

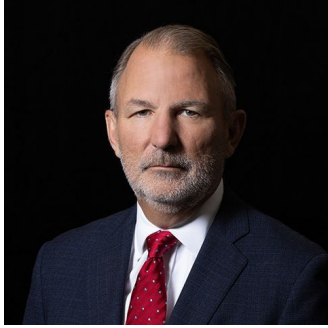
PUBLICATIONS

Securities Enforcement Quarterly November 2022

November 2022

The third quarter marked the end of the SEC's fiscal year; a year defined by novel enforcement actions and steady pronouncements foreshadowing more boundary-pushing investigations and enforcement cases. In this edition of Schulte Roth & Zabel's *Securities Enforcement Quarterly*, we discuss the SEC's expanded enforcement in the digital asset space, its apparent return to the "broken windows" approach to enforcement and the recent enforcement activity related to unapproved communications platforms. We conclude by summarizing this quarter's notable enforcement actions.

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**Charles
Clark**

Partner
Washington, DC



**Harry
Davis**

Partner
New York



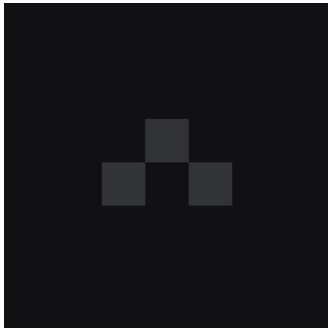
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Of Counsel
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New York



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Of Counsel
Washington, DC



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New York



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Washington, DC



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Special Counsel
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