



SARBANES-OXLEY AND DODD-FRANK ACTS

ON YOUR TEAM

Publicly traded companies and subsidiaries of publicly traded companies face increasing compliance and employee whistleblower challenges under the Sarbanes-Oxley and Dodd-Frank Acts, and our team of lawyers at Barnes & Thornburg can help. Congress enacted Sarbanes-Oxley in 2002 and amended it with Dodd-Frank in 2010 to protect investors and stem corporate fraud. But, Congress's effort to increase protections for employee/whistleblowers also created greater legal risks for employers.

Our team assists companies with preventing and defending employee-whistleblower claims under Sarbanes-Oxley and Dodd-Frank, including:

- Developing effective policies to encourage proper reporting procedures
- Working with business lawyers and accountants on audit procedures
- Advising clients on internal and external compliance
- Identification and investigation of qualified complaints
- Representing companies before the U.S. Department of Labor, which enforces the whistleblower provisions of Sarbanes-Oxley and Dodd-Frank
- Defending companies in federal court

Why Barnes & Thornburg?

Finding new ways to help clients identify solutions and new business opportunities, across industries, is at our core. We are, at times, more than lawyers, we are advisers bringing new ideas to light. We understand what keeps you up at night and work collaboratively to find practical and creative solutions, at the heart of business.

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