

## Addendum: FY 2023 Enforcement Actions

Below are: a table summary of the FY 2023 cases by primary violation; a complete listing of all of the 96 enforcement actions filed during FY 2023; and a listing of the 47 enforcement actions filed that involved conduct related to digital assets.

### *Table Summary*

The CFTC's FY 2023 enforcement actions include 62 administrative cases and 34 civil injunctive cases. Most of these enforcement actions involved multiple types of violations, but the table below categorizes the cases by their primary violations.

<b>FY 2023 Enforcement Actions Filed</b>	
<b>Case Category</b>	<b># of Actions Filed</b>
Manipulative Conduct, False Reporting, Spoofing	5
Fraud <sup>1</sup>	59
Supervision, Financial Integrity, Business Conduct	9
Registered Entity <sup>2</sup> Violations (includes System Safeguards, Reporting, and Other Regulatory)	3
Illegal Off-Exchange Contracts, Failure to Register	2
Trade Practice Violations (includes Wash Trades, Fictitious Trades, Position Limits)	3
Reporting, Recordkeeping <sup>3</sup>	12
Misappropriation of Material, Non-Public, Confidential Information, Misconduct by Employees against their Employers	2
Statutory Disqualification	1
<b>Total</b>	<b>96</b>

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<sup>1</sup> 17 of these actions also included Failure to Register charges, while one of these actions also included false statements to either the CFTC.

<sup>2</sup> The term "Registered Entity" is defined in 7 U.S.C. 1a (Section 1a of the Commodity Exchange Act) and includes, among other entities, designated clearing organizations, designated contract markets, swap execution facilities, and swap data repositories.

<sup>3</sup> 10 of these actions also included Failure to Supervise charges

## *Complete Listing of CFTC FY 2023 Enforcement Actions*

<b>Manipulative Conduct, False Reporting, Spoofing</b>	
1. In re Walleye Capital LLC, CFTC Docket No. 23-04 (Dec. 12, 2022)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8637-22">https://www.cftc.gov/PressRoom/PressReleases/8637-22</a>
2. CFTC v. Avraham Eisenberg, No. 1:23-cv-00173 (S.D.N.Y. filed Jan. 9, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8647-23">https://www.cftc.gov/PressRoom/PressReleases/8647-23</a>
3. In re HSBC Bank USA, N.A., CFTC Docket No. 23-26 (filed May12, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8702-23">https://www.cftc.gov/PressRoom/PressReleases/8702-23</a>
4. In re Adam Cobb-Webb, CFTC Docket No. 23-32 (Aug. 1, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8760-23">https://www.cftc.gov/PressRoom/PressReleases/8760-23</a>
5. CFTC v. Logista Advisors LLC and Andrew Serotta, No. 1:23-cv-07485 (N.D. Ill. filed Sep. 7, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8773-23">https://www.cftc.gov/PressRoom/PressReleases/8773-23</a>

<b>Fraud</b>	
1. In re Jeremy Rounsville, a/k/a David Peterson, CFTC Docket No. 23-02 (Nov. 3, 2022)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8621-22">https://www.cftc.gov/PressRoom/PressReleases/8621-22</a>
2. CFTC v. Samuel Bankman-Fried, FTX Trading Ltd. d/b/a FTX.com, Alameda Research LLC, Caroline Ellison, and Zixiao “Gary” Wang, No. 1:22-cv-10503 (S.D.N.Y. filed Dec. 13, 2022, amended Dec. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8638-22">https://www.cftc.gov/PressRoom/PressReleases/8638-22</a> and <a href="https://www.cftc.gov/PressRoom/PressReleases/8644-22">https://www.cftc.gov/PressRoom/PressReleases/8644-22</a>
3. CFTC v. Glen Point Capital Advisors LP, Glen Point Capital LLP, Neil Phillips, No. 1:22-cv-10589 (Dec. 15, 2022)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8640-22">https://www.cftc.gov/PressRoom/PressReleases/8640-22</a>
4. CFTC v. Mark A. Ramkishun, No. 1:23-cv-00120 (E.D.N.Y. filed Jan. 9, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8646-23">https://www.cftc.gov/PressRoom/PressReleases/8646-23</a>
5. CFTC v. Ramon Salvador Delgado-Gomez, FX Latino, FXL Investment PR LLC, Walmy Rivera-Santiago, JRH Services Inc., Hector Javier Santos-Pagan Infinity Investment and Construction Management Corp., No. 3:23-cv-01065 (D.P.R. filed Feb. 10, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8656-23">https://www.cftc.gov/PressRoom/PressReleases/8656-23</a>
6. CFTC v. Vista Network Technologies, and Armen Temurian, No. 1:23-cv-01235 (E.D.N.Y. filed Feb. 15, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8660-23">https://www.cftc.gov/PressRoom/PressReleases/8660-23</a>

7. CFTC v. Richard "Rick" Miller, Flip 2 Futures Trading Company LLC, Justin Dendinger, and Punch Drunk Marketing LLC, No. 0:23-cv-00436 (D. Minn. filed Feb. 22, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8663-23">https://www.cftc.gov/PressRoom/PressReleases/8663-23</a>
8. CFTC v. Todd Brisco, Yas Castellum LLC, Yas Castellum Financial LLC; Tin Quoc Tran, Francisco Story, Fredirick "Ted" Safranko, Michael Shannon Sims, and SAEG Capital General Management LP, No. 4:23-cv-00336 (S.D. Tex. filed Jan. 30, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8665-23">https://www.cftc.gov/PressRoom/PressReleases/8665-23</a>
9. CFTC v. Nishad Singh, No. 1:23-cv-01684 (S.D.N.Y. filed Feb. 28, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8669-23">https://www.cftc.gov/PressRoom/PressReleases/8669-23</a>
10. CFTC v. Rashawn Russell, No. 1:23-cv-02691 (E.D.N.Y. filed Apr. 11, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8686-23">https://www.cftc.gov/PressRoom/PressReleases/8686-23</a>
11. In re Betatradeonptions.com, CFTC Docket No. 23-10 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
12. In re Bit Trading, CFTC Docket No. 23-11 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
13. In re Bit Block FXtrades, CFTC Docket No. 23-12 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
14. In re Bitfinmarket.com, CFTC Docket No. 23-13 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
15. In re Cross Trade FX, CFTC Docket No. 23-14 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
16. In re Fast Option Subdivision, CFTC Docket No. 23-15 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
17. In re Garantitrademiness.com, CFTC Docket No. 23-16 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
18. In re Garantitrademinex.net, CFTC Docket No. 23-17 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
19. In re Instantearners247.com, CFTC Docket No. 23-18 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
20. In re Prime Finance Network, CFTC Docket No. 23-19 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>

21. In re Sparkleswhite.com, CFTC Docket No. 23-20 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
22. In re TFX Trading, CFTC Docket No. 23-21 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
23. In re Trust Pay Market, CFTC Docket No. 23-22 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
24. In re Voltfxtrade, CFTC Docket No. 23-23 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
25. CFTC v. Fisher Capital LLC, AMS Consulting Solutions LLC d/b/a Fisher Capital, and Alexander Spellane a/k/a Alexander Overlie, No. 1:23-cv-03121 (E.D.N.Y. filed Apr. 25, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8694-23">https://www.cftc.gov/PressRoom/PressReleases/8694-23</a>
26. CFTC v. Systematic Alpha Management, LLC, and Peter Kambolin, No. 1:23-cv-21527-RNS (S.D. Fla. filed Apr. 24, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8697-23">https://www.cftc.gov/PressRoom/PressReleases/8697-23</a>
27. CFTC v. Phillip Galles, Tyche Asset Management LLC, Tyche Master Fund Ltd, Tyche Asset Trade LLC, Tyche Offshore Fund Ltd., Tyche Onshore Fund LP, Tyche PML Master Fund Ltd, Tyche PML Onshore Fund LP, and Tyche Onshore Fund GP, LLC, No. 1:23-cv-02970 (N.D. Ill. filed May 11, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8700-23">https://www.cftc.gov/PressRoom/PressReleases/8700-23</a>
28. CFTC, et al. v. Red Rock Secured LLC, Shade-Johnson Kelly aka Sean Kelly, and Anthony Spencer, No. 2:23-cv-03680 (C.D. Cal. filed May 15, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8704-23">https://www.cftc.gov/PressRoom/PressReleases/8704-23</a>
29. CFTC v. David Carmona, Juan Arellano Parra, Moses Valdez, David Brend and Marco A. Ruiz Ochoa, No. 2:23-cv-04015 (C.D. Cal. May 24, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8706-23">https://www.cftc.gov/PressRoom/PressReleases/8706-23</a>
30. In re Sharief Deona McDowell, CFTC Docket No. 23-28 (May 25, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8707-23">https://www.cftc.gov/PressRoom/PressReleases/8707-23</a>
31. CFTC v. Cunwen Zhu and Justby International Auctions, No. 2:23-cv-04937 (C.D. Cal. June 22, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8726-23">https://www.cftc.gov/PressRoom/PressReleases/8726-23</a>
32. CFTC v. William Koo Ichioka, No. 3:23-cv-03095 (N.D. Cal. June 22, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8727-23">https://www.cftc.gov/PressRoom/PressReleases/8727-23</a>

33. In re Philip Reichenthal, CFTC Docket No. 23-30 (July 6, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8743-23">https://www.cftc.gov/PressRoom/PressReleases/8743-23</a>
34. In re Randy Craig Levine, CFTC Docket No. 23-31 (July 6, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8743-23">https://www.cftc.gov/PressRoom/PressReleases/8743-23</a>
35. CFTC v. Dwight A. Foster and K.E.L. Enterprises, Inc., No. 2:23-cv-11552-SFC-EAS (E.D. Mich. June 28, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8744-23">https://www.cftc.gov/PressRoom/PressReleases/8744-23</a>
36. CFTC v. Alexander Mashinsky and Celsius Network, LLC, No. 1:23-cv-06008 (S.D.N.Y. July 13, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8749-23">https://www.cftc.gov/PressRoom/PressReleases/8749-23</a>
37. CFTC v. Michael Griffis and Amanda Griffis, No. 3:23-cv-00741 (S.D.N.Y. July 24, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8757-23">https://www.cftc.gov/PressRoom/PressReleases/8757-23</a>
38. CFTC v. Rene Larralde, Juan Pablo Valcarce, Brian Early, Alisha Ann Kingrey, and Fundsz, No. 6:23-cv-01445-WWB-DCI (M.D. Fla. filed July 31, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8766-23">https://www.cftc.gov/PressRoom/PressReleases/8766-23</a>
39. In re Peter L. Bryant and Bryant Capital Trade Management Corporation, CFTC Docket No. 23-38 (Aug. 15, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8767-23">https://www.cftc.gov/PressRoom/PressReleases/8767-23</a>
40. CFTC v. Walter Dunning Larrick, III, and Cambridge Financial Advisors, LLC, No. 3:23-cv-01887-E (N.D. Tex. filed Aug. 23, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8768-23">https://www.cftc.gov/PressRoom/PressReleases/8768-23</a>
41. CFTC v. Murtuza Kazmi, Traders Global Group Inc., and Traders Global Group Inc., No. 3:23-cv-11808 (D.N.J. filed Aug. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8771-23">https://www.cftc.gov/PressRoom/PressReleases/8771-23</a>
42. In re Jacob Orvidas, CFTC Docket No. 23-43 (Sep. 8, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8775-23">https://www.cftc.gov/PressRoom/PressReleases/8775-23</a>
43. CFTC v. Damien Moran, Crown Bullion, Inc. and Bright Future Financial LLC (also d/b/a Oakhurst Metals), No. 3:23-cv-02077-L (N.D. Tex. Sep. 18, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8784-23">https://www.cftc.gov/PressRoom/PressReleases/8784-23</a>
44. CFTC v. Patrick Wonsey, No. 8:23-cv-02174 (M.D. Fla. Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8786-23">https://www.cftc.gov/PressRoom/PressReleases/8786-23</a>
45. CFTC v. Mosaic Exchange Limited, and Sean Michael, No. 9:23-cv-81320-AMC (S.D. Fla. Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8789-23">https://www.cftc.gov/PressRoom/PressReleases/8789-23</a>
46. CFTC, et al., v. Regal Assets LLC, Tyler G. Gallagher, and Leah Donoso, No 2:23-cv-08078 (C.D. Cal. Sep. 27, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8791-23">https://www.cftc.gov/PressRoom/PressReleases/8791-23</a>

47. CFTC v. Darren Robinson, and The QYU Holdings Inc., No 2:23-cv-12456-LVP-EAS (E.D. Mich. Sep. 28, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8792-23">https://www.cftc.gov/PressRoom/PressReleases/8792-23</a>
48. In re Highland Quantitative Driven Investments LLC, and Michael T. Zatorski, CFTC Docket No. 23-55 (filed Sep. 28, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8793-23">https://www.cftc.gov/PressRoom/PressReleases/8793-23</a>
49. CFTC v Roberto Pulido aka Berto Delvanicci, and Lions of Forex LLC, No 1:23-cv-23703-XXXX (S.D. Fla.. Sep. 28, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8795-23">https://www.cftc.gov/PressRoom/PressReleases/8795-23</a>
50. In re altux-fx-miner, CFTC Docket No. 23-52 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
51. In re AstroFXMinners, CFTC Docket No. 23-49 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
52. In re Avadigital-Miners.com, CFTC Docket No. 23-50 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
53. In re Globalbitasset, CFTC Docket No. 23-48 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
54. In re Gold Life Investment, CFTC Docket No. 23-51 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
55. In re Matchlessfxminer, CFTC Docket No. 23-47 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
56. In re PrimeCapitalTrade a/k/a Primecapitaltrade.com, CFTC Docket No. 23-53 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
57. In re Trading-Extraming, CFTC Docket No. 23-54 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
58. CFTC v Or Patreanu, Snir Hananya, Elijah Samson, Artem Prokopenko, and Expected Value Plus Ltd. (all d/b/a Trade2Get, Coinbull, Cryptonxt, Tradenix, Cryptobravos, Nittrex, Pinance, and Wobit), and Lions of Forex LLC, No 2:23-cv-20782 (D.N.J. Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8798-23">https://www.cftc.gov/PressRoom/PressReleases/8798-23</a>
59. CFTC v. Edwin M. Carrion, Technical Trading Team LLC, and Jason F. Rodriguez, No. 1:23-cv-07296 (E.D.N.Y. Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8803-23">https://www.cftc.gov/PressRoom/PressReleases/8803-23</a>

<b>Supervision, Financial Integrity, Business Conduct</b>	
1. In re CHS Hedging LLC, CFTC Docket No. 23-05 (S.D.N.Y. filed Dec. 19, 2022)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8642-22">https://www.cftc.gov/PressRoom/PressReleases/8642-22</a>
2. In re The Options Clearing Corporation, CFTC Docket No. 23-06 (filed Feb. 16, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8661-23">https://www.cftc.gov/PressRoom/PressReleases/8661-23</a>
3. In re DARMA, LLC, CFTC Docket No. 23-07 (filed Mar. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8679-23">https://www.cftc.gov/PressRoom/PressReleases/8679-23</a>
4. In re BBL Commodities LP, CFTC Docket No. 23-08 (filed Mar. 28, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8681-23">https://www.cftc.gov/PressRoom/PressReleases/8681-23</a>
5. In re Goldman Sachs & Co. LLC, CFTC Docket No. 23-09 (filed Apr. 10, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8685-23">https://www.cftc.gov/PressRoom/PressReleases/8685-23</a>
6. In re Mizuho Capital Markets LLC, CFTC Docket No. 23-24 (filed Apr. 25, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8695-23">https://www.cftc.gov/PressRoom/PressReleases/8695-23</a>
7. In re StoneX Markets LLC, CFTC Docket No. 23-44 (Sep. 20, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8778-23">https://www.cftc.gov/PressRoom/PressReleases/8778-23</a>
8. In re Advantage Futures LLC, CFTC Docket No. 23-45 (Sep. 20, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8779-23">https://www.cftc.gov/PressRoom/PressReleases/8779-23</a>
9. In re Goldman Sachs & Co. LLC, CFTC Docket No. 23-60 (filed Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8800-23">https://www.cftc.gov/PressRoom/PressReleases/8800-23</a>

<b>Registered Entity Violations (includes System Safeguards, Reporting, and Other Regulatory)</b>	
1. CFTC v. Changpeng Zhao, Samuel Lim, Binance Holdings Limited, Binance Holdings (IE) Limited, and Binance (Services) Holdings Limited, No. 1:23-cv-01887 (N.D. Ill. filed Mar. 27, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8680-23">https://www.cftc.gov/PressRoom/PressReleases/8680-23</a>
2. In re Oryn, Inc., CFTC Docket No. 23-40 (Sep. 7, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8774-23">https://www.cftc.gov/PressRoom/PressReleases/8774-23</a>
3. In re Deridex, Inc., CFTC Docket No. 23-42 (Sep. 7, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8774-23">https://www.cftc.gov/PressRoom/PressReleases/8774-23</a>

<b>Illegal Off-Exchange Contracts, Failure to Register</b>	
1. In re ZeroEx, Inc., CFTC Docket No. 23-41 (Sep. 7, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8774-23">https://www.cftc.gov/PressRoom/PressReleases/8774-23</a>
2. In re LYFE, S.A., CFTC Docket No. 23-57 (filed Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8799-23">https://www.cftc.gov/PressRoom/PressReleases/8799-23</a>

<b>Trade Practice Violations (includes Wash Trades, Fictitious Trades, Position Limits)</b>	
1. In re Prime Agricultural Investors, Inc., and Chad Henderson, CFTC Docket No. 23-01 (Oct. 20, 2022)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8614-22">https://www.cftc.gov/PressRoom/PressReleases/8614-22</a>
2. In re Challenger Life Company Limited, CFTC Docket No. 23-29 (June 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8735-23">https://www.cftc.gov/PressRoom/PressReleases/8735-23</a>
3. In re Jie “Elaine” Yu, CFTC Docket No. 23-46 (filed Sep. 22, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8781-23">https://www.cftc.gov/PressRoom/PressReleases/8781-23</a>

<b>Reporting, Recordkeeping</b>	
1. In re The Bank of Nova Scotia, and Scotia Capital USA Inc., CFTC Docket No. 23-25 (filed May 11, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8699-23">https://www.cftc.gov/PressRoom/PressReleases/8699-23</a>
2. In re HSBC Bank USA, N.A., HSBC Securities (USA) Inc., and HSBC Bank plc, CFTC Docket No. 23-27 (filed May 12, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8701-23">https://www.cftc.gov/PressRoom/PressReleases/8701-23</a>
3. In re BNP Paribas S.A. and BNP Paribas Securities Corp., CFTC Docket No. 23-33 (Aug. 8, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8762-23">https://www.cftc.gov/PressRoom/PressReleases/8762-23</a>
4. In re Bank of Montreal, CFTC Docket No. 23-34 (Aug. 8, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8762-23">https://www.cftc.gov/PressRoom/PressReleases/8762-23</a>
5. In re Société Générale SA and SG Americas Securities, LLC, CFTC Docket No. 23-35 (Aug. 8, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8762-23">https://www.cftc.gov/PressRoom/PressReleases/8762-23</a>
6. In re Wells Fargo Bank NA and Wells Fargo Securities LLC, CFTC Docket No. 23-36 (Aug. 8, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8762-23">https://www.cftc.gov/PressRoom/PressReleases/8762-23</a>
7. In re Wedbush Securities Inc., CFTC Docket No. 23-37 (Aug. 8, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8763-23">https://www.cftc.gov/PressRoom/PressReleases/8763-23</a>
8. In re Goldman Sachs & Co, CFTC Docket No. 23-39 (Aug. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8769-23">https://www.cftc.gov/PressRoom/PressReleases/8769-23</a>
9. In re Interactive Brokers Corp., and Interactive Brokers LLC, CFTC Docket No. 23-56 (filed Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8794-23">https://www.cftc.gov/PressRoom/PressReleases/8794-23</a>
10. In re Goldman Sachs & Co. LLC, CFTC Docket No. 23-59 (filed Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8801-23">https://www.cftc.gov/PressRoom/PressReleases/8801-23</a>
11. In re Bank of America, N.A. and Merrill Lynch International, CFTC Docket No. 23-58 (filed Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8801-23">https://www.cftc.gov/PressRoom/PressReleases/8801-23</a>



<p>12. In re JPMorgan Chase Bank, N.A., J.P. Morgan Securities LLC, and J.P. Morgan Securities plc), CFTC Docket No. 23-61 (filed Sep. 29, 2023)</p>	<p><a href="https://www.cftc.gov/PressRoom/PressReleases/8801-23">https://www.cftc.gov/PressRoom/PressReleases/8801-23</a></p>
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<p><b>Misappropriation of Material, Non-Public, Confidential Information, Misconduct by Employees against their Employers</b></p>	
<p>1. In re Lee Tippett, CFTC Docket No. 23-03 (Nov. 16, 2022)</p>	<p><a href="https://www.cftc.gov/PressRoom/PressReleases/8627-22">https://www.cftc.gov/PressRoom/PressReleases/8627-22</a></p>
<p>2. CFTC v. Dichao Xie, No. 1:23-cv-01947 (N.D. Ill. filed Mar. 28, 2023; settled Sep. 26, 2023)</p>	<p><a href="https://www.cftc.gov/PressRoom/PressReleases/8682-23">https://www.cftc.gov/PressRoom/PressReleases/8682-23</a> and <a href="https://www.cftc.gov/PressRoom/PressReleases/8787-23">https://www.cftc.gov/PressRoom/PressReleases/8787-23</a></p>

<p><b>Statutory Disqualification</b></p>	
<p>1. In re Allianz Global Investors US LLC, CFTC Docket No. SD 23-01 (filed Mar. 21, 2023)</p>	<p><a href="https://www.cftc.gov/PressRoom/PressReleases/8678-23">https://www.cftc.gov/PressRoom/PressReleases/8678-23</a></p>

## ***Listing of FY 2023 Enforcement Actions with Digital Asset-Related Allegations***

1. In re Jeremy Rounsville, a/k/a David Peterson, CFTC Docket No. 23-02 (Nov. 3, 2022)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8621-22">https://www.cftc.gov/PressRoom/PressReleases/8621-22</a>
2. CFTC v. Samuel Bankman-Fried, FTX Trading Ltd. d/b/a FTX.com, Alameda Research LLC, Caroline Ellison, and Zixiao “Gary” Wang, No. 1:22-cv-10503 (S.D.N.Y. filed Dec. 13, 2022, amended Dec. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8638-22">https://www.cftc.gov/PressRoom/PressReleases/8638-22</a> and <a href="https://www.cftc.gov/PressRoom/PressReleases/8644-22">https://www.cftc.gov/PressRoom/PressReleases/8644-22</a>
3. CFTC v. Avraham Eisenberg, No. 1:23-cv-00173 (S.D.N.Y. filed Jan. 9, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8647-23">https://www.cftc.gov/PressRoom/PressReleases/8647-23</a>
4. CFTC v. Vista Network Technologies, and Armen Temurian, No. 1:23-cv-01235 (E.D.N.Y. filed Feb. 15, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8660-23">https://www.cftc.gov/PressRoom/PressReleases/8660-23</a>
5. CFTC v. Nishad Singh, No. 1:23-cv-01684 (S.D.N.Y. filed Feb. 28, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8669-23">https://www.cftc.gov/PressRoom/PressReleases/8669-23</a>
6. CFTC v. Changpeng Zhao, Samuel Lim, Binance Holdings Limited, Binance Holdings (IE) Limited, and Binance (Services) Holdings Limited, No. 1:23-cv-01887 (N.D. Ill. filed Mar. 27, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8680-23">https://www.cftc.gov/PressRoom/PressReleases/8680-23</a>
7. CFTC v. Rashawn Russell, No. 1:23-cv-02691 (E.D.N.Y. filed Apr. 11, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8686-23">https://www.cftc.gov/PressRoom/PressReleases/8686-23</a>
8. In re Betatradeonptions.com, CFTC Docket No. 23-10 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
9. In re Bit Trading, CFTC Docket No. 23-11 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
10. In re Bit Block FXtrades, CFTC Docket No. 23-12 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
11. In re Bitfinmarket.com, CFTC Docket No. 23-13 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
12. In re Cross Trade FX, CFTC Docket No. 23-14 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>

13. In re Fast Option Subdivision, CFTC Docket No. 23-15 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
14. In re Garantitrademiness.com, CFTC Docket No. 23-16 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
15. In re Garantitrademinex.net, CFTC Docket No. 23-17 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
16. In re Instantearners247.com, CFTC Docket No. 23-18 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
17. In re Prime Finance Network, CFTC Docket No. 23-19 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
18. In re Sparkleswhite.com, CFTC Docket No. 23-20 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
19. In re TFX Trading, CFTC Docket No. 23-21 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
20. In re Trust Pay Market, CFTC Docket No. 23-22 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
21. In re Voltfxtrade, CFTC Docket No. 23-23 (filed Apr. 21, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8693-23">https://www.cftc.gov/PressRoom/PressReleases/8693-23</a>
22. CFTC v. Systematic Alpha Management, LLC, and Peter Kambolin, No. 1:23-cv-21527-RNS (S.D. Fla. filed Apr. 24, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8697-23">https://www.cftc.gov/PressRoom/PressReleases/8697-23</a>
23. CFTC v. David Carmona, Juan Arellano Parra, Moses Valdez, David Brend and Marco A. Ruiz Ochoa, No. 2:23-cv-04015 (C.D. Cal. May 24, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8706-23">https://www.cftc.gov/PressRoom/PressReleases/8706-23</a>
24. CFTC v. Cunwen Zhu and Justby International Auctions, No. 2:23-cv-04937 (C.D. Cal. June 22, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8726-23">https://www.cftc.gov/PressRoom/PressReleases/8726-23</a>
25. CFTC v. William Koo Ichioka, No. 3:23-cv-03095 (N.D. Cal. June 22, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8727-23">https://www.cftc.gov/PressRoom/PressReleases/8727-23</a>
26. In re Philip Reichenthal, CFTC Docket No. 23-30 (July 6, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8743-23">https://www.cftc.gov/PressRoom/PressReleases/8743-23</a>

27. In re Randy Craig Levine, CFTC Docket No. 23-31 (July 6, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8743-23">https://www.cftc.gov/PressRoom/PressReleases/8743-23</a>
28. CFTC v. Alexander Mashinsky and Celsius Network, LLC, No. 1:23-cv-06008 (S.D.N.Y. July 13, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8749-23">https://www.cftc.gov/PressRoom/PressReleases/8749-23</a>
29. CFTC v. Michael Griffis and Amanda Griffis, No. 3:23-cv-00741 (S.D.N.Y. July 24, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8757-23">https://www.cftc.gov/PressRoom/PressReleases/8757-23</a>
30. CFTC v. Rene Larralde, Juan Pablo Valcarce, Brian Early, Alisha Ann Kingrey, and Funds, No. 6:23-cv-01445-WWB-DCI (M.D. Fla. filed July 31, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8766-23">https://www.cftc.gov/PressRoom/PressReleases/8766-23</a>
31. CFTC v. Murtuza Kazmi, Traders Global Group Inc., and Traders Global Group Inc., No. 3:23-cv-11808 (D.N.J. filed Aug. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8771-23">https://www.cftc.gov/PressRoom/PressReleases/8771-23</a>
32. In re Oryn, Inc., CFTC Docket No. 23-40 (Sep. 7, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8774-23">https://www.cftc.gov/PressRoom/PressReleases/8774-23</a>
33. In re ZeroEx, Inc., CFTC Docket No. 23-41 (Sep. 7, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8774-23">https://www.cftc.gov/PressRoom/PressReleases/8774-23</a>
34. In re Deridex, Inc., CFTC Docket No. 23-42 (Sep. 7, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8774-23">https://www.cftc.gov/PressRoom/PressReleases/8774-23</a>
35. In re Jacob Orvidas, CFTC Docket No. 23-43 (Sep. 8, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8775-23">https://www.cftc.gov/PressRoom/PressReleases/8775-23</a>
36. CFTC v. Patrick Wonsey, No. 8:23-cv-02174 (M.D. Fla. Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8786-23">https://www.cftc.gov/PressRoom/PressReleases/8786-23</a>
37. CFTC v. Mosaic Exchange Limited, and Sean Michael, No. 9:23-cv-81320-AMC (S.D. Fla. Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8789-23">https://www.cftc.gov/PressRoom/PressReleases/8789-23</a>
38. In re altux-fx-miner, CFTC Docket No. 23-52 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
39. In re AstroFXMiners, CFTC Docket No. 23-49 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
40. In re Avadigital-Miners.com, CFTC Docket No. 23-50 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>

41. In re Globalbitasset, CFTC Docket No. 23-48 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
42. In re Gold Life Investment, CFTC Docket No. 23-51 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
43. In re Matchlessfxminer, CFTC Docket No. 23-47 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
44. In re PrimeCapitalTrade a/k/a Primecapitaltrade.com, CFTC Docket No. 23-53 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
45. In re Trading-Extramining, CFTC Docket No. 23-54 (filed Sep. 26, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8796-23">https://www.cftc.gov/PressRoom/PressReleases/8796-23</a>
46. CFTC v Or Patreanu, Snir Hananya, Elijah Samson, Artem Prokopenko, and Expected Value Plus Ltd. (all d/b/a Trade2Get, Coinbull, Cryptonxt, Tradenix, Cryptobravos, Nittrex, Pinance, and Wobit), and Lions of Forex LLC, No 2:23-cv-20782 (D.N.J. Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8798-23">https://www.cftc.gov/PressRoom/PressReleases/8798-23</a>
47. CFTC v. Edwin M. Carrion, Technical Trading Team LLC, and Jason F. Rodriguez, No. 1:23-cv-07296 (E.D.N.Y. Sep. 29, 2023)	<a href="https://www.cftc.gov/PressRoom/PressReleases/8803-23">https://www.cftc.gov/PressRoom/PressReleases/8803-23</a>