

**MoCo Cryptocurrency Litigation Tracker - Select U.S. Regulatory Pronouncements Section**

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<b>Date</b>	<b>Topic</b>
<b>SEC</b>	
10/28/2019	<a href="#">No-Action Letter (Paxos Trust Company, LLC)</a> [and <a href="#">Request Letter</a> ]
10/11/2019	<a href="#">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</a>
10/11/2019	<a href="#">Joint Statement on Activities Involving Digital Assets</a> (CFTC, FinCEN, SEC)
10/9/2019	<a href="#">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</a>
7/25/2019	<a href="#">No-Action Letter (Pocketful of Quarters, Inc.)</a> [and <a href="#">Request Letter</a> ]
7/8/2019	SEC/FINRA <a href="#">Joint Staff Statement on Broker-Dealer Custody of Digital Asset Securities</a>
4/3/2019	<a href="#">Framework for “Investment Contract” Analysis of Digital Assets</a> (Strategic Hub for Innovation and Financial Technology (“FinHub”))
4/3/2019	<a href="#">No-Action Letter (TurnKey Jet, Inc.)</a> [and <a href="#">Request Letter</a> ]
3/15/2019	<a href="#">SEC Staff to Hold Fintech Forum to Discuss Distributed Ledger Technology and Digital Assets</a>
3/7/2019	<a href="#">Letter Response From Jay Clayton to Hon. Ted Budd re: Application of Federal Securities Laws to Digital Assets</a>
11/16/2018	<a href="#">Statement on Digital Asset Securities Issuance and Trading</a>

Date	Topic
10/23/2018	<a href="#">Improving Information For Investors In The Digital Age</a>
10/19/2018	<a href="#">Request Form for FinTech-Related Meetings and Other Assistance</a>
10/11/2018	<a href="#">Investor Alert: Watch Out For False Claims About SEC And CFTC Endorsements Used To Promote Digital Asset Investments</a>
9/20/2018	<a href="#">Measuring the Impact of the SEC’s Enforcement Program</a> (Stephanie Avakian, Co-Director, Division of Enforcement)
9/20/2018	<a href="#">Statement on Order of Suspension of Trading of Certain Bitcoin/Ether Tracking Certificates</a> (Division of Trading and Markets and Division of Corporation Finance)
8/22/2018	<a href="#">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</a>
8/22/2018	<a href="#">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</a>
8/22/2018	<a href="#">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</a>
8/7/2018	<a href="#">Self-Regulatory Organizations; Cboe BZX Exchange, Inc.; Notice of Designation of a Longer Period for Commission Action on a Proposed Rule Change to List and Trade Shares of SolidX Bitcoin Shares Issued by the VanEck SolidX Bitcoin Trust</a>
7/26/2018	<a href="#">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</a>
6/15/2018	<a href="#">Self-Regulatory Organizations; NYSE Arca, Inc.; Notice of Designation of a Longer Period for Commission Action on Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change to List and Trade the Shares of the ProShares Bitcoin ETF and the ProShares Short Bitcoin ETF under NYSE Arca Rule 8.200-E, Commentary .02</a>

Date	Topic
6/14/2018	<a href="#">Digital Asset Transactions: When Howey Met Gary (Plastic) (speech by William Hinman, Director, Division of Corporation Finance)</a>
5/22/2018	<a href="#">Statement on NASAA’s Announcement of Enforcement Sweep Targeting Fraudulent ICOs and Crypto-Asset Investment Products</a>
5/16/2018	<a href="#">Statement from the Co-Directors, Division of Enforcement, re: Oversight of the SEC’s Division of Enforcement</a>
5/15/2018	<a href="#">“HoweyCoins” website (SEC Investor Advisory)</a>
4/23/2018	<a href="#">Order Instituting Proceedings to Determine Whether to Approve or Disapprove a Proposed Rule Change Relating to Listing and Trading of the Direxion Daily Bitcoin Bear 1X Shares, Direxion Daily Bitcoin 1.25X Bull Shares, Direxion Daily Bitcoin 1.5X Bull Shares, Direxion Daily Bitcoin 2X Bull Shares and Direxion Daily Bitcoin 2X Bear Shares Under NYSE Arca Rule 8.200-E</a>
4/5/2018	<a href="#">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</a>
3/23/2018	<a href="#">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</a>
3/7/2018	<a href="#">Statement on Potentially Unlawful Online Platforms for Trading Digital Assets</a>
2/6/2018	<a href="#">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”</a>
1/25/2018	<a href="#">Statement by SEC Chairman Jay Clayton and CFTC Chairman J. Christopher Giancarlo: Regulators are Looking at Cryptocurrency</a>
1/22/2018	<a href="#">Opening Remarks At The Securities Regulation Institute</a>
1/19/2018	<a href="#">Joint statement from CFTC and SEC Enforcement Directors Regarding Virtual Currency Enforcement Actions</a>
1/18/2018	<a href="#">Staff Letter: Engaging on Fund Innovation and Cryptocurrency-related Holdings</a>

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

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

Date	Topic	
7/31/2018	<a href="#">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</a>	
2/7/2018	<a href="#">Guidance on Prevention of Market Manipulation and Other Wrongful Activity</a>	
8/8/2015	<a href="#">NYCRR 23:200: Virtual Currencies (BitLicense Regulations)</a>	
<b>Office of the Director of National Intelligence</b>		
9/2017	<a href="#">Risks and Vulnerabilities of Virtual Currency Cryptocurrency as a Payment Method</a>	
<b>American Bar Association (ABA)</b>		
3/2019	<a href="#">Digital and Digitized Assets: Federal and State Jurisdictional Issues</a>	
<b>Other Regulatory Announcements</b>		
Internal Revenue Service	10/9/2019	<a href="#">Revenue Ruling 2019-24</a> (on hard forks and airdrops), with <a href="#">accompanying Q&amp;A</a>
National Futures Association	7/20/2018	<a href="#">Proposed Interpretive Notice: Disclosure Requirements for NFA Members Engaging in Virtual Currency Activities</a>
North American Securities Administrators Association	5/21/2018	<a href="#">State and Provincial Securities Regulators Conduct Coordinated International Crypto Crackdown</a>
Texas State Securities Board	4/10/2018	<a href="#">Widespread Fraud Found In Cryptocurrency Offerings</a>
Executive Order	3/19/2018	<a href="#">Executive Order on Taking Additional Steps to Address the Situation in Venezuela</a>
FTC	3/16/2018	<a href="#">It’s time for a FTC Blockchain Working Group</a>

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For more information on cryptocurrency and ICO litigation, please contact the MoCo Cryptocurrency Litigation team:

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