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9
10 SUPERIOR COURT OF THE STATE OF CALIFORNIA
11 COUNTY OF SAN FRANCISCO

12 JOHN R. SWITZER, Individually and on)	Lead Case No. CGC-18-564904
Behalf of All Others Similarly Situated,)	(Consolidated with No. CGC-18-565324)
)	
13 Plaintiff,)	<u>CLASS ACTION</u>
)	
14 vs.)	DECLARATION OF STEPHEN J. ODDO
)	FILED ON BEHALF OF ROBBINS LLP IN
15 W.R. HAMBRECHT & CO., LLC, et al.,)	SUPPORT OF APPLICATION FOR AWARD
)	OF ATTORNEYS' FEES AND EXPENSES
16 Defendants.)	
)	Assigned for all purposes to
17)	Judge Teri L. Jackson, Dept. 613
18)	Date Action Filed: 03/09/18
)	
19)	DATE: March 13, 2020
)	TIME: 10:30 a.m.
20)	DEPT: 613

ELECTRONICALLY
FILED
Superior Court of California,
County of San Francisco
12/23/2019
Clerk of the Court
BY: JUDITH NUNEZ
Deputy Clerk

1 I, Stephen J. Oddo, declare as follows:

2 1. I am a partner at Robbins LLP. I am submitting this declaration in support of my firm's
3 application for an award of attorneys' fees and expenses/charges ("expenses") in connection with
4 services rendered in the above-entitled action.

5 2. This firm is counsel of record for plaintiff Jay Mendelson.

6 3. The information in this declaration regarding the firm's time and expenses is taken from
7 time and expense printouts and supporting documentation prepared and/or maintained by the firm in the
8 ordinary course of business. I am the partner who oversaw and/or conducted the day-to-day activities in
9 the litigation and I reviewed these printouts (and backup documentation where necessary or
10 appropriate) in connection with the preparation of this declaration. The purpose of this review was to
11 confirm both the accuracy of the entries on the printouts as well as the necessity for, and reasonableness
12 of, the time and expenses committed to the litigation. As a result of this review, I believe that the time
13 reflected in the firm's lodestar calculation and the expenses for which payment is sought as set forth in
14 this declaration are reasonable in amount and were necessary for the effective and efficient prosecution
15 and resolution of the litigation. In addition, I believe that the expenses are all of a type that would
16 normally be charged to a fee-paying client in the private legal marketplace.

17 4. The number of hours spent on this litigation by my firm is 157.25. A breakdown of the
18 lodestar is provided in Exhibit A. The lodestar amount for attorney/paraprofessional time based on the
19 firm's current rates is \$73,943.75. The hourly rates shown in Exhibit A are the usual and customary
20 rates set by the firm for each individual.

21 5. Attached as Exhibit B is a task-based summary of the work performed and the lodestar
22 incurred by each attorney and professional staff member who performed services in this litigation.

23 6. My firm seeks an award of \$4,617.55 in expenses and charges in connection with the
24 prosecution of the litigation. Those expenses and charges are summarized by category in Exhibit C.

25 7. The following is additional information regarding certain of these expenses:

26 (a) Filing, Witness and Other Fees: \$2,196.45. These expenses have been paid to the
27 Court for filing fees and to attorney service firms or individuals who either (i) served process of the
28

1 complaint or subpoenas, or (ii) obtained copies of court documents for plaintiff. The vendors who were
2 paid for these services are set forth in Exhibit D.

3 (b) Transportation, Hotels & Meals: \$1,636.61. In connection with the prosecution
4 of this case, the firm has paid for travel expenses to, among other things, attend court hearings, meet
5 with witnesses, mediators and opposing counsel. The date, destination and purpose of each trip is set
6 forth in Exhibit E.

7 (c) Photocopies: \$318.00. In connection with this case, the firm made 1,272 in-
8 house black and white copies, charging \$0.25 per copy for a total of \$318.00. Each time an in-house
9 copy machine is used, our billing system requires that a case or administrative billing code be entered
10 and that is how the 1,272 copies were identified as related to this case.

11 (d) Online Legal and Financial Research: \$152.94. This category includes vendors
12 such as Bloomberg BNA, S&P CapIQ, Westlaw, and LexisNexis. These resources were used to obtain
13 access to SEC filings, factual databases, legal research and for cite-checking of briefs. This expense
14 represents the expense incurred by Robbins LLP for use of these services in connection with this
15 litigation. The charges for these vendors vary depending upon the type of services requested.

16 8. The expenses pertaining to this case are reflected in the books and records of this firm.
17 These books and records are prepared from receipts, expense vouchers, check records and other
18 documents and are an accurate record of the expenses.

19 9. The identification and background of my firm and its partners is attached hereto as
20 Exhibit F.

21 I declare under penalty of perjury under the laws of the State of California that the foregoing is
22 true and correct. Executed this 17th day of December, 2019, at San Diego, California.

23
24 
25 _____
26 STEPHEN J. ODDO
27
28

EXHIBIT A

EXHIBIT A

John R. Switzer v. W.R. Hambrecht & Co., LLC, et al.

Robbins LLP

Inception through December 17, 2019

<i>NAME</i>		<i>HOURS</i>	<i>RATE</i>	<i>LODESTAR</i>
Stephen J. Oddo	(P)	59.00	\$825	\$48,675.00
Gregory Del Gaizo	(P)	5.75	\$700	\$4,025.00
Jenny L. Dixon	(P)	2.75	\$825	\$2,268.75
Brian Robbins	(P)	2.00	\$825	\$1,650.00
Eric M. Carrino	(A)**	3.00	\$375	\$1,125.00
Paralegals	*	22.00	\$255	\$5,610.00
Corporate Research	*	52.00	\$172.72	\$8,981.25
Litigation Support	*	10.75	\$149.65	\$1,608.75
<i>TOTAL</i>		<i>157.25</i>		<i>\$73,943.75</i>

(P) Partner

(A) Associate

(*) Average rate

(**) Reflects position at time work was performed as such individual no longer works for Robbins LLP

EXHIBIT B

EXHIBIT B

John R. Switzer v. W.R. Hambrecht & Co., LLC, et al.

Robbins LLP

Inception through December 17, 2019

Categories:

(1) Factual Investigation

(2) Discovery

(3) Pleadings, Briefs &
Pretrial Motions

(4) Court Appearances

(5) Draft Initial or Amended
Complaint

(6) Document Review,
Case File

(7) Legal Research

(8) Client / Shareholder Communications

(9) Litigation Strategy & Analysis

(10) Settlement Negotiations, Stipulation, Plan of Allocation

Name	1	2	3	4	5	6	7	8	9	10	Total Hours	Rate	Total Lodestar
Stephen J. Oddo													
March 2018	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.00	1.00	0.00	1.25	\$825.00	\$1,031.25
April 2018	0.00	0.00	1.25	0.00	0.00	0.00	0.00	0.00	0.25	0.00	1.50	\$825.00	\$1,237.50
May 2018	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	\$825.00	\$825.00
June 2018	0.00	0.75	4.00	0.00	0.00	0.00	0.00	2.00	1.50	0.00	8.25	\$825.00	\$6,806.25
July 2018	0.00	0.50	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.50	\$825.00	\$1,237.50
August 2018	0.00	0.00	2.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.25	\$825.00	\$1,856.25
September 2018	0.00	0.00	3.25	0.00	0.00	0.00	0.00	0.50	0.00	0.00	3.75	\$825.00	\$3,093.75
October 2018	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	\$825.00	\$206.25
November 2018	0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	\$825.00	\$412.50

January 2019	0.00	6.50	1.00	0.00	0.00	0.00	0.00	1.00	0.00	22.75	31.25	\$825.00	\$25,781.25
February 2019	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.00	2.00	\$825.00	\$1,650.00
April 2019	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.75	1.75	\$825.00	\$1,443.75
May 2019	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	0.50	\$825.00	\$412.50
August 2019	0.00	0.00	1.50	0.00	0.00	0.00	0.00	1.25	0.00	0.50	3.25	\$825.00	\$2,681.25
Gregory Del Gaizo													
March 2018	0.00	0.00	4.25	0.00	0.00	0.00	0.00	0.25	0.25	0.00	4.75	\$700.00	\$3,325.00
April 2018	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.00	0.50	0.00	0.75	\$700.00	\$525.00
June 2018	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	0.00	0.25	\$700.00	\$175.00
Jenny L. Dixon													
May 2018	0.25	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.50	0.00	1.25	\$825.00	\$1,031.25
June 2018	0.00	0.25	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.25	\$825.00	\$1,031.25
September 2018	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	\$825.00	\$206.25
Brian Robbins													
March 2018	0.00	0.00	1.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.50	\$825.00	\$1,237.50
June 2018	0.00	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	\$825.00	\$206.25
August 2019	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	0.25	\$825.00	\$206.25
Eric M. Carrino													
August 2018	0.00	0.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	3.00	\$375.00	\$1,125.00
Anna Marie Miller													
March 2018	0.00	0.00	9.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	9.00	\$255.00	\$2,295.00
April 2018	0.00	0.00	1.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.75	\$255.00	\$446.25
Katherine Scheele													
March 2018	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	\$255.00	\$127.50
April 2018	0.00	0.00	1.75	0.00	0.00	0.75	0.00	0.00	0.25	0.00	2.75	\$255.00	\$701.25
June 2018	0.00	0.25	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.75	\$255.00	\$191.25
August 2018	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	\$255.00	\$63.75
September 2018	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	\$255.00	\$127.50
October 2018	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	\$255.00	\$127.50

November 2018 Jorgeanne A. Cabuhat	0.00	0.25	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.75	\$255.00	\$191.25
January 2019	0.00	0.50	0.25	0.00	0.00	0.75	0.00	0.00	0.00	0.00	0.00	1.50	\$255.00	\$382.50
February 2019	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	\$255.00	\$127.50
March 2019	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	\$255.00	\$63.75
May 2019	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	0.25	\$255.00	\$63.75	
June 2019	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	0.25	\$255.00	\$63.75	
July 2019	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	0.25	\$255.00	\$63.75	
August 2019	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.00	0.00	1.00	1.25	\$255.00	\$318.75	
December 2019 Temple R. Robinson	0.00	0.00	0.00	0.00	0.00	0.25	0.00	0.00	0.00	0.75	1.00	\$255.00	\$255.00	
March 2018 Mason J. Hattam	2.00	0.00	0.00	0.00	0.00	21.00	0.00	0.00	0.00	0.00	23.00	\$165.00	\$3,795.00	
March 2018 Julia C. Wildenthaler	8.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	8.25	\$190.00	\$1,567.50	
March 2018	4.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	4.50	\$165.00	\$742.50	
April 2018 Robert C. Gojuangco	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	\$165.00	\$165.00	
March 2018 Carlo O. Ybanez	5.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	5.25	\$165.00	\$866.25	
March 2018 Candi L. Xaysana	4.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	4.50	\$190.00	\$855.00	
March 2018 Brennan P. Whalen	2.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.50	\$165.00	\$412.50	
March 2018	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.00	\$190.00	\$380.00	

Michelle B. Gaulin														
March 2018	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	\$250.00	\$125.00	
Brenna C. Resnick														
March 2018	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	\$145.00	\$72.50	
Rockne B. Krebs														
April 2018	0.00	0.00	0.00	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.50	\$135.00	\$67.50	
May 2018	0.00	0.00	0.00	0.00	0.00	0.75	0.00	0.00	0.00	0.00	0.75	\$135.00	\$101.25	
June 2018	0.00	0.25	0.00	0.00	0.00	1.25	0.00	0.00	0.00	0.00	1.50	\$135.00	\$202.50	
July 2018	0.00	0.00	0.00	0.00	0.00	0.75	0.00	0.00	0.00	0.00	0.75	\$135.00	\$101.25	
August 2018	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	1.00	\$135.00	\$135.00	
September 2018	0.00	0.00	0.00	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.50	\$135.00	\$67.50	
October 2018	0.00	0.00	0.00	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.50	\$135.00	\$67.50	
November 2018	0.00	0.00	0.00	0.00	0.00	0.75	0.00	0.00	0.00	0.00	0.75	\$135.00	\$101.25	
December 2018	0.00	0.00	0.00	0.00	0.00	0.75	0.00	0.00	0.00	0.00	0.75	\$135.00	\$101.25	
January 2019	0.00	0.00	0.00	0.00	0.00	1.50	0.00	0.00	0.00	0.00	1.50	\$135.00	\$202.50	
Wesley Hasten														
June 2018	0.00	1.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.50	\$225.00	\$337.50	
Jerrad Juanich														
November 2018	0.00	0.00	0.00	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.25	\$225.00	\$56.25	
Bryan M. Wyman														
November 2018	0.00	0.00	0.00	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.25	\$135.00	\$33.75	
Ussil Luis Ledesma														
May 2018	0.00	0.00	0.00	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.25	\$135.00	\$33.75	
GRAND TOTAL	31.25	13.00	41.50	0.00	0.00	31.75	0.00	5.00	4.50	30.25	157.25		\$73,943.75	

EXHIBIT C

EXHIBIT C

John R. Switzer v. W.R. Hambrecht & Co., LLC, et al.

Robbins LLP

Inception through December 17, 2019

<i>CATEGORY</i>		<i>AMOUNT</i>
Filing, Witness and Other Fees		\$2,196.45
Transportation, Hotels & Meals		\$1,636.61
Telephone, Facsimile		\$35.25
Postage		\$5.97
Messenger, Overnight Delivery		\$17.29
Photocopies		
In-House Black and White Copies: (1,272 copies at \$0.25 per page)		\$318.00
Online Legal and Financial Research		\$152.94
Miscellaneous (Relativity + Press Releases)		\$255.04
<i>TOTAL</i>		<i>\$4,617.55</i>

EXHIBIT D

EXHIBIT D

John R. Switzer v. W.R. Hambrecht & Co., LLC, et al.
Robbins LLP

Filing, Witness and Other Fees: \$2,196.45

<i>DATE</i>	<i>VENDOR</i>	<i>PURPOSE</i>
04/03/2018	Class Action Research	E-Filing & Service Fees
04/23/2018	Class Action Research	E-Filing & Service Fees
04/27/2018	Class Action Research	E-Filing & Service Fees
05/02/2018	Class Action Research	E-Filing & Service Fees
10/09/2018	Class Action Research	E-Filing & Service Fees
10/09/2018	Class Action Research	E-Filing & Service Fees
10/09/2018	Class Action Research	E-Filing & Service Fees
10/09/2018	Class Action Research	E-Filing & Service Fees

EXHIBIT E

EXHIBIT E

John R. Switzer v. W.R. Hambrecht & Co., LLC, et al.
Robbins LLP

Transportation, Hotels and Meals: \$1636.61

<i>NAME</i>	<i>DATE</i>	<i>DESTINATION</i>	<i>PURPOSE</i>
Stephen J. Oddo	01/22/2019	San Francisco	Mediation
Stephen J. Oddo	01/22/2019	San Francisco	Mediation
Stephen J. Oddo	01/24/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/25/2019	San Francisco	Mediation
Stephen J. Oddo	01/26/2019	San Francisco	Mediation
Stephen J. Oddo	01/26/2019	San Francisco	Mediation

Stephen J. Oddo	01/26/2019	San Francisco	Mediation
Stephen J. Oddo	01/26/2019	San Francisco	Mediation
Stephen J. Oddo	01/26/2019	San Francisco	Mediation
Stephen J. Oddo	01/31/2019		Mediation
Stephen J. Oddo	01/31/2019		Mediation
Stephen J. Oddo	01/31/2019		Mediation
Stephen J. Oddo	01/31/2019		Mediation

EXHIBIT F

FIRM RESUME

Robbins LLP¹ is a nationally recognized shareholder rights law firm dedicated to the prosecution of shareholder derivative and class action lawsuits. We are committed to the principle that the directors and managers of publicly traded corporations must be held accountable to the owners of the enterprise – the shareholders. A leader in corporate governance reform, Robbins LLP has worked with individual and institutional shareholders to improve board oversight, legal compliance, transparency, and responsiveness at more than 120 Fortune 1000 companies. The firm has also helped secure several of the largest monetary recoveries in the history of shareholder derivative litigation, and has helped clients to realize more than \$1 billion of value for themselves and the companies in which they have invested. For its achievements, the firm has received numerous accolades, including recognition from *U.S. News & World Report*, which named the firm a Best Law Firm for 2017-2019, *Daily Journal*, which named the firm a 2015 Top 25 Boutique in California, the Legal 500, which named the firm a Leading Firm in Merger and Acquisition Litigation in 2013-2018, the *National Law Journal*, which included the firm on its 2012 Litigation Boutiques Hot List, and ISS's Securities Class Action Services, which has listed the firm among the nation's top shareholder plaintiffs' firms. Nine of Robbins LLP's attorneys were honored as Super Lawyers or Rising Stars in 2019. In addition, Robbins LLP's co-founder, Brian J. Robbins, is featured in Best Lawyers in America for Securities Litigation (2016-2019), in *San Diego Business Journal* as Best of the Bar (2014-2016), and in *The Daily Transcript* as a Top Attorney (2015).

PRACTICE AREAS

In addition to representing individual and institutional investors in shareholder derivative actions, securities fraud class actions, and securities class actions arising out of mergers and acquisitions, initial public offerings, and going private transactions, Robbins LLP's practice includes antitrust actions, Employee Retirement Income Security Act (ERISA) actions, whistleblower actions under the Dodd-Frank Wall Street Reform and Consumer Protection Act and the False Claims Act, and consumer class actions.

LEADERSHIP

Robbins LLP's experienced attorneys provide skilled representation to clients through all phases of complex litigation. The firm's partners include former federal prosecutors, defense counsel from top corporate law firms, in-house counsel from leading financial institutions, and career shareholder rights litigators. Collectively, they have litigated hundreds of cases in nearly every state, serving in numerous court-appointed leadership roles in complex multi-jurisdictional litigation. They currently serve as lead or co-lead counsel in dozens of cases nationwide. The firm's attorneys are supported by investigators, corporate research analysts, client relations specialists, and legal support professionals, each of whom is dedicated to providing exceptional client service. Our talented team has helped secure significant results for our clients. We feature below some of the firm's achievements across the nation.

- ***Pirelli Armstrong Tire Corp. Ret. Med. Benefits Trust v. Hanover Compressor Co.***, No. H-02-0410 (S.D. Tex. Feb. 6, 2004): Shareholders of Hanover Compressor Company, now known as Exterran Holdings Inc., a provider of natural gas compression services operating in the United States and select international markets, brought claims on behalf of the company against company officers and directors for breach of fiduciary duty, waste of corporate assets, abuse of control, and gross mismanagement. The claims arose out of an off-balance-sheet joint venture to build and operate a natural gas processing plant on barges off the coast of Nigeria. Robbins LLP attorneys, serving as lead negotiators for derivative plaintiffs, secured extraordinary results for Hanover. First, Robbins LLP achieved for the company approximately \$57.4 million in compensation – consisting of a \$26.5 million payment and the return of 2.5 million shares valued at approximately \$30.9 million by an entity controlled by certain of the individual defendants. Second, Robbins LLP helped secure corporate governance changes at the company that have been noted as "groundbreaking" and "unprecedented" benefits for Hanover, including the appointment of two shareholder-nominated directors and becoming one of the first

¹ "Robbins LLP" and "the firm" herein collectively refer to the firm's previous names of Robbins Arroyo LLP, Robbins Umeda LLP and Robbins Umeda & Fink, LLP.

companies in the United States to commit to implementing a five-year rotation rule for its outside audit firms.

- ***In re Nicor, Inc. S'holder Derivative Litig.***, No. 02 CH 15499 (Ill. Cir. Ct.-Cook Cnty. Mar. 29, 2005): The firm served as co-lead counsel for plaintiffs who brought claims for breach of fiduciary duty and unjust enrichment against several officers and directors of Nicor, Inc., one of the largest natural gas distributors in the United States. Plaintiffs alleged that Nicor's management made material misrepresentations to and omitted material information from the Illinois Commerce Commission and the company's shareholders and customers, and unlawfully manipulated the company's operating results. Robbins LLP attorneys negotiated and secured personnel changes among Nicor's executive officers and board members, as well as \$33 million for Nicor.
- ***In re OM Group, Inc. Derivative Litig.***, No. 1:03-CV-0020 (N.D. Ohio Nov. 10, 2005): The firm served as lead counsel to plaintiffs in this derivative action arising out of a massive accounting fraud at this global solutions provider and specialty chemical manufacturer. During the litigation, our attorneys opposed and defeated defendants' motions to dismiss, reviewed thousands of documents produced during discovery, conducted expert discovery, and took over forty depositions of witnesses and defendants throughout the United States and Europe. Robbins LLP obtained a settlement that included a \$29 million payment to the company, the termination of the company's chief executive officer, the addition of two shareholder-nominated directors, and the implementation of various other beneficial corporate governance procedures at the company.
- ***Lieb v. Unocal Corp.***, No. BC331316 (Cal. Super. Ct.-L.A. Cnty. Dec. 20, 2005): Robbins LLP served as co-lead counsel for the public shareholders of Unocal Corporation in this securities class action against Unocal and several of its insiders, officers, and directors for self-dealing and breach of fiduciary duty in connection with the proposed sale of Unocal to Chevron Corporation. Plaintiffs alleged that Unocal's management failed to obtain the highest share price reasonably available by tailoring the proposed acquisition terms to meet the specific needs of acquirer Chevron, and by discouraging alternative bids. After obtaining broad expedited discovery, the firm was credited for helping Unocal shareholders to realize \$500 million in additional consideration as a result of Chevron's increased bid of \$17.4 billion. The firm also secured supplemental proxy statement disclosures before Unocal shareholders voted on whether to accept Chevron's bid over a nominally higher bid by the Chinese National Offshore Oil Corporation.
- ***In re Titan, Inc. Sec. Litig.***, No. 04-CV-0676-LAB (NLS) (S.D. Cal. Dec. 20, 2005): The firm served as co-lead counsel in this securities fraud class action against The Titan Corporation and certain of its officers and directors for violations of Sections 10(b) and 20(a) of the Securities Exchange Act of 1934 and breach of fiduciary duty. Robbins LLP's efforts resulted in a recovery of \$61.5 million for Titan's shareholders.
- ***In re Tenet Healthcare Corp. Derivative Litig.***, No. 01098905 (Cal. Super Ct.-Santa Barbara Cnty. May 5, 2006), *aff'd*, No. B192252 (Cal. App. Sept. 20, 2007): The firm served as co-lead counsel for the plaintiffs, who alleged that Tenet Healthcare Corp.'s top executives breached their fiduciary duties to the company by failing to monitor, investigate, and oversee Tenet's patient procedures, Medicare billing, and accounting practices. After prosecuting the case for over three years, Robbins LLP's attorneys negotiated a comprehensive settlement, which included \$51.5 million in cash contributions to Tenet and sweeping corporate governance reforms and other remedial measures designed to ensure the independence and accountability of the company's board of directors. The new governance regime included separation of the positions of chief executive officer and chairman of the board of directors, strict internal financial controls, enhanced guidelines for stock ownership and stock retention, and a comprehensive insider trading policy. The settlement was upheld on appeal.
- ***In re Qwest Sav. & Inv. Plan ERISA Litig.***, No. 02-cv-00464 (D. Colo. Jan. 29, 2007): Robbins LLP served on plaintiffs' executive committee in a class action brought as a civil enforcement suit for ERISA violations. The employees alleged that Qwest's management repeatedly misrepresented the financial status of the company to its employees to encourage employees to make discretionary investments in Qwest common stock. When the truth about Qwest's financial condition and egregious accounting manipulations was revealed, the price of Qwest common stock plummeted, but employees were restricted from selling their retirement fund shares under the terms of the Qwest Savings & Investment

Plan. When the restriction was lifted, Qwest stock was trading at an all-time low, devastating the employees' retirement funds. After years of contentious litigation, Robbins LLP helped achieve a \$37.5 million settlement for the benefit of the employees who had invested in the retirement plan.

- ***Staehr v. Walter***, No. 02-CVG-11-0639 (Ohio Ct. C.P.-Del. Cnty. Dec. 17, 2007) (hereinafter *Cardinal Health*): Robbins LLP led the charge in derivative litigation on behalf of the plaintiff who brought claims against certain Cardinal officers and directors arising out of Cardinal's proposed stock-for-stock acquisition of Syncor International Corp. The action forced Cardinal to reduce the previously negotiated acquisition price for Syncor, saving the company millions of dollars. During the course of its work on the Syncor transaction, Robbins LLP and other firms discovered that Cardinal insiders had engaged in a massive revenue inflation scheme to fraudulently overstate the company's financial performance. Robbins LLP filed an amended complaint against several of Cardinal's officers and directors, defeated multiple motions to dismiss, and pursued and reviewed millions of pages of documents in discovery. The firm ultimately negotiated and resolved the matter by obtaining \$70 million for the company—among the largest monetary recoveries ever in a shareholder derivative action. The settlement also required Cardinal's board of directors to implement significant corporate governance and internal accounting controls designed to improve the board's oversight of Cardinal's senior management and to prevent recurrence of the alleged accounting manipulations.
- ***In re Juniper Networks, Inc. Derivative Litig.***, No. 1:06-CV-064294 (Cal. Super. Ct.-Santa Clara Cnty. Dec. 4, 2008): Robbins LLP served as co-lead counsel in this state shareholder derivative suit against several officers and directors of Juniper Networks, Inc., a global networking and communications technology company, for breach of fiduciary duty, abuse of control, gross mismanagement, waste of corporate assets, unjust enrichment, insider selling, accounting, and rescission in connection with a stock option backdating scheme. After extensively prosecuting the case, the firm helped secure substantive corporate governance reforms and the forfeiture of more than \$22 million in stock options to the company from four executives and directors of the board.
- ***In re KB Home S'holder Derivative Litig.***, No. 2:06-CV-05148-FMC (CTx) (C.D. Cal. Feb. 9, 2009): Robbins LLP served as co-lead counsel for the plaintiffs, who alleged that insiders of KB Home, Inc., a prominent builder of single family homes in the United States and France, manipulated their stock option grant dates to misappropriate millions of dollars in illicit compensation. Robbins LLP's efforts helped return nearly \$50 million in value to the company, including a cash payment of over \$31 million. In addition, the firm helped KB Home secure corporate governance enhancements and implement remedial measures, including separation of the chairman of the board and chief executive officer positions; declassification of the board of directors; majority voting for elections to the board; adoption of formal written procedures for the grant of stock options; and limits on future executive severance payments, among others.
- ***Overby v. Tyco Int'l Ltd.***, No. 02-CV-1357-B (D.N.H. Nov. 23, 2009): Robbins LLP represented a class of employees of Tyco International Ltd., the largest electronics security provider in the world, when employees brought claims against the company for ERISA violations. Robbins LLP helped obtain a \$70 million settlement for the beneficiaries of Tyco's defined contribution retirement plan.
- ***In re Brocade Communications Systems, Inc. Derivative Litigation***, No. 1:05CV041683 (Cal. Super. Ct.-Santa Clara County Jan. 28, 2010): Robbins LLP represented plaintiffs in this shareholder derivative action against officers and directors of Brocade Communications Systems, Inc., an industry leader in data center networking solutions, following the announcement that Brocade would have to restate two fiscal years of financial statements to correct its improper accounting for stock-based compensation expenses. For years, Brocade's insiders had engaged in a secret stock option backdating scheme designed to reward executives and recruit engineers with stock options priced below their fair market value as of the date of the grants. Robbins LLP successfully petitioned the court to proceed with litigation to prevent an inadequate settlement of a related federal action, which would have released the officers, directors, and agents of the company responsible for the criminal backdating scheme for no money to the company nor a payment of attorney's fees, even as the U.S. Government pursued and ultimately won criminal convictions against the responsible executives. After almost three years of diligently prosecuting the case, during which Robbins LLP engaged in extensive motion practice, reviewed approximately three million pages of documents, and marshaled evidence from related cases involving the conduct at Brocade, Brocade's Special Litigation Committee retained Robbins LLP to serve

as its co-counsel, and, after presentations from Robbins LLP, authorized the continued prosecution of claims against Brocade's officers and directors and on behalf of the shareholders.

- ***In re PETCO Animal Supplies, Inc. S'holder Litig.***, No. GIC 869399 (Cal. Super. Ct.-San Diego Cnty. Mar. 26, 2010): Robbins LLP served as co-lead counsel to the public shareholders of PETCO Animal Supplies, Inc., in a class action that sought to enjoin PETCO's insiders, directors, and affiliates from consummating any sale of PETCO unless and until the company implemented a procedure to ensure that PETCO's shareholders received the highest possible price for the sale. Over the course of three years, our attorneys engaged in extensive motion practice and document, expert, and witness discovery. Shortly before the case went to trial, Robbins LLP assisted in achieving a settlement that secured a \$16 million settlement fund for the class.
- ***In re Wireless Facilities, Inc. Derivative Litig.***, No. 04-CV-1663-JAH-(NLS) (S.D. Cal. Mar. 30, 2010): The firm served as co-lead counsel in the derivative action on behalf of an independent provider of security systems engineering for the wireless communications industry and, after more than five years of hard fought litigation, achieved a comprehensive settlement that required certain officers to forfeit significant amounts of stock and/or stock options back to the company, restricted voting rights for certain former officers and directors, secured monetary reimbursement to the company, and implemented a number of important changes to the company's corporate governance, such as the addition of two independent directors to the board and an annual review of the chairman's performance.
- ***In re Am. Int'l Group, Inc. Derivative Litig.***, No. 04 Civ. 8406 (DLC) (S.D.N.Y. Mar. 14, 2011): The firm was appointed lead counsel in the consolidated federal action alleging breach of fiduciary duty claims in connection with a bid-rigging scheme with Marsh & McLennan Companies, Inc., sham reinsurance transactions with General Re Corporation, and other activities intended to falsify American International Group, Inc.'s ("AIG") financial results. As part of a global settlement of the derivative claims on AIG's behalf, Robbins LLP helped secure a \$90 million payment to AIG, one of the largest monetary recoveries in the history of shareholder derivative actions.
- ***Kloss v. Kerker***, No. 50-2010-CA-018594-XXXX-MB (Fla. Cir. Ct.-Palm Beach Cnty. May 27, 2011): Robbins LLP worked with the parties to derivative litigation filed on behalf of the Internet's leading vitamin and supplement retailer, Vitacost.com, Inc., to save the \$158 million market cap company from bankruptcy and to preserve the equity interests of its shareholders. Robbins LLP was instrumental in achieving a settlement that enabled the company to bring its financial statements and Security and Exchange Commission ("SEC") filings current; allowed Vitacost to hold a long overdue shareholder meeting to address fundamental defects in the corporation's formation, board composition, and past stock issuances; and helped the company to persuade NASDAQ to lift its trading moratorium and provide the company and its shareholders access to the capital markets. The firm worked with the company's new board of directors to implement a series of corporate governance best practices, including a robust insider trading policy. Vitacost hired Robbins LLP to evaluate and potentially to prosecute the company's claims against other parties relating to the defects in its formation, stock issuances, and other pre-IPO issues.
- ***Martinez v. Toll (Toll Bros., Inc.)***, No. 2:09-cv-00937-CDJ (E.D. Pa. Mar. 27, 2013); ***Pfeiffer v. Toll***, No. 4140-VCL (Del. Ch. Mar. 15, 2013): Robbins LLP represented shareholders in the Toll Brothers, Inc. shareholder derivative litigation in which plaintiffs alleged that certain company officers and directors, including the co-founders, traded on inside information and grossly misled investors about company earnings projections during a housing market downturn. After four years of contentious litigation, the firm helped secure one of the largest *Brophy (Brophy v. Cities Serv. Co., 70 A.2d 5 (Del. Ch. 1949))* settlements ever, a \$16.25 million cash payment to the luxury homebuilding company. The settlement included a \$6.45 million payment from the executive directors—an unprecedented result in shareholder litigation of this type.
- ***Cook v. McCullough***, No. 1:11-cv-09119 (N.D. Ill. Jan. 28, 2014): Robbins LLP served as co-lead counsel in shareholder derivative litigation arising out of Career Education Corp.'s alleged publication of false statements regarding job placement and student loan repayment rates, and failure to ensure compliance with Title IV regulations. The firm played a leading role in negotiating the global resolution of a series of actions brought against and on behalf of the company, and helped secure a \$20 million recovery and comprehensive board and management-level corporate governance and oversight

reforms for Career Education, including enhanced compliance and whistleblower policies, new director independence standards, improved executive compensation claw-back provisions, a comprehensive director education and employee training program, and an improved regulatory risk management and disclosure regime.

- ***Espinoza v. Zuckerberg, C.A.*** No. 9745-CB (Del. Ch. Mar. 30, 2016): Robbins LLP served as counsel in shareholder derivative litigation on behalf of Facebook, Inc. arising from the alleged award of unfair excessive compensation by the board of directors to its non-employee members. Certain members of Facebook's board of directors attempted to circumvent corporate law procedures to obtain controlling stockholder approval of compensation awarded by the Board to its non-employee members. After deposing Facebook's Chief Executive Officer Mark Zuckerberg and beating a motion for summary judgment, Robbins LLP convinced Facebook to impose corporate governance reforms designed to ensure the Board awards executive compensation fairly and not to the detriment of the company, including allowing stockholders to vote on non-employee directors' compensation. As such, Robbins LLP helped establish that public companies with controlling stockholders must comply with corporate law procedures.
- ***In re Venoco, Inc. S'holder Litig.***, C.A. No. 6825-VCG (Del. Ch. Oct. 5, 2016): Robbins LLP served as co-lead counsel to the public shareholders of Venoco, Inc. in this class action arising out of a scheme by the energy company's Chief Executive Officer to buy out Venoco's minority shareholders at an inadequate share price. Robbins LLP conducted extensive fact and expert discovery for two years after the closing of the acquisition. During this time, Venoco foundered due to a decline in the price of oil, a burst pipeline, and additional debt from the acquisition, which ultimately led the company to file for bankruptcy. Amidst the company's demise, the firm achieved a settlement fund of \$19 million for shareholders—a significant recovery in light of Venoco's dire financial circumstances. At the final approval hearing, the Honorable Sam Glasscock III, Vice Chancellor, in the Court of Chancery of the State of Delaware, touted the settlement as a "good result for all" and "very fortunate for the class," and noted Robbins LLP as "excellent counsel." Transcript of Proceeding at 19, 22, *In re Venoco, Inc. S'holder Litig.*, C.A. No. 6825-VCG (Del. Ch. Oct. 5, 2016).
- ***In re Fifth Street Finance Corp. Shareholder Derivative Litigation***, Lead Case No. 3:15-cv-01795-RNC (D. Conn. Dec. 13, 2016): Robbins LLP served as lead counsel in shareholder derivative litigation brought on behalf of Fifth Street Finance Corp. to challenge alleged conflicts of interest in Fifth Street's relationship with its investment advisor, FSAM. Plaintiffs alleged that certain Fifth Street and FSAM officers and directors caused Fifth Street to make reckless investments, use bogus accounting, and pay excessive fees to inflate FSAM's perceived value in the lead up to FSAM's initial public offering. The firm's settlement negotiations resulted in advisory fee reductions worth at least \$30 million and comprehensive corporate governance, oversight, and conflicts management enhancements.
- ***In re Community Health Systems, Inc. Shareholder Derivative Litig.***, No. 3:11-cv-00489 (M.D. Tenn. Jan. 20, 2017): Serving as co-lead counsel against the officers and directors of Community Health, Inc. in shareholder derivative litigation alleging that the fiduciaries systematically steered patients into medically unnecessary inpatient admissions when they should have been treated as outpatient, Robbins LLP was instrumental in obtaining what is believed to be the largest shareholder derivative recovery in the Sixth Circuit to date. After five years of contentious litigation and discovery, defendants agreed to settle the case, which included a \$60 million cash payment to Community Health and the implementation of extensive corporate governance reforms, including board modifications to ensure director independence, improved internal disclosure policies to allow for the confidential reporting of suspected violations of healthcare laws, and the establishment of a Trading Compliance Committee to ensure compliance with Community Health's insider stock trading policy, among others.
- ***In re Saba Software, Inc. Stockholder Litig.*** C.A., No. 10697-VCN (Del.Ch.Sept. 26, 2018): Robbins LLP served as lead counsel in this shareholder class action in the Delaware Chancery Court against the officers and directors of Saba Software, Inc. for breaches of fiduciary duties related to the buyout of Saba by Vector Capital Management. Plaintiffs alleged that because the company was facing mounting financial concerns, including delisting by the U.S. Securities and Exchange Commission and a failure to complete its internal review of the accounting treatment of certain international transactions, defendants chose to sell the company in a flawed and self-serving sales process in exchange for inadequate merger consideration of Saba shareholders. After three and a half years of litigation, including extensive discovery, mediation, and a lengthy settlement negotiation process, defendants agreed to pay Saba's

former shareholders \$19.5 million. In approving the settlement, Vice Chancellor Slight called the firm's representation of the class "exemplary" and touted the settlement as a "strong recovery for the class."

Awards & Recognition

For its achievements, Robbins LLP and our attorneys have received numerous accolades, including:

- Best Law Firm, *U.S. News & World Report* (2017-2019)
- Leading Firm in Merger and Acquisition Litigation, *Legal 500* (2013-2018)
- Top 20 Settlements in California (2017)
- Top 25 Boutique Law Firm in California, *Daily Journal* (2015)
- Litigation Boutiques Hot List, *National Law Journal* (2012)
- Among Top Shareholder Plaintiffs' Firms by ISS's Securities Class Action Services
- Nine attorneys named to *Super Lawyer* lists (2019)
- Top 50 Attorney in San Diego, *Super Lawyers*, George C. Aguilar (2016-2019)
- Top 50 Attorney in San Diego, *Super Lawyers*, Brian J. Robbins (2014, 2016, 2018-2019)
- Best Lawyers in America for Securities Litigation, *Best Lawyers*, Brian J. Robbins (2016-2018)
- Best of the Bar, *San Diego Business Journal*, Brian J. Robbins, Jenny L. Dixon (2016)
- Best Overall Lawyer in San Diego, *Fine Magazine*, Brian J. Robbins (2016)
- Top Attorney, *The Daily Transcript*, Brian J. Robbins (2015)
- Attorney of the Year, *SD La Raza*, George C. Aguilar (2014)

Robbins LLP's achievements in the courtroom have been recognized by a number of respected jurists. We feature a selection of commendations below.

- *"The quality of representation by the Derivative Plaintiffs' Counsel was witnessed first hand by this Court through their articulate, high quality, and successful pleadings. Moreover, as shown by their excellent efforts in this case, Derivative Plaintiffs' Counsel are dedicated to vindicating the rights of shareholders"*

Honorable Ed Kinkeade, Judge of the U.S. District Court for the Northern District of Texas, *In re Heelys, Inc. Derivative Litig.*, No. 3:07-CV-1682-K

- *"I think you've actually set the bar kind of high for future settlements. This looks like an excellent result for the various class members in both the derivative action and the other action.... And it's to the credit of the lawyers that they were able to achieve this result before a lot of discovery and a lot of expenses were undertaken ... And so, I would be quite delighted and satisfied to make the necessary findings that this is an excellent settlement for plaintiffs."*

Honorable Robert S. Lasnik, Judge of the U.S. District Court for the Western District of Washington, *In re Cutter & Buck Sec. Litig.*, No. C02-1948L

- Robbins LLP's lawyers proved *"competent, experienced, [and] trustworthy."*

Honorable Larry A. Burns, Judge of the U.S. District Court for the Southern District of California, *In re Sequenom, Inc. Derivative Litig.*, No. 09CV1341-LAB (WMC)

- *"Class counsel is highly experienced in bringing both class actions and derivative claims" and have "a nationwide reputation for handling shareholder derivative litigation, various class actions, and complex litigation.... Throughout the litigation, [class counsel] has shown themselves to be capable and qualified to represent the class."*

Honorable Darla Williamson, Judge of the Fourth Judicial District of the State of Idaho, County of Ada, *Carmona v. Bryant*, CV-OC-0601251

- *"The court also notes that the settlement appears to place the shareholders in a much better position than that which existed prior to the beginning of this litigation."*

Honorable John A. Houston, Judge of the U.S. District Court for the Southern District of California, *In re Wireless Facilities Inc., Derivative Litig.*, No. 04-CV-1663 JAH (NLS)

- *"I have high regard for ... your firm."*

Honorable James P. Kleinberg, Judge of the Superior Court of California, County of Santa Clara, *In re Altera Corp. Derivative Litig.*, No. 1-06-CV-063537

- *"[W]e had ... competent counsel who were able to reach a very handsome settlement for the shareholders who were working here on behalf of the shareholders interests."*

Honorable Denise de Bellefeuille, Judge of the Superior Court of California, County of Santa Barbara, *In re Tenet Healthcare Corp. Derivative Litig.*, No. 01098905

- *"Thank you very much for the good work that you all did. And I think that your stockholders will appreciate it, too."*

Honorable Sophia H. Hall, Judge of the Circuit Court of Cook County, Illinois, *In re Nicor, Inc. S'holder Derivative Litig.*, No. 02CH 15499

- *"Thank you for your good work on behalf of your clients. I appreciate it."*

Honorable Thomas Barkdull, Circuit Judge of the Fifteenth Judicial Circuit in and for Palm Beach County, Florida, *Kloss v. Kerker*, No. 50-2010-CA-018594-XXXX-MB

- *"I want to tell you what a pleasure it is dealing with talented counsel.... Thank you very much."*

Honorable John G. Evans, Judge of the Superior Court for the State of California, Riverside County, *Hess v. Heckmann*, No. INC10010407

- *"I think the plaintiffs and their counsel did a good job pressing forward with this action and achieving a good result.... I think that all in all, [\$16.25 million] is a good value, a significant benefit for the company."*

Honorable J. Travis Laster, Vice Chancellor in the Court of Chancery of the State of Delaware, *Toll Bros.*, No. 2:09-cv-00937-CDJ and No. 4140-VCL

- *"It seems to me to be an excellent settlement in light of all the circumstances: and "a good result for all." "[P]laintiffs' counsel [got] a result that I think is very fortunate for the class."*

Honorable Sam Glasscock III, Vice Chancellor in the Court of Chancery of the State of Delaware, *In re Venoco, Inc. Shareholder Litigation*, C.A. No. 6825-VCG

- *"I think y'all have done a great job pulling this thing together. It was complicated, it was drawn out, and a lot of work clearly went into this.... I'll approve this settlement. I appreciate the work you all did on this. I think this is one where – I can't always say this ... there is ... benefit to the shareholders that are above and beyond money, a benefit to the company above and beyond money that changed hands."*

Honorable Kevin H. Sharp, U.S. Chief District Judge, U.S. District Court for the Middle District of Tennessee Nashville Division, *In re Community Health Systems, Inc., Shareholder Derivative Litigation*, No. 3:11-cv-00489

- *"[T]his recovery is a strong recovery for the class. And, it's one, again, that I think counsel should be commended for achieving."*

Honorable Joseph R. Slights, III, Vice Chancellor in the Court of Chancery of the State of Delaware, *In re Saba Software, Inc. Stockholder Litig.*, C.A. No. 10697-VCN

PARTNERS

George C. Aguilar
Partner

Mr. Aguilar is a former federal prosecutor and trial lawyer who has tried more than forty federal criminal trials. He focuses his practice on complex litigation, including shareholder rights, securities, antitrust, and employment actions. Mr. Aguilar has successfully litigated numerous shareholder actions against fraudulent management and company insiders, and has secured meaningful corporate governance reforms at companies across the U.S. For example, in *Warner v. Lesar*, No. 2011-09567 (Tex. Dist. Ct.-Harris Cnty. Oct. 1, 2012), Mr. Aguilar led the firm's efforts on behalf of Halliburton Company arising from defendants' mismanagement of risk, controls, and operations that led to the worst oil spill in U.S. history at the Deepwater Horizon offshore drilling rig in the Gulf of Mexico. Navigating the case through the company's internal investigation, and difficult and complex settlement discussions and mediation sessions, Mr. Aguilar secured comprehensive health, safety, and environmental governance reforms. In shareholder derivative litigation on behalf of Maxwell Technologies, Inc., *Loizides v. Schramm*, No. 37-2010-00097953-CU-BT-CTL (Cal. Super. Ct.-San Diego Cnty. Apr. 12, 2012), Mr. Aguilar helped secure a settlement in which the company adopted corporate governance and compliance measures addressing its violations of the Foreign Corrupt Practices Act (FCPA) after being investigated by federal agencies for bribery and subcontracting kickbacks. Of particular note is the creation of a new FCPA and Anti-Corruption Compliance department led by a Chief Compliance Officer to provide for greater effectiveness of Maxwell's board of directors in responding to FCPA compliance issues worldwide. In shareholder litigation involving Brocade Communications Systems, *In re Brocade Communications Systems, Inc., Derivative Litigation*, No. 1:05CV041683 (Cal. Super. Ct.-Santa Clara Cnty. Jan. 28, 2010), the firm prosecuted the shareholder action involving a criminal options backdating scheme at Brocade until the company formed a Special Litigation Committee to consider the plaintiffs' claims. A key player in the prosecution of the action, Mr. Aguilar successfully presented facts and law to the Special Litigation Committee on behalf of the firm's shareholder clients. Brocade ultimately retained the firm as co-counsel to prosecute its claims against Brocade's officers and directors.

Mr. Aguilar also led the firm's efforts as part of a consortium of plaintiff firms in a high profile antitrust class action suit, *Dahl v. Bain Capital Partners*, No. 1:07-cv-12388(WGY) (D. Mass. Mar. 17, 2015), against several private equity firms. The case involved allegations of conspiracy among defendants to rig bids, restrict the supply of private equity financing, fix transaction prices, and divide up the market for private equity services for leveraged buyouts. Robbins LLP played a prominent role in this litigation, bearing the responsibility for building the case against a principal defendant, one of the largest private equity firms in the world. In doing so, Mr. Aguilar conducted several depositions of some of the key private equity principals during the initial discovery phase of the case. The defendants settled for more than \$590 million.

Before joining Robbins LLP, Mr. Aguilar spent 17 years as a federal prosecutor with the U.S. Attorney's Office in San Diego. During his tenure, Mr. Aguilar served as chief for the Terrorism, Violent Crimes, and General Prosecutions Section; deputy chief for the General Crimes Section; trial lawyer for the Financial Institution Fraud Task Force and the Major Frauds Sections; and as a supervising ethics officer. He led grand jury investigations and indicted and tried complex white collar criminal cases involving corporate, securities, bank, investor, tax, foreign currency and bankruptcy fraud, bank bribery, and money laundering, among others. He authored 35 appellate briefs, and argued more than a dozen cases on appeal before the U.S. Court of Appeals for the Ninth Circuit. For his work, Mr. Aguilar received several awards of recognition from the U.S. Department of Justice and federal agencies, including the prestigious Director's Award of the Executive Office for U.S. Attorneys. Prior to joining the U.S. Attorney's Office, Mr. Aguilar worked on complex securities defense litigation at Morrison & Foerster LLP's San Francisco office.

Mr. Aguilar is a recognized leader in the legal and civic communities. He writes and speaks on topics related to shareholder litigation and corporate governance. He was recently appointed as a member of the U.S. District Court's Magistrate Judge's Merit Selection Panel, and is an active member of Association of Business Trial Lawyers, Public Justice Foundation, San Diego La Raza Lawyers Association, and San Diego County Bar Association. He has served in top leadership positions at La Raza Lawyers Association of California, San Diego La Raza Lawyers Association, the State Bar of California, and the City of San Diego. Mr. Aguilar was honored as a Super Lawyers Top 50 attorney in San Diego (2016-2018) and has been named a Super Lawyer for eight consecutive years (2012-2019). He is also the recipient of the Attorney of the Year Award from San Diego La Raza Lawyers Association (2014) and has received the San Diego Mediation Center's Peacemaker Award for his community service work.

Mr. Aguilar received his law degree in 1986 from the University of California, Berkeley School of Law. While in law school, he served on the Moot Court Board and was managing editor of the *La Raza Law Journal*. Mr. Aguilar graduated from the University of Southern California in 1983 with a Bachelor of Arts in both Political Science and Journalism. He is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California, the Eastern District of Wisconsin, and the District of Colorado, as well as the U.S. Courts of Appeals for the Second, Ninth, and Tenth Circuits, and the U.S. Supreme Court.

Gregory E. Del Gaizo

Partner

Mr. Del Gaizo focuses his practice on shareholder rights litigation. As the head of Robbins LLP's new matters practice group, he initiates and oversees pre-litigation investigations and analysis of new cases for the firm. Mr. Del Gaizo has prosecuted shareholder litigation that recouped over one hundred million dollars and secured extensive corporate governance reforms and other pro-investor measures at companies in which his clients invest.

Mr. Del Gaizo's successes on behalf of clients include leading the discovery process for Robbins LLP in litigation on behalf of luxury homebuilder Toll Brothers, Inc., which resulted in a \$16.25 million settlement, one of the largest *Brophy* monetary recoveries ever. *Martinez v. Toll*, No. 2:09-cv-00937-CDJ (E.D. Pa. Mar. 27, 2013). He was also a member of litigation teams in *Staehr v. Walter*, No. 02-CVG-11-0639 (Ohio Ct. C.P.-Del. Cnty. Dec. 17, 2007), which secured a payment of \$70 million to Cardinal Health, and *In re KB Home S'holder Derivative Litig.*, No. 2:06-CV-05148-FMC (CTx) (C.D. Cal. Feb. 9, 2009), which obtained \$30 million in cash benefits and substantial corporate governance reforms for the home builder.

Mr. Del Gaizo has authored several articles on securities litigation, including *State Law Insider Trading Claims See New Light*, *The Recorder*, July 1, 2011; *Directors and Officers Can't Hide in Del.*, *Securities Law360*, Jan. 14, 2011; *Control of Forum in Derivative Actions*, *The Recorder*, Dec. 10, 2010; and *Clearing the Path for Double Derivative Suits*, *The Recorder*, Nov. 1, 2010. He also speaks to audiences about shareholder rights, and was recognized as a Rising Star by Super Lawyers (2015-2016) and a Recommended Attorney in M&A Litigation by Legal 500 (2016).

Mr. Del Gaizo obtained his Juris Doctor degree in 2006 from the University of San Diego School of Law. While in law school, Mr. Del Gaizo served as a research assistant to Frank Partnoy, director of the Center for Corporate and Securities Law at the University of San Diego, and as an intern at Kim & Chang, the largest law firm in Korea. Mr. Del Gaizo attended Providence College and, while there, interned for the New York City Law Department. He graduated *cum laude* in 2003 with a Bachelor of Arts degree in Political Science. Mr. Del Gaizo is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California and the District of Colorado.

Jenny L. Dixon

Partner

Ms. Dixon concentrates her practice on shareholder rights litigation. She has approximately 20 years of litigation experience, with more than 15 years devoted to prosecuting and defending securities claims from inception through trial. In 2016, Ms. Dixon successfully settled two cases that challenged corporate governance and processes surrounding non-employee director compensation. In *Espinoza v. Zuckerberg*, CA No. 9745-CB (Del. Ch. Mar. 30, 2016), Ms. Dixon served as counsel in shareholder derivative litigation on behalf of Facebook, Inc. arising from the alleged award of unfair excessive compensation by the board of directors to its non-employee members. After deposing Facebook's Chief Executive Officer, Mark Zuckerberg, and beating a motion for summary judgment, Ms. Dixon helped convince Facebook to impose corporate governance reforms designed to ensure the Board awards executive compensation fairly and not to the detriment of the company, including allowing stockholders to vote on non-employee directors' compensation. In *Calma v. Templeton*, No. 9579-CB (Del. Ch. Sept. 2, 2016), Ms. Dixon led the shareholder derivative litigation on behalf of Citrix Systems, Inc. against its fiduciaries for breach of fiduciary duty, waste of corporate assets, and unjust enrichment related to equity awards granted in 2011–2013. As part of the settlement, Citrix amended its equity plan to impose a ceiling on director compensation that would be subject to shareholder approval, enhance disclosures surrounding director compensation in the annual proxy statements, and improve the Compensation Committee's processes.

Prior to joining Robbins LLP, Ms. Dixon worked at national law firms in the San Francisco and San Diego areas. She has experience representing individuals and companies in regulatory proceedings, including responses to inquiries by the SEC and the Financial Industry Regulatory Authority. In addition to securities litigation, Ms. Dixon has substantial experience in business litigation and employment cases. Active in pro bono matters, Ms. Dixon successfully resolving a human trafficking case on a victim's behalf prior to trial and secured a multi-million dollar jury verdict in a human rights case that was subsequently upheld on appeal.

Ms. Dixon was honored by *San Diego Business Journal* as Best of the Bar in 2016, and is a member of the Board of Governors for the Association of Business Trial Lawyers and the Class Action Preservation Project Committee for the Public Justice Foundation.

Ms. Dixon obtained her Juris Doctor degree from the University of California, Hastings College of the Law. While in law school, Ms. Dixon was associate articles editor for *Hastings Communications & Entertainment Law Journal* and a Certified Law Student for the Civil Justice Clinic. Ms. Dixon also worked as a judicial extern for the Honorable William W. Schwarzer of the U.S. District Court for the Northern District of California and as a law clerk for the Federal Public Defenders office for the Northern District of California. Ms. Dixon earned a Bachelor of Arts degree in Political Science from the University of California, Irvine, where she was named to the Dean's List. She is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California and the U.S. Courts of Appeals for the Sixth, Ninth, and Eleventh Circuits.

Stephen J. Oddo

Partner

Mr. Oddo has devoted his practice to representing individual and institutional shareholders in corporate merger and acquisition class actions for more than a decade. In so doing, he has secured tens of millions of dollars of additional consideration for shareholders whose investments have been adversely impacted by corporate transactions. Mr. Oddo has also achieved disclosure of material information to shareholders so they are informed on the transaction at the time of the vote. His litigation efforts have helped preserve the integrity of the merger process in companies across the country and helped maximize value to shareholders. For his excellence in practice, Mr. Oddo was named a Super Lawyer (2016-2019) and a Recommended Attorney in M&A Litigation by Legal 500 (2016, 2018).

Serving as lead counsel in *In re Saba Software, Inc. Stockholder Litig.* C.A. No. 10698-VCN, Mr. Oddo secured a \$19.5 million settlement on behalf of former Saba Software shareholders in a class action alleging the company had engaged in a flawed and self-serving sales process in exchange for inadequate merger consideration for Saba Software shareholders. The court acknowledged that the settlement was "exemplary" and a "strong recovery for the class." In *In re Venoco, Inc. S'holder Litig.*, C.A. No. 6825-VCG (Del. Ch. Oct. 5, 2016), Mr. Oddo, serving as co-lead counsel to the public shareholders of the energy company, achieved a \$19 million settlement fund for shareholders – a significant recovery in light of Venoco's dire financial circumstances. Mr. Oddo earned praise from the judge for securing a "good result for all" and noted Robbins LLP as "excellent counsel." Mr. Oddo secured a \$5.9 million settlement fund as lead counsel in *In re Star Scientific, Inc. Securities Litig.*, No. 3:13-CV-00183-JAG (E.D. VA July 6, 2015), a securities fraud class action alleging that defendants made materially false and misleading statements regarding one of the company's clinical trials. In *In re PETCO Animal Supplies, Inc. S'holder Litig.*, Lead Case No. GIC 869399 (Cal. Super. Ct.-San Diego Cnty. Mar. 26, 2010), Mr. Oddo helped secure a \$16 million settlement fund for the shareholder class after three years of contentious litigation. At his former firm, Mr. Oddo represented shareholders of eMachines, Inc., in *In re eMachines, Inc. Merger Litigation*, No. 01-CC-00156 (Cal. Super. Ct.-Orange Cnty. July 25, 2007), in challenging the efforts of the company's founder to take the company private. Mr. Oddo's litigation efforts helped secure a \$24 million common fund for shareholders. In the merger and acquisition-related securities class action *In re Electronic Data Systems Class Action Litigation*, Master File No. 366-01078-2008 (Tex. Dist. Ct.-Collin Cnty. Dec. 23, 2008), Mr. Oddo served as lead counsel and challenged the acquisition of Electronic Data Systems Corporation by Hewlett-Packard Company. Mr. Oddo negotiated a pre-closing settlement that secured for Electronic Data Systems shareholders a \$25 million dividend and the disclosure of previously omitted material information concerning the transaction that allowed for an informed shareholder vote.

Prior to joining Robbins LLP, Mr. Oddo was a partner at the firm now known as Robbins Geller Rudman & Dowd LLP, where Mr. Oddo was part of a team at the forefront of litigating shareholder claims challenging unfair business combinations. Before entering the legal profession, Mr. Oddo served as Press Secretary to U.S.

Representative Robert T. Matsui (D-Cal).

Mr. Oddo received his Juris Doctor in 1994 from the University of San Diego School of Law. During law school, he interned for the Honorable Eugene Lynch, U.S. District Judge in the Northern District of California. Mr. Oddo earned his Master of Science in Journalism from Northwestern University, Medill School of Journalism in 1987, and his Bachelor of Arts from Santa Clara University in 1986. Mr. Oddo is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California, the District of Colorado, the Northern District of Illinois, the Southern District of Texas, the Eastern District of Michigan, and the Eastern District of Wisconsin.

Brian J. Robbins

Partner

Mr. Robbins is a co-founder and the managing partner of Robbins LLP and oversees the management of the firm and its practice areas. He has committed his entire career to representing shareholders, employees, consumers, and businesses in complex litigation matters. Focusing on shareholder rights litigation, Mr. Robbins has served as lead or co-lead counsel in many complex, multi-party actions across the country on behalf of U.S. and international clients. He has secured hundreds of millions of dollars in monetary recoveries and comprehensive corporate governance enhancements for shareholders and the public corporations in which they have invested.

In *Titan, Inc. Securities Litigation*, No. 04-CV-0676-LAB (NLS) (S.D. Cal. Dec. 20, 2005), Mr. Robbins helped obtain a \$61.5 million recovery, one of the largest securities fraud class action recoveries in San Diego's history, and in *In re Tenet Healthcare Corporation Derivative Litigation*, No. 01098905 (Cal. Super Ct.-Santa Barbara Cty. May 5, 2006), *aff'd*, No. B192252 (Cal. App. Sept. 20, 2007), he helped recover \$51.5 million for Tenet and sweeping corporate governance enhancements and remedial measures. In *In re OM Group, Inc. Derivative Litigation*, No. 1:03-CV-0020 (N.D. Ohio Nov. 10, 2005), Mr. Robbins secured \$29 million for OM Group, the removal of the company's long term chief executive officer, the addition of two shareholder-nominated directors, and other corporate governance reforms, and in *In re Wireless Facilities, Inc. Derivative Litigation*, No. 04-CV-1663-JAH-(NLS) (S.D. Cal. Mar. 30, 2010), Mr. Robbins was instrumental in obtaining the forfeiture of stock and/or stock options back to the company by certain officers, restricted voting rights for certain former officers and directors, monetary reimbursement to the company, and corporate governance reforms, such as the addition of two independent directors to the board and an annual review of the chairman's performance. Mr. Robbins was also instrumental in achieving an extraordinary settlement on behalf of his shareholder client in *Kloss v. Kerker*, No. 50-2010-CA-018594-XXXX-MB (Fla. Cir. Ct.-Palm Beach Cty. May 27, 2011), which virtually saved vitamin and supplement retailer Vitacost.com, Inc. from bankruptcy and helped to preserve the equity interests of its shareholders.

Mr. Robbins is recognized nationally as a leader in the plaintiffs' bar. He has authored articles in several national publications and speaks to audiences as an authority on securities litigation, corporate governance, and shareholder rights topics. For his leadership and achievements, he has been named a Super Lawyer for the past 12 years (2007–2019), Best of the Bar by *San Diego Business Journal* (2014–2016), and a Top 50 Attorney in San Diego by Super Lawyers (2014, 2016, 2018, 2019). He was also recognized by Best Lawyers in America for Securities Litigation (2016-2018), and a Top Attorney by *The Daily Transcript* (2015).

Mr. Robbins earned his Master of Laws (LL.M.) in Securities and Financial Regulation from the Georgetown University Law Center in 1998 and received his Juris Doctor from Vanderbilt Law School in 1997. While at Vanderbilt, Mr. Robbins served as research assistant for two corporate and securities law professors: Professor Donald C. Langevoort, former Special Counsel for the U.S. Securities and Exchange Commission in the Office of the General Counsel, and the late Professor Larry D. Soderquist, one of the most respected professors in the field of corporate and securities law. He earned his Bachelor of Arts in Sociology from the University of California, Berkeley in 1993 after only two and a half years of study. Mr. Robbins is licensed to practice law in the State of California and the State of Connecticut, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California, the District of Colorado, the District of Connecticut, and the Western District of Texas, as well as the U.S. Courts of Appeals for the Second, Fifth, Sixth, Ninth, and Tenth Circuits.

Ashley R. Rifkin

Partner

Ms. Rifkin has over 10 years of experience representing clients in complex litigation, including shareholder rights, consumer class actions, and antitrust matters. She has helped achieve significant recoveries for shareholders in connection with securities class actions involving corporate mergers and acquisitions. For example, in *Fuerstenberg v. Mid-State Bancshares*, No. CV 060976 (Cal. Super. Ct.-San Luis Obispo County Oct. 4, 2007), Ms. Rifkin was part of the litigation team that obtained waivers of the "confidentiality" and "no-shop" provisions in the sale agreement, which enabled other suitors to participate effectively in the bidding process. In *In re HCA Inc. Derivative Litigation*, No. 3:05-CV-0968 (M.D. Tenn. Dec. 20, 2007), Ms. Rifkin was part of the litigation team that forced the disclosure of material information to shareholders before they voted on the proposed buyout by a private equity group and founding member.

Ms. Rifkin has litigated shareholder derivative actions on behalf of corporations and shareholders seeking to redress various forms of corporate misconduct including backdating and springloading practices, false and misleading public disclosures, improper Medicare and Medicaid billing practices, claims of off-label marketing, violations of the FCPA, and other state and federal law violations. She has helped achieve considerable monetary recoveries and corporate governance reforms for clients and companies through these actions. In *In re Community Health Systems Inc. Shareholder Derivative Litig.*, No. 3:11-cv-00489 (M.D. Tenn. Jan. 20, 2017), Ms. Rifkin was part of the team that brought shareholder derivative litigation against the officers and directors of Community Health Systems, Inc. alleging that the fiduciaries systematically steered patients into medically unnecessary inpatient admissions when they should have been treated as outpatient. Ms. Rifkin oversaw the extensive document review process and other aspects of discovery. Ms. Rifkin's team obtained a \$60 million cash payment to Community Health and the implementation of extensive corporate governance reforms. In shareholder derivative litigation arising from Motorola Inc.'s publication of allegedly misleading statements regarding its next-generation cell phones and revenue projections, *In re Motorola, Inc. Derivative Litig.*, No. 07CH23297 (Ill. Cir. Ct.-Cook Cnty. Nov. 29, 2012), Ms. Rifkin helped negotiate comprehensive governance reforms that overhauled the company's oversight of financial disclosures and achieved structural reforms that better aligned director and executive compensation with long-term shareholder interests. Ms. Rifkin served alongside a team of plaintiff firms in antitrust litigation involving allegations of conspiracy among private equity firms to rig bids, restrict the supply of private equity financing, fix transaction prices, and divide up the market for private equity services for leveraged buyouts. *Dahl v. Bain Capital Partners*, No. 1:07-cv-12388 (WGY) (D. Mass. Mar. 17, 2015). The defendants settled for more than \$590 million.

Ms. Rifkin was named a Super Lawyer Rising Star (2015-2016, 2019) and to the "Best Young Attorneys in San Diego County" list by *The Daily Transcript* (2011).

Ms. Rifkin received her Juris Doctor in 2006 from Thomas Jefferson School of Law. She graduated *summa cum laude* second in her class, was on the Dean's List, and received the Outstanding Scholastic Achievement Award for the 2004-2005 school year. While in law school, Ms. Rifkin served as a judicial extern for the Honorable David A. Workman in the Los Angeles Superior Court. She also was chief articles editor and notes editor of the *Thomas Jefferson Law Review* and vice president of operations of the Tax Society. Ms. Rifkin graduated from the University of California, Santa Barbara in 2002 with a Bachelor of Arts degree in Psychology. She is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California, the District of Colorado, and the U.S. Courts of Appeals for the Ninth and Tenth Circuits.

Kevin A. Seely

Partner

Mr. Seely devotes his practice to representing shareholders, whistleblowers, and consumers in complex derivative, *qui tam*, and class actions throughout the U.S. A tenacious trial lawyer with more than 25 of litigation experience in both the public and private sectors and in criminal and civil fraud prosecutions, Mr. Seely has successfully prosecuted top corporate executives, high-ranking government officials, and corporate entities for a variety of wrongdoing, including theft of government services, bribery, embezzlement, and health care fraud.

Mr. Seely has achieved significant results for his clients. In *In re Community Health Systems, Inc. Shareholder Derivative Litig.*, No. 3:11-cv-00489 (M.D. Tenn. Jan. 20, 2017), serving as plaintiff's co-lead counsel, Mr. Seely and his team were instrumental in obtaining a \$60 million cash payment to Community Health, which is believed

to be the largest shareholder derivative recovery in the Sixth Circuit to date, and extensive corporate governance reforms. The firm brought *In re Alphatec Holdings, Inc., Derivative Shareholder Litigation*, No. 37-2010-00058586-CU-BT-NC (Cal. Super. Ct.–San Diego Cty. Aug. 21, 2014) on behalf of Alphatec Holdings, Inc. to hold the company's fiduciaries responsible for their role in depleting shareholder equity through their self-serving actions. Mr. Seely's efforts resulted in the resignation of several defendant directors and senior executives, and Alphatec's implementation of reforms providing for director independence, greater review and oversight of related party transactions, and enhanced audit committee responsibilities regarding disclosure of company financial information. In shareholder derivative litigation on behalf of Computer Sciences Corporation, *Bainto v. Laphen*, No. A-12-661695-B (Nev. Dist. Ct.-Clark Cty. Nov. 6, 2013), arising out of senior management and board of directors' breaches of fiduciary duties, Mr. Seely obtained extensive governance enhancements, including personnel changes, implementation of a Global Ethics & Compliance Program, and finance and administration training to strengthen accounting procedures and processes. Mr. Seely's settlement in *In re SciClone Pharmaceuticals, Inc. Shareholder Derivative Litigation*, No. CIV 499030 (Cal. Super. Ct.-San Mateo Cty. Dec. 13, 2011), was praised by the Honorable Marie S. Weaver as "the most detailed and extensive corporate governance changes I've seen in a derivative settlement," and established consequences to employees for violations of the FCPA and other criminal misconduct. The settlement also created the position of compliance coordinator and a compliance program and code, instituted a due diligence process pertaining to the hiring of all foreign agents and distributors and demanded employee compliance training, established policies for disclosure and clawback of incentive-based compensation for officers in the event of a material restatement of the company's financial statements, and modified the company's whistleblower programs. In *In re ArthroCare Corporation Derivative Litigation*, No. D-1-GN-08-003484 (W.D. Tex.); *Weil v. Baker*, No. 08-CA-00787-SS (W.D. Tex. Dec. 8, 2011), Mr. Seely obtained a substantial monetary recovery for ArthroCare Corporation, as well as the implementation of enhanced internal controls and reforms designed to curtail future corporate misconduct.

Prior to joining Robbins LLP, Mr. Seely served as an Assistant U.S. Attorney ("AUSA") in the U.S. District Court for the Southern District of California where he prosecuted civil fraud claims under the federal False Claims Act. He also served as an AUSA for the Districts of Guam and Northern Mariana Islands, focusing on white collar crime and public corruption matters. In actions filed on behalf of various U.S. federal agencies, Mr. Seely led the investigation, litigation, and negotiation of numerous settlements resulting in the return of millions of dollars to the victims of complex financial, accounting, and contract fraud schemes. Before becoming a federal prosecutor, Mr. Seely was a partner at a prominent commercial litigation law firm with offices in Guam and the Commonwealth of the Northern Mariana Islands.

Mr. Seely has authored articles in leading legal publications on shareholder and consumer rights topics, and was named a Super Lawyer for the past five years (2015–2019).

Mr. Seely received his Juris Doctor in 1992 from the Northwestern School of Law of Lewis & Clark College. While in law school, he was an associate editor of the *Lewis & Clark Law Review*. Mr. Seely graduated *cum laude* from the University of California, Irvine in 1988. He is licensed to practice law in the State of California, the territory of Guam, and the Commonwealth of the Northern Mariana Islands, and he has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California, the District of Colorado, the Northern District of Florida, the District of Guam, the Northern and Central Districts of Illinois, the Eastern District of Michigan, the District of the Northern Mariana Islands, and the Western District of Texas, as well as the U.S. District Court of Appeals for the Ninth Circuit.

Craig W. Smith

Partner

Mr. Smith represents shareholders in derivative and securities fraud class actions. His clients include shareholders invested in the banking and finance, biotechnology, defense, education, information technology, leisure, consumer goods, and pharmaceutical industries. Mr. Smith also serves as the firm's general counsel.

Mr. Smith has led the firm's prosecution of a number of successful actions brought directly on behalf of shareholders and derivatively for the benefit of public corporations. In *In re Fifth Street Corp. Shareholder Derivative Litigation*, Lead Case No. 3:15-cv-01795-RNC (D. Conn. Dec. 13, 2016), Mr. Smith served as lead counsel in shareholder derivative litigation on behalf of Fifth Street to challenge alleged conflicts of interest in Fifth Street's relationship with its investment advisor after certain Fifth Street officers and directors caused the company to make reckless investments and pay excessive fees to inflate the investment advisor's perceived

value in advance of its initial public offering. Mr. Smith led the settlement negotiations that resulted in advisory fee reductions worth at least \$30 million and comprehensive corporate governance, oversight, and conflicts management enhancements. Mr. Smith and his team played a leading role in a shareholder derivative suit brought on behalf of Avon Products, Inc., *Pritika v. Jung*, No. 651479/2015 (N.Y. Sup. Ct. May 1, 2015), against certain officers and directors who plaintiffs allege turned a blind eye to bribes made in violation of the FCPA to secure the first foreign direct sales license in China. Mr. Smith led the negotiations that resulted in Avon's agreement to adopt a comprehensive corporate governance and compliance reform program. The *Wall Street Journal* praised the settlement as "a victory for shareholders looking for accountability from the business." Mr. Smith also played a leading role in shareholder derivative litigation brought on behalf of Career Education Corporation against officers and directors who plaintiffs alleged allowed its for-profit schools to falsify job placement and student loan repayment rates, fall short of accreditation standards, and jeopardize access to the Title IV federal student loan funds that account for the lion's share of its revenues. Mr. Smith and his co-counsel in *Alex v. McCullough*, No. 1:12-cv-08834 (N.D. Ill. Dec. 5, 2012); *Bangari v. Lesnik*, No. 1:11-CH-41973 (Ill. Cir. Ct.-Cook Cty. Dec. 11, 2011); and *Cook v. McCullough*, No. 1:11-cv-09119 (N.D. Ill. Dec. 22, 2011), negotiated a global settlement that secured a \$20 million recovery for Career Education, as well as comprehensive board and management-level governance and oversight reforms.

Mr. Smith has played an important role in improving the quality of corporate governance and oversight at pharmaceutical and bio-technology companies. In *In re Forest Labs., Inc., Derivative Litigation*, No. 1:05-cv-03489 (RJH) (S.D.N.Y. Feb. 7, 2012), Mr. Smith secured comprehensive regulatory oversight and compliance reforms to address the fallout resulting from Forest Lab's marketing of Celexa and Lexapro for off-label treatment of pediatric depression — violations that cost Forest Labs more than \$313 million in fines and sanctions. The reforms included the creation of Chief of Compliance and Chief Medical Officer positions, board oversight and management-level oversight of sales and promotions compliance, comprehensive policies and procedures governing sales and promotional activities, and compliance monitoring programs, including field sampling of interactions with physicians and rigorous reporting procedures and controls. Mr. Smith spearheaded the litigation and settlements in shareholder derivative actions brought on behalf of biotechnology companies, MannKind Corporation, *In re MannKind Corp. Derivative Litigation*, No. 1:11-cv-05003-GAF-SSx (C.D. Ca. June 13, 2011), and CTI BioPharma (f.k.a. Cell Therapeutics), *In re Cell Therapeutics, Inc., Derivative Litigation*, No. 2:10-cv-00564-MJP (W.D. Wash.-Seattle Apr. 1, 2010), that led to their adoption of state-of-the-art clinical trial and disclosure oversight and internal controls programs, following costly mismanagement of clinical trials and publication of misleading disclosures.

Mr. Smith played a leading role in securing best-in-class corporate governance for Motorola, Inc. in shareholder derivative litigation arising from Motorola's publication of misleading statements about prospects for its next-generation cell phones and related revenue projections. *In re Motorola, Inc. Derivative Litigation*, No. 07-CH-23297 (Ill. Cir. Ct.-Cook Cty. Nov. 29, 2012). Mr. Smith was instrumental in drafting and negotiating a comprehensive overhaul of board- and executive-level supervision of financial disclosures, as well as broader corporate governance reforms designed to align director and executive compensation with long-term shareholder interests and to eliminate incentives for executives to manipulate results or withhold negative information from shareholders. As lead counsel in *Monday v. Meyer*, No. 1:10-cv-01838-DCN (N.D. Ohio Aug. 17, 2012), Mr. Smith challenged the KeyCorp Board of Director's handling of an unlawful tax avoidance scheme, which exposed the bank to billions of dollars in back taxes and fines by the IRS. While the case was on appeal, Mr. Smith negotiated corporate governance reforms that strengthened KeyCorp's internal controls and Board oversight over financial transactions and legal/regulatory risk, capital planning, dividends, and stock repurchases. Mr. Smith played a key role in persuading Brocade Communication Systems, Inc.'s Board Special Litigation Committee to prosecute stock option backdating claims against former officers and directors of Brocade. *In re Brocade Communication Systems, Inc., Derivative Litigation*, No. 1:05-cv-041683 (Cal. Super. Ct.-Santa Clara Cty. Jan. 28, 2010). As part of a four-lawyer team, Mr. Smith convinced the Committee to retain the firm as co-counsel to pursue the claims. Brocade recovered tens of millions of dollars and extinguished its obligation to fund the criminal defense of its former CEO.

Mr. Smith was recognized by his peers as a *San Diego Super Lawyer* for five consecutive years (2015–2019).

Before joining Robbins LLP, Mr. Smith served for four years as division and regional counsel for UBS Financial Services, Inc., a global financial services company, where he advised management regarding litigation, regulatory, and employment matters arising in the company's Northern Pacific region. Mr. Smith spent the first decade of his career at O'Melveny & Myers LLP, where he defended Fortune 500 companies and professional services firms in securities fraud class actions, shareholder derivative litigation, SEC investigations and

enforcement actions, and professional malpractice and business tort matters. Mr. Smith served for five years on O'Melveny & Myers' firm-wide Pro Bono Committee.

Mr. Smith earned his Juris Doctor in 1992 from Yale Law School. At Yale, he externed for the U.S. Attorney's Office in New Haven, Connecticut. Mr. Smith graduated with highest honors in Political Science and highest distinction in Letters and Science from the University of California, Berkeley in 1988, and was initiated into Phi Beta Kappa as a junior. He is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California, as well as the U.S. Courts of Appeals for the First, Sixth, and Ninth Circuits.

OF COUNSEL

Shane P. Sanders Of Counsel

Mr. Sanders represents individual and institutional investors in shareholder derivative actions, securities fraud class actions, and mergers and acquisitions actions. He has helped prosecute shareholder litigation that recouped millions of dollars from fraudulent corporate officers and secured the implementation of extensive corporate governance reforms at public corporations. In so doing, Mr. Sanders has successfully opposed numerous dispositive motions, including motions based on demand futility.

Mr. Sanders helped litigate shareholder derivative litigation on behalf of Fifth Street Finance Corp., *In re Fifth Street Finance Corp. Shareholder Derivative Litigation*, Lead Case No. 3:15-cv-01795-RNC (D. Conn. Dec. 13, 2016), based on allegations that the company's officers and directors caused Fifth Street to pursue reckless asset growth strategies, employ aggressive accounting and financial reporting practices, and pay excessive fees to its investment advisor to inflate the investment advisor's perceived value in advance of its initial public offering. Mr. Sanders was instrumental in the discovery efforts and settlement negotiations and mediations, and helped secure an outstanding settlement for Fifth Street and its stockholders, including advisory fee reductions worth at least \$30 million to Fifth Street, and comprehensive corporate governance, oversight, and conflicts management enhancements to substantially improve the compliance control environment at Fifth Street and reduce the likelihood of a recurrence of similar wrongdoing in the future. Mr. Sanders was the lead associate in *In re Koss Corporation Shareholder Derivative Litigation*, No. 10-CV-2422 (Wis. Cir. Ct.-Milwaukee Cnty. Sept. 22, 2011), a shareholder derivative action that involved the theft of tens of millions of dollars from the company by one of its executive officers. In that case, Mr. Sanders and his fellow counsel defeated defendants' motion to dismiss based on demand futility and negotiated a settlement that provided for the implementation of extensive corporate governance changes, including the separation of the positions of chairman of the board of directors, chief executive officer, and chief financial officer; the appointment of a lead independent director; enhanced accounting and audit functions; and the implementation of a plan requiring the reimbursement of excess incentive-based compensation in the event of a financial restatement. In *In re Fossil, Inc. Derivative Litigation*, No. 3:06-cv-01672-F (N.D. Tex. July 6, 2011), Mr. Sanders supported a team in multi-year derivative litigation that achieved a settlement securing \$8.6 million payment for Fossil from individual defendants and industry leading corporate governance reform, such as declassifying the election of directors to the board. Mr. Sanders was the lead associate in *Paschetto v. Shaich*, No. 08-SL-CC00805 (Mo. Cir. Ct.-St. Louis Cnty. April 8, 2011), a shareholder derivative action on behalf of Panera Bread Company in which Mr. Sanders helped the firm defeat defendants' motion to dismiss based on demand futility and negotiate a settlement that provided substantial benefits to the company and its shareholders. In *In re Vitesse Semiconductor Corporation*, No. Civ240483 (Cal. Sup. Ct.-Ventura Cnty. Oct. 17, 2008), Mr. Sanders was part of a team that achieved the return of more than \$13 million from company insiders and valuable corporate governance improvements. In *In re Ligand Pharmaceuticals, Inc. Derivative Litigation*, No. GIC834255 (Cal. Super. Ct.-San Diego Cnty. Oct. 12, 2006), Mr. Sanders supported a team that persuaded the court that demand on the board of directors was futile and subsequently defeated all of defendants' other motions, and helped obtain a \$14 million payment to the corporation and significant corporate governance improvements for the company.

For his achievements, Mr. Sanders was recognized by his peers as a Super Lawyer Rising Star (2015).

Mr. Sanders received his Juris Doctor degree in 2004 from the University of San Diego School of Law. While in law school, Mr. Sanders served as a law clerk at the San Diego County Public Defender's Office, and he was a member of the Association of Trial Lawyers of America and USD's Sports and Entertainment Law Society. He also participated in USD's Thorsnes Closing Argument Competition and Senior Honors Moot Court Competition,

receiving among the highest marks for his written briefs. Mr. Sanders graduated from the University of California, Santa Barbara in 2001 with a Bachelor of Arts degree in Sociology. He is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California and the District of Colorado, as well as the U.S. Courts of Appeals for the First, Second, and Ninth Circuits.

ASSOCIATES

Jonathan D. Bobak

Associate

Jonathan D. Bobak is a member of the new matters practice group, where he focuses on researching and evaluating potential new cases and legal theories for liability and recovery, drafting complaints for clients, and identifying new business opportunities.

Before joining Robbins LLP, Mr. Bobak worked as a law clerk for a boutique San Diego law firm. Prior to entering law school, Mr. Bobak was a Lieutenant in the U.S. Navy, last serving as Training Officer aboard the guided-missile destroyer USS Milius, where he supervised and coordinated all training programs and events for a crew of over 240 personnel.

Mr. Bobak received his Juris Doctor degree from the University of San Diego School of Law, where he completed a concentration in business and corporate law. While in law school, Mr. Bobak served as comments editor of the *San Diego International Law Journal*, and as a judicial extern for the Honorable Mitchell D. Dembin of the U.S. District Court for the Southern District of California and the Honorable Alan G. Lance, Sr. of the U.S. Court of Appeals for Veterans Claims. Mr. Bobak graduated from Miami University with a Bachelor of Arts degree in International Studies and German.

Emily R. Bishop

Associate

Emily R. Bishop focuses her practice on representing individual and institutional shareholders in complex litigation, including shareholder derivative actions and securities fraud class actions.

Ms. Bishop is a member of the San Diego County Bar Association.

Ms. Bishop received her Masters of Laws in Taxation from University of San Diego and her Juris Doctor from University of San Diego School of Law, where she graduated cum laude. During her time in law school, Ms. Bishop served as the articles editor for the *San Diego International Law Journal* and interned at several boutique litigation law firms. Ms. Bishop earned her Bachelor of Business Administration degree in Economics and Real Estate and a Bachelor of Arts in Political Science from the University of San Diego.

Darnell R. Donahue

Associate

Darnell R. Donahue concentrates his practice on shareholder rights and whistleblower litigation. Mr. Donahue is a member of the firm's new matters practice group, evaluating the viability of cases and initiating litigation on behalf of the firm's clients. Mr. Donahue also works closely with the firm's business development department to educate shareholders and other potential plaintiffs about the firm's practice areas and assist with onboarding new clients.

Prior to joining Robbins LLP, Mr. Donahue served as deputy general counsel at a Chicago-based consulting firm and as an advance coordinator for a Chicago mayoral campaign that successfully elected the candidate to office. Prior to practicing law, Mr. Donahue worked for six years at securities litigation firm Robbins Geller Rudman & Dowd LLP, where he served public and private investor clients in the institutional investor relations group.

Mr. Donahue obtained his Juris Doctor degree from Boston College Law School. While in law school, he served as a judicial extern for the Honorable Thomas J. Whelan of the United States District Court for the Southern District of California. Mr. Donahue earned his Masters of Arts degree in African Area Studies from the University

of California, Los Angeles, and his Bachelor of Arts degree in African Studies from the Pitzer College. He is licensed to practice in the State of California and State of Illinois.

Leonid Kandinov
Associate

Leonid Kandinov represents individual and institutional investors and consumers in complex litigation. His practice areas include shareholder rights, securities fraud, consumer protection, and antitrust matters.

Mr. Kandinov currently serves the firm primarily in a business development capacity. Combining his depth of knowledge and passion for shareholder rights law with his approachable demeanor, Mr. Kandinov is the first point of contact for the firm's clients, educating clients about the litigation process and evaluating potential new cases. Prior to this role, Mr. Kandinov served for two years on one of the firm's litigation teams and three years in its new matters group, where he researched and evaluated factual and legal theories for liability and recovery and drafted complaints for clients. For his efforts, Mr. Kandinov has been recognized as a Super Lawyer Rising Star (2016-2019). Additionally, in recognition of his work on behalf of pension funds, Mr. Kandinov is a member of the National Association of Public Pension Attorneys, an organization dedicated exclusively to attorneys practicing in the public pension arena.

Mr. Kandinov earned his Juris Doctor degree from the University of California at Davis School of Law, where he completed the Public Service Law Program. He received the Witkin Award for Academic Excellence in Accounting for Lawyers and was an associate editor for the *Business Law Journal*. He also served as a judicial extern for the Honorable Ronald H. Sargis at the U.S. Bankruptcy Court in the Eastern District of California and as a law clerk for the U.S. Attorney's Office, Southern District of California. Mr. Kandinov was also a summer associate and investigative analyst at Robbins LLP. Mr. Kandinov graduated summa cum laude with a Bachelor of Arts in Political Science from San Diego State University and was Valedictorian of his class. He is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California, and the U.S. Court of Appeals for the Ninth Circuit. Mr. Kandinov is fluent in Russian.

Steven M. McKany
Associate

Steven M. McKany dedicates his practice to representing plaintiffs in complex litigation, including shareholder derivative actions, consumer class actions, and antitrust litigation. Prior to joining Robbins LLP, Mr. McKany was an associate at a boutique firm where he represented clients in a variety of matters, including complex construction defect, personal injury, and medical malpractice. Mr. McKany also worked for a law firm specializing in complex class and private actions related to shareholder derivative and securities litigation.

Mr. McKany earned his Juris Doctor degree from Saint Louis University School of Law, where he graduated *cum laude*. During law school, Mr. McKany served as a legal intern for the Missouri State Public Defender and San Diego Public Defender's Office. Mr. McKany earned his Bachelor of Arts degree from San Diego State University. He is licensed to practice law in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, Southern, and Eastern Districts of California, and the District of Colorado.

Steven R. Wedeking
Associate

Steven Wedeking has spent most of his legal career representing the interests of plaintiff clients, and currently concentrates his practice on shareholder rights litigation. For his work on behalf of his clients, Mr. Wedeking was named Best of the Bar by San Diego Business Journal from 2015-2017.⁹

Mr. Wedeking first joined Robbins LLP in 2005 as a law school graduate. Mr. Wedeking then decided to strike out on his own and spent 12 years representing plaintiffs in personal injury and eviction matters. Mr. Wedeking has substantial litigation experience, handling cases from inception through trial. He has conducted arbitrations, mediations, and settlement negotiations.

Mr. Wedeking earned his Juris Doctor degree at the University of San Diego School of Law. While in law school,

Mr. Wedeking served on the San Diego Law Review, won Best Team in the 2004 ATLA Intramural Mock Trial Competition, and clerked for the Office of General Counsel of the Department of the Navy. Upon graduation, Mr. Wedeking was presented with the 2004 International Academy of Trial Lawyers Award for Excellence in Advocacy and Procedure. Mr. Wedeking received his Bachelor of Arts degree from the University of Texas. He is licensed to practice in the State of California, and has been admitted to the U.S. District Courts for the Northern, Central, and Southern Districts of California.

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DECLARATION OF SERVICE BY MAIL AND EMAIL

I, the undersigned, declare:

1. That declarant is and was, at all times herein mentioned, a citizen of the United States and a resident of the County of San Diego, over the age of 18 years, and not a party to or interested party in the within action; that declarant’s business address is 655 West Broadway, Suite 1900, San Diego, California 92101.

2. That on December 23, 2019, declarant served the DECLARATION OF STEPHEN J. ODDO FILED ON BEHALF OF ROBBINS LLP IN SUPPORT OF APPLICATION FOR AWARD OF ATTORNEYS’ FEES AND EXPENSES by depositing a true copy thereof in a United States mailbox at San Diego, California in a sealed envelope with postage thereon fully prepaid and addressed to the parties listed on the attached Service List.

3. That there is a regular communication by mail between the place of mailing and the places so addressed.

4. This document was also served via email on all parties listed on the attached Service List.

I declare under penalty of perjury that the foregoing is true and correct. Executed on December 23, 2019, at San Diego, California.



JACLYN WILLIAMS

SERVICE LIST

Switzer v. W.R. Hambrecht & Co., LLC, Lead Case No. CGC-18-564904 (Super. Ct., S.F. Cty.)
(Consolidated with No. CGC-18-565324)

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