



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

March 7, 2024

Ms. Jessica Albert
HAI
7361 Calhoun Place
Suite 310
Rockville, MD 20855

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **23-03267-FOIA**

Dear Ms. Albert:

This letter responds to your request, dated and received in this office on July 28, 2023, for records reflecting or concerning changes in Commission staffing, funding, or other resourcing commitments or planning made for any Commission investigations, enforcement actions, or for any other Commission undertaking which in any way concerns the regulation of Digital Assets made since January 1, 2021.

The search for responsive records has resulted in the retrieval of 40 pages of records that may be responsive to your request. Access is granted to the enclosed 25 pages of records, except for information which is exempt from disclosure under 5 U.S.C. § 552(b)(6), since its release would constitute a clearly unwarranted invasion of personal privacy.

We are withholding the remaining 15 pages of records in their entirety as they are exempt from disclosure under 5 U.S.C. § 552(b)(5). This exemption protects records that were prepared in anticipation of litigation, form an integral part of the SEC's pre-decisional process, and/or contain advice given to the Commission or senior staff by the Commission's attorneys. Such records are protected from release by the attorney work-product, deliberative process and/or attorney-client privileges embodied in Exemption 5.

Any and all pending internal memoranda concerning additional staffing within the Crypto Assets and Cyber Unit are also exempt from disclosure under 5 U.S.C. § 552(b)(5), and are withheld for the same reasons stated in the above paragraph.

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Please be advised that we have considered the foreseeable harm standard in preparing this response.

For additional information regarding changes to SEC Commission staffing with regard to Digital Assets, please see <https://www.sec.gov/news/press-release/2022-78>. The SEC press release website may also be used to search any additional past or current SEC press releases regarding announcements regarding staffing and other changes concerning Digital Assets.

For further information with regard to SEC staffing, please see SEC vacancy announcements at <https://www.usajobs.gov/>.

I am the deciding official with regard to this adverse determination. You have the right to appeal my decision to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(f)(1). The appeal must be received within ninety (90) calendar days of the date of this adverse decision. Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. The appeal may include facts and authorities you consider appropriate.

You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver it to Room 1120 at that address.

If you have any questions, please contact Indria Burrows of my staff at burrowsi@sec.gov or (202) 551-5105. You may also contact me at foiapa@sec.gov or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at foiapa@sec.gov or (202) 551-7900. For more information about the FOIA Public Service Center and other options available to you please see the attached addendum.

Sincerely,



Carmen L. Mallon
FOIA Branch Chief

Enclosures

ADDENDUM

For further assistance you can contact a SEC FOIA Public Liaison by calling (202) 551-7900 or visiting <https://www.sec.gov/oso/help/foia-contact.html>.

SEC FOIA Public Liaisons are supervisory staff within the Office of FOIA Services. They can assist FOIA requesters with general questions or concerns about the SEC's FOIA process or about the processing of their specific request.

In addition, you may also contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA dispute resolution services it offers. OGIS can be reached at 1-877-684-6448 or via e-mail at ogis@nara.gov. Information concerning services offered by OGIS can be found at their website at [Archives.gov](https://www.archives.gov). Note that contacting the FOIA Public Liaison or OGIS does not stop the 90-day appeal clock and is not a substitute for filing an administrative appeal.

From: Tenreiro, Jorge <(b)(6)@SEC.GOV>
Sent: Wednesday, April 26, 2023 5:00 PM
To: #ENF Attorneys <(b)(6)@SEC.GOV>
Subject: CACU Staff Attorney Positions

All:

We are pleased to announce the opening of several investigative staff attorney positions in the Crypto Assets and Cyber Unit ("CACU"). These positions are open to any current Division of Enforcement Attorney and will be located in any regional office, with the possibility of reporting to any Assistant Director in the regional offices where the CACU currently has a current presence—Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco—or to an Assistant Director in any other office to which the CACU may add an Assistant Director before the candidate's selection. We ask for indications of interest by COB **May 3, 2023**.

A description of the Unit and instructions for applying are included below.

Crypto Assets and Cyber Unit: The Division of Enforcement's Crypto Asset & Cyber Unit operates on a nationwide basis and focuses on violations of the registration provisions of the federal securities laws relating to crypto assets, on violations of other provisions of the federal securities laws relating to crypto assets, and on cybersecurity and cyber-related misconduct. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's regional offices noted above, with liaisons in the other regional offices.

Duties: If selected, you will join a well-respected team responsible for cutting edge investigations in a rapidly developing area of law, involving dynamic markets and market participants, and the focus of significant attention from constituents and stakeholders within and outside the Commission. The CACU comprises of enforcement investigative staff, data and fraud analyst specialists, and detailed staff accountants.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to me at (b)(6)@sec.gov. If you have questions, please feel free to contact me or Dave at (b)(6)@sec.gov. Also, **please ensure that you copy Kelly Lago, (b)(6)@sec.gov, on your application.**

Deadline: We ask that applications be submitted by **May 3, 2023**.

Qualifications Required: Applicants must possess an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct fast-paced, high profile, and complex investigations; extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys, including those who are currently on detail to the Unit.

Salary and Relocation: Selection will not result in a salary increase. If the applicant selected is presently at the SK-13 or SK-14 grade, the applicant selected will assume this position at his or her current salary and grade. If, however, the applicant selected is currently at the SK-15 or SK-16 grade, the grade and salary will be changed to a lower-graded position (i.e., SK-16 to SK-14). If you are currently in a

supervisory position and voluntarily downgrade into an SK-14, you will relinquish any benefits associated with the supervisory position (i.e., enhanced leave, supervisory differential, professional dues reimbursement, etc.).

This position is located in the Home Office and all regional offices. If the applicant selected is presently located in a region without a current Unit Assistant Director, the candidate will be asked to report to an Assistant Director in an office with a currently existing Assistant Director. Those offices are the Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco. The candidate could also be asked to report to an Assistant Director in any other office to which the CACU may add an Assistant Director before the candidate's selection.

No relocation expenses will be paid for this position.

We look forward to all expressions of interest and encourage interested individuals to apply. Again, please do not hesitate to contact any Unit member if you have questions. Best regards.

Dave & Jorge

From: Welshhans, Carolyn <(b)(6)@sec.gov>
Sent: Thursday, August 18, 2022 8:24 AM
To: #ENF Attorneys <(b)(6)@SEC.GOV>
Subject: Crypto Assets and Cyber Unit Position in Chicago Regional Office

Good morning,

We are pleased to announce the opening of an investigative staff attorney position in the Crypto Assets and Cyber Unit. The position will be located in Chicago, IL, and we ask for indications of interest by COB September 1, 2022.

A description of the Unit and instructions for applying are included below.

Crypto Assets and Cyber Unit

The Division of Enforcement's Crypto Assets and Cyber Unit operates on a nationwide basis, exercises the full range of the Division's investigative and law enforcement powers, and focuses on violations of the federal securities laws relating to crypto assets, cybersecurity, and cyber-related trading misconduct. Typical investigations involve crypto assets, such as violations of the registration and anti-fraud provisions of the federal securities laws; public company disclosures of cyber-related incidents and risks; cybersecurity procedures at broker-dealers, investment advisers, and other regulated entities; cyber-related threats to trading platform and other critical market infrastructure; cyber-related trading violations, such as hacking to obtain material, nonpublic information and market manipulation through false information spread through electronic and social media; and misconduct perpetrated using the dark web. The Unit is comprised of Enforcement staff from Washington, D.C., as well as the SEC's regional offices.

How to Apply: if you are interested in applying, please e-mail your resume and a short statement describing your interest in the Unit (no more than 300 words) to Carolyn Welshhans. If you have questions, please feel free to contact Carolyn Welshhans or Amy Hartman.

Deadline: we ask that applications be submitted by September 1, 2022.

Qualifications Required: applicants must possess good analytical skills; keen attention to detail; skill in interacting professionally with members of the public; an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct high profile and complex investigations; and extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys (SK-13 through SK-16).

Salary and Relocation: selection will not result in a salary increase. If the applicant is presently at the SK-13 or SK-14 grade, the applicant selected will assume this position at his or her current salary and grade. If, however, the applicant selected is currently at the SK-15 or SK-16 grade, your grade and salary will be changed to a lower-graded position (*i.e.*, SK-16 to SK-14). If you are currently in a supervisory position and voluntarily downgrade into an SK-14, you will relinquish any benefits associated with your supervisory position (*i.e.*, enhanced leave, supervisory differential, professional dues reimbursement, etc.).

This position is located in Chicago, IL. If the applicant selected is presently located in another region, the applicant will be required to relocate. No relocation expenses will be paid for this position.

We look forward to all expressions of interest and encourage interested individuals to apply. Please do not hesitate to contact any Unit member if you have questions. Thank you.

Carolyn

Rollins, Carl

From: Tenreiro, Jorge
Sent: Wednesday, March 01, 2023 3:56 PM
To: #ENF Attorneys
Subject: Crypto Assets and Cyber Unit Openings - Due March 10

All:

We are pleased to announce the opening of several investigative staff attorney positions in the Crypto Assets and Cyber Unit ("CACU"). These positions are open to any current Division of Enforcement Attorney and will be located in any regional office, with the possibility of reporting to any Assistant Director in the regional offices where the CACU currently has a presence—Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco. We ask for indications of interest by COB **March 10, 2023**.

A description of the Unit and instructions for applying are included below.

Crypto Assets and Cyber Unit

The Division of Enforcement's Crypto Asset & Cyber Unit operates on a nationwide basis and focuses on violations of the registration provisions of the federal securities laws relating to crypto assets, on violations of other provisions of the federal securities laws relating to crypto assets, and on cybersecurity and cyber-related misconduct. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's regional offices noted above, with liaisons in the other regional offices.

Significant CACU matters filed this fiscal year so far include:

- **FTX**. In one of the highest-profile actions brought by the Commission in the crypto asset space, we charged Samuel Bankman-Fried (and, later, [three additional](#) collaborators) for orchestrating a scheme to defraud equity investors who invested \$1.8 billion into FTX, the crypto trading platform of which SBF was the CEO and co-founder. Together with the SDNY, we charged SBF with, among other things, orchestrating a years-long fraud to conceal the undisclosed diversion of billions of FTX customers' funds to his privately-held crypto hedge fund.
- **Kraken**. In the first-ever action of this kind, we charged Kraken with failing to register the offer and sale of their crypto asset staking-as-a-service program as a securities offering, requiring Kraken to pay \$30 million and shut down the program. Exemplifying the programmatic significance of the matter and the groundbreaking nature of the case, the matter resulted in an "Office Hours" [video](#) by Chair Gensler.
- **Terraform Labs (together with the CFI)**. Together with colleagues in the Complex Financial Instruments Unit, we charged Terraform Labs PTE Ltd and Do Hyeong Kwon with orchestrating a multi-billion dollar crypto asset securities fraud involving an algorithmic stablecoin and other crypto asset securities, the first time the SEC brought registration charges with respect to a so-called "stablecoin." We charged Terraform and Kwon with conducting a years-long fraud that led to the collapse of several crypto asset ventures and augured in the current so-called "crypto winter." This charge followed a subpoena enforcement action against Kwon that is currently pending before the U.S. Supreme Court.
- **Kim Kardashian and Paul Pierce Celebrity Promotion Cases**. We charged celebrity Kim Kardashian and NBA Hall of Famer Paul Pierce with engaging in undisclosed promotions of the crypto asset security EMAX, in two high-profile actions that resulted in the largest penalties ever against celebrity promoters and, in Pierce's case, a fraud charge with respect to his misleading statements issued together with the promotion.

Duties: If selected, you will join a well-respected team responsible for cutting edge investigations in a rapidly developing area of law, involving dynamic markets and market participants, and the focus of significant attention from constituents and stakeholders within and outside the Commission. The CACU comprises of enforcement investigative staff, data and fraud analyst specialists, and detailed staff accountants.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to me at (b)(6)@sec.gov. If you have questions, please feel free to contact me or Dave at (b)(6)@sec.gov.

Deadline: We ask that applications be submitted by March 10, 2023.

Qualifications Required: Applicants must possess an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct fast-paced, high profile, and complex investigations; extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys, including those who are currently on detail to the Unit.

Salary and Relocation: Selection will not result in a salary increase. If the applicant selected is presently at the SK-13 or SK-14 grade, the applicant selected will assume this position at his or her current salary and grade. If, however, the applicant selected is currently at the SK-15 or SK-16 grade, the grade and salary will be changed to a lower-graded position (i.e., SK-16 to SK-14). If you are currently in a supervisory position and voluntarily downgrade into an SK-14, you will relinquish any benefits associated with the supervisory position (i.e., enhanced leave, supervisory differential, professional dues reimbursement, etc.).

This position is located in the Home Office and all regional offices. If the applicant selected is presently located in a region without a current Unit Assistant Director, the candidate will be asked to report to an Assistant Director in an office with a currently existing Assistant Director. Those offices are the Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco.

No relocation expenses will be paid for this position.

We look forward to all expressions of interest and encourage interested individuals to apply. Again, please do not hesitate to contact any Unit member if you have questions. Best regards.

Dave & Jorge

Detail Opportunity for General Attorney in the Division of Enforcement Crypto Assets and Cyber Unit

There is a critical need for detailees given the recent downturns in the crypto asset securities markets and the heightened investor protection and market integrity issues that they raise. In particular, there is a need for additional staff to be able to respond to the fast-moving and quickly-evolving threats that recent developments in the crypto markets pose to the SEC's mission.

The SEC's Crypto Assets and Cyber Unit

The Crypto Assets and Cyber Unit (CACU) operates on a nationwide basis, exercises the full range of the Division's investigative and law enforcement powers, and focuses on violations of the federal securities laws relating to crypto assets, cybersecurity, and cyber-related trading misconduct. Typical investigations involve crypto assets, such as violations of the registration and anti-fraud provisions of the federal securities laws; public company disclosures of cyber-related incidents and risk; cybersecurity procedures at broker-dealers, investment advisers, and other regulated entities; cyber-related threats to trading platforms and other critical market infrastructure; cyber-related trading violations, such as hacking to obtain material nonpublic information and market manipulation through false information spread through electronic and social media; and misconduct perpetrated using the dark web. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's regional offices noted above, with liaisons in the other regional offices.

Position Title:

General Attorney SK-0905-14

Opening/Closing Date:

December 1, 2022 to December 15, 2022

Location:

Atlanta, GA; Boston, MA; Chicago, IL; Denver, CO; Ft. Worth, TX; Los Angeles, CA; Miami, FL; New York, NY; Philadelphia, PA; Salt Lake City, UT; San Francisco, CA; Washington, DC.

Eligibility:

- Candidates must be at the SK-14 or SK-16* grade levels.
- Employees may apply from the Home Office or any Regional Office, and will remain in their home duty location.
- Open to current permanent SEC employees only.

Duties/Responsibilities/Key Assignments:

Attorneys selected for this detail will conduct investigations, and may assist in litigation, relating to violations of the securities laws involving crypto assets or cyber security compliance and disclosures. They will work closely with CACU unit staff attorneys, managers, and senior leadership. They will develop experience and expertise in a variety of specialized investigative techniques and tools, including tracing and analysis of blockchain transactions. This role affords a comprehensive perspective on

emerging issues, legal questions, and evolving technologies that affect the unit and its investigations and recommendations. The opportunity for members of CACU to work closely with a detail from another unit or core of Division of Enforcement will help the unit continue to serve as a resource across the division, and develop specific processes to better deliver assistance and serve as a productive partner.

Attorneys selected for this position can expect to be on the forefront of some of the most dynamic and challenging issues facing the Division of Enforcement. At the conclusion of the detail, the person or people will be able to apply their experiences and knowledge of available tools and techniques to better pursue crypto and cyber security investigations independently. They will also be able to assist non-CACU colleagues in pursuing these types of investigations and direct them to resources that can assist in those investigations.

Qualifications Required:

Applicants must possess good analytical skills; keen attention to detail; skill in interacting professionally with members of the public; an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct high profile and complex investigations; and extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys.

Salary:

Applicant selected will be detailed at current salary and grade. Selection for this assignment will not result in a salary increase. *An applicant selected at the SK-16 grade level will be required to take a change-to-lower grade to the SK-14 grade level for the duration of the detail with a 6% reduction in pay.

Duration:

- This detail is for 1 year from the date of assignment, dependent upon approval of management.
- This detail may be extended OR it may end at any time during the course of the appointment at the discretion of management.
- Candidates should be available for possible extension of the detail, if needed.

Work Schedule:

Your work schedule, including recurring telework arrangements, may be subject to change for the duration of this assignment.

Submission Procedures

If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to CACU Deputy Chief Jorge Tenreiro at (b)(6) [@sec.gov](mailto:tenreiro@sec.gov) no later than December 15, 2022. If you have questions, please feel free to contact David Hirsch or Jorge Tenreiro.

Important Notes:

1. The candidate's current supervisor must approve this detail in order for the candidate to accept this assignment.

2. Selectee understands that during the duration of the detail, he/she will be assigned to the ENF/CACU and upon completion of the detail he/she will return to his/her regular duties.
3. Relocation expenses will not be authorized.

What to Expect Next

Materials will be reviewed to ensure eligibility requirements are met. Eligible applications will be reviewed and interviews will be coordinated, as necessary, to finalize the selection. For additional information regarding the position, please contact David Hirsch or Jorge Tenreiro.

Detail Opportunity for Staff Accountants in the Division of Enforcement Crypto Assets and Cyber Unit

There is a critical need for detailees given the recent downturns in the crypto asset securities markets and the heightened investor protection and market integrity issues that they raise. In particular, there is a need for additional staff to be able to respond to the fast-moving and quickly-evolving threats that recent developments in the crypto markets pose to the SEC's mission.

The SEC's Crypto Assets and Cyber Unit

The Crypto Assets and Cyber Unit (CACU) operates on a nationwide basis, exercises the full range of the Division's investigative and law enforcement powers, and focuses on violations of the federal securities laws relating to crypto assets, cybersecurity, and cyber-related trading misconduct. Typical investigations involve crypto assets, such as violations of the registration and anti-fraud provisions of the federal securities laws; public company disclosures of cyber-related incidents and risk; cybersecurity procedures at broker-dealers, investment advisers, and other regulated entities; cyber-related threats to trading platforms and other critical market infrastructure; cyber-related trading violations, such as hacking to obtain material nonpublic information and market manipulation through false information spread through electronic and social media; and misconduct perpetrated using the dark web. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's regional offices noted above, with liaisons in the other regional offices.

Position Title:

Staff Accountant, SK-510-14

Opening/Closing Date:

December 5, 2022 to December 19, 2022

Location:

New York, NY and Washington, DC.

Eligibility:

- Candidates must be at the SK-14 or SK-16* grade levels.
- Employees may apply from the Home Office or any Regional Office, and will remain in their home duty location.
- Open to current permanent SEC employees only.

Duties/Responsibilities/Key Assignments:

Accountants selected for this detail provide forensic accounting expertise relating to complex and difficult accounting investigations, including the development and preparation of forensic accounting analysis and reports. They will apply sophisticated accounting, auditing, and investigative skills to identify, analyze, and summarize evidence of financial fraud or other accounting related violations of the federal securities laws. They will prepare detailed financial accounting findings and conclusions utilized in SEC administrative proceedings and/or federal court actions, and translates findings into terminology and formats which can be understood by both legal and lay personnel. They will work with legal staff by

reviewing subpoenas; identifies potential witnesses and takes testimony; analyzes documentary and/or testimonial evidence to determine potential for Commission action.

The opportunity for members of CACU to work closely with a detail from another unit or core of Division of Enforcement will help the unit continue to serve as a resource across the division, and develop specific processes to better deliver assistance and serve as a productive partner.

Accountants selected for this position can expect to be on the forefront of some of the most dynamic and challenging issues facing the Division of Enforcement.

Qualifications Required:

Applicants must possess skill coordinating, staffing, and leading a public company audit in accordance with the standards of the Public Company Accounting Oversight Board, Generally Accepted Accounting Principles, and the federal securities laws; performing detailed analyses, drawing conclusions, providing advice, and developing recommendations on complex transactions or issues; evaluating policies, procedures, and processes related to financial operations; developing technical recommendations and providing advice to senior organization management; and conducting or leading discussions with corporate or public company CEO, CFO or other senior company officials.

Salary:

Applicant selected will be detailed at current salary and grade. Selection for this assignment will not result in a salary increase. *An applicant selected at the SK-16 grade level will be required to take a change-to-lower grade to the SK-14 grade level for the duration of the detail with a 6% reduction in pay.

Duration:

- This detail is for 1 year from the date of assignment, dependent upon approval of management.
- This detail may be extended OR it may end at any time during the course of the appointment at the discretion of management.
- Candidates should be available for possible extension of the detail, if needed.

Work Schedule:

Your work schedule, including recurring telework arrangements, may be subject to change for the duration of this assignment.

Submission Procedures

If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to CACU Deputy Chief Jorge Tenreiro at (b)(6) [@sec.gov](mailto: @sec.gov) no later than December 19, 2022. If you have questions, please feel free to contact David Hirsch or Jorge Tenreiro.

Important Notes:

1. The candidate's current supervisor must approve this detail in order for the candidate to accept this assignment.
2. Selectee understands that during the duration of the detail, he/she will be assigned to the ENF/CACU and upon completion of the detail he/she will return to his/her regular duties.
3. Relocation expenses will not be authorized.

What to Expect Next

Materials will be reviewed to ensure eligibility requirements are met. Eligible applications will be reviewed and interviews will be coordinated, as necessary, to finalize the selection. For additional information regarding the position, please contact David Hirsch or Jorge Tenreiro.

From: Littman, Kristina <(b)(6)@SEC.gov>
Sent: Tuesday, February 15, 2022 1:03 PM
To: #ENF Attorneys <(b)(6)@SEC.GOV>
Subject: Cyber Unit Staff Attorney Opening - deadline March 1

I am pleased to announce that the Cyber Unit has an open position for an investigative staff attorney to be located in one of the current Cyber Unit duty stations (CHRO, LARO, NYRO, PLRO, SFRO, and HO). Descriptions of the Cyber Unit and the position are included below along with instructions for applying. **The deadline for applications is Tuesday, March 1, 2022.**

Please do not hesitate to contact me if you have questions or need additional information.

Kristy

Cyber Unit

The Cyber Unit investigates violations involving digital asset offerings and platforms, cybersecurity and related internal controls of regulated entities, issuer disclosure of cybersecurity risks and events, cyber-related trading violations such as hacking for MNPI and brokerage account intrusions, and online misconduct including the dark web. The unit has worked closely with other divisions, foreign and domestic regulators, and criminal authorities to respond to the growing cyber threat facing our markets, including the emergence of digital assets. The unit has developed expertise in investigating potential violations involving distributed ledger technology, such as tracing digital assets on the blockchain, and other forensic issues such as web logs of hacking activity. See below for a list of recent cyber cases.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the unit (no more than 300 words) to Cyber Unit Chief Kristy Littman and Cyber Unit Senior Advisor Brent Wilner. If you have questions about the unit, please feel free to contact us or any other member of the unit.

Deadline: Please submit applications by **Tuesday, March 1, 2022.**

Qualifications Required: Applicants must possess good analytical skills; keen attention to detail; skill in interacting professionally with members of the public; an ability to interact with and communicate effectively with victims of securities fraud; an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct high profile and complex investigations; and extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation. Experience working on matters involving digital assets is preferred, but not required.

The position is open only to current Division of Enforcement attorneys (SK-11 through SK-16).

Salary: If the applicant selected is currently at grade SK-15 or below, the applicant selected will assume this position at his or her current salary and grade. If your current position is at the SK-16 grade, your grade and salary will be changed to reflect the lower graded position (*i.e.*, SK-14).

Relocation: Relocation expenses will not be paid for this position.

Examples of Cyber Unit cases include:

Digital Assets

- [BlockFi Agrees to Pay \\$100 Million in Penalties and Pursue Registration of its Crypto Lending Product](#) (February 2022)
- [SEC Charges ICO Issuer and Founder with Defrauding Investors](#) (January 2022)
- [SEC Charges Latvian Citizen with Digital Asset Fraud](#) (December 2021)
- [Registration of Two Digital Tokens Halted](#) (November 2021)
- [SEC Charges Issuers and CEO for \\$18 Million Illegal Securities Offering](#) (September 2021)
- [SEC Charges Global Crypto Lending Platform and Top Executives in \\$2 Billion Fraud](#) (September 2021)
- [SEC Charges Poloniex for Operating Unregistered Digital Asset Exchange](#) (August 2021)
- [ICO "Listing" Website Charged with Unlawfully Touting Digital Asset Securities](#) (July 2021)
- [SEC Charges ICO Issuer and CEO with Fraud and Unregistered Securities Offering](#) (June 2021)
- [SEC Charges Three Individuals in Digital Asset Frauds](#) (February 2021)

Cybersecurity Controls and Disclosure

- [SEC Announces Three Actions Charging Deficient Cybersecurity Procedures](#) (August 2021)
- [SEC Charges Pearson plc for Misleading Investors About Cyber Breach](#) (August 2021)
- [SEC Charges Issuer with Cybersecurity Disclosure Controls Failures](#) (June 2021)

Illegal Trading and Online Misconduct

- [SEC Charges Additional Defendant in Phony Certificates of Deposit Scam](#) (January 2022)
- [SEC Charges Webcast Host for Role in Market Manipulation Scheme](#) (October 2021)
- [SEC Charges TheBull with Selling "Insider Trading Tips" on the Dark Web](#) (July 2021)

Rollins, Carl

From: Lago, Kelly
Sent: Wednesday, May 03, 2023 3:42 PM
To: Walker, Debra C.
Cc: Buckley, William
Subject: FW: CACU Staff Attorney Positions

Debra,
Please see below for the CACU internal email solicitation for Sk-905-14s.

Kelly

From: Tenreiro, Jorge <(b)(6)@SEC.GOV>
Sent: Wednesday, April 26, 2023 5:00 PM
To: #ENF Attorneys <(b)(6)@SEC.GOV>
Subject: CACU Staff Attorney Positions

All:

We are pleased to announce the opening of several investigative staff attorney positions in the Crypto Assets and Cyber Unit ("CACU"). These positions are open to any current Division of Enforcement Attorney and will be located in any regional office, with the possibility of reporting to any Assistant Director in the regional offices where the CACU currently has a current presence—Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco—or to an Assistant Director in any other office to which the CACU may add an Assistant Director before the candidate's selection. We ask for indications of interest by COB **May 3, 2023**.

A description of the Unit and instructions for applying are included below.

Crypto Assets and Cyber Unit: The Division of Enforcement's Crypto Asset & Cyber Unit operates on a nationwide basis and focuses on violations of the registration provisions of the federal securities laws relating to crypto assets, on violations of other provisions of the federal securities laws relating to crypto assets, and on cybersecurity and cyber-related misconduct. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's regional offices noted above, with liaisons in the other regional offices.

Duties: If selected, you will join a well-respected team responsible for cutting edge investigations in a rapidly developing area of law, involving dynamic markets and market participants, and the focus of significant attention from constituents and stakeholders within and outside the Commission. The CACU comprises of enforcement investigative staff, data and fraud analyst specialists, and detailed staff accountants.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to me at (b)(6)@sec.gov. If you have questions, please feel free to contact me or Dave at (b)(6)@sec.gov. Also, **please ensure that you copy Kelly Lago, (b)(6)@sec.gov, on your application.**

Deadline: We ask that applications be submitted by **May 3, 2023**.

Qualifications Required: Applicants must possess an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct fast-paced, high profile, and complex investigations; extensive experience in developing legal positions with the ability to respond to

questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys, including those who are currently on detail to the Unit.

Salary and Relocation: Selection will not result in a salary increase. If the applicant selected is presently at the SK-13 or SK-14 grade, the applicant selected will assume this position at his or her current salary and grade. If, however, the applicant selected is currently at the SK-15 or SK-16 grade, the grade and salary will be changed to a lower-graded position (i.e., SK-16 to SK-14). If you are currently in a supervisory position and voluntarily downgrade into an SK-14, you will relinquish any benefits associated with the supervisory position (i.e., enhanced leave, supervisory differential, professional dues reimbursement, etc.).

This position is located in the Home Office and all regional offices. If the applicant selected is presently located in a region without a current Unit Assistant Director, the candidate will be asked to report to an Assistant Director in an office with a currently existing Assistant Director. Those offices are the Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco. The candidate could also be asked to report to an Assistant Director in any other office to which the CACU may add an Assistant Director before the candidate's selection.

No relocation expenses will be paid for this position.

We look forward to all expressions of interest and encourage interested individuals to apply. Again, please do not hesitate to contact any Unit member if you have questions. Best regards.

Dave & Jorge

From: [Littman, Kristina](#)
To: [#ENF Attorneys](#)
Subject: Cyber Unit Opening in Home Office
Date: Thursday, June 17, 2021 7:06:59 AM

Just a reminder that applications for this posting are due in one week.

Kristy & Paul

From: Littman, Kristina
Sent: Thursday, June 10, 2021 11:46 AM
To: #ENF Attorneys <(b)(6)>@SEC.GOV>
Subject: Cyber Unit Opening in Home Office

The Cyber Unit has an open position for an investigative staff attorney in the Home Office in the group of Assistant Director Paul Kim. A description of the Cyber Unit and the position and instructions for applying are included below. **The deadline for applications is Thursday, June 24, 2021.**

Please do not hesitate to contact us if you have questions or need additional information.

Kristy and Paul

Cyber Unit

The Cyber Unit investigates violations involving digital asset offerings and platforms, cybersecurity and related internal controls of regulated entities, issuer disclosure of cybersecurity risks and events, cyber-related trading violations such as hacking for MNPI and brokerage account intrusions, and online misconduct including the dark web. The unit has worked closely with other divisions, foreign and domestic regulators, and criminal authorities to respond to the growing cyber threat facing our markets, including the emergence of digital assets. The unit has developed expertise in investigating potential violations involving distributed ledger technology, such as tracing digital assets on the blockchain, and other forensic issues such as web logs of hacking activity. See below for a list of recent cyber cases.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the unit (no more than 300 words) to Cyber Unit Chief Kristy Littman and AD Paul Kim. If you have questions about the unit, please feel free to contact us or any other member of the unit.

Deadline: Please submit applications by **Thursday, June 24, 2021.**

Qualifications Required: Applicants must possess good analytical skills; keen attention to detail; skill in interacting professionally with members of the public; an ability to interact with and communicate

effectively with victims of securities fraud; an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct high profile and complex investigations; and extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation.

The position is open only to current Division of Enforcement attorneys (SK-11 through SK-16).

Salary: If the applicant selected is currently at grade SK-15 or below, the applicant selected will assume this position at his or her current salary and grade. If your current position is at the SK-16 grade, your grade and salary will be changed to reflect the lower graded position (*i.e.*, SK-14).

Relocation: Relocation expenses will not be paid for this position.

Examples of Cyber Unit cases include:

Digital Assets

- [SEC Charges U.S. Promoters of \\$2 Billion Global Crypto Lending Securities Offering](#) (May 2021)
- [SEC Charges Ripple and Two Executives with Conducting \\$1.3 Billion Unregistered Securities Offering](#) (December 2020)
- [SEC Charges John McAfee With Fraudulently Touting ICOs](#) (October 2020)
- [Unregistered ICO Issuer Agrees to Disable Tokens and Pay Penalty for Distribution to Harmed Investors](#) (September 2020)
- [SEC Charges Film Producer, Rapper, and Others for Participation in Two Fraudulent ICOs](#) (September 2020)
- [SEC Charges Issuer and CEO With Misrepresenting Platform Technology in Fraudulent ICO](#) (August 2020)
- [Telegram to Return \\$1.2 Billion to Investors and Pay \\$18.5 Million Penalty to Settle SEC Charges](#) (June 2020)
- [SEC Charges Issuer, CEO, and Lobbyist With Defrauding Investors in AML BitCoin](#) (June 2020)

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Cybersecurity Controls and Disclosure

- [SEC Orders Virtu to Pay \\$1.5 Million Penalty for Violations of Regulation SCI](#) (September 2019)
- [SEC Investigative Report: Public Companies Should Consider Cyber Threats When Implementing Internal Accounting Controls](#) (October 2018)
- [SEC Charges Firm With Deficient Cybersecurity Procedures](#) (September 2018)

Trading/Manipulation

- [SEC Charges Former Day Trader with Market Manipulation Scheme](#) (December 2020)
- [SEC Charges Russian National for Defrauding Older Investors of Over \\$26 Million in Phony Certificates of Deposit Scam](#) (March 2020)
- [SEC Brings Charges in EDGAR Hacking Case](#) (January 2019)

Kristina Littman
Chief, Cyber Unit
U.S. Securities and Exchange Commission
100 F Street, N.E.
Washington, DC 20549

T: (b)(6)

(b)(6)@sec.gov

From: [Tenreiro, Jorge](#)
To: [#ENF Attorneys](#)
Cc: [Hirsch, David L](#)
Subject: Staff attorney opening in Crypto Asset and Cyber Unit
Date: Thursday, October 20, 2022 9:46:44 AM

All:

We are pleased to announce the opening of an investigative staff attorney position in the Crypto Assets and Cyber Unit. This position is open to any current Division of Enforcement Attorney and will be located in Los Angeles. We ask for indications of interest by COB **November 3, 2022**.

A description of the Unit and instructions for applying are included below.

Crypto Assets and Cyber Unit

The Division of Enforcement's Crypto Asset & Cyber Unit operates on a nationwide basis, exercises the full range of the Division's investigative and law enforcement powers, and focuses on violations of the federal securities laws relating to crypto assets, cybersecurity, and cyber-related trading misconduct. Typical investigations involve crypto assets, such as violations of the registration and anti-fraud provisions of the federal securities laws; public company disclosures of cyber-related incidents and risk; cybersecurity procedures at broker-dealers, investment advisers, and other regulated entities; cyber-related threats to trading platforms and other critical market infrastructure; cyber-related trading violations, such as hacking to obtain material nonpublic information and market manipulation through false information spread through electronic and social media; and misconduct perpetrated using the dark web. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's San Francisco, Los Angeles, Chicago, Philadelphia and New York regional offices, with liaisons in the other regional offices.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to me at (b)(6)@sec.gov. If you have questions, please feel free to contact David Hirsch or Jorge G. Tenreiro.

Deadline: We ask that applications be submitted by **November 3, 2022**.

Qualifications Required: Applicants must possess good analytical skills, keen attention to detail, skill in interacting professionally with members of the public, an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area, an ability to conduct high profile and complex investigations, and extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys.

Salary and Relocation: Selection will not result in a salary increase. If the applicant selected is presently at the SK-13 or SK-14 grade, the applicant selected will assume this position at his or her current salary and grade. If, however, the applicant selected is currently at the SK-15 or SK-16 grade,

the grade and salary will be changed to a lower-graded position (i.e., SK-16 to SK-14). If you are currently in a supervisory position and voluntarily downgrade into an SK-14, you will relinquish any benefits associated with the supervisory position (i.e., enhanced leave, supervisory differential, professional dues reimbursement, etc.).

This position is located in Los Angeles, CA. If the applicant selected is presently located in another region, the applicant selected will be required to relocate. No relocation expenses will be paid for this position.

We look forward to all expressions of interest and encourage interested individuals to apply. Again, please do not hesitate to contact us or any Unit member if you have questions. Best regards.

Dave & Jorge

From: Tenreiro, Jorge <(b)(6)@SEC.GOV>
Sent: Thursday, September 29, 2022 10:35 AM
To: #ENF Attorneys <(b)(6)@SEC.GOV>
Cc: Hirsch, David L <(b)(6)@SEC.GOV>
Subject: Position in Crypto Assets and Cyber Unit

All:

We are pleased to announce the opening of an investigative staff attorney position in the Crypto Assets and Cyber Unit. This position is open to any current Division of Enforcement Attorney and will be located in any office where the CACU has a presence—Washington, DC, Chicago, Los Angeles, New York, Philadelphia, or San Francisco. We ask for indications of interest by COB October 13, 2022.

A description of the Unit and instructions for applying are included below.

Crypto Assets and Cyber Unit

The Division of Enforcement's Crypto Asset & Cyber Unit operates on a nationwide basis, exercises the full range of the Division's investigative and law enforcement powers, and focuses on violations of the federal securities laws relating to crypto assets, cybersecurity, and cyber-related trading misconduct. Typical investigations involve crypto assets, such as violations of the registration and anti-fraud provisions of the federal securities laws; public company disclosures of cyber-related incidents and risk; cybersecurity procedures at broker-dealers, investment advisers, and other regulated entities; cyber-related threats to trading platforms and other critical market infrastructure; cyber-related trading violations, such as hacking to obtain material nonpublic information and market manipulation through false information spread through electronic and social media; and misconduct perpetrated using the dark web. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's regional offices noted above, with liaisons in the other regional offices.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to me at (b)(6)@sec.gov. If you have questions, please feel free to contact David Hirsch or Jorge Tenreiro.

Deadline: We ask that applications be submitted by October 13, 2022.

Qualifications Required: Applicants must possess good analytical skills; keen attention to detail; skill in interacting professionally with members of the public; an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct high profile and complex investigations; and extensive experience in developing legal positions with the ability to respond to questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys.

Salary and Relocation: Selection will not result in a salary increase. If the applicant selected is presently at the SK-13 or SK-14 grade, the applicant selected will assume this position at his or her current salary and grade. If, however, the applicant selected is currently at the SK-15 or SK-16 grade, your grade and salary will be changed to a lower-graded position (i.e., SK-16 to SK-14). If you are currently in a supervisory position and voluntarily downgrade into an SK-14, you will relinquish any benefits associated

with the supervisory position (i.e., enhanced leave, supervisory differential, professional dues reimbursement, etc.).

This position is located in Washington, DC, Chicago, Los Angeles, New York, Philadelphia, or San Francisco. If the applicant selected is presently located in another region, the applicant selected will be required to relocate. No relocation expenses will be paid for this position.

We look forward to all expressions of interest and encourage interested individuals to apply. Again, please do not hesitate to contact any Unit member if you have questions. Best regards.

Dave & Jorge

Rollins, Carl

From: Lago, Kelly
Sent: Wednesday, May 03, 2023 3:42 PM
To: Walker, Debra C.
Cc: Buckley, William
Subject: FW: CACU Staff Attorney Positions

Debra,
Please see below for the CACU internal email solicitation for Sk-905-14s.

Kelly

From: Tenreiro, Jorge <(b)(6)@SEC.GOV>
Sent: Wednesday, April 26, 2023 5:00 PM
To: #ENF Attorneys <(b)(6)@SEC.GOV>
Subject: CACU Staff Attorney Positions

All:

We are pleased to announce the opening of several investigative staff attorney positions in the Crypto Assets and Cyber Unit ("CACU"). These positions are open to any current Division of Enforcement Attorney and will be located in any regional office, with the possibility of reporting to any Assistant Director in the regional offices where the CACU currently has a current presence—Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco—or to an Assistant Director in any other office to which the CACU may add an Assistant Director before the candidate's selection. We ask for indications of interest by COB **May 3, 2023**.

A description of the Unit and instructions for applying are included below.

Crypto Assets and Cyber Unit: The Division of Enforcement's Crypto Asset & Cyber Unit operates on a nationwide basis and focuses on violations of the registration provisions of the federal securities laws relating to crypto assets, on violations of other provisions of the federal securities laws relating to crypto assets, and on cybersecurity and cyber-related misconduct. The Unit is comprised of Enforcement staff from Washington, DC as well as the SEC's regional offices noted above, with liaisons in the other regional offices.

Duties: If selected, you will join a well-respected team responsible for cutting edge investigations in a rapidly developing area of law, involving dynamic markets and market participants, and the focus of significant attention from constituents and stakeholders within and outside the Commission. The CACU comprises of enforcement investigative staff, data and fraud analyst specialists, and detailed staff accountants.

How to Apply: If you are interested in applying, please email your resume and a short statement describing your interest in the Unit (no more than 300 words) to me at (b)(6)@sec.gov. If you have questions, please feel free to contact me or Dave at (b)(6)@sec.gov. Also, **please ensure that you copy Kelly Lago, (b)(6)@sec.gov, on your application.**

Deadline: We ask that applications be submitted by **May 3, 2023**.

Qualifications Required: Applicants must possess an ability to handle a wide variety and number of time-sensitive issues at the same time and to track relevant developments within the program area; an ability to conduct fast-paced, high profile, and complex investigations; extensive experience in developing legal positions with the ability to respond to

questions on matters of law, procedure, or policy in pending or potential litigation. The position is open only to current Division of Enforcement attorneys, including those who are currently on detail to the Unit.

Salary and Relocation: Selection will not result in a salary increase. If the applicant selected is presently at the SK-13 or SK-14 grade, the applicant selected will assume this position at his or her current salary and grade. If, however, the applicant selected is currently at the SK-15 or SK-16 grade, the grade and salary will be changed to a lower-graded position (i.e., SK-16 to SK-14). If you are currently in a supervisory position and voluntarily downgrade into an SK-14, you will relinquish any benefits associated with the supervisory position (i.e., enhanced leave, supervisory differential, professional dues reimbursement, etc.).

This position is located in the Home Office and all regional offices. If the applicant selected is presently located in a region without a current Unit Assistant Director, the candidate will be asked to report to an Assistant Director in an office with a currently existing Assistant Director. Those offices are the Home Office, Chicago, Los Angeles, Miami, New York, Philadelphia, and San Francisco. The candidate could also be asked to report to an Assistant Director in any other office to which the CACU may add an Assistant Director before the candidate's selection.

No relocation expenses will be paid for this position.

We look forward to all expressions of interest and encourage interested individuals to apply. Again, please do not hesitate to contact any Unit member if you have questions. Best regards.

Dave & Jorge