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Securities Enforcement Quarterly

Harvard Law School Forum on Corporate Governance

November 2021

While the third quarter of 2021 marked the end of the fiscal year for the U.S. Securities and Exchange Commission, it also seems to be the start of an aggressive enforcement agenda led by its new Chairman and Director of Enforcement. In this article, Charles Clark, Craig Warkol and Alex Wharton discuss the most impactful enforcement actions against investment advisers and broker-dealers in Q3 2021, as well as key statements from regulators related to digital assets.

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