | 20-cv-6575 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 15(a). | | |

| Filing / Order | | |
|---|----------------------------|-------------------|
| In the Matter of Plutus Financial, Inc. d/b/a Abra, et ano. | | |
| Filing Date | Court | Docket No. |
| 7/13/2020 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Securities Act § 5(e); Exchange Act § 6(l). | | |
| Ruling / Orders of Note | | |
| Settlement requiring cease-and-desist and \$150,000 civil penalty (also see CFTC settlement below). | | |

Morrison Cohen Notes

Securities-based swaps with ineligible contract participants.

Filing / Order

[SEC v. Jack Abramoff](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 6/25/2020 | N.D.Ca. | 20-cv-4190 |

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act § 5(a) & (c).

Ruling / Orders of Note

Settlement and [judgment](#) including bar and \$55,000 disgorgement.

Filing / Order

[SEC v. NAC Foundation, LLC and Rowland Marcus Andrade](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 6/25/2020 | N.D.Ca. | 20-cv-4188 |

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act § 5(a) & (c).

Ruling / Orders of Note

Order Denying Defendants' Motion to Dismiss

Filing / Order

[In the Matter of BitClave PTE Ltd.](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|-------------------|
| 5/28/2020 | SEC Administrative Release | |

Causes of Action / Relevant Authority

Sections 5(a) and 5(c) of the Securities Act.

Filing / Order

[SEC v. Putnam, et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 5/7/2020 | D. Utah | 20-cv-301 |

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act § 5(a) & (c).

Filing / Order

[SEC v. Dropoil Inc. et al.](#)

Filing Date

4/23/2020

Court

C.D. Ca

Docket No.

20-cv-793

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act § 5(a) & (c).

Filing / Order

[SEC v. Meta 1 Coin Trust](#)

Filing Date

3/16/2020

Court

W.D. Tex.

Docket No.

20-cv-273

Causes of Action / Relevant Authority

Securities Act § 5(a) & (c); Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5.

Ruling / Orders of Note

Preliminary injunction and orders for asset freeze; prohibiting document destruction; and accounting.

Filing / Order

[SEC v. Ackerman](#)

Filing Date

2/11/2020

Court

S.D.N.Y.

Docket No.

20-cv-1181

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5.

Morrison Cohen Notes

The “Q3 trading Club.”

Filing / Order

[SEC v. Grybniak, et al.](#)

Filing Date

1/21/2020

Court

E.D.N.Y.

Docket No.

20-cv-327

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); aiding and abetting; unjust enrichment.

Morrison Cohen Notes

Alleged fraudulent ICO.

Filing / Order

[SEC v. Boaz Manor, et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 1/17/2020 | D.N.J. | 20-cv-597 |

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act §§ 5(a) and 5(c); aiding and abetting.

Morrison Cohen Notes

Alleged fraud by former Canadian securities fraudster using an alias.

Filing / Order

[In the Matter of Blockchain of Things, Inc.](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|----------------------|
| 12/18/2019 | SEC Administrative Release | Release No. 33-10736 |

Causes of Action / Relevant Authority

Sections 5(a) and 5(c) of the Securities Act.

Filing / Order

[SEC v. Eyal and UnitedData, Inc. d/b/a “Shopin”](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 12/11/2019 | S.D.N.Y. | 19-cv-11325 |

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act §§ 5(a) and 5(c).

Ruling / Orders of Note

[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.](#)

Defendant liable for \$457,040, closing case.

| | | |
|--|----------------------------|-------------------|
| Filing / Order | | |
| In the Matter of XBT Corp Sarl d/b/a First Global Credit | | |
| Filing Date | Court | Docket No. |
| 10/31/2019 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 5(e) of the Securities Act; Sections 6(1) and 15(a) of the Exchange Act. | | |

| | | |
|---|--------------|-------------------|
| Filing / Order | | |
| SEC v. Telegram Group, Inc. and Ton Issuer, Inc. | | |
| Filing Date | Court | Docket No. |
| 10/11/2019 | S.D.N.Y. | 19-cv-9439 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5(a) and 5(c). | | |
| Ruling / Orders of Note | | |
| Preliminary injunction granted by district court, March 24, 2020. | | |
| Follow up decision on PI, April 1, 2020, explains that order applies universally; not limited by extraterritoriality concerns. | | |
| Morrison Cohen Notes | | |
| Like <i>Kik</i> , no fraud alleged, just unregistered securities offerings under Securities Act § 5 (i.e., main question is whether token is a security). SEC filed TRO to halt \$1.7 billion token distribution. In granting PI, Court held that SAFT offering and distribution of Grams comprised one unregistered securities offering. Settled for \$1.224 billion in disgorgement and \$18.5 million civil penalty. | | |

| | | |
|---|----------------------------|-------------------|
| Filing / Order | | |
| In the Matter of Nebulous | | |
| Filing Date | Court | Docket No. |
| 9/30/2019 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Sections 5(a) and 5(c) of the Securities Act. | | |

| | | |
|--|--|--|
| Filing / Order | | |
| In the Matter of Block.one | | |

| Filing Date | Court | Docket No. |
|--|----------------------------|-------------------|
| 9/30/2019 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Sections 5(a) and 5(c) of the Securities Act. | | |
| Morrison Cohen Notes | | |
| Unregistered ICO, no refund required, \$24 million penalty. No registration requirement. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| SEC v. Lucas | | |
| Filing Date | Court | Docket No. |
| 9/20/2019 | S.D.N.Y. | 19-cv-8771 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| SEC v. ICOBox and Evdokimov | | |
| Filing Date | Court | Docket No. |
| 9/18/2019 | C.D. Cal | 19-cv-8066 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5(a) and 5(c); Exchange Act § 15. | | |
| Ruling / Orders of Note | | |
| Default judgment awarded against Defendants. | | |
| Morrison Cohen Notes | | |
| SEC addressing broker-dealer infractions in addition to unregistered ICOs—Allegations of unregistered ICO (\$14.6 million ICOBox token sale), as well as provision of unregistered broker services in connection with ICOBox’s clients’ token sales. | | |

| Filing / Order | | |
|--|-----------------------------|-------------------|
| SEC v. Bitcyck, Inc. Bruce E. Bise, and Samuel J. Mendez | | |
| Filing Date | Court | Docket No. |
| 8/29/2019 | N.D. Tex. – Dallas Division | 19-cv-2059 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|----------------------------|------------|
| In the Matter of ICO Rating | | |
| Filing Date | Court | Docket No. |
| 8/20/2019 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 17(b) of the Securities Act. | | |

| Filing / Order | | |
|---|----------------------------|------------|
| In the Matter of SimplyVital Health, Inc. | | |
| Filing Date | Court | Docket No. |
| 8/12/2019 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Sections 5(a) and 5(c) of the Securities Act. | | |

| Filing / Order | | |
|---|----------|------------|
| SEC v. Middleton, Veritaseum, Inc., and Veritaseum, LLC | | |
| Filing Date | Court | Docket No. |
| 8/12/2019 | E.D.N.Y. | 19-cv-4625 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); Exchange Act § 9(a)(2). | | |
| Ruling / Orders of Note | | |
| Proposed Settlement and Final Judgment. | | |

| Filing / Order | | |
|---|----------|------------|
| SEC v. Longfin Corp., and Meenavalli | | |
| Filing Date | Court | Docket No. |
| 6/5/2019 | S.D.N.Y. | 19-cv-5296 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

Ruling / Orders of Note

Default judgment against Longfin ordering \$3,532,235 in disgorgement and a \$3,243,613 civil monetary penalty.

Filing / Order

SEC v. Kik Interactive Inc.

| Filing Date | Court | Docket No. |
|-------------|----------|------------|
| 6/4/2019 | S.D.N.Y. | 19-cv-5244 |

Causes of Action / Relevant Authority

Securities Act § 5(a) and (c).

Ruling / Orders of Note

Wells submission made public by the company on 12/10/2018.

SEC's motion for summary judgment granted.

SEC obtains final judgment

Morrison Cohen Notes

First district court litigation that SEC launched alleging only violations of the registration provisions of Section 5 of the Securities Act (i.e., no fraud allegations). SEC wins on summary judgment.

Filing / Order

SEC v. Savraj Gata-Aura and Core Agents, Ltd.

| Filing Date | Court | Docket No. |
|-------------|----------|------------|
| 5/23/2019 | S.D.N.Y. | 19-cv-4780 |

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5.

Filing / Order

SEC v. Pacheco

| Filing Date | Court | Docket No. |
|-------------|---------|------------|
| 5/22/2019 | C.D.Cal | 19-cv-958 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a)(1) and (3); Securities Act §§ 5(a) and 5(c); unjust enrichment.

| Filing / Order | | |
|--|---|-------------------|
| In the Matter of NextBlock Global Ltd. and Alex Tapscott | | |
| Filing Date | Court | Docket No. |
| 5/14/2019 | Ontario Securities Commission / SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Securities Act § 17(a)(2). | | |
| Ruling / Orders of Note | | |
| Joint SEC Administrative Release with the Ontario Securities Commission. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| SEC v. Natural Diamonds Investment Co., et al. | | |
| Filing Date | Court | Docket No. |
| 5/13/2019 | S.D.Fl. | 19-cv-80633 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c). | | |
| Ruling / Orders of Note | | |
| TRO obtained; receiver appointed 5/20/2019. | | |

| Filing / Order | | |
|---|----------------------------|-------------------|
| In the Matter of Bitcoin Generation, Inc. | | |
| Filing Date | Court | Docket No. |
| 4/29/2019 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 12(k) of the Exchange Act of 1934. | | |

| Filing / Order | | |
|--|----------------------------|-------------------|
| In the Matter of Gladius Network LLC | | |
| Filing Date | Court | Docket No. |
| 2/20/2019 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 5(a) & 5(c) of the Securities Act. | | |

Morrison Cohen Notes

The first ICO issuer to self-report violation of registration requirements of Section 5 of the Securities Act. Gladius required to register tokens and offer to return investors' money. However, no civil penalty issued by SEC because of self-reporting.

Filing / Order

[In the Matter of CoinAlpha Advisors LLC](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|-------------------|
| 12/7/2018 | SEC Administrative Release | |

Causes of Action / Relevant Authority

Section 5(a) & 5(c) of the Securities Act.

Filing / Order

[In the Matter of Floyd Mayweather, Jr.](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|-------------------|
| 11/29/2018 | SEC Administrative Release | |

Causes of Action / Relevant Authority

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.

Morrison Cohen Notes

Promoter liability

Filing / Order

[In the Matter of Khaled Khaled](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|-------------------|
| 11/29/2018 | SEC Administrative Release | |

Causes of Action / Relevant Authority

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.

Morrison Cohen Notes

Promoter liability

Filing / Order

[In the Matter of Paragon Coin, Inc.](#)

| Filing Date | Court | Docket No. |
|---|----------------------------|-------------------|
| 11/16/2018 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 5(a) & 5(c) of the Securities Act. | | |
| Morrison Cohen Notes | | |
| SEC did not allege fraud, just violation of registration requirements under Section 5 of the Securities Act. Paragon agreed to pay \$250,000 in penalties, register their tokens as securities, and file periodic SEC reports. SEC explicitly encouraged companies to come forward and follow this model. | | |

| Filing / Order | | |
|--|----------------------------|-------------------|
| In the Matter of CarrierEQ, Inc., d/b/a AirFox | | |
| Filing Date | Court | Docket No. |
| 11/16/2018 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 5(a) & 5(c) of the Securities Act. | | |
| Morrison Cohen Notes | | |
| SEC did not allege fraud, just violation of registration requirements under Section 5 of the Securities Act. AirFox agreed to pay \$250,000 in penalties, register their tokens as securities, and file periodic SEC reports. SEC explicitly encouraged companies to come forward and follow this model. | | |

| Filing / Order | | |
|---|----------------------------|-------------------|
| In the Matter of Zachary Coburn (EtherDelta founder) | | |
| Filing Date | Court | Docket No. |
| 11/8/2018 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 5 of the Exchange Act. | | |
| Ruling / Orders of Note | | |
| Disgorgement \$300k, prejudgment interest \$13k, civil monetary penalties of \$75k. | | |
| Morrison Cohen Notes | | |
| EtherDelta is online platform allowing buyers and sellers to trade certain digital assets – Ether and “ERC20 tokens” – in secondary market trading. Although apparently decentralized, Zachary Coburn wrote the code, and didn’t register with the SEC. | | |

| Filing / Order |
|---|
| American Retail Group, Inc. |

| Filing Date | Court | Docket No. |
|--|----------------------------|-------------------|
| 10/19/2018 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 12(k) of the Exchange Act. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| SEC v. Saint James Holding and Investment Company Trust and Jeffrey James | | |
| Filing Date | Court | Docket No. |
| 10/5/2018 | C.D.Cal. | 18-mc-135 |
| Causes of Action / Relevant Authority | | |
| 15 U.S.C. § 77s(c), 15 U.S.C. § 78u(b) (application for order compelling compliance with investigative subpoenas). | | |

| Filing / Order | | |
|---|----------------------------|-------------------|
| In the Matter of Crypto Asset Management, LP and Timothy Enneking | | |
| Filing Date | Court | Docket No. |
| 9/11/2018 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Morrison Cohen Notes | | |
| SEC's first administrative settlement in a case alleging broker-dealer violations. | | |

| Filing / Order | | |
|--|----------------------------|-------------------|
| In the Matter of TokenLot, LLC, Lenny Kugel, and Eli L. Lewitt | | |
| Filing Date | Court | Docket No. |
| 9/11/2018 | SEC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| Section 15(a) of the Exchange Act; Sections 5(a) and 5(c) of the Securities Act. | | |

| Filing / Order | | |
|---|--|--|
| SEC v. Blockvest et al. | | |

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 10/3/2018 | S.D.Cal. | 18-cv-2287 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); Exchange Act § 5. | | |
| Ruling / Orders of Note | | |
| 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. | | |
| Morrison Cohen Notes | | |
| Order adopting report and recommendation and granting Plaintiff's motion for terminating sanctions as to Defendant Ringgold. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| SEC v. 1Pool Ltd. a.k.a. 1Broker and Patrick Brunner | | |
| Filing Date | Court | Docket No. |
| 9/27/2018 | D.D.C. | 18-cv-2244 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 5(c); and Exchange Act §§ 6(l) and 15(a)(1). | | |
| Ruling / Orders of Note | | |
| Final Judgment. | | |
| Morrison Cohen Notes | | |
| First action against by SEC against cryptocurrency broker-dealer/ exchange. 1Pool sold security-based swaps without filing a registration statement with the SEC. No fraud alleged. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| SEC v. Barry C. Honig et al. (Riot Blockchain) | | |
| Filing Date | Court | Docket No. |
| 9/7/2018 | S.D.N.Y. | 18-cv-8175 |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Ruling / Orders of Note | | |
| Order granting, in part, and denying, in part, Defendant's motion to dismiss. | | |

Final Judgments as to Defendants Brauser, Grander Holdings, Inc., Stetson Capital Investments, Inc., John Stetson, John R. O'Rourke III, ATG Capital LLC, and Contrarian Investments, LLC.

Filing / Order

[SEC v. Moore, et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 8/27/2018 | S.D.N.Y. | 18-cv-7803 |

Causes of Action / Relevant Authority

Securities Act §§ 17(a); Exchange Act § 10(b) and Rule 10b-5.

Filing / Order

[In the Matter of Tomahawk Exploration and David Thompson Laurence](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|-------------------|
| 8/14/2018 | SEC Administrative Release | |

Causes of Action / Relevant Authority

Sections 5(a) and 5(c) of the Securities Act; Section 10(b) of the Exchange Act and Rule 10b-5(b).

Filing / Order

[SEC v. Jesky et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 7/2/2018 | S.D.N.Y. | 18-cv-5980 |

Causes of Action / Relevant Authority

Securities Act §§ 5(a) and 5(c).

Ruling / Orders of Note

“Without admitting or denying guilt, Defendants agree to return approx. \$1.4mm in gains and pay penalties.”

Filing / Order

[SEC v. Titanium Blockchain Infrastructure Services et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 5/22/2018 | C.D.Ca. | 18-cv-4315 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17; Securities Act §§ 5(a) and 5(c); Exchange Act § 5.

Ruling / Orders of Note

[Preliminary Injunction Order.](#)

[Stipulation for Modification of Asset Freeze.](#)

Filing / Order

[SEC v. Altahawi, et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 4/4/2018 | S.D.N.Y. | 18-cv-2977 |

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act § 5.

Ruling / Orders of Note

[Final Judgment as to Defendant Andy Altahawi.](#)

[Final Judgment as to Defendant Dorababu Penumarhi.](#)

[Final Judgment as to Defendant Suresh Tammineedi.](#)

Filing / Order

[SEC v. Sharma and Farkas](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 4/2/2018 | S.D.N.Y. | 18-cv-2909 |

Causes of Action / Relevant Authority

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

[SEC v. Montroll and BitFunder](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 2/21/2018 | S.D.N.Y. | 18-cv-1582 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17; Securities Act §§ 5(a) and 5(c); Exchange Act § 5; control person liability.

Filing / Order

[Cherubim Interests, Inc. suspension of trading](#)

Filing Date**Court****Docket No.**

2/15/2018

SEC administrative release

Filing / Order

[PDX Partners, Inc. suspension of trading](#)

Filing Date**Court****Docket No.**

2/15/2018

SEC administrative release

Filing / Order

[Victura Construction Group, Inc. suspension of trading](#)

Filing Date**Court****Docket No.**

2/15/2018

SEC administrative release

Filing / Order

[SEC v. AriseBank et al.](#)

Filing Date**Court****Docket No.**

1/25/2018

N.D.Tx.

18-cv-186

Causes of Action / Relevant Authority

Securities Act §§ 5(a) and 5(c); Securities Act § 17; Exchange Act § 10(b) and Rule 10b-5; aiding and abetting

Ruling / Orders of Note

[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.](#)

Morrison Cohen Notes

First action against self-proclaimed cryptocurrency bank, bank put into receivership, Rice ordered to pay \$2.7 million in disgorgement and another roughly \$190,000 in penalties.

Filing / Order

[UBI Blockchain suspension of trading](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|-------------------|
| 1/5/2018 | SEC administrative release | |

Filing / Order

[In the matter of Munchee Inc.](#)

| Filing Date | Court | Docket No. |
|--------------------|-------------------------------|-------------------|
| 12/11/2017 | SEC administrative proceeding | |

Causes of Action / Relevant Authority

Securities Act §§ 5(a) and 5(c).

Filing / Order

[SEC v. Plexcorps et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 12/1/2017 | E.D.N.Y. | 17-cv-7007 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 17; Securities Act §§ 5(a) and 5(c); aiding and abetting.

Ruling / Orders of Note

[Denial of motion to dismiss based on personal jurisdiction.](#)

[Final Judgment as to Defendants.](#)

Morrison Cohen Notes

Early ICO enforcement action where Defendants were first to challenge personal jurisdiction in crypto space.

Filing / Order

[SEC v. ReCoin Group Foundation, LLC and DRC World Inc.](#)

| Filing Date | Court | Docket No. |
|---|--------------|-------------------|
| 9/29/2017 | E.D.N.Y. | 17-cv-5725 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); Securities Act §§ 5(a) and 5(c); aiding and abetting. | | |
| Ruling / Orders of Note | | |
| Order granting motion for intervention and a stay. | | |
| Morrison Cohen Notes | | |
| Early ICO enforcement action where Court denied Defendant's MTD arguing that cryptocurrency in case was not a security. Defendant later pled guilty to conspiracy to commit securities fraud in connection with two ICOs. See <i>U.S. v. Zaslavskiy</i> . | | |

| Filing / Order | | |
|---|----------------------------|-------------------|
| First Bitcoin Capital Corp. suspension of trading | | |
| Filing Date | Court | Docket No. |
| 8/23/2017 | SEC administrative release | |

| Filing / Order | | |
|--|----------------------------|-------------------|
| CIAO Group, Inc. suspension of trading | | |
| Filing Date | Court | Docket No. |
| 8/9/2017 | SEC administrative release | |

| Filing / Order | | |
|--|----------------------------|-------------------|
| Strategic Global Investments, Inc. suspension of trading | | |
| Filing Date | Court | Docket No. |
| 8/3/2017 | SEC administrative release | |

| Filing / Order | | |
|--|--------------|-------------------|
| SEC v. Haddow et al. | | |
| Filing Date | Court | Docket No. |
| 6/30/2017 | S.D.N.Y. | 17-cv-4950 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; aiding and abetting; control person liability; unjust enrichment. | | |

Ruling / Orders of Note

[Preliminary injunction granted against Defendants and Relief Defendant.](#)

[Judgment permanently restraining Defendant from violating Section 10\(b\) of the Exchange Act.](#)

Morrison Cohen Notes

Early ICO enforcement action against British businessman who pled guilty to wire fraud and wire fraud conspiracy in connection with his shared workplace startup and proposed online bitcoin exchange.

Filing / Order

[Sunshine Capital, Inc. suspension of trading](#)

| Filing Date | Court | Docket No. |
|--------------------|----------------------------|-------------------|
| 4/11/2017 | SEC administrative release | |

Filing / Order

[In the matter of Bitcoin Investment Trust and Secondmarket Inc.](#)

| Filing Date | Court | Docket No. |
|--------------------|-------------------------------|-------------------|
| 7/11/2016 | SEC administrative proceeding | |

Causes of Action / Relevant Authority

Regulation M.

Filing / Order

[SEC v. Garza](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 12/1/2015 | D. Conn. | 15-cv-1760 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Securities Act § 17(a); §§ 5(a) and 5(c).

Ruling / Orders of Note

[Joint Motion for Approval of Settlement and Entry of Final Judgment.](#)

Filing / Order

[In the matter of BTC Trading, Corp. and Ethan Burnside](#)

| Filing Date | Court | Docket No. |
|--------------------|-------------------------------|-------------------|
| 12/8/2014 | SEC administrative proceeding | |

Causes of Action / Relevant Authority

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

[In the matter of Erik Vorhees](#) (FeedZeBirds and SatoshiDICE)

Filing Date

6/3/2014

Court

SEC administrative proceeding

Docket No.**Causes of Action / Relevant Authority**

Securities Act § 8A.

Filing / Order

[SEC v. Shavers and Bitcoin Savings and Trust](#)

Filing Date

7/23/2013

Court

E.D.Tx.

Docket No.

13-cv-416

Causes of Action / Relevant Authority

Securities Act § 17(a); Exchange Act § 10(b) and Rule 10b-5; Securities Act §§ 5(a) and 5(c).

Ruling / Orders of Note

[Amended Final Judgment.](#)

Morrison Cohen Notes

First litigation by SEC re: bitcoin issues. SEC accused Shavers of fraudulent offers and sales of bitcoin-denominated security. Final judgment enjoined Shavers and ordered disgorgement of over \$40 million. Court also accepted that bitcoin was a security under the SEC's regulatory authority.

CFTC Litigation

| | | |
|--|--------------|-------------------|
| Filing / Order | | |
| CFTC v. Venture Capital Investments Ltd, and Breonna S. Clark | | |
| Filing Date | Court | Docket No. |
| | | 20-cv-00382 |
| Causes of Action / Relevant Authority | | |
| Injunctive relief, restitution, civil monetary penalties and other equitable relief. | | |
| Ruling / Orders of Note | | |
| Default Judgment Entered Against Defendants. | | |

| | | |
|---|--------------|-------------------|
| Filing / Order | | |
| CFTC v. HDR Global Trading Limited | | |
| Filing Date | Court | Docket No. |
| 10/1/2020 | S.D.N.Y. | 20-cv-8132 |
| Causes of Action / Relevant Authority | | |
| CEA § 4(a) or, alternatively, §4 (b); CEA § 4c(b) and Regulation 32.2; CEA § 4d; CEA § 5h(a)(1) and Regulation 37.3(a)(1); Regulation 166.3; Regulation 42.2. | | |
| Morrison Cohen Notes | | |
| Litigation against BitMex. | | |

| | | |
|--|--------------|-------------------|
| Filing / Order | | |
| CFTC v. Garcia | | |
| Filing Date | Court | Docket No. |
| 9/11/2020 | S.D. Tex. | 20-cv-3185 |
| Causes of Action / Relevant Authority | | |
| CEA § 6(c)(1); Regulation 180.1(a). | | |
| Morrison Cohen Notes | | |
| Fraud in a BTC trading scheme. | | |

| | | |
|---|-----------------------------|-------------------|
| Filing / Order | | |
| In the Matter of Plutus Financial, Inc. d/b/a Abra, et ano. | | |
| Filing Date | Court | Docket No. |
| 7/13/2020 | CFTC Administrative Release | |

| | | |
|--|--|--|
| Causes of Action / Relevant Authority | | |
| CEA § 2(e); CEA § 4d(a). | | |
| Ruling / Orders of Note | | |
| Cease & desist; \$150,000 civil penalty (also see SEC settlement above). | | |
| Morrison Cohen Notes | | |
| Off-exchange swaps and unregistered FCM. | | |

| | | |
|---|--------------|-------------------|
| Filing / Order | | |
| CFTC v. Daniel Fingerhut, et al. | | |
| Filing Date | Court | Docket No. |
| May 5, 2020 | S.D.Fla. | 20-cv-21887 |
| Causes of Action / Relevant Authority | | |
| CEA Section 4c(b) and Reg. 32.4 (“Options Fraud”), CEA Section 4o(1), CEA Section 6c(1) and Regulation 180.1(a)(1)-(3), CEA Section 6(c)(2) | | |
| Ruling / Orders of Note | | |
| Order Granting Motion for Preliminary Injunction Against Defendants | | |

| | | |
|--|--------------|-------------------|
| Filing / Order | | |
| CFTC v. Venture Capital Investments Ltd, and Breonna S. Clark | | |
| Filing Date | Court | Docket No. |
| 2/14/2020 | D. Colo. | 20-cv-00382 |
| Causes of Action / Relevant Authority | | |
| Injunctive Relief, Restitution, Civil Monetary Penalties and Other Equitable Relief. | | |
| Ruling / Orders of Note | | |
| Default Judgment Entered Against Defendants. | | |

| | | |
|---|--------------|-------------------|
| Filing / Order | | |
| CFTC v. Ackerman, Q3 Holdings, LLC and Q3 I, LP | | |
| Filing Date | Court | Docket No. |
| 2/11/2020 | S.D.N.Y. | 20-cv-1183 |
| Causes of Action / Relevant Authority | | |
| CEA § 6(c)(1); Regulation 180.1(a). | | |

| Filing / Order | | |
|--|-----------------------------|------------|
| In the Matter of XBT Corp Sarl d/b/a First Global Credit | | |
| Filing Date | Court | Docket No. |
| 10/31/2019 | CFTC Administrative Release | |
| Causes of Action / Relevant Authority | | |
| CEA § 4d(a)(1). | | |

| Filing / Order | | |
|--|----------|------------|
| CFTC v. David Gilbert Saffron a/k/a David Gilbert and Circle Society, Corp. | | |
| Filing Date | Court | Docket No. |
| 9/30/2019 | S.D.N.Y. | 19-cv-1697 |
| Causes of Action / Relevant Authority | | |
| 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). | | |
| Morrison Cohen Notes | | |
| CFTC obtained TRO on scheme aimed at trading commodity interests, including binary options and cryptocurrency pairs. | | |

| Filing / Order | | |
|--|----------|------------|
| CFTC v. Jon Barry Thompson | | |
| Filing Date | Court | Docket No. |
| 9/30/2019 | S.D.N.Y. | 19-cv-9052 |
| Causes of Action / Relevant Authority | | |
| CEA § 6(c)(1); Regulation 180.1(a). | | |
| Ruling / Orders of Note | | |
| Consent order entered against Defendant on October 1, 2020, imposing injunctive relief and restitution of approximately \$7.4 million. | | |

| Filing / Order | | |
|---|----------|------------|
| CFTC v. Control-Finance Limited and Benjamin Reynolds | | |
| Filing Date | Court | Docket No. |
| 6/17/2019 | S.D.N.Y. | 19-cv-5631 |
| Causes of Action / Relevant Authority | | |
| CEA § 6(c)(1); Regulation 180.1(a). | | |

Ruling / Orders of Note

Proposed default judgment.

Filing / Order[CFTC v. John Doe 1 aka Morgan Hunt dba Diamonds Trading Investment House and John Doe 2 aka Kim Hecroft dba First Options Trading](#)**Filing Date**

9/28/2018

Court

N.D. Tex.

Docket No.

18-cv-807-O

Causes of Action / Relevant Authority

CEA § 4b(a)(2)(A)-(C), Regulation 5.2; CEA § 4o(1); CEA § 6(c)(1), Regulation 180.1(a).

Ruling / Orders of Note[Order and Default Judgment for civil penalties and restitution against Defendants.](#)**Filing / Order**[CFTC v. 1Pool Ltd. and Patrick Brunner](#)**Filing Date**

9/27/2018

Court

D.D.C.

Docket No.

18-cv-2243

Causes of Action / Relevant Authority

CEA § 4(a); CEA § 4d(a)(1); Regulation 166.3.

Ruling / Orders of Note[Consent Order For Permanent Injunction Against Defendants.](#)**Morrison Cohen Notes**

On same day as SEC action, CFTC sues 1Pool and Brunner for failing to register as futures commission merchant & failure to implement KYC procedures in violation of CEA § 4 and Regulation 166.3.

Filing / Order[CFTC v. Blake Harrison Kantor aka Bill Gordon et al.](#)**Filing Date**

4/16/2018

Court

E.D.N.Y.

Docket No.

18-cv-2247

Causes of Action / Relevant Authority

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.

Ruling / Orders of Note

[Order of Stay of Proceedings.](#)

[Default Judgment Against Defendants.](#)

Filing / Order

[CFTC v. McDonnell and CabbageTech](#)

Filing Date

Court

Docket No.

1/18/2018

E.D.N.Y.

18-cv-361

Causes of Action / Relevant Authority

CEA § 6(c)(1) and Regulation 180.1(a).

Ruling / Orders of Note

[Memorandum and Order \(on CFTC jurisdiction\).](#)

[Memorandum, Findings of Fact, Conclusions of Law, and Directions for Final Judgment and Injunction.](#)

[Final Judgment and Order of Permanent Injunction, Restitution, and Civil Monetary Penalties.](#)

Morrison Cohen Notes

Holding CFTC had standing to sue defendants for violations of CEA through the trading and purchasing of cryptocurrencies, and explaining that virtual currencies fell within catch-all portion of CEA's definition of "commodity," which includes, *inter alia*, "all other goods and articles . . . and all services, rights and interests in which contracts for future delivery are presently or in the future dealt in." 7 U.S.C. § 1(a)(9).

Filing / Order

[CFTC v. Dean and The Entrepreneurs Limited](#)

Filing Date

Court

Docket No.

1/18/2018

E.D.N.Y.

18-cv-345

Causes of Action / Relevant Authority

CEA § 4c(b) and Regulation 32.4; CEA § 4o(1)(A)-(B); § 4m(1) and 4k(2) and Regulation 3.12(a).

Ruling / Orders of Note

[Certificate of Default.](#)

[Default Judgment Order.](#)

| | | |
|--|--------------|-------------------|
| Filing / Order | | |
| CFTC v. My Big Coin Pay, Inc. | | |
| Filing Date | Court | Docket No. |
| 1/16/2018 | D.Mass. | 18-cv-10077 |
| Causes of Action / Relevant Authority | | |
| CEA § 6(c)(1) and Regulation 180.1(a); disgorgement. | | |
| Ruling / Orders of Note | | |
| Memorandum of Decision (on CFTC jurisdiction). | | |
| Morrison Cohen Notes | | |
| Court rejected Defendant's argument on MTD that CFTC cannot regulate virtual currencies on which no futures are traded, concluding that b/c futures trading exists in one virtual currency (Bitcoin), it was sufficient to allege another virtual currency (My Big Coin) is commodity under CEA. Mirrors CFTC Chairman Giancarlo's assertion that CFTC has authority to regulate fraud in spot market for commodities. | | |

| | | |
|---|--------------|-------------------|
| Filing / Order | | |
| CFTC v. Gelfman Blueprint Inc. and Nicholas Gelfman | | |
| Filing Date | Court | Docket No. |
| 9/21/2017 | S.D.N.Y. | 17-cv-7181 |
| Causes of Action / Relevant Authority | | |
| CEA § 6(c)(1); Regulation 180.1(a). | | |
| Ruling / Orders of Note | | |
| 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). | | |
| Morrison Cohen Notes | | |
| First time CFTC stated that bitcoin and other virtual currencies are encompassed in the definition of commodity under the CEA, and thus, the CFTC has standing to sue for violations of the CEA through the trading and purchasing of cryptocurrencies. | | |

| | | |
|---|--------------------------------|-------------------|
| Filing / Order | | |
| In the matter of BFNXA Inc., d/b/a Bitfinex | | |
| Filing Date | Court | Docket No. |
| 6/2/2016 | CFTC administrative proceeding | |

Causes of Action / Relevant Authority

CEA §§ 4(a) and 4d.

Filing / Order[In re TeraExchange](#)**Filing Date**

9/24/2015

Court

CFTC administrative proceeding

Docket No.**Causes of Action / Relevant Authority**

CEA § 7b-3(f)(2) and Regulation 37.203, 17 C.F.R. § 37.203.

Ruling / Orders of Note

Cease and desist order.

Morrison Cohen Notes

Facilitation of wash trading and prearranged trading in a bitcoin swap. (TeraExchange had earlier registered as a swap dealer.)

Filing / Order[In the matter of Coinflip, Inc.](#)**Filing Date**

9/17/2015

Court

CFTC administrative proceeding

Docket No.**Causes of Action / Relevant Authority**

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).

DOJ and other Criminal Proceedings

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Approximately 69,370 Bitcoin (BTC), Bitcoin Gold (BTG), Bitcoin SV (BSV), and Bitcoin Cash (BCH) seized from 1HQ3Go3ggs8pFnXuHVHRytPCq5fGG8Hbh | | |
| Filing Date | Court | Docket No. |
| 11/5/2020 | N.D. Cal. | 20-cv-7811 |
| Causes of Action / Relevant Authority | | |
| Judicial forfeiture, as authorized by 18 U.S.C. §§ 981(a)(1)(A), 981(a)(1)(C), 981(b), and 21 U.S.C. § 881(a)(6). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Hayes, et al. | | |
| Filing Date | Court | Docket No. |
| 10/1/2020 | S.D.N.Y. | 20-CR-500 |
| Causes of Action / Relevant Authority | | |
| Violation of Bank Secrecy Act; conspiracy to violate the Bank Secrecy Act. | | |
| Morrison Cohen Notes | | |
| Bitmex indictments. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Hayes, et al. | | |
| Filing Date | Court | Docket No. |
| 10/1/2020 | S.D.N.Y. | 20-CR-500 |
| Causes of Action / Relevant Authority | | |
| Violation of Bank Secrecy Act; conspiracy to violate the Bank Secrecy Act. | | |
| Morrison Cohen Notes | | |
| Bitmex indictments. | | |

| Filing / Order | | |
|-------------------------|--------------|-------------------|
| U.S. v. Lacroix, et al. | | |
| Filing Date | Court | Docket No. |
| 7/23/2020 | N.D. Ohio | 20-cr-396 |

Causes of Action / Relevant Authority

Conspiracy to commit securities fraud and wire fraud; wire fraud; conspiracy to commit money laundering; forfeiture.

Morrison Cohen Notes

Related to Plexcoin (see SEC litigation section).

Filing / Order

[U.S. v. Kim](#)

Filing Date

7/9/2020

Court

N.D. Cal

Docket No.

20-70923 MAG

Causes of Action / Relevant Authority

Wire fraud.

Morrison Cohen Notes

Alleged use of cryptocurrency for gambling operation.

Filing / Order

U.S. v. Joshua Thomas Argires

Filing Date

7/9/2020

Court

S.D. Tex.

Docket No.

20-mj-1211

Causes of Action / Relevant Authority

False statements to financial institution; wire fraud; bank fraud; engaging in prohibited monetary transactions.

Morrison Cohen Notes

Abuse of federal PPP money to invest in cryptocurrency.

Filing / Order

U.S. v. Gratkowski

Filing Date

6/30/2020 (5th Cir. Order date)

Court

5th Cir. (on appeal from W.D. Tx.)

Docket No.

19-50492

Ruling / Orders of Note

[No expectation of privacy in Bitcoin transactions.](#)

Morrison Cohen Notes

Court answers “novel question” of whether there is a Fourth Amendment privacy interest in BTC transaction records on Coinbase. Fifth Circuit affirms there is not.

Filing / Order

U.S. v. Abramoff

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 6/25/2020 | N.D. Cal. | 20-cr-260 |

Causes of Action / Relevant Authority

Conspiracy; violation of Lobbying Disclosure Act.

Ruling / Orders of Note

[Abramoff pleads guilty.](#)

Filing / Order

[U.S. v. John David McAfee](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 6/15/2020 | W.D. Tenn. | 20-cr-10029 |

Causes of Action / Relevant Authority

Tax evasion in violation of 26 U.S.C. § 7201; failure to file an income tax return in violation of 26 U.S.C. § 7203.

Filing / Order

[U.S. v. Potekhin](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 2/18/2020 | N.D. Cal. | 19-cr-572 |

Causes of Action / Relevant Authority

Conspiracy to commit computer fraud and abuse; unauthorized access to a protected computer to obtain value; conspiracy to commit wire fraud; aggravated identity theft; conspiracy to commit money laundering.

Morrison Cohen Notes

Hack of Poloniex, Binance, and Gemini to steal cryptocurrency.

Filing / Order

[U.S. v. Ackerman](#)

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 2/11/2020 | S.D.N.Y. | 20-cr-93 |
| Causes of Action / Relevant Authority | | |
| Wire fraud; money laundering; forfeiture. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Caruso and Salter | | |
| Filing Date | Court | Docket No. |
| 1/29/2020 | D. Ariz. | 20-cr-8034 |
| Causes of Action / Relevant Authority | | |
| Wire fraud; money laundering; conspiracy. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Boaz Manor and Edith Pardo | | |
| Filing Date | Court | Docket No. |
| 1/17/2020 | D.N.J. | 20-cr-029 |
| Causes of Action / Relevant Authority | | |
| Conspiracy to commit wire fraud; wire fraud; securities fraud; forfeiture. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Harmon | | |
| Filing Date | Court | Docket No. |
| 12/3/2019 | D.D.C. | 19-cr-395 |
| Causes of Action / Relevant Authority | | |
| Conspiracy To launder monetary instruments; operating an unlicensed money transmitting business; money transmission without a license. | | |
| Ruling / Orders of Note | | |
| Memorandum Opinion (confirms Bitcoin is money for money laundering purposes). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Goettsche et al. | | |
| Filing Date | Court | Docket No. |
| 12/5/2019 | D. N. J. | 19-877 |

Causes of Action / Relevant Authority

Conspiracy to commit wire fraud; conspiracy to offer and sell unregistered securities.

Filing / Order

[U.S. v. Griffith](#)

Filing Date

11/21/2019

Court

S.D.N.Y.

Docket No.

19-mag-10987

Causes of Action / Relevant Authority

Conspiracy to violate the International Emergency Economic Powers Act.

Filing / Order

[U.S. v. Meiggs and Harrington](#)

Filing Date

11/13/2019

Court

D. Mass.

Docket No.

19-cr-10438

Causes of Action / Relevant Authority

Conspiracy to commit computer fraud and abuse and wire fraud; wire fraud; siding and abetting; computer fraud and abuse; aggravated identity theft.

Filing / Order

[U.S. v. Asa Saint Clair](#)

Filing Date

11/6/2019

Court

S.D.N.Y.

Docket No.

19-cr-790

Causes of Action / Relevant Authority

Wire fraud.

Filing / Order

[U.S. v. Oz Yosef](#)

Filing Date

10/23/2019

Court

S.D.N.Y.

Docket No.

19-cr-254

Causes of Action / Relevant Authority

Conspiracy to commit bank fraud; bank fraud; conspiracy to operate an unlicensed money transmitting business.

| Filing / Order | | |
|---|----------|------------|
| U.S. v. Trofimovics, Nikitenko, Zaharevics, Ruseckis, Gorenko | | |
| Filing Date | Court | Docket No. |
| 9/25/2019 | W.D. Pa. | 19-cr-304 |
| Causes of Action / Relevant Authority | | |
| Conspiracy to commit money laundering. | | |

| Filing / Order | | |
|--|----------|------------|
| U.S. v. Nerayoff and Hlady | | |
| Filing Date | Court | Docket No. |
| 9/17/2019 | E.D.N.Y. | 19-M-830 |
| Causes of Action / Relevant Authority | | |
| Extortion. | | |

| Filing / Order | | |
|--|-----------|------------|
| U.S. v. Gunton and Nashatka | | |
| Filing Date | Court | Docket No. |
| 8/13/2019 | N.D. Cal. | 19-cr-0372 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|-----------|------------|
| U.S. v. BTC-E and Vinnick | | |
| Filing Date | Court | Docket No. |
| 7/25/2019 | N.D. Cal. | 19-cv-4281 |
| Causes of Action / Relevant Authority | | |
| Recovery of civil monetary penalty. | | |
| Ruling / Orders of Note | | |
| Civil complaint. | | |

| Filing / Order | | |
|---|----------|-------------------------|
| U.S. v. Jon Barry Thompson | | |
| Filing Date | Court | Docket No. |
| 7/18/2019 | S.D.N.Y. | 19-MAG-6649; 19-cr-0698 |
| Causes of Action / Relevant Authority | | |
| Commodities fraud (2 counts), wire fraud (2 counts). | | |
| Ruling / Orders of Note | | |
| Indictment filed 9/27/2019. | | |
| Defendant pleads guilty to one count of commodities fraud on October 1, 2020, sentencing to occur on January 7, 2021. | | |

| Filing / Order | | |
|---|----------|-------------|
| U.S. v. Savraj Gata-Aura | | |
| Filing Date | Court | Docket No. |
| 5/21/2019 (unsealed) | S.D.N.Y. | 18-cr-00759 |
| Causes of Action / Relevant Authority | | |
| Conspiracy to commit wire fraud (18 U.S.C. § 1343). | | |

| Filing / Order | | |
|---|----------|------------|
| U.S. v. Yosef and Fowler | | |
| Filing Date | Court | Docket No. |
| 4/30/2019 | S.D.N.Y. | 19-cr-254 |
| Causes of Action / Relevant Authority | | |
| Conspiracy to commit bank fraud; bank fraud; conspiracy to operate an unlicensed money transmitting business; operation of an unlicensed money transmitting business. | | |
| Ruling / Orders of Note | | |
| Fowler pleads not guilty. | | |

| Filing / Order | | |
|---|--------|--------------|
| U.S. v. Gift and Usifoh | | |
| Filing Date | Court | Docket No. |
| 4/24/2019 | D. Or. | 19-cr-141-H2 |

Causes of Action / Relevant Authority

Conspiracy to commit wire fraud; wire fraud; money laundering conspiracy.

Filing / Order

[U.S. v McDonnell](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
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|-----------|----------|-----------|
| 3/25/2019 | E.D.N.Y. | 19-cr-148 |
|-----------|----------|-----------|

Causes of Action / Relevant Authority

Wire fraud (18 U.S.C. § 1343); forfeiture (18 U.S.C. § 981 (a)(1)(C) and 28 U.S.C. § 2461(c)).

Filing / Order

[U.S. v. Antonenko](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
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| | | |
|-----------|--------|-------------|
| 2/26/2019 | D.Mass | 19-mj-04153 |
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Causes of Action / Relevant Authority

Money laundering conspiracy (18 U.S.C. § 1956(h)).

Ruling / Orders of Note

[Assented to Motion to Have Defendant Vitalli Antonenko Evaluated for Mental Competency.](#)

Filing / Order

[U.S. v. Crater](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
|--------------------|--------------|-------------------|

| | | |
|-----------|--------|-------------|
| 2/26/2019 | D.Mass | 19-cr-10063 |
|-----------|--------|-------------|

Causes of Action / Relevant Authority

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).

Filing / Order

[U.S. v. Rice](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
|--------------------|--------------|-------------------|

| | | |
|------------|----------------------------|---------------|
| 11/20/2018 | N.D. Tex – Dallas Division | 18-cr-00587-K |
|------------|----------------------------|---------------|

Causes of Action / Relevant Authority

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)).

Ruling / Orders of Note

Guilty plea agreement to securities fraud; pending sentencing; parties agreed to recommendation of 60 months (see factual resume).

Filing / Order

New York Attorney General v. Eyal

Filing Date

8/27/2018

Court

Supreme Court of the State of
New York, County of Kings

Docket No.**Causes of Action / Relevant Authority**

N.Y. General Business Law Article 23-A (the “Martin Act”).

Ruling / Orders of Note

Defendant pleads guilty, ordered to pay \$125k in restitution to Spring Leap investors, \$475k in fines, and give up remaining digital assets paid by investors, valued at \$450k.

Filing / Order

U.S. v. Moore

Filing Date

8/27/2018

Court

S.D.N.Y.

Docket No.

18-cr-00759

Causes of Action / Relevant Authority

Conspiracy to commit wire fraud (18 U.S.C. § 1343).

Filing / Order

U.S. v. Scott

Filing Date

8/21/2018

Court

S.D.N.Y.

Docket No.

17-cr-00630

Causes of Action / Relevant Authority

Conspiracy to commit money laundering (18 U.S.C. § 1956(a)(1)(B)(i)).

Ruling / Orders of Note

Conviction.

Morrison Cohen Notes

First prosecution of a lawyer for aiding and abetting cryptocurrency scheme.

Filing / Order

[U.S. v. Campos](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
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|----------|---------|------------|
| 8/9/2018 | S.D.Ca. | 18-cr-3554 |
|----------|---------|------------|

Causes of Action / Relevant Authority

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).

Ruling / Orders of Note

[Guilty plea to operating an unlicensed money transmitting business](#) (18 USC § 1960); [agreed forfeiture of \\$823,357](#); [sentence of two years in prison](#).

Filing / Order

[U.S. v. Stoica, et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
|--------------------|--------------|-------------------|

| | | |
|----------|---------|----------|
| 7/5/2018 | E.D. Ky | 18-cr-81 |
|----------|---------|----------|

Causes of Action / Relevant Authority

18 U.S.C. § 1962(d); 18 U.S.C. § 1349; 18 U.S.C. §1956(h); 18 U.S.C. §1028A.

Ruling / Orders of Note

[Coinflux CEO pleads guilty to one count of RICO conspiracy](#).

Filing / Order

[New York v. Meza, Guzman, Nunez and Colon](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
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|-----------|---|------------------------|
| 6/12/2018 | Supreme Court of the State of New York, County of New York | 04350/2017 & 1932/2018 |
|-----------|---|------------------------|

Causes of Action / Relevant Authority

Penal Law §155.42 (Grand Larceny); Penal Law §1 65.54 (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).

Ruling / Orders of Note

[Indictment](#).

| Filing / Order | | |
|---|----------|-------------|
| U.S. v. Trapani | | |
| Filing Date | Court | Docket No. |
| 4/18/2018 | S.D.N.Y. | 18-mag-3271 |
| Causes of Action / Relevant Authority | | |
| 15 U.S.C. §§ 78j(b), 78ff; 17 C.F.R. §§ 240,10b-5; 18 U.S.C. §§ 371, 1343, 1349, 2. | | |
| Ruling / Orders of Note | | |
| Trapani pleads guilty to nine counts. | | |

| Filing / Order | | |
|--|----------|------------|
| U.S. v. Kantor | | |
| Filing Date | Court | Docket No. |
| 4/10/2018 | E.D.N.Y. | 18-cr-0177 |
| Causes of Action / Relevant Authority | | |
| Conspiracy to commit wire fraud; obstruction; false statement; criminal forfeiture. | | |
| Ruling / Orders of Note | | |
| Judgment. | | |
| Morrison Cohen Notes | | |
| Defendant Kantor pled guilty to one count of wire fraud; sentenced to 86 months in prison; ordered to forfeit roughly \$1.65 million and pay \$806,405 in restitution. | | |

| Filing / Order | | |
|---|----------|-------------|
| U.S. v. Sharma and Farkas | | |
| Filing Date | Court | Docket No. |
| 3/31/2018 | S.D.N.Y. | 18-mag-2695 |
| Causes of Action / Relevant Authority | | |
| 15 U.S.C. §§ 78j(b), 78ff; 17 C.F.R. §§ 240,10b-5; 18 U.S.C. §§ 371, 1343, 1349, 2. | | |

| Filing / Order | | |
|----------------------------------|----------|--------------------------------|
| U.S. v. Montroll | | |
| Filing Date | Court | Docket No. |
| 2/20/2018 | S.D.N.Y. | 18-mag-1372 (sealed complaint) |

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| Causes of Action / Relevant Authority | | |
| 18 U.S.C. § 1621; 18 U.S.C. § 1512(c). | | |
| Ruling / Orders of Note | | |
| Sentence of 14 months in prison. | | |

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|--|--------------|-------------------|
| Filing / Order | | |
| U.S. v. Kim | | |
| Filing Date | Court | Docket No. |
| 2/15/2018 | N.D.Ill. | 18-cr-107 |
| Causes of Action / Relevant Authority | | |
| 18 U.S.C. § 1343 | | |
| Ruling / Orders of Note | | |
| Guilty plea to one count of wire fraud; sentence of 15 months in prison; \$1.14m in restitution. | | |

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|--|--------------|-------------------|
| Filing / Order | | |
| U.S. v. Greenwood | | |
| Filing Date | Court | Docket No. |
| 2/6/2018 | S.D.N.Y. | 17-cr-630 |
| Causes of Action / Relevant Authority | | |
| Conspiracy to commit wire fraud; Wire fraud; Conspiracy to commit money laundering; Conspiracy to commit securities fraud. | | |

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|--|--------------|-------------------|
| Filing / Order | | |
| U.S. v. Mansy and TV TOYZ, LLC | | |
| Filing Date | Court | Docket No. |
| 12/4/2017 | D. Me. | 15-cr-198 |
| Causes of Action / Relevant Authority | | |
| 18 U.S.C. § 1960 | | |
| Ruling / Orders of Note | | |
| Denial of motion to dismiss. | | |
| Final Order of Forfeiture. | | |

Morrison Cohen Notes

Defendant received a year-and-a-day prison sentence and a final order of forfeiture for operating unlicensed money transmission business.

Filing / Order

[U.S. v. Tetley](#)

| Filing Date | Court | Docket No. |
|-------------|---------|------------|
| 11/28/2017 | C.D.Ca. | 17-cr-738 |

Causes of Action / Relevant Authority

18 U.S.C. § 1960; 18 U.S.C. § 1956

Ruling / Orders of Note

[Judgment and Probation/Commitment Order.](#)

[Final Order of Forfeiture \(\\$292,264; 25 gold bars; and 40 BTC\).](#)

Morrison Cohen Notes

Defendant admitted to operating unlicensed bitcoin-for-cash exchange business and laundering bitcoin that was represented to be proceeds of narcotics activity.

Filing / Order

[U.S. v. Zaslavskiy](#)

| Filing Date | Court | Docket No. |
|-------------|----------|------------|
| 10/27/2017 | E.D.N.Y. | 17-cr-647 |

Causes of Action / Relevant Authority

18 U.S.C. § 371 and 3551 *et seq.*

Ruling / Orders of Note

[Order denying Defendant's motion to dismiss.](#)

[Judgment](#) sentencing Zaslavskiy to 18 months in prison.

Morrison Cohen Notes

Court denied Defendant's MTD arguing that cryptocurrency in case was not a security. Defendant later pled guilty to conspiracy to commit securities fraud in connection with two ICOs. See *SEC v. RECoin Group Foundation, LLC*.

Filing / Order

[U.S. v. Stetkiw](#)

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 10/25/2017 | E.D. Mich | 17-mj-30566 |
| Causes of Action / Relevant Authority | | |
| 18 U.S.C. § 1960. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Ong | | |
| Filing Date | Court | Docket No. |
| 8/16/2017 | W.D.Wa. | 17-cr-191 |
| Causes of Action / Relevant Authority | | |
| 18 U.S.C. § 1956(a)(3)(B) and § 1960(b)(1)(A). | | |
| Ruling / Orders of Note | | |
| Judgment. | | |
| Final Order of Forfeiture. | | |
| Morrison Cohen Notes | | |
| Judgment of 20 days of incarceration and over \$1 million in forfeiture for money laundering and operation of an unlicensed money transmission business. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| U.S. v. Garza | | |
| Filing Date | Court | Docket No. |
| 7/20/2017 | D. Conn. | 17-cr-158 |
| Causes of Action / Relevant Authority | | |
| 18 U.S.C. §§ 1343 (wire fraud). | | |
| Ruling / Orders of Note | | |
| Judgment (sentence of 21 months; restitution of \$9,182,000). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Haddow | | |
| Filing Date | Court | Docket No. |
| 6/29/2017 | S.D.N.Y. | 17-cr-4939 |
| Causes of Action / Relevant Authority | | |
| 18 U.S.C. §§ 1343 and 2 (wire fraud). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Costanzo | | |
| Filing Date | Court | Docket No. |
| 4/21/2017 | D. Az. | 17-cr-00585 |
| Causes of Action / Relevant Authority | | |
| Conspiracy to Operate an Unlicensed Money Transmitting Business; Operating Unlicensed Money Transmitting Business. | | |
| Ruling / Orders of Note | | |
| Conviction on all five counts of money laundering. | | |
| Affirmed on appeal to Ninth Circuit. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| U.S. v. BTC-E and Vinnick | | |
| Filing Date | Court | Docket No. |
| 1/17/2017 | N.D.Ca. | 16-cr-227 |
| Causes of Action / Relevant Authority | | |
| 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). | | |
| Ruling / Orders of Note | | |
| FinCen civil money penalty (\$110 million as to BTC-e; \$12 million as to Vinnik). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| U.S. v. Petix | | |
| Filing Date | Court | Docket No. |
| 12/4/2015 | W.D.N.Y. | 15-cr-227 |
| Causes of Action / Relevant Authority | | |
| 18 U.S.C. § 1960. | | |
| Ruling / Orders of Note | | |
| Denial of motion to dismiss. | | |
| Judgment. | | |
| Final order of forfeiture. | | |

| Filing / Order | | |
|---|--------|-------------|
| U.S. v. Michael Lord and Randall Lord | | |
| Filing Date | Court | Docket No. |
| 11/18/2015 | W.D.La | 15-cr-00240 |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Ruling / Orders of Note | | |
| Opinion affirming district court's judgment denying Defendants' motion to withdraw their guilty pleas. | | |

| Filing / Order | | |
|--|----------|------------|
| U.S. v. Murgio, Lebedev, and Gross | | |
| Filing Date | Court | Docket No. |
| 7/21/2015 | S.D.N.Y. | 15-cr-769 |
| Causes of Action / Relevant Authority | | |
| 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). | | |
| Ruling / Orders of Note | | |
| Denial of motion to dismiss. | | |
| Defendants plead guilty; sentenced to prison. | | |
| Second Circuit affirms district court verdicts and sentences. | | |
| Morrison Cohen Notes | | |
| Ended in convictions of all defendants for illegal bitcoin transactions and money laundering, and five-year prison sentence for Defendant Gross. | | |

| Filing / Order | | |
|--|---|------------|
| Florida v. Espinoza | | |
| Filing Date | Court | Docket No. |
| 2/6/2014 (approx.) | 11th Judicial Circuit, Miami-Dade County, Florida | F14-2923 |
| Causes of Action / Relevant Authority | | |
| § 560.125(5)(a), Fla. Stat.; § 896.101(5)(a) and (5)(b) (revised to add virtual currency). | | |

Ruling / Orders of Note

Case dismissed.

Case reinstated on appeal; in part on the basis of the definition of bitcoin as a “medium of exchange.”

Filing / Order

U.S. v. Budovsky and Liberty Reserve

Filing Date

Court

Docket No.

5/28/2013

S.D.N.Y.

13-cr-368

Causes of Action / Relevant Authority

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).

Ruling / Orders of Note

Denial of motion to dismiss, to strike surplusage, and to compel.

Final order of forfeiture.

Second Final Order of Forfeiture.

Morrison Cohen Notes

Defendant received sentence of 20 years in prison for laundering money through cryptocurrency.

Filing / Order

U.S. v. Faiella (aka BTCKing) and Shrem

Filing Date

Court

Docket No.

1/24/2013

S.D.N.Y.

14-mag-0164

Causes of Action / Relevant Authority

18 U.S.C. §§ 1960, 1956; 31 U.S.C. §§ 5318(g) & 5322(a).

Ruling / Orders of Note

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 (Federal, Civil, State, and Local Litigation)

| Filing / Order | | |
|---|--------|---------------|
| In the Matter of Larry Dean Harmon | | |
| Filing Date | Court | Docket No. |
| 10/19/2020 | FinCEN | Number 2020-2 |
| Causes of Action / Relevant Authority | | |
| Violations of Bank Secrecy Act for willfully (a) failing to register as a money services business; (b) failing to implement and maintain an effective anti-money laundering (AML) program; and (c) failing to report certain suspicious activity. | | |

| Filing / Order | | |
|--|--------|------------|
| U.S. v. 280 Virtual Currency Accounts | | |
| Filing Date | Court | Docket No. |
| 8/27/2020 | D.D.C. | 20-cv-2396 |
| Causes of Action / Relevant Authority | | |
| Action <i>in rem</i> to forfeit 280 virtual currency accounts allegedly used to launder millions of dollars' worth of digital currencies stolen by North Korea-backed hackers in 2019. | | |

| Filing / Order | | |
|--|----------|-------------|
| U.S. v. \$44,601 In U.S. Currency | | |
| Filing Date | Court | Docket No. |
| 12/9/2019 | S.D.N.Y. | 19-cv-11248 |
| Causes of Action / Relevant Authority | | |
| 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). | | |

| Filing / Order | | |
|---|---|------------|
| 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 | | |
| Filing Date | Court | Docket No. |
| 7/17/2019 | Superior Court of New Jersey, Chancery Division, General Equity, Essex County | C-151-19 |

Causes of Action / Relevant Authority

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).

Filing / Order

[U.S. v. \\$194,073.14 in U.S. Currency](#)

Filing Date

6/28/2019

Court

W.D. La.

Docket No.

19-cv-837

Causes of Action / Relevant Authority

Action *in rem* 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.

Ruling / Orders of Note

[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.](#)

Filing / Order

[In the Matter of the Inquiry by Letitia James, Attorney General of the State of New York v. iFinex, Inc. et al.](#)

Filing Date

4/25/2019

Court

Supreme Court of New York,
County of New York

Docket No.

450545/2019

Causes of Action / Relevant Authority

N.Y. General Business Law Article 23-A (the "Martin Act"); N.Y. Executive Law § 63(12).

Ruling / Orders of Note

Order granting preliminary injunction.

Decision & Order modifying preliminary injunction.

Order denying Respondents' motion for lack of personal and subject matter jurisdiction.

Order from Appellate Division, 1st Dept, affirming denial of Respondents' motion to dismiss.

Filing / Order

[FINRA Department of Enforcement v. Timothy Tilton Ayre](#)

| Filing Date | Court | Docket No. |
|---|-------------------------|-------------------|
| 9/11/2018 | FINRA admin. proceeding | 2.0160493078e+12 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; negligent misrepresentation; Securities Act § 5; NASD Rule 3040 & FINRA Rule 3280; (private securities transactions). | | |
| Ruling / Orders of Note | | |
| Defendant made material misstatements in public filings, in part, by creating, offering, and selling unregistered cryptocurrency securities to the public that he touted as “the first minable coin backed by marketable securities.” | | |

| Filing / Order | | |
|---|--------------|-------------------|
| FTC v. Dluca (d/b/a Bitcoin Funding Team and My7Network) et al. | | |
| Filing Date | Court | Docket No. |
| 2/20/2018 | S.D.FI | 18-cv-60379 |
| Causes of Action / Relevant Authority | | |
| 15 U.S.C. § 45(a) (FTC Act § 5(a)). | | |
| Ruling / Orders of Note | | |
| Order granting Preliminary Injunction. | | |
| Order to Liquidate Cryptocurrency. | | |
| Order on Motion to Strike. | | |
| Order Denying Motion to Dismiss. | | |
| Contempt Order. | | |

| Filing / Order | | |
|---|----------------------------|-------------------|
| In the Matter of Linda Healthcare Corporation Co. and Arturo Devesa | | |
| Filing Date | Court | Docket No. |
| 5/2/2018 | Colorado admin. proceeding | 2018-CDS-022 |
| Causes of Action / Relevant Authority | | |
| C.R.S. § 11-51-201, 301. | | |

| Filing / Order | | |
|---|----------------------------|--------------|
| In the Matter of Broad Investments, LLC and Guoyong Liu | | |
| Filing Date | Court | Docket No. |
| 5/2/2018 | Colorado admin. proceeding | 2018-CDS-021 |
| Causes of Action / Relevant Authority | | |
| C.R.S. § 11-51-201, 301. | | |

| Filing / Order | | |
|--|----------|------------|
| U.S. v. Coinbase | | |
| Filing Date | Court | Docket No. |
| 3/16/2017 | N.D.Cal. | 17-cv-1431 |
| Causes of Action / Relevant Authority | | |
| Petition to enforce IRS summons. | | |
| Ruling / Orders of Note | | |
| Petition granted in part , 11/29/17. | | |

| Filing / Order | | |
|--|--------|------------|
| FTC v. Equiliv Investments and Ryan Ramminger | | |
| Filing Date | Court | Docket No. |
| 6/29/2015 | D.N.J. | 14-cv-815 |
| Causes of Action / Relevant Authority | | |
| 15 U.S.C. § 45(a) (FTC Act § 5(a)); N.J.S.A. 56:8-1 et seq. | | |
| Ruling / Orders of Note | | |
| Stipulated Order for Permanent Injunction and Monetary Judgment. | | |

| Filing / Order | | |
|---|-----------------------|------------|
| In re Ripple Labs | | |
| Filing Date | Court | Docket No. |
| 5/5/2015 | FinCEN / USAO-N.D.Ca. | |
| Causes of Action / Relevant Authority | | |
| 12 U.S.C. §§ 1829b, 1951-1959 and 31 U.S.C. §§ 5311-5314, 5316-5332 (Bank Secrecy Act). | | |

| | | |
|--|--------------|-------------------|
| Filing / Order | | |
| FTC v. BF Labs, Inc., d/b/a Butterfly Labs | | |
| Filing Date | Court | Docket No. |
| 9/15/2014 | W.D.Mo. | 14-cv-815 |
| Causes of Action / Relevant Authority | | |
| 15 U.S.C. § 45(a) (FTC Act § 5(a)). | | |
| Ruling / Orders of Note | | |
| Stipulated Final Order for Permanent Injunction and Monetary Judgment. | | |

State Summary Suspensions and Settlements

| Filing / Order | Filing Date | Court | Causes of Action / Relevant Authority |
|--|-------------|---|--|
| In the Matter of Liquid Gold Trust, Liquidity Card Solution LLC, Liquidity Global Card Solution (PTY) Ltd, and Lance Angus Jerrard | 8/14/2020 | Texas State Securities Board | Section 29.D of the Texas Securities Act |
| In the Matter of Mirror Trading Intl. Pty Ltd., et al. | 7/7/2020 | Texas State Securities Board | Section 29.D of the Texas Securities Act |
| In the Matter of Coinvaultpro | 6/5/2020 | Texas State Securities Board | Section 29.D of the Texas Securities 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 Limited and Elizabeth Frazier | 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 Zoptax LLC | 8/7/2019 | New Jersey Bureau of Securities | N.J.S.A. 49:3 |
| In the Matter of Unocall | 8/7/2019 | New Jersey Bureau of Securities | N.J.S.A. 49:3 |
| In the Matter of Forex and Bitcoin Trader AKA Forex & Bitcoin Traders AKA FX & Bitcoin Trader AKA FX & Bitcoin | 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 |
| In the Matter of Mikhail Rania Safiya | 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 |
| In the Matter of Madeline O'Farrell | 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 |

| Filing / Order | Filing Date | Court | Causes of Action / Relevant Authority |
|--|--------------------|---|--|
| In the Matter of TintXMiningPool and Maxi Samantha Fortune | 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 |
| In the Matter of FxBitGlobe Ltd. | 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 |
| In the Matter of Mintage Mining, LLC, et al. | 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 |
| In the Matter of My Crypto Mine and Mark Steven Royer | 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 |
| In the Matter of Exy Crypto AKA Execrypto et al. | 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 |
| In the Matter of AWS Mining Pty LTD | 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 |
| Crystal Token | 10/11/2018 | North Dakota Securities Commissioner | North Dakota Century Code Chapter 10-04 |
| Advertiza Holdings (Pty) Ltd. | 10/11/2018 | North Dakota Securities Commissioner | North Dakota Century Code Chapter 10-04 |
| Life Cross Coin a/k/a LifecrosscoinGmbH | 10/11/2018 | North Dakota Securities Commissioner | North Dakota Century Code Chapter 10-04 |
| Bitconnect Ltd. and Bitconnect International plc | 9/19/2018 | North Dakota Securities Commissioner | North Dakota Century Code Chapter 10-04 |

| Filing / Order | Filing Date | Court | Causes of Action / Relevant Authority |
|---|-------------|--------------------------------------|---|
| Magma Foundation a/k/a Magma Coin a/k/a Magma | 9/19/2018 | North Dakota Securities Commissioner | North Dakota Century Code Chapter 10-04 |
| In the Matter of CrowdShare Mining | 9/28/2018 | Colorado Division of Securities | Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud) |
| In the Matter of Cyber Capital Invest (a/k/a CCI Token) | 8/30/2018 | Colorado Division of Securities | Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud) |
| In the Matter of Cred (dba Credits LLC) | 8/30/2018 | Colorado Division of Securities | Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud) |
| In the matter of Global Pay Net (aka GLPN Coin and GPN Token) | 8/10/2018 | Colorado Division of Securities | Colorado Revised Statutes §§ 11-51-301 (sale of unregistered securities), 11-51-501(1) (securities fraud) |
| In the matter of Bionic Coin; In the matter of Sybrellabs 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) |
| In the matter of Bitcoin Investments Ltd. (aka DB Capital); In the matter of EstateX; In the matter of Bitconnect Ltd.; In the matter of Magma Foundation (aka Magma Coin) | 8/2/2018 | Colorado Division of Securities | [press release available] |

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

| Filing / Order | Filing Date | Court | Causes of Action / Relevant Authority |
|---|-------------|---|--|
| | | Securities Division, 18 ADM 006 | |
| 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 Matternvest, 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 |
| 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 |
|--|-------------|---|---|
| In the Matter of Caviar and Kirill Bensonoff | 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 |
| Texas State Securities Board v. Bitconnect | 1/4/2018 | Texas State Securities Board, Order No. ENF-18-CDO-1754 | Texas Securities Act § 23-2; Texas Securities Act §§ 7, 12 |
| 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 / Order | | |
|--|-----------------------------|--------------------|
| Tetragon Financial Group Limited v. Ripple Labs Inc. | | |
| Filing Date | Court | Docket No. |
| 1/7/2021 | Court of Chancery, Delaware | C.A. No. 2021-0007 |
| Causes of Action / Relevant Authority | | |
| Specific Performance; Injunctive Relief. | | |

| Filing / Order | | |
|---|-----------|-------------|
| Sandoval v. Coinbase, Inc. | | |
| Filing Date | Court | Docket No. |
| 12/30/2020 | N.D. Cal. | 20-cv-09420 |
| Causes of Action / Relevant Authority | | |
| Class Action – Violation of Unfair Competition Law. | | |

| Filing / Order | | |
|---|----------|------------|
| Brad Mills v. Rishi Madhok, et al. | | |
| Filing Date | Court | Docket No. |
| 11/16/2020 | S.D.N.Y. | 20-cv-9597 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 5; Exchange Act § 15; breach of contract; unjust enrichment; fraud; aiding and abetting; conversion; breach of fiduciary duty. | | |

| Filing / Order | | |
|---------------------------------------|---------------|------------|
| In re Cred LLC, Libra Credit (US) LLC | | |
| Filing Date | Court | Docket No. |
| 11/7/2020 | Bank. D. Del. | 20-12836 |
| Causes of Action / Relevant Authority | | |
| Chapter 11 of the Bankruptcy Code. | | |
| Morrison Cohen Notes | | |
| First major Chapter 11. | | |

| Filing / Order | | |
|------------------------------------|--|--|
| An v. GTV Media Group Inc., et al. | | |

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 8/18/2020 | S.D.N.Y. | 20-cv-6555 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 12(a)(1) and 15(a); Washington Securities Act. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Middleton, et ano. v. T-Mobile US, Inc. | | |
| Filing Date | Court | Docket No. |
| 7/21/2020 | E.D.N.Y. | 20-cv-03276 |
| Causes of Action / Relevant Authority | | |
| Violation of Federal Communications Act; negligence; violation of the NY Consumer Protection Act; negligent hiring, retention and supervision; negligent infliction of emotional distress; gross negligence. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Harper v. IRS, et al. | | |
| Filing Date | Court | Docket No. |
| 7/15/2020 | D. N.H. | 20-cv-00771 |
| Causes of Action / Relevant Authority | | |
| Violation of Fourth Amendment (unlawful search and seizure of plaintiff's private financial information); violation of Fifth Amendment (violation of plaintiff's due process protections in connection with seizure); violation of 15 U.S.C. § 7609(f) (declaratory action in connection with unlawful John Doe subpoena to obtain plaintiff's private financial records). | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Notestein, et al. | | |
| Filing Date | Court | Docket No. |
| 6/16/2020 | W.D. Va. | 20-cv-342 |
| Causes of Action / Relevant Authority | | |
| Injunctive relief; breach of bailment; conversion; injury to business or trade. | | |

| Filing / Order | | |
|-----------------------------|--------------|-------------------|
| Nowak v. Xapo, Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 6/1/2020 | N.D. Cal. | 20-cv-3643 |

Causes of Action / Relevant Authority

Cal. Penal Code §496; Computer Fraud and Abuse Act (18 U.S.C. §1030(a)(4)); Cal. Penal Code §502.

Filing / Order

Crypto Assets Opportunity Fund LLC and Johnny Hong, individually and on behalf of those similarly situated v. Block One et al.

Filing Date**Court****Docket No.**

5/18/2020

S.D.N.Y.

20-cv-3829

Causes of Action / Relevant Authority

Securities Act §§ 5, 12(a)(1); Securities Act § 12(a)(2); Securities Act § 15; Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a).

Filing / Order

BMA LLC v. HDR Global Trading Limited et al.

Filing Date**Court****Docket No.**

5/16/2020

N.D. Cal.

20-cv-3345

Causes of Action / Relevant Authority

RICO (18 U.S.C. § 1962(c) and § 1962(d); CEA §§ 6 & 22 (Market Manipulation); CEA § 2 (Principal Agent Liability).

Filing / Order

Messieh and Lee, individually and on behalf of those similarly situated v. HDR Global Trading, et al.

Filing Date**Court****Docket No.**

4/23/2020

S.D.N.Y.

20-cv-3232

Causes of Action / Relevant Authority

CEA §§ 6 & 22 (Market Manipulation); CEA § 2 (Principal Agent Liability); CEA §§ 13 & 22 (Aiding & Abetting).

Filing / Order

Ripple Labs, Inc. and Garlinghouse v. YouTube, L.L.C.

Filing Date**Court****Docket No.**

4/21/2020

N.D. Cal

20-cv-02747

Causes of Action / Relevant Authority

Trademark infringement under the Lanham Act; Violation of CA's statutory and common law right of publicity; Violation of CA's unfair competition law.

Filing / Order

Johnson v. Maker Ecosystem Growth Holdings, Inc., et al.

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 4/14/2020 | N.D. Cal. | 20-cv-2569 |

Causes of Action / Relevant Authority

Negligence; intentional misrepresentation; negligent misrepresentation.

Ruling / Orders of Note

Order Granting Defendants' Motion to Compel Arbitration; Vacating Hearing; Staying Claims.

Filing / Order

Compound Labs, Inc. v. Alex Mack, Inc.

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 4/8/2020 | N.D. Cal. | 20-cv-2370 |

Causes of Action / Relevant Authority

Lanham Act § 43(a); Anti-Cybersquatting Consumer Protection Act; Common Law Unfair Competition; Trademark Infringement; CA Business and Professions Code.

Filing / Order

Clifford, individually and on behalf of all others similarly situated v. Status Research & Development GMBH, et al.

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 4/3/2020 | S.D.N.Y. | 20-cv-2815 |

Causes of Action / Relevant Authority

Securities Act §§ 5, 12(a)(1); 815 Ill. Comp. Stat. Ann. 5/13.

Filing / Order

Williams, individually and on behalf of all others similarly situated v. Quantstamp, Inc. et al.

| Filing Date | Court | Docket No. |
|--------------------|--------------|------------------------|
| 4/3/2020 | S.D.N.Y. | 20-cv-2813; 20-cv-2814 |

Causes of Action / Relevant Authority

Securities Act §§ 5, 12(a)(1); Tex. Rev. Civ. Stat. art. 581-33.

Filing / Order

Clifford, individually and on behalf of all others similarly situated v. Kaydex Pte. Ltd.

Filing Date**Court****Docket No.**

4/3/2020

S.D.N.Y.

20-cv-2812

Causes of Action / Relevant Authority

Securities Act §§ 5, 12(a)(1); 815 Ill. Comp. Stat. Ann. 5/13.

Filing / Order

Zhang, individually and on behalf of all others similarly situated v. Civic Technologies, Inc., et al.

Filing Date**Court****Docket No.**

4/3/2020

S.D.N.Y.

20-cv-2811

Causes of Action / Relevant Authority

Securities Act §§ 5, 12(a)(1); 815 Ill. Comp. Stat. Ann. 5/13.

Filing / Order

Zhang, individually and on behalf of all others similarly situated v. BProtocol Foundation et al.

Filing Date**Court****Docket No.**

4/3/2020

S.D.N.Y.

20-cv-2810

Causes of Action / Relevant Authority

Securities Act §§ 5, 12(a)(1); N.J. Stat. Ann. § 49:3-71.

Filing / Order

Williams and Zhang, individually and on behalf of all others similarly situated v. Block.One, Blumer and Larimer

Filing Date**Court****Docket No.**

4/3/2020

S.D.N.Y.

20-cv-2809

Causes of Action / Relevant Authority

Securities Act §§ 5, 12(a)(1); N.J. Stat. Ann. § 49:3-71; Tex. Rev. Civ. Stat. art. 581-33.

| Filing / Order | | |
|--|--------------|-------------------|
| Honig v. Riot Blockchain, Inc. | | |
| Filing Date | Court | Docket No. |
| 4/3/2020 | S.D.N.Y. | 20-cv-2808 |
| Causes of Action / Relevant Authority | | |
| Declaratory judgment; breach of contract. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Clifford v. Bibox Group Holdings Ltd., et al. | | |
| Filing Date | Court | Docket No. |
| 4/3/2020 | S.D.N.Y. | 20-cv-2807 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5, 12(a)(1); Exchange Act §§ 5, 29(b); Exchange Act §§ 15(a)(1), 29(b); Exchange Act § 20; 815 Ill. Comp. Stat. Ann. 5/13. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Williams, individually and on behalf of all others similarly situated v. KuCoin, et al. | | |
| Filing Date | Court | Docket No. |
| 4/3/2020 | S.D.N.Y. | 20-cv-2806 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5, 12(a)(1); Exchange Act §§ 5, 29(b); Exchange Act §§ 15(a)(1) and 29(b); Exchange Act § 20; Tex. Rev. Civ. Stat. art. 581-33. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Williams and Zhang, individually and on behalf of all others similarly situated v. HDR Global Trading Limited, et al. | | |
| Filing Date | Court | Docket No. |
| 4/3/2020 | S.D.N.Y. | 20-cv-2805 |
| Causes of Action / Relevant Authority | | |
| CEA §§ 6 and 22; CEA § 2(a)(1)(B); CEA §§ 13 and 22(a)(1); Securities Act §§ 5, 12(a)(1); Exchange Act §§ 5, 6, 29(b); Exchange Act §§ 15(a)(1) and 29(b); Exchange Act § 20; N.J. Stat. Ann. § 49:3-71; Tex. Rev. Civ. Stat. art. 581-33. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Clifford and Williams, individually and on behalf of all others similarly situated v. Tron Foundation, et al. | | |
| Filing Date | Court | Docket No. |
| 4/3/2020 | S.D.N.Y. | 20-cv-2804 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5, 12(a)(1); 815 Ill. Comp. Stat. Ann. 5/13; Tex. Rev. Civ. Stat. art. 581-33. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Lee and Williams v. Binance Changpeng Zhao, Yi He and Roger Wang | | |
| Filing Date | Court | Docket No. |
| 4/3/2020 | S.D.N.Y. | 20-cv-2803 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5, 12(a)(1); Exchange Act §§ 5, 29(b); Exchange Act §§ 15(a)(1), 29(b); Exchange Act § 20; Tex. Rev. Civ. Stat. art. 581-33. | | |

| Filing / Order | | |
|---|--|-------------------|
| Q3 Investments Recovery Vehicle, LLC v. Seijas, et al. | | |
| Filing Date | Court | Docket No. |
| 4/1/2020 | Circuit Court of Thirteenth Judicial Circuit in Hillsborough County, Florida | 20-ca-002402 |
| Causes of Action / Relevant Authority | | |
| Fraud; conspiracy to commit fraud; negligent misrepresentation; unjust enrichment; breach of fiduciary duty; negligence; vicarious liability. | | |
| Ruling / Orders of Note | | |
| Order Granting Plaintiff's Motion for Remand. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Dos Bowies, LP, et al. v. Ackerman, et al. | | |
| Filing Date | Court | Docket No. |
| 3/20/2020 | S.D.N.Y. | 20-cv-2479 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Fraudulent Inducement; Breach of Fiduciary Duty; Civil Conspiracy to Commit Fraud; Negligence; Conversion; Unjust Enrichment. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Simmons v. Ripple Labs, Inc. et al. | | |
| Filing Date | Court | Docket No. |
| 3/12/2020 | S.D.N.Y. | 20-cv-2236 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5, 12, and 15. | | |

| Filing / Order | | |
|--|---|-------------------|
| Abdullah v. Canaan, Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 3/6/2020 | Supreme Court for the State of New York, County of New York | 651515/2020 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 11, and 15. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Lemieux v. Canaan Inc. et al. | | |
| Filing Date | Court | Docket No. |
| 3/4/2020 | D. Or. | 20-cv-356 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 11, 12(a)(2), and 15. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| GSR Markets, Ltd. and Paul Rogers v. Fr8 Network, Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 1/16/2020 | S.D.N.Y. | 20-cv-440 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; breach of contract; unjust enrichment; common law fraud. | | |

| Filing / Order | | |
|---|--|--|
| Farbus, individually and on behalf of all other persons similarly situated v. iFinex Inc., et al. | | |

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 1/9/2020 | S.D.N.Y | 20-cv-211 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|--|--------------|-------------------|
| Young, Kurtz, and Crystal, individually and on behalf of all other persons similarly situated v. iFinex Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 1/8/2020 | S.D.N.Y. | 20-cv-169 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|---|---|-------------------|
| Runyon v. Payward, Inc. d/b/a Kraken, et al. | | |
| Filing Date | Court | Docket No. |
| 11/26/2019 | Superior Court of California, San Francisco County | CGR-19-581099 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|--|--------------|-------------------|
| Young and Kurtz v. iFinex Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 11/22/2019 | W.D. Wa | 19-cv-1902 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|---|-----------|------------|
| James et al. v. Valo et al. | | |
| Filing Date | Court | Docket No. |
| 11/4/2019 | E.D. Tex. | 19-cv-801 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|--|-----------|------------|
| Bitcoin Manipulation Abatement LLC v. FTX Trading LTD, et al. | | |
| Filing Date | Court | Docket No. |
| 11/2/2019 | N.D. Cal. | 19-cv-7245 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|----------|-------------|
| 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 | | |
| Filing Date | Court | Docket No. |
| 10/21/2019 | C.D. Cal | 19-mc-00021 |
| Causes of Action / Relevant Authority | | |
| Application to Conduct Discovery pursuant to 28 U.S.C. §1782. | | |

| Filing / Order | | |
|---|-----------|------------|
| Shapiro v. AT&T Mobility, LLC | | |
| Filing Date | Court | Docket No. |
| 10/17/2019 | C.D. Cal. | 19-cv-8972 |
| Causes of Action / Relevant Authority | | |
| Violations of Federal Communications Act; Violations of Cal. Unfair Competition Law under the Unlawful, Unfair and Fraudulent Prongs; Violations of Cal. Constitutional Right to Privacy; | | |

Negligence; Negligent Supervision and Entrustment; Violations of Cal. Consumers Legal Remedies Act; Violation of Computer Fraud and Abuse Act.

Ruling / Orders of Note

Order granting in part and denying in part Defendant's motion to dismiss.

Filing / Order

[Finco Services Inc. v. Facebook Inc., et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 10/10/2019 | S.D.N.Y. | 19-cv-9410 |

Causes of Action / Relevant Authority

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.

Filing / Order

[Crypto Asset Fund, LLC, et al. v. MedCredits, et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 9/27/2019 | S.D. Cal | 19-cv-1869 |

Causes of Action / Relevant Authority

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 *et seq.*; breach of contract; unjust enrichment; conversion; promissory estoppel; fraud; negligent misrepresentation; interference with contractual relations.

Filing / Order

[Leibowitz, et al. v. iFinex Inc., et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 10/6/2019 | S.D.N.Y. | 19-cv-9236 |

Causes of Action / Relevant Authority

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.

Ruling / Orders of Note

Consolidated Class Action Complaint.

| Filing / Order | | |
|--|----------|------------|
| Anaykin and Bondarev v. Evdokimov and Cryptonomics Capital | | |
| Filing Date | Court | Docket No. |
| 9/20/2019 | C.D. Cal | 19-cv-8165 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|--|-------------|
| Hall, individually and derivatively on behalf of Veritaseum, Inc. v. Middleton et al. | | |
| Filing Date | Court | Docket No. |
| 8/30/2019 | Supreme Court of New York, County of New York | 655003/2019 |
| Causes of Action / Relevant Authority | | |
| Breach of fiduciary duty; Violation of N.Y. Bus. Corp. Law § 720; breach of contract; unjust enrichment; fraud; accounting. | | |

| Filing / Order | | |
|--|-----------|------------|
| Ferrie v. Woodford Research LLC, et al. | | |
| Filing Date | Court | Docket No. |
| 8/28/2019 | W.D. Wash | 19-cv-5798 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 5(a) and 5(c); breach of contract; fraudulent misrepresentation; negligent misrepresentation; fraudulent concealment; unjust enrichment; alter ego liability; civil conspiracy. | | |

| Filing / Order | | |
|---|--------|------------|
| Invictus Hyperion v. Gamedex Limited | | |
| Filing Date | Court | Docket No. |
| 8/28/2019 | D. Md. | 19-cv-2489 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Ethereum Ventures, LLC v. Chet Mining Co LLC and Chet Stojanovich | | |
| Filing Date | Court | Docket No. |
| 8/26/2019 | S.D.N.Y. | 19-cv-7949 |
| Causes of Action / Relevant Authority | | |
| Breach of Contract; Fraud; Conversion; N.Y. U.C.C. §§ 2-711, 2-713, 2-715, 2-716. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Blockchain Capital, LLC v. Blockchain Capital Limited and Gavin Brown | | |
| Filing Date | Court | Docket No. |
| 8/21/2019 | S.D.N.Y. | 19-cv-7847 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|--|--------------|-------------------|
| Oracle Corporation et al v. Crypto Oracle, LLC et al. | | |
| Filing Date | Court | Docket No. |
| 8/15/2019 | N.D.Ca | 19-cv-4900 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|--|--------------|-------------------|
| Crypto Asset Fund, LLC v. Opskins Group, Inc. | | |
| Filing Date | Court | Docket No. |
| 8/12/2019 | C.D.Ca | 19-cv-6983 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|------------------------------|-------------|
| White v. Sharabati | | |
| Filing Date | Court | Docket No. |
| 8/9/2019 | New York State Supreme Court | 157792/2019 |
| Causes of Action / Relevant Authority | | |
| Replevin; CAFA (18 USC § 1030); fraud; conversion; unjust enrichment; declaratory relief. | | |

| Filing / Order | | |
|--|--------|------------|
| In re Ripple Labs Inc. Litigation (consolidated complaint) | | |
| Filing Date | Court | Docket No. |
| 8/5/2019 | N.D.Ca | 18-cv-6753 |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Ruling / Orders of Note | | |
| Order granting in part and denying in part defendants' motion to dismiss. | | |
| Order granting joint motion to relate. | | |

| Filing / Order | | |
|--|----------|------------|
| Merkamerica, Inc. v. Glover, et al. | | |
| Filing Date | Court | Docket No. |
| 7/16/2019 | C.D.Cal. | 19-cv-6111 |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Ruling / Orders of Note | | |
| Order denying motion to dismiss. | | |

| Filing / Order | | |
|---|--|--|
| SG Family Investments LLC et al. v. Argyle Coin LLC | | |

| Filing Date | Court | Docket No. |
|---|--------------|-------------------|
| 7/12/2019 | S.D.Fl. | 19-cv-22899 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Invictus Hyperion v. Menlo, Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 7/1/2019 | S.D.N.Y. | 19-cv-6146 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Anuwave LLC v. Coinbase | | |
| Filing Date | Court | Docket No. |
| 6/27/2019 | D. Del. | 19-cv-1226 |
| Causes of Action / Relevant Authority | | |
| Patent Infringement. | | |
| Ruling / Orders of Note | | |
| Notice of Voluntary Dismissal with Prejudice. | | |

| Filing / Order | | |
|---|------------------------------------|-------------------|
| In re Cryptopia Limited (In Liquidation) | | |
| Filing Date | Court | Docket No. |
| 5/24/2019 | U.S. Bankruptcy Court, S.D.N.Y. | 19-11688 |
| Causes of Action / Relevant Authority | | |
| Requesting relief under Chapter 15 of U.S. Bankruptcy Code. | | |

| Filing / Order | | |
|---|--|--|
| Grablis, et al. v. OneCoin Ltd., et al. | | |

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 5/7/2019 | S.D.N.Y. | 19-cv-4074 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 12(a); Securities Act § 15(a); breach of contract; unjust enrichment; fraudulent inducement; fraudulent misrepresentation; negligent misrepresentation; conversion; civil conspiracy. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Lightwire, LLC v. Zerocoin Electric Coin Company, LLC | | |
| Filing Date | Court | Docket No. |
| 5/3/2019 | D. Colo. | 19-cv-1292 |
| Causes of Action / Relevant Authority | | |
| Patent Infringement | | |
| Ruling / Orders of Note | | |
| Notice of Voluntary Dismissal Without Prejudice | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Alm, et al. v. Spence, et al. | | |
| Filing Date | Court | Docket No. |
| 5/3/2019 | S.D.N.Y. | 19-cv-4005 |
| Causes of Action / Relevant Authority | | |
| Fraud; negligent misrepresentation; breach of fiduciary duty; breach of contract; conversion; unjust enrichment; accounting. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Polites v. Alchemy Finance, Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 4/30/2019 | S.D.N.Y. | 19-cv-3862 |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Ruling / Orders of Note | | |
| Notice of Voluntary Dismissal with Prejudice. | | |

| Filing / Order | | |
|--|----------|------------|
| Fasulo v. Xtrade Digital Assets Inc., et al. | | |
| Filing Date | Court | Docket No. |
| 4/26/2019 | S.D.N.Y. | 19-cv-3741 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|--|---------|------------|
| Hunichen v. Atonomi LLC et al. | | |
| Filing Date | Court | Docket No. |
| 4/25/2019 | W.D. Wa | 19-cv-615 |
| Causes of Action / Relevant Authority | | |
| Washington Securities Act, RCW 21.20.430. | | |

| Filing / Order | | |
|--|----------|------------|
| Silverman v. Payward, Inc. | | |
| Filing Date | Court | Docket No. |
| 4/4/2019 | S.D.N.Y. | 19-cv-2997 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; quantum meruit; unjust enrichment. | | |

| Filing / Order | | |
|--|---------|------------|
| GSR Markets Limited v. Diana McDonald, et al. | | |
| Filing Date | Court | Docket No. |
| 3/1/2019 | N.D. Ga | 19-cv-1005 |
| Causes of Action / Relevant Authority | | |
| TRO/injunction; fraud; breach of contract; breach of fiduciary duty; negligence; conspiracy; conversion; aiding and abetting (fraud, fiduciary duty, conversion); unjust enrichment; accounting. | | |

| Filing / Order | | |
|---|--|--|
| Ball and Toth v. DG Rollins, et al. | | |

| Filing Date | Court | Docket No. |
|---|--------------|-------------------|
| 2/18/2019 | D. Ore | 19-cv-242 |
| Causes of Action / Relevant Authority | | |
| 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 / Order | | |
|---|--------------|-------------------|
| Garrison and Garrison v. Ringgold et al. | | |
| Filing Date | Court | Docket No. |
| 2/4/2019 | S.D. Cal | 19-cv-244 |
| Causes of Action / Relevant Authority | | |
| 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). | | |
| Ruling / Orders of Note | | |
| 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. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Lijun Sun v. Blue Ocean Capital Group, Inc. et al. | | |
| Filing Date | Court | Docket No. |
| 2/1/2019 | S.D.N.Y. | 19-cv-1033 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|--|-------------------|
| Mark Owen, individually and on behalf of others similarly situated v. Elastos Foundation et al. | | |
| Filing Date | Court | Docket No. |
| 1/31/2019 | Supreme Court of New York, County of New York | 650628/2019 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 5(a) and (c); Securities Act § 12(a)(1); Securities Act § 15(a). | | |

| Filing / Order | | |
|---|--------------|-------------------|
| ZG Top Technology Co., Lt. v. John Doe | | |
| Filing Date | Court | Docket No. |
| 1/22/2019 | W.D.Wa | 19-cv-92 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Wu, et al. v. Bitfloor, Inc., et ano. | | |
| Filing Date | Court | Docket No. |
| 1/9/2019 | S.D.N.Y. | 19-cv-238 |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Ruling / Orders of Note | | |
| Order granting in part and denying in part Defendant’s motion to dismiss. | | |

| Filing / Order | | |
|---|---|-------------------|
| Emerging Markets Intrinsic Cayman, Ltd., et al. v. Kadena LLC, et al. | | |
| Filing Date | Court | Docket No. |
| 1/4/2019 | Supreme Court of New York, County of Kings | 500262/2019 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; duty of good faith and fair dealing; declaratory judgment; fraud; quantum meruit. | | |

| Filing / Order | | |
|--|--|-------------------|
| Factset Research Systems Inc. v. CG Blockchain, Inc. | | |
| Filing Date | Court | Docket No. |
| 1/3/2019 | Supreme Court of New York, County of New York | 650027/2019 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; unjust enrichment. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Fabian, individually and on behalf of other similarly situated, v. Nano f/k/a Railblocks f/k/a Hieusys, LLC et al. | | |
| Filing Date | Court | Docket No. |
| 1/3/2019 | N.D.Cal. | 19-cv-54 |
| Causes of Action / Relevant Authority | | |
| 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. | | |
| Ruling / Orders of Note | | |
| Order Granting in Part and Denying in Part Motion to Dismiss. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Adler v. Payward, Inc. | | |
| Filing Date | Court | Docket No. |
| 9/5/2018 | S.D.N.Y. | 18-cv-8100 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|--|-------------------|
| Terpin v. Truglia, et al. | | |
| Filing Date | Court | Docket No. |
| 12/28/2018 | Superior Court of California, County of Los Angeles | 18STCV09875 |
| Causes of Action / Relevant Authority | | |
| Conversion; money had and received; Penal code § 502 (unauthorized access of computers); Section 1962(c) of the RICO Act; imposition of constructive trust. | | |
| Ruling / Orders of Note | | |
| Notice of Entry of Judgment against Defendant Truglia. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Oto, individually and on behalf of others similarly situated v. NVIDIA Corp., et al. | | |
| Filing Date | Court | Docket No. |
| 12/28/2018 | N.D.Cal. | 18-cv-7783 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a).

Filing / Order

[Corram Holdings, LLC v. Edith A. Pardo Mehler a/k/a Edith A. Pardo et al.](#)

Filing Date

12/27/2018

Court

Supreme Court of New York,
County of New York

Docket No.

162155/2018

Causes of Action / Relevant Authority

Breach of contract; fraud; violation of Judiciary Law § 487; injunctive relief; order of attachment; piercing the corporate veil.

Filing / Order

[Lageman, et al. v. Spence, et al.](#)

Filing Date

12/26/2018

Court

S.D.N.Y.

Docket No.

18-cv-12218

Causes of Action / Relevant Authority

Fraudulent inducement; breach of fiduciary duty; fraudulent misrepresentation; negligent misrepresentation; rescission; unjust enrichment; conversion; civil conspiracy; accounting; imposition of a constructive trust.

Filing / Order

[Blocktree Proprs., LLC et al. v. Pub. Utility Dist. No. 2 of Grant Cty. Wash](#)

Filing Date

12/19/2018

Court

E.D.Wa

Docket No.

18-cv-390

Causes of Action / Relevant Authority

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.

Filing / Order

[Schafer, et al. v. Graf, et al.](#)

Filing Date

12/14/2018

Court

N.D.Ill.

Docket No.

18-cv-8236

Causes of Action / Relevant Authority

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 / Order

[Auctus Fund, LLC, et ano. v. Sunstock, Inc.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 12/13/2018 | D.Mass. | 18-cv-12568 |

Causes of Action / Relevant Authority

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).

Filing / Order

[United American Corp. v. Bitmain, Inc. et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 12/6/2018 | S.D.Fla. | 18-cv-25106 |

Causes of Action / Relevant Authority

Violation of Section 1 of the Sherman Act; negligent misrepresentation; negligence; equitable estoppel; unjust enrichment; conversion; injunctive relief.

Filing / Order

[818Computer, Inc. v. Sentinel Insurance Company, Ltd., et al.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------------------------|-------------------|
| 12/5/2018 | Sup. Ct. CA Cty of Los Angeles | 19-cv-9 |

Causes of Action / Relevant Authority

Breach of contract breach of implied covenant of good faith and fair dealing; violation of business and professional code Section § 17200, *et seq.*, Negligent Misrepresentation.

Filing / Order

[Coinmint, LLC v. Main Mill Street Investments, LLC](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 11/30/2018 | N.D.N.Y. | 18-cv-1404 |

Causes of Action / Relevant Authority

Fraudulent inducement; Breach of contract.

Filing / Order

[Blockchain Mining Supply and Services Ltd., v. Super Crypto Mining, Inc., and DPW Holdings, Inc.](#)

Filing Date**Court****Docket No.**

11/28/2018

S.D.N.Y.

18-cv-11099

Causes of Action / Relevant Authority

Breach of contract; promissory estoppel.

Filing / Order

[Patterson et al. v. Budbo, Inc. et al.](#)

Filing Date**Court****Docket No.**

11/20/2018

W.D.Tex

18-cv-998

Causes of Action / Relevant Authority

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).

Filing / Order

[Galavis v. Bank of America and Visa](#)

Filing Date**Court****Docket No.**

11/8/2018

C.D.Cal.

18-cv-9490

Causes of Action / Relevant Authority

15 U.S.C. § 1601 (Truth in Lending Act); breach of contract; tortious interference; declaratory judgment.

Filing / Order

[In re Giga Watt Inc.](#)

Filing Date**Court****Docket No.**

11/19/2018

E.D.Wa

18-br-3197

Causes of Action / Relevant Authority

Chapter 11 Bankruptcy Filing.

| Filing / Order | | |
|--|----------|-------------|
| Loong Chee Min et ano v. Longfin Corp. et al. | | |
| Filing Date | Court | Docket No. |
| 11/14/2018 | S.D.N.Y. | 18-cv-10635 |
| Causes of Action / Relevant Authority | | |
| Securities Act §12(a)(2); Securities Act §15(a); Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a); Fraud. | | |

| Filing / Order | | |
|---|--|--------------|
| Cryplex, Inc. v. Bitmain Technologies Holding Company | | |
| Filing Date | Court | Docket No. |
| 11/8/2019 | Santa Clara County Superior Courts, California | 18-cv-337836 |
| Causes of Action / Relevant Authority | | |
| breach of contract (nondisclosure agreement); misappropriation of trade secrets; breach of contract (MOU); & violation of California's unfair competition law (UCL). | | |
| Ruling / Orders of Note | | |
| 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. | | |

| Filing / Order | | |
|--|---------|--------------|
| Smoak v. Bitcoin Market, LLC, et al. | | |
| Filing Date | Court | Docket No. |
| 11/7/2018 | W.D.Ok. | 18-cv-1096-G |
| Causes of Action / Relevant Authority | | |
| Breach of contract | | |
| Ruling / Orders of Note | | |
| Second Amended Complaint. | | |

| Filing / Order | | |
|--------------------------------|---------|------------|
| Bitmain v. Doe | | |
| Filing Date | Court | Docket No. |
| 11/7/2018 | W.D.Wa. | 18-cv-1626 |

Causes of Action / Relevant Authority

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.

Ruling / Orders of Note

[Plaintiff's Voluntary Notice of Dismissal Without Prejudice.](#)

Filing / Order

[Beranger v. Harris et al.](#)

Filing Date**Court****Docket No.**

11/1/2018

N.D. Ga

18-cv-5054

Causes of Action / Relevant Authority

Securities Act §12(a); Securities Act §15(a); Control Person Liability under the Georgia Uniform Securities Act.

Ruling / Orders of Note

[Order granting in part, and denying in part Defendants' motion to dismiss.](#)

[First Amended Complaint.](#)

Filing / Order

[Weathersbee v. Meenavalli et al. \(Longfin\)](#)

Filing Date**Court****Docket No.**

11/1/2018

S.D.N.Y.

18-cv-10182

Causes of Action / Relevant Authority

Derivative complaint for breach of fiduciary duties; unjust enrichment; abuse of control; corporate waste.

Filing / Order

[Fintz v. O'Rourke \(Riot Blockchain\)](#)

Filing Date**Court****Docket No.**

10/22/2018

S.D.N.Y.

18-cv-9640

Causes of Action / Relevant Authority

Derivative complaint for breach of fiduciary duties; unjust enrichment; corporate waste.

| Filing / Order | | |
|--|--|-------------|
| Clarity LLC v. CG Blockchain, Inc. | | |
| Filing Date | Court | Docket No. |
| 10/19/2018 | Supreme Court of New York, County of New York | 655211/2018 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; unjust enrichment; account stated. | | |

| Filing / Order | | |
|---|-------------------------------------|-----------------|
| [Confidential T-Mobile Customer] v. T-Mobile USA, Inc. | | |
| Filing Date | Court | Docket No. |
| 10/11/2018 | American Arbitration Association | 01-18-0003-7835 |
| Causes of Action / Relevant Authority | | |
| 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 <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. | | |

| Filing / Order | | |
|---|-------------------------------------|-----------------|
| [Confidential AT&T Customer] v. AT&T, Inc., AT&T Mobility, LLC a/k/a AT&T Wireless | | |
| Filing Date | Court | Docket No. |
| 10/11/2018 | American Arbitration Association | 01-18-0003-7841 |
| Causes of Action / Relevant Authority | | |
| 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. | | |

| Filing / Order | | |
|---|--|-------------|
| Wanlin Wang, Bibox Grou Holdings, Ltd. v. Wei Liu | | |
| Filing Date | Court | Docket No. |
| 10/10/2018 | Supreme Court of New York, County of New York | 655050/2018 |

Causes of Action / Relevant Authority

Fraud; conversion; unjust enrichment; breach of contract; unfair competition; faithless servant; tortious interference; constructive trust; declaratory relief; permanent injunction.

Filing / Order

[Klingberg v. MGT Capital Investments et al.](#)

| Filing Date | Court | Docket No. |
|-------------|--------|-------------|
| 9/28/2018 | D.N.J. | 18-cv-14380 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 9(a) and (f); Exchange Act § 20(a).

Filing / Order

[Blockchain Luxembourg S.A. v. Paymium, SAS](#)

| Filing Date | Court | Docket No. |
|-------------|----------|------------|
| 9/20/2018 | S.D.N.Y. | 18-cv-8612 |

Causes of Action / Relevant Authority

Trademark infringement; unfair competition; false advertising; deceptive acts and practices; injury to business reputation and dilution; misappropriation.

Filing / Order

[Rothsay Ltd., individually and derivatively on behalf of The Iconic Deo Volente Corp. v. Patrick Damien O'Brien et al.](#)

| Filing Date | Court | Docket No. |
|-------------|--------------|------------|
| 9/12/2018 | Del. Ch. Ct. | 2018-0674 |

Causes of Action / Relevant Authority

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.

Filing / Order

[Winklevoss Capital Fund, LLC v. Shrem](#)

| Filing Date | Court | Docket No. |
|-------------|----------|------------|
| 9/11/2018 | S.D.N.Y. | 18-cv-8250 |

Causes of Action / Relevant Authority

Breach of fiduciary duty; fraud; constructive trust; accounting

Ruling / Orders of Note

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 / Order

[Martinangeli v. Akerman, LLP](#)

Filing Date

9/4/2018

Court

S.D.Fla.

Docket No.

18-cv-23607

Causes of Action / Relevant Authority

Fraudulent inducement; negligent misrepresentations; negligent retention and supervision; constructive trust/disgorgement.

Ruling / Orders of Note

Order dismissing case.

Filing / Order

[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](#)

Filing Date

8/13/2018

Court

Superior Court of Washington
for King County

Docket No.

18-2-20306-6

Causes of Action / Relevant Authority

Securities Act § 5; Securities Act § 12(a)(1); Securities Act § 15.

Filing / Order

[Michael Terpin v. AT&T INC.; AT&T Mobility, LLC; and DOES 1-25](#)

Filing Date

8/15/2018

Court

C.D.Ca

Docket No.

18-cv-6975

Causes of Action / Relevant Authority

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 *et seq.* (Assisting unlawful access to computer); Cal. Bus. & Prof. Code § 17200 *et seq.* (Unlawful

business practice); Cal. Bus. & Prof. Code § 17200 *et seq.* (Fraudulent business practice); Cal. Civ. Code § 1750 *et seq.* (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.

Ruling / Orders of Note

[Order granting, in part, and denying, in part, Defendants' motion to dismiss and denying Defendants' motion to strike \(7/19/2019\).](#)

Order granting, in part, and denying, in part, Defendant's motion to dismiss Plaintiff's First Amended Complaint (2/24/2020).

Filing / Order

[Johnsen v. Kirtz et al](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 8/2/2018 | S.D.Fla. | 18-cv-81019 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Securities Act § 5; Texas Securities Act; Florida fraudulent transfer.

Filing / Order

[Greenwald v. Ripple Labs, Inc](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 8/8/2018 | N.D.Ca | 18-cv-4790 |

Causes of Action / Relevant Authority

Securities Act § 5; Securities Act § 12(a)(1); Securities Act § 15.

Filing / Order

[Gladius Network LLC v. Krypton Blockchain Holdings Ltd.](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 7/23/2018 | D.D.C. | 18-cv-1713 |

Causes of Action / Relevant Authority

Declaratory judgment; misrepresentation.

Filing / Order

[BDI Capital, LLC v. Bulbul Investments LLC](#)

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 7/16/2018 | N.D. Ga | 18-cv-3392 |
| Causes of Action / Relevant Authority | | |
| Fraud by deceptive device or contrivance; Theft by Conversion; Fraudulent Misrepresentation; Negligent Misrepresentation; Unjust Enrichment; Attorneys' Fees and Expenses. | | |
| Ruling / Orders of Note | | |
| Order on Motion for Summary Judgment. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Ox Labs, Inc. v. Bitpay, Inc. | | |
| Filing Date | Court | Docket No. |
| 7/6/2018 | C.D. Cal. | 18-cv-5934 |
| Causes of Action / Relevant Authority | | |
| Conversion; unjust enrichment. | | |
| Ruling / Orders of Note | | |
| Order on Defendant's motion for JMOL and Plaintiff's Pretrial Dispositive Motion (both granted in part, denied in part). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Srinivasan v. Kenna, et al. | | |
| Filing Date | Court | Docket No. |
| 7/2/2018 | N.D. Cal. | 18-cv-3977 |
| Causes of Action / Relevant Authority | | |
| Breach of warranty; Intentional misrepresentation; Negligent misrepresentation; Conversion; Violation of CA. Unfair Competition Act. | | |
| Ruling / Orders of Note | | |
| Order granting defendants' motion to dismiss. | | |
| Order granting defendants' motion to dismiss second amended complaint. | | |

| Filing / Order |
|--|
| 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. |

| Filing Date | Court | Docket No. |
|--|--|-------------------|
| 6/26/2018 | Supreme Court of New York, County of New York | 653216/2018 |
| Causes of Action / Relevant Authority | | |
| Breach of fiduciary duty; Unjust enrichment; Abuse of control; Gross mismanagement; Waste of corporate assets. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Balestra v. Cloud With Me LTD., Gilad Somjen, and Asaf Zamir | | |
| Filing Date | Court | Docket No. |
| 6/19/2018 | W.D.Pa. | 05-mc-02025 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 12(a)(1); Securities Act § 15(a). | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Solis v. Latium Network, Inc. et al. | | |
| Filing Date | Court | Docket No. |
| 6/6/2018 | D.N.J. | 18-cv-10255 |
| Causes of Action / Relevant Authority | | |
| Securities Act § 5(a); Securities Act § 15(a). | | |
| Ruling / Orders of Note | | |
| Defendants' Motion to Dismiss Denied. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Founder Starcoin, Inc. v. Launch Labs Inc. (d/b/a Axiom Zen) | | |
| Filing Date | Court | Docket No. |
| 5/16/2018 | S.D.Ca | 08-cv-972 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; trade secret misappropriation; intentional interference with prospective economic advantage; and unfair competition. | | |
| Ruling / Orders of Note | | |
| Case closed following notice of voluntary dismissal. | | |

| Filing / Order | | |
|--|--------|------------|
| Telegram Messenger Inc v. Lantah, LLC | | |
| Filing Date | Court | Docket No. |
| 5/11/2018 | N.D.Ca | 18-cv-2811 |
| Causes of Action / Relevant Authority | | |
| False designation of origin; trademark infringement; unfair competition. | | |

| Filing / Order | | |
|--|----------|------------|
| Denke v. Citibank | | |
| Filing Date | Court | Docket No. |
| 5/8/2018 | S.D.N.Y. | 18-cv-4133 |
| Causes of Action / Relevant Authority | | |
| 15 U.S.C. § 1601 (Truth in Lending Act). | | |

| Filing / Order | | |
|--|--|------------|
| Coffey v. Ripple Labs et al. | | |
| Filing Date | Court | Docket No. |
| 5/3/2018 | Superior Court of California, San Francisco County (removed to N.D.Ca) | 18-cv-3286 |
| Causes of Action / Relevant Authority | | |
| 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). | | |
| Ruling / Orders of Note | | |
| Order denying plaintiff's motion to remand case to state court. | | |
| Voluntary Dismissal Without Prejudice. | | |

| Filing / Order | | |
|--|-----------|------------|
| Eckhardt v. State Farm Bank | | |
| Filing Date | Court | Docket No. |
| 5/2/2018 | C.D. Ill. | 18-cv-1180 |
| Causes of Action / Relevant Authority | | |
| Truth in Lending Act (15 U.S.C. § 1601 et seq.), Regulation Z, breach of contract. | | |

Ruling / Orders of Note

Motion to dismiss granted in part, denied in part.

Filing / Order

Chen Wei v. Longfin Corp., et al.

| Filing Date | Court | Docket No. |
|-------------|----------|------------|
| 4/19/2018 | S.D.N.Y. | 18-cv-3462 |

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a).

Ruling / Orders of Note

Dismissal without prejudice.

Filing / Order

Tucker v. Chase Bank USA, N.A.

| Filing Date | Court | Docket No. |
|-------------|----------|------------|
| 4/10/2018 | S.D.N.Y. | 18-cv-3155 |

Causes of Action / Relevant Authority

Truth in Lending Act (15 U.S.C. § 1601 et seq.); Regulation Z.

Ruling / Orders of Note

Decision on motion to dismiss (partially granted; partially denied).

Filing / Order

Squeeze, LLC v. Biricik, LLC and Cemhan Biricik

| Filing Date | Court | Docket No. |
|-------------|--|-------------------------|
| 4/9/2018 | Circuit Court for the Fifteenth Judicial Circuit, Palm Beach County, Florida | 50-18-CA-004290-XXXX-MB |

Causes of Action / Relevant Authority

Rescission of Agreements; Fraudulent Inducement; Conversion; Unjust Enrichment.

Filing / Order

Liston v. Peterson et al. (Forecast Foundation)

| Filing Date | Court | Docket No. |
|---|---|-------------------|
| 4/9/2018 | Superior Court of California, San Francisco County | CGC-18-565915 |
| Causes of Action / Relevant Authority | | |
| Fraud, declaratory judgment, conspiracy to commit fraud, breach of contract, and breach of implied duty of good faith and fair dealing. | | |
| Ruling / Orders of Note | | |
| Amended complaint as of 5/10/2018. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Miller v. Longfin Corp. et al. | | |
| Filing Date | Court | Docket No. |
| 4/9/2018 | S.D.N.Y. | 18-cv-3121 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a). | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Dunleavy v. Lux Vending, LLC | | |
| Filing Date | Court | Docket No. |
| 4/6/2018 | S.D.Fl. | 18-cv-21367 |
| Causes of Action / Relevant Authority | | |
| Telephone Consumer Protection Act (47 U.S.C. § 227). | | |
| Ruling / Orders of Note | | |
| Dismissal without prejudice. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Brola v. Nano et al. | | |
| Filing Date | Court | Docket No. |
| 4/6/2018 | E.D.N.Y. | 18-cv-2049 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 12(a)(1) and 15; negligent misrepresentation; unjust enrichment; civil conspiracy. | | |
| Ruling / Orders of Note | | |
| Voluntary dismissal with prejudice. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Alibaba Group Holding Ltd. v. Alibabacoin Foundation et al. | | |
| Filing Date | Court | Docket No. |
| 4/2/2018 | S.D.N.Y. | 18-cv-2897 |
| Causes of Action / Relevant Authority | | |
| Trademark infringement; unfair competition; false advertising; trademark dilution (federal and New York state). | | |
| Ruling / Orders of Note | | |
| Order denying Preliminary Injunction. | | |
| Opinion and Order Granting Renewed Application for Preliminary Injunction. | | |
| Opinion and Order denying Defendants' motion to dismiss. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Babiak v. Mizuho Bank, Ltd. | | |
| Filing Date | Court | Docket No. |
| 3/28/2018 | E.D.Va | 18-cv-352 |
| Causes of Action / Relevant Authority | | |
| Tortious interference with contract | | |
| Ruling / Orders of Note | | |
| Order granting Defendant's motion to dismiss. | | |
| Judgment dismissing case. | | |

| Filing / Order | | |
|--|--------------------------|-------------------|
| Archer v. Coinbase, Inc. | | |
| Filing Date | Court | Docket No. |
| 3/27/2018 | SF City & Cty Super. Ct. | 18-cv-565281 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; negligence; conversion | | |
| Ruling / Orders of Note | | |
| Summary judgment in favor of Coinbase. | | |
| Appeal from order granting summary judgment. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Greenhouse v. Polychain Fund I LP, et al. | | |
| Filing Date | Court | Docket No. |
| 3/26/2018 | Del. Ch. | 2018-0214 |
| Causes of Action / Relevant Authority | | |
| Records request (DGCL § 220). | | |
| Ruling / Orders of Note | | |
| Stayed pending arbitrator's decision on arbitrability. | | |
| Memorandum and Order granting Defendant's motion on the pleadings. | | |
| Morrison Cohen Notes | | |
| | | |

| Filing / Order | | |
|---|--------------|----------------------|
| Moss v. Giga Watt | | |
| Filing Date | Court | Docket No. |
| 3/19/2018 | E.D.Wa. | 18-cv-100; 18-cv-103 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 12(a)(1) and 15; Washington Securities Act RCW 21.20; rescission. | | |
| Ruling / Orders of Note | | |
| Consolidation Order. | | |

| Filing / Order | | |
|---|--------------|-------------------|
| Anotek LLC v. Cryptotickets S.A. | | |
| Filing Date | Court | Docket No. |
| 3/13/2019 | D. Del. | 18-cv-398 |
| Causes of Action / Relevant Authority | | |
| Breach of Contract; Breach of Implied Covenant of Good Faith and Fair Dealing; Unjust Enrichment. | | |
| Ruling / Orders of Note | | |
| Notice of Settlement. | | |

| | | |
|---|--------------|-------------------|
| Filing / Order | | |
| Faasse v. Coinbase, Inc. | | |
| Filing Date | Court | Docket No. |
| 3/2/2018 | N.D.Ca. | 18-cv-1382 |
| Causes of Action / Relevant Authority | | |
| California's Unclaimed Property Law, Cal. Civ. Proc. Code §§ 1500, et seq.; Unlawful and Unfair Business Practices, Cal. Bus. Prof. Code §§ 17200; conversion | | |
| Ruling / Orders of Note | | |
| Dismissed sua sponte for lack of subject matter jurisdiction. | | |
| Joint Stipulation of Voluntary Dismissal. | | |

| | | |
|---|--------------|-------------------|
| Filing / Order | | |
| Berk v. Coinbase, Inc. | | |
| Filing Date | Court | Docket No. |
| 3/1/2018 | N.D.Ca. | 18-cv-1364 |
| Causes of Action / Relevant Authority | | |
| California Unfair Competition Law; negligence and negligent misrepresentation, Commodities Exchange Act | | |
| Ruling / Orders of Note | | |
| 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. | | |

| | | |
|---|---|-------------------|
| Filing / Order | | |
| White v. Sharabati | | |
| Filing Date | Court | Docket No. |
| 2/18/2018 | Superior Court of the State of Delaware | N18C-02-170 |
| Causes of Action / Relevant Authority | | |
| 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). | | |
| Ruling / Orders of Note | | |
| 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 / Order | | |
|--|--------|------------|
| Takata v. Riot Blockchain | | |
| Filing Date | Court | Docket No. |
| 2/17/2018 | D.N.J. | 18-cv-2293 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a). | | |

| Filing / Order | | |
|---|---------|-------------|
| Kleiman v. Wright | | |
| Filing Date | Court | Docket No. |
| 2/14/2018 | S.D.Fl. | 18-cv-80176 |
| Causes of Action / Relevant Authority | | |
| Conversion; misappropriation; replevin; breach of fiduciary duty; breach of partnership agreement; unjust enrichment. | | |
| Ruling / Orders of Note | | |
| Order Granting Motion to Stay Discovery. | | |
| Order Denying Defendant's Motion for Judgment on the Pleadings. | | |
| Order Denying Defendant's Motion for Summary Judgment and Granting in Part and Denying in Part Plaintiffs' Motion for Partial Summary Judgment. | | |

| Filing / Order | | |
|---|----------|------------|
| Ezra C. Sultan v. Coinbase, Inc. | | |
| Filing Date | Court | Docket No. |
| 2/13/2018 | E.D.N.Y. | 18-cv-934 |
| Causes of Action / Relevant Authority | | |
| Negligence; Breach of Contract; Breach of Bailment; Gross Negligence. | | |
| Ruling / Orders of Note | | |
| Memorandum and Order Compelling Arbitration. | | |

| Filing / Order |
|--|
| Kline v. Bitconnect et al. |

| Filing Date | Court | Docket No. |
|--|--------------|-------------------|
| 2/7/2018 | M.D.Fl. | 18-cv-319 |
| Causes of Action / Relevant Authority | | |
| 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). | | |
| Ruling / Orders of Note | | |
| Transferred to S.D. Fl. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Tapang v. T-Mobile USA, Inc. | | |
| Filing Date | Court | Docket No. |
| 2/4/2018 | W.D.Wa. | 18-cv-167 |
| Causes of Action / Relevant Authority | | |
| FCA § 222; breach of contract; negligence; Washington Consumer Protection Act 19.86 et seq.; negligent hiring, retention, and supervision; negligent infliction of emotional distress. | | |

| Filing / Order | | |
|--|---|-------------------|
| Kimmelman v. Wayne Insurance Group | | |
| Filing Date | Court | Docket No. |
| 2/1/2018 | Oh. Ct. of Common Pleas, Franklin County | 18-cv-1041 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; lack of good faith. | | |
| Ruling / Orders of Note | | |
| Decision and Entry Denying Defendant's Motion for Judgment on the Pleadings. | | |

| Filing / Order | | |
|--|--------------|-------------------|
| Davy v. Paragon Coin, Inc. | | |
| Filing Date | Court | Docket No. |
| 1/30/2018 | N.D.Ca. | 18-cv-671 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 12(a)(1) and 15(a). | | |

Ruling / Orders of Note

Default Judgment entered as to defendant Taylor, aka “The Game.”

Filing / Order

Paige v. Bitconnect et al.

| Filing Date | Court | Docket No. |
|-------------|-------|------------|
|-------------|-------|------------|

| | | |
|-----------|---------|----------|
| 1/29/2018 | W.D.Ky. | 18-cv-58 |
|-----------|---------|----------|

Causes of Action / Relevant Authority

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.

Ruling / Orders of Note

Order granting preliminary injunction against Defendant Ryan Maasen.

Order extending temporary restraining order as to Bitconnect Defendants.

Filing / Order

Pearce v. Karpeles

| Filing Date | Court | Docket No. |
|-------------|-------|------------|
|-------------|-------|------------|

| | | |
|-----------|--------|-----------|
| 1/24/2018 | E.D.Pa | 18-cv-306 |
|-----------|--------|-----------|

Causes of Action / Relevant Authority

Negligence; fraud; tortious interference with contract.

Ruling / Orders of Note

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.

Filing / Order

Wildes et al. v. Bitconnect Int’l PLC et al.

| Filing Date | Court | Docket No. |
|-------------|-------|------------|
|-------------|-------|------------|

| | | |
|-----------|---------|-------------|
| 1/24/2018 | S.D.Fl. | 18-cv-80086 |
|-----------|---------|-------------|

Causes of Action / Relevant Authority

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.

Ruling / Orders of Note

[Order denying motion for temporary restraining order.](#)

[Consolidation Order.](#)

Filing / Order

[Hamel derivatively on behalf of The Crypto Company v. Poutre et al.](#)

Filing Date

1/24/2018

Court

C.D.Ca.

Docket No.

18-cv-616

Causes of Action / Relevant Authority

Breach of fiduciary duty; unjust enrichment.

Ruling / Orders of Note

[Order transferring case to Judge Snyder.](#)

Filing / Order

[Peng Li Secretary of the Interior v. Xunlei Limited; Lei Chen; Eric Zhou; Tao Thomas Wu](#)

Filing Date

1/18/2018

Court

S.D.N.Y.

Docket No.

18-cv-646;

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a).

Ruling / Orders of Note

[Consolidation Order.](#)

Filing / Order

[Dookeran v. Xunlei Ltd.](#)

Filing Date

1/18/2018

Court

S.D.N.Y.

Docket No.

18-cv-467

Causes of Action / Relevant Authority

Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a).

Ruling / Orders of Note

Opinion & Order granting Defendants' motion to dismiss.

Filing / Order

Shaw v. Vircorex et al.

Filing Date

1/10/2018

Court

D. Colo.

Docket No.

18-cv-67

Causes of Action / Relevant Authority

Breach of contract; conversion; constructive fraud; unjust enrichment

Ruling / Orders of Note

Default judgment entered against Defendants.

Plaintiff's motion for default judgment denied without prejudice, dismissing case without prejudice.

Case dismissed.

Filing / Order

Stormsmedia, LLC v. GigaWatt, Inc.

Filing Date

12/28/2017

Court

E.D.Wa.

Docket No.

17-cv-438

Causes of Action / Relevant Authority

Securities Act §§ 5(a) and 5(c); rescission.

Ruling / Orders of Note

Case dismissed.

Filing / Order

Balestra v. ATBCoin LLC

Filing Date

12/21/2017

Court

S.D.N.Y.

Docket No.

17-cv-10001

Causes of Action / Relevant Authority

Securities Act §§ 12(a)(1) and 15(a)

Ruling / Orders of Note

Motion to dismiss denied (finding that token was a security under *Howey*, and that personal jurisdiction existed).

Case settled, \$250k recovery to Plaintiffs.

| Filing / Order | | |
|--|---------|------------|
| Shepherdson v. The Crypto Company | | |
| Filing Date | Court | Docket No. |
| 12/21/2017 | C.D.Ca. | 17-cv-9157 |
| Causes of Action / Relevant Authority | | |
| Exchange Act § 10(b) and Rule 10b-5; Exchange Act § 20(a). | | |
| Ruling / Orders of Note | | |
| Case dismissed. | | |

| Filing / Order | | |
|---|---------|-------------|
| Hodges v. Monkey Capital | | |
| Filing Date | Court | Docket No. |
| 12/19/2017 | S.D.Fl. | 17-cv-81370 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 5(a) and 5(c); Securities Act § 17(a); rescission; alter ego; Fla. Stat. § 517.011; FDUPTA. | | |
| Ruling / Orders of Note | | |
| Final Default Judgment. | | |
| Order on Plaintiffs' Motion for Summary Judgment (against Pro Se Defendant). | | |
| Final Judgment Awarding Damages. | | |

| Filing / Order | | |
|---|---------|-------------|
| Rensel v. Centra Tech, Inc. et al. | | |
| Filing Date | Court | Docket No. |
| 12/13/2017 | S.D.Fl. | 17-cv-24500 |
| Causes of Action / Relevant Authority | | |
| Securities Act §§ 12(a)(1) and 15(a). | | |
| Ruling / Orders of Note | | |
| 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.](#)

Morrison Cohen Notes

December 13, 2019 – order on damages in crypto vis-à-vis fiat (uses CoinMarket Cap.com as source of pricing).

Filing / Order

[MacDonald v. Dynamic Ledger Solutions et al. \(Tezos\)](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 12/13/2017 | N.D.Ca. | 17-cv-7095 |

Causes of Action / Relevant Authority

Cal. Corp. Code § 25110; unfair competition.

Filing / Order

[Oksuko v. Dynamic Ledger Solutions et al. \(Tezos\)](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 11/28/2017 | N.D.Ca. | 17-cv-6829 |

Causes of Action / Relevant Authority

Securities Act §§ 12(a)(1) and 15(a).

Filing / Order

[GGCC v. Dynamic Ledger Solutions et al. \(Tezos\)](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 11/26/2017 | N.D.Ca. | 17-cv-6779 |

Causes of Action / Relevant Authority

Securities Act §§ 5(a) and 5(c); Securities Act § 15.

Ruling / Orders of Note

[Motions to dismiss by Defendants Dynamic Ledger Solutions and Tezos Foundation denied; Motions to dismiss by Defendants Bitcoin Suisse and Draper granted.](#)

Filing / Order

[Gaviria v. Dynamic Ledger Solutions et al. \(Tezos\)](#)

| Filing Date | Court | Docket No. |
|--------------------|--------------|-------------------|
| 11/13/2017 | M.D.FL. | 17-cv-1959 |

Causes of Action / Relevant Authority

Securities Act §§ 5(a) and 5(c); Securities Act § 17(a); rescission; alter ego; Fla. Stat. § 517.011; FDUPTA.

Ruling / Orders of Note

[Case dismissed without prejudice following Plaintiff's notice of voluntary dismissal.](#)

Filing / Order

[Confidential v. Payward, Inc. \(Kraken\)](#)

Filing Date**Court****Docket No.**

10/31/2017

JAMS arbitration

Causes of Action / Relevant Authority

Negligence; breach of contract; unjust enrichment; fraudulent inducement; fraudulent misrepresentation; negligent misrepresentation.

Filing / Order

[Baker v. Dynamic Ledger Solutions et al. \(Tezos\)](#)

Filing Date**Court****Docket No.**

10/25/2017

Superior Court of California,
County of San Francisco

CGC-17-562144

Causes of Action / Relevant Authority

Securities Act §§ 5(a) and 5(c); Securities Act § 17(a); false advertising; unfair competition; alter ego

Ruling / Orders of Note

[Order granting Defendant Tezos Stiftung's Motion to Quash Service of Summons.](#)

Stipulation of Settlement.

Filing / Order

[Elev3n, LLC v. Vanbex Group, Inc.](#)

Filing Date**Court****Docket No.**

9/29/2017

E.D.Pa.

17-cv-4350

Causes of Action / Relevant Authority

CAFA (18 U.S.C. § 1030); conversion; copyright violations; breach of contract; unjust enrichment; declaratory judgment.

Ruling / Orders of Note

[Order on motion to dismiss; voluntary stipulation of dismissal.](#)

| | | |
|--|-------------------|-------------------|
| Filing / Order | | |
| R3 HoldCo LLC v. Ripple Labs, Inc. | | |
| Filing Date | Court | Docket No. |
| 9/8/2017 | Delaware Chancery | 2017-0652 |
| Causes of Action / Relevant Authority | | |
| Breach of contract; tortious interference with contract. | | |
| Ruling / Orders of Note | | |
| Dismissal for lack of personal jurisdiction over an indispensable party. | | |

| | | |
|--|--------------|-------------------|
| Filing / Order | | |
| Leidel v. Coinbase, Inc. | | |
| Filing Date | Court | Docket No. |
| 12/13/2016 | S.D.Fl. | 16-cv-81992 |
| Causes of Action / Relevant Authority | | |
| Aiding and abetting breach of fiduciary duty; conversion; negligence; unjust enrichment. | | |
| Ruling / Orders of Note | | |
| 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. | | |

| | | |
|--|--------------|-------------------|
| Filing / Order | | |
| Leidel and Wilson v. Project Investors Inc. (Cryptsy) | | |
| Filing Date | Court | Docket No. |
| 12/13/2016 | S.D.Fl. | 16-cv-80060 |
| Causes of Action / Relevant Authority | | |
| Conversion; negligence; unjust enrichment; specific performance; FDUPTA; injunctive relief; fraudulent conveyance; civil conspiracy. | | |
| Ruling / Orders of Note | | |
| Settlement Order. | | |

| Filing / Order | | |
|---|---------|------------|
| Bitstamp Ltd. v. Ripple Labs et al. | | |
| Filing Date | Court | Docket No. |
| 4/1/2015 | N.D.Ca. | 15-cv-1503 |
| Causes of Action / Relevant Authority | | |
| Interpleader. | | |
| Ruling / Orders of Note | | |
| Joint stipulation and order to dismiss. | | |

| Filing / Order | | |
|--|------------------------------|------------|
| Raggio v. Mt. Gox et al. | | |
| Filing Date | Court | Docket No. |
| 9/18/2014 | Cir. Ct. of Hinds Cty, Miss. | 14-cv-71 |
| Causes of Action / Relevant Authority | | |
| Negligence, gross negligence, fraud, conversion, breach of contract, unjust enrichment, UCC. | | |

| Filing / Order | | |
|--|----------|-------------|
| Liquid Bits v. Shavers | | |
| Filing Date | Court | Docket No. |
| 8/4/2014 | S.D.Fla. | 14-cv-61771 |
| Causes of Action / Relevant Authority | | |
| FDUPTA; fraudulent inducement; civil theft statute (Fla. Stat. 772.11); Florida SPIA (Fla. Stat. 517.011). | | |
| Ruling / Orders of Note | | |
| Final default judgment. | | |

Select U.S. Regulatory Pronouncements

| Date | Topic |
|------------|--|
| SEC | |
| 12/23/2020 | Statement and Request for Comment, “Custody of Digital Asset Securities by Special Purpose Broker-Dealers” |
| 11/9/2020 | Staff Statement on WY Division of Banking’s “NAL on Custody of Digital Assets and Qualified Custodian Status” |
| 2/6/2020 | Running on Empty: A Proposal to Fill the Gap Between Regulation and Decentralization (Commissioner Hester M. Peirce) |
| 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 |

| Date | Topic |
|------------|--|
| 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 |
| 9/20/2018 | Measuring the Impact of the SEC’s Enforcement Program (Stephanie Avakian, Co-Director, Division of Enforcement) |
| 9/20/2018 | Statement on Order of Suspension of Trading of Certain Bitcoin/Ether Tracking Certificates (Division of Trading and Markets and Division of Corporation Finance) |
| 8/22/2018 | 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 |
| 8/22/2018 | 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 |
| 8/22/2018 | 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 |
| 7/26/2018 | 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 |
| 6/14/2018 | Digital Asset Transactions: When Howey Met Gary (Plastic) (speech by William Hinman, Director, Division of Corporation Finance) |
| 5/22/2018 | Statement on NASAA’s Announcement of Enforcement Sweep Targeting Fraudulent ICOs and Crypto-Asset Investment Products |
| 5/16/2018 | Statement from the Co-Directors, Division of Enforcement, re: Oversight of the SEC’s Division of Enforcement |
| 5/15/2018 | “HoweyCoins” website (SEC Investor Advisory) |
| 4/23/2018 | 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 |

| Date | Topic |
|------------|--|
| | 2X Bull Shares and Direxion Daily Bitcoin 2X Bear Shares Under NYSE Arca Rule 8.200-E |
| 4/5/2018 | 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 |
| 3/23/2018 | 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 |
| 3/7/2018 | Statement on Potentially Unlawful Online Platforms for Trading Digital Assets |
| 2/6/2018 | 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” |
| 1/25/2018 | Statement by SEC Chairman Jay Clayton and CFTC Chairman J. Christopher Giancarlo: Regulators are Looking at Cryptocurrency |
| 1/22/2018 | Opening Remarks At The Securities Regulation Institute |
| 1/19/2018 | Joint statement from CFTC and SEC Enforcement Directors Regarding Virtual Currency Enforcement Actions |
| 1/18/2018 | Staff Letter: Engaging on Fund Innovation and Cryptocurrency-related Holdings |
| 12/11/2017 | Statement on Cryptocurrencies and Initial Coin Offerings |
| 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 (the “DAO Report”) |
| 5/7/2014 | Investor Alert: Bitcoin and Other Virtual Currency-Related Investments |
| 7/1/2013 | Investor Alert: Ponzi Schemes Using Virtual Currencies (in conjunction with <i>Shavers</i> case) |

| Date | Topic |
|---------------|---|
| 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 | |
| 12/18/2020 | Notice of Proposed Rulemaking, “Requirements for Certain Transactions Involving Convertible Virtual Currency or Digital Assets” |
| 10/11/2019 | Joint Statement on Activities Involving Digital Assets (CFTC, FinCEN, SEC) |
| 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 |

| Date | Topic |
|--|--|
| 8/14/2015 | Application of FinCEN’s Regulations to Persons Issuing Physical or Digital Negotiable Certificates of Ownership of Precious Metals |
| 10/27/2014 | Request for Administrative Ruling on the Application of FinCEN’s Regulations to a Virtual Currency Payment System |
| 10/27/2014 | Request for Administrative Ruling on the Application of FinCEN’s Regulations to a Virtual Currency Trading Platform |
| 1/30/2014 | Application of FinCEN’s Regulations to Virtual Currency Mining Operations |
| 1/30/2014 | Application of FinCEN’s Regulations to Virtual Currenc Software Development and Certain Investment Activity |
| 3/18/2013 | Guidance on the Application of FinCEN’s Regulations to Persons Administering, Exchanging, or Using Virtual Currencies |
| 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 | |
| Updated 11/2/2020 | DFS “Greenlist” (“Any entity licensed by DFS to conduct virtual currency business activity in New York may use coins on the Greenlist for their approved purpose(s). Note that if a licensed entity decides to use a coin on the Greenlist, it must inform DFS prior to beginning its use.”) |
| 10/21/2020 | PayPal First Approved Entity for DFS Conditional Bitlicense |
| 6/24/2020 | Request for Comments on a Proposed Framework for a Conditional Virtual Currency License |
| 6/24/2020 | Memorandum of Understanding (MOU) expressing intent to launch a new SUNY-related virtual currency program, “SUNY BLOCK” |

| Date | Topic | |
|--|--|---|
| 6/24/2020 | Final Guidance Regarding Adoption or Listing of Virtual Currencies | |
| 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 | |
| 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 | | |
| Department of Treasury | 12/30/2020 | Enforcement Release – OFAC Enters Into \$98,830 Settlement with BitGo, Inc. for Apparent Violations of Multiple Sanctions Programs Related to Digital Currency Transactions |
| Wyoming Division of Banking | 10/23/2020 | No-Action Letter on Custody of Digital Assets and Qualified Custodian Status |
| Department of Justice | October 2020 | Cryptocurrency Enforcement Framework |
| Office of the Comptroller of Currency | 7/22/2020 | Authority of a National Bank to Provide Cryptocurrency Custody Services for Customers |
| California Blockchain Working Group | 7/1/2020 | Blockchain in California: A Roadmap |

| Date | Topic | |
|--|-----------|---|
| 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 |

Thought Leadership from the MoCo Cryptocurrency Litigation Team

- [“Are US Regulators Finally Warming to Crypto and Digital Assets?”](#) *Forkast News* (August 4, 2020)
- [“Novel Legal Strategy Bringing this ICO-Backed ‘Micro-Mobility’ Startup to Court,”](#) *Coindesk* (story also republished by *Yahoo! Finance*) (June 20, 2020)
- [“Motions Fly High as Craig Wright Set to Face Kleiman Estate in Court,”](#) *CoinTelegraph*, (May 15, 2020)
- Wall Street Blockchain Alliance Podcast, [“Call the Lawyers.”](#) (May 4, 2020)
- [“Wright v. Kleiman Enters Final Act — Document Reveal May Set Precedent,”](#) *CoinTelegraph* (April 17, 2020)
- [“Crypto faces ‘The man who took on Wall Street’,”](#) *Modern Consensus* (April 9, 2020)
- [“Facing Uncertainty, Law Firms Seek Credit, Brace for Less M&A,”](#) *The American Lawyer* (March 20, 2020)
- [“Why Ripple’s XRP Lawsuit Could Wreak Havoc on the Market,”](#) *Decrypt* (February 27, 2020)
- [“Digital Assets: What to Do When the SEC Comes Calling,”](#) *Crowdfund Insider* (January 26, 2020)
- Wall Street Blockchain Alliance Panel, [“Digital Assets: What to Do When the SEC Comes Calling.”](#) (January 23, 2020)
- National Asian Pacific American Bar Association 2018 Convention, [“Securities, Smart Contracts, & Blockchain: Promises vs. Reality.”](#) (November 9, 2019)
- LexisNexis Emerging Issues Webinar Series, [“Cryptocurrency 2020: Understanding the Impact of a Crystallizing Regulatory & Enforcement Regime.”](#) (October 29, 2019)
- Security Token Academy, [“Security Token NYC Meetup.”](#) (September 26, 2019)
- [“Investors Accuse Calif. Crypto Co. Of Abandoning Them,”](#) *Law360* (September 23, 2019)
- [“The SEC as World Police: What the World Should Know about the SEC’s Jurisdiction,”](#) *Forkast News* (August 29, 2019)
- [“Judge Confirms Ruling: Craig Wright to Forfeit 50% of Bitcoin Holdings,”](#) *Yahoo! Finance* (August 27, 2019)
- [“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, updated regularly)
- [“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)

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