

This is your Release #9 (October 2020)

Corporate Whistleblowing in the Sarbanes-Oxley/ Dodd-Frank Era

Second Edition

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and
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This ninth release of the Second Edition of *Corporate Whistleblowing in the Sarbanes-Oxley/Dodd-Frank Era* is designed to provide the practitioner, companies, and individuals who believe they have claims under the Sarbanes-Oxley Act or Dodd-Frank Act with a detailed understanding of the whistleblower provisions of the Acts, the regulations promulgated thereunder, and the rapidly developing case law coming both from the administrative process and the federal courts. We hope this work will be an invaluable source for keeping the various constituencies up to date on these important federal causes of action. Highlights of Release #9 include:

- **Revised section 2:1.1, Individual Liability**, discusses the Southern District of New York ruling that individual corporate directors may not be held liable under SOX.
- **Revised section 3:1.1[B], Continuing Violations Doctrine**, explores the Second Circuit holding that one allegedly false and defamatory Form U-5 on the Financial Industry Regulatory Authority (FINRA) database was a discrete act, rather than part of an ongoing discriminatory policy for statute of limitations purposes.
- **New Chapter 15, IRS Whistleblower Statute**, explains what happens after a whistleblower submits a claim to the IRS, the process timeline, common reasons for rejecting claims, and other information relating to awards.

(continued on reverse)

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- **Revised section 18:4.5, Causation**, examines a federal district court holding that “a causal connection is absent in a retaliation case if the decision-maker was unaware of the plaintiff’s protected activity at the time the adverse employment action was taken.”
- In addition, **Appendix E**, **Appendix F**, the **Table of Authorities**, and the **Index** have been updated.

Thank you for purchasing *Corporate Whistleblowing in the Sarbanes-Oxley/Dodd-Frank Era*. If you have questions about this product, or would like information on our other products, please contact customer service at info@pli.edu or at (800) 260-4PLI.

FILING INSTRUCTIONS

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