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**SUPERIOR COURT OF THE STATE OF CALIFORNIA
FOR THE COUNTY OF LOS ANGELES**

AARON COFFEY, individually and on behalf
of others similarly situated, and as an
aggrieved employee and Private Attorney
General,

Plaintiff,

vs.

CATALINA CHANNEL EXPRESS, INC., a
California corporation; and DOES 1 through
50, inclusive,

Defendants.

Case No. 21STCV41396

Honorable Stuart M. Rice
Department 1

**SUPPLEMENTAL DECLARATION OF
JONATHAN M. GENISH IN SUPPORT OF
PLAINTIFF'S MOTION FOR PRELIMINARY
APPROVAL OF CLASS ACTION AND PAGA
SETTLEMENT**

Date: February 18, 2025
Time: 4:00 p.m.
Dept.: 1

Complaint Filed: November 10, 2021
FAC Filed: March 29, 2022
Trial Date: Not Set

1 **SUPPLEMENTAL DECLARATION OF JONATHAN M. GENISH**

2 I, Jonathan M. Genish, declare and state as follows:

3 1. I am an attorney duly licensed to practice law in all Courts of the State of California. I
4 am a shareholder and the founder of Blackstone Law, APC (“Class Counsel”), attorneys of record for
5 Plaintiff Aaron Coffey (“Plaintiff”). I have personal knowledge of the facts contained herein, and, if
6 called to testify, I could and would competently do so.

7 2. On May 10, 2024, Plaintiff and Defendant Catalina Channel Express, Inc.
8 (“Defendant”) (together, the “Parties”) executed the Joint Stipulation of Class Action and PAGA
9 Settlement (“Original Agreement”).

10 3. On July 29, 2024, Plaintiff filed a Motion for Preliminary Approval of Class Action
11 and PAGA Settlement (“Motion for Preliminary Approval”) and supporting documents seeking
12 preliminary approval of the Original Agreement.

13 4. On November 12, 2024, the Court issued a tentative ruling (“November 12, 2024
14 Tentative Ruling”) wherein the Court requested that the Parties must resolve the uncertainty regarding
15 the Class Period and PAGA Period end dates and submit an amended proposed order that includes a
16 table or paragraph setting forth the Gross Settlement Amount less all estimated deductions and the
17 estimated Net Settlement Amount that will be available for distribution to the Class. A true and correct
18 copy of the November 12, 2024 Tentative Ruling is attached hereto as **Exhibit 1**.

19 5. On November 13, 2024, a hearing was held on the Motion for Preliminary Approval
20 wherein the Court confirmed the November 12, 2024 Tentative Ruling and scheduled the hearing for
21 the motion for final approval for April 21, 2025 at 10:30 a.m. in Department 1 of the above-captioned
22 Court.

23 6. In the Original Agreement, the Class Period was defined as the period “from November
24 10, 2017 through March 13, 2024 or the date on which the total number of workweeks reaches 30,000,
25 whichever is earlier” and the PAGA Period was defined as the period “from November 8, 2020 through
26 March 13, 2024 or the date on which the total number of workweeks reaches 30,000, whichever is
27 earlier.”

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1 7. Pursuant to the Court’s direction, the Parties’ counsel engaged the Settlement
2 Administrator, CPT Group, Inc., to calculate the number of Workweeks and PAGA Workweeks to
3 determine the end dates of the Class Period and PAGA Period. Defendant subsequently sent the
4 Settlement Administrator the data needed for the Settlement Administrator to calculate the Workweeks
5 and PAGA Workweeks.

6 8. The Settlement Administrator determined that the end date for the Class Period is
7 November 7, 2021 and the end date for the PAGA Period is December 3, 2023.

8 9. Accordingly, on February 14, 2025, the Parties executed the First Amended Joint
9 Stipulation of Class Action and PAGA Settlement (“Amended Settlement Agreement”), which, *inter*
10 *alia*, revised the Class Period and PAGA Period and made relevant edits to account for the changes in
11 the Class Period and PAGA Period. A true and correct copy of the Amended Settlement Agreement
12 is attached hereto as **Exhibit 2**. A true and correct copy of the Amended Settlement Agreement
13 showing how the terms have been revised is attached hereto as **Exhibit 3**.

14 10. Additionally, the Parties have also prepared a revised version of the proposed Notice
15 of Class Action Settlement (“Class Notice”), which is attached to the Amended Settlement Agreement
16 as “Exhibit A”. A redline version of the Class Notice showing how the terms have been revised is
17 attached hereto as **Exhibit 4**.

18 11. In the course of preparing the Amended Settlement Agreement, the Parties realized that
19 it was not specified in the definition of Workweeks and PAGA Workweeks that the weeks covered by
20 any previous individual settlement agreements and the settlement agreement in the case entitled
21 *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No.
22 BC707664 are excluded. Accordingly, the Parties revised the definition of Workweeks and PAGA
23 Workweeks to make this clear to the Class Members.

24 12. In accordance with California Labor Code section 2699(l)(2), on February 18, 2025, a
25 copy of the proposed Amended Settlement Agreement was submitted to the LWDA via online
26 submission through the LWDA’s website. A true and correct copy of the email from the LWDA
27 confirming receipt is attached hereto as **Exhibit 5**.

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1 13. Simultaneously with this filing, Plaintiff has filed a Joint Stipulation to Continue
2 Hearing on Motion for Final Approval and Related Deadline; [Proposed] Order and [Revised
3 Proposed] Order Granting Preliminary of Class Action and PAGA Settlement.

4 I declare under penalty of perjury under the laws of the State of California that the foregoing
5 is true and correct.

6 Executed on February 18, 2025, at Beverly Hills, California



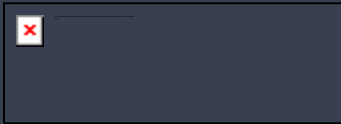
Jonathan M. Genish

EXHIBIT 1

Alexandra Rose

From: service@caseanywhere.com
Sent: Tuesday, November 12, 2024 4:50 PM
To: Alexandra Rose
Subject: Message Posted in Coffey, et al. v. Catalina Channel Express, Inc., Case No. 21STCV41396

[External Email].



The following message has been posted in **Coffey, et al. v. Catalina Channel Express, Inc.**, 21STCV41396:

Message Title: TENTATIVE RULING [Preliminary Approval of Class Action Settlement]
To: Court and All Counsel
Posted By: LaChira Ennis
Representing: Los Angeles Superior Court
Posting Date: 11/12/24
Time of Posting: 4:49 PM

Message:
TENTATIVE RULING

Grant once Counsel addresses the following to the Court's satisfaction:

The Class and PAGA periods at Settlement Agreement ¶6.f and ¶6.z provides that the period is "through March 13, 2024 or the date on which the total number of workweeks reaches 30,000, whichever is earlier." However, the parties must resolve any uncertainty regarding the Class Period end date before the Court may grant preliminary approval or order the distribution of notice. Based on current records, the parties and the administrator must review and verify the workweek total and confirm the end date of the Class Period, revise the Class Period definition if needed. Ensure that the notice is modified to match any alterations to the Settlement Agreement.

The hearing set for November 13, 2024 at 10:30AM remains on calendar. An amended proposed order should also be submitted to conform to the supplement and to include a table or paragraph setting forth the Gross Settlement Amount (GSA) less all estimated deductions and the estimated Net Settlement Amount (NSA) that will be available for distribution to the class. If not resolved by the time of the hearing, a non-appearance will be set for receipt of the above. A Final Approval date will be assigned at the time of the hearing.

To reply to this message online, please click [here](#). This message will also be saved as part of the case file. You will be directed to the Case Anywhere log in page. After entering your username and password, you will be taken to the requested message thread. If you have saved your log in information by selecting the "Remember me at this computer" option, you will be automatically logged in and directed to this posting.

If your organization is no longer involved in the above-referenced matter, or if there is any other reason your organization's subscription should be terminated or billing should be modified, please contact us immediately. It is your organization's responsibility to request removal from the case site and conclusion of your subscription for this matter. If your

organization is being billed for this matter, it will continue to be billed until we are notified of any such change.

Please contact us by phone at (800) 884-3163 or (818) 650-1040 or by email at support@caseanywhere.com if you have any questions.

EXHIBIT 2

1 **FIRST AMENDED JOINT STIPULATION OF CLASS ACTION AND PAGA SETTLEMENT**

2 This First Joint Stipulation of Class Action and PAGA Settlement (“Settlement,”
3 “Agreement,” or “Settlement Agreement”) is made and entered into by and between Plaintiff Aaron
4 Coffey (“Plaintiff” or “Class Representative”), individually, and on behalf of all others similarly
5 situated and on behalf of the State of California with respect to aggrieved employees, and Defendant
6 Catalina Channel Express, Inc. (“Defendant”) (together, Plaintiff and Defendant are referred to as
7 “Parties” and individually as “Party”).

8 The Parties agree to supplant the Joint Stipulation of Class Action and PAGA Settlement
9 entered into by the Parties on or around May 10, 2024 with this First Amended Joint Stipulation of
10 Class Action and PAGA Settlement.

11 This Settlement Agreement shall be binding on Plaintiff, Settlement Class Members (as
12 defined herein), the State of California as to the employment of PAGA Employees (as defined herein),
13 and Defendant, subject to the terms and conditions hereof and the approval of the Court.

14 **RECITALS**

15 1. On November 8, 2021, Plaintiff provided written notice to the Labor and Workforce
16 Development Agency (“LWDA”) by online submission and to Defendant by U.S. Certified Mail,
17 pursuant to California Labor Code Section 2699.3, of the specific provisions of the California Labor
18 Code alleged to have been violated by Defendant (“PAGA Letter”). On November 10, 2021, Plaintiff
19 filed a Class Action Complaint, thereby commencing a putative class action entitled *Aaron Coffey v.*
20 *Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. 21STCV41396
21 (“Action”) against Defendant. On March 29, 2022, Plaintiff filed a First Amended Class Action and
22 Representative Action Complaint (“Operative Complaint”) in the Action, which added a cause of
23 action under the Private Attorneys General Act of 2004 pursuant to California Labor Code Section
24 2698 *et seq.* (“PAGA”). The Operative Complaint alleges ten (10) causes of action for violations of
25 the California Labor Code for failure to pay overtime wages, failure to provide compliant meal periods
26 and premium payments in lieu thereof, failure to provide compliant rest periods and premiums
27 payments in lieu thereof, failure to pay minimum wages, failure to timely pay wages upon termination,
28 failure to timely pay wages during employment, failure to provide accurate wage statements, and

1 failure to reimburse necessary business expenses, for violations of California Business & Professions
2 Code Section 17200, *et seq.* based on the aforementioned California Labor Code violations, and for
3 civil penalties under PAGA based on the aforementioned California Labor Code violations.

4 2. Defendant denies all materials allegations set forth in the Action and has asserted
5 numerous affirmative defenses. Notwithstanding, in the interest of avoiding further litigation,
6 Defendant desires to fully and finally settle the Action, Released Class Claims (as defined herein), and
7 Released PAGA Claims (as defined herein).

8 3. Class Counsel diligently investigated the class and PAGA claims against Defendant,
9 including any and all applicable defenses and the applicable law. The investigation included, *inter*
10 *alia*, the exchange of information, data, and documents, and review of corporate policies and practices.
11 The Parties have engaged in sufficient formal and informal discovery and investigation to assess the
12 relative merits of the claims and contentions of the Parties.

13 4. On October 23, 2023, the Parties participated in mediation with Todd A. Smith, Esq.
14 (the “Mediator”), a respected mediator of complex wage and hour actions, which did not result in a
15 settlement at that time. After continued negotiations, and with the assistance of the Mediator’s
16 evaluations, the Parties reached the mutual Settlement that is memorialized herein. The Parties’
17 settlement discussions were conducted at arms’ length, and the Settlement is the result of an informed
18 and detailed analysis of Defendant’s potential liability and exposure in relation to the costs and risks
19 associated with continued litigation. Based on Class Counsel’s investigation and evaluation, Class
20 Counsel believes that the settlement with Defendant for the consideration and on the terms set forth in
21 this Settlement Agreement is fair, reasonable, and adequate and is in the best interest of the Class
22 Members, State of California, and PAGA Employees in light of all known facts and circumstances,
23 including the risk of significant delay and uncertainty associated with litigation and various defenses
24 asserted by Defendant.

25 5. The Parties expressly acknowledge that this Settlement Agreement is entered into
26 solely for the purpose of compromising significantly disputed claims and that nothing herein is an
27 admission of liability or wrongdoing by Defendant. If for any reason this Settlement Agreement is
28 not approved, it will be of no force or effect, and the Parties shall be returned to their original respective

positions.

DEFINITIONS

6. The following definitions are applicable to this Settlement Agreement. Definitions contained elsewhere in this Settlement Agreement will also be effective.

a. “Attorneys’ Fees and Costs” means attorneys’ fees approved by the Court for Class Counsel’s litigation and resolution of the Action and all actual costs and expenses incurred and to be incurred by Class Counsel in connection with the Action, as set forth in Paragraph 9.

b. “Class” or “Class Member(s)” means all current and former non-exempt employees who worked for Defendant within the State of California at any time during the Class Period.

c. “Class Counsel” means Jonathan M. Genish, Miriam L. Schimmel, Joana Fang, Alexandra Rose, and Jared Osborne of Blackstone Law, APC, who will seek to be appointed counsel for the Class.

d. “Class List” means a complete list of all Class Members and PAGA Employees that Defendant will diligently and in good faith compile from its records and provide to the Settlement Administrator. The Class List will be formatted in a readable Microsoft Office Excel spreadsheet containing the following information for each Class Member and PAGA Employee: (1) full name; (2) last known mailing address; (3) Social Security number; (4) dates worked for Defendant during the Class Period and PAGA Period; and (8) such other information as is necessary for the Settlement Administrator to calculate Workweeks and PAGA Workweeks.

e. “Class Notice” means the Notice of Class Action Settlement, substantially in the form attached hereto as “**Exhibit A**.”

f. “Class Period” means the period from November 10, 2017 through November 7, 2021.

g. “Class Settlement” means the settlement and resolution of all Released Class Claims.

h. “Court” means the Superior Court of the State of California for the County of Los Angeles.

1 i. “Defendant’s Counsel” means Brigham M. Cheney and Christopher M. Francis
2 of Atkinson, Andelson, Loya, Rudd & Romo.

3 j. “Effective Date” means the date when all of the following events have occurred:
4 (1) the Settlement Agreement has been executed by all Parties, Class Counsel, and Defendant’s
5 Counsel; (2) the Court has given preliminary approval to the Settlement; (3) the Class Notice has been
6 mailed to the Class Members, providing them with an opportunity to object to the terms of the Class
7 Settlement or opt out of the Class Settlement; (4) the Court has had a Final Approval Hearing and
8 entered a Final Approval Order and Judgment; (5) sixty-five calendar days have passed since the Court
9 entered a Final Approval Order and Judgment; and (6) in the event there are written objections to the
10 Class Settlement filed prior to the Final Approval Hearing which are not later withdrawn or denied,
11 the later of the following events: five business days after the period for filing any appeal, writ, or other
12 appellate proceeding opposing the Court’s Final Approval Order and Judgment has elapsed without
13 any appeal, writ, or other appellate proceeding having been filed, or, if any appeal, writ, or other
14 appellate proceeding opposing the Court’s Final Approval Order and Judgment has been filed, five
15 business days after any appeal, writ, or other appellate proceedings opposing the Court’s Final
16 Approval Order and Judgment has finally and conclusively dismissed with no right to pursue further
17 remedies or relief.

18 k. “Employer Taxes” means the employer’s share of taxes and contributions in
19 connection with the wages portion of Individual Settlement Shares, which shall be paid by Defendant
20 in addition to the Gross Settlement Amount.

21 l. “Enhancement Payment” means the amount to be paid to Plaintiff, in
22 recognition of his effort and work in prosecuting the Action on behalf of Class Members and PAGA
23 Employees, and general release of claims, as set forth in Paragraph 10.

24 m. “Final Approval” means the determination by the Court that the Settlement is
25 fair, reasonable, and adequate, and entry of the Final Approval Order and Judgment based thereon.

26 n. “Final Approval Hearing” means the hearing at which the Court will consider
27 and determine whether the Settlement should be granted Final Approval.

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1 o. “Final Approval Order and Judgment” means the order granting final approval
2 of the Settlement and entering judgment thereon, in a form and content mutually agreed to by the
3 Parties, and subject to approval by the Court.

4 p. “Gross Settlement Amount” means the amount of One Million Dollars and Zero
5 Cents (\$1,000,000.00) to be paid by Defendant in full satisfaction of the Action, Released Class
6 Claims, and Released PAGA Claims, which includes all Attorneys’ Fees and Costs, Enhancement
7 Payment, PAGA Amount, Settlement Administration Costs, and Net Settlement Amount to be paid to
8 the Settlement Class Members. Defendant shall pay the Employer Taxes separately and in addition to
9 the Gross Settlement Amount. Notwithstanding any other provision of this Settlement Agreement,
10 the Parties agree that, except for the payment of Employer Taxes, the Gross Settlement Amount
11 constitutes the maximum amount Defendant will be required to pay under this Settlement under any
12 circumstances. The Gross Settlement Amount is non-reversionary; no portion of the Gross Settlement
13 Payment will return to Defendant.

14 q. “Individual PAGA Payment” means the *pro rata* share of the PAGA Employee
15 Amount that a PAGA Employee may be eligible to receive under the PAGA Settlement, to be
16 calculated in accordance with Paragraph 14.

17 r. “Individual Settlement Payment” means the net payment of each Settlement
18 Class Member’s Individual Settlement Share, after reduction for the employee’s share of taxes and
19 withholdings with respect to the wages portion of the Individual Settlement Share, as provided in
20 Paragraph 15.

21 s. “Individual Settlement Share” means the *pro rata* share of the Net Settlement
22 Amount that a Class Member may be eligible to receive under the Class Settlement, to be calculated
23 in accordance with Paragraph 13.

24 t. “LWDA Payment” means the amount of Seventy-Five Thousand Dollars and
25 Zero Cents (\$75,000.00), i.e., 75% of the PAGA Amount, that the Parties have agreed to pay to the
26 LWDA under the PAGA Settlement, as set forth in Paragraph 11.

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1 u. “Net Settlement Amount” means the portion of the Gross Settlement Amount
2 that is available for distribution to Settlement Class Members, which is the Gross Settlement Amount
3 less the Court-approved Attorneys’ Fees and Costs, Enhancement Payment, PAGA Amount, and
4 Settlement Administration Costs.

5 v. “Notice of Objection” means a Settlement Class Member’s written objection to
6 the Class Settlement, which must: (a) contain the case name and number of the Action; (b) contain the
7 objector’s full name, signature, address, telephone number, and the last four (4) digits of the objector’s
8 Social Security number; (c) contain a written statement of all grounds for the objection accompanied
9 by any legal support for such objection; (d) contain copies of any papers, briefs, or other documents
10 upon which the objection is based; and (e) be returned by mail to the Settlement Administrator at the
11 specified address, postmarked on or before the Response Deadline.

12 w. “PAGA Amount” means the allocation of One Hundred Thousand Dollars and
13 Zero Cents (\$100,000.00) from the Gross Settlement Amount for the PAGA Settlement. Seventy-five
14 percent (75%) of the PAGA Amount, or \$75,000.00, will be paid to the LWDA (i.e., the LWDA
15 Payment) and the remaining twenty-five percent (25%), or \$25,000.00, will be distributed to the
16 PAGA Employees (i.e., the PAGA Employee Amount).

17 x. “PAGA Employees” means all current and former non-exempt employees who
18 worked for Defendant within the State of California at any time during the PAGA Period.

19 y. “PAGA Employee Amount” means the amount of Twenty-Five Thousand
20 Dollars and Zero Cents (\$25,000.00), i.e., 25% of the PAGA Amount, to be distributed to PAGA
21 Employees on a *pro rata* basis based on their PAGA Workweeks.

22 z. “PAGA Period” means the period from November 8, 2020 through December
23 3, 2023.

24 aa. “PAGA Settlement” means the settlement and resolution of all Released PAGA
25 Claims.

26 bb. “PAGA Workweeks” means the number of weeks each PAGA Employee
27 worked for Defendant as a non-exempt employee in California during the PAGA Period. In order to
28 be counted as a PAGA Workweek, the PAGA Employee must have worked at least one day in that

1 week. PAGA Workweeks will be calculated by the Settlement Administrator based on each PAGA
2 Employee's start date or the beginning of the PAGA Period, whichever is later, and separation date or
3 the last day of the PAGA Period, whichever is earlier, based on the Class List provided by the
4 Defendant. Excluded are weeks covered by any previous individual settlement agreements and the
5 settlement agreement in the case entitled *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los
6 Angeles County Superior Court Case No. BC707664.

7 cc. "Preliminary Approval" means the date on which the Court enters the
8 Preliminary Approval Order.

9 dd. "Preliminary Approval Order" means the order granting preliminary approval
10 of the Settlement, in a form and content mutually agreed to by the Parties, and subject to approval by
11 the Court.

12 ee. "Released Class Claims" means any and all claims, debts, liabilities, demands,
13 obligations, guarantees, costs, expenses, attorneys' fees, damages, or causes of action which were
14 alleged or which could have been alleged based on the factual allegations in the Operative Complaint,
15 arising during the Class Period, under any federal, state, or local law, and shall specifically include
16 claims for Defendant's alleged failure to pay overtime and minimum wages, provide compliant meal
17 and rest periods and associated premium payments, timely pay wages during employment and upon
18 termination, provide accurate wage statements, and reimburse necessary business-related expenses in
19 violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1194,
20 1197, 1197.1, 1198, 2800, and 2802, and any other claims which were alleged or which could have
21 been alleged based on the factual allegations in the Operative Complaint, arising during the Class
22 Period, for failure to properly pay wages or compensate employees under the California Labor Code
23 or the applicable Industrial Welfare Commission Wage Order(s), and all claims for attorneys' fees and
24 costs and statutory interest in connection therewith, California Business and Professions Code sections
25 17200, *et seq.*, and any other claims, including claims for statutory penalties, pertaining to the Class
26 Members.

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1 ff. “Released PAGA Claims” means any and all claims arising from any of the
2 factual allegations in the PAGA Letter, arising during the PAGA Period, for civil penalties under the
3 Private Attorneys General Act of 2004, California Labor Code Sections 2698 *et seq.*, including all
4 claims for attorneys’ fees and costs related thereto, for Defendant’s alleged failure to pay overtime
5 and minimum wages, provide compliant meal and rest periods and associated premium payments,
6 timely pay wages during employment and upon termination, provide accurate wage statements,
7 maintain complete and accurate payroll records, and reimburse necessary business-related expenses
8 in violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1174(d),
9 1194, 1197, 1197.1, 1198, 2800, and 2802, and the applicable Industrial Welfare Commission Wage
10 Order(s), including *inter alia*, Wage Order 9-2001.

11 gg. “Released Parties” means Defendant and its current and former officers,
12 directors, members, insurers, shareholders, subsidiaries, affiliates, predecessors, successors, and
13 assigns.

14 hh. “Request for Exclusion” means a letter submitted by a Class Member indicating
15 a request to be excluded from the Class Settlement, which must: (a) contain the case name and number
16 of the Action; (b) contain the Class Member’s full name, signature, address, telephone number, and
17 last four (4) digits of the Class Member’s Social Security number; (c) clearly state that the Class
18 Member does not wish to be included in the Class Settlement; and (d) be returned by mail to the
19 Settlement Administrator at the specified address, postmarked on or before the Response Deadline.

20 ii. “Response Deadline” means the deadline by which Class Members must submit
21 a Request for Exclusion, Notice of Objection, and/or Workweeks Dispute, which shall be the date that
22 is forty-five (45) calendar days from the initial mailing of the Class Notice by the Settlement
23 Administrator to Class Members, unless the 45th day falls on a Sunday or Federal holiday, in which
24 case the Response Deadline will be extended to the next day on which the United States Postal service
25 is open. The Response Deadline may also be extended by express agreement between Class Counsel
26 and Defendant’s Counsel. Under no circumstances, however, will the Settlement Administrator have
27 the authority to extend the Response Deadline. In the event that a Class Notice is re-mailed to a Class
28 Member, the Response Deadline for that Class Member shall be extended fifteen (15) calendar days

1 from the original Response Deadline.

2 jj. “Settlement Administrator” means CPT Group, Inc., or any other third-party
3 class action settlement administrator agreed to by the Parties and approved by the Court for purposes
4 of administering the Settlement. The Parties and their counsel each represent that they do not have
5 any financial interest in the Settlement Administrator or otherwise have a relationship with the
6 Settlement Administrator that could create a conflict of interest.

7 kk. “Settlement Administration Costs” means the costs payable from the Gross
8 Settlement Amount to the Settlement Administrator for administering the Settlement, as set forth in
9 Paragraph 12.

10 ll. “Settlement Class” or “Settlement Class Member(s)” means all Class Members
11 who do not submit a timely and valid Request for Exclusion.

12 mm. “Workweeks” means the number of weeks each Class Member worked for
13 Defendant as a non-exempt employee in California during the Class Period. In order to be counted as
14 a Workweek, the Class Member must have worked at least one day in that week. Workweeks will be
15 calculated by the Settlement Administrator based on each Class Member’s start date or the beginning
16 of the Class Period, whichever is later, and separation date or the last day of the Class Period,
17 whichever is earlier, based on the Class List provided by the Defendant. Excluded are weeks covered
18 by any previous individual settlement agreements and the settlement agreement in the case entitled
19 *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No.
20 BC707664.

21 nn. “Workweeks Dispute” means a letter submitted by a Class Member and/or
22 PAGA Employee disputing the number of Workweeks and/or PAGA Workweeks to which they have
23 been credited, which must: (a) contain the case name and number of the Action; (b) contain the Class
24 Member and/or PAGA Employee’s full name, signature, address, telephone number, and the last four
25 (4) digits of the Class Member and/or PAGA Employee’s Social Security number; (c) clearly state
26 that the Class Member and/or PAGA Employee disputes the number of Workweeks and/or PAGA
27 Workweeks credited to the Class Member and/or PAGA Employee and what the Class Member and/or
28 PAGA Employee contends is the correct number; and (d) be returned by mail to the Settlement

1 Administrator at the specified address, postmarked on or before the Response Deadline.

2 **CLASS CERTIFICATION**

3 7. For the purposes of this Settlement only, the Parties stipulate to the certification of the
4 Class.

5 8. The Parties agree that certification for the purpose of settlement is not an admission
6 that certification is proper under Section 382 of the California Code of Civil Procedure. Should, for
7 whatever reason, the Court not grant Final Approval, the Parties' stipulation to class certification as
8 part of the Settlement shall become null and void ab initio and shall have no bearing on, and shall not
9 be admissible in connection with, the issue of whether or not certification would be inappropriate in a
10 non-settlement context.

11 **TERMS OF THE AGREEMENT**

12 NOW, THEREFORE, in consideration of the mutual covenants, promises, and agreements set
13 forth herein, the Parties agree, subject to the Court's approval, as follows:

14 9. Attorneys' Fees and Costs. Defendant agrees not to oppose or impede any application
15 or motion by Class Counsel for attorneys' fees in the amount up to one-third (1/3) of the Gross
16 Settlement Amount (i.e., \$333,333.33) and reimbursement of actual costs and expenses associated
17 with Class Counsel's litigation and settlement of the Action, in an amount not to exceed Thirty
18 Thousand Dollars and Zero Cents (\$30,000.00), both of which will be paid from the Gross Settlement
19 Amount. These amounts will cover any and all work performed and any and all costs incurred by
20 Class Counsel in connection with the litigation of the Action, including without limitation all work
21 performed and costs incurred to date, and all work to be performed and all costs to be incurred in
22 connection with obtaining the Court's approval of this Settlement Agreement, including any objections
23 raised and any appeals necessitated by those objections. Class Counsel shall be solely and legally
24 responsible for correctly characterizing this compensation for tax purposes and for paying any taxes
25 on the amounts received. The Settlement Administrator shall issue an IRS Form 1099 to Class Counsel
26 for the Attorneys' Fees and Costs. Any portion of the requested Attorneys' Fees and Costs that is not
27 awarded by the Court to Class Counsel shall be reallocated to the Net Settlement Amount for the
28 benefit of the Settlement Class Members.

1 10. Enhancement Payment. Defendant agrees not to oppose or impede any application or
2 motion by Plaintiff for an Enhancement Payment in the amount up to Five Thousand Dollars and Zero
3 Cents (\$5,000.00). The Enhancement Payment, which will be paid from the Gross Settlement
4 Amount, subject to Court approval, will be in addition to his Individual Settlement Payment as a
5 Settlement Class Member and Individual PAGA Payment as a PAGA Employee. Plaintiff shall be
6 solely and legally responsible for correctly characterizing this compensation for tax purposes and for
7 paying any taxes on the amounts received. The Settlement Administrator shall issue an IRS Form
8 1099 to Plaintiff for the Enhancement Payment. Any portion of the requested Enhancement Payment
9 that is not awarded by the Court to Plaintiff shall be reallocated to the Net Settlement Amount for the
10 benefit of the Settlement Class Members.

11 11. PAGA Amount. Subject to approval by the Court, the Parties agree that the amount of
12 One Hundred Thousand Dollars and Zero Cents (\$100,000.00) shall be allocated from the Gross
13 Settlement Amount toward penalties under the Private Attorneys General Act, California Labor Code
14 Section 2698, *et seq.* (i.e., the PAGA Amount), of which seventy-five percent (75%), or \$75,000.00,
15 will be paid to the LWDA (i.e., the LWDA Payment) and twenty-five percent (25%), or \$25,000.00,
16 will be distributed to PAGA Employees (i.e., the PAGA Employee Amount) on a *pro rata* basis, based
17 on the total number of PAGA Workweeks worked by each PAGA Employee during the PAGA Period
18 (i.e., the Individual PAGA Payments).

19 12. Settlement Administration Costs. The Settlement Administrator will be paid for the
20 reasonable costs of administration of the Settlement and distribution of payments under the Settlement,
21 which are currently not to exceed Thirteen Thousand Dollars and Zero Cents (\$13,000.00). These
22 costs, which will be paid from the Gross Settlement Amount, subject to Court approval, will include,
23 *inter alia*, translating the Class Notice to Spanish, printing, distributing, and tracking Class Notices
24 and other documents for the Settlement, calculating and distributing payments due under the
25 Settlement, issuing of 1099 and W-2 IRS Forms and all required tax reporting, filings, withholdings,
26 and remittances, providing necessary reports and declarations, and other duties and responsibilities set
27 forth herein to process the Settlement, and as requested by the Parties. To the extent the actual
28 Settlement Administrator's costs are greater than the estimated amount stated herein, such excess

amount will be deducted from the Gross Settlement Amount, subject to approval by the Court. Any portion of the estimated, designated, and/or awarded Settlement Administration Costs which are not in fact required to fulfill payment to the Settlement Administrator to undertake the required settlement administration duties shall be reallocated to the Net Settlement Amount for the benefit of the Settlement Class Members.

13. Individual Settlement Share Calculations. Individual Settlement Shares will be calculated and apportioned from the Net Settlement Amount based on the Class Members' number of Workweeks, as follows:

a. After Preliminary Approval, the Settlement Administrator will divide the Net Settlement Amount by the Workweeks of all Class Members to yield the "Estimated Workweek Value," and multiply each Class Member's individual Workweeks by the Estimated Workweek Value to yield each Class Member's estimated Individual Settlement Share that each Class Member may be entitled to receive under the Class Settlement.

b. After Final Approval, the Settlement Administrator will divide the final Net Settlement Amount by the Workweeks of all Settlement Class Members to yield the "Final Workweek Value," and multiply each Settlement Class Member's individual Workweeks by the Final Workweek Value to each Settlement Class Member's final Individual Settlement Share.

14. Individual PAGA Payment Calculations. Individual PAGA Payments will be calculated and apportioned from the PAGA Employee Amount based on the PAGA Employees' number of PAGA Workweeks, as follows: The Settlement Administrator will divide the PAGA Employee Amount, i.e., 25% of the PAGA Amount, by the PAGA Workweeks of all PAGA Employees to yield the "PAGA Workweek Value," and multiply each PAGA Employee's individual PAGA Workweeks by the PAGA Workweek Value to yield each PAGA Employee's Individual PAGA Payment.

15. Tax Treatment of Individual Settlement Shares and Individual PAGA Payments. Each Individual Settlement Share will be allocated as follows: twenty percent (20%) wages and eighty percent (80%) penalties, interest, and non-wage damages. The portion allocated to wages will be reported on an IRS Form W-2 and the portions allocated to penalties, interest, and non-wage damages

will be reported on an IRS Form 1099 (if applicable) by the Settlement Administrator. The Settlement Administrator will withhold the employee's share of taxes and withholdings with respect to the wages portion of the Individual Settlement Shares, and issue checks to Settlement Class Members for their Individual Settlement Payments (i.e., payment of their Individual Settlement Share net of these taxes and withholdings). The Employer Taxes will be paid separately and in addition to the Gross Settlement Amount. Each Individual PAGA Payment will be allocated as one hundred percent (100%) penalties and will be reported on an IRS Form 1099 (if applicable) by the Settlement Administrator.

16. Administration of Taxes by the Settlement Administrator. The Settlement Administrator will be responsible for issuing to Plaintiff, Settlement Class Members, PAGA Employees, and Class Counsel any tax forms (i.e., IRS Forms W-2, IRS Forms 1099, etc.) as may be required by law for all amounts paid pursuant to this Settlement Agreement. The Settlement Administrator will also be responsible for calculating the Employer Taxes and forwarding all payroll taxes and other legally required withholdings to the appropriate government authorities.

17. Tax Liability. Plaintiff, Class Counsel, Defendant, and Defendant's Counsel do not intend anything contained in this Settlement Agreement to constitute advice regarding taxes or taxability, nor shall anything in this Settlement Agreement be relied on as such. Plaintiff, Settlement Class Members, and PAGA Employees are not relying on any statement, representation, or calculation by Defendant, the Settlement Administrator, or Class Counsel in this regard. Plaintiff, Settlement Class Members, and PAGA Employees understand and agree that Plaintiff, Settlement Class Members, and PAGA Employees will be solely responsible for the payment of any taxes and penalties assessed on the payments described in this Settlement Agreement. Plaintiff, Settlement Class Members, and PAGA Employees should consult with their tax advisors concerning the tax consequences of any payment they receive under the Settlement.

18. Circular 230 Disclaimer. EACH PARTY TO THIS SETTLEMENT AGREEMENT (FOR PURPOSES OF THIS SECTION, THE "ACKNOWLEDGING PARTY" AND EACH PARTY TO THIS SETTLEMENT AGREEMENT OTHER THAN THE ACKNOWLEDGING PARTY, AN "OTHER PARTY") ACKNOWLEDGES AND AGREES THAT (1) NO PROVISION OF THIS SETTLEMENT AGREEMENT, AND NO WRITTEN COMMUNICATION OR DISCLOSURE

1 BETWEEN OR AMONG THE PARTIES OR THEIR ATTORNEYS AND OTHER ADVISERS, IS
2 OR WAS INTENDED TO BE, NOR WILL ANY SUCH COMMUNICATION OR DISCLOSURE
3 CONSTITUTE OR BE CONSTRUED OR BE RELIED UPON AS, TAX ADVICE WITHIN THE
4 MEANING OF UNITED STATES TREASURY DEPARTMENT CIRCULAR 230 (31 CFR PART
5 10, AS AMENDED); (2) THE ACKNOWLEDGING PARTY (A) HAS RELIED EXCLUSIVELY
6 UPON HIS, HER, OR ITS OWN, INDEPENDENT LEGAL AND TAX COUNSEL FOR ADVICE
7 (INCLUDING TAX ADVICE) IN CONNECTION WITH THIS SETTLEMENT AGREEMENT, (B)
8 HAS NOT ENTERED INTO THIS SETTLEMENT AGREEMENT BASED UPON THE
9 RECOMMENDATION OF ANY OTHER PARTY OR ANY ATTORNEY OR ADVISOR TO ANY
10 OTHER PARTY, AND (C) IS NOT ENTITLED TO RELY UPON ANY COMMUNICATION OR
11 DISCLOSURE BY ANY ATTORNEY OR ADVISOR TO ANY OTHER PARTY TO AVOID ANY
12 TAX PENALTY THAT MAY BE IMPOSED ON THE ACKNOWLEDGING PARTY; AND (3) NO
13 ATTORNEY OR ADVISOR TO ANY OTHER PARTY HAS IMPOSED ANY LIMITATION THAT
14 PROTECTS THE CONFIDENTIALITY OF ANY SUCH ATTORNEY'S OR ADVISOR'S TAX
15 STRATEGIES (REGARDLESS OF WHETHER SUCH LIMITATION IS LEGALLY BINDING)
16 UPON DISCLOSURE BY THE ACKNOWLEDGING PARTY OF THE TAX TREATMENT OR
17 TAX STRUCTURE OF ANY TRANSACTION, INCLUDING ANY TRANSACTION
18 CONTEMPLATED BY THIS SETTLEMENT AGREEMENT.

19 19. Settlement Awards Do Not Trigger Additional Benefits. All payments made under the
20 Settlement shall be deemed to be paid to the payee solely in the year in which such payments actually
21 are issued to the payee. It is expressly understood and agreed that payments made under this
22 Settlement shall not in any way entitle Plaintiff, Settlement Class Members, or any PAGA Employee
23 to additional compensation or benefits under any new or additional compensation or benefits, or any
24 bonus, contest, or other compensation or benefit plan or agreement in place during the Class Period,
25 nor will it entitle Plaintiff, Settlement Class Members, or any PAGA Employee to any increased
26 retirement, 401K benefits or matching benefits, or deferred compensation benefits (notwithstanding
27 any contrary language or agreement in any benefit or compensation plan document that might have
28 been in effect during the Class Period).

1 20. Duties of the Parties with Respect to Obtaining Preliminary Approval of the Settlement.

2 Upon execution of this Settlement Agreement, Plaintiff will obtain a hearing date from the Court for
3 Plaintiff's motion for preliminary approval of the Settlement, which Plaintiff and Class Counsel will
4 be responsible for drafting, and submit this Settlement Agreement to the Court in support of said
5 motion. Class Counsel will provide Defendant's Counsel a draft of the preliminary approval motion
6 before filing it with the Court. Defendant agrees not to oppose the motion for preliminary approval
7 of the Settlement consistent with this Settlement Agreement. By way of said motion, Plaintiff will
8 apply for the entry of the Preliminary Approval Order seeking the following:

- 9 a. Conditionally certifying the Class for settlement purposes only;
- 10 b. Granting Preliminary Approval of the Settlement;
- 11 c. Preliminarily appointing Plaintiff as the representative of the Class;
- 12 d. Preliminarily appointing Class Counsel as counsel for the Class;
- 13 e. Approving as to form and content, the mutually-agreed upon and proposed
14 Class Notice and directing its mailing by First Class U.S. Mail;
- 15 f. Approving the manner and method for Class Members to request exclusion
16 from or object to the Class Settlement as contained herein and within the Class Notice;
- 17 g. Scheduling a Final Approval Hearing at which the Court will determine whether
18 Final Approval of the Settlement should be granted.

19 21. Notice of Settlement to the LWDA. Pursuant to California Labor Code § 2699(1)(2),
20 Class Counsel shall notify the LWDA of the Settlement upon filing the motion for preliminary
21 approval of the Settlement.

22 22. Delivery of Class List. Within fourteen (14) calendar days of Preliminary Approval,
23 Defendant will provide the Class List to the Settlement Administrator.

24 23. Notice by First-Class U.S. Mail.

- 25 a. Within seven (7) calendar days after receiving the Class List from Defendant,
26 the Settlement Administrator will perform a search based on the National Change of Address Database
27 or any other similar services available, such as provided by Experian, for information to update and
28 correct for any known or identifiable address changes, and will mail a Class Notice and PAGA

1 Employees in English and Spanish (in the form attached as **Exhibit A** to this Settlement Agreement)
2 to all Class Members via First-Class U.S. Mail, using the most current, known mailing addresses
3 identified by the Settlement Administrator.

4 b. Any Class Notice returned to the Settlement Administrator as undeliverable on
5 or before the Response Deadline will be sent promptly via First-Class U.S. Mail to the forwarding
6 address affixed thereto and the Settlement Administrator will indicate the date of such re-mailing on
7 the Class Notice. If no forwarding address is provided, the Settlement Administrator will promptly
8 attempt to determine the correct address using a skip-trace or other search, using the name, address,
9 and/or Social Security number of the Class Member and/or PAGA Employee, and perform a single
10 re-mailing within five (5) calendar days.

11 c. Compliance with the procedures described herein above shall constitute due and
12 sufficient notice to Class Members of the Settlement and shall satisfy the requirements of due process.
13 Nothing else shall be required of or done by the Parties, Class Counsel, or Defendant's Counsel to
14 provide notice of the Settlement.

15 24. Disputes Regarding Workweeks and/or PAGA Workweeks. Class Members and
16 PAGA Employees will have an opportunity to dispute the number of Workweeks and/or PAGA
17 Workweeks to which they have been credited, as reflected in their respective Class Notices, by
18 submitting a timely and valid Workweeks Dispute to the Settlement Administrator, by mail,
19 postmarked on or before the Response Deadline. The date of the postmark on the return mailing
20 envelope will be the exclusive means to determine whether a Workweeks Dispute has been timely
21 submitted. Absent evidence rebutting the accuracy of Defendant's records and data as they pertain to
22 the number of Workweeks and/or PAGA Workweeks to be credited to a disputing Class Member
23 and/or PAGA Employee, Defendant's records will be presumed to be correct and determinative of the
24 dispute. However, if a Class Member and/or PAGA Employee produces information and/or
25 documents to the contrary, the Settlement Administrator will evaluate the materials submitted by the
26 Class Member and/or PAGA Employee and the Settlement Administrator will resolve and determine
27 the number of eligible Workweeks and/or PAGA Workweeks that the disputing Class Member and/or
28 PAGA Employee should be credited with under the Settlement. The Settlement Administrator's

1 decision on such disputes will be final and non-appealable.

2 25. Requesting Exclusion from the Class Settlement. Any Class Member wishing to be
3 excluded from the Class Settlement must submit a timely and valid Request for Exclusion to the
4 Settlement Administrator, by mail, postmarked on or before the Response Deadline. The date of the
5 postmark on the return mailing envelope will be the exclusive means to determine whether a Request
6 for Exclusion has been timely submitted. The Settlement Administrator will certify jointly to Class
7 Counsel and Defendant's Counsel the number of timely and valid Requests for Exclusion that are
8 submitted, and also identify the individuals who have submitted a timely and valid Request for
9 Exclusion in a declaration that is to be filed with the Court in advance of the Final Approval Hearing.
10 At no time will any of the Parties or their counsel seek to solicit or otherwise encourage Class Members
11 to request exclusion from the Class Settlement. Any Class Member who submits a Request for
12 Exclusion is prohibited from making any objection to the Class Settlement. Any Class Member who
13 submits a timely and valid Request for Exclusion will not be bound by the Class Settlement and will
14 not be issued an Individual Settlement Payment. Any Class Member who does not affirmatively
15 request exclusion from the Class Settlement by submitting a timely and valid Request for Exclusion
16 will be bound by all of the terms of the Class Settlement, including and not limited to those pertaining
17 to the Released Class Claims, as well as any judgment that may be entered by the Court if it grants
18 Final Approval to the Settlement. Notwithstanding the above, all PAGA Employees will be bound to
19 the PAGA Settlement and will be issued their Individual PAGA Payment, irrespective of whether they
20 submit a Request for Exclusion.

21 26. Objecting to the Class Settlement. To object to the Class Settlement, Settlement Class
22 Members must submit a timely and complete Notice of Objection to the Settlement Administrator, by
23 mail, postmarked on or before the Response Deadline. The date of the postmark on the return mailing
24 envelope will be the exclusive means to determine whether a Notice of Objection has been timely
25 submitted. The Settlement Administrator will certify jointly to Class Counsel and Defendant's
26 Counsel the number of Notices of Objection that are submitted (specifying which ones were timely
27 and complete and which were not), and also attach them to a declaration that is to be filed with the
28 Court in advance of the Final Approval Hearing. At no time will any of the Parties or their counsel

1 seek to solicit or otherwise encourage Settlement Class Members to object to the Class Settlement or
2 appeal from the Final Approval Order and Judgment. Settlement Class Members, individually or
3 through counsel, may also present their objection orally at the Final Approval Hearing, regardless of
4 whether they have submitted a Notice of Objection.

5 27. Reports by the Settlement Administrator. The Settlement Administrator shall provide
6 weekly reports to counsel for the Parties providing: (a) the number of undeliverable and re-mailed
7 Class Notices; (ii) the number of Class Members and PAGA Employees who have submitted
8 Workweeks Disputes; (iii) the number of Class Members who have submitted Requests for Exclusion;
9 and (iv) the number of Settlement Class Members who have submitted Notices of Objection.
10 Additionally, the Settlement Administrator will provide to counsel for the Parties any updated reports
11 regarding the administration of the Settlement Agreement as needed or requested, and immediately
12 notify the Parties when it receives a request from an individual or any other entity regarding inclusion
13 in the Class and/or Settlement or regarding a Workweeks Dispute.

14 28. Defendant's Right to Rescind. If more than ten percent (10%) of the Class Members
15 submit timely and valid Requests for Exclusion, Defendant may elect to rescind the Settlement
16 Agreement. Defendant must exercise this right of rescission in writing that is provided to Class
17 Counsel within fourteen (14) calendar days of the Settlement Administrator notifying the Parties of
18 the number of Class Members who have submitted timely and valid Requests for Exclusion following
19 the Response Deadline. If Defendant exercises this option, Defendant shall pay any costs of settlement
20 administration owed to the Settlement Administrator incurred up to that date.

21 29. Certification of Completion. Upon completion of administration of the Settlement, the
22 Settlement Administrator will provide a written declaration under oath to certify such completion to
23 the Court and counsel for all Parties.

24 30. Duties of the Parties with Respect to Obtaining Final Approval of the Settlement. After
25 the Response Deadline, a Final Approval Hearing will be conducted to determine whether Final
26 Approval of the Settlement should be granted, along with the amounts properly payable for: (a)
27 Individual Settlement Shares; (b) Individual PAGA Payments; (c) LWDA Payment; (d) Attorneys'
28 Fees and Costs; (e) Enhancement Payment; and (f) Settlement Administration Costs. The Final

Approval Hearing will not be held earlier than thirty (30) calendar days after the Response Deadline. Plaintiff and Class Counsel will be responsible for drafting the motion seeking Final Approval of the Settlement. Class Counsel will provide Defendant's Counsel a draft of the final approval motion before filing it with the Court. By way of said motion, Plaintiff will apply for the entry of the Final Approval Order and Judgment, which will provide for, in substantial part, the following:

- a. Approval of the Settlement as fair, reasonable, and adequate, and directing consummation of its terms and provisions;
- b. Certification of the Settlement Class;
- c. Approval of the application for Attorneys' Fees and Costs to Class Counsel;
- d. Approval of the application for Enhancement Payment to Plaintiff;
- e. Directing Defendant to fund all amounts due under the Settlement Agreement and ordered by the Court; and
- f. Entering judgment in the Action, while maintaining continuing jurisdiction, in conformity with California Rules of Court 3.769 and the Settlement Agreement.

31. Funding of the Gross Settlement Amount. No later than ten (10) business days after the Effective Date, Defendant will deposit the Gross Settlement Amount into a Qualified Settlement Fund ("QSF") within the meaning of Treasury Regulation Section 1.468B-1, *et seq.*, to be established by the Settlement Administrator. Defendant shall provide all information necessary for the Settlement Administrator to calculate necessary payroll taxes including its official name, 8-digit state unemployment insurance tax ID number, and other information requested by the Settlement Administrator, no later than ten (10) business days after the Effective Date.

32. Distribution of the Gross Settlement Amount. Within five (5) business days of the funding of the Gross Settlement Amount, the Settlement Administrator will issue the Individual Settlement Payments to Settlement Class Members, Individual PAGA Payments to PAGA Employees, LWDA Payment to the LWDA, Enhancement Payment to Plaintiff, Attorneys' Fees and Costs to Class Counsel, and Settlement Administration Costs to itself. The Settlement Administrator shall also set aside the Employer Taxes and all employee-side payroll taxes, contributions, and withholding, and timely forward these to the appropriate government authorities.

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1 33. Settlement Checks. The Settlement Administrator will be responsible for undertaking
2 appropriate deductions, required tax reporting, and issuing the Individual Settlement Payments by way
3 of check to the Settlement Class Members and the Individual PAGA Payments by way of check to the
4 PAGA Employees in accordance with this Settlement Agreement. When issuing payments, the
5 Settlement Administrator may combine the Individual Settlement Payment and Individual PAGA
6 Payment into one check if the intended recipient for both payments is one individual. Settlement Class
7 Members and PAGA Employees are not required to submit a claim to be issued an Individual
8 Settlement Payment and/or Individual PAGA Payment. Each Individual Settlement Payment and
9 Individual PAGA Payment check will be valid and negotiable for one hundred and eighty (180)
10 calendar days from the date the checks are issued, and thereafter, shall be canceled. Any funds
11 associated with such canceled checks shall be distributed by the Settlement Administrator to the State
12 of California's Unclaimed Property Fund in the name of the Settlement Class Member and/or PAGA
13 Employee. The Parties agree that this disposition results in no "unpaid residue" under California Civil
14 Procedure Code § 384, as the entire Net Settlement Amount will be paid out to Settlement Class
15 Members, whether or not they cash their settlement checks. Therefore, Defendant will not be required
16 to pay any interest on such amounts. The Settlement Administrator shall undertake amended and/or
17 supplemental tax filings and reporting required under applicable local, state, and federal tax laws that
18 are necessitated due to the cancelation of any Individual Settlement Payment and/or Individual PAGA
19 Payment checks. Settlement Class Members whose Individual Settlement Payment checks are
20 canceled shall, nevertheless, be bound by the Class Settlement, and PAGA Employees whose
21 Individual PAGA Payment checks are cancelled shall, nevertheless, be bound by the PAGA
22 Settlement.

23 34. Class Settlement Release. Upon the full funding of the Gross Settlement Amount,
24 Plaintiff and all Settlement Class Members will be deemed to have fully, finally, and forever released,
25 settled, compromised, relinquished, and discharged the Released Parties of all Released Class Claims.

26 35. PAGA Settlement Release. Upon the full funding of the Gross Settlement Amount,
27 Plaintiff, the State of California with respect to all PAGA Employees, and all PAGA Employees will
28 be deemed to have fully, finally, and forever released, settled, compromised, relinquished, and

1 discharged the Released Parties of all Released PAGA Claims.

2 36. Plaintiff's General Release. Upon the full funding of the Gross Settlement Amount,
3 Plaintiff, individually and on his own behalf, will be deemed to have fully, finally, and forever
4 released, settled, compromised, relinquished, and discharged the Released Parties from any and all
5 claims, debts, liabilities, demands, obligations, guarantees, costs, expenses, attorneys' fees, damages,
6 or causes of action of any kind or nature whatsoever, known or unknown, suspected or unsuspected,
7 asserted or unasserted, which Plaintiff, at any time of execution of this Settlement Agreement, had or
8 claimed to have or may have, including but not limited to any and all claims arising out of, relating to,
9 or resulting from his employment and/or separation of employment with the Released Parties,
10 including any claims arising under any federal, state, or local law, statute, ordinance, rule, or regulation
11 or Executive Order relating to employment, including, but in no way limited to, any claim under Title
12 VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 1981; the Americans with Disabilities
13 Act; the Family and Medical Leave Act; the Employee Retirement Income Security Act; the California
14 Family Rights Act; the California Fair Employment and Housing Act; all claims for wages or penalties
15 under the Fair Labor Standards Act; all claims for wages or penalties under the California Labor Code;
16 Business and Professions Code sections 17200 *et seq.*; all laws relating to violation of public policy,
17 retaliation, or interference with legal rights; any and all other employment or discrimination laws;
18 whistleblower claims; any tort, fraud, or constitutional claims; and any breach of contract claims or
19 claims of promissory estoppel. It is agreed that this is a general release and is to be broadly construed
20 as a release of all claims, provided that, notwithstanding the foregoing, this Paragraph expressly does
21 not include a release of any claims that cannot be released hereunder by law. Plaintiff understands
22 and expressly agrees that this Settlement Agreement extends to claims that he has against Defendant,
23 of whatever nature and kind, known or unknown, suspected or unsuspected, vested or contingent, past,
24 present, or future, arising from or attributable to an incident or event, occurring in whole or in part, on
25 or before the execution of this Settlement Agreement. Any and all rights granted under any state or
26 federal law or regulation limiting the effect of this Settlement Agreement, including the provisions of
27 Section 1542 of the California Civil Code, ARE HEREBY EXPRESSLY WAIVED. Section 1542 of
28 the California Civil Code reads as follows:

1 **A GENERAL RELEASE DOES NOT EXTEND TO CLAIMS THAT THE CREDITOR**
2 **OR RELEASING PARTY DOES NOT KNOW OR SUSPECT TO EXIST IN HIS OR HER**
3 **FAVOR AT THE TIME OF EXECUTING THE RELEASE AND THAT, IF KNOWN BY HIM**
4 **OR HER, WOULD HAVE MATERIALLY AFFECTED HIS OR HER SETTLEMENT WITH**
5 **THE DEBTOR OR RELEASED PARTY.**

6 37. Final Approval Order and Judgment. The Parties shall provide the Settlement
7 Administrator with a copy of the Final Approval Order and Judgment once it is entered by the Court,
8 and the Settlement Administrator shall post the Final Approval Order and Judgment on its website for
9 sixty (60) calendar days. No individualized notice of the Final Approval Order and Judgment to the
10 Class will be required.

11 38. Continued Jurisdiction. After entry of the judgment pursuant to the Settlement, the
12 Court will have continuing jurisdiction pursuant to Rule 3.769 of the California Rules of Court and
13 Section 664.6 of the California Code of Civil Procedure, for purposes of addressing: (a) the
14 interpretation and enforcement of the terms of the Settlement, (b) settlement administration matters,
15 and (c) such post-judgment matters as may be appropriate under court rules or as set forth in this
16 Settlement Agreement.

17 39. Effects of Termination or Rescission of Settlement. Termination or rescission of the
18 Settlement Agreement shall have the following effects:

19 a. The Settlement Agreement shall be void and shall have no force or effect, and
20 no Party shall be bound by any of its terms;

21 b. In the event the Settlement Agreement is terminated, Defendant shall have no
22 obligation to make any payments to any Party, Class Member, or attorney, except that the terminating
23 Party shall pay the Settlement Administrator for services rendered up to the date the Settlement
24 Administrator is notified that the Settlement has been terminated;

25 c. The Preliminary Approval Order, Final Approval Order and Judgment,
26 including any order certifying the Class, shall be vacated;

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1 d. The Settlement Agreement and all negotiations, statements, and proceedings
2 relating thereto shall be without prejudice to the rights of any of the Parties, all of whom shall be
3 restored to their respective positions in the Action prior to the execution of the Settlement Agreement;

4 e. Neither this Settlement Agreement, nor any ancillary documents, actions,
5 statements, or filings in furtherance of the Settlement (including all matters associated with the
6 mediation) shall be admissible or offered into evidence in the Action or any other action for any
7 purpose whatsoever; and

8 f. Any documents generated to bring the Settlement into effect, will be null and
9 void, and any order or judgment entered by the Court in furtherance of this Settlement Agreement will
10 likewise be treated as void from the beginning.

11 40. No Prior Assignments. The Parties and their counsel represent, covenant, and warrant
12 that they have not directly or indirectly assigned, transferred, encumbered, or purported to assign,
13 transfer, or encumber to any person or entity any portion of any liability, claim, demand, action, cause
14 of action or right herein released and discharged.

15 41. Exhibits Incorporated by Reference. The terms of this Settlement include the terms set
16 forth in any attached exhibits, which are incorporated by this reference as though fully set forth herein.
17 Any exhibits to this Settlement Agreement are an integral part of the Settlement.

18 42. Entire Agreement. This Settlement Agreement and any attached exhibits constitute the
19 entirety of the Parties' agreement relating to the settlement and transaction completed thereby, and all
20 prior or contemporaneous agreements, understandings, representations, and statements, whether oral
21 or written and whether by a Party or such Party's legal counsel, are merged herein. No other prior or
22 contemporaneous written or oral agreements may be deemed binding on the Parties. The Parties
23 expressly recognize California Civil Code § 1625 and California Code of Civil Procedure § 1856(a),
24 which provide that a written agreement is to be construed according to its terms and may not be varied
25 or contradicted by extrinsic evidence, and the Parties agree that no such extrinsic oral or written
26 representations or terms will modify, vary, or contradict the terms of this Settlement Agreement.

27 43. Interim Stay of Proceedings. The Parties agree to hold in abeyance all proceedings in
28 the Action (including with respect to California Code of Civil Procedure § 583.310), except such
proceedings necessary to implement and complete this Settlement Agreement, pending the Final

1 Approval Hearing to be conducted by the Court.

2 44. Amendment or Modification. Prior to the filing of the motion for preliminary approval
3 of the Settlement, the Parties may not amend or modify any provision of this Settlement Agreement
4 except by written agreement signed by counsel for all Parties. After the filing of the motion for
5 preliminary approval of the Settlement, the Parties may not amend or modify any provision of this
6 Settlement Agreement except by written agreement signed by counsel for all the Parties and subject
7 to Court approval. A waiver or amendment of any provision of this Settlement Agreement will not
8 constitute a waiver of any other provision.

9 45. Authorization to Enter into Settlement Agreement. Counsel for all Parties warrant and
10 represent they are expressly authorized by the Parties whom they represent to negotiate this Settlement
11 Agreement and to take all appropriate action required or permitted to be taken by such Parties pursuant
12 to this Settlement Agreement to effectuate its terms and to execute any other documents required to
13 effectuate the terms of this Settlement Agreement. The Parties warrant that they understand and have
14 full authority to enter into this Settlement Agreement, and further intend that this Settlement
15 Agreement will be fully enforceable and binding on all Parties, and agree that it will be admissible
16 and subject to disclosure in any proceeding to enforce its terms, notwithstanding any mediation
17 confidentiality provisions that otherwise might apply under state or federal law.

18 46. Signatories. It is agreed that because the members of the Class are so numerous, it is
19 impossible or impractical to have each Settlement Class Member or PAGA Employee execute this
20 Settlement Agreement. The Class Notice will advise all Class Members of the binding nature of the
21 Class Settlement as to the Settlement Class Members and the binding nature of the PAGA Settlement
22 as to the PAGA Employees, and the releases provided for by this Settlement Agreement shall have
23 the same force and effect as if this Settlement Agreement were executed by each Settlement Class
24 Member and PAGA Employee.

25 47. Binding on Successors and Assigns. This Settlement Agreement will be binding upon,
26 and inure to the benefit of, the successors or assigns of the Parties hereto, as previously defined.

27 48. California Law Governs. All terms of this Settlement Agreement and attached exhibits
28 hereto will be governed by and interpreted according to the laws of the State of California.

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1 49. Execution and Counterparts. This Settlement Agreement is subject only to the
2 execution of all Parties. However, this Settlement Agreement may be executed in one or more
3 counterparts. All executed counterparts and each of them, including facsimile, electronic, and scanned
4 copies of the signature page, will be deemed to be one and the same instrument.

5 50. Acknowledgement that the Settlement is Fair and Reasonable. The Parties believe this
6 Settlement Agreement is a fair, adequate, and reasonable settlement of the Action and have arrived at
7 this Settlement after arm's length negotiations and in the context of adversarial litigation, taking into
8 account all relevant factors, present and potential. The Parties further acknowledge that they are each
9 represented by competent counsel and that they have had an opportunity to consult with their counsel
10 regarding the fairness and reasonableness of this Settlement Agreement. In addition, if necessary to
11 obtain approval of the Settlement, the Mediator may execute a declaration supporting the Settlement
12 and the reasonableness of the Settlement and the Court may, in its discretion, contact the Mediator to
13 discuss the Settlement and whether or not the Settlement is objectively fair and reasonable.

14 51. Invalidity of Any Provision. Before declaring any provision of this Settlement
15 Agreement invalid, the Court will first attempt to construe the provision as valid to the fullest extent
16 possible consistent with applicable precedents so as to define all provisions of this Settlement
17 Agreement valid and enforceable.

18 52. Plaintiff's Cooperation. Plaintiff agrees to sign this Settlement Agreement and, by
19 signing this Settlement Agreement, is hereby bound by the terms herein and agrees to fully cooperate
20 to implement the Settlement.

21 53. Non-Admission of Liability. The Parties enter into this Settlement Agreement to
22 resolve the dispute that has arisen between them and to avoid the burden, expense, and risk of
23 continued litigation. In entering into this Settlement Agreement, Defendant does not admit, and
24 specifically denies, it has violated any federal, state, or local law; violated any regulations or guidelines
25 promulgated pursuant to any statute or any other applicable laws, regulations, or legal requirements;
26 breached any contract; violated or breached any duty; engaged in any misrepresentation or deception;
27 or engaged in any other unlawful conduct with respect to its employees. Neither this Settlement
28 Agreement, nor any of its terms or provisions, nor any of the negotiations connected with it, shall be

1 construed as an admission or concession by Defendant of any such violations or failures to comply
2 with any applicable law. Except as necessary in a proceeding to enforce the terms of this Settlement
3 Agreement, this Settlement Agreement and its terms and provisions shall not be offered or received
4 as evidence in any action or proceeding to establish any liability or admission on the part of Defendant
5 or to establish the existence of any condition constituting a violation of, or a non-compliance with,
6 federal, state, local or other applicable law.

7 54. Captions. The captions and paragraph numbers in this Settlement Agreement are
8 inserted for the reader's convenience, and in no way define, limit, construe, or describe the scope or
9 intent of the provisions of this Settlement Agreement.

10 55. Mutual Preparation. The Parties have had a full opportunity to negotiate the terms and
11 conditions of this Settlement Agreement. Accordingly, this Settlement Agreement will not be
12 construed more strictly against one Party than another merely by virtue of the fact that it may have
13 been prepared by counsel for one of the Parties, it being recognized that, because of the arms-length
14 negotiations between the Parties, all Parties have contributed equally to the preparation of this
15 Settlement Agreement.

16 56. Representation By Counsel. The Parties acknowledge that they have been represented
17 by counsel throughout all negotiations that preceded the execution of this Settlement Agreement, and
18 that this Settlement Agreement has been executed with the consent and advice of counsel, and
19 reviewed in full.

20 57. Confidentiality Prior to Preliminary Approval. Plaintiff, Class Counsel, Defendant,
21 and Defendant's Counsel separately agree that, until the motion for preliminary approval of the
22 Settlement is filed, they and each of them will not disclose, disseminate, and/or publicize, or cause or
23 permit another person to disclose, disseminate, and/or publicize, any of the terms of this Agreement
24 directly or indirectly, specifically or generally, to any person, corporation, association, government
25 agency, or other entity except: (1) to the Parties' attorneys, accountants, or spouses, all of whom will
26 be instructed to keep this Agreement confidential; (2) counsel in a related matter; (3) to the extent
27 necessary to report income to appropriate taxing authorities; (4) in response to a court order or
28 subpoena; or (5) in response to an inquiry or subpoena issued by a state or federal government agency.

Each Party agrees to immediately notify each other Party of any judicial or agency order, inquiry, or subpoena seeking such information. Plaintiff, Class Counsel, Defendant, and Defendant's Counsel separately agree not to, directly or indirectly, initiate any conversation or other communication, before the filing of the motion for preliminary approval of the Settlement, any with third party regarding this Agreement or the matters giving rise to this Agreement except to respond only that "the matter was resolved," or words to that effect. This Paragraph does not restrict Class Counsel's communications with Class Members in accordance with Class Counsel's ethical obligations owed to Class Members.

58. Use and Return of Class List. Information provided to Class Counsel or the Settlement Administrator pursuant to Cal. Evid. Code Section 1152, and all copies and summaries of the Class List provided to Class Counsel by Defendant in connection with the mediation, other settlement negotiations, or in connection with the Settlement, may be used only with respect to this Settlement, and no other purpose, and may not be used in any way that violates any existing contractual agreement, statute, or rule of court. Not later than ninety (90) calendar days after the date when the Court discharges the Settlement Administrator's obligation to provide a declaration confirming the final pay out of all Settlement funds, Plaintiff and the Settlement Administrator shall destroy, all paper and electronic versions of the Class List received from Defendant unless, prior to the Court's discharge of the Settlement Administrator's obligation, Defendant makes a written request to Class Counsel for the return, rather than the destructions, of the Class List.

59. All Terms Subject to Final Court Approval. All amounts and procedures described in this Settlement Agreement herein will be subject to final Court approval.

60. Notices. All notices, demands, and other communications to be provided concerning the Settlement Agreement shall be in writing and deemed to have been duly given as of the third business day after mailing by First Class U.S. Mail, or the day sent by email or messenger, addressed as follows:

To Plaintiff and Class Counsel:

Jonathan M. Genish

jgenish@blackstonepc.com

Miriam L. Schimmel

mschimmel@blackstonepc.com

Joana Fang

jfang@blackstonepc.com

Alexandra Rose
arose@blackstonepc.com
Jared Osborne
josborne@blackstonepc.com
BLACKSTONE LAW, APC
8383 Wilshire Boulevard, Suite 745
Beverly Hills, California 90211
Tel: (310) 622-4278 / Fax: (855) 786-6356

To Defendant:
Brigham M. Cheney
bcheney@aalrr.com
Christopher M. Francis
christopher.francis@aalrr.com
ATKINSON, ANDELSON, LOYA, RUDD & ROMO
20 Pacifica, Suite 1100
Irvine, California 92618
Tel: (949) 453-4298 / Fax: (949) 453-4262

61. Cooperation and Execution of Necessary Documents. All Parties and their counsel will cooperate with each other in good faith and use their best efforts to implement the Settlement, including and not limited to, executing all documents to the extent reasonably necessary to effectuate the terms of this Settlement Agreement. If the Parties are unable to reach agreement on the form or content of any document needed to implement the Settlement Agreement, or on any supplemental provisions that may become necessary to effectuate the terms of this Settlement Agreement, the Parties may seek the assistance of the Mediator and then the Court to resolve such disagreement.

IN WITNESS WHEREOF, the Parties hereto knowingly and voluntarily executed this First Amended Joint Stipulation of Class Action and PAGA Settlement between Plaintiff and Defendant:
IT IS SO AGREED.

PLAINTIFF AARON COFFEY

Dated: February 14, 2025



Plaintiff Aaron Coffey

**DEFENDANT CATALINA CHANNEL
EXPRESS, INC.**

Dated: _____

Full Name: _____

Title: _____
On behalf of Defendant Catalina Channel
Express, Inc.

APPROVED AS TO FORM ONLY:

BLACKSTONE LAW, APC



Dated: February 14, 2025

Jonathan M. Genish
Attorneys for Plaintiff Aaron Coffey
and Proposed Class Counsel

**ATKINSON, ANDELSON, LOYA, RUDD &
ROMO**

Dated: _____

Brigham M. Cheney
Christopher M. Francis
Attorneys for Defendant Catalina Channel
Express, Inc.

Alexandra Rose
arose@blackstonepc.com
Jared Osborne
josborne@blackstonepc.com
BLACKSTONE LAW, APC
8383 Wilshire Boulevard, Suite 745
Beverly Hills, California 90211
Tel: (310) 622-4278 / Fax: (855) 786-6356

To Defendant:
Brigham M. Cheney
bcheney@aalrr.com
Christopher M. Francis
christopher.francis@aalrr.com
ATKINSON, ANDELSON, LOYA, RUDD & ROMO
20 Pacifica, Suite 1100
Irvine, California 92618
Tel: (949) 453-4298 / Fax: (949) 453-4262

61. Cooperation and Execution of Necessary Documents. All Parties and their counsel will cooperate with each other in good faith and use their best efforts to implement the Settlement, including and not limited to, executing all documents to the extent reasonably necessary to effectuate the terms of this Settlement Agreement. If the Parties are unable to reach agreement on the form or content of any document needed to implement the Settlement Agreement, or on any supplemental provisions that may become necessary to effectuate the terms of this Settlement Agreement, the Parties may seek the assistance of the Mediator and then the Court to resolve such disagreement.

IN WITNESS WHEREOF, the Parties hereto knowingly and voluntarily executed this First Amended Joint Stipulation of Class Action and PAGA Settlement between Plaintiff and Defendant:

IT IS SO AGREED.

PLAINTIFF AARON COFFEY

Dated: _____

Plaintiff Aaron Coffey

**DEFENDANT CATALINA CHANNEL
EXPRESS, INC.**

Dated: 02.13.2025



Full Name: Greg Bombard
Title: President
On behalf of Defendant Catalina Channel
Express, Inc.

APPROVED AS TO FORM ONLY:

BLACKSTONE LAW, APC

Dated: _____

Jonathan M. Genish
*Attorneys for Plaintiff Aaron Coffey
and Proposed Class Counsel*

ATKINSON, ANDELSON, LOYA, RUDD &
ROMO

Dated: 02/13/2025


Brigham M. Cheney
Christopher M. Francis
*Attorneys for Defendant Catalina Channel
Express, Inc.*

EXHIBIT A

NOTICE OF CLASS ACTION SETTLEMENT

Aaron Coffey v. Catalina Channel Express, Inc.
Superior Court of California for the County of Los Angeles, Case No. 21STCV41396

PLEASE READ THIS CLASS NOTICE CAREFULLY.

You have received this Class Notice because Defendant's records indicate that you may be eligible to take part in the class action settlement reached in the above-referenced case.

You do not need to take any action to receive a settlement payment.

This Class Notice is designed to advise you of your rights and options with respect to the settlement, and how you can request to be excluded from the Class Settlement, object to the Class Settlement, and/or dispute the number of Workweeks and/or PAGA Workweeks that you are credited with, if you so choose.

YOU ARE NOTIFIED THAT: A class and representative action settlement has been reached between Plaintiff Aaron Coffey ("Plaintiff") and Defendant Catalina Channel Express, Inc. ("Defendant") (Plaintiff and Defendant are collectively referred to as the "Parties") in the case entitled *Aaron Coffey v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. 21STCV41396 ("Action"), which may affect your legal rights. On [date of Preliminary Approval], the Court granted preliminary approval of the settlement and scheduled a hearing on [hearing date] at [hearing time] ("Final Approval Hearing") to determine whether or not the Court should grant final approval of the settlement.

I. IMPORTANT DEFINITIONS

"Class" or "Class Member(s)" means all current and former non-exempt employees who worked for Defendant within the State of California at any time during the Class Period.

"Class Period" means the period from November 10, 2017 through November 7, 2021.

"Class Settlement" means the settlement and resolution of all Released Class Claims.

"PAGA Employee(s)" means all current and former non-exempt employees who worked for Defendant within the State of California at any time during the PAGA Period.

"PAGA Period" the period from November 8, 2020 through December 3, 2023.

"PAGA Settlement" means the settlement and resolution of all Released PAGA Claims.

II. BACKGROUND OF THE ACTION

On November 8, 2021, Plaintiff provided written notice to the California Labor and Workforce Development Agency ("LWDA") and Defendant of the specific provisions of the California Labor Code that Plaintiff contends were violated ("PAGA Letter"). On November 10, 2021, Plaintiff commenced a putative class action lawsuit by filing a Class Action Complaint in the Action. On March 29, 2022, Plaintiff filed a First Amended Class Action and Representative Action Complaint ("Operative Complaint"), which added a cause of action under the Private Attorneys General Act of 2004 pursuant to California Labor Code Section 2698, *et seq.* ("PAGA").

Plaintiff contends that Defendant failed to properly pay minimum and overtime wages, provide compliant meal and rest breaks and associated premiums, timely pay wages during employment and upon termination and associated waiting-time penalties, provide accurate wage statements, and reimburse business expenses, and thereby engaged in unfair business practices in violation of the California Business and Professions Code section 17200, *et seq.*, and conduct that gives rise to penalties under PAGA. Plaintiff seeks, among other things, recovery of unpaid wages and meal and rest period premiums, unreimbursed business expenses, restitution, penalties, interest, and attorneys' fees and costs.

Defendant denies all of the allegations in the Action and denies that it violated any law.

The Parties participated in mediation with a respected class action mediator, and as a result, the Parties reached a mutual

settlement. The Parties have since entered into a First Amended Joint Stipulation of Class Action and PAGA Settlement (“Settlement” or “Settlement Agreement”).

On [Date of Preliminary Approval], the Court entered an order preliminarily approving the Settlement. The Court has appointed CPT Group, Inc. as the administrator of the Settlement (“Settlement Administrator”), Plaintiff Aaron Coffey as representative of the Class (“Class Representative”), and the following Plaintiff’s attorneys as counsel for the Class (“Class Counsel”):

Jonathan M. Genish
Miriam L. Schimmel
Joana Fang
Alexandra Rose
Jared Osborne
Blackstone Law, APC
8383 Wilshire Boulevard, Suite 745
Beverly Hills, California 90211
Tel: (310) 622-4278 / Fax: (855) 786-6356

If you are a Class Member, you need not take any action to receive an Individual Settlement Payment, but you have the opportunity to request exclusion from the Class Settlement (in which case you will not receive an Individual Settlement Payment), object to the Class Settlement, and/or dispute the Workweeks and/or PAGA Workweeks credited to you, if you so choose, as explained more fully in Sections III and IV below. If you are a PAGA Employee, you do not need to take any action to receive an Individual PAGA Payment; you will not have the opportunity to object or seek exclusion from the PAGA Settlement and all PAGA Employees will be bound to the PAGA Settlement if the Court grants final approval of the Settlement.

The Settlement represents a compromise and mutual settlement of highly disputed claims. Nothing in the Settlement is intended or will be construed as an admission by Defendant that the claims in the Action have merit or that Defendant has any liability to Plaintiff, Class Members, or PAGA Employees. Plaintiff and Defendant, and their respective counsel, have concluded and agree that, in light of the risks and uncertainties to each side of continued litigation, the Settlement is fair, reasonable, and adequate, and is in the best interests of the Class Members, the State of California, and PAGA Employees.

III. SUMMARY OF THE PROPOSED SETTLEMENT

A. Settlement Formula

The total gross settlement amount is One Million Dollars and Zero Cents (\$1,000,000.00) (the “Gross Settlement Amount”). The portion of the Gross Settlement Amount that is available for payment to Class Members is referred to as the “Net Settlement Amount.” The Net Settlement Amount will be the Gross Settlement Amount less the following payments which are subject to approval by the Court: (1) attorneys’ fees, in an amount not to exceed one-third (1/3) of the Gross Settlement Amount (i.e., \$333,333.33), and reimbursement of litigation costs and expenses, in an amount not to exceed Thirty Thousand Dollars and Zero Cents (\$30,000.00) to Class Counsel; (2) Enhancement Payment in an amount not to exceed Five Thousand Dollars and Zero Cents (\$5,000.00) to Plaintiff for his services in the Action; (3) the amount of One Hundred Thousand Dollars and Zero Cents (\$100,000.00) allocated toward civil penalties under the Private Attorneys General Act (“PAGA Amount”), of which the LWDA will be paid 75% (75,000.00) (“LWDA Payment”) and the remaining 25% (\$25,000.00) will be distributed to PAGA Employees (“PAGA Employee Amount”); and (4) Settlement Administration Costs in an amount not to exceed Thirteen Thousand Dollars and Zero Cents (\$13,000.00) to the Settlement Administrator.

Class Members are eligible to receive payment under the Class Settlement of their *pro rata* share of the Net Settlement Amount (“Individual Settlement Share”) based on the number of weeks each Class Member worked for Defendant as a non-exempt employee in California during the Class Period (“Workweeks”). In order to be counted as a Workweek, the Class Member must have worked at least one day in that week. Excluded are weeks covered by any previous individual settlement agreements and the settlement agreement in the case entitled *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. BC707664.

The Settlement Administrator has divided the Net Settlement Amount by the Workweeks of all Class Members to yield the

“Estimated Workweek Value,” and multiplied each Class Member’s individual Workweeks by the Estimated Workweek Value to yield an estimated Individual Settlement Share that each Class Member may be entitled to receive under the Class Settlement (which is listed in Section III.C below). Class Members who do not submit a timely and valid Request for Exclusion (“Settlement Class Members”) will be issued their final Individual Settlement Payment.

Each Individual Settlement Share will be allocated as twenty percent (20%) as wages, which will be reported on an IRS Form W-2, and eighty percent (80%) as penalties, interest, and non-wage damages, which will be reported on an IRS Form 1099 (if applicable). Each Individual Settlement Share will be subject to reduction for the employee’s share of payroll taxes and withholdings with respect to the wages portion of the Individual Settlement Shares resulting in a net payment to the Settlement Class Member (“Individual Settlement Payment”). The employer’s share of taxes and contributions in connection with the wages portion of Individual Settlement Shares (“Employer Taxes”) will be paid by Defendant separately and in addition to the Gross Settlement Amount.

PAGA Employees are eligible to receive payment under the PAGA Settlement of their *pro rata* share of the PAGA Employee Amount (“Individual PAGA Payment”) based on the number of weeks each PAGA Employee worked for Defendant as a non-exempt employee in California during the PAGA Period (“PAGA Workweeks”). In order to be counted as a PAGA Workweek, the PAGA Employee must have worked at least one day in that week. Excluded are weeks covered by any previous individual settlement agreements and the settlement agreement in the case entitled *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. BC707664.

The Settlement Administrator had divided the PAGA Employee Amount, i.e., 25% of the PAGA Amount, by the PAGA Workweeks of all PAGA Employees to yield the “PAGA Workweek Value,” and multiplied each PAGA Employee’s individual PAGA Workweeks by the PAGA Workweek Value to yield each PAGA Employee’s Individual PAGA Payment.

Each Individual PAGA Payment will be allocated as one hundred percent (100%) penalties, will not be subject to taxes or withholdings, and will be reported on IRS Form 1099 (if applicable).

If the Court grants final approval of the Settlement, Individual Settlement Payments will be mailed to Settlement Class Members and Individual PAGA Payments will be mailed to PAGA Employees at the address that is on file with the Settlement Administrator. **If the address to which this Class Notice was mailed is not correct, or if you move after you receive this Class Notice, you must provide your correct mailing address to the Settlement Administrator as soon as possible to ensure you receive any payment that you may be entitled to under the Settlement.**

B. Your Workweeks and PAGA Workweeks (if applicable) Based on Defendant’s Records

According to Defendant’s records:

- **From November 10, 2017 through November 7, 2021 (i.e., the Class Period), you are credited as having worked [REDACTED] Workweeks.**
- **From November 8, 2020 through December 3, 2023 (i.e., the PAGA Period), you are credited as having worked [REDACTED] PAGA Workweeks.**

If you wish to dispute the Workweeks and/or PAGA Workweeks credited to you, you must submit your dispute in writing to the Settlement Administrator (“Workweeks Dispute”). The Workweeks Dispute must: (a) contain the case name and number of the Action (*Coffey v. Catalina Channel Express, Inc.*, Case No. 21STCV41396); (b) contain your full name, signature, address, telephone number, and the last four (4) digits of your Social Security number; (c) clearly state that you dispute the number of Workweeks and/or PAGA Workweeks credited to you and what you contend is the correct number; and (d) be returned by mail to the Settlement Administrator at the specified address listed in Section IV.B below, postmarked **on or before [Response Deadline]**.

C. Your Estimated Individual Settlement Share and Individual PAGA Payment (if applicable)

As explained above, your estimated Individual Settlement Share and Individual PAGA Payment (if applicable) is based on the number of Workweeks and PAGA Workweeks (if applicable) credited to you.

**Under the terms of the Settlement, your Individual Settlement Share is estimated to be \$ [REDACTED].
The Individual Settlement Share is subject to reduction for the employee’s share of taxes and**

withholdings with respect to the wages portion of the Individual Settlement Share and will only be distributed if the Court approves the Settlement and after the Settlement goes into effect.

Under the terms of the Settlement, your Individual PAGA Payment is estimated to be \$ [REDACTED] and will only be distributed if the Court approves the Settlement and after the Settlement goes into effect.

The settlement approval process may take multiple months. Your Individual Settlement Share and Individual PAGA Payment (if applicable) reflected in this Class Notice is only an estimate. Your actual Individual Settlement Payment and Individual PAGA Payment (if applicable) may be higher or lower.

D. Release of Claims

Upon the full funding of the Gross Settlement Amount, Plaintiff and all Settlement Class Members will be deemed to have fully, finally, and forever released, settled, compromised, relinquished, and discharged the Released Parties of all Released Class Claims.

Upon the full funding of the Gross Settlement Amount, Plaintiff, the State of California with respect to all PAGA Employees, and all PAGA Employees will be deemed to have fully, finally, and forever released, settled, compromised, relinquished, and discharged the Released Parties of all Released PAGA Claims.

“Released Class Claims” means any and all claims, debts, liabilities, demands, obligations, guarantees, costs, expenses, attorneys’ fees, damages, or causes of action which were alleged or which could have been alleged based on the factual allegations in the Operative Complaint, arising during the Class Period, under any federal, state, or local law, and shall specifically include claims for Defendant’s alleged failure to pay overtime and minimum wages, provide compliant meal and rest periods and associated premium payments, timely pay wages during employment and upon termination, provide accurate wage statements, and reimburse necessary business-related expenses in violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1194, 1197, 1197.1, 1198, 2800, and 2802, and any other claims which were alleged or which could have been alleged based on the factual allegations in the Operative Complaint, arising during the Class Period, for failure to properly pay wages or compensate employees under the California Labor Code or the applicable Industrial Welfare Commission Wage Order(s), and all claims for attorneys’ fees and costs and statutory interest in connection therewith, California Business and Professions Code sections 17200, *et seq.*, and any other claims, including claims for statutory penalties, pertaining to the Class Members.

“Released PAGA Claims” means any and all claims arising from any of the factual allegations in the PAGA Letter, arising during the PAGA Period, for civil penalties under the Private Attorneys General Act of 2004, California Labor Code Sections 2698 *et seq.*, including all claims for attorneys’ fees and costs related thereto, for Defendant’s alleged failure to pay overtime and minimum wages, provide compliant meal and rest periods and associated premium payments, timely pay wages during employment and upon termination, provide accurate wage statements, maintain complete and accurate payroll records, and reimburse necessary business-related expenses in violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1174(d), 1194, 1197, 1197.1, 1198, 2800, and 2802, and the applicable Industrial Welfare Commission Wage Order(s), including *inter alia*, Wage Order 9-2001.

“Released Parties” means Defendant and its current and former officers, directors, members, insurers, shareholders, subsidiaries, affiliates, predecessors, successors, and assigns.

E. Attorneys’ Fees and Costs to Class Counsel

Class Counsel will seek attorneys’ fees in an amount not to exceed one-third (1/3) of the Gross Settlement Amount (i.e., \$333,333.33 if the Gross Settlement Amount is \$1,000,000.00) and reimbursement of litigation costs and expenses in an amount not to exceed Thirty Thousand Dollars and Zero Cents (\$30,000.00) (collectively, “Attorneys’ Fees and Costs”), subject to approval by the Court. The Attorneys’ Fees and Costs granted by the Court will be paid from the Gross Settlement Amount. Class Counsel has been prosecuting the Action on behalf of Plaintiff, Class Members, and PAGA Employees on a contingency fee basis (that is, without being paid any money to date) and has been paying all litigation costs and expenses.

F. Enhancement Payment to Plaintiff

Plaintiff will seek the amount of Five Thousand Dollars and Zero Cents (\$5,000.00) (“Enhancement Payment”), in recognition of his services in connection with the Action. The Enhancement Payment will be paid from the Gross Settlement Amount, subject to approval by the Court, and if awarded, it will be paid to Plaintiff in addition to his Individual Settlement Payment and Individual PAGA Payment that he is entitled to under the Settlement.

G. Settlement Administration Costs to Settlement Administrator

Payment to the Settlement Administrator is estimated not to exceed Thirteen Thousand Dollars and Zero Cents (\$13,000.00) (“Settlement Administration Costs”) for the costs of the notice and settlement administration process, including and not limited to, the expense of notifying the Class Members of the Settlement, processing Requests for Exclusion, Notices of Objection, and Workweeks Disputes, calculating Individual Settlement Shares, Individual Settlement Payments, and Individual PAGA Payments, and distributing payments and tax forms under the Settlement, and shall be paid from the Gross Settlement Amount, subject to approval by the Court.

IV. WHAT ARE YOUR RIGHTS AND OPTIONS AS A CLASS MEMBER?

A. Participate in the Settlement

If you want to participate in the Class Settlement and receive money from the Class Settlement, you do not have to do anything. You will automatically be included in the Class Settlement and issued your Individual Settlement Payment unless you decide to exclude yourself from the Class Settlement.

Unless you elect to exclude yourself from the Class Settlement and if the Court grants final approval of the Settlement, you will be bound by the terms of the Class Settlement and any judgment that may be entered by the Court based thereon, and you will release the Released Class Claims against the Released Parties as described in Section III.D above.

If you are a PAGA Employee and the Court grants final approval of the Settlement, you will automatically be included in the PAGA Settlement and issued your Individual PAGA Payment. This means you will be bound by the terms of the PAGA Settlement and any judgment that may be entered by the Court based thereon, and you will release the Released PAGA Claims against the Released Parties as described in Section III.D above.

As a Class Member and PAGA Employee (if applicable), you will not be separately responsible for the payment of attorney’s fees or litigation costs and expenses, unless you retain your own counsel, in which event you will be responsible for your own attorney’s fees and expenses.

B. Request Exclusion from the Class Settlement

Class Members may request to be excluded from the Class Settlement by submitting a letter (“Request for Exclusion”) to the Settlement Administrator, at the following address:

[Settlement Administrator]
[Mailing Address]

A Request for Exclusion must: (a) contain the case name and number of the Action (*Coffey v. Catalina Channel Express, Inc.*, Case No. 21STCV41396); (b) contain your full name, signature, address, telephone number, and last four (4) digits of your Social Security number; (c) clearly state that you do not wish to be included in the Class Settlement; and (d) be returned by mail to the Settlement Administrator at the specified address above, postmarked **on or before [Response Deadline]**.

If the Court grants final approval of the Settlement, any Class Member who submits a timely and valid Request for Exclusion will not be issued an Individual Settlement Payment, will not be bound by the Class Settlement (and the release of Released Class Claims described in Section III.D above), and will not have any right to object to, appeal, or comment on the Class Settlement. Class Members who do not submit a timely and valid Request for Exclusion will be deemed Settlement Class Members and will be bound by all terms of the Class Settlement, including those pertaining to the release of claims described in Section III.D above, as well as any judgment that may be entered by the Court based thereon. PAGA Employees will be bound to the PAGA Settlement (and the release of Released PAGA Claims described in Section III.D above) and will still be issued an Individual PAGA Payment, irrespective of whether they submit a Request for Exclusion.

C. Object to the Class Settlement

You can object to the Class Settlement as long as you have not submitted a Request for Exclusion by submitting a written objection (“Notice of Objection”) to the Settlement Administrator.

The Notice of Objection must: (a) contain the case name and number of the Action (*Coffey v. Catalina Channel Express, Inc.*, Case No. 21STCV41396); (b) contain your full name, signature, address, telephone number, and the last four (4) digits of your Social Security number; (c) contain a written statement of all grounds for the objection accompanied by any legal support for such objection; (d) contain copies of any papers, briefs, or other documents upon which the objection is based; and (e) be returned by mail to the Settlement Administrator at the specified address listed in Section IV.B above, postmarked **on or before [Response Deadline]**.

The Court will hear from any Settlement Class Member who attends the Final Approval Hearing and asks to speak regarding their objection, regardless of whether they have submitted a Notice of Objection.

V. FINAL APPROVAL HEARING

The Court will hold a Final Approval Hearing in Department 1 of the Los Angeles County Superior Court, located at Spring Street Courthouse, 312 N. Spring Street, Los Angeles, California 90012, on **[date]**, at **[time]**, to determine whether the Settlement should be finally approved as fair, reasonable, and adequate. The Court also will be asked to approve and grant the Attorneys’ Fees and Costs to Class Counsel, Enhancement Payment to Plaintiff, and Settlement Administration Costs to the Settlement Administrator.

The Final Approval Hearing may be continued without further notice to the Class Members and PAGA Employees. It is not necessary for you to appear at the Final Approval Hearing, although you may appear if you wish to.

You can find more information regarding appearing remotely through LA Court Connect online at: <https://www.lacourt.org/lacceligibility/ui/civil.aspx?casetype=ci>

VI. ADDITIONAL INFORMATION

The above is a summary of the basic terms of the Settlement. For the precise terms and conditions of the Settlement Agreement, you should review the detailed Settlement Agreement and other papers, which are on file with the Court.

You may view the Settlement Agreement and other documents filed in the Action by for a fee by making an appointment in advance and visiting the civil clerk’s office during business hours, located at the Stanley Mosk Courthouse, 111 North Hill Street, Los Angeles, California 90012, or by online by visiting the following website: <https://www.lacourt.org/casesummary/ui/>

You may also visit the Settlement Administrator’s website at **[redacted]** for more information and documents relating to the Settlement.

PLEASE DO NOT TELEPHONE THE COURT OR THE OFFICE OF THE CLERK FOR INFORMATION REGARDING THIS SETTLEMENT.

IF YOU HAVE ANY QUESTIONS, YOU MAY CALL THE SETTLEMENT ADMINISTRATOR AT THE FOLLOWING TOLL-FREE NUMBER: **[INSERT], OR YOU MAY ALSO CONTACT CLASS COUNSEL.**

EXHIBIT 3

1 **FIRST AMENDED JOINT STIPULATION OF CLASS ACTION AND PAGA SETTLEMENT**

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2 This First Joint Stipulation of Class Action and PAGA Settlement ("Settlement,"
3 "Agreement," or "Settlement Agreement") is made and entered into by and between Plaintiff Aaron
4 Coffey ("Plaintiff" or "Class Representative"), individually, and on behalf of all others similarly
5 situated and on behalf of the State of California with respect to aggrieved employees, and Defendant
6 Catalina Channel Express, Inc. ("Defendant") (together, Plaintiff and Defendant are referred to as
7 "Parties" and individually as "Party").

8 The Parties agree to supplant the Joint Stipulation of Class Action and PAGA Settlement
9 entered into by the Parties on or around May 10, 2024 with this First Amended Joint Stipulation of
10 Class Action and PAGA Settlement.

11 This Settlement Agreement shall be binding on Plaintiff, Settlement Class Members (as
12 defined herein), the State of California as to the employment of PAGA Employees (as defined herein),
13 and Defendant, subject to the terms and conditions hereof and the approval of the Court.

14 **RECITALS**

15 1. On November 8, 2021, Plaintiff provided written notice to the Labor and Workforce
16 Development Agency ("LWDA") by online submission and to Defendant by U.S. Certified Mail,
17 pursuant to California Labor Code Section 2699.3, of the specific provisions of the California Labor
18 Code alleged to have been violated by Defendant ("PAGA Letter"). On November 10, 2021, Plaintiff
19 filed a Class Action Complaint, thereby commencing a putative class action entitled *Aaron Coffey v.*
20 *Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. 21STCV41396
21 ("Action") against Defendant. On March 29, 2022, Plaintiff filed a First Amended Class Action and
22 Representative Action Complaint ("Operative Complaint") in the Action, which added a cause of
23 action under the Private Attorneys General Act of 2004 pursuant to California Labor Code Section
24 2698 *et seq.* ("PAGA"). The Operative Complaint alleges ten (10) causes of action for violations of
25 the California Labor Code for failure to pay overtime wages, failure to provide compliant meal periods
26 and premium payments in lieu thereof, failure to provide compliant rest periods and premiums
27 payments in lieu thereof, failure to pay minimum wages, failure to timely pay wages upon termination,
28 failure to timely pay wages during employment, failure to provide accurate wage statements, and

1 failure to reimburse necessary business expenses, for violations of California Business & Professions
2 Code Section 17200, *et seq.* based on the aforementioned California Labor Code violations, and for
3 civil penalties under PAGA based on the aforementioned California Labor Code violations.

4 2. Defendant denies all materials allegations set forth in the Action and has asserted
5 numerous affirmative defenses. Notwithstanding, in the interest of avoiding further litigation,
6 Defendant desires to fully and finally settle the Action, Released Class Claims (as defined herein), and
7 Released PAGA Claims (as defined herein).

8 3. Class Counsel diligently investigated the class and PAGA claims against Defendant,
9 including any and all applicable defenses and the applicable law. The investigation included, *inter*
10 *alia*, the exchange of information, data, and documents, and review of corporate policies and practices.
11 The Parties have engaged in sufficient formal and informal discovery and investigation to assess the
12 relative merits of the claims and contentions of the Parties.

13 4. On October 23, 2023, the Parties participated in mediation with Todd A. Smith, Esq.
14 (the “Mediator”), a respected mediator of complex wage and hour actions, which did not result in a
15 settlement at that time. After continued negotiations, and with the assistance of the Mediator’s
16 evaluations, the Parties reached the mutual Settlement that is memorialized herein. The Parties’
17 settlement discussions were conducted at arms’ length, and the Settlement is the result of an informed
18 and detailed analysis of Defendant’s potential liability and exposure in relation to the costs and risks
19 associated with continued litigation. Based on Class Counsel’s investigation and evaluation, Class
20 Counsel believes that the settlement with Defendant for the consideration and on the terms set forth in
21 this Settlement Agreement is fair, reasonable, and adequate and is in the best interest of the Class
22 Members, State of California, and PAGA Employees in light of all known facts and circumstances,
23 including the risk of significant delay and uncertainty associated with litigation and various defenses
24 asserted by Defendant.

25 5. The Parties expressly acknowledge that this Settlement Agreement is entered into
26 solely for the purpose of compromising significantly disputed claims and that nothing herein is an
27 admission of liability or wrongdoing by Defendant. If for any reason this Settlement Agreement is
28 not approved, it will be of no force or effect, and the Parties shall be returned to their original respective

positions.

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DEFINITIONS

6. The following definitions are applicable to this Settlement Agreement. Definitions contained elsewhere in this Settlement Agreement will also be effective.

a. "Attorneys' Fees and Costs" means attorneys' fees approved by the Court for Class Counsel's litigation and resolution of the Action and all actual costs and expenses incurred and to be incurred by Class Counsel in connection with the Action, as set forth in Paragraph 9.

b. "Class" or "Class Member(s)" means all current and former non-exempt employees who worked for Defendant within the State of California at any time during the Class Period.

c. "Class Counsel" means Jonathan M. Genish, Miriam L. Schimmel, Joana Fang, Alexandra Rose, and Jared Osborne of Blackstone Law, APC, who will seek to be appointed counsel for the Class.

d. "Class List" means a complete list of all Class Members and PAGA Employees that Defendant will diligently and in good faith compile from its records and provide to the Settlement Administrator. The Class List will be formatted in a readable Microsoft Office Excel spreadsheet containing the following information for each Class Member and PAGA Employee: (1) full name; (2) last known mailing address; (3) Social Security number; (4) dates worked for Defendant during the Class Period and PAGA Period; and (8) such other information as is necessary for the Settlement Administrator to calculate Workweeks and PAGA Workweeks ~~(if applicable)~~.

e. "Class Notice" means the Notice of Class Action Settlement, substantially in the form attached hereto as "Exhibit A."

f. "Class Period" means the period from November 10, 2017 through ~~March 13, 2024 or the date on which the total number of workweeks reaches 30,000, whichever is earlier~~ November 7, 2021.

g. "Class Settlement" means the settlement and resolution of all Released Class

1 Claims.

2 h. "Court" means the Superior Court of the State of California for the County of
3 Los Angeles.

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5 i. "Defendant's Counsel" means Brigham M. Cheney and Christopher M. Francis
6 of Atkinson, Andelson, Loya, Rudd & Romo.

7 j. "Effective Date" means the date when all of the following events have occurred:
8 (1) the Settlement Agreement has been executed by all Parties, Class Counsel, and Defendant's
9 Counsel; (2) the Court has given preliminary approval to the Settlement; (3) the Class Notice has been
10 mailed to the Class Members, providing them with an opportunity to object to the terms of the Class
11 Settlement or opt out of the Class Settlement; (4) the Court has had a Final Approval Hearing and
12 entered a Final Approval Order and Judgment; (5) sixty-five calendar days have passed since the Court
13 entered a Final Approval Order and Judgment; and (6) in the event there are written objections to the
14 Class Settlement filed prior to the Final Approval Hearing which are not later withdrawn or denied,
15 the later of the following events: five business days after the period for filing any appeal, writ, or other
16 appellate proceeding opposing the Court's Final Approval Order and Judgment has elapsed without
17 any appeal, writ, or other appellate proceeding having been filed, or, if any appeal, writ, or other
18 appellate proceeding opposing the Court's Final Approval Order and Judgment has been filed, five
19 business days after any appeal, writ, or other appellate proceedings opposing the Court's Final
20 Approval Order and Judgment has finally and conclusively dismissed with no right to pursue further
21 remedies or relief.

22 k. "Employer Taxes" means the employer's share of taxes and contributions in
23 connection with the wages portion of Individual Settlement Shares, which shall be paid by Defendant
24 in addition to the Gross Settlement Amount.

25 l. "Enhancement Payment" means the amount to be paid to Plaintiff, in
26 recognition of his effort and work in prosecuting the Action on behalf of Class Members and PAGA
27 Employees, and general release of claims, as set forth in Paragraph 10.

28 m. "Final Approval" means the determination by the Court that the Settlement is

1 fair, reasonable, and adequate, and entry of the Final Approval Order and Judgment based thereon.

2 n. "Final Approval Hearing" means the hearing at which the Court will consider
3 and determine whether the Settlement should be granted Final Approval.

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5 o. "Final Approval Order and Judgment" means the order granting final approval
6 of the Settlement and entering judgment thereon, in a form and content mutually agreed to by the
7 Parties, and subject to approval by the Court.

8 p. "Gross Settlement Amount" means the amount of One Million Dollars and Zero
9 Cents (\$1,000,000.00) to be paid by Defendant in full satisfaction of the Action, Released Class
10 Claims, and Released PAGA Claims, which includes all Attorneys' Fees and Costs, Enhancement
11 Payment, PAGA Amount, Settlement Administration Costs, and Net Settlement Amount to be paid to
12 the Settlement Class Members. Defendant shall pay the Employer Taxes separately and in addition to
13 the Gross Settlement Amount. Notwithstanding any other provision of this Settlement Agreement,
14 the Parties agree that, except for the payment of Employer Taxes, the Gross Settlement Amount
15 constitutes the maximum amount Defendant will be required to pay under this Settlement under any
16 circumstances. The Gross Settlement Amount is non-reversionary; no portion of the Gross Settlement
17 Payment will return to Defendant.

18 q. "Individual PAGA Payment" means the *pro rata* share of the PAGA Employee
19 Amount that a PAGA Employee may be eligible to receive under the PAGA Settlement, to be
20 calculated in accordance with Paragraph 14.

21 r. "Individual Settlement Payment" means the net payment of each Settlement
22 Class Member's Individual Settlement Share, after reduction for the employee's share of taxes and
23 withholdings with respect to the wages portion of the Individual Settlement Share, as provided in
24 Paragraph 15.

25 s. "Individual Settlement Share" means the *pro rata* share of the Net Settlement
26 Amount that a Class Member may be eligible to receive under the Class Settlement, to be calculated
27 in accordance with Paragraph 13.

28 t. "LWDA Payment" means the amount of Seventy-Five Thousand Dollars and

1 Zero Cents (\$75,000.00), i.e., 75% of the PAGA Amount, that the Parties have agreed to pay to the
2 LWDA under the PAGA Settlement, as set forth in Paragraph 11.

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5 u. "Net Settlement Amount" means the portion of the Gross Settlement Amount
6 that is available for distribution to Settlement Class Members, which is the Gross Settlement Amount
7 less the Court-approved Attorneys' Fees and Costs, Enhancement Payment, PAGA Amount, and
8 Settlement Administration Costs.

9 v. "Notice of Objection" means a Settlement Class Member's written objection to
10 the Class Settlement, which must: (a) contain the case name and number of the Action; (b) contain the
11 objector's full name, signature, address, telephone number, and the last four (4) digits of the objector's
12 Social Security number; (c) contain a written statement of all grounds for the objection accompanied
13 by any legal support for such objection; (d) contain copies of any papers, briefs, or other documents
14 upon which the objection is based; and (e) be returned by mail to the Settlement Administrator at the
15 specified address, postmarked on or before the Response Deadline.

16 w. "PAGA Amount" means the allocation of One Hundred Thousand Dollars and
17 Zero Cents (\$100,000.00) from the Gross Settlement Amount for the PAGA Settlement. Seventy-five
18 percent (75%) of the PAGA Amount, or \$75,000.00, will be paid to the LWDA (i.e., the LWDA
19 Payment) and the remaining twenty-five percent (25%), or \$25,000.00, will be distributed to the
20 PAGA Employees (i.e., the PAGA Employee Amount).

21 x. "PAGA Employees" means all current and former non-exempt employees who
22 worked for Defendant within the State of California at any time during the PAGA Period.

23 y. "PAGA Employee Amount" means the amount of Twenty-Five Thousand
24 Dollars and Zero Cents (\$25,000.00), i.e., 25% of the PAGA Amount, to be distributed to PAGA
25 Employees on a *pro rata* basis based on their PAGA Workweeks.

26 z. "PAGA Period" means the period from November 8, 2020 through ~~March 13,~~
27 ~~2024 or the date on which the total number of workweeks reaches 30,000, whichever is~~
28 ~~earlier~~ December 3, 2023.

1 aa. “PAGA Settlement” means the settlement and resolution of all Released PAGA
2 Claims.

3 bb. “PAGA Workweeks” means the number of weeks each PAGA Employee
4 worked for Defendant as a non-exempt employee in California during the PAGA Period. In order to
5 be counted as a PAGA Workweek, the PAGA Employee must have worked at least one day in that
6 week. PAGA Workweeks will be calculated by the Settlement Administrator based on each PAGA
7 Employee’s start date or the beginning of the PAGA Period, whichever is later, and separation date or
8 the last day of the PAGA Period, whichever is earlier, based on the Class List provided by the
9 Defendant. Excluded are weeks covered by any previous individual settlement agreements and the
10 settlement agreement in the case entitled *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los
11 Angeles County Superior Court Case No. BC707664.

12 cc. “Preliminary Approval” means the date on which the Court enters the
13 Preliminary Approval Order.

14 dd. “Preliminary Approval Order” means the order granting preliminary approval
15 of the Settlement, in a form and content mutually agreed to by the Parties, and subject to approval by
16 the Court.

17 ee. “Released Class Claims” means any and all claims, debts, liabilities, demands,
18 obligations, guarantees, costs, expenses, attorneys’ fees, damages, or causes of action which were
19 alleged or which could have been alleged based on the factual allegations in the Operative Complaint,
20 arising during the Class Period, under any federal, state, or local law, and shall specifically include
21 claims for Defendant’s alleged failure to pay overtime and minimum wages, provide compliant meal
22 and rest periods and associated premium payments, timely pay wages during employment and upon
23 termination, provide accurate wage statements, and reimburse necessary business-related expenses in
24 violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1194,
25 1197, 1197.1, 1198, 2800, and 2802, and any other claims which were alleged or which could have
26 been alleged based on the factual allegations in the Operative Complaint, arising during the Class
27 Period, for failure to properly pay wages or compensate employees under the California Labor Code
28 or the applicable Industrial Welfare Commission Wage Order(s), and all claims for attorneys’ fees and

costs and statutory interest in connection therewith, California Business and Professions Code sections 17200, *et seq.*, and any other claims, including claims for statutory penalties, pertaining to the Class Members.

///

~~ee.~~ ///

ff. “Released PAGA Claims” means any and all claims arising from any of the factual allegations in the PAGA Letter, arising during the PAGA Period, for civil penalties under the Private Attorneys General Act of 2004, California Labor Code Sections 2698 *et seq.*, including all claims for attorneys’ fees and costs related thereto, for Defendant’s alleged failure to pay overtime and minimum wages, provide compliant meal and rest periods and associated premium payments, timely pay wages during employment and upon termination, provide accurate wage statements, maintain complete and accurate payroll records, and reimburse necessary business-related expenses in violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1174(d), 1194, 1197, 1197.1, 1198, 2800, and 2802, and the applicable Industrial Welfare Commission Wage Order(s), including *inter alia*, Wage Order 9-2001.

gg. “Released Parties” means Defendant and its current and former officers, directors, members, insurers, shareholders, subsidiaries, affiliates, predecessors, successors, and assigns.

hh. “Request for Exclusion” means a letter submitted by a Class Member indicating a request to be excluded from the Class Settlement, which must: (a) contain the case name and number of the Action; (b) contain the Class Member’s full name, signature, address, telephone number, and last four (4) digits of the Class Member’s Social Security number; (c) clearly state that the Class Member does not wish to be included in the Class Settlement; and (d) be returned by mail to the Settlement Administrator at the specified address, postmarked on or before the Response Deadline.

——— “Response Deadline” means the deadline by which Class Members must submit a Request for Exclusion, Notice of Objection, and/or Workweeks Dispute, which shall be the date that is forty-five (45) calendar days from the initial mailing of the Class Notice by the Settlement Administrator to Class Members, unless the 45th day falls on a Sunday or Federal holiday, in which

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1 case the Response Deadline will be extended to the next day on which the United States Postal service
2 is open. The Response Deadline may also be extended by express agreement between Class Counsel
3 and Defendant's Counsel. Under no circumstances, however, will the Settlement Administrator have
4 the authority to extend the Response Deadline. In the event that a Class Notice is re-mailed to a Class
5 Member, the Response Deadline for that Class Member shall be extended fifteen (15) calendar days
6 from the original Response Deadline.

7 ii.

8 jj. "Settlement Administrator" means CPT Group, Inc., or any other third-party
9 class action settlement administrator agreed to by the Parties and approved by the Court for purposes
10 of administrating the Settlement. The Parties and their counsel each represent that they do not have
11 any financial interest in the Settlement Administrator or otherwise have a relationship with the
12 Settlement Administrator that could create a conflict of interest.

13 kk. "Settlement Administration Costs" means the costs payable from the Gross
14 Settlement Amount to the Settlement Administrator for administrating the Settlement, as set forth in
15 Paragraph 12.

16 ll. "Settlement Class" or "Settlement Class Member(s)" means all Class Members
17 who do not submit a timely and valid Request for Exclusion.

18 mm. "Workweeks" means the number of weeks each Class Member worked for
19 Defendant as a non-exempt employee in California during the Class Period. In order to be counted as
20 a Workweek, the Class Member must have worked at least one day in that week. Workweeks will be
21 calculated by the Settlement Administrator based on each Class Member's start date or the beginning
22 of the Class Period, whichever is later, and separation date or the last day of the Class Period,
23 whichever is earlier, based on the Class List provided by the Defendant. Excluded are weeks covered
24 by any previous individual settlement agreements and the settlement agreement in the case entitled
25 Andres Gonzalez v. Catalina Channel Express, Inc., Los Angeles County Superior Court Case No.
26 BC707664.

27 ———"Workweeks Dispute" means a letter submitted by a Class Member and/or
28 PAGA Employee disputing the number of Workweeks and/or PAGA Workweeks to which they have

1 been credited, which must: (a) contain the case name and number of the Action; (b) contain the Class
2 Member and/or PAGA Employee's full name, signature, address, telephone number, and the last four
3 (4) digits of the Class Member and/or PAGA Employee's Social Security number; (c) clearly state
4 that the Class Member and/or PAGA Employee disputes the number of Workweeks and/or PAGA
5 Workweeks credited to the Class Member and/or PAGA Employee and what the Class Member and/or
6 PAGA Employee contends is the correct number; and (d) be returned by mail to the Settlement
7 Administrator at the specified address, postmarked on or before the Response Deadline.

8 nn.

9 **CLASS CERTIFICATION**

10 7. For the purposes of this Settlement only, the Parties stipulate to the certification of the
11 Class.

12 8. The Parties agree that certification for the purpose of settlement is not an admission
13 that certification is proper under Section 382 of the California Code of Civil Procedure. Should, for
14 whatever reason, the Court not grant Final Approval, the Parties' stipulation to class certification as
15 part of the Settlement shall become null and void ab initio and shall have no bearing on, and shall not
16 be admissible in connection with, the issue of whether or not certification would be inappropriate in a
17 non-settlement context.

18 **TERMS OF THE AGREEMENT**

19 NOW, THEREFORE, in consideration of the mutual covenants, promises, and agreements set
20 forth herein, the Parties agree, subject to the Court's approval, as follows:

21 9. Attorneys' Fees and Costs. Defendant agrees not to oppose or impede any application
22 or motion by Class Counsel for attorneys' fees in the amount up to one-third (1/3) of the Gross
23 Settlement Amount (i.e., \$333,333.33) and reimbursement of actual costs and expenses associated
24 with Class Counsel's litigation and settlement of the Action, in an amount not to exceed Thirty
25 Thousand Dollars and Zero Cents (\$30,000.00), both of which will be paid from the Gross Settlement
26 Amount. These amounts will cover any and all work performed and any and all costs incurred by
27 Class Counsel in connection with the litigation of the Action, including without limitation all work
28 performed and costs incurred to date, and all work to be performed and all costs to be incurred in

1 connection with obtaining the Court's approval of this Settlement Agreement, including any objections
2 raised and any appeals necessitated by those objections. Class Counsel shall be solely and legally
3 responsible for correctly characterizing this compensation for tax purposes and for paying any taxes
4 on the amounts received. The Settlement Administrator shall issue an IRS Form 1099 to Class Counsel
5 for the Attorneys' Fees and Costs. Any portion of the requested Attorneys' Fees and Costs that is not
6 awarded by the Court to Class Counsel shall be reallocated to the Net Settlement Amount for the
7 benefit of the Settlement Class Members.

8 10. Enhancement Payment. Defendant agrees not to oppose or impede any application or
9 motion by Plaintiff for an Enhancement Payment in the amount up to Five Thousand Dollars and Zero
10 Cents (\$5,000.00). The Enhancement Payment, which will be paid from the Gross Settlement
11 Amount, subject to Court approval, will be in addition to his Individual Settlement Payment as a
12 Settlement Class Member and Individual PAGA Payment as a PAGA Employee. Plaintiff shall be
13 solely and legally responsible for correctly characterizing this compensation for tax purposes and for
14 paying any taxes on the amounts received. The Settlement Administrator shall issue an IRS Form
15 1099 to Plaintiff for the Enhancement Payment. Any portion of the requested Enhancement Payment
16 that is not awarded by the Court to Plaintiff shall be reallocated to the Net Settlement Amount for the
17 benefit of the Settlement Class Members.

18 11. PAGA Amount. Subject to approval by the Court, the Parties agree that the amount of
19 One Hundred Thousand Dollars and Zero Cents (\$100,000.00) shall be allocated from the Gross
20 Settlement Amount toward penalties under the Private Attorneys General Act, California Labor Code
21 Section 2698, *et seq.* (i.e., the PAGA Amount), of which seventy-five percent (75%), or \$75,000.00,
22 will be paid to the LWDA (i.e., the LWDA Payment) and twenty-five percent (25%), or \$25,000.00,
23 will be distributed to PAGA Employees (i.e., the PAGA Employee Amount) on a *pro rata* basis, based
24 on the total number of PAGA Workweeks worked by each PAGA Employee during the PAGA Period
25 (i.e., the Individual PAGA Payments).

26 12. Settlement Administration Costs. The Settlement Administrator will be paid for the
27 reasonable costs of administration of the Settlement and distribution of payments under the Settlement,
28 which are currently not to exceed Thirteen Thousand Dollars and Zero Cents (\$13,000.00). These

costs, which will be paid from the Gross Settlement Amount, subject to Court approval, will include, *inter alia*, translating the Class Notice to Spanish, printing, distributing, and tracking Class Notices and other documents for the Settlement, calculating and distributing payments due under the Settlement, issuing of 1099 and W-2 IRS Forms and all required tax reporting, filings, withholdings, and remittances, providing necessary reports and declarations, and other duties and responsibilities set forth herein to process the Settlement, and as requested by the Parties. To the extent the actual Settlement Administrator's costs are greater than the estimated amount stated herein, such excess amount will be deducted from the Gross Settlement Amount, subject to approval by the Court. Any portion of the estimated, designated, and/or awarded Settlement Administration Costs which are not in fact required to fulfill payment to the Settlement Administrator to undertake the required settlement administration duties shall be reallocated to the Net Settlement Amount for the benefit of the Settlement Class Members.

13. Individual Settlement Share Calculations. Individual Settlement Shares will be calculated and apportioned from the Net Settlement Amount based on the Class Members' number of Workweeks, as follows:

a. After Preliminary Approval, the Settlement Administrator will divide the Net Settlement Amount by the Workweeks of all Class Members to yield the "Estimated Workweek Value," and multiply each Class Member's individual Workweeks by the Estimated Workweek Value to yield each Class Member's estimated Individual Settlement Share that each Class Member may be entitled to receive under the Class Settlement.

b. After Final Approval, the Settlement Administrator will divide the final Net Settlement Amount by the Workweeks of all Settlement Class Members to yield the "Final Workweek Value," and multiply each Settlement Class Member's individual Workweeks by the Final Workweek Value to each Settlement Class Member's final Individual Settlement Share.

14. Individual PAGA Payment Calculations. Individual PAGA Payments will be calculated and apportioned from the PAGA Employee Amount based on the PAGA Employees' number of PAGA Workweeks, as follows: The Settlement Administrator will divide the PAGA Employee Amount, i.e., 25% of the PAGA Amount, by the PAGA Workweeks of all PAGA

1 Employees to yield the “PAGA Workweek Value,” and multiply each PAGA Employee’s individual
2 PAGA Workweeks by the PAGA Workweek Value to yield each PAGA Employee’s Individual
3 PAGA Payment.

4 15. Tax Treatment of Individual Settlement Shares and Individual PAGA Payments. Each
5 Individual Settlement Share will be allocated as follows: twenty percent (20%) wages and eighty
6 percent (80%) penalties, interest, and non-wage damages. The portion allocated to wages will be
7 reported on an IRS Form W-2 and the portions allocated to penalties, interest, and non-wage damages
8 will be reported on an IRS Form 1099 (if applicable) by the Settlement Administrator. The Settlement
9 Administrator will withhold the employee’s share of taxes and withholdings with respect to the wages
10 portion of the Individual Settlement Shares, and issue checks to Settlement Class Members for their
11 Individual Settlement Payments (i.e., payment of their Individual Settlement Share net of these taxes
12 and withholdings). The Employer Taxes will be paid separately and in addition to the Gross
13 Settlement Amount. Each Individual PAGA Payment will be allocated as one hundred percent (100%)
14 penalties and will be reported on an IRS Form 1099 (if applicable) by the Settlement Administrator.

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16 16. Administration of Taxes by the Settlement Administrator. The Settlement
17 Administrator will be responsible for issuing to Plaintiff, Settlement Class Members, PAGA
18 Employees, and Class Counsel any tax forms (i.e., IRS Forms W-2, IRS Forms 1099, etc.) as may be
19 required by law for all amounts paid pursuant to this Settlement Agreement. The Settlement
20 Administrator will also be responsible for calculating the Employer Taxes and forwarding all payroll
21 taxes and other legally required withholdings to the appropriate government authorities.

22 17. Tax Liability. Plaintiff, Class Counsel, Defendant, and Defendant’s Counsel do not
23 intend anything contained in this Settlement Agreement to constitute advice regarding taxes or
24 taxability, nor shall anything in this Settlement Agreement be relied on as such. Plaintiff, Settlement
25 Class Members, and PAGA Employees are not relying on any statement, representation, or calculation
26 by Defendant, the Settlement Administrator, or Class Counsel in this regard. Plaintiff, Settlement
27 Class Members, and PAGA Employees understand and agree that Plaintiff, Settlement Class
28 Members, and PAGA Employees will be solely responsible for the payment of any taxes and penalties

1 assessed on the payments described in this Settlement Agreement. Plaintiff, Settlement Class
2 Members, and PAGA Employees should consult with their tax advisors concerning the tax
3 consequences of any payment they receive under the Settlement.

4 18. Circular 230 Disclaimer. EACH PARTY TO THIS SETTLEMENT AGREEMENT
5 (FOR PURPOSES OF THIS SECTION, THE “ACKNOWLEDGING PARTY” AND EACH PARTY
6 TO THIS SETTLEMENT AGREEMENT OTHER THAN THE ACKNOWLEDGING PARTY, AN
7 “OTHER PARTY”) ACKNOWLEDGES AND AGREES THAT (1) NO PROVISION OF THIS
8 SETTLEMENT AGREEMENT, AND NO WRITTEN COMMUNICATION OR DISCLOSURE
9 BETWEEN OR AMONG THE PARTIES OR THEIR ATTORNEYS AND OTHER ADVISERS, IS
10 OR WAS INTENDED TO BE, NOR WILL ANY SUCH COMMUNICATION OR DISCLOSURE
11 CONSTITUTE OR BE CONSTRUED OR BE RELIED UPON AS, TAX ADVICE WITHIN THE
12 MEANING OF UNITED STATES TREASURY DEPARTMENT CIRCULAR 230 (31 CFR PART
13 10, AS AMENDED); (2) THE ACKNOWLEDGING PARTY (A) HAS RELIED EXCLUSIVELY
14 UPON HIS, HER, OR ITS OWN, INDEPENDENT LEGAL AND TAX COUNSEL FOR ADVICE
15 (INCLUDING TAX ADVICE) IN CONNECTION WITH THIS SETTLEMENT AGREEMENT, (B)
16 HAS NOT ENTERED INTO THIS SETTLEMENT AGREEMENT BASED UPON THE
17 RECOMMENDATION OF ANY OTHER PARTY OR ANY ATTORNEY OR ADVISOR TO ANY
18 OTHER PARTY, AND (C) IS NOT ENTITLED TO RELY UPON ANY COMMUNICATION OR
19 DISCLOSURE BY ANY ATTORNEY OR ADVISOR TO ANY OTHER PARTY TO AVOID ANY
20 TAX PENALTY THAT MAY BE IMPOSED ON THE ACKNOWLEDGING PARTY; AND (3) NO
21 ATTORNEY OR ADVISOR TO ANY OTHER PARTY HAS IMPOSED ANY LIMITATION THAT
22 PROTECTS THE CONFIDENTIALITY OF ANY SUCH ATTORNEY’S OR ADVISOR’S TAX
23 STRATEGIES (REGARDLESS OF WHETHER SUCH LIMITATION IS LEGALLY BINDING)
24 UPON DISCLOSURE BY THE ACKNOWLEDGING PARTY OF THE TAX TREATMENT OR
25 TAX STRUCTURE OF ANY TRANSACTION, INCLUDING ANY TRANSACTION
26 CONTEMPLATED BY THIS SETTLEMENT AGREEMENT.

27 19. Settlement Awards Do Not Trigger Additional Benefits. All payments made under the
28 Settlement shall be deemed to be paid to the payee solely in the year in which such payments actually

1 are issued to the payee. It is expressly understood and agreed that payments made under this
2 Settlement shall not in any way entitle Plaintiff, Settlement Class Members, or any PAGA Employee
3 to additional compensation or benefits under any new or additional compensation or benefits, or any
4 bonus, contest, or other compensation or benefit plan or agreement in place during the Class Period,
5 nor will it entitle Plaintiff, Settlement Class Members, or any PAGA Employee to any increased
6 retirement, 401K benefits or matching benefits, or deferred compensation benefits (notwithstanding
7 any contrary language or agreement in any benefit or compensation plan document that might have
8 been in effect during the Class Period).

9 20. Duties of the Parties with Respect to Obtaining Preliminary Approval of the Settlement.

10 Upon execution of this Settlement Agreement, Plaintiff will obtain a hearing date from the Court for
11 Plaintiff's motion for preliminary approval of the Settlement, which Plaintiff and Class Counsel will
12 be responsible for drafting, and submit this Settlement Agreement to the Court in support of said
13 motion. Class Counsel will provide Defendant's Counsel a draft of the preliminary approval motion
14 before filing it with the Court. Defendant agrees not to oppose the motion for preliminary approval
15 of the Settlement consistent with this Settlement Agreement. By way of said motion, Plaintiff will
16 apply for the entry of the Preliminary Approval Order seeking the following:

- 17 a. Conditionally certifying the Class for settlement purposes only;
- 18 b. Granting Preliminary Approval of the Settlement;
- 19 c. Preliminarily appointing Plaintiff as the representative of the Class;
- 20 d. Preliminarily appointing Class Counsel as counsel for the Class;
- 21 e. Approving as to form and content, the mutually-agreed upon and proposed
22 Class Notice and directing its mailing by First Class U.S. Mail;
- 23 f. Approving the manner and method for Class Members to request exclusion
24 from or object to the Class Settlement as contained herein and within the Class Notice;
- 25 g. Scheduling a Final Approval Hearing at which the Court will determine whether
26 Final Approval of the Settlement should be granted.

27 21. Notice of Settlement to the LWDA. Pursuant to California Labor Code § 2699(1)(2),
28 Class Counsel shall notify the LWDA of the Settlement upon filing the motion for preliminary

1 approval of the Settlement.

2 22. Delivery of Class List. Within fourteen (14) calendar days of Preliminary Approval,
3 Defendant will provide the Class List to the Settlement Administrator.

4 23. Notice by First-Class U.S. Mail.

5 a. Within seven (7) calendar days after receiving the Class List from Defendant,
6 the Settlement Administrator will perform a search based on the National Change of Address Database
7 or any other similar services available, such as provided by Experian, for information to update and
8 correct for any known or identifiable address changes, and will mail a Class Notice and PAGA
9 Employees in English and Spanish (in the form attached as **Exhibit A** to this Settlement Agreement)
10 to all Class Members via First-Class U.S. Mail, using the most current, known mailing addresses
11 identified by the Settlement Administrator.

12 b. Any Class Notice returned to the Settlement Administrator as undeliverable on
13 or before the Response Deadline will be sent promptly via First-Class U.S. Mail to the forwarding
14 address affixed thereto and the Settlement Administrator will indicate the date of such re-mailing on
15 the Class Notice. If no forwarding address is provided, the Settlement Administrator will promptly
16 attempt to determine the correct address using a skip-trace or other search, using the name, address,
17 and/or Social Security number of the Class Member and/or PAGA Employee, and perform a single
18 re-mailing within five (5) calendar days.

19 c. Compliance with the procedures described herein above shall constitute due and
20 sufficient notice to Class Members of the Settlement and shall satisfy the requirements of due process.
21 Nothing else shall be required of or done by the Parties, Class Counsel, or Defendant's Counsel to
22 provide notice of the Settlement.

23 24. Disputes Regarding Workweeks and/or PAGA Workweeks. Class Members and
24 PAGA Employees will have an opportunity to dispute the number of Workweeks and/or PAGA
25 Workweeks to which they have been credited, as reflected in their respective Class Notices, by
26 submitting a timely and valid Workweeks Dispute to the Settlement Administrator, by mail,
27 postmarked on or before the Response Deadline. The date of the postmark on the return mailing
28 envelope will be the exclusive means to determine whether a Workweeks Dispute has been timely

submitted. Absent evidence rebutting the accuracy of Defendant's records and data as they pertain to the number of Workweeks and/or PAGA Workweeks to be credited to a disputing Class Member and/or PAGA Employee, Defendant's records will be presumed to be correct and determinative of the dispute. However, if a Class Member and/or PAGA Employee produces information and/or documents to the contrary, the Settlement Administrator will evaluate the materials submitted by the Class Member and/or PAGA Employee and the Settlement Administrator will resolve and determine the number of eligible Workweeks and/or PAGA Workweeks that the disputing Class Member and/or PAGA Employee should be credited with under the Settlement. The Settlement Administrator's decision on such disputes will be final and non-appealable.

25. Requesting Exclusion from the Class Settlement. Any Class Member wishing to be excluded from the Class Settlement must submit a timely and valid Request for Exclusion to the Settlement Administrator, by mail, postmarked on or before the Response Deadline. The date of the postmark on the return mailing envelope will be the exclusive means to determine whether a Request for Exclusion has been timely submitted. The Settlement Administrator will certify jointly to Class Counsel and Defendant's Counsel the number of timely and valid Requests for Exclusion that are submitted, and also identify the individuals who have submitted a timely and valid Request for Exclusion in a declaration that is to be filed with the Court in advance of the Final Approval Hearing. At no time will any of the Parties or their counsel seek to solicit or otherwise encourage Class Members to request exclusion from the Class Settlement. Any Class Member who submits a Request for Exclusion is prohibited from making any objection to the Class Settlement. Any Class Member who submits a timely and valid Request for Exclusion will not be bound by the Class Settlement and will not be issued an Individual Settlement Payment. Any Class Member who does not affirmatively request exclusion from the Class Settlement by submitting a timely and valid Request for Exclusion will be bound by all of the terms of the Class Settlement, including and not limited to those pertaining to the Released Class Claims, as well as any judgment that may be entered by the Court if it grants Final Approval to the Settlement. Notwithstanding the above, all PAGA Employees will be bound to the PAGA Settlement and will be issued their Individual PAGA Payment, irrespective of whether they submit a Request for Exclusion.

1 26. Objecting to the Class Settlement. To object to the Class Settlement, Settlement Class
2 Members must submit a timely and complete Notice of Objection to the Settlement Administrator, by
3 mail, postmarked on or before the Response Deadline. The date of the postmark on the return mailing
4 envelope will be the exclusive means to determine whether a Notice of Objection has been timely
5 submitted. The Settlement Administrator will certify jointly to Class Counsel and Defendant's
6 Counsel the number of Notices of Objection that are submitted (specifying which ones were timely
7 and complete and which were not), and also attach them to a declaration that is to be filed with the
8 Court in advance of the Final Approval Hearing. At no time will any of the Parties or their counsel
9 seek to solicit or otherwise encourage Settlement Class Members to object to the Class Settlement or
10 appeal from the Final Approval Order and Judgment. Settlement Class Members, individually or
11 through counsel, may also present their objection orally at the Final Approval Hearing, regardless of
12 whether they have submitted a Notice of Objection.

13 27. Reports by the Settlement Administrator. The Settlement Administrator shall provide
14 weekly reports to counsel for the Parties providing: (a) the number of undeliverable and re-mailed
15 Class Notices; (ii) the number of Class Members and PAGA Employees who have submitted
16 Workweeks Disputes; (iii) the number of Class Members who have submitted Requests for Exclusion;
17 and (iv) the number of Settlement Class Members who have submitted Notices of Objection.
18 Additionally, the Settlement Administrator will provide to counsel for the Parties any updated reports
19 regarding the administration of the Settlement Agreement as needed or requested, and immediately
20 notify the Parties when it receives a request from an individual or any other entity regarding inclusion
21 in the Class and/or Settlement or regarding a Workweeks Dispute.

22 28. Defendant's Right to Rescind. If more than ten percent (10%) of the Class Members
23 submit timely and valid Requests for Exclusion, Defendant may elect to rescind the Settlement
24 Agreement. Defendant must exercise this right of rescission in writing that is provided to Class
25 Counsel within fourteen (14) calendar days of the Settlement Administrator notifying the Parties of
26 the number of Class Members who have submitted timely and valid Requests for Exclusion following
27 the Response Deadline. If Defendant exercises this option, Defendant shall pay any costs of settlement
28 administration owed to the Settlement Administrator incurred up to that date.

1 29. Certification of Completion. Upon completion of administration of the Settlement, the
2 Settlement Administrator will provide a written declaration under oath to certify such completion to
3 the Court and counsel for all Parties.

4 30. Duties of the Parties with Respect to Obtaining Final Approval of the Settlement. After
5 the Response Deadline, a Final Approval Hearing will be conducted to determine whether Final
6 Approval of the Settlement should be granted, along with the amounts properly payable for: (a)
7 Individual Settlement Shares; (b) Individual PAGA Payments; (c) LWDA Payment; (d) Attorneys'
8 Fees and Costs; (e) Enhancement Payment; and (f) Settlement Administration Costs. The Final
9 Approval Hearing will not be held earlier than thirty (30) calendar days after the Response Deadline.
10 Plaintiff and Class Counsel will be responsible for drafting the motion seeking Final Approval of the
11 Settlement. Class Counsel will provide Defendant's Counsel a draft of the final approval motion
12 before filing it with the Court. By way of said motion, Plaintiff will apply for the entry of the Final
13 Approval Order and Judgment, which will provide for, in substantial part, the following:

- 14 a. Approval of the Settlement as fair, reasonable, and adequate, and directing
15 consummation of its terms and provisions;
16 b. Certification of the Settlement Class;
17 c. Approval of the application for Attorneys' Fees and Costs to Class Counsel;
18 d. Approval of the application for Enhancement Payment to Plaintiff;
19 e. Directing Defendant to fund all amounts due under the Settlement Agreement
20 and ordered by the Court; and
21 f. Entering judgment in the Action, while maintaining continuing jurisdiction, in
22 conformity with California Rules of Court 3.769 and the Settlement Agreement.

23 31. Funding of the Gross Settlement Amount. No later than ten (10) business days after
24 the Effective Date, Defendant will deposit the Gross Settlement Amount into a Qualified Settlement
25 Fund ("QSF") within the meaning of Treasury Regulation Section 1.468B-1, *et seq.*, to be established
26 by the Settlement Administrator. Defendant shall provide all information necessary for the Settlement
27 Administrator to calculate necessary payroll taxes including its official name, 8-digit state
28 unemployment insurance tax ID number, and other information requested by the Settlement
Administrator, no later than ten (10) business days after the Effective Date.

1 32. Distribution of the Gross Settlement Amount. Within five (5) business days of the
2 funding of the Gross Settlement Amount, the Settlement Administrator will issue the Individual
3 Settlement Payments to Settlement Class Members, Individual PAGA Payments to PAGA Employees,
4 LWDA Payment to the LWDA, Enhancement Payment to Plaintiff, Attorneys' Fees and Costs to Class
5 Counsel, and Settlement Administration Costs to itself. The Settlement Administrator shall also set
6 aside the Employer Taxes and all employee-side payroll taxes, contributions, and withholding, and
7 timely forward these to the appropriate government authorities.

8 ~~32. ///~~

9 33. Settlement Checks. The Settlement Administrator will be responsible for undertaking
10 appropriate deductions, required tax reporting, and issuing the Individual Settlement Payments by way
11 of check to the Settlement Class Members and the Individual PAGA Payments by way of check to the
12 PAGA Employees in accordance with this Settlement Agreement. When issuing payments, the
13 Settlement Administrator may combine the Individual Settlement Payment and Individual PAGA
14 Payment into one check if the intended recipient for both payments is one individual. Settlement Class
15 Members and PAGA Employees are not required to submit a claim to be issued an Individual
16 Settlement Payment and/or Individual PAGA Payment. Each Individual Settlement Payment and
17 Individual PAGA Payment check will be valid and negotiable for one hundred and eighty (180)
18 calendar days from the date the checks are issued, and thereafter, shall be canceled. Any funds
19 associated with such canceled checks shall be distributed by the Settlement Administrator to the State
20 of California's Unclaimed Property Fund in the name of the Settlement Class Member and/or PAGA
21 Employee. The Parties agree that this disposition results in no "unpaid residue" under California Civil
22 Procedure Code § 384, as the entire Net Settlement Amount will be paid out to Settlement Class
23 Members, whether or not they cash their settlement checks. Therefore, Defendant will not be required
24 to pay any interest on such amounts. The Settlement Administrator shall undertake amended and/or
25 supplemental tax filings and reporting required under applicable local, state, and federal tax laws that
26 are necessitated due to the cancelation of any Individual Settlement Payment and/or Individual PAGA
27 Payment checks. Settlement Class Members whose Individual Settlement Payment checks are
28 canceled shall, nevertheless, be bound by the Class Settlement, and PAGA Employees whose

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1 Individual PAGA Payment checks are cancelled shall, nevertheless, be bound by the PAGA
2 Settlement.

3 34. Class Settlement Release. Upon the full funding of the Gross Settlement Amount,
4 Plaintiff and all Settlement Class Members will be deemed to have fully, finally, and forever released,
5 settled, compromised, relinquished, and discharged the Released Parties of all Released Class Claims.

6 35. PAGA Settlement Release. Upon the full funding of the Gross Settlement Amount,
7 Plaintiff, the State of California with respect to all PAGA Employees, and all PAGA Employees will
8 be deemed to have fully, finally, and forever released, settled, compromised, relinquished, and
9 discharged the Released Parties of all Released PAGA Claims.

10 36. Plaintiff's General Release. Upon the full funding of the Gross Settlement Amount,
11 Plaintiff, individually and on his own behalf, will be deemed to have fully, finally, and forever
12 released, settled, compromised, relinquished, and discharged the Released Parties from any and all
13 claims, debts, liabilities, demands, obligations, guarantees, costs, expenses, attorneys' fees, damages,
14 or causes of action of any kind or nature whatsoever, known or unknown, suspected or unsuspected,
15 asserted or unasserted, which Plaintiff, at any time of execution of this Settlement Agreement, had or
16 claimed to have or may have, including but not limited to any and all claims arising out of, relating to,
17 or resulting from his employment and/or separation of employment with the Released Parties,
18 including any claims arising under any federal, state, or local law, statute, ordinance, rule, or regulation
19 or Executive Order relating to employment, including, but in no way limited to, any claim under Title
20 VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 1981; the Americans with Disabilities
21 Act; the Family and Medical Leave Act; the Employee Retirement Income Security Act; the California
22 Family Rights Act; the California Fair Employment and Housing Act; all claims for wages or penalties
23 under the Fair Labor Standards Act; all claims for wages or penalties under the California Labor Code;
24 Business and Professions Code sections 17200 *et seq.*; all laws relating to violation of public policy,
25 retaliation, or interference with legal rights; any and all other employment or discrimination laws;
26 whistleblower claims; any tort, fraud, or constitutional claims; and any breach of contract claims or
27 claims of promissory estoppel. It is agreed that this is a general release and is to be broadly construed
28 as a release of all claims, provided that, notwithstanding the foregoing, this Paragraph expressly does

1 not include a release of any claims that cannot be released hereunder by law. Plaintiff understands
2 and expressly agrees that this Settlement Agreement extends to claims that he has against Defendant,
3 of whatever nature and kind, known or unknown, suspected or unsuspected, vested or contingent, past,
4 present, or future, arising from or attributable to an incident or event, occurring in whole or in part, on
5 or before the execution of this Settlement Agreement. Any and all rights granted under any state or
6 federal law or regulation limiting the effect of this Settlement Agreement, including the provisions of
7 Section 1542 of the California Civil Code, ARE HEREBY EXPRESSLY WAIVED. Section 1542 of
8 the California Civil Code reads as follows:

9 **A GENERAL RELEASE DOES NOT EXTEND TO CLAIMS THAT THE CREDITOR**
10 **OR RELEASING PARTY DOES NOT KNOW OR SUSPECT TO EXIST IN HIS OR HER**
11 **FAVOR AT THE TIME OF EXECUTING THE RELEASE AND THAT, IF KNOWN BY HIM**
12 **OR HER, WOULD HAVE MATERIALLY AFFECTED HIS OR HER SETTLEMENT WITH**
13 **THE DEBTOR OR RELEASED PARTY.**

14 37. Final Approval Order and Judgment. The Parties shall provide the Settlement
15 Administrator with a copy of the Final Approval Order and Judgment once it is entered by the Court,
16 and the Settlement Administrator shall post the Final Approval Order and Judgment on its website for
17 sixty (60) calendar days. No individualized notice of the Final Approval Order and Judgment to the
18 Class will be required.

19 38. Continued Jurisdiction. After entry of the judgment pursuant to the Settlement, the
20 Court will have continuing jurisdiction pursuant to Rule 3.769 of the California Rules of Court and
21 Section 664.6 of the California Code of Civil Procedure, for purposes of addressing: (a) the
22 interpretation and enforcement of the terms of the Settlement, (b) settlement administration matters,
23 and (c) such post-judgment matters as may be appropriate under court rules or as set forth in this
24 Settlement Agreement.

25 39. Effects of Termination or Rescission of Settlement. Termination or rescission of the
26 Settlement Agreement shall have the following effects:

27 a. The Settlement Agreement shall be void and shall have no force or effect, and
28 no Party shall be bound by any of its terms;

1 b. In the event the Settlement Agreement is terminated, Defendant shall have no
2 obligation to make any payments to any Party, Class Member, or attorney, except that the terminating
3 Party shall pay the Settlement Administrator for services rendered up to the date the Settlement
4 Administrator is notified that the Settlement has been terminated;

5 c. The Preliminary Approval Order, Final Approval Order and Judgment,
6 including any order certifying the Class, shall be vacated;

7 ///

8 ~~e.~~ ///

9 d. The Settlement Agreement and all negotiations, statements, and proceedings
10 relating thereto shall be without prejudice to the rights of any of the Parties, all of whom shall be
11 restored to their respective positions in the Action prior to the execution of the Settlement Agreement;

12 e. Neither this Settlement Agreement, nor any ancillary documents, actions,
13 statements, or filings in furtherance of the Settlement (including all matters associated with the
14 mediation) shall be admissible or offered into evidence in the Action or any other action for any
15 purpose whatsoever; and

16 f. Any documents generated to bring the Settlement into effect, will be null and
17 void, and any order or judgment entered by the Court in furtherance of this Settlement Agreement will
18 likewise be treated as void from the beginning.

19 ///

20 40. No Prior Assignments. The Parties and their counsel represent, covenant, and warrant
21 that they have not directly or indirectly assigned, transferred, encumbered, or purported to assign,
22 transfer, or encumber to any person or entity any portion of any liability, claim, demand, action, cause
23 of action or right herein released and discharged.

24 41. Exhibits Incorporated by Reference. The terms of this Settlement include the terms set
25 forth in any attached exhibits, which are incorporated by this reference as though fully set forth herein.
26 Any exhibits to this Settlement Agreement are an integral part of the Settlement.

27 42. Entire Agreement. This Settlement Agreement and any attached exhibits constitute the
28 entirety of the Parties' agreement relating to the settlement and transaction completed thereby, and all
prior or contemporaneous agreements, understandings, representations, and statements, whether oral

1 or written and whether by a Party or such Party's legal counsel, are merged herein. No other prior or
2 contemporaneous written or oral agreements may be deemed binding on the Parties. The Parties
3 expressly recognize California Civil Code § 1625 and California Code of Civil Procedure § 1856(a),
4 which provide that a written agreement is to be construed according to its terms and may not be varied
5 or contradicted by extrinsic evidence, and the Parties agree that no such extrinsic oral or written
6 representations or terms will modify, vary, or contradict the terms of this Settlement Agreement.

7 43. Interim Stay of Proceedings. The Parties agree to hold in abeyance all proceedings in
8 the Action (including with respect to California Code of Civil Procedure § 583.310), except such
9 proceedings necessary to implement and complete this Settlement Agreement, pending the Final
10 Approval Hearing to be conducted by the Court.

11 44. Amendment or Modification. Prior to the filing of the motion for preliminary approval
12 of the Settlement, the Parties may not amend or modify any provision of this Settlement Agreement
13 except by written agreement signed by counsel for all Parties. After the filing of the motion for
14 preliminary approval of the Settlement, the Parties may not amend or modify any provision of this
15 Settlement Agreement except by written agreement signed by counsel for all the Parties and subject
16 to Court approval. A waiver or amendment of any provision of this Settlement Agreement will not
17 constitute a waiver of any other provision.

18 45. Authorization to Enter into Settlement Agreement. Counsel for all Parties warrant and
19 represent they are expressly authorized by the Parties whom they represent to negotiate this Settlement
20 Agreement and to take all appropriate action required or permitted to be taken by such Parties pursuant
21 to this Settlement Agreement to effectuate its terms and to execute any other documents required to
22 effectuate the terms of this Settlement Agreement. The Parties warrant that they understand and have
23 full authority to enter into this Settlement Agreement, and further intend that this Settlement
24 Agreement will be fully enforceable and binding on all Parties, and agree that it will be admissible
25 and subject to disclosure in any proceeding to enforce its terms, notwithstanding any mediation
26 confidentiality provisions that otherwise might apply under state or federal law.

27 46. Signatories. It is agreed that because the members of the Class are so numerous, it is
28 impossible or impractical to have each Settlement Class Member or PAGA Employee execute this
Settlement Agreement. The Class Notice will advise all Class Members of the binding nature of the
Class Settlement as to the Settlement Class Members and the binding nature of the PAGA Settlement

1 as to the PAGA Employees, and the releases provided for by this Settlement Agreement shall have
2 the same force and effect as if this Settlement Agreement were executed by each Settlement Class
3 Member and PAGA Employee.

4 47. Binding on Successors and Assigns. This Settlement Agreement will be binding upon,
5 and inure to the benefit of, the successors or assigns of the Parties hereto, as previously defined.

6 48. California Law Governs. All terms of this Settlement Agreement and attached exhibits
7 hereto will be governed by and interpreted according to the laws of the State of California.

8 ///

9 ~~48.~~ ///

10 49. Execution and Counterparts. This Settlement Agreement is subject only to the
11 execution of all Parties. However, this Settlement Agreement may be executed in one or more
12 counterparts. All executed counterparts and each of them, including facsimile, electronic, and scanned
13 copies of the signature page, will be deemed to be one and the same instrument.

14 50. Acknowledgement that the Settlement is Fair and Reasonable. The Parties believe this
15 Settlement Agreement is a fair, adequate, and reasonable settlement of the Action and have arrived at
16 this Settlement after arm's length negotiations and in the context of adversarial litigation, taking into
17 account all relevant factors, present and potential. The Parties further acknowledge that they are each
18 represented by competent counsel and that they have had an opportunity to consult with their counsel
19 regarding the fairness and reasonableness of this Settlement Agreement. In addition, if necessary to
20 obtain approval of the Settlement, the Mediator may execute a declaration supporting the Settlement
21 and the reasonableness of the Settlement and the Court may, in its discretion, contact the Mediator to
22 discuss the Settlement and whether or not the Settlement is objectively fair and reasonable.

23 51. Invalidity of Any Provision. Before declaring any provision of this Settlement
24 Agreement invalid, the Court will first attempt to construe the provision as valid to the fullest extent
25 possible consistent with applicable precedents so as to define all provisions of this Settlement
26 Agreement valid and enforceable.

27 52. Plaintiff's Cooperation. Plaintiff agrees to sign this Settlement Agreement and, by
28 signing this Settlement Agreement, is hereby bound by the terms herein and agrees to fully cooperate

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1 to implement the Settlement.

2 53. Non-Admission of Liability. The Parties enter into this Settlement Agreement to
3 resolve the dispute that has arisen between them and to avoid the burden, expense, and risk of
4 continued litigation. In entering into this Settlement Agreement, Defendant does not admit, and
5 specifically denies, it has violated any federal, state, or local law; violated any regulations or guidelines
6 promulgated pursuant to any statute or any other applicable laws, regulations, or legal requirements;
7 breached any contract; violated or breached any duty; engaged in any misrepresentation or deception;
8 or engaged in any other unlawful conduct with respect to its employees. Neither this Settlement
9 Agreement, nor any of its terms or provisions, nor any of the negotiations connected with it, shall be
10 construed as an admission or concession by Defendant of any such violations or failures to comply
11 with any applicable law. Except as necessary in a proceeding to enforce the terms of this Settlement
12 Agreement, this Settlement Agreement and its terms and provisions shall not be offered or received
13 as evidence in any action or proceeding to establish any liability or admission on the part of Defendant
14 or to establish the existence of any condition constituting a violation of, or a non-compliance with,
15 federal, state, local or other applicable law.

16 54. Captions. The captions and paragraph numbers in this Settlement Agreement are
17 inserted for the reader's convenience, and in no way define, limit, construe, or describe the scope or
18 intent of the provisions of this Settlement Agreement.

19 55. Mutual Preparation. The Parties have had a full opportunity to negotiate the terms and
20 conditions of this Settlement Agreement. Accordingly, this Settlement Agreement will not be
21 construed more strictly against one Party than another merely by virtue of the fact that it may have
22 been prepared by counsel for one of the Parties, it being recognized that, because of the arms-length
23 negotiations between the Parties, all Parties have contributed equally to the preparation of this
24 Settlement Agreement.

25 56. Representation By Counsel. The Parties acknowledge that they have been represented
26 by counsel throughout all negotiations that preceded the execution of this Settlement Agreement, and
27 that this Settlement Agreement has been executed with the consent and advice of counsel, and
28 reviewed in full.

1 57. Confidentiality Prior to Preliminary Approval. Plaintiff, Class Counsel, Defendant,
2 and Defendant's Counsel separately agree that, until the motion for preliminary approval of the
3 Settlement is filed, they and each of them will not disclose, disseminate, and/or publicize, or cause or
4 permit another person to disclose, disseminate, and/or publicize, any of the terms of this Agreement
5 directly or indirectly, specifically or generally, to any person, corporation, association, government
6 agency, or other entity except: (1) to the Parties' attorneys, accountants, or spouses, all of whom will
7 be instructed to keep this Agreement confidential; (2) counsel in a related matter; (3) to the extent
8 necessary to report income to appropriate taxing authorities; (4) in response to a court order or
9 subpoena; or (5) in response to an inquiry or subpoena issued by a state or federal government agency.
10 Each Party agrees to immediately notify each other Party of any judicial or agency order, inquiry, or
11 subpoena seeking such information. Plaintiff, Class Counsel, Defendant, and Defendant's Counsel
12 separately agree not to, directly or indirectly, initiate any conversation or other communication, before
13 the filing of the motion for preliminary approval of the Settlement, any with third party regarding this
14 Agreement or the matters giving rise to this Agreement except to respond only that "the matter was
15 resolved," or words to that effect. This Paragraph does not restrict Class Counsel's communications
16 with Class Members in accordance with Class Counsel's ethical obligations owed to Class Members.

17 58. Use and Return of Class List. Information provided to Class Counsel or the Settlement
18 Administrator pursuant to Cal. Evid. Code Section 1152, and all copies and summaries of the Class
19 List provided to Class Counsel by Defendant in connection with the mediation, other settlement
20 negotiations, or in connection with the Settlement, may be used only with respect to this Settlement,
21 and no other purpose, and may not be used in any way that violates any existing contractual agreement,
22 statute, or rule of court. Not later than ninety (90) calendar days after the date when the Court
23 discharges the Settlement Administrator's obligation to provide a declaration confirming the final pay
24 out of all Settlement funds, Plaintiff and the Settlement Administrator shall destroy, all paper and
25 electronic versions of the Class List received from Defendant unless, prior to the Court's discharge of
26 the Settlement Administrator's obligation, Defendant makes a written request to Class Counsel for the
27 return, rather than the destructions, of the Class List.

28 59. All Terms Subject to Final Court Approval. All amounts and procedures described in

1 this Settlement Agreement herein will be subject to final Court approval.

2 60. Notices. All notices, demands, and other communications to be provided concerning
3 the Settlement Agreement shall be in writing and deemed to have been duly given as of the third
4 business day after mailing by First Class U.S. Mail, or the day sent by email or messenger, addressed
5 as follows:

6 To Plaintiff and Class Counsel:

7 Jonathan M. Genish
8 jgenish@blackstonepc.com
9 Miriam L. Schimmel
10 mschimmel@blackstonepc.com
11 Joana Fang
12 jfang@blackstonepc.com
13 Alexandra Rose
14 arose@blackstonepc.com
15 Jared Osborne
16 josborne@blackstonepc.com
17 **BLACKSTONE LAW, APC**
18 8383 Wilshire Boulevard, Suite 745
19 Beverly Hills, California 90211
20 Tel: (310) 622-4278 / Fax: (855) 786-6356

21 To Defendant:

22 Brigham M. Cheney
23 bcheney@aallr.com
24 Christopher M. Francis
25 christopher.francis@aallr.com
26 **ATKINSON, ANDELSON, LOYA, RUDD & ROMO**
27 20 Pacifica, Suite 1100
28 Irvine, California 92618
Tel: (949) 453-4298 / Fax: (949) 453-4262

29 ///

30 61. Cooperation and Execution of Necessary Documents. All Parties and their counsel will
31 cooperate with each other in good faith and use their best efforts to implement the Settlement,
32 including and not limited to, executing all documents to the extent reasonably necessary to effectuate
33 the terms of this Settlement Agreement. If the Parties are unable to reach agreement on the form or
34 content of any document needed to implement the Settlement Agreement, or on any supplemental
35 provisions that may become necessary to effectuate the terms of this Settlement Agreement, the Parties
36 may seek the assistance of the Mediator and then the Court to resolve such disagreement.

IN WITNESS WHEREOF, the Parties hereto knowingly and voluntarily executed this **First Amended** Joint Stipulation of Class Action and PAGA Settlement between Plaintiff and Defendant:

IT IS SO AGREED.

PLAINTIFF AARON COFFEY

Dated: _____

Plaintiff Aaron Coffey

**DEFENDANT CATALINA CHANNEL
EXPRESS, INC.**

Dated: _____

Full Name: _____

Title: _____
On behalf of Defendant Catalina Channel
Express, Inc.

APPROVED AS TO FORM ONLY:

BLACKSTONE LAW, APC

Dated: _____

Jonathan M. Genish
Attorneys for Plaintiff Aaron Coffey
and Proposed Class Counsel

///

///

ATKINSON, ANDELSON, LOYA, RUDD & ROMO

Dated: _____

Brigham M. Cheney
Christopher M. Francis
Attorneys for Defendant Catalina Channel
Express, Inc.

EXHIBIT 4

NOTICE OF CLASS ACTION SETTLEMENT

Aaron Coffey v. Catalina Channel Express, Inc.
Superior Court of California for the County of Los Angeles, Case No. 21STCV41396

PLEASE READ THIS CLASS NOTICE CAREFULLY.

You have received this Class Notice because Defendant's records indicate that you may be eligible to take part in the class action settlement reached in the above-referenced case.

You do not need to take any action to receive a settlement payment.

This Class Notice is designed to advise you of your rights and options with respect to the settlement, and how you can request to be excluded from the Class Settlement, object to the Class Settlement, and/or dispute the number of Workweeks and/or PAGA Workweeks that you are credited with, if you so choose.

YOU ARE NOTIFIED THAT: A class and representative action settlement has been reached between Plaintiff Aaron Coffey ("Plaintiff") and Defendant Catalina Channel Express, Inc. ("Defendant") (Plaintiff and Defendant are collectively referred to as the "Parties") in the case entitled *Aaron Coffey v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. 21STCV41396 ("Action"), which may affect your legal rights. On [date of Preliminary Approval], the Court granted preliminary approval of the settlement and scheduled a hearing on [hearing date] at [hearing time] ("Final Approval Hearing") to determine whether or not the Court should grant final approval of the settlement.

I. IMPORTANT DEFINITIONS

"Class" or "Class Member(s)" means all current and former non-exempt employees who worked for Defendant within the State of California at any time during the Class Period.

"Class Period" means the period from November 10, 2017 through November 7, 2021, [March 13, 2024 or the date on which the total number of workweeks reaches 30,000, whichever is earlier].

"Class Settlement" means the settlement and resolution of all Released Class Claims.

"PAGA Employee(s)" means all current and former non-exempt employees who worked for Defendant within the State of California at any time during the PAGA Period.

"PAGA Period" the period from November 8, 2020 through [March 13, 2024 or the date on which the total number of workweeks reaches 30,000, whichever is earlier] December 3, 2023.

"PAGA Settlement" means the settlement and resolution of all Released PAGA Claims.

II. BACKGROUND OF THE ACTION

On November 8, 2021, Plaintiff provided written notice to the California Labor and Workforce Development Agency ("LWDA") and Defendant of the specific provisions of the California Labor Code that Plaintiff contends were violated ("PAGA Letter"). On November 10, 2021, Plaintiff commenced a putative class action lawsuit by filing a Class Action Complaint in the Action. On March 29, 2022, Plaintiff filed a First Amended Class Action and Representative Action Complaint ("Operative Complaint"), which added a cause of action under the Private Attorneys General Act of 2004 pursuant to California Labor Code Section 2698, *et seq.* ("PAGA").

Plaintiff contends that Defendant failed to properly pay minimum and overtime wages, provide compliant meal and rest breaks and associated premiums, timely pay wages during employment and upon termination and associated waiting-time penalties, provide accurate wage statements, and reimburse business expenses, and thereby engaged in unfair business practices in violation of the California Business and Professions Code section 17200, *et seq.*, and conduct that gives rise to penalties under PAGA. Plaintiff seeks, among other things, recovery of unpaid wages and meal and rest period premiums, unreimbursed business expenses, restitution, penalties, interest, and attorneys' fees and costs.

Defendant denies all of the allegations in the Action and denies that it violated any law.

The Parties participated in mediation with a respected class action mediator, and as a result, the Parties reached a mutual settlement. The Parties have since entered into a First Amended Joint Stipulation of Class Action and PAGA Settlement (“Settlement” or “Settlement Agreement”).

On [Date of Preliminary Approval], the Court entered an order preliminarily approving the Settlement. The Court has appointed CPT Group, Inc. as the administrator of the Settlement (“Settlement Administrator”), Plaintiff Aaron Coffey as representative of the Class (“Class Representative”), and the following Plaintiff’s attorneys as counsel for the Class (“Class Counsel”):

Jonathan M. Genish
Miriam L. Schimmel
Joana Fang
Alexandra Rose
Jared Osborne
Blackstone Law, APC
8383 Wilshire Boulevard, Suite 745
Beverly Hills, California 90211
Tel: (310) 622-4278 / Fax: (855) 786-6356

If you are a Class Member, you need not take any action to receive an Individual Settlement Payment, but you have the opportunity to request exclusion from the Class Settlement (in which case you will not receive an Individual Settlement Payment), object to the Class Settlement, and/or dispute the Workweeks and/or PAGA Workweeks credited to you, if you so choose, as explained more fully in Sections III and IV below. If you are a PAGA Employee, you do not need to take any action to receive an Individual PAGA Payment; you will not have the opportunity to object or seek exclusion from the PAGA Settlement and all PAGA Employees will be bound to the PAGA Settlement if the Court grants final approval of the Settlement.

The Settlement represents a compromise and mutual settlement of highly disputed claims. Nothing in the Settlement is intended or will be construed as an admission by Defendant that the claims in the Action have merit or that Defendant has any liability to Plaintiff, Class Members, or PAGA Employees. Plaintiff and Defendant, and their respective counsel, have concluded and agree that, in light of the risks and uncertainties to each side of continued litigation, the Settlement is fair, reasonable, and adequate, and is in the best interests of the Class Members, the State of California, and PAGA Employees.

III. SUMMARY OF THE PROPOSED SETTLEMENT

A. Settlement Formula

The total gross settlement amount is One Million Dollars and Zero Cents (\$1,000,000.00) (the “Gross Settlement Amount”). The portion of the Gross Settlement Amount that is available for payment to Class Members is referred to as the “Net Settlement Amount.” The Net Settlement Amount will be the Gross Settlement Amount less the following payments which are subject to approval by the Court: (1) attorneys’ fees, in an amount not to exceed one-third (1/3) of the Gross Settlement Amount (i.e., \$333,333.33), and reimbursement of litigation costs and expenses, in an amount not to exceed Thirty Thousand Dollars and Zero Cents (\$30,000.00) to Class Counsel; (2) Enhancement Payment in an amount not to exceed Five Thousand Dollars and Zero Cents (\$5,000.00) to Plaintiff for his services in the Action; (3) the amount of One Hundred Thousand Dollars and Zero Cents (\$100,000.00) allocated toward civil penalties under the Private Attorneys General Act (“PAGA Amount”), of which the LWDA will be paid 75% (75,000.00) (“LWDA Payment”) and the remaining 25% (\$25,000.00) will be distributed to PAGA Employees (“PAGA Employee Amount”); and (4) Settlement Administration Costs in an amount not to exceed Thirteen Thousand Dollars and Zero Cents (\$13,000.00) to the Settlement Administrator.

Class Members are eligible to receive payment under the Class Settlement of their *pro rata* share of the Net Settlement Amount (“Individual Settlement Share”) based on the number of weeks each Class Member worked for Defendant as a non-exempt employee in California during the Class Period (“Workweeks”). In order to be counted as a Workweek, the Class Member must have worked at least one day in that week. Excluded are weeks covered by any previous individual settlement agreements and the settlement agreement in the case entitled *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. BC707664.

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The Settlement Administrator has divided the Net Settlement Amount by the Workweeks of all Class Members to yield the “Estimated Workweek Value,” and multiplied each Class Member’s individual Workweeks by the Estimated Workweek Value to yield an estimated Individual Settlement Share that each Class Member may be entitled to receive under the Class Settlement (which is listed in Section III.C below). Class Members who do not submit a timely and valid Request for Exclusion (“Settlement Class Members”) will be issued their final Individual Settlement Payment.

Each Individual Settlement Share will be allocated as twenty percent (20%) as wages, which will be reported on an IRS Form W-2, and eighty percent (80%) as penalties, interest, and non-wage damages, which will be reported on an IRS Form 1099 (if applicable). Each Individual Settlement Share will be subject to reduction for the employee’s share of payroll taxes and withholdings with respect to the wages portion of the Individual Settlement Shares resulting in a net payment to the Settlement Class Member (“Individual Settlement Payment”). The employer’s share of taxes and contributions in connection with the wages portion of Individual Settlement Shares (“Employer Taxes”) will be paid by Defendant separately and in addition to the Gross Settlement Amount.

PAGA Employees are eligible to receive payment under the PAGA Settlement of their *pro rata* share of the PAGA Employee Amount (“Individual PAGA Payment”) based on the number of weeks each PAGA Employee worked for Defendant as a non-exempt employee in California during the PAGA Period (“PAGA Workweeks”). In order to be counted as a PAGA Workweek, the PAGA Employee must have worked at least one day in that week. Excluded are weeks covered by any previous individual settlement agreements and the settlement agreement in the case entitled *Andres Gonzalez v. Catalina Channel Express, Inc.*, Los Angeles County Superior Court Case No. BC707664.

The Settlement Administrator had divided the PAGA Employee Amount, i.e., 25% of the PAGA Amount, by the PAGA Workweeks of all PAGA Employees to yield the “PAGA Workweek Value,” and multiplied each PAGA Employee’s individual PAGA Workweeks by the PAGA Workweek Value to yield each PAGA Employee’s Individual PAGA Payment.

Each Individual PAGA Payment will be allocated as one hundred percent (100%) penalties, will not be subject to taxes or withholdings, and will be reported on IRS Form 1099 (if applicable).

If the Court grants final approval of the Settlement, Individual Settlement Payments will be mailed to Settlement Class Members and Individual PAGA Payments will be mailed to PAGA Employees at the address that is on file with the Settlement Administrator. **If the address to which this Class Notice was mailed is not correct, or if you move after you receive this Class Notice, you must provide your correct mailing address to the Settlement Administrator as soon as possible to ensure you receive any payment that you may be entitled to under the Settlement.**

B. Your Workweeks and PAGA Workweeks (if applicable) Based on Defendant’s Records

According to Defendant’s records:

- From November 10, 2017 through November 7, 2021 March 13, 2024 or the date on which the total number of workweeks reaches 30,000, whichever is earlier (i.e., the Class Period), you are credited as having worked [] Workweeks.
- From November 8, 2020 through December 3, 2023 March 13, 2024 or the date on which the total number of workweeks reaches 30,000, whichever is earlier (i.e., the PAGA Period), you are credited as having worked [] PAGA Workweeks.

If you wish to dispute the Workweeks and/or PAGA Workweeks credited to you, you must submit your dispute in writing to the Settlement Administrator (“Workweeks Dispute”). The Workweeks Dispute must: (a) contain the case name and number of the Action (*Coffey v. Catalina Channel Express, Inc.*, Case No. 21STCV41396); (b) contain your full name, signature, address, telephone number, and the last four (4) digits of your Social Security number; (c) clearly state that you dispute the number of Workweeks and/or PAGA Workweeks credited to you and what you contend is the correct number; and (d) be returned by mail to the Settlement Administrator at the specified address listed in Section IV.B below, postmarked on or before Response Deadline.

C. Your Estimated Individual Settlement Share and Individual PAGA Payment (if applicable)

As explained above, your estimated Individual Settlement Share and Individual PAGA Payment (if applicable) is based on the number of Workweeks and PAGA Workweeks (if applicable) credited to you.

Under the terms of the Settlement, your Individual Settlement Share is estimated to be \$ [REDACTED]. The Individual Settlement Share is subject to reduction for the employee's share of taxes and withholdings with respect to the wages portion of the Individual Settlement Share and will only be distributed if the Court approves the Settlement and after the Settlement goes into effect.

Under the terms of the Settlement, your Individual PAGA Payment is estimated to be \$ [REDACTED] and will only be distributed if the Court approves the Settlement and after the Settlement goes into effect.

The settlement approval process may take multiple months. Your Individual Settlement Share and Individual PAGA Payment (if applicable) reflected in this Class Notice is only an estimate. Your actual Individual Settlement Payment and Individual PAGA Payment (if applicable) may be higher or lower.

D. Release of Claims

Upon the full funding of the Gross Settlement Amount, Plaintiff and all Settlement Class Members will be deemed to have fully, finally, and forever released, settled, compromised, relinquished, and discharged the Released Parties of all Released Class Claims.

Upon the full funding of the Gross Settlement Amount, Plaintiff, the State of California with respect to all PAGA Employees, and all PAGA Employees will be deemed to have fully, finally, and forever released, settled, compromised, relinquished, and discharged the Released Parties of all Released PAGA Claims.

"Released Class Claims" means any and all claims, debts, liabilities, demands, obligations, guarantees, costs, expenses, attorneys' fees, damages, or causes of action which were alleged or which could have been alleged based on the factual allegations in the Operative Complaint, arising during the Class Period, under any federal, state, or local law, and shall specifically include claims for Defendant's alleged failure to pay overtime and minimum wages, provide compliant meal and rest periods and associated premium payments, timely pay wages during employment and upon termination, provide accurate wage statements, and reimburse necessary business-related expenses in violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1194, 1197, 1197.1, 1198, 2800, and 2802, and any other claims which were alleged or which could have been alleged based on the factual allegations in the Operative Complaint, arising during the Class Period, for failure to properly pay wages or compensate employees under the California Labor Code or the applicable Industrial Welfare Commission Wage Order(s), and all claims for attorneys' fees and costs and statutory interest in connection therewith, California Business and Professions Code sections 17200, *et seq.*, and any other claims, including claims for statutory penalties, pertaining to the Class Members.

"Released PAGA Claims" means any and all claims arising from any of the factual allegations in the PAGA Letter, arising during the PAGA Period, for civil penalties under the Private Attorneys General Act of 2004, California Labor Code Sections 2698 *et seq.*, including all claims for attorneys' fees and costs related thereto, for Defendant's alleged failure to pay overtime and minimum wages, provide compliant meal and rest periods and associated premium payments, timely pay wages during employment and upon termination, provide accurate wage statements, maintain complete and accurate payroll records, and reimburse necessary business-related expenses in violation of California Labor Code Sections 201, 202, 203, 204, 226(a), 226.7, 510, 512(a), 1174(d), 1194, 1197, 1197.1, 1198, 2800, and 2802, and the applicable Industrial Welfare Commission Wage Order(s), including *inter alia*, Wage Order 9-2001.

"Released Parties" means Defendant and its current and former officers, directors, members, insurers, shareholders, subsidiaries, affiliates, predecessors, successors, and assigns.

E. Attorneys' Fees and Costs to Class Counsel

Class Counsel will seek attorneys' fees in an amount not to exceed one-third (1/3) of the Gross Settlement Amount (i.e., \$333,333.33 if the Gross Settlement Amount is \$1,000,000.00) and reimbursement of litigation costs and expenses in an amount not to exceed Thirty Thousand Dollars and Zero Cents (\$30,000.00) (collectively, "Attorneys' Fees and Costs"),

subject to approval by the Court. The Attorneys' Fees and Costs granted by the Court will be paid from the Gross Settlement Amount. Class Counsel has been prosecuting the Action on behalf of Plaintiff, Class Members, and PAGA Employees on a contingency fee basis (that is, without being paid any money to date) and has been paying all litigation costs and expenses.

F. Enhancement Payment to Plaintiff

Plaintiff will seek the amount of Five Thousand Dollars and Zero Cents (\$5,000.00) ("Enhancement Payment), in recognition of his services in connection with the Action. The Enhancement Payment will be paid from the Gross Settlement Amount, subject to approval by the Court, and if awarded, it will be paid to Plaintiff in addition to his Individual Settlement Payment and Individual PAGA Payment that he is entitled to under the Settlement.

G. Settlement Administration Costs to Settlement Administrator

Payment to the Settlement Administrator is estimated not to exceed Thirteen Thousand Dollars and Zero Cents (\$13,000.00) ("Settlement Administration Costs") for the costs of the notice and settlement administration process, including and not limited to, the expense of notifying the Class Members of the Settlement, processing Requests for Exclusion, Notices of Objection, and Workweeks Disputes, calculating Individual Settlement Shares, Individual Settlement Payments, and Individual PAGA Payments, and distributing payments and tax forms under the Settlement, and shall be paid from the Gross Settlement Amount, subject to approval by the Court.

IV. WHAT ARE YOUR RIGHTS AND OPTIONS AS A CLASS MEMBER?

A. Participate in the Settlement

If you want to participate in the Class Settlement and receive money from the Class Settlement, you do not have to do anything. You will automatically be included in the Class Settlement and issued your Individual Settlement Payment unless you decide to exclude yourself from the Class Settlement.

Unless you elect to exclude yourself from the Class Settlement and if the Court grants final approval of the Settlement, you will be bound by the terms of the Class Settlement and any judgment that may be entered by the Court based thereon, and you will release the Released Class Claims against the Released Parties as described in Section III.D above.

If you are a PAGA Employee and the Court grants final approval of the Settlement, you will automatically be included in the PAGA Settlement and issued your Individual PAGA Payment. This means you will be bound by the terms of the PAGA Settlement and any judgment that may be entered by the Court based thereon, and you will release the Released PAGA Claims against the Released Parties as described in Section III.D above.

As a Class Member and PAGA Employee (if applicable), you will not be separately responsible for the payment of attorney's fees or litigation costs and expenses, unless you retain your own counsel, in which event you will be responsible for your own attorney's fees and expenses.

B. Request Exclusion from the Class Settlement

Class Members may request to be excluded from the Class Settlement by submitting a letter ("Request for Exclusion") to the Settlement Administrator, at the following address:

[Settlement Administrator]
[Mailing Address]

A Request for Exclusion must: (a) contain the case name and number of the Action (*Coffey v. Catalina Channel Express, Inc.*, Case No. 21STCV41396); (b) contain your full name, signature, address, telephone number, and last four (4) digits of your Social Security number; (c) clearly state that you do not wish to be included in the Class Settlement; and (d) be returned by mail to the Settlement Administrator at the specified address above, postmarked **on or before [Response Deadline]**.

If the Court grants final approval of the Settlement, any Class Member who submits a timely and valid Request for Exclusion will not be issued an Individual Settlement Payment, will not be bound by the Class Settlement (and the release of Released Class Claims described in Section III.D above), and will not have any right to object to, appeal, or comment on the Class Settlement. Class Members who do not submit a timely and valid Request for Exclusion will be deemed Settlement Class

Members and will be bound by all terms of the Class Settlement, including those pertaining to the release of claims described in Section III.D above, as well as any judgment that may be entered by the Court based thereon. PAGA Employees will be bound to the PAGA Settlement (and the release of Released PAGA Claims described in Section III.D above) and will still be issued an Individual PAGA Payment, irrespective of whether they submit a Request for Exclusion.

C. Object to the Class Settlement

You can object to the Class Settlement as long as you have not submitted a Request for Exclusion by submitting a written objection (“Notice of Objection”) to the Settlement Administrator.

The Notice of Objection must: (a) contain the case name and number of the Action (*Coffey v. Catalina Channel Express, Inc.*, Case No. 21STCV41396); (b) contain your full name, signature, address, telephone number, and the last four (4) digits of your Social Security number; (c) contain a written statement of all grounds for the objection accompanied by any legal support for such objection; (d) contain copies of any papers, briefs, or other documents upon which the objection is based; and (e) be returned by mail to the Settlement Administrator at the specified address listed in Section IV.B above, postmarked **on or before [Response Deadline]**.

The Court will hear from any Settlement Class Member who attends the Final Approval Hearing and asks to speak regarding their objection, regardless of whether they have submitted a Notice of Objection.

V. FINAL APPROVAL HEARING

The Court will hold a Final Approval Hearing in Department 1 of the Los Angeles County Superior Court, located at Spring Street Courthouse, 312 N. Spring Street, Los Angeles, California 90012, on **[date]**, at **[time]**, to determine whether the Settlement should be finally approved as fair, reasonable, and adequate. The Court also will be asked to approve and grant the Attorneys’ Fees and Costs to Class Counsel, Enhancement Payment to Plaintiff, and Settlement Administration Costs to the Settlement Administrator.

The Final Approval Hearing may be continued without further notice to the Class Members and PAGA Employees. It is not necessary for you to appear at the Final Approval Hearing, although you may appear if you wish to.

You can find more information regarding appearing remotely through LA Court Connect online at: <https://www.lacourt.org/lacceligibility/ui/civil.aspx?casetype=ci>

VI. ADDITIONAL INFORMATION

The above is a summary of the basic terms of the Settlement. For the precise terms and conditions of the Settlement Agreement, you should review the detailed Settlement Agreement and other papers, which are on file with the Court.

You may view the Settlement Agreement and other documents filed in the Action by for a fee by making an appointment in advance and visiting the civil clerk’s office during business hours, located at the Stanley Mosk Courthouse, 111 North Hill Street, Los Angeles, California 90012, or by online by visiting the following website: <https://www.lacourt.org/casesummary/ui/>

You may also visit the Settlement Administrator’s website at **[redacted]** for more information and documents relating to the Settlement.

PLEASE DO NOT TELEPHONE THE COURT OR THE OFFICE OF THE CLERK FOR INFORMATION REGARDING THIS SETTLEMENT.

IF YOU HAVE ANY QUESTIONS, YOU MAY CALL THE SETTLEMENT ADMINISTRATOR AT THE FOLLOWING TOLL-FREE NUMBER: **[INSERT], OR YOU MAY ALSO CONTACT CLASS COUNSEL.**

EXHIBIT 5

From: [DIR PAGA Unit](#)
To: [Stephany Sinaguinan](#)
Subject: Thank you for your Proposed Settlement Submission
Date: Tuesday, February 18, 2025 8:56:39 AM

[External Email].

02/18/2025 08:56:18 AM

Thank you for your submission to the Labor and Workforce Development Agency.

Item submitted: Proposed Settlement

If you have questions or concerns regarding this submission or your case, please send an email to pagainfo@dir.ca.gov.

DIR PAGA Unit on behalf of
Labor and Workforce Development Agency

Website: http://labor.ca.gov/Private_Attorneys_General_Act.htm