

SEC & CFTC Enforcement Update

[June 21, 2023 | Client Update](#)

In May 2023, the SEC filed 40 actions and the CFTC filed seven, against a combined total of 72 defendants and respondents. (These figures exclude follow-on actions, bars and suspensions.) The actions include matters related to broker-dealers and investment advisers, among others.

Read previous SEC & CFTC Enforcement Updates:

- [April 2023 issue](#)
- [March 2023 issue](#)
- [February 2023 issue](#)
- [January 2023 issue](#)
- [Summer 2022 issue](#)
- [May 2022 issue](#)
- [April 2022 issue](#)
- [February & March 2022 issue](#)
- [January 2022 issue](#)
- [December 2021 issue](#)
- [October & November 2021 issue](#)
- [September 2021 issue](#)
- [August 2021 issue](#)
- [July 2021 issue](#)
- [June 2021 issue](#)
- [May 2021 issue](#)
- [April 2021 issue](#)
- [March 2021 issue](#)
- [February 2021 issue](#)
- [January 2021 issue](#)

If you have any questions regarding the matters covered in this publication, please reach out to any of the lawyers listed below or your usual Davis Polk contact.

Greg D. Andres

+1 212 450 4724

greg.andres@davispolk.com

Uzo Asonye

+1 202 962 7057

uzo.asonye@davispolk.com

Martine M. Beamon

+1 212 450 4262

martine.beamon@davispolk.com

Angela T. Burgess

+1 212 450 4885

angela.burgess@davispolk.com

Robert A. Cohen

+1 202 962 7047

robert.cohen@davispolk.com

Tatiana R. Martins

+1 212 450 4085

tatiana.martins@davispolk.com

Fiona R. Moran

+1 202 962 7137

fiona.moran@davispolk.com

Stefani Johnson Myrick

+1 202 962 7165

stefani.myrick@davispolk.com

Paul J. Nathanson

+1 202 962 7055

+1 212 450 3133

paul.nathanson@davispolk.com

This communication, which we believe may be of interest to our clients and friends of the firm, is for general information only. It is not a full analysis of the matters presented and should not be relied upon as legal advice. This may be considered attorney advertising in some jurisdictions. Please refer to the firm's [privacy notice](#) for further details.