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14 Counsel for Plaintiffs

15 UNITED STATES DISTRICT COURT
16 FOR THE NORTHERN DISTRICT OF CALIFORNIA
17 SAN JOSE DIVISION
18

19 ANTHONY BARTLING and) CASE NO.
20 JACQUELINE N. OLSON, on behalf)
of themselves and all others similarly)
21 situated,)
Plaintiff,) **CLASS ACTION COMPLAINT**
22)
23 v.) **DEMAND FOR JURY TRIAL**
24)
APPLE INC.,)
25)
Defendant.)

1 Plaintiffs Anthony Bartling and Jacqueline N. Olson (“Plaintiffs”), for their class action
2 complaint, allege upon personal knowledge as to themselves and their own actions, and upon
3 information and belief, including the investigation of counsel, as to all other matters as follows:

4 **NATURE OF ACTION**

5 1. Plaintiffs assert this class action against Defendant Apple Inc. (“Apple” or
6 “Defendant”) on behalf of all persons who purchased or leased a product containing a processor
7 designed by Apple with ARM based architecture (the “Apple Processor”), as a component of
8 another Apple product.¹ Apple Processors can be found in iPhones, iPads and the Apple TV
9 (cumulatively “iDevices”).

10 2. Apple Processors are, in effect, the “brains” of iDevices. They handle the execution
11 of instructions given by software programs. Given the vast number of instructions involved in
12 virtually every program, processor speed is highly significant to consumers. In addition, given that
13 consumers often store sensitive information such as passwords on their iDevices, processor security
14 is equally important.

15 3. Unfortunately, all Apple Processors are defective because they were designed by
16 Defendant Apple in a way that allows hackers and malicious programs potential access to highly
17 secure information stored on iDevices. The Apple Processors expose users to at least two types of
18 security risks (the “Security Vulnerabilities”), based on two hacking techniques, which have been
19 dubbed “Meltdown” and “Spectre” by the technology community. The first hacking technique is
20 known as “Meltdown” because it “melts security boundaries which are normally enforced by the
21 hardware,” and the other hacking technique is known as “Spectre” because its root cause is
22 speculative execution, and “because it is not easy to fix, it will haunt us for quite some time.”²

23 4. To protect themselves from the Meltdown technique, users will have to apply a
24 software patch that will cause a slowdown in the processor speed (the “Slowdown Problem”).

25 _____
26 ¹ The Apple Processors include, but are not limited to, A4, A5, A5X, A6, A6X, A7, A8,
A8X, A9, A9X, A10 Fusion and A11 Bionic processors.

27 ² <https://spectreattack.com/#faq-fix> (website of Graz University of Technology, among those
28 that discovered the defects).

1 iPhones have been exposed to the Security Vulnerabilities described herein and will be impacted by
2 the Slowdown Problem.

3 10. Plaintiff Jacqueline N. Olson is an individual residing in Locust Valley, New York
4 who, in or about September, 2017, purchased an iPhone 7 which contains an A10 Fusion processor.
5 The Apple Processor in her iPhone 7 has been exposed to the Security Vulnerabilities described
6 herein and will be impacted by the Slowdown Problem.

7 11. Defendant Apple is a California corporation with its principal place of business
8 located at 1 Infinite Loop, Cupertino, California 95014. Apple regularly conducts and transacts
9 business in this District as well as throughout the United States. Apple designed the Apple
10 Processors used in iDevices.

11 **JURISDICTION AND VENUE**

12 12. This Court has jurisdiction over this action under the Class Action Fairness Act, 28
13 U.S.C. § 1332(d). There are at least 100 members in the proposed class, the aggregated claims of
14 the individual class members exceed the sum or value of \$5,000,000, exclusive of interest and
15 costs, and this is a class action in which Defendant Apple and members of the proposed plaintiff
16 classes, including the named Plaintiffs, are citizens of different states.

17 13. Venue is proper in this District pursuant to 28 U.S.C. § 1391 because Apple has its
18 principal place of business in this District, a substantial part of the events or omissions giving rise
19 to Plaintiffs' claims occurred here, and Apple is a corporation subject to personal jurisdiction in
20 this District and, therefore, resides here for venue purposes.

21 **FACTUAL ALLEGATIONS**

22 14. Defendant Apple is one of the world's largest manufacturers of mobile telephones
23 and tablet devices, and has been selling and distributing the iDevices incorporating the defective
24 Apple Processors for more than 10 years. Apple has sold millions of iDevices containing Apple
25 Processors, which it designed using architecture licensed from ARM Holdings PLC and which it
26 manufactured or had manufactured by third-parties in accordance with its designs.

27 15. On January 2, 2018, it was publicly reported that "a fundamental design flaw in
28 Intel's processor chips has forced a significant redesign of the Linux and windows kernels to

1 defang the chip-level security bug.” John Leyden & Chris Williams, *Kernel-memory-leaking Intel*
2 *processor design flaw forces Linux, Windows redesign*, THE REGISTER, January 2, 2018.³

3 16. On January 4, 2018, it was widely reported that the design defect exposed users to
4 two security vulnerabilities, called “Meltdown” and “Spectre,” respectively, both of which exposed
5 users to significant security risks and for neither of which was there a reasonable and adequate
6 solution. Cade Metz & Nicole Perlroth, *Researchers Discover Two Major Flaws in the World’s*
7 *Computers*, N.Y. TIMES, January 4, 2018.

8 17. On January 4, 2018, Apple announced that all Apple Processors were vulnerable to
9 the Meltdown and Spectre techniques.

10 18. The Meltdown and Spectre techniques allow hackers to take advantage of a modern
11 computer processor (or “CPU”) performance feature, called speculative execution. Speculative
12 execution attempts to improve speed by executing multiple instructions at once (or even in a
13 different order than when entering the CPU). To increase performance, the CPU *predicts* which
14 path of a branch is most likely to be taken, and will speculatively continue execution down that
15 path even before the branch is completed. If the prediction is wrong, speculative execution is rolled
16 back in a way that is intended to be invisible to software.

17 19. The design flaw exposes the processor’s kernel to vulnerability. A kernel is the
18 most vital software component of a computer, which serves as a go between among programs and
19 computer components, such as the processor and the memory. One of the kernel’s main tasks is to
20 prevent data in one program from being read by another when it should not.

21 20. The Meltdown and Spectre techniques allow hackers to abuse speculative execution
22 to access privileged memory – including that of the kernel – from a less-privileged user process
23 (such as a malicious application running) on the device.

24 21. Because of the newly-disclosed Security Vulnerabilities, it is possible for hackers to
25 use malicious software to gain access to sensitive data that is supposed to be protected by the
26

27 ³ https://www.theregister.co.uk/2018/01/02/intel_cpu_design_flaw/ (last visited January 4,
28 2018).

1 kernel, such as passwords, social security numbers, credit card and banking information, and
2 photographs. Significantly, unlike ordinary malware, which runs like applications, hackers
3 exploiting these kernel defects cannot be seen by antivirus software.⁴

4 22. As detailed below, the firmware and software patches to protect against the
5 Meltdown and Spectre techniques are wholly inadequate to eliminate the Security Vulnerabilities
6 that exist as a result of the defect in Apple Processors. The firmware and software “fixes” for the
7 Meltdown technique are expected to reduce processor speed by between 5 and 30%, with some
8 sources predicting the possibility of an even greater slowdown. There is no complete firmware or
9 software patch to fully protect against the Spectre technique at this time, and it is not clear whether
10 any of the patches necessary to fix Spectre will slow processors.

11 **The Defective Apple Processor’s Security Vulnerabilities:**

12 **The “Meltdown” Technique:**

13 23. Meltdown is the name given to an exploitation technique known as CVE-2017-5754
14 or “rogue data cache load.”

15 24. The Meltdown technique can enable a user process to read kernel memory, and
16 Apple admitted that its analysis suggests that it has the most potential to be exploited.

17 25. Apple claims it recently released updates for iDevices to protect against the
18 Meltdown technique without affecting the speed of the devices.

19 26. However, Apple provided no details regarding what iDevices it tested or how those
20 tests were conducted, and experts claim that processor slowdown is unavoidable given the way the
21 Meltdown patch works.

22 **The “Spectre” Techniques:**

23 27. Spectre is a name covering two different exploitation techniques known as CVE-
24 2017-5753 or “bounds check bypass,” and CVE-2017-5715 or “branch target injection.” These
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26

27 ⁴ [http://nymag.com/selectall/2018/01/intel-chip-security-flaw-meltdown-spectre-what-to-know-](http://nymag.com/selectall/2018/01/intel-chip-security-flaw-meltdown-spectre-what-to-know-explainer.html)
28 [explainer.html](http://nymag.com/selectall/2018/01/intel-chip-security-flaw-meltdown-spectre-what-to-know-explainer.html) (last visited January 8, 2018).

1 techniques potentially make items in kernel memory available to user processes by taking
2 advantage of a delay in the time it may take the CPU to check the validity of a memory access call.

3 28. Although Apple claims that the Spectre techniques are difficult to exploit, even by
4 an application running locally on an iDevice, Apple did not disclose the likelihood of a successful
5 Spectre attack or how a user could prevent against such an attack. Apple did admit that the Spectre
6 techniques could be exploited in JavaScript running in a web browser and that it would release an
7 update for Safari on iOS to *mitigate* the Spectre exploitation techniques. Apple's statement
8 suggests that it cannot completely eliminate the Spectre exploitation techniques.

9 29. As with Meltdown, it is unlikely that an antivirus program will detect attacks using
10 the Spectre techniques.

11 **Apple's Knowledge of the Security Vulnerabilities:**

12 30. Based upon information and belief, Apple has long known of the Security
13 Vulnerabilities, but has done nothing about them until recently. On January 4, 2018, *Morningstar*
14 reported, in an article titled, "Intel Struggled With Securities Flaws for Months," that:

15 On June 1 last year, a member of Google's Project Zero security team notified Intel
16 and other chip makers of the vulnerabilities. Even with the lead time, Intel and
17 others are still trying to plug the security gaps. One issue is getting security updates
18 to billions of devices. Another is that some security patches could slow
19 performance, as the flaws affect chip features designed to speed up processors.⁵

20 31. ARM Holdings PLC, the company that licenses the ARM architecture to Apple,
21 admits that it was notified of the Security Vulnerabilities in June, 2017 by Google's Project Zero
22 and that it immediately notified its architecture licensees (presumably, including Apple) who create
23 their own processor designs of the Security Vulnerabilities.

24 32. In fact, Apple either knew, or should have known, of the Security Vulnerabilities at
25 least throughout the Class Period (defined below). Had Apple been performing proper tests and
26 security checks of its Apple Processors, the Security Vulnerabilities would have been evident. No
27 fewer than three independent teams working separately (teams from Google Project Zero, Cyberus

28 ⁵ <http://news.morningstar.com/all/dow-jones/us-markets/201801049039/intel-wrestled-with-chip-flaws-for-months.aspx> (last visited January 4, 2018).

1 Technology, and the Graz University of Technology) were able to discover Meltdown, and two
2 independent teams (from Google Project Zero and a group of universities) were able to discover
3 Spectre.⁶ Apple, with its access to proprietary information, was in a much better position to
4 discover the Security Vulnerabilities than independent researchers. And, as the iDevices
5 containing the defective Apple Processors were at the center of its business, it had both the
6 obligation and motivation to do so.

7 33. Nonetheless, Apple has continued and continues to sell iDevices containing the
8 defective Apple Processors to this day. As a result, Plaintiffs and Class members have been
9 needlessly harmed.

10 34. The position in which this leaves consumers is clear. They have iDevices using
11 Apple Processors that are slower and more vulnerable to attacks by hackers than what consumers
12 bargained for. They have iDevices incorporating Apple Processors that are not adequate for their
13 ordinary purpose. Plaintiffs and other Class members would not have purchased iDevices, or
14 would not have paid as much for them, had they known the truth about the Security Vulnerabilities
15 to the Apple Processors.

16 **CLASS ALLEGATIONS**

17 35. Plaintiffs bring this action as a class action on behalf of themselves and all others
18 similarly situated for the purpose of asserting claims alleged in this Complaint on a common basis.
19 Plaintiffs' proposed classes are defined under Federal Rules of Civil Procedure 23(b)(2) and (3).
20 Plaintiffs propose to act as representatives of the following Nationwide Class ("Class") comprised
21 of all persons who reside and purchased or leased their iDevices in the United States at any time
22 since 2007 (the "Class Period").⁷

23 36. Plaintiffs also bring this action on behalf of two sub-classes: the New Hampshire
24 Sub-Class, comprised of all Class members who resided in New Hampshire when they purchased
25

26 ⁶ <https://spectreattack.com/#faq-fix> (last visited January 8, 2108).

27 ⁷ Tolling would apply to any applicable statutes of limitations because Plaintiffs and
28 proposed Class members could not have discovered the Security Vulnerabilities until they were
disclosed by Apple.

1 or leased iDevices or who purchased or leased iDevices in New Hampshire; and the New York
2 Sub-Class, comprised of all Class members who resided in New York when they purchased or
3 leased iDevices or who purchased or leased iDevices in New York. (Collectively, the Class and the
4 Sub-Classes are referred to as the “Classes”).

5 37. Excluded from the Classes are Apple; any person, firm, trust, corporation, officer,
6 director, or other individual or entity in which Apple has a controlling interest or which is related to
7 or affiliated with Apple; and the legal representatives, agents, affiliates, heirs, successors-in-
8 interest, or assigns of each such excluded party.

9 38. The Classes for whose benefit this action is brought are so numerous and
10 geographically dispersed that joinder of all members is impractical.

11 39. Plaintiffs are unable to state the exact number of members of the Classes without
12 discovery of Apple’s records but, on information and belief, allege that the Class members number
13 in the millions.

14 40. Plaintiffs are typical of the members of the Classes in that their claims are based on
15 the exact same facts and legal theories as the claims of all other Class members.

16 41. There are questions of law and fact common to the Classes which predominate over
17 any questions affecting only individual members. The common questions of law and fact affecting
18 the rights of all members of the Classes include the following:

- 19 a. whether Defendant’s Apple Processors are defective;
- 20 b. whether Defendant’s Apple Processors are vulnerable to the Meltdown
21 techniques;
- 22 c. whether Defendant’s Apple Processors are vulnerable to the Spectre
23 techniques;
- 24 d. whether the remedies to eliminate or mitigate the Meltdown and Spectre
25 techniques slow down Apple Processors;
- 26 e. whether any slowdown to Apple Processors is material;
- 27 f. whether the remedies to eliminate or mitigate the Meltdown and Spectre
28 techniques are effective;

- 1 g. when Defendant knew of the Security Vulnerabilities in the Apple
- 2 Processors;
- 3 h. whether Defendant violated consumer protection laws by selling or leasing
- 4 iDevices containing the defective Apple Processors;
- 5 i. whether Defendant breached any warranties in connection with the sale or
- 6 lease of the iDevices containing the defective Apple Processors;
- 7 j. whether Plaintiffs are entitled to injunctive relief; and
- 8 k. the appropriate measure and amount of compensation for Plaintiffs and the
- 9 Classes.

10 42. Each of these common questions of law and fact is identical for each and every
11 member of the Classes.

12 43. Plaintiffs are members of the Classes they seek to represent, and their claims arise
13 from the same factual and legal basis as those of the other members of the Classes. Plaintiffs assert
14 the same legal theories as do all members of the Classes.

15 44. Plaintiffs will thoroughly and adequately protect the interests of the Classes, having
16 obtained qualified and competent legal counsel to represent themselves and those similarly situated.

17 45. The prosecution of separate actions by individual members of the Classes would
18 create a risk of inconsistent adjudications and would cause needless expenditure of judicial
19 resources, and as such prosecution on a Class basis is superior to other methods of adjudication.

20 **COUNT I**
21 **Breach of Implied Warranty**
22 **(Individually and on Behalf of the Classes)**

23 46. Plaintiffs incorporate by reference paragraphs 1 through 45 above as if fully set forth
24 herein.

25 47. This claim is asserted on behalf of Plaintiffs and the Classes.

26 48. Defendant is a “merchant” and the iDevices are “goods” as defined under the
27 Uniform Commercial Code.

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1 unfair and deceptive practices. Thus, it would be unjust or inequitable for Defendant to retain the
2 benefit without restitution to Plaintiffs and the other members of the Classes.

3 **COUNT V**
4 **Violations of New Hampshire's Consumer Protection Act,**
5 **N.H. Rev. Stat. Ann. § 358-A, *et seq.***
6 **(Plaintiff Bartling, Individually and on behalf of the proposed New Hampshire Sub-Class)**

7 75. Plaintiffs incorporate by reference paragraphs 1 through 45 above as if fully set forth
8 herein.

9 76. Apple has represented to Plaintiff Bartling and members of the New Hampshire
10 Sub-Class that its iDevices contain Apple Processors that have characteristics, uses, and benefits
11 that they do not have, in violation of RSA § 358-A:2(V).

12 77. Apple has also represented to Plaintiff Bartling and members of the New Hampshire
13 Sub-Class that its iDevices contained Apple Processors that were of a particular standard, quality or
14 grade which they were not, in violation of RSA § 358- A:2(VII).

15 78. In addition, Plaintiff Bartling and the New Hampshire Sub-Class members have
16 suffered injury in fact and lost money or property as a result of unfair competition and deceptive
17 acts by Apple, as Plaintiff and the New Hampshire Sub-Class members purchased iDevices
18 containing Apple Processors which they otherwise would not have been purchased, or paid more
19 for the iDevices than they would have paid if Apple had not made misrepresentations and/or
20 concealed or omitted material information about the quality and characteristics of the Apple
21 Processors, including the processors' speed and security.

22 79. Plaintiff Bartling and the New Hampshire Sub-Class members relied upon Apple to
23 disclose all pertinent information about the Apple Processors.

24 80. The actions of Apple, as complained of herein, constitute unfair and deceptive
25 practices committed in violation of the New Hampshire Consumer Protection Act.

26 81. Plaintiff Bartling and the New Hampshire Sub-Class members have suffered
27 damages as a result of the conduct of Apple, because Plaintiff and the New Hampshire Sub-Class
28

1 members were misled into purchasing iDevices which were not what Apple represented them to be
2 or paying more for the iDevices containing Apple Processors than they otherwise would have.

3 82. Apple was aware, or by the exercise of reasonable care should have been aware, that
4 the representations detailed herein were untrue or misleading. Apple was also aware, or by the
5 exercise of reasonable care should have been aware, that the concealments and omissions detailed
6 herein should have been timely disclosed to consumers. Apple was also aware, or by the exercise
7 of reasonable care should have been aware, that it was engaging in unfair or deceptive acts or
8 practices.

9 83. Plaintiff Bartling and the members of the New Hampshire Sub-Class have each been
10 directly and proximately injured by the conduct of the Defendant, including by overpaying for the
11 iDevices containing Apple Processors that they would not otherwise have purchased, being
12 exposed to security and processor slow down risks.

13 84. As a result of the conduct of Apple, as alleged herein, Plaintiff Bartling and the New
14 Hampshire Sub-Class should be awarded actual damages, restitution, and punitive damages
15 pursuant to N.H. Rev. Stat. Ann. § 358-A:10(I), and any other relief the Court deems appropriate.

16 **COUNT VI**
17 **Violation of New York General Business Law § 349**
(Plaintiff Olson, Individually and on behalf of the New York Sub-Class)

18 85. Plaintiffs incorporate by reference paragraphs 1 through 45 above as if set forth fully
19 herein.

20 86. New York General Business Law (“GBL”) § 349(a) provides that “deceptive acts or
21 practices in the conduct of any business, trade or commerce or in the furnishing of any service in
22 this state are hereby declared unlawful.”

23 87. The conduct of Defendant alleged herein violates GBL § 349 in that Defendant
24 engaged in the unfair and deceptive practices described herein, which included representing to the
25 consuming public, including Plaintiff Olson and the New York Sub-Class, that Apple Processors
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27

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1 have certain speeds and characteristics that they do not, and failing to disclose that the Apple
2 Processors were defective exposing them to the Security Vulnerabilities and slow-down risks.

3 88. Defendant's acts and practices described above are likely to mislead a reasonable
4 consumer acting reasonably under the circumstances.

5 89. Defendant has willfully and knowingly violated GBL § 349 because, in order to
6 increase its own profits, Defendant intentionally engaged in deceptive and false advertising,
7 misrepresentations and omission of material facts and/or deceptive acts of practices regarding its
8 iDevices and Apple Processors as discussed above.

9 90. As a result of Defendant's deceptive and misleading acts or practices, Plaintiff
10 Olson and the other members of the New York Sub-Class have been injured because they
11 purchased Defendant's iDevices without full disclosure of the material facts discussed above.
12

13 91. As a result of Defendant's conduct in violation of GBL § 349, Plaintiff Olson and
14 the other members of the New York Sub-Class have been injured as alleged herein in amounts to be
15 proven at trial because if Defendant had disclosed the information discussed above about the
16 defective Apple Processors in the iDevices and otherwise been truthful about their security and
17 slowdown risks, they would not have purchased or paid as much for Defendant's iDevices. As a
18 result, pursuant to GBL § 349, Plaintiff Olson and the New York Sub-Class are entitled to make
19 claims against Defendant for actual or statutory damages to be determined at trial, but for not less
20 than fifty (50) dollars per New York Sub-Class member, such damages to be trebled up to one
21 thousand dollars.
22

23 92. Additionally, pursuant to GBL § 349, Plaintiff Olson and the New York Sub-Class
24 make claims for attorneys' fees, costs, and injunctive relief requiring Defendant to adequately
25 disclose the omitted information and remedy the Security Vulnerabilities described above.
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27
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CIVIL COVER SHEET

The JS-CAND 44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved in its original form by the Judicial Conference of the United States in September 1974, is required for the Clerk of Court to initiate the civil docket sheet. (SEE INSTRUCTIONS ON NEXT PAGE OF THIS FORM.)

I. (a) PLAINTIFFS

Anthony Bartling and Jacqueline N. Olson, on behalf of themselves and all others similarly situated

(b) County of Residence of First Listed Plaintiff Hillsborough County, NH (EXCEPT IN U.S. PLAINTIFF CASES)

(c) Attorneys (Firm Name, Address, and Telephone Number) Rachele R. Rickert (190634), WOLF HALDENSTEIN ADLER FREEMAN & HERZ LLP 750 B St., Suite 2770, San Diego, CA 92101; (619) 239-4599

DEFENDANTS

Apple Inc.

County of Residence of First Listed Defendant (IN U.S. PLAINTIFF CASES ONLY)

NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF THE TRACT OF LAND INVOLVED.

Attorneys (If Known)

II. BASIS OF JURISDICTION (Place an "X" in One Box Only)

- 1 U.S. Government Plaintiff 3 Federal Question (U.S. Government Not a Party) 2 U.S. Government Defendant 4 Diversity (Indicate Citizenship of Parties in Item III)

III. CITIZENSHIP OF PRINCIPAL PARTIES (Place an "X" in One Box for Plaintiff and One Box for Defendant)

Table with columns for Plaintiff (PTF) and Defendant (DEF) citizenship: Citizen of This State, Citizen of Another State, Citizen or Subject of a Foreign Country, Incorporated or Principal Place of Business In This State, Incorporated and Principal Place of Business In Another State, Foreign Nation.

IV. NATURE OF SUIT (Place an "X" in One Box Only)

Large table with categories: CONTRACT, REAL PROPERTY, TORTS, CIVIL RIGHTS, PRISONER PETITIONS, HABEAS CORPUS, OTHER, FORFEITURE/PENALTY, LABOR, IMMIGRATION, BANKRUPTCY, SOCIAL SECURITY, FEDERAL TAX SUITS, OTHER STATUTES.

V. ORIGIN (Place an "X" in One Box Only)

- 1 Original Proceeding 2 Removed from State Court 3 Remanded from Appellate Court 4 Reinstated or Reopened 5 Transferred from Another District (specify) 6 Multidistrict Litigation-Transfer 8 Multidistrict Litigation-Direct File

VI. CAUSE OF ACTION

Cite the U.S. Civil Statute under which you are filing (Do not cite jurisdictional statutes unless diversity): 28 U.S.C. § 1332(d) Brief description of cause: Breach of Implied & Express Warranty, Negligence, Unjust Enrichment, Violations of N.H. Rev. Stat. Ann. § 358-A, N.Y. Gen. Bus. Law § 349

VII. REQUESTED IN COMPLAINT:

CHECK IF THIS IS A CLASS ACTION UNDER RULE 23, Fed. R. Civ. P. DEMAND \$ CHECK YES only if demanded in complaint: JURY DEMAND: X Yes No

VIII. RELATED CASE(S), IF ANY (See instructions):

JUDGE DOCKET NUMBER

IX. DIVISIONAL ASSIGNMENT (Civil Local Rule 3-2)

(Place an "X" in One Box Only) SAN FRANCISCO/OAKLAND X SAN JOSE EUREKA-MCKINLEYVILLE

DATE 01/08/2018

SIGNATURE OF ATTORNEY OF RECORD

/s/ Rachele R. Rickert

INSTRUCTIONS FOR ATTORNEYS COMPLETING CIVIL COVER SHEET FORM JS-CAND 44

Authority For Civil Cover Sheet. The JS-CAND 44 civil cover sheet and the information contained herein neither replaces nor supplements the filings and service of pleading or other papers as required by law, except as provided by local rules of court. This form, approved in its original form by the Judicial Conference of the United States in September 1974, is required for the Clerk of Court to initiate the civil docket sheet. Consequently, a civil cover sheet is submitted to the Clerk of Court for each civil complaint filed. The attorney filing a case should complete the form as follows:

- I. a) Plaintiffs-Defendants.** Enter names (last, first, middle initial) of plaintiff and defendant. If the plaintiff or defendant is a government agency, use only the full name or standard abbreviations. If the plaintiff or defendant is an official within a government agency, identify first the agency and then the official, giving both name and title.
- b) County of Residence.** For each civil case filed, except U.S. plaintiff cases, enter the name of the county where the first listed plaintiff resides at the time of filing. In U.S. plaintiff cases, enter the name of the county in which the first listed defendant resides at the time of filing. (NOTE: In land condemnation cases, the county of residence of the “defendant” is the location of the tract of land involved.)
- c) Attorneys.** Enter the firm name, address, telephone number, and attorney of record. If there are several attorneys, list them on an attachment, noting in this section “(see attachment).”
- II. Jurisdiction.** The basis of jurisdiction is set forth under Federal Rule of Civil Procedure 8(a), which requires that jurisdictions be shown in pleadings. Place an “X” in one of the boxes. If there is more than one basis of jurisdiction, precedence is given in the order shown below.
- (1) United States plaintiff. Jurisdiction based on 28 USC §§ 1345 and 1348. Suits by agencies and officers of the United States are included here.
 - (2) United States defendant. When the plaintiff is suing the United States, its officers or agencies, place an “X” in this box.
 - (3) Federal question. This refers to suits under 28 USC § 1331, where jurisdiction arises under the Constitution of the United States, an amendment to the Constitution, an act of Congress or a treaty of the United States. In cases where the U.S. is a party, the U.S. plaintiff or defendant code takes precedence, and box 1 or 2 should be marked.
 - (4) Diversity of citizenship. This refers to suits under 28 USC § 1332, where parties are citizens of different states. When Box 4 is checked, the citizenship of the different parties must be checked. (See Section III below; **NOTE: federal question actions take precedence over diversity cases.**)
- III. Residence (citizenship) of Principal Parties.** This section of the JS-CAND 44 is to be completed if diversity of citizenship was indicated above. Mark this section for each principal party.
- IV. Nature of Suit.** Place an “X” in the appropriate box. If the nature of suit cannot be determined, be sure the cause of action, in Section VI below, is sufficient to enable the deputy clerk or the statistical clerk(s) in the Administrative Office to determine the nature of suit. If the cause fits more than one nature of suit, select the most definitive.
- V. Origin.** Place an “X” in one of the six boxes.
- (1) Original Proceedings. Cases originating in the United States district courts.
 - (2) Removed from State Court. Proceedings initiated in state courts may be removed to the district courts under Title 28 USC § 1441. When the petition for removal is granted, check this box.
 - (3) Remanded from Appellate Court. Check this box for cases remanded to the district court for further action. Use the date of remand as the filing date.
 - (4) Reinstated or Reopened. Check this box for cases reinstated or reopened in the district court. Use the reopening date as the filing date.
 - (5) Transferred from Another District. For cases transferred under Title 28 USC § 1404(a). Do not use this for within district transfers or multidistrict litigation transfers.
 - (6) Multidistrict Litigation Transfer. Check this box when a multidistrict case is transferred into the district under authority of Title 28 USC § 1407. When this box is checked, do not check (5) above.
 - (8) Multidistrict Litigation Direct File. Check this box when a multidistrict litigation case is filed in the same district as the Master MDL docket. Please note that there is no Origin Code 7. Origin Code 7 was used for historical records and is no longer relevant due to changes in statute.
- VI. Cause of Action.** Report the civil statute directly related to the cause of action and give a brief description of the cause. **Do not cite jurisdictional statutes unless diversity.** Example: U.S. Civil Statute: 47 USC § 553. Brief Description: Unauthorized reception of cable service.
- VII. Requested in Complaint.** Class Action. Place an “X” in this box if you are filing a class action under Federal Rule of Civil Procedure 23.
- Demand. In this space enter the actual dollar amount being demanded or indicate other demand, such as a preliminary injunction.
- Jury Demand. Check the appropriate box to indicate whether or not a jury is being demanded.
- VIII. Related Cases.** This section of the JS-CAND 44 is used to identify related pending cases, if any. If there are related pending cases, insert the docket numbers and the corresponding judge names for such cases.
- IX. Divisional Assignment.** If the Nature of Suit is under Property Rights or Prisoner Petitions or the matter is a Securities Class Action, leave this section blank. For all other cases, identify the divisional venue according to Civil Local Rule 3-2: “the county in which a substantial part of the events or omissions which give rise to the claim occurred or in which a substantial part of the property that is the subject of the action is situated.”
- Date and Attorney Signature.** Date and sign the civil cover sheet.