

This is your Release #10 (October 2021)

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

Second Edition

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and
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This tenth 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 #10 include:

- **Revised section 3:5.1, Appeal to Administrative Review Board**, explains that petitions for review by the ARB must be filed within fourteen days of the date of the decision of the ALJ and briefs must also be filed in a timely fashion.
- **Expanded section 5:2.1[B][1][b], Laws, Rules, and Regulations Covered by Section 806**, explores cases in which the reasonableness of an employee/whistleblower's belief must be considered in the context of what is required to establish a violation of the fraud statutes or a rule or regulation of the SEC.
- **Revised section 21:3, Protected Activities**, examines a case in which a plaintiff's twenty-five years of experience in the securities and banking regulatory compliance field was taken into account in determining he plausibly alleged a reasonable belief that defendant's alleged non-PCI compliance and fraudulent

(continued on reverse)

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misrepresentations to its customers regarding credit/debit card data security violated laws enforced by the Consumer Financial Protection Bureau.

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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REMOVE OLD PAGES NUMBERED:

- Title page to xxv
- 2-1 to 3-30
- 5-1 to 5-75
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- 21-1 to 21-7
- T-1 to T-60

INSERT NEW PAGES NUMBERED:

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