

PUBLICATIONS

Securities Enforcement Quarterly May 2022

May 2022

In 2021, the SEC set forth an ambitious agenda for enforcement and regulation and, as discussed in this edition of Schulte Roth & Zabel's *Securities Enforcement Quarterly*, during the first quarter of 2022, the SEC set forth sweeping rule proposals that are likely to impact most participants in the financial markets and lay a foundation for an increased focus on private fund advisers.

This edition also describes the SEC's resolution of its first enforcement action against a digital asset lending platform and reflects on SRZ partner Craig Warkol's conversation with Gurbir Grewal, Director of the SEC's Division of Enforcement, at SRZ's 31st Annual Private Investment Funds Seminar in January 2022. The SEC's aggressive enforcement posture is reflected across this edition's discussion of novel enforcement actions targeting conflicts of interest and in the summary of key enforcement actions brought by the SEC and other financial regulators in the first quarter of 2022.

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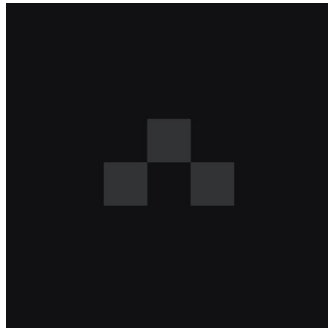
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SEC ENFORCEMENT AND WHITE COLLAR DEFENSE
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