This is your Release #7 (August 2025)

Fintech, Regtech, and the Financial Services Industry

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Technology has always been a transformative force in the financial services industry, with revolutionary innovations in securities investing and trading, transaction payment methodologies, and the provision of investment advice. In *Fintech, Regtech, and the Financial Services Industry*, Editor Clifford E. Kirsch, a leading securities lawyer with more than thirty years of regulatory, corporate counsel, and private practice experience, and a team of experts examine the new developments taking place in the industry and the opportunities these developments bring to the marketplace, as well as the emerging regulatory framework.

Highlights of this seventh release include:

Chapter 2, Fintech Jurisdictional Issues. Updated to cover recent SEC staff statements, including the Meme Coins Statement, Statement on Certain Proof-of-Work Mining Activities, Statement on Stablecoins, Statement on Offerings and Registrations of Securities in the Crypto Asset Markets, and Division of Trading and Markets: Frequently Asked Questions Relating to Crypto Asset Activities and Distributed Ledger Technology (FAQs) (see section 2:2.1); and new discussion of artificial intelligence (AI), its regulation by numerous regulators in the United States, and the relevant Executive Order issued on January 23, 2025 (see section 2:6).

Chapter 13, Financial Services Cybersecurity. Updated to cover the SEC's 2024 amendments to Regulation S-P and proposed changes to Regulation SCI on cybersecurity and IT resilience (see sections 13:5 and 13:5.1), and new risk management rules for broker-dealers, clearing agencies, and other regulated entities (see section 13:5.3); interagency

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banking cybersecurity regulation (see section 13:8); and developments in the New York Department of Financial Services' regulation of financial cybersecurity (see section 13:18).

Chapter 16, FinTech: Money Laundering Risks of New Financial Technologies. Discussion updated to cover the rise of generative artificial intelligence ("GenAI") (see section 16:1.1); and AML enforcement actions against fintech companies for insufficient AML controls or other significant regulatory failings (see section 16:5.2[A], [E]–[G]).

To aid in your research, the **Table of Authorities** and **Index** have been updated.

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Release #7
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REMOVE OLD PAGES NUMBERED:	INSERT NEW PAGES NUMBERED:
❏ Title page to xcv	❏ Title page to xciii
❏ 2-1 to 2-21	❏ 2-1 to 2-24
❏ 13-1 to 13-76	❏ 13-1 to 13-79
❏ 16-1 to 16-51	❏ 16-1 to 16-58
❏ T-1 to I-66	❏ T-1 to I-68

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