The SEC's New Whistle-blower Rules: Implications for Your Company's Compliance and Fraud Program

Description:
This training program on the SEC's new whistleblower rules will detail a fraud examiner's role in whistleblowing and offer guidance for potential whistleblowers. The regulations the SEC issued governing the whistleblower program are dense, virtually incomprehensible to non-lawyers, and full of legal traps to gaining an award. This course will offer attendees a clear understanding of the regulations as they stand now.

- Make sure you really want to be a whistleblower.
- You must have original information which qualifies for an award.
- Be creative and do a bit of your own investigating.
- If at all possible, report your information first internally in a well-documented submission to the responsible corporate officials.
- After you report internally, promptly report to the SEC.
- Make your submission short and to the point.
- Consider carefully which documents to include.
- Before making a submission, consider your position in or relation to the company.
- If you had any involvement in the illegal activity, consult an attorney before approaching the SEC.
- Formulate your submission and cooperate with the SEC, with an eye to getting the maximum award after the case is brought, and consider hiring a lawyer to assist you in reporting to the SEC.

Course Objective:

- Fraud examiners' roles in whistleblowing
- Fraud-related whistleblower protections
- Qui tam suits and rewards programs
- Handling whistleblowers in fraud examinations
- Guidance for potential whistleblowers
- Recognizing the red flags of retaliation and how to mitigate and avoid retaliation claims
- Whistleblower programs
- Establishing an effective compliance and training program under the SEC's revised whistleblower program
- Evaluating the elements for an effective training program during fraud examination
- Key changes to the whistleblower rules

CPE Credits - 1.5 / Field of Study - Regulatory Ethics

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