

Addendum A: FY 2022 Enforcement Actions

Below are: a table summary of the FY 2022 cases by primary violation; a complete listing of all the 82 enforcement actions filed during FY 2022; and a listing of the 18 enforcement actions filed that involved conduct related to digital assets.

Table Summary

The CFTC's FY 2022 enforcement actions include 53 administrative cases and 29 civil injunctive cases. Most of these enforcement actions involved multiple types of violations, but the table below categorizes the cases by their primary violations.

FY 2022 Enforcement Actions Filed	
Case Category	# of Actions Filed
Manipulative Conduct, False Reporting, Spoofing	7
Fraud ¹	31
Supervision, Financial Integrity, Business Conduct	7
Illegal Off-Exchange Contracts, Failure to Register	12
Trade Practice Violations (includes Wash Trades, Fictitious Trades, Position Limits)	2
Reporting, Recordkeeping ²	18
Misappropriation of Material, Non-Public, Confidential Information, Misconduct by Employees against their Employers	3
False Information to CFTC or SRO, Violation of Prior Order	1
Statutory Disqualification	1
Total	82

¹ 15 of these actions also included Failure to Register charges, while 3 of these actions also included false statements to either the CFTC or an SRO.

² 15 of these actions also included Failure to Supervise charges

Complete Listing of CFTC FY 2022 Enforcement Actions

Manipulative Conduct, False Reporting, Spoofing	
CFTC v David Skudder, Global Ag LLC, and Nesvick Trading Group LLC, No. 1:22-cv-01925 (N.D. Ill. Filed Apr. 14, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8514-22
In re Glencore International A.G., and Chemoil Corporation, CFTC Docket No. 22-16 (May 24, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8534-22
CFTC v Daniel Shak, No. 2:22-cv-01258 (D. Nev. Filed Aug. 5, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8568-22
In re Eric Schwartz, CFTC Docket No. 22-22 (Aug. 24, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8577-22
In re Tanius Technology, LLC, CFTC Docket No. 22-34 (Sep. 26, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8595-22
In re Randy Chen, CFTC Docket No. 22-35 (Sep. 26, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8595-22
Fraud	
CFTC v. Purvesh Mankad, CTAX Series, LLC, and CTAX Partners, LLC, No. 2:21-cv-01719-JZB (D. Ariz. Filed Oct. 8, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8445-21
In re Paul Ohanian, and Scottsdale Wealth Planning, Inc., CFTC Docket No. 22-02 (Oct. 8, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8445-21
In re Tether Holdings Limited, Tether Limited, Tether Operations Limited, and Tether International Limited, CFTC Docket No. 22-04 (Oct. 15, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8450-21
CFTC v. Swapnil Rege, and SwapStar Capital LLC, No. 3:21-cv-19337 (D.N.J. Filed Oct. 26, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8454-21
In re United States Commodity Funds LLC, CFTC Docket No. 22-06 (Nov. 8, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8457-21
CFTC v. WorldWideMarkets, Ltd., TAB Networks, Inc., Thomas Plaut, and Arthur Dembro, No. 2:21-cv-20715 (D.N.J. Filed Dec. 27, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8477-21
CFTC v. Jase Davis, Borys Konovalenko, Anna Shymko, Alla Skala, Timothy Stubbs, Notus LLC d/b/a ROFX, Easy Com LLC d/b/a ROFX, Global E-Advantages LLC a/k/a Kickmagic LLC d/b/a ROFX, Grovee LLC d/b/a ROFX, and Shopostar LLC d/b/a ROFX, No. 1:22-cv-20291 (S.D. Fla. Filed Jan. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8486-22

CFTC v. Rajiv Patel, a/k/a Ravi Patel, a/k/a/ Raj Patel, and Blueprint LLC, No. 9:22-cv-80092-DMM (S.D. Fla. Filed Jan. 18, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8487-22
CFTC and Alabama Securities Commission, et al. v. Safeguard Metals LLC, and Jeffrey Santulan a/k/a Jeffrey Hill, No. 2:22-cv-00691 (C.D. Cal. Filed Feb. 1, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8489-22
CFTC v The W Trade Group LLC, Larry Ramos Mendoza, and Joseph Carvajales, No. 1:22-cv-20378 (S.D. Fla. Filed Feb. 7, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8493-22
CFTC v James R. Velissaris, No. 1:22-cv-01347 (S.D.N.Y. Filed Feb. 17, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8495-22
In re Richard D. Neal, and Golden Signals LLC, CFTC Docket No. 22-11 (Feb. 23, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8496-22
In re James Ward, CFTC Docket No. 22-12 (Mar. 8, 22)	No Press Release Issued
CFTC v Dwayne Golden, Jatin Patel, Marquis Egerton, and Gregory Aggesen, No. 1:22-cv-01252 (E.D.N.Y. Filed Mar. 8, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8498-22
CFTC v Kay Yang, AK Equity Group LLC and Xapphire LLC, No. 2:22-cv-00449-SCD (E.D. Wis. Filed Apr. 13, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8513-22
CFTC v Archegos Capital Management, LP, and Patrick Halligan, No. 1:22-cv-03401 (S.D.N.Y. Filed Apr. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8520-22
In re William Tomita, CFTC Docket No. 22-15 (Apr. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8520-22
In re Scott Becker, CFTC Docket No. 22-14 (Apr. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8520-22
CFTC v Eshaq M. Nawabi, Nawabi Enterprise, and Hyperion Consulting Inc., No. 2:22-at-00421 (E.D. Cal. Filed Apr. 26, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8524-22
CFTC v Eddy Alexandre, and EminiFX, Inc., No. 1:22-cv-03822-VEC (S.D.N.Y. Filed May 12, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8527-22
CFTC v Damian Castilla, DCAST Capital Investments LLC, and Five Traders LLC, No. 1:22-cv-21520 (S.D. Fla. Filed May 17, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8531-22
CFTC v Sam Ikkurty a/k/a Sreenivas I Rao, Ravishankar Avadhanam, and Jafia LLC, No. 1:22-cv-02465 (N.D. Ill. Filed May 10, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8532-22
CFTC v Rico Cox, No. 0:22-cv-61024 (S.D. Fla. Filed May 31, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8537-22
CFTC v Cornelius Johannes Steynberg, and Mirror Trading International Proprietary Limited, LLC, No. 1:22-cv-00635 (W.D. Tex. Filed Jun. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8549-22

CFTC v Emerson Pires, Flavio Goncalves, Joshua Nicholas, and Empires Consulting Corp., No. 1:22-cv-21997 (S.D. Fla. Filed Jun. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8551-22
In re Powerline Petroleum, LLC, Darren Dohme, and Adam Wright, CFTC Docket No. 22-21 (Jul. 19, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8559-22
CFTC v. Rathnakishore Giri, NBD Eidetic Capital, LLC and SR Private Equity, LLC, No. 2:22-cv-03091-ALM-KAJ (S.D. Ohio Filed Aug. 11, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8572-22
CFTC v Andrew M. Middlebrooks, and EIA All Weather Alpha Fund I Partners, LLC, No. :22-cv-11943-SFC-DRG (E.D. Mich. Filed Aug. 19, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8576-22
In re Blaise Brochard, CFTC Docket No. 22-24 (Sep. 6, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8582-22
In re Goldline, Inc., and A-Mark Precious Metals, Inc., CFTC Docket No. 22-30 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8588-22
CFTC v. Argent Asset Group LLC, First State Depository Company, LLC, and Robert Leroy Higgins, No. (D. Del. Filed Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8606-22
Supervision, Financial Integrity, Business Conduct	
In re ICE Clear Europe Limited, CFTC Docket No. 22-01 (Oct. 6, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8443-21
In re Dennis K. Thomas and John J. Bartoletta, CFTC Docket No. 22-10 (Jan. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8485-22
In re Interactive Brokers LLC, CFTC Docket No. 22-18 (Jun. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8550-22
In re Natixis, CFTC Docket No. 22-23 (Sep. 6, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8581-22
In re tpSEF, Inc., CFTC Docket No. 22-49 (Sep. 29, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8601-22
In re ADM Investor Services Inc., CFTC Docket No. 22-50 (Sep. 29, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8602-22
In re CX Futures Exchange, L.P., CFTC Docket No. 22-51 (Sep. 29, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8603-22
Illegal Off-Exchange Contracts, Failure to Register	
In re iFinex Inc., BFXNA Inc., and BFXWW Inc., CFTC Docket No. 22-05 (Oct. 15, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8450-21
In re Blockratize, Inc. d/b/a Polymarket, CFTC Docket No. 22-09 (Jan. 3, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8478-22
In re Starberry Limited, CFTC Docket No. 22-17 (Jun. 24, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8547-22
In re SprintTrade, CFTC Docket No. 22-25 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22

In re Cryptostockoptionstrade Ltd, CFTC Docket No. 22-26 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re Global Smart Option Broker Ltd, CFTC Docket No. 22-27 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re Hypertradingoption Ltd, CFTC Docket No. 22-28 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re Stockbrokertechiniques Ltd, CFTC Docket No. 22-29 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re bZeroX, LLC, Tom Bean, and Kyle Kistner, CFTC Docket No. 22-31 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8590-22
CFTC v Ooki DAO (formerly d/b/a bZx DAO), No. 3:22-cv-05416 (N.D. Cal. Filed Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8590-22
In re Asset Risk Management, LLC, CFTC Docket No. 22-36 (Sep. 26, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8596-22
In re Jason Gospodarek, and Quantum Financial Network, LLC, CFTC Docket No. 22-37 (Sep. 26, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8597-22
CFTC v Adam Todd, Digitex LLC, Digitex Limited, Digitex Software Limited, and Blockster Holdings Limited Corporation, No. 1:22-cv-23174 (S.D. Fla. Filed Sep. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8605-22
Trade Practice Violations (includes Wash Trades, Fictitious Trades, Position Limits)	
In re Kunal Bansal, Vinit Agarwal, Aralia Securities, Ltd. and Vintage Bullion DMCC, CFTC Docket No. 22-08 (Dec. 27, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8476-21
In re COFCO Corp., and Chinatex Corp., Ltd., CFTC Docket No. 22-33 (Sep. 23, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8592-22
Reporting, Recordkeeping	
In re UBS AG, CFTC Docket No. 22-03 (Oct. 14, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8448-21
In re JPMorgan Chase Bank, N.A., J.P. Morgan Securities LLC, and J.P. Morgan Securities plc, CFTC Docket No. 22-07 (Dec. 17, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8470-21
In re ED&F Man Capital Markets, Ltd., CFTC Docket No. 22-13 (Mar. 15, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8501-22
In re BNP Paribas, CFTC Docket No. 22-19 (Jul. 5, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8552-22
In re JPMorgan Chase Bank, N.A., J.P. Morgan Securities LLC, and J.P. Morgan Securities, plc, CFTC Docket No. 22-20 (Jul. 5, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8553-22

In re XP Investments US, LLC, CFTC Docket No. 22-32 (Sep. 23, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8591-22
In re Bank of America, N.A., BofA Securities, Inc., and Merrill Lynch, Pierce, Fenner & Smith Incorporated, CFTC Docket No. 22-38 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Barclays Bank PLC and Barclays Capital Inc., CFTC Docket No. 22-39 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Goldman Sachs & Co. LLC, f/k/a Goldman Sachs & Co., CFTC Docket No. 22-40 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Nomura Global Financial Products Inc., Nomura Securities International, Inc., and Nomura International PLC, CFTC Docket No. 22-41 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re UBS AG, UBS Financial Services, Inc., and UBS Securities LLC, CFTC Docket No. 22-42 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Jefferies Financial Services, Inc., and Jefferies LLC, CFTC Docket No. 22-43 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Morgan Stanley & Co. LLC, Morgan Stanley Capital Services LLC, Morgan Stanley Capital Group Inc., and Morgan Stanley Bank, N.A., CFTC Docket No. 22-44 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Cantor Fitzgerald & Co., CFTC Docket No. 22-45 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Citibank, N.A.; Citigroup Energy Inc.; and Citigroup Global Markets Inc., CFTC Docket No. 22-46 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Credit Suisse International, and Credit Suisse Securities (USA) LLC, CFTC Docket No. 22-47 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re Deutsche Bank AG, and Deutsche Bank Securities Inc., CFTC Docket No. 22-48 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8599-22
In re BGC Derivative Markets, L.P., CFTC Docket No. 22-52 (Sep. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8604-22
Misappropriation of Material, Non-Public, Confidential Information, Misconduct by Employees against their Employers	
CFTC v. Coquest Inc., Dennis Weinmann, John Vassallo, Buttonwood LLC and Weva Properties Ltd., No. 3:21-cv-02599-S (N.D. Tex. Filed Oct. 20, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8451-21
CFTC v. Peter Miller, and Omerta Capital LLC, No. 3:21-cv-19337 (S.D. Tex. Filed Dec. 10,	https://www.cftc.gov/PressRoom/PressReleases/8468-21

2021)	
CFTC v. Matthew Clark, No. 4:22-cv-00365 (S.D. Tex. Filed Feb. 3, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8490-22
False Information to CFTC or SRO, Violation of Prior Order	
CFTC v Gemini Trust Company, LLC, No. 1:22-cv-04563 (S.D.N.Y. Filed Jun. 2, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8540-22
Statutory Disqualification	
In re Fintech Investment Group Inc., and Alan Friedland, CFTC Docket No. SD 22-01 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8598-22

Listing of Those CFTC FY 2022 Enforcement Actions That Involved Conduct Related to Digital Assets

In re Tether Holdings Limited, Tether Limited, Tether Operations Limited, and Tether International Limited, CFTC Docket No. 22-04 (Oct. 15, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8450-21
In re James Ward, CFTC Docket No. 22-12 (Mar. 8, 2022)	No Press Release Issued
CFTC v Dwayne Golden, Jatin Patel, Marquis Egerton, and Gregory Aggesen, No. 1:22-cv-01252 (E.D.N.Y. Filed Mar. 8, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8498-22
CFTC v Eddy Alexandre, and EminiFX, Inc., No. 1:22-cv-03822-VEC (S.D.N.Y. Filed May 12, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8527-22
CFTC v Sam Ikkurty a/k/a Sreenivas I Rao, Ravishankar Avadhanam, and Jafia LLC, No. 1:22-cv-02465 (N.D. Ill. Filed May 10, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8532-22
CFTC v Gemini Trust Company, LLC, No. 1:22-cv-04563 (S.D.N.Y. Filed Jun. 2, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8540-22
CFTC v Cornelius Johannes Steynberg, and Mirror Trading International Proprietary Limited, LLC, No. 1:22-cv-00635 (W.D. Tex. Filed Jun. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8549-22
CFTC v Emerson Pires, Flavio Goncalves, Joshua Nicholas, and Empires Consulting Corp., No. 1:22-cv-21997 (S.D. Fla. Filed Jun. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8551-22
CFTC v. Rathnakishore Giri, NBD Eidetic Capital, LLC and SR Private Equity, LLC, No. 2:22-cv-03091-ALM-KAJ (S.D. Ohio Filed Aug. 11, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8572-22
In re iFinex Inc., BFXNA Inc., and BFXWW Inc., CFTC Docket No. 22-05 (Oct. 15, 2021)	https://www.cftc.gov/PressRoom/PressReleases/8450-21
In re SprintTrade, CFTC Docket No. 22-25 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re Cryptostockoptionstrade Ltd, CFTC Docket No. 22-26 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re Global Smart Option Broker Ltd, CFTC Docket No. 22-27 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re Hypertradingoption Ltd, CFTC Docket No. 22-28 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
In re Stockbrokertechiques Ltd, CFTC Docket No. 22-29 (Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8589-22
CFTC v Ooki DAO (formerly d/b/a bZx DAO), No. 3:22-cv-05416 (N.D. Cal. Filed Sep. 22, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8590-22
In re Fintech Investment Group Inc., and Alan Friedland, CFTC Docket No. SD 22-01 (Sep. 27, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8598-22
CFTC v Adam Todd, Digitex LLC, Digitex Limited, Digitex Software Limited, and Blockster Holdings Limited Corporation, No. 1:22-cv-23174 (S.D. Fla. Filed Sep. 30, 2022)	https://www.cftc.gov/PressRoom/PressReleases/8605-22