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16	ADRIANA HAYTER; LARINE SHIELDS; and, TAYLOR EVANS				
17	SUPERIOR COURT OF THE STATE OF CALIFORNIA				
18	FOR THE COUNTY OF SAN FRANCISCO				
19	ADRIANA HAYTER, LARINE SHIELDS,	Case No.: CGC-19-577753			
20	and TAYLOR EVANS; individually, and on behalf of all other similarly situated persons;	Assigned for all purposes to the			
21	and ROES 1-100,	Honorable Judge Anne-Christine Massullo, Dept. 304			
22	Plaintiffs,				
23	v.	JOINT STIPULATION OF AMENDED AND RESTATED CLASS ACTION AND PAGA			
24	EWALD & WASSERMAN RESEARCH	SETTLEMENT			
25	CONSULTANTS, LLC, a California limited liability corporation; KATRIN EWALD, an				
	individual; LISA WASSERMAN, an				
26	individual; and DOES 1-20,				
27	Defendants.				
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JOINT STIPULATION OF AMENDED AND RESTATED CLASS ACTION AND PAGA SETTLEMENT

FP 39752966.2 FP 40746241.1

This Stipulation of the Amended and Restated Class Action Settlement and Release is entered into by Plaintiffs ADRIANA HAYTER ("Hayter"), LARINE SHIELDS ("Shields"), and TAYLOR EVANS ("Evans") (herein collectively "Plaintiffs") on the one hand, and Defendants EWALD AND WASSERMAN RESEARCH CONSULTANTS, LLC ("E&W"), LISA WASSERMAN, AND KATRIN EWALD, (hereinafter "Defendants") on the other.

WHEREAS, Plaintiffs allege that they are former employees of Defendants, and worked in the position of Part-Time Telephone Interviewer while allegedly employed by Defendants;

WHEREAS, on or about July 18, 2019, Plaintiffs filed a complaint in the California Superior Court, in and for the County of San Francisco, and on September 16, 2019, Plaintiffs filed a First Amended Complaint in and for the County of San Francisco ("Plaintiffs' Complaint");

WHEREAS, Plaintiffs and Defendants have agreed that Plaintiffs will file a Second Amended Complaint in and for the County of San Francisco to allege a claim under the California Labor Code Private Attorneys General Act of 2004, Cal. Lab. Code §§ 2698, et seq. (hereinafter the "PAGA Claim") and provide notice to the California Labor and Workforce Development Agency pursuant to Cal. Lab. Code § 2699.3(a), (hereinafter the "PAGA Notice");

WHEREAS, the Plaintiffs' Complaint, the PAGA Claim, and the PAGA Notice shall be hereinafter collectively referenced as the "Complaints" and shall collectively be incorporated herein by reference as though fully set forth;

WHEREAS, on January 14, 2021, Plaintiff and Defendants filed a joint stipulation and proposed order to file a Second Amended Complaint that would include the PAGA Claim, which the Court deemed filed as of the date of its Order;

WHEREAS, Plaintiffs and Defendants shall be hereinafter collectively referred to as the "Parties";

WHEREAS, the civil action initiated by Plaintiffs' Complaint, which that was amended to include the PAGA Claim, entitled *Adriana Hayter*, *Larine Shields*, and *Taylor Evans*; individually, and on behalf of all other similarly situated persons; and Roes 1-100 v. Ewald & Wasserman Research Consultants, LLC, a California limited liability corporation; Katrin Ewald, an individual; Lisa Wasserman, an individual; and Does 1-20, Case No. CGC-19-577753, shall be

hereinafter collectively referred to as the "Action";

WHEREAS, on November 6, 2020, the Parties commenced a full-day mediation with the Honorable Judge Mary Wiss, reached a settlement of all claims in the Action, including the PAGA Claim;

WHEREAS, to avoid the inherent risk and costs of litigation, the Parties want to completely settle all claims that were or could have been brought in the Complaints and in the Action, including the PAGA Claim;

NOW THEREFORE, THE PARTIES HEREBY STIPULATE AND AGREE to settle all such claims as follows:

I. **DEFINITIONS**

The terms defined above shall have the meanings therein given, for all purposed in this Joint Stipulation of Class and PAGA settlement, including in any exhibits hereto. And, the following defined terms used in this Joint Statement of Class and PAGA Settlement and any exhibits hereto will have the meanings given them below.

- 1. <u>Agreement</u>. "Agreement", "Settlement", "Settlement Agreement" and "Joint Stipulation" mean this Joint Stipulation of Class and PAGA Settlement.
- 2. <u>Class</u>. "Class", "Class Members", "Settlement Class", or "Settlement Class Members" shall mean all persons employed by any of the Defendants or Released Parties in a Class Position, at any time during the Class Period.
- 3. <u>Class Administrator</u>. "Class Administrator" means Simpluris, Inc., a third-party professional class action claims administrator, jointly selected by the Parties and/or appointed by the Court to perform the Class Administration Duties.
- 4. <u>Class Administrator Declaration</u>. "Class Administrator Declaration" shall mean a declaration attesting, in detail, to the steps taken through the date of such declaration in performing the Class Administration Duties, that the procedures contemplated in Sections II.5 through II.7 below are complete, and that the Class Administrator has all information needed to perform any remaining Class Administration Duties, including calculation of the amounts of the respective Eligible Class Member Shares.

5. <u>Class Administration Costs.</u> "Class Administration Costs" shall mean the fees and expenses reasonably and necessarily incurred by the Class Administrator as a result of performing the Class Administration Duties. Class Administration Costs shall be paid from the Gross Settlement Amount. Based on an estimate provided by the Class Administrator based on presently and reasonably available information, the Parties stipulate that Class Administration Costs shall be up to \$5,000. Should any actual Class Administration Costs turn out to be less than the projected amount, the Parties agree that the savings will be allocated to the Net Settlement Amount, to be distributed to Eligible Class Members in proportion to their respective numbers of Eligible Class Member Workweeks. Should any actual reasonable and necessary Class Administration Costs be more than the above estimate amount, the Parties stipulate that the Class Administrator should be paid such amounts, the Parties will apply to the Court for an adjustment, with any additional Class Administration Costs to be paid from the Gross Settlement Amount, accompanied by a corresponding reduction in another or other elements of the Gross Settlement Amount, to be approved by the Court as part of Final Approval.

- 6. <u>Class Administration Duties</u>. "Class Administration Duties" shall mean the duties of the Class Administrator as set forth in this Agreement and as may be ordered by the Court.
- 7. <u>Class Certification</u>. "Class Certification" shall mean certification of the Class pursuant to Cal. Code. Civ. Proc. § 382 and other applicable law, for purposes of this Settlement only, without prejudice to Defendants' ability to oppose or otherwise challenge such certification, except that Defendants shall not so oppose or otherwise challenge such certification for purposes of performing Defendants' duties under this Settlement, which include to make all reasonable efforts to give such Settlement full force and effect.
- 8. <u>Class Counsel</u>. "Class Counsel" refers collectively to: Yosef Peretz (State Bar No. 209288) and Shane Howarter (State Bar No. 311970) of Peretz & Associates, of 22 Battery St., Suite 200, San Francisco, California 94111.
- 9. <u>Class Counsel Fees and Costs</u>. "Class Counsel Fees and Costs" shall mean Class Counsel's Fees subject to Court approval, in addition to actual costs and expenses incurred by Class Counsel related to the Action as supported by declaration, with those costs and expenses not

to exceed \$52,000. Class Counsel's costs are approximately \$6,000, so the portion of the Gross Settlement Amount apportioned to attorneys' fees would be approximately 30%. This total amount is inclusive of attorneys' fees and estimated litigation costs. The Claims Administrator may purchase an annuity to utilize US treasuries and bonds or other attorney fee deferral vehicles for Class Counsel. Class Counsel Fees and Costs shall be paid to Class Counsel from the Qualified Settlement Fund by the Class Administrator. Such payment of Class Counsel Fees and Costs shall be deemed to be full satisfaction of any obligations by Defendants to pay any attorney fees, attorney costs and/or other fees or costs to Plaintiffs, Class Members, and/or Class Counsel in relation to the Action. Any future adjustments to the amount of the Class Counsel Fees and Costs, including by the Court, shall not constitute a basis for this Settlement being void or Void *Ab Initio*, unless such adjustment shall have the effect of increasing the Gross Settlement Amount, whereupon this Settlement will be voidable by Defendants as provided in this Agreement.

- 10. <u>Class Notice</u>. "Class Notice" shall mean a notice to Class Members pursuant to Rule 3.769(f) of the California Rules of Court, substantially in the form indicated in Exhibit "A" hereto, and distributed by the Class Administrator in accordance with Section II.6 below.
- 11. <u>Class Member Objection</u>. "Class Member Objection" shall mean a Class Member's objection made pursuant to the provisions of Section II.7 below.
- 12. <u>Class Member Objector</u>. "Class Member Objector" shall mean a Class Member who submits a Class Member Objection. A Class Member Objector shall not be considered an Opt-Out unless he or she submits a valid Opt-Out Request.
- 13. <u>Class Member Work Week</u>. "Class Member Work Week" shall mean a Work Week in which a Class Member was employed by and performed work for Defendant in California in a Class Position during the Class Period. The Class Administrator shall thus calculate the total number of Class Member Work Weeks accordingly. This settlement is based on an estimated total of 1,498 Class Member Work Weeks from the beginning of the Class Period through the date of mediation with the Honorable Judge Mary Wiss held on November 6, 2020, which amount Defendants have confirmed based on its records.
 - 14. Class Period. "Class Period" shall refer to the time period from August 1, 2015

through the date of the Court's entry of judgment granting Preliminary Approval of the Settlement.

- 15. <u>Class Position</u>. "Class Position" shall mean all persons who worked for Defendants as a non-exempt Part-Time Telephone Interviewer, or other similar positions, classified as an hourly non-exempt employee in the State of California during the Class Period.
- 16. <u>Court.</u> "Court" refers to the above-referenced Court, or any such further courts, arbitrators, or other judicial bodies that may in the future obtain valid jurisdiction over the Action.
- 17. <u>Date of Preliminary Approval</u>. The "Date of Preliminary Approval" means the day on which the Court signs and enters its order granting Preliminary Approval.
- 18. <u>Defendants' Counsel</u>. "Defendants' Counsel," "Defense Counsel" or "Counsel for Defendant" shall mean Fisher & Phillips LLP, One Embarcadero Center, Suite 2050, California 94111, and the attorneys in such firm including Collin D. Cook (State Bar No. 251606), Nathan K. Low (State Bar No. 299587), and Brandon K. Kahoush (State Bar No. 311560).
- 19. <u>Effective Date</u>. "Effective Date" shall mean the date on which all of the following have occurred:
- (a) Full execution of this Agreement by all parties, and expiration of any applicable revocable periods related to such signature;
- (b) All provisions of Rule 3.769 of the California Rules of Court have been complied with;
 - (c) Entry by the Court of Preliminary Approval;
- (d) Receipt by Defendant of written notice of such entry of Preliminary Approval pursuant to the California Code of Civil Procedure and the California Rules of Court, or Defendants' express waiver of such notice;
- (e) Completion of all those Class Administration Procedures which this Settlement dictates will take place in advance of the Final Approval Hearing;
- (f) The Court setting and conducting a Final Approval Hearing pursuant to Rule 3.769(g) of the California Rules of Court;
- (g) Entry by the Court of an order of Final Approval of the Settlement and a Judgement;

- (h) Receipt by Defendants of written notice of such entry of Final Approval and Judgement, or Defendant's express waiver of such notice; and
- (i) Final Approval has become Final. For purposes of this provision, "Final" means:
- (1) if no Class Member Objections are made and/or are made and withdrawn, the date the Court enters its order granting Final Approval of the settlement and Judgment pursuant to Rule 3.769(h) of the California Rules of Court;
- (2) if any Class Member Objections are made and not withdrawn, and if no appeal, review or writ is sought from the Judgment, the sixty-first (61st) day after entry of Judgment;
- (3) if rehearing, reconsideration, and/or appellate review of the Judgment is sought, the day after any and all avenues of rehearing, reconsideration, and appellate review have been exhausted and no further rehearing, reconsideration, or appellate review is permitted, and the time for seeking such review has expired, and the Judgment has not been modified, amended, or reversed in any way; or
- (4) if a Class Member Objector appeals from any ruling by the Court overruling such objection in whole or in part, the date when the Court's order of Final Approval and Judgment have been affirmed on appeal; and
- (j) The existence of sufficient number of Eligible Class Members such that the number of Class Member who, as of the date of the completion of all Class Administration Procedures are not Eligible Class Members, does not exceed twenty percent (20%) of the total Class Members. If the number of Class Members who are not Eligible Class Members exceeds such percentage, then Defendants shall have the absolute right (but not the obligation) to deem this Settlement Void *Ab Initio* upon written notice to Class Counsel, the Court, and the Class Administrator. If Defendants, within fourteen (14) days of the Class Administrator's written notice to all Parties that the number of Class Members who are not Eligible Class Members exceeds 20% of all Class Members, fail to advise the Class Administrator and Plaintiffs' Counsel in writing that they will withdraw from the Settlement, this circumstance will not determine the Effective Date.

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- 20. Eligible Class Member. "Eligible Class Member" means a Class Member who is not an Opt-Out.
- 21. Eligible Class Member Share. "Eligible Class Member Share" shall mean the portion of the Net Settlement Amount that will be allocated to each Eligible Class Member, according to the following method: first, dividing the Net Settlement Amount by the total number of Eligible Work Weeks to arrive at the Eligible Work Week Rate, and then second, by multiplying the resulting Eligible Work Week Rate by the total number of Eligible Work Weeks for each respective Eligible Class Member. Payment of Eligible Class Member Shares shall be subject to legally required withholdings, deductions, and contributions. Any unclaimed funds from the Net Settlement Amount will be sent in a second round of checks to all Eligible Class Members who cashed their initial check. The second round of payment will take the total unclaimed funds and pro-rate the amount to each Eligible Class Member who cashed their initial check by number of Eligible Work Weeks, in the same method as the first round so long as the check is no less than \$25. Any unclaimed funds after the second round of payments shall be paid to mutually agreed upon cy-pres organization which supports "projects that will benefit the class or similarly situated persons, or that promote the law consistent with the objectives and purposes of the underlying cause of action, to child advocacy programs, or to nonprofit organizations providing civil legal services to the indigent" pursuant to Cal. Code. Civ. Proc. § 384. The unclaimed funds shall not revert back to the Defendants. As to the Plaintiffs, the amount of their Eligible Class Member Shares is in addition to any Court-approved Named Plaintiffs Enhancements.
- 22. Eligible Class Member Work Week. "Eligible Class Member Work Week" shall mean a Class Member Work Week during which an Eligible Class Member worked in a Class Position.
- 23. Eligible Class Member Work Week Rate. "Eligible Class Member Work Week Rate" shall mean the amount calculated by the Class Administrator as due to each Eligible Class Member for each Eligible Class Member Work Week.
- 24. Final Approval. "Final Approval" shall mean an order of the Court finally approving this Settlement pursuant to Rule 3.769 of the California Rules of Court and granting

 Class Certification.

- 25. <u>Final Approval Hearing</u>. "Final Approval Hearing" shall mean the hearing on a motion for Final Approval, scheduled and conducted pursuant to Rule 3.769 of the California Rules of Court.
- 26. <u>Gross Settlement Amount</u>. "Gross Settlement Amount" means the maximum possible amount Defendant shall pay as a consequence of this Settlement, which is One Hundred Forty-Four Thousand United States Dollars and Zero Cents (\$144,000.00).
- 27. <u>Judgment</u>. "Judgment" means a Judgment of the Court in accordance with Rule 3.769(h) of the California Rules of Court.
- 28. <u>LWDA</u>. The "LWDA" shall mean the California Labor and Workforce Development Agency.
- 29. <u>LWDA Fund</u>. "LWDA Fund" shall mean the amount payable to the LWDA pursuant to the Joint Stipulation, which shall be Three Thousand United States Dollars (\$3,000). This amount shall be deemed to be seventy-five percent (75%) of an overall amount of Two Thousand Two Hundred Fifty United States Dollars (\$2,250.00) of the Gross Settlement Amount which shall be allocated to PAGA penalties. The remaining amount of such allocation, Seven Hundred Fifty United States Dollars (\$750) shall be deemed part of the Net Settlement Amount and shall be accordingly distributed to each Class Member, regardless of whether they opt-out of being an Eligible Class Member, as consideration for release of the PAGA claims, proportionate to their number of Eligible Class Member Workweeks. Payment to Class Members from the LWDA Fund shall be made through the same method described in Paragraph 21.
- 30. <u>LWDA Fund Remainder</u>. "LWDA Fund Remainder" shall mean the amount of Two Hundred Fifty United States Dollars (\$250) referenced in Section I.29 above.
- 31. <u>Named Plaintiffs Enhancement</u>. "Named Plaintiffs Enhancement" shall mean the amount approved by the Court to be paid to Plaintiffs Adriana Hayter, Larine Shields, and Taylor Evans in addition to their individual Eligible Class Member Shares, in consideration for their effort in coming forth as a class and PAGA representative, and in consideration for their General Release, as defined herein. The Parties agree that such amounts shall be Four Thousand United States

Dollars (\$4,000) each, subject to the Court's approval. Plaintiffs Adriana Hayter, Larine Shields, and Taylor Evans must sign a separate Settlement Agreement and General Release the Named Plaintiffs Enhancement.

- 32. <u>Net Settlement Amount</u>. "Net Settlement Amount" shall mean the Gross Settlement Amount minus (a) Class Administration Costs, (b) Class Counsel Fees and Costs; (c) the LWDA Fund, and (d) the Named Plaintiff Enhancement.
- 33. <u>Notice Packet</u>: "Notice Packet" shall mean a packet mailed by the Class Administrator pursuant to Section II.6 below, containing the Class Notice, and any other accompanying documents required by this Settlement and/or Preliminary Approval.
- 34. Opt-Out(s)" refers to Class Members who have submitted an Opt-Out Request.
- 35. Opt-Out Request. "Opt-Out Request" means a timely and valid written request for exclusion from the Settlement by a Class Member, pursuant to the provisions of Section II.7 below.
- 36. <u>PAGA</u>. "PAGA" means the California Labor Code Private Attorneys General Act of 2004, Cal. Lab. Code §§ 2698, *et seq*.
 - 37. Party. "Party" shall mean, individually, one of the Parties, and each of them.
- 38. <u>Preliminary Approval</u>. "Preliminary Approval" shall mean an order of the Court preliminarily approving this Settlement pursuant to Rule 3.769 of the California Rules of Court, granting conditional Class Certification for purposes of the Class Administration Procedures, certifying Class Counsel, approving the form of Class Notice, establishing Class Administration Procedures, and scheduling a Final Approval Hearing.
- 39. <u>QSF / Qualified Settlement Fund</u>. "QSF" or "Qualified Settlement Fund" shall mean the Qualified Settlement Fund established by the Class Administrator for the payment of the Settlement Payment Amount.
- 40. <u>Released Claims</u>. The term "Released Claims", as applied to releases by Eligible Class Members, shall mean "any and all facts and claims asserted in the Action or any other claims, demands, obligations, actions, causes of action, liabilities, debts, promises, agreements, attorneys' fees, losses or expense, known or unknown, suspected or unsuspected,

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filed or unfiled, that they may have or had had arising out of any known or unknown fact, condition or incident occurring prior to the Date of Preliminary Approval that could have been asserted based on the facts alleged in the Action, including but not limited to any and all claims for PAGA penalties, for paid sick leave under California Labor Code § 246, for interference with employee use of paid sick leave under California Labor Code § 246.5, for failure to provide paid sick leave in violation of San Francisco Administrative Code, Chapter 12W, 12W.3, 12W.4, 12W.7, for intentional misrepresentation, for fraud, for fraud by concealment, for violations of California Business & Professions Code §§ 17200, et seq., for violations of the California Labor Code governing: meal and rest breaks; unpaid wages, including minimum wages, regular wages, overtime and double time wages; unpaid reimbursements; wage statement violations and separation pay violations, including but not limited to violations of Labor Code §§ 200, 201, 202, 203, 204, 218, 218.5, 218.6, 226, 226.3, 226.7, 246, 246.5, 248.5, 351, 450, 500, 510, 512, 558, 1174, 1174.5, 1194, 1194.2, 1197, 1197.1, 1198, and 1199, 8 Cal. Code of Regulations § 11050 and IWC Wage Order 4-2001, Sections 1, 2, 3, 4, 5, 6, 7, 8, 9, 11 and 12." Regardless of whether Class Members opt-out of the Class Settlement, this Settlement shall release all PAGA claims as alleged on behalf of all Class Members.

The term "Released Claims" or "General Release," as applied to the Named Plaintiffs, shall refer to the Named Plaintiffs' additional general release of all claims, known or unknown as follows: Named Plaintiffs release Defendants, the Released Parties, and each of their respective subsidiaries, affiliates, predecessors or successors in interest, officers, directors, owners, managers, shareholders, employees, attorneys, agents, assigns, insurers, and re-insurers of any of them, from all claims, demands, rights, liabilities and causes of action of every nature and description whatsoever, known or unknown, asserted or that might have been asserted, whether in tort, contract, or for violation of any state or federal statute, rule or regulation arising out of, relating to, or in connection with any act or omission by or on the part of any Defendant.

With respect to the General Release, Named Plaintiffs stipulate and agree that, upon the Date of Preliminary Approval, Named Plaintiffs shall be deemed to have expressly waived and

relinquished, to the fullest extent permitted by law, the provisions, rights and benefits of Section 1542 of the California Civil Code, or any other similar provision under federal or state law, which provides:

Section 1542. [Certain Claims Not Affected By General Release.] A general release does not extend to claims that the creditor or releasing party does not know or suspect to exist in his or her favor at the time of executing the release and that, if known by him or her would have materially affected his or her settlement with the debtor or released party.

Accordingly, if the facts relating in any manner to this Settlement are found hereafter to be other than or different from the facts now believed to be true, the release of claims contained herein shall be effective as to all unknown claims. Notwithstanding the foregoing provisions, the General Release by Named Plaintiffs does not constitute a waiver of any claims that cannot by law be waived, including claims for workers' compensation, disability insurance, or unemployment insurance.

- 41. Released Parties. The term "Released Parties", shall mean Defendants Lisa Wasserman, Katrin Ewald, Ewald and Wasserman Research Consultants, LLC, their parents, subsidiaries, affiliates, insurers, related entities and divisions, and its and their respective: (i) predecessors, successors, and assigns, and (ii) current and former agents, heirs, executors, administrators, principals, officers, directors, shareholders, employees, founders, members, assigns, insurers, attorneys, and all other claiming through and by any of them.
- 42. <u>Settlement Payment Amount</u>. "Settlement Payment Amount" means the Gross Settlement Amount, consisting of several elements including, without limitation: Eligible Class Member Shares, Class Administration Costs, the Named Plaintiff Enhancements, the LWDA Fund, Class Counsel Fees and Costs, the Net Settlement Amount, and Eligible Class Members' portion of withholdings, contributions, deductions, taxes, fees and any other amounts due to government agencies and/or tax authorities in relation to any payments pursuant to this Agreement.
- 43. <u>Void *Ab Initio*</u>. "Void *Ab Initio*" shall mean a circumstance in which this Agreement is null and void and the Parties shall be returned to conditions such that the Agreement had never been entered into. Such circumstance will be deemed to exist only if any of the following

having occurred: (a) the Court has so ordered; (b) any of the Parties has materially breached this Agreement and either such breach cannot be cured, or after reasonable notice to the breaching Party and a reasonable opportunity to cure such breach to the satisfaction of the non-breaching Parties, the breaching Party has failed to do so, unless (i) the non-breaching Parties have stipulated in writing that such breach is non-material; or (ii) the Court has ruled that such un-cured or uncurable breach is non-material; (c) conditions have become such (including, for example, that the Court has refused to approve the Settlement) that the Effective Date has not occurred and cannot occur in the future; and/or (d) as otherwise specifically provided for in this Agreement.

44. <u>Work Week</u>. "Work Week" shall mean a continuous period of seven (7) calendar days, commencing with Sunday at 12:00 a.m., wherein any such calendar days in such period, are also within the Class Period.

II. TERMS AND CONDITIONS OF SETTLEMENT

In addition to the definitional elements set forth above, the terms and conditions of the class settlement shall be as follows:

- 1. <u>Amendment of Complaint to Include PAGA Claim and Provide LWDA Notice for Settlement Purposes Only</u>. The Parties stipulate that Plaintiffs' Counsel will amend the Complaint to include a PAGA Claim, and provide timely notice to the LWDA. After 65 days of providing the LWDA with notice of the PAGA Claim, Plaintiffs agree that the Release in Section I.40 will release that PAGA Claim for the consideration set forth in Section I.29, above.
- 2. <u>Contentions and Defenses: Compromise</u>. The Parties have determined that this Settlement represents a fair and reasonable compromise of disputed claims for wages and other monetary and non-monetary relief, following a reasonably thorough investigation. The Parties have entered into this Settlement to avoid the inherent risks and costs of further litigation. Named Plaintiffs do not stipulate that this Settlement represents the maximum extent of such relief to which they or the Class would be entitled if the Actions were to be further litigated. Defendants do not stipulate that, should the Action be further litigated, Named Plaintiffs and/or the Class would be entitled to any relief whatsoever. Neither Named Plaintiffs nor Defendants admit to any unlawful conduct or wrongdoing. The Parties hereby reserve all of their rights to litigate the Action

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and seek all available forms of relief should this Settlement not be given effect.

- 3. Confidentiality and Class Member Communications. Until Class Counsel files a Motion for Preliminary Approval, the Parties will keep the existence and terms of Settlement strictly confidential. Until such time, Class Counsel may discuss the terms of this Settlement with Class Members other than the Named Plaintiffs only if such additional Class Members initiate contact with Class Counsel in such regard. No Party or their counsel may otherwise make any public statement or comment or make any disclosures of any kind about this Settlement to anyone, including without limitation, the public, or press, or on any public or semi-public forum on the internet (such as social media) without the express written permission of each of the other Parties. Such confidentiality provisions shall remain in force following Preliminary Approval as well, with the following exceptions: (a) the Class Administrator may take steps reasonably necessary to perform Class Administration Duties; (b) Class Counsel and Named Plaintiffs may take reasonably necessary steps to perform their duties as such; and (c) Class Counsel may list or disclose this Action and Settlement as among their handled cases in court filings or motions only, but may not disclose the terms of the Settlement on any firm publication or other public media. In the interest of permitting the Class Notice and administration process to function on its own, Named Plaintiffs themselves agree not to discuss this Settlement with any Class Members or any other individuals except for their attorneys, financial representatives, accountants and/or spouse. Defendants agree not to discourage Class Members from, and agree not to encourage them to, exercise any of their rights or obligations pursuant to this Agreement. Defendants will instruct their officers, directors, managers and supervisors that that, should they be contacted by Class Members or persons who believe they may be Class Members in relation to this Agreement, such officers, directors, managers and supervisors should make no comment except by directing the employees to Defendants' administrators, who will be instructed to direct such Class Members to the Class Administrator and to provide such Class Members with contact information for the Class Administrator.
- 4. <u>Preliminary Approval</u>. As soon as possible following execution of this Agreement and the amendment of the Complaint to include the PAGA Claim, Class Counsel shall move the

Court for Preliminary Approval. Class Counsel will submit therewith a proposed order and any necessary declarations in support of Preliminary Approval. The Parties shall give all reasonable cooperation necessary to obtain Preliminary Approval from the Court.

5. <u>Class Administration Procedures – Class List.</u> Within fourteen (14) days of Defendants' receipt of notice of entry of Preliminary Approval, Defendants shall cause to be delivered by email or otherwise to the Class Administrator a list of the Class Members that includes their names, last known home address(es), full social security numbers, and dates of employment with Defendants in a Class Position during the Class Period, all of which information shall be based upon Defendant's reasonably available business records and/or the best reasonably available personal knowledge of Defendant's employees and agents.

6. <u>Class Administration Procedures – Notice to Class.</u>

Prior to notifying Class Members of their award, the Class Administrator will calculate the estimated Eligible Class Member Shares of each respective Class Member, based upon an assumption that all Class Members will become Eligible Class Members, that no Class Member Objections, Opt-Out Requests, or other disputes pursuant to Section II.7 below will be submitted, and that no Class Members will be added to the Class. The approximate amounts of such estimated Eligible Class Member Shares will be disclosed on an individual basis in each Class Member's respective Class Notice, along with the basis of the calculation of such shares in relation to the number of Class Member Work Weeks for each such Class Member.

Within ten (10) days after delivery of the information described in Section II.5 above, the Class Administrator will mail a Notice Packet to each Class Member via email (if available to Defendants) and United States Mail, first class, postage pre-paid to each Class Member's last-known address.

If any mailed Notice Packets are returned as undeliverable, then the Class Administrator shall have forty-five (45) days from receipt of notice that a Notice Packet was undeliverable to perform one "skip trace" or similar search and to re-mail the same Notice Packet (or a true and correct copy thereof) to any new addresses disclosed by such search via first-class regular U.S. Mail indicating on the Notice the date it was re-mailed, and including written notice that a Class

Member has fifteen (15) days to respond to a re-mailed Notice via either Objection or Opt-Out Request.

If the process set forth in this paragraph and any other procedures ordered by the Court are followed, the Class Notice will be deemed to have been adequately provided to all Class Members. In the event the procedures in the Agreement are followed and a Class Member, nonetheless, does not receive the Notice Packet, the intended recipient shall remain a Class Member, and will be deemed an Eligible Class Member, unless such intended recipient submits a Class Member Objection or Opt-Out Request.

- Class Administration Procedures Class Member Objections, Opt-Out Requests, and Disputes Concerning Class Member Status and Number of Class Member Work Weeks
- (a) Class Member Objections Filing and Service: Any member of the Settlement Class who wishes to make a Class Member Objection must give written notice to the Class Administrator, with such notice being received by the Class Administrator within sixty (60) days of mailing of the Notice Packets to the Class Members. Such written notice shall contain the relevant Class Member's name, address, telephone number, and signature, as well as a statement to the effect that the Class Member objects to the settlement, the basis and/or reason for such objection. A signature by the relevant Class Member's authorized representative, such as an attorney, is sufficient. Timely Class Member Objections will not be rejected for technical reasons or deficiencies.
- (b) Class Member Objections Responses: Upon receipt of any documents purporting to be Class Member Objections, the Class Administrator shall forthwith forward such documents to Class Counsel and Defendants' Counsel by e-mail and United States Mail. Following receipt of such documents, Class Counsel and Defendants' Counsel shall confer regarding such documents purporting to be Class Member Objections. Class Counsel shall file with the Court, in a separate document along with their motion for Final Approval, a joint statement, not to exceed ten (10) pages, containing the Parties' points and authorities in response to such documents purporting to be Class Member Objections, along with copies of such Class Member Objections.

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If the Parties' responses differ in any respect, the jointly-held positions shall be set forth in a separately entitled section, and the differently-held positions shall be set forth in further separately-entitled sections of the joint response. The Parties may attach evidence to the joint response, which shall not count toward the page limit. If the volume of documents purporting to be Class Member Objections is sufficiently large such that ten (10) pages is insufficient for the joint response, the Parties (or any of them) may apply to the Court for an increase in the number of such pages. Should the Parties receive any untimely-filed, received, or sent documents purporting to be Class Member Objections (or should the Parties receive them less than ten (10) days prior to any due date for the motion for Final Approval), the Parties may file a further such joint response at any time prior to the Final Approval Hearing, but in any event not later than ten (10) days after receiving such untimely documents.

(c) Opt-Out Requests: Any member of the Settlement Class who wishes to make an Opt-Out Request must deliver written notice (to include the relevant Class Member's name, address, telephone number, and signature) to such effect to the Class Administrator, with such notice being received by the Class Administrator within sixty (60) days of mailing of the Notice Packets to the Class Members. A signature by the relevant Class Member's authorized representative, such as an attorney, is sufficient. Such written notice shall set forth a statement to the effect that the Class Member does not wish to be part of, to be bound by, and/or to receive funds pursuant to the Settlement. Timely Opt-Out Requests will not be rejected for technical reasons or deficiencies. The Class Administrator shall give Class Counsel and Defendant's Counsel no less than weekly notice of the number of Class Members who have submitted Opt-Out Requests, as well as copies of any such Opt-Out Requests upon request. Should any of the Parties wish to dispute the validity of any documents purporting to be Opt-Out Requests, they shall notify the Class Administrator and all other Parties via e-mail and U.S. Mail within ten (10) days of receiving such documents, and in so doing they shall state the factual and legal basis for such dispute. Prior to the deadline for submitting its declaration described in Section II.8 below, the Class Administrator shall make a determination as to the validity of the disputed Opt-Out Requests, and shall set forth its determinations in such declaration. The Class Administrator's decisions in

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(d) Disputes Concerning Class Member Status: Should any person who does not receive a Class Notice directed to him or her wish to come forward purporting to be a Class Member, such person shall notify the Class Administrator, no later than sixty (60) days after the Class Administrator's mailing of the Class Notice Packets. The Class Administrator shall forthwith send any such documents to Class Counsel and Defendants' Counsel via email and/or United States Mail. Upon receipt of such notice, Defendants shall investigate the matter, including with reference to their business records, and shall determine whether the person is a Class Member. Then, within ten (10) days of receipt of such notice, Defendants shall notify the Class Administrator and Class Counsel as to its determination of the person's status as a Class Member. Defendants' determination in such regard shall control. If the person is determined to be a Class Member, the Class Administrator shall mail that person a Notice Packet, whereupon the same procedures for submitting Class Member Objections, Opt-Out Requests, and Disputes Concerning Work Weeks set forth in this Agreement shall apply to such person.

Disputes Concerning Class Member Work Weeks: The Class Notices sent (e) to each Class Member shall separately set forth that person's estimated number of Class Member Work Weeks, which will be calculated based Defendants' records. If for any reason a Class Member disagrees with such estimate, such Class Member shall deliver written notice to such effect to the Class Administrator, with such notice being received by the Class Administrator within sixty (60) days of mailing of the Notice Packets to the Class Members. Such notice shall set forth the Class Member's basis for such disagreement, including any and all documents supporting such basis. Upon receipt of such notices, the Class Administrator shall forthwith send it to Class Counsel and Defendant's Counsel, via e-mail and United States Mail. Defendant shall investigate the matter, including by examining its business records, and shall, within ten (10) days of receiving notice, inform Class Counsel and the Class Administrator as to its determination regarding the Class Member's number of Class Member Work Weeks. In the event that the Class Member does not provide any supportive documentation, Defendants' determination shall control. In the event that the Class Member does provide supportive documentation, Defendants shall,

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within the same ten (10) day period, either notify the Class Administrator and Class Counsel that they stipulate to the Class Member's assertions regarding his or her number of Class Member Work Weeks, or shall notify them that they dispute such assertions, and shall provide the Class Administrator and Class Counsel with their proposed determination, and the factual basis therefor, and any supporting documentation. The Class Administrator shall then determine the Class Member's number of Class Member Workweeks, and its determinations shall control.

- (f) Named Plaintiffs hereby agree that they will not submit a Class Member Objection or an Opt-Out Request. Any submissions by Named Plaintiffs purporting to be a Class Member Objection or an Opt-Out Request shall be null and void.
- (g) No determinations by Defendants, the Class Administrator, the Court, or any other person or entity pursuant to this Section II.7 shall have the effect of increasing the amount of the Gross Settlement Amount. Rather, any additional amounts to be distributed to any Class Member as a result of the resolution of such disputes shall be made in conjunction with and subject to a proportionate reduction in other Eligible Class Members' Eligible Class Member Shares, with specific amounts to be determined by the Class Administrator.
- 8. <u>Class Administration Procedures Class Administrator Declaration</u>. Within ten (10) days of the expiration of all the time periods provided for in Sections II.5 through II.7 above, the Class Administrator shall provide Class Counsel and Defendants' Counsel with the Class Administrator Declaration. Should the Class Administrator be unable to provide the Class Administrator Declaration at such time, it shall forthwith notify Class Counsel and Defendants' Counsel, who shall cooperate with the Class Administrator to forthwith remedy any such inability.
- 9. <u>Motion for Final Approval</u>. By the later of (a) ten (10) days of Class Counsel's receipt of the declaration required of the Class Administrator by Section II.8 above; or (b) sixteen (16) court days prior to the Final Approval Hearing, Class Counsel shall file and serve upon Defendant and the Class Administrator a motion for Final Approval, and shall include the Class Administrator's declaration with such filing. Should the date of Class Counsel's receipt of the Class Administrator Declaration be less than ten (10) days prior to the court day that is sixteen (16) court days prior to the Final Approval Hearing, Class Counsel shall make reasonable efforts

to file its motion for Final Approval not later than sixteen (16) court days prior. If Class Counsel is unable to do so, or if Class Counsel otherwise believe based on other circumstances they will not be able to file a timely motion for Final Approval, they shall seek *ex parte* or other emergency relief from the Court in the form of shortening of the time for filing and serving the Motion for Final Approval, or re-scheduling of the Final Approval Hearing. Defendants shall cooperate in the seeking and obtaining of such relief.

- 10. Release. The Settlement includes a release of Released Claims against the Released Parties for the Class Period. Each Eligible Class Member shall be deemed, as of the Date of Preliminary Approval, to have provided and to be subject to the release of Released Claims against the Released Parties set forth in herein. Named Plaintiffs additionally agree that as of the Date of Preliminary Approval, each of them will be deemed to have provided and to be subject to the General Release in favor of the Released Parties set forth herein.
- 11. <u>Enforcement</u>. This Agreement is enforceable pursuant to California Rule of Court 3.769(h). If any Party is required to seek relief for an alleged breach of this Agreement, the prevailing party shall be awarded its reasonable attorney's fees and costs including, if necessary, attorney's fees in connection with collection efforts or enforcement of the confidentiality provisions of this Agreement; provided however, that the aggrieved Party shall be required to give notice to the opposing Party and meet and confer regarding the alleged breach before filing any motion, or application for enforcement of, this Agreement. This provision applies only to the signatories of this Agreement, and does not apply generally to Class Members.

12. <u>Taxation and Withholding; Settlement Checks</u>.

(a) Allocation. The Parties agree that Thirty-Three and 1/3 Percent (33.33)% of the Net Settlement Amount shall be allocated to Form W-2 wages, Thirty-Three and 1/3 Percent (33.33)% of the Net Settlement Amount shall be allocated to interest subject to Form 1099 report, and Thirty-Three and 1/3 Percent (33.33)% of the Net Settlement Amount be allocated to penalties (including the LWDA Fund Remainder) and other non-wages subject to Form 1099 reporting, and that the same allocations shall apply to each of the Eligible Class Member Shares. This allocation is for purposes of this Settlement only. Defendants will be responsible for the employer's share of

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the taxes on the Thirty-Three and 1/3 Percent (33.33)% of the Net Settlement Amount shall be allocated to Form W-2 wages. The Class Administrator will pay from the QSF each Eligible Class Member Share, the Eligible Class Members' shares of payroll taxes, deductions, contributions, and other amounts required to be paid to government agencies and/or tax authorities. The payment of such taxes, deductions, contributions and other amounts shall be calculated based upon Defendants' reasonably available records. The Class Administrator shall provide reasonable notice to Defendants' Counsel of any records required for purposes of computing taxes, deductions, contributions and other amounts, and Defendants shall undertake reasonable efforts to provide the Class Administrator with same. The Class Administrator shall provide, as appropriate, an IRS Form W-2 and Form 1099, and any other tax documentation required by law, to each Eligible Class Member payee. Any necessary employer tax contributions resulting from issuance of the Settlement shall be deducted from the Net Settlement Amount.

(b) Circular 230 Disclaimer. Each of the Parties acknowledges and agrees that (1) no provision of this Agreement, and no written communication or disclosure between or among the Parties or their respective counsel and/or other advisers is or was intended to be, nor shall any such communication or disclosure constitute or be construed or be relied upon as, tax advice within the meaning of United States Treasury Circular 230 (31 CFR part 10, as amended); (2) each Party (a) has relied exclusively upon his, her or its own, independent legal and tax advisors for advice (including tax advice) in connection with this Agreement, (b) has not entered into this Agreement based upon the recommendation of any other Party or any Counsel or advisor to any other Party, and (c) is not entitled to rely upon any communication or disclosure by any other Counsel or advisor to any other Party to avoid any tax penalty that may be imposed on that Party; and (3) no attorney or advisor to any other Party has imposed any limitation that protects the confidentiality of any such attorney's or advisor's tax strategies (regardless of whether such limitation is legally binding) upon disclosure by the Party of the tax treatment or tax structure of any transaction, including any transaction contemplated by this Agreement. Neither Class Counsel nor Defendants or their Counsel will provide tax or financial advice, and Class Members are advised to seek independent professional advice as to the tax or financial consequences of any payment they

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receive, or may receive, as Class Members.

- (c) No Effect on Employee Benefits. The Eligible Class Member Shares shall be deemed not to be pensionable earnings and shall not have any effect on the eligibility for, or calculation of, any employee benefits (e.g., vacations, holiday pay, retirement plans, etc.) of the Eligible Class Members.
- (d) Non-Negotiated Instruments of Payment. The expiration date of any instruments of payment issued by the Class Administrator to Eligible Class Members will be one hundred eighty (180) days from the date such instruments are issued and sent.
- 13. Defendants' Payment of the Settlement Payment Amount. Upon the Effective Date, the Class Administrator shall forthwith establish all financial accounts necessary to establish the Qualified Settlement Fund, and shall promptly notify Defendants' Counsel and Class Counsel by email that such accounts have been established and of the payment details necessary to fund the Qualified Settlement Fund. The Class Administrator shall also advise Defendants as to any amounts Defendants will be required to pay for their respective portions of any payroll taxes, deductions, contributions and other amounts required to be paid to government agencies and/or tax authorities as a result of this Settlement (hereinafter, "Defendants' Payroll Tax"), if any exist. Within thirty (30) business days of the Defendants' receipt of such notice from the Class Administrator, and provided that the Effective Date has occurred, Defendants shall make such payment, not to exceed, in aggregate, the Settlement Payment Amount, which will be inclusive of Defendants' Payroll Tax. Within ten (10) days after all funds necessary to fully fund the Qualified Settlement Fund are in the accounts established by the Class Administrator and are available for disbursement, the Class Administrator shall disburse, pursuant to this Settlement and other applicable law, the corresponding Eligible Class Member Shares to each Eligible Class Member, as well as the LWDA Fund, the Named Plaintiffs' Enhancements, the Class Administration Costs, and the Class Counsel Fees and Costs. In disbursing the LWDA Fund, the Class Administrator shall also submit to the LWDA any information or documentation required for such disbursement, such as a copy of the Court's Final Approval order. The Class Administrator shall promptly notify Class Counsel and Defendants' Counsel by email that such disbursements and submissions have

been made.

- 14. <u>Cooperation and Reasonable Modifications</u>. The Parties and their respective counsel will cooperate reasonably and in good faith for the purpose of achieving occurrence of the conditions set forth in this Agreement, including without limitation, timely filing of all motions, papers and evidence necessary to do so, and refraining from causing or encouraging directly or indirectly the submission of any objection to this Agreement, the submission of any Class Member Objection or Opt-Out Request, or any appeal or petition for writ proceedings seeking review of any order or judgment contemplated by the Settlement. This Agreement contemplates that the Court and the Parties may make reasonable modifications to the Agreement in order to effect its essential terms and to obtain Preliminary Approval and Final Approval. Such modifications shall not render this Agreement Void *Ab Initio*, but rather the Parties shall stipulate to such reasonable modifications and take all necessary steps to give them effect.
- 15. Warranty of Authority. The undersigned each represent and warrant that each has authority to enter into this Settlement, and that by doing so they are not in breach or violation of any agreement with any third parties. The Parties further agree that the Actions shall be stayed in all respects until the final payment called for by this Settlement is made pending the occurrence or failure of the Effective Date, except for the purpose of filing motions for Preliminary Approval and Final Approval.
- 16. Other Actions Enjoined. Defendants shall have the right to request, and Named Plaintiffs nor their Counsel will not oppose, that the Court enter an order that pending Final Approval, Class Members who do not opt-out of the Settlement are barred from instituting or prosecuting any claims or actions against the Released Parties which fall within the definition of the Released Claims and that any pending actions against the Released Parties, whether in court or arbitration, are stayed on an interim basis only as to any claims which fall within the definition of the Released Claims.
- 17. <u>Notices to Counsel</u>. All notices, requests, demands and other communications required or permitted to be given pursuant to this Agreement shall be in writing and shall be delivered personally or mailed, postage prepaid, by first-class United States mail, to the

undersigned persons at their respective addresses as set forth herein (and, to the extent notice by email is called for, the below email addresses shall be used:

Counsel for Plaintiffs:	Counsel for Defendant:
YOSEF PERETZ, SBN 209288 yperetz@peretzlaw.com	COLLIN D. COOK, SBN 251606 ccook@fisherphillips.com
SHANE HOWARTER, SBN 311970 showarter@peretzlaw.com	NATHAN K. LOW, SBN 299587 nlow@fisherphillips.com
PERETZ & ASSOCIATES 22 Battery Street, Suite 200 San Francisco, California 94111-3712	BRANDON K. KAHOUSH, SBN 311560 bkahoush@fisherphillips.com
Telephone: (415) 732-3777 Facsimile: (415) 732-3791	FISHER & PHILLIPS LLP One Embarcadero Center, Suite 2050 San Francisco, California 94111-3712 Telephone: (415) 490-9000 Facsimile: (415) 490-9001

- 18. <u>Notice to LWDA</u>. Class Counsel shall be responsible for giving any required notice of this Settlement to the LWDA.
- 19. Entire Agreement. This Agreement embodies the entire agreement of all the Parties hereto who have executed it and supersedes any and all other agreements, understandings, negotiations, or discussions, either oral or in writing, express or implied, between the Parties to this Agreement. The Parties to this Agreement each acknowledge that no representations, inducements, promises, agreements or warranties, oral or otherwise, have been made by them, or anyone acting on their behalf, which are not embodied in this Agreement; that they have not executed this Agreement in reliance on any representation, inducement, promise, agreements, warranty, fact or circumstances, not expressly set forth in this Agreement; and that no representation, inducement, promise, agreement or warranty not contained in this Agreement including, but not limited to, any purported settlements, modifications, waivers or terminations of this Agreement, shall be valid or binding, unless executed in writing by all of the Parties to this Agreement. This Agreement may be amended, and any provision herein waived, but only in writing, signed by the Party against whom such an amendment or waiver is sought to be enforced.
 - 20. Arbitration. Nothing in this Agreement shall be construed or deemed to result in a

			PLAINTIFF
1			DocuSigned by:
2	Dated:	6/30/2021	DI -:
3			Plaintiff Taylor Evans
4			DEFENDANT EWALD AND WASSERMAN
5			RESEARCH CONSULTANTS, LLC
6	Dated:		
7			
8			Please Print Name of Authorized Signatory
9			DEFENDANT
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11	Dated:		Defendant Lisa Wasserman
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13			DEFENDANT
14	Dated:		
15			Defendant Katrin Ewald
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JOINT STIPULATION OF AMENDED AND RESTATED CLASS ACTION AND PAGA SETTLEMENT FP 39752966.2 FP 40746241.1

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JOINT STIPULATION OF AMENDED AND RESTATED CLASS ACTION AND PAGA SETTLEMENT FP 39752966.2 FP 40746241.1