

U.S. Department of Labor

Office of Administrative Law Judges
2 Executive Campus, Suite 450
Cherry Hill, NJ 08002

(856) 486-3800
(856) 486-3806 (FAX)



Issue Date: 20 June 2005

Case No.: 2005-SOX-00052

In the Matter of

STUART FROMM
Complainant,

v.

ING FUNDS DISTRIBUTOR, LLC
Respondent

**ORDER GRANTING COMPLAINANT'S MOTION
TO WITHDRAW HIS CLAIM**

This case arises out of a complaint of discrimination filed pursuant to the employee protection provisions of section 806 of the Corporate and Criminal Fraud Accountability Act of 2002, Title VIII of the Sarbanes-Oxley Act of 2002, 18 USC 1514A (the Act). The Act affords protection from employment discrimination to employees of companies with a class of securities registered under section 12 of the Securities Exchange Act of 1934, 15 USC 781, and companies required to file reports under section 15(d) of the Securities Exchange Act of 1934. Specifically, the law protects "whistleblower" employees from retaliatory or discriminatory actions by the employer because the employees provided information to their employer, a federal agency, or Congress relating to alleged violations of 18 USC 1341, 1343, 1344, 1348, or any provision of federal law relating to fraud against shareholders.

Stuart Fromm (Complainant) filed a complaint under the Act against ING Funds Distributor, LLC, (Respondent). On March 22, 2005, Complainant received notification from the Regional Administrator of the Occupational Safety and Health Administration (OSHA), U.S. Department of Labor, that his claim was being dismissed. Complainant appealed the Regional Administrator's decision on April 19, 2005 and requested a formal hearing before the Office of Administrative Law Judges. The case was assigned to me April 25, 2005 and I issued an order setting a hearing for June 1, 2 and 3, 2005. On May 2, 2005, Complainant requested that the hearing be continued and on May 3, 2005, Respondent joined in the request for a continuance. On May 11, 2005, I issued an Order continuing the hearing, rescheduling it for August 8, 9, 10 and 11, 2005. On June 16, 2005 Complainant filed a motion seeking to withdraw his complaint. Complainant seeks instead to pursue his claim in the United States District Court. The Act gives Complainant the right to bring an action for *de novo* review of his complaint in

the appropriate federal district court if the Secretary of Labor has not issued a final decision within 180 days of the filing of his complaint. A review of the case reveals that more than 180 days have passed since Complainant filed his complaint and that Complainant is not responsible for this delay. A final order has not been issued, and a formal hearing has not taken place. Therefore, I will grant Complainant's motion to withdraw his claim.

ORDER

It is hereby **ORDERED** that Complainant's motion to withdraw his claim is **GRANTED**. The formal hearing of this case scheduled for August 8, 9, 10 and 11, 2005 in New York City, is hereby **CANCELLED**.

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PAUL H. TEITLER
Administrative Law Judge

Cherry Hill, New Jersey

NOTICE OF APPEAL RIGHTS: This decision shall become the final order of the Secretary of Labor pursuant to 29 C.F.R. § 1980.110, unless a petition for review is timely filed with the Administrative Review Board ("Board"), US Department of Labor, Room S-4309, 200 Constitution Avenue, NW, Washington DC 20210, and within 30 days of the filing of the petition, the ARB issues an order notifying the parties that the case has been accepted for review. The petition for review must specifically identify the findings, conclusions or orders to which exception is taken. Any exception not specifically urged ordinarily shall be deemed to have been waived by the parties. To be effective, a petition must be filed within ten business days of the date of the decision of the administrative law judge. The date of the postmark, facsimile transmittal, or e-mail communication will be considered to be the date of filing; if the petition is filed in person, by hand-delivery or other means, the petition is considered filed upon receipt. The petition must be served on all parties and on the Chief Administrative Law Judge at the time it is filed with the Board. Copies of the petition for review and all briefs must be served on the Assistant Secretary, Occupational Safety and Health Administration, and on the Associate Solicitor, Division of Fair Labor Standards, U.S. Department of Labor, Washington, DC 20210. See 29 C.F.R. §§ 1980.109(c) and 1980.110(a) and (b), as found OSHA, Procedures for the Handling of Discrimination Complaints Under Section 806 of the Corporate and Criminal Fraud Accountability Act of 2002, Title VIII of the Sarbanes-Oxley Act of 2002; Interim Rule, 68 Fed. Reg. 31860 (May 29, 2003).