



November 2023

SEC WHISTLEBLOWER NEWSLETTER

ABOUT US

If you're considering blowing the whistle on an unlawful practice within the securities industry, our attorneys can help. Led by two career-long securities fraud lawyers, we represent investment fraud victims, Wall Street insiders, and others before the SEC whistleblower office.

LAWYER SPOTLIGHT

Scott Silver

Chair Of Securities And Financial Fraud Group Of The American Association For Justice (AAJ)



Scott is honored to be chosen to continue serving in his role at the AAJ, where he advocates for the rights of victims of securities and investment fraud to pursue justice caused by the misconduct of others.

Scott is a frequent lecturer on securities and investment fraud and best practices on pursuing stockbroker misconduct cases.



"I am honored to hold this prestigious position and to be surrounded by some of the best securities attorneys in the country sharing information and advocating for investment fraud victims."

— Scott Silver

Growing Fraud In the Private Equity Market



To ensure well-functioning private capital markets that facilitate capital formation, protecting investors from possible fraud and misconduct remains an important concern in the unregistered offerings space. Understanding the extent and type of possible misconduct in this space could help federal and state regulators undertake precautionary measures (e.g., investor education) and

reducing possible fraudulent activity in this space.

Based on the data available from the sample of SEC litigated cases, the findings indicate that offerings involving an unregistered intermediary or a recidivist, or those that solicit from unsophisticated investors are more likely to involve fraudulent behavior.

This suggests that for example, coordination across various regulators, at state and federal levels, for tracking persons or entities found in previous violation of securities laws, may assist compliance and enforcement efforts in this space.

Source: www.sec.gov

[Learn More](#)

IN THE NEWS



SEC Examiners Paying Closer Attention To Crypto, Cyber And ALM



The rash of cryptocurrency failures, cybersecurity failings, and potential for money laundering are a focus of the U.S. Securities and Exchange Commission (SEC) examiners in the coming year. The high-profile FTX case and criminal charges against Sam Bankman-Fried and others have brought the issues to the SEC's attention. The SEC handled 24 enforcement actions involving cryptocurrency in the first half of 2023.

Going forward, **the SEC will pay closer attention to cryptocurrency assets and companies, as well as anti-money laundering (ALM) programs going into 2024.**

[Read more on our blog](#)



Retaining Experienced SEC Whistleblower Attorneys

SEC whistleblowers help everyone by notifying the SEC of conduct that harms the investing public, while also earning financial compensation for themselves. Hiring experienced SEC counsel may greatly increase the probability that the SEC will initiate an investigation based on your information. If you wish to remain anonymous, you must be represented by an attorney, who will submit everything on your behalf.

We have experienced SEC whistleblower lawyers, including a former SEC Enforcement attorney on the team, so you will always have guidance throughout the process. Our SEC whistleblower attorneys can help you if you have information regarding securities or investment fraud, violations of federal securities laws, false filings, market manipulation, or other misconduct. You must provide timely, credible, and original information or analysis to be eligible.

[CONTACT US](#)

secwhistleblowerattorneys.com | [800.975.4345](tel:800.975.4345)

[GET A FREE CONSULTATION](#)