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

JEROME OSWALD, individually, and on
behalf of aggrieved employees pursuant to the
Private Attorneys General Act ("PAGA");

Plaintiff,

v.

EVOQUA WATER TECHNOLOGIES LLC, a
Delaware limited liability company; and DOES
1 through 100, inclusive;

Defendants.

Case No.: 22TRCV00412

Assigned for All Purposes to:
Honorable Gary Y. Tanaka
Department B

CLASS ACTION

**PLAINTIFF'S NOTICE OF MOTION AND
MOTION FOR PRELIMINARY
APPROVAL OF CLASS ACTION
SETTLEMENT, CONDITIONAL
CERTIFICATION, APPROVAL OF CLASS
NOTICE, SETTING OF FINAL
APPROVAL HEARING DATE;
MEMORANDUM OF POINTS AND
AUTHORITIES IN SUPPORT THEREOF**

[Reservation ID: 337095570882]

[Declaration of Proposed Class Counsel
(Douglas Han); Declaration of Proposed Class
Representative (Jerome Oswald); Declaration of
Jodey Lawrence; Declaration of Defense
Counsel (Leah E. Peterson); Declaration of
Kimberly Antestenis; and [Proposed] Order
filed concurrently herewith]

Hearing Date: April 10, 2024
Hearing Time: 8:30 a.m.
Hearing Place: Department B

Complaint Filed: May 26, 2022
FAC Filed: October 12, 2023
Trial Date: None Set

1 **PLEASE TAKE NOTICE** that on April 10, 2024 at 8:30 am., or as soon as the matter
2 may be heard, before the Honorable Gary Y. Tanaka in Department B of the Los Angeles County
3 Superior Court (Torrance Courthouse) located at 825 Maple Avenue Torrance, California 90503,
4 Plaintiff Jerome Oswald (“Plaintiff”) will and hereby does move for an order:

- 5 • Granting Preliminary Approval of the class action settlement described herein and
6 as set forth in the Class Action and PAGA Settlement Agreement (“Settlement
7 Agreement,” “Settlement,” or “Agreement”), attached as **Exhibit 2** to the
8 declaration of Douglas Han, including, and not limited to, the means of allocation
9 and distribution of funds;
- 10 • Conditionally certifying the Class for settlement purposes only;
- 11 • Appointing Plaintiff as the class representative;
- 12 • Appointing Justice Law Corporation as Class Counsel;
- 13 • Approving the Court Approved Notice of Class Action Settlement and Hearing
14 Date for Final Court Approval (“Class Notice”) attached as **Exhibit A** to the
15 Settlement Agreement;
- 16 • Directing the mailing of the Class Notice with a postage-paid return envelope to
17 the Class;
- 18 • Approving the proposed deadlines for the settlement administration process;
- 19 • Approving Phoenix Class Action Administration Solutions as the Administrator;
20 and
- 21 • Scheduling a hearing to consider whether to grant Final Approval of the Settlement
22 Agreement, at which time the Court will also consider whether to grant Final
23 Approval of the requests for the Class Counsel Fees Payment, Class Counsel
24 Litigation Expenses Payment, Class Representative Service Payment,
25 Administration Expenses Payment, and approval of the allocation of the Private
26 Attorney General Act of 2004 (“PAGA”) Penalties.

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1 This motion is based upon the following memorandum of points and authorities;
2 Declaration of Proposed Class Counsel (Douglas Han); Declaration of Proposed Class
3 Representative (Jerome Oswald); Declaration of Jodey Lawrence; Declaration of Leah Peterson;
4 Declaration of Kimberly Antestenis; [Proposed] Order filed concurrently with this motion;
5 pleadings and other records on file with the Court in this matter; and such documentary evidence
6 and oral argument as may be presented at the hearing on this motion.

7
8 Dated: January 5, 2024

JUSTICE LAW CORPORATION

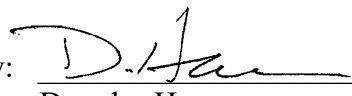
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10 By: 
11 Douglas Han
12 *Attorneys for Plaintiff*
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1 **I. INTRODUCTION**

2 This motion seeks preliminary approval of a non-reversionary proposed wage-and-hour
3 class action settlement by Plaintiff on behalf of himself and: (1) all current and former hourly-paid
4 or non-exempt employees hired directly by Defendant Evoqua Water Technologies LLC
5 (“Defendant”) and who worked at Defendant within the State of California at any time during the
6 period from March 4, 2018, through May 31, 2023; and (2) all current and former hourly-paid or
7 non-exempt employees hired by a Temporary Agency but only to the extent and only for the
8 workweek(s) he or she was placed at Defendant and worked at Defendant within the State of
9 California at any time during the period from March 4, 2018, through May 31, 2023 (“Class,”
10 “Class Members,” and “Class Period”). At the time of this filing, the number of Class Members is
11 estimated to be six hundred six (606), which was confirmed by Defendant. (Declaration of
12 Douglas Han In Support of Plaintiff’s Motion for Preliminary Approval of Class Action Settlement
13 (“Han Decl.”), ¶¶ 8-9.)

14 **II. BACKGROUND**

15 On March 4, 2022, Plaintiff provided written notice to the California Labor and Workforce
16 Development Agency (“LWDA”) and Defendant. (Han Decl., *supra*, at ¶ 10; Exhibit 3.)

17 On May 26, 2022, Plaintiff filed a representative PAGA action in the Superior Court of
18 California, County of Los Angeles. (Han Decl., *supra*, at ¶ 11; Exhibit 4.)

19 After engaging in discovery, investigations, and negotiations, the Parties remotely attended
20 mediation with the mediator Mark Rudy on February 21, 2023. (Han Decl., *supra*, at ¶ 12.) Under
21 the auspices of the mediator after a full day of mediation, the Parties reached a settlement. (*Ibid.*)

22 In line with the settlement, on July 19, 2023, Plaintiff provided an amended written notice
23 to the LWDA and Defendant. (Han Decl., *supra*, at ¶ 13; Exhibit 5.)

24 On October 12, 2023, Plaintiff then filed a First Amended Complaint adding nine (9) wage-
25 and-hour class action causes of action. (Han Decl., *supra*, at ¶ 14; Exhibit 6.)

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III. INVESTIGATION/ LITIGATION HISTORY

a. Discovery, Investigation, and the Parties' Staunchly Conflicting Positions

Plaintiff propounded form interrogatories, special interrogatories, requests for admission, and requests for production of documents. (Han Decl., *supra*, at ¶ 16.) The Parties met and conferred and agreed to engage in an informal exchange of information and then eventually remotely attended mediation. (*Ibid.*)

Prior to the mediation, Defendant produced several documents relating to its policies, practices, and procedures. (Han Decl., *supra*, at ¶ 17.) As part of Defendant's production, Plaintiff also reviewed time records, pay records, and information relating to the size and scope of the Class. (*Ibid.*) Several putative class members were also located and interviewed to attain a better understanding of the extent and frequency of the alleged day-to-day violations. (*Ibid.*)

Based on the information provided by Defendant and interviews with putative class members, Plaintiff contends – and Defendant denies – Defendant: (1) failed to provide employees with legally mandated meal and rest breaks; (2) failed to pay employees for all hours worked; (3) failed to include non-discretionary bonuses in employees' regular rate of pay for purposes of overtime compensation, sick leave pay, and premium wages; (4) failed to reimburse employees for necessary business expenses; (5) issued noncompliant wage statements; and (6) is liable for waiting time penalties. (Han Decl., *supra*, at ¶¶ 19-26.)

b. The Parties Were Able to Reach an Agreement on Settlement of the Action

i. The Parties Attended Mediation Which Led to the Settlement

The Parties attended mediation with an experienced mediator on February 21, 2023. (Han Decl., *supra*, at ¶ 27.) Under the auspices of the mediator, the Parties reached a settlement, the terms were memorialized in the Settlement Agreement. (*Id.* at ¶ 27; Exhibits 2, 7.)

ii. The Settlement Was Reached as a Result of Arm's-Length Negotiations

The Settlement was reached because of arm's-length negotiations. (Han Decl., *supra*, at ¶ 30.) Though cordial and professional, the settlement negotiations have always been adversarial and non-collusive in nature. (*Ibid.*) At the mediation, the Parties' counsel conducted extensive arm's-length settlement negotiations until an agreement was ultimately reached. (*Ibid.*)

1 Plaintiff and Class Counsel recognize the expense and length of additional proceedings
2 necessary to continue the litigation through trial and any possible appeals. (Han Decl., *supra*, at ¶
3 31.) Plaintiff and Class Counsel also considered the uncertainty and risk of further litigation,
4 potential outcome, and difficulties and delays inherent in such litigation. (*Ibid.*) Based on the
5 foregoing, Plaintiff and Class Counsel believe the Settlement is a fair, adequate, and reasonable
6 settlement and is in the best interests of Class Members. (*Ibid.*)

7 **iii. The Settlement Is the Result of Thorough Investigation and Discovery**

8 The Parties investigated and evaluated the strengths and weaknesses of the claims and
9 defenses before reaching the Settlement and engaged in research and discovery to support the
10 Settlement. (Han Decl., *supra*, at ¶ 32.) The Settlement was only possible following significant
11 investigation and evaluation of the relevant policies and practices, permitting Class Counsel to
12 engage in a comprehensive analysis of liability and potential damages. (*Ibid.*) This case has
13 reached the stage where the Parties understand “the strength of the case; the reasonableness of the
14 settlement in light of the attendant risks of litigation, and in light of the best possible recovery”
15 sufficient to support the Settlement’s reasonableness, adequacy, and fairness. (Han Decl., *supra*,
16 at ¶ 32; *Boyd v. Bechtel Corp.* (N.D.Cal. 1979) 485 F.Supp. 610, 617.)

17 **c. Terms of the Proposed Settlement**

18 **i. Deductions from the Settlement**

19 The Parties agreed (subject to the Court’s approval) this action be settled and compromised
20 for the non-reversionary total sum of \$1,975,000 (“Gross Settlement Amount”) which includes:
21 (1) Class Counsel Fees Payment up to \$691,250 (35% of the Gross Settlement Amount); (2) Class
22 Counsel Litigation Expenses Payment up to \$25,000; (3) Class Representative Service Payment
23 up to \$10,000; (4) Administration Expenses Payment up to \$20,000; and (5) PAGA Penalties up
24 to \$150,000. (Han Decl., *supra*, at ¶ 28.)

25 **ii. Calculating Settlement Payments**

26 After all Court-approved deductions from the Gross Settlement Amount, it is estimated
27 \$1,078,750 (“Net Settlement Amount”) will be paid to Participating Class Members – with a gross
28 *average* Individual Class Payment estimated at \$1,780.12. (Han Decl., *supra*, at ¶ 29.)

1 Participating Class Members will receive a proportionate share of the Net Settlement
2 Amount using the formula set forth in the Settlement Agreement. (Han Decl., *supra*, at ¶ 27;
3 Exhibit 2, *supra*, at § C(2)(d).) Individual Class Payments will be allocated thirty-four percent
4 (34%) to the settlement of wages claims and sixty-six percent (66%) to the settlement of claims
5 for interests and penalties. (*Id.* at § C(2)(d)(i).)

6 In addition, the portion of the PAGA Penalties that is to be paid to each Aggrieved
7 Employee shall be determined using the formula set forth in the Settlement Agreement. (Han
8 Decl., *supra*, at ¶ 27; Exhibit 2, *supra*, at § C(2)(e)(i).) Aggrieved Employees' portion of the PAGA
9 Penalties will be allocated as one hundred percent (100%) penalties. (*Id.* at § C(2)(e)(ii).)

10 **iii. Notice to the Class**

11 No later than twenty-one (21) calendar days after the Court grants Preliminary Approval
12 of the Settlement, Defendant will deliver the Class Data of Defendant's employees to the
13 Administrator. (Han Decl., *supra*, at ¶ 27; Exhibit 2, *supra*, at § G(4)(a)(i).) Defendant will make
14 a good faith effort to identify the full name, last known address, Social Security Number, and
15 number of weeks at issue for the Temporary Employees. (*Id.* at § G(4)(a)(ii).) No later than
16 fourteen (14) calendar days after receiving the Class Data, the Administrator will send the Class
17 Notice with a Spanish translation to all Class Members identified in the Class Data via first-class
18 United States Postal Service mail. (*Id.* at § G(4)(c).)

19 **iv. Distribution of Funds**

20 The Gross Settlement Amount will be funded and distributed pursuant to the timeline and
21 manner set forth in the Settlement. (Han Decl., *supra*, at ¶ 27; Exhibit 2, *supra*, at §§ D(2), D(3).)
22 Uncashed settlement checks will be canceled and transmitted to the California Controller's
23 Unclaimed Property Fund in the name of the Class Member. (*Id.* at §§ D(3)(b), D(3)(d).)

24 **v. Release of Claims**

25 Effective on the date when Defendant fully funds the entire Gross Settlement Amount and
26 funds all employer payroll taxes owed on the Wage Portion of the Individual Class Payments, all
27 Participating Class Members, on behalf of themselves and their former and present representatives,
28 agents, attorneys, heirs, administrators, successors, and assigns, hereby waive, discharge,

1 compromise, and release the Released Parties from the Released Class Claims. (Han Decl., *supra*,
2 at ¶ 27; Exhibit 2, *supra*, at § E(2).)

3 Effective on the date when Defendant fully funds the entire Gross Settlement Amount and
4 funds all employer payroll taxes owed on the Wage Portion of the Individual Class Payments, the
5 LWDA, State of California, and all Participating and Non-Participating Class Members, who are
6 Aggrieved Employees, are deemed to waive, compromise, discharge, and release, on behalf of
7 themselves as a participant and representative and on behalf of their former and present
8 representatives, agents, attorneys, heirs, administrators, successors, and assigns, and to the extent
9 they have any interest in the claims or right to pursue such claims on a representative basis, the
10 Released Parties from the Released PAGA Claims. (Han Decl., *supra*, at ¶ 27; Exhibit 2, *supra*,
11 at § E(3).)

12 Effective on the date when Defendant fully funds the entire Gross Settlement Amount and
13 funds all employer payroll taxes owed on the Wage Portion of the Individual Class Payments,
14 Plaintiff and his former and present spouses, representatives, agents, attorneys, heirs,
15 administrators, successors, and assigns generally waives, compromises, releases, and discharges
16 the Released Parties from the Plaintiff's Release. (Han Decl., *supra*, at ¶ 27; Exhibit 2, *supra*, at
17 § E(1).) Plaintiff also expressly waives and relinquishes the provisions, rights, and benefits, if any,
18 of section 1542 of the Civil Code. (*Id.* at § E(1)(a).)

19 With regards to class action releases, “[A] court may release not only those claims alleged
20 in the complaint and before the court, but also claims which ‘could have been alleged by reason of
21 or in connection with any matter or fact set forth or referred to in’ the complaint.”” (*Amaro v.*
22 *Anaheim Arena Management, LLC* (2021) 69 Cal.App.5th 521, 537.) The scope of the releases in
23 this case are acceptable because they are limited to the scope of the allegations in the operative
24 complaints. Moreover, the released claims are ““based on *the identical factual predicate* as that
25 underlying the claims in the settled class action.”” (*Ibid.*) In other words, the released claims do
26 not ““go beyond the scope of the allegations in the operative complaint”” (*Ibid.*)

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1 **d. Counsel for Both Parties Are Experienced in Similar Litigation**

2 The Parties' counsel are experienced in wage-and-hour employment law and class actions.
3 (Han Decl., *supra*, at ¶¶ 2-7; Exhibit 1.) Class Counsel have prosecuted numerous cases on behalf
4 of employees for Labor Code violations and are experienced and qualified to evaluate the class
5 claims, settlement versus trial on a fully informed basis, and viability of the defenses. (*Ibid.*) This
6 experience instructed Class Counsel on the risks and uncertainties of further litigation and guided
7 their determination to endorse the Settlement.¹ (*Ibid.*)

8 **IV. ARGUMENT**

9 **a. Class Action Settlements Are Subject to Court Review**

10 California Rules of Court, rule 3.769 requires court approval for class action settlements.²
11 “Before final approval, the court must conduct an inquiry into the fairness of the proposed
12 settlement.” (Cal. Rules of Court, rule 3.769(g).) Rule 3.769 further requires a noticed motion for
13 preliminary approval of class settlements:

14 (a) A settlement or compromise of an entire class action, or a cause of action in
15 a class action, or as to a party, requires the approval of the court after
16 hearing.

16 ...
17 (c) Any party to a settlement agreement may serve and file a written notice of
18 motion for preliminary approval of the settlement. The settlement
19 agreement and proposed notice to class members must be filed with the
20 motion, and the proposed order must be lodged with the motion.

21 Courts have discretion to approve settlements that are fair, not collusive, and consider “all
22 the normal perils of litigation as well as the additional uncertainties inherent in complex class
23 actions.” (*In re Beef Industry Antitrust Litigation* (5th Cir. 1979) 607 F.2d 167, 179, cert. den. *sub*
nom. Iowa Beef Processors, Inc. v. Meat Price Investigators Ass’n (1981) 452 U.S. 905.)

24 ¹ The final factor mentioned in *Dunk* – the number of objectors – is not determinable until
25 the Class Notice has been provided to the Class, and they have had an opportunity to respond. This
26 information will be provided to the Court in conjunction with the Motion for Final Approval of
27 Class Action Settlement.

28 ² The California Supreme Court has authorized California's trial courts to use Federal Rule
23 and cases applying it for guidance in considering class issues. (See *Vasquez v. Superior Court*
(1971) 4 Cal.3d 800, 821; see *Green v. Obledo* (1981) 29 Cal.3d 126, 145-146.) Where appropriate,
the Parties cite Federal Rule 23 and federal case law in addition to California law.

1 **b. The Proposed Settlement Is a Reasonable Compromise of Claims**

2 An understanding of the amount in controversy is an important factor in whether the
3 settlement “of the class members’ claims is reasonable in light of the strengths and weaknesses of
4 the claims and the risks of the particular litigation.” (*Kullar v. Foot Locker Retail, Inc.* (2008) 168
5 Cal.App.4th 116, 129; see also *Munoz v. BCI Coca-Cola Bottling Co. of Los Angeles* (2010) 186
6 Cal.App.4th 399, 409.) The most important factor in this regard is ““the strength of the case for
7 plaintiffs on the merits, balanced against the amount offered in settlement.”” (*Kullar*, at p. 130;
8 see also *Munoz*, at p. 409.)

9 *Kullar* instructs the court is not to “decide the merits of the case or to substitute its
10 evaluation of the most appropriate settlement for that of the attorneys.” (*Kullar v. Foot Locker*
11 *Retail, Inc.*, *supra*, 168 Cal.App.4th at p. 133.) *Kullar* does not require a statement of the maximum
12 amount the class could recover if plaintiff prevailed on all his claims, provided there is a record
13 that allows “an understanding of the amount that is in controversy and the realistic range of
14 outcomes of the litigation.” (*Munoz v. BCI Coca-Cola Bottling Co. of Los Angeles*, *supra*, 186
15 Cal.App.4th at p. 409.) “[A]s the court does when it approves a settlement as in good faith under
16 Code of Civil Procedure § 877.6, the court must at least satisfy itself that the class settlement is
17 within the ‘ballpark’ of reasonableness.” (*Kullar*, at p. 133.)

18 **i. The Settlement Amount of \$1,975,000 Is Fair and Reasonable**

19 The Settlement Agreement was only possible following significant investigation and
20 evaluation of the relevant policies and procedures, as well as the data produced, as referenced in
21 Section III above, permitting Class Counsel to engage in a comprehensive analysis of liability and
22 potential damages. (Han Decl., *supra*, at ¶ 32.)

23 The claims are predicated on the purported: (1) failure to properly calculate and pay
24 overtime wages; (2) failure to pay minimum wages; (3) failure to provide meal and rest breaks and
25 consistently and properly pay applicable premium wages; (4) failure to timely pay wages; (5)
26 failure to issue compliant wage statements; (6) failure to reimburse business expenses; (7) violation
27 of PAGA; and (8) violation of Business & Professions Code section 17200, *et seq.* (Han Decl.,
28 *supra*, at ¶ 33.) Defendant vehemently denies the theories of liability. (*Id.* at ¶ 34.)

1 While Plaintiff believes the case is suitable for certification, uncertainties with respect to
2 certification are always present. (Han Decl., *supra*, at ¶ 35.) As the California Supreme Court
3 ruled in *Sav-On Drug Stores, Inc. v. Superior Court* (2004) 34 Cal.4th 319, class certification is
4 always a matter of the trial court's sound discretion. (*Ibid.*) Decisions following *Sav-On Drug*
5 *Stores, Inc.* have reached different conclusions concerning certification of wage-and-hour claims.³
6 (*Ibid.*) Thus, the calculations for potential damages were discounted.

7 **ii. The PAGA Penalties of \$150,000 Is Reasonable**

8 The provisions of the Labor Code potentially triggering PAGA penalties include Labor
9 Code sections 201, 202, 203, 204, 210, 218.5, 221, 226(a), 226.3, 226.7, 246, 432.5, 510, 512(a),
10 551, 552, 558, 1174(d), 1194, 1197, 1197.1, 1198, 1771, 1774, 1776(a), 2800, and 2802. (Han
11 Decl., *supra*, at ¶ 44.) Defendant asserted, regardless of the results of the underlying causes of
12 action, PAGA penalties are not mandatory but permissive and discretionary. (*Ibid.*) Defendant also
13 maintained it had a strong argument it would be unjust to award maximum PAGA penalties given
14 the law's current unsettled state concerning PAGA penalties. (Han Decl., *supra*, at ¶ 44; *Thurman*
15 *v. Bayshore Transit Mgmt.* (2012) 203 Cal.App.4th 1112 [reducing penalties by 30% under this
16 authority].) Furthermore, Defendant argued without stacking and limited to the initial violation,
17 the PAGA penalties would be limited to about **26,300** (263 employees x \$100 penalty for initial
18 violation) on the low end and **\$184,100** (263 employees x \$100 penalty for initial violation x 7
19 theories of recovery) on the high end. (Han Decl., *supra*, at ¶¶ 45-47.)

20 Plaintiff recognized the risk that any PAGA award could be reduced. (Han Decl., *supra*,
21 at ¶ 48.) Many of the causes of action brought were also duplicative of the statutory claims. (*Ibid.*)
22 Allocating \$150,000 to PAGA civil penalties was reasonable given that Defendant is also paying
23 an additional \$1,825,000 in the class settlement. (*Ibid.*) When PAGA penalties are negotiated in
24

25 ³ (See e.g. *Harris v. Superior Court* (2007) 154 Cal.App.4th 164 [reversing decertification
26 of class claiming misclassification and ordering summary adjudication in favor of employees],
27 review granted Nov. 28, 2007, (2007) 171 P.3d 545 [not cited as precedent, but rather for
28 illustrative purposes only]; *Walsh v. IKON Office Solutions, Inc.* (2007) 148 Cal.App.4th 1440
[affirming decertification of class claiming misclassification]; *Aguiar v. Cintas Corp. No. 2* (2006)
144 Cal.App.4th 121 [reversing denial of certification]; *Dunbar v. Albertson's Inc.* (2006) 141
Cal.App.4th 1422 [affirming denial of certification].)

good faith and “there is no indication that [the] amount was the result of self-interest at the expense of other Class Members,” such amounts are reasonable.⁴ (Han Decl., *supra*, at ¶ 48.)

Considering the defenses, supporting evidence, and position that the case is not suitable for class treatment, the Settlement Agreement is reasonable, adequate, and fair.

c. Discount Analysis Justifies the Settlement

Excluding the civil penalties, which could be completely discretionary, the total estimated potential exposure, assuming certification and prevailing at trial, would be about **\$11,901,646.78** on the low end and around **\$12,660,646.78** on the high end. (Han Decl., *supra*, at ¶ 49.)

Category	Potential Exposure	Certification Risk	Merits Risk	Realistic Exposure
Rest Break Premiums	\$2,833,200.55	70%	60%	\$339,984.07
Meal Break Premiums	\$3,638,569.20	60%	60%	\$582,171.07
Overtime/Minimum Wage: Off-the-Clock Work	\$1,517,450 to \$2,276,450	60%	50%	\$303,490 to \$455,290
Regular Rate	\$970,725.43	40%	50%	\$291,217.63
Unreimbursed Business Expenses	\$393,220	30%	70%	\$82,576.20
Wage Statement Penalty	\$1,052,000	60%	60%	\$168,320
Waiting Time Penalty	\$1,496,481.60	60%	60%	\$239,437.06
MAXIMUM TOTAL EXPOSURE	\$11,901,646.78 to \$12,660,646.78⁵			\$2,007,196.03 to \$2,158,996.03⁶

The realistic recovery for this case is about **\$2,007,196.03** on the low end and **\$2,158,996.03** on the high end. (Han Decl., *supra*, at ¶ 57.) The Gross Settlement Amount is about fifteen percent (15.60%) of the maximum potential exposure and around ninety-one percent (91.48%) of the maximum realistic exposure at trial, which is an excellent settlement. (*Ibid.*)

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⁴ (*Hopson v. Hanesbrands Inc.* (N.D.Cal. Apr. 3, 2009, No. CV-08-0844 EDL) 2009 U.S. Dist. LEXIS 33900, at *24; see e.g. *Nordstrom Com. Cases* (2010) 186 Cal.App.4th 576, 579, “[T]rial court did not abuse its discretion in approving a settlement which does not allocate any damages to the PAGA claims.”)

⁵ (Han Decl., *supra*, at ¶¶ 36-43.)

⁶ (*Id.* at ¶¶ 50-56.)

1 The only question at preliminary approval is whether the settlement is within the range of
2 possible approval. (*In re General Motors Corp. Engine Interchange Litigation* (7th Cir. 1979) 594
3 F.2d 1106, 1124; *Acosta v. TransUnion, LLC* (C.D. Cal. 2007) 240 F.R.D. 564, 575.) “The fact
4 that a proposed settlement may only amount to a fraction of the potential recovery does not, in and
5 of itself, mean that the proposed settlement is grossly inadequate and should be disapproved.”
6 (*Detroit v. Grinnell Corp.* (2d Cir. 1974) 495 F.2d 448, 455; see also *Linney v. Cellular Alaska*
7 *P’ship* (9th Cir. 1998) 151 F.3d 1234, 1242, “[I]t is the very uncertainty of outcome in litigation
8 and avoidance of wasteful and expensive litigation that induce consensual settlements. The
9 proposed settlement is not to be judged against a hypothetical or speculative measure of what
10 might have been achieved by the negotiators”). This settlement is in line with the realistic exposure
11 if Plaintiff prevailed at trial and provides a significant recovery for Class Members.

12 **d. Conditional Certification of the Class Is Appropriate**

13 Code of Civil Procedure section 382 “authorizes class actions ‘when the question is one of
14 a common or general interest, of many persons, or when the parties are numerous, and it is
15 impracticable to bring them all before the court.’” (*Sav-On Drug Stores, Inc. v. Superior Court*,
16 *supra*, 34 Cal.4th at p. 326.) California courts certify class actions if plaintiff identifies “both [1]
17 an ascertainable class and [2] a well-defined community of interest among class members.” (*Ibid.*)

18 The Class is ascertainable and numerous as to make it impracticable to join all Class
19 Members, and there are common questions of law and fact that predominate over any questions
20 affecting any individual Class Member. (Han Decl., *supra*, at ¶ 58.) Plaintiff contends his claims
21 are typical of the claims of the Class, and Class Counsel will fairly and adequately protect the
22 interests of the Class. (*Ibid.*) Plaintiff asserts the prosecution of separate actions by individual
23 Class Members would create the risk of inconsistent or varying adjudications. (*Ibid.*)

24 **i. The Proposed Class Is Ascertainable and Sufficiently Numerous**

25 “Ascertainability is required in order to give notice to putative class members as to whom
26 the judgment in the action will be res judicata.” (*Hicks v. Kaufman & Broad Home Corp.* (2001)
27 89 Cal.App.4th 908, 914.) “A class is ascertainable if it identifies a group of unnamed plaintiffs
28 by describing a set of common characteristics sufficient to allow a member of that group to identify

1 himself or herself as having a right to recover based on the description.” (*Bartold v. Glendale*
2 *Federal Bank* (2000) 81 Cal.App.4th 816, 828.) The proposed class must also be sufficiently
3 numerous. (*Linder v. Thrifty Oil Co.* (2000) 23 Cal.4th 429, 435.)

4 This case involves approximately six hundred six (606) Class Members, meaning the Class
5 is sufficiently numerous. (Han Decl., *supra*, at ¶ 59; *Ghazaryan v. Diva Limousine, Ltd.* (2008)
6 169 Cal.App.4th 1524, 1531, n.5 [finding a proposed class of “as many as 190 current and former
7 employees” is sufficiently numerous].)

8 **ii. Class Members Share a Well-defined Community of Interest**

9 The community of interest requirement “embodies three factors: (1) predominant common
10 questions of law or fact; (2) class representatives with claims or defenses typical of the class; and
11 (3) class representatives who can adequately represent the class.” (*Sav-On Drug Stores, Inc. v.*
12 *Superior Court*, *supra*, 34 Cal.4th at p. 326.) “[T]he community of interest requirement for
13 certification *does not mandate that class members have uniform or identical claims.*” (*Capitol*
14 *People First v. Department of Developmental Services* (2007) 155 Cal.App.4th 676, 692 (emphasis
15 in original).) Rather, courts focus on the defendant’s internal policies and “pattern and practice . .
16 . in order to assess whether that common behavior toward similarly situated plaintiffs renders class
17 certification appropriate.” (*Ibid.*) The application of each of these factors is discussed below.

18 **1. Common Issues Predominate**

19 The “common issues” requirement “involves analysis of whether the proponent’s ‘theory
20 of recovery’ is likely to prove compatible with class treatment.” (*Capitol People First v.*
21 *Department of Developmental Services*, *supra*, 155 Cal.App.4th at p. 690.) In other words, courts
22 determine whether the elements necessary to establish liability are susceptible to common proof,
23 even if the class members must individually prove their damages. (*Brinker Restaurant Corp. v.*
24 *Superior Court* (2012) 53 Cal.4th 1004, 1024). These types of claims are regularly granted class
25 certification when the plaintiff can present evidence of common policies. (See e.g. *Jones v. JGC*
26 *Dallas LLC* (N.D.Tex. Nov. 29, 2012, Civil Action No. 3:11-CV-2743-O) 2012 U.S.Dist.LEXIS
27 185042 [certified collective action involving 190 dancers]; *Espinoza v. Galardi South Enters.*
28 (S.D.Fla. Jan. 11, 2016, No. 14-21244-CIV-GOODMAN) 2016 U.S.Dist.LEXIS 2904 [court

certified class of dancers on state law claims].)

Plaintiff asserts common issues of fact and law predominate as to each of the claims alleged. (Han Decl., *supra*, at ¶ 60.) Plaintiff contends all Class Members were subject to the same or similar employment practices, policies, and procedures described in detail above. (*Ibid.*)

2. Plaintiff's Claims Are Typical of the Class Claims

Typical claims rely on legal theories and facts that are substantially like those of other class members. (*Classen v. Weller* (1983) 145 Cal.App.3d 27, 46.)

Plaintiff is a former employee of Defendant and alleges he and Class Members were employed by the same company and injured by the common policies and practices related to the claims described above. (Han Decl., *supra*, at ¶ 61; Declaration of Jerome Oswald Re Adequacy In Support of Motion for Preliminary Approval ("Oswald Decl."), ¶¶ 2-8, 12-15.) Plaintiff seeks relief for these claims and derivative claims on behalf of the Class. (Han Decl., *supra*, at ¶ 61; Oswald Decl., *supra*, at ¶¶ 2-8, 12-15.) Thus, the claims arise from the same employment practices and are based on the same legal theories applicable to the Class. (Han Decl., *supra*, at ¶ 61; Oswald Decl., *supra*, at ¶¶ 2-8, 12-15.)

3. Plaintiff Is Adequate to Represent the Class

Plaintiff has proven to be an adequate class representative. (Han Decl., *supra*, at ¶ 62; Oswald Decl., *supra*, at ¶¶ 9-11, 16-21.) Plaintiff conducted himself diligently and responsibly in representing the Class in this litigation, understands the fiduciary obligations, and actively participated in the prosecution of this case. (Han Decl., *supra*, at ¶ 62; Oswald Decl., *supra*, at ¶¶ 9-11, 16-21.) Plaintiff spent time in meetings and conferences with Class Counsel to provide them with a complete understanding of the work experience and environment. (Han Decl., *supra*, at ¶ 62; Oswald Decl., *supra*, at ¶¶ 9-11, 16-21.) Plaintiff also has no interest averse to the interests of the other Class Members. (Han Decl., *supra*, at ¶ 62; Oswald Decl., *supra*, at ¶¶ 9-11, 16-21.)

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1 **4. Class Action Is Superior for the Fair and Efficient Adjudication**
2 **of this Controversy**

3 A class action is superior to other available means for the fair and efficient adjudication of
4 this controversy. Plaintiff contends the joinder of all Class Members is impractical and that class
5 treatment will permit many similarly situated persons to prosecute their common claims for
6 settlement purposes simultaneously in a single forum without the duplication of effort and expense
7 that numerous individual actions would necessitate. Because several Class Members are also
8 current employees, Plaintiff believes fear of retaliation further supports the superiority of class-
9 wide relief as this fear often discourages current employees from seeking legal redress.

10 **e. The Settlement Is Fair, Reasonable, and Adequate**

11 In deciding whether to approve a proposed class action settlement under Code of Civil
12 Procedure section 382, the Court must find a proposed settlement is “fair, adequate and
13 reasonable.” (*Dunk v. Ford Motor Co.* (1996) 48 Cal.App.4th 1794, 1801.) A proposed class action
14 settlement is presumed fair under the following circumstances: (1) parties reached settlement after
15 arm’s-length negotiations; (2) investigation and discovery were sufficient to allow counsel and the
16 court to act intelligently; (3) counsel is experienced in similar litigation; and (4) percentage of
17 objectors is small. (*Id.* at p. 1802.) All these elements are present here.

18 **f. Notice to the Class Complies with California Rules of Court, Rule 3.769(f)**

19 California Rules of Court, rule 3.769(f), provides:

20 If the court has certified the action as a class action, notice of the final approval hearing
21 must be given to class members in the manner specified by the court. The notice must
22 contain an explanation of the proposed settlement and procedures for class members to
23 follow in filing written objections to it and in arranging to appear at the settlement hearing
24 and state any objections to the proposed settlement.

25 The Class Notice meets all these requirements. The Class Notice advises Class Members
26 of their right to participate in the Settlement, how and when to object to or request exclusion from
27 the Settlement, and date, time, and location of the Final Approval Hearing.

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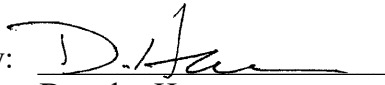
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1 **V. CONCLUSION**

2 Plaintiff submits the Settlement is in the Class's best interests. Under the applicable class
3 action criteria and guidelines, the Settlement should be preliminarily approved by the Court, Class
4 should be conditionally certified for settlement purposes, and Class Notice should be approved.
5

6 Dated: January 5, 2024

JUSTICE LAW CORPORATION

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8 By: 
9 Douglas Han
10 *Attorneys for Plaintiff*
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**PROOF OF SERVICE
1013A(3) CCP**

STATE OF CALIFORNIA, COUNTY OF LOS ANGELES

I am employed in the County of Los Angeles, State of California. I am over the age of 18 and not a party to the within action. My business address is 751 N. Fair Oaks Avenue, Suite 101, Pasadena, CA 91103 and my electronic service address is mluna@justicelawcorp.com

On January 5, 2024, I served the foregoing document described as

PLAINTIFF'S NOTICE OF MOTION AND MOTION FOR PRELIMINARY APPROVAL OF CLASS ACTION SETTLEMENT, CONDITIONAL CERTIFICATION, APPROVAL OF CLASS NOTICE, SETTING OF FINAL APPROVAL HEARING DATE; MEMORANDUM OF POINTS AND AUTHORITIES IN SUPPORT THEREOF

for the following case: **Oswald v. Evoqua Water Technologies LLC**
LWDA/Court Case No.: **LWDA Case No.: CM-871616-22**
Court Case No.: 22TRCV00412
Los Angeles County Superior Court

on interested parties in this action by electronically submitting as follows:

State of California
Labor & Workforce Development Agency
800 Capitol Mall, MIC-55
Sacramento, California 95814

[X] BY ELECTRONIC SUBMISSION

Pursuant to California Senate Bill No. 836, I caused the documents described above to be electronically submitted by and through the procedure stated on the website of the State of California Labor and Workforce Development Agency.

[X] STATE

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

Executed on January 5, 2024, at Pasadena, California.



Madison Luna