1	PACIFIC TRIAL ATTORNEYS								
2	A Professional Corporation								
3	sferrell@pacifictrialattorneys.com								
4	sferrell@pacifictrialattorneys.com 4100 Newport Place Drive, Ste. 800 Newport Beach, CA 92660 Tel: (949) 706-6464								
5	Fax: (949) 706-6469								
6	Attorneys for Plaintiff								
7									
8	UNITED STATES	DISTRICT COURT							
9	NORTHERN DISTRICT OF CALIFORNIA								
10	NORTHERN DISTRI								
11	ANGELA KENNARD individually and	Case No. 3:18-cv-4665							
12	ANGELA KENNARD, individually and on behalf of all others similarly situated,	CLASS ACTION							
13	Plaintiff,	COMPLAINT FOR DAMAGES AND							
14	V.	INJUCTIVE RELIEF							
15	LAMB WESTON HOLDINGS, INC., a Delaware corporation; and DOES 1 through 10, inclusive,	JURY TRIAL DEMAND							
16	through 10, inclusive,								
17	Defendants.								
18		<u></u>							
19									
20									
21									
22									
23									
24									
25									
26									
27									
28									

### INTRODUCTION

- 1. The average consumer spends a mere 13 seconds making an in-store purchasing decision, or between 10 to 19 seconds for an online purchase. That decision is heavily dependent on a product's packaging, and particularly the package dimensions: "Most of our studies show that 75 to 80 percent of consumers don't even bother to look at any label information, no less the net weight . . . . Faced with a large box and a smaller box, both with the same amount of product inside . . . consumers are apt to choose the larger box because they think it's a better value." This lawsuit charges Defendant with unlawfully and unfairly packaging its Alexia Sweet Potato fries products in opaque containers that contain more than 50% empty space. Most consumers purchased the products without knowing that the containers were substantially empty.
- 2. Angela Kennard ("Plaintiff"), individually and on behalf of all others similarly situated, brings this Class Action Complaint for damages, injunctive relief, and any other available legal or equitable remedies, resulting from the unlawful actions of Lamb Weston Holdings, Inc. ("Defendant") with respect to the packaging of its Alexia Sweet Potato fries products. Plaintiff alleges as follows upon personal knowledge as to herself and her own acts and experiences, and, as to all other matters, upon information and belief, including investigation conducted by his attorneys.
- 3. Plaintiff purchased Defendant's Alexia Sweet Potato fries with Sea Salt product several times during 2017 and 2018 in Daly City, California and elsewhere in the Northern District of California. She purchased the product for the dual purpose of enjoying its contents and determining whether the container was lawfully filled.

<sup>&</sup>lt;sup>1</sup> http://www.nielsen.com/us/en/insights/news/2015/make-the-most-of-yourbrands-

<sup>20-</sup>second-windown.html (citing the Ehrenberg-Bass Institute of Marketing Science's report "Shopping Takes Only Seconds...In-Store and Online").

<sup>&</sup>lt;sup>2</sup>http://www.consumerreports.org/cro/magazinearchive/2010/january/shopping/pro duct-packaging/overview/product-packaging-ov.htm (quoting Brian Wansink, professor and director of the Cornell Food and Brand Lab, who studies shopping behavior of consumers).

\_

Plaintiff was surprised when she opened the product that the container had **more than** 50% empty space, or slack-fill.

4. Defendant's conduct violates consumer protection and labeling laws.

### **JURISDICTION AND VENUE**

- 5. This Court has jurisdiction over this matter pursuant to 28 U.S.C. § 1332, because this is a class action, as defined by 28 U.S.C § 1332(d)(l)(B), in which a member of the putative class is a citizen of a different state than Defendant, and the amount in controversy exceeds the sum or value of \$5,000,000, excluding interest and costs. See 28 U.S.C. § 1332(d)(2).
- 6. The Court has jurisdiction over the state law claim because it forms part of the same case or controversy under Article III of the United States Constitution.
- 7. The Court has personal jurisdiction over Defendant because its Alexia Sweet Potato fries products are advertised, marketed, distributed and sold through the State of California; Defendant engaged in the wrongdoing alleged in this Complaint throughout the United States, including in the State of California; Defendant is authorized to do business in the State of California; and Defendant has sufficient minimum contacts with the State of California, rendering the exercise of jurisdiction by the Court permissible under traditional notions of fair play and substantial justice. Moreover, Defendant is engaged in substantial activity with the State of California.
- 8. Venue is proper in the United States District Court for the Northern District of California pursuant to 28 U.S.C. § 1391(b) because a substantial part of the events giving rise to the claims occurred within this judicial district, Defendant has marketed and sold the Alexia Sweet Potato fries products at issue in this action in this judicial district, and it conducts business within this judicial district.

## **PARTIES**

9. Plaintiff Angela Kennard is a citizen of the State of California and resides in San Francisco, California. Plaintiff purchased Defendant's Alexia Sweet Potato fries

with Sea Salt product several times during 2017 and 2018 in Daly City, California and elsewhere in the Northern District of California.

- 10. Plaintiff is informed and believes, and upon such information and belief alleges, that Defendant Lamb Weston Holdings, Inc. is a Delaware corporation with its principal place of business located in Eagle, Idaho. Plaintiff is informed and believes, and upon such information and belief alleges, that Defendant, at all times relevant, conducted business in the State of California and within the Northern District of California.
- 11. The true names and capacities of the Defendants sued herein as DOES 1 through 10, inclusive, are currently unknown to Plaintiff, who therefore sues such Defendants by fictitious names. Each of the Defendants designated herein as a DOE is legally responsible for the unlawful acts alleged herein. Plaintiff will seek leave of Court to amend this Complaint to reflect the true names and capacities of the DOE Defendants when such identities become known.
- 12. At all relevant times, each and every Defendant was acting as an agent and/or employee of each of the other Defendants and was acting within the course and/or scope of said agency and/or employment with the full knowledge and consent of each of the Defendants. Each of the acts and/or omissions complained of herein were alleged and made known to, and ratified by, each of the other Defendants (Lamb Weston Holdings, Inc. and DOE Defendants will hereafter collectively be referred to as "Defendant").

# **FACTUAL ALLEGATIONS**

# California Law Prohibits Non-functional Slack-Fill

13. Many federal and state consumer protection and labeling laws prohibit deceptive packaging and labeling of products and commodities. In California, the Fair Packaging and Labeling Act ("CFPLA") "is designed to protect purchasers of any commodity within its provisions against deception or misrepresentation. Packages and their labels should enable consumers to obtain accurate information as to the quantity of

the contents and should facilitate value comparisons." (California Business & Professions Code § 12601.)

- 14. In this context, the CFPLA provides: "No food containers shall be made, formed, or filled as to be misleading." (California Business & Professions Code § 12606.2(b).) "A container that does not allow the consumer to fully view its contents shall be considered to be filled as to be misleading if it contains nonfunctional slack (California Business & Professions Code § 12606.2(c).) Section 12606.2(c) fill." defines "slack fill" as "the difference between the actual capacity of a container and the volume of product contained therein." Similarly, section 12606.2(c) defines "nonfunctional slack fill" as "the empty space in a package that is filled to substantially less than its capacity for reasons other than any one or more of the following:
- (1) Protection of the contents of the package.

1

2

3

4

5

6

7

9

10

11

12

14

15

16

17

18

19

20

21

22

23

24

25

26

27

28

- (2) The requirements of machines used for enclosing the contents of the package. 13
  - (3) Unavoidable product settling during shipping and handling.
  - (4) The need for the package to perform a specific function, such as where packaging plays a role in the preparation or consumption of a food, if that function is inherent to the nature of the food and is clearly communicated to consumers.
  - (5) The fact that the product consists of a food packaged in a reusable container where the container is part of the presentation of the food and has value that is both significant in proportion to the value of the product and independent of its function to hold the food, such as a gift product consisting of a food or foods combined with a container that is intended for further use after the food is consumed or durable commemorative or promotional packages.
  - (6) Inability to increase the level of fill or to further reduce the size of the package, such as where some minimum package size is necessary to accommodate required food labeling exclusive of any vignettes or other nonmandatory designs or label information, discourage pilfering, facilitate handling, or accommodate tamper-resistant devices."

(California Business & Professions Code § 12606.2(c)(1)-(6).)

# 15. None of the above safe-harbor provisions applies to the Alexia Sweet Potato fries products. Defendant intentionally incorporated non-functional slack-fill in its packaging of the Alexia Sweet Potato fries products. As such, the packaging is per se illegal, and reliance upon the packaging by absent class members is presumed.

# **Defendant's Products Contain Non Functional Slack-Fill**

16. Defendant's Alexia Sweet Potato fries products are, and at all relevant times were, sold in non-transparent containers. The containers have significant slackfill, as described below.

17. More than 50% of the interior of the Alexia Sweet Potato fries product containers, which concern the Alexia Sweet Potato fries with Sea Salt product purchased by Plaintiff, is comprised of empty space, or non-functional slack fill.



28 | / /





- 18. The containers (1) do not allow consumers to fully view its contents; and (2) contains nonfunctional slack fill. As such, the packaging is per se illegal.
- 19. Defendant is selling and will continue to sell the Alexia Sweet Potato fries products using these illegal slack-filled containers.
- 20. Defendant's packaging and advertising of the Alexia Sweet Potato fries products violate the CFPLA, as set forth above.
- 21. Class Members did not know, and had no reason to know, that the Alexia Sweet Potato fries products illegally contained non-functional slack-fill.
- 22. Defendant's product packaging is presumed to be a material factor in absent Class Members' decisions to purchase the Alexia Sweet Potato fries products. Based on Defendant's illegal packaging, there is a presumption that product packaging, reasonable Class Members expected to receive more Alexia Sweet Potato fries product than was actually being sold.

- 23. There is no practical reason for the non-functional slack-fill used to package the Alexia Sweet Potato fries products.
- 24. As a result of Defendant's illegal packaging, thousands of consumers purchased the Products and have been damaged by Defendant's illegal conduct.

# **CLASS ACTION ALLEGATIONS**

- 25. Plaintiff brings this action as a class action pursuant to Rule 23 of the Federal Rules of Civil Procedure on behalf of herself and the following class (collectively, the "Class" or "Classes"), defined as:
  - All California residents who made retail purchases of Defendant's Alexia Sweet Potato fries products with non-functional slack-fill, as defined by California Business & Professions Code § 12606.2, during the applicable limitations period up to and including final judgment in this action.
- 26. The proposed Class excludes current and former officers and directors of Defendant, Members of the immediate families of the officers and directors of Defendant, Defendant's legal representatives, heirs, successors, assigns, and any entity in which it has or has had a controlling interest, and the judicial officer to whom this lawsuit is assigned.
- 27. Plaintiff reserves the right to revise the Class definition based on facts learned in the course of litigating this matter.
- 28. The Alexia Sweet Potato fries products sold by Defendant suffer from illegal product bottling, labeling and nonfunctional slack-fill.
- 29. <u>Numerosity</u>: This action has been brought and may properly be maintained as a class action against Defendant under Rules 23(b)(1)(B) and 23(b)(3) of the Federal Rules of Civil Procedure. While the exact number and identities of other Class Members are unknown to Plaintiff at this time, Plaintiff is informed and believes that there are hundreds of thousands of Members in the Class. Based on sales of the Alexia Sweet Potato fries products it is estimated that the Class is composed of more than 10,000 persons. Furthermore, even if subclasses need to be created for these consumers,

- 10
- 14 15
- 16 17
- 18 19

- 21
- 22 23
- 24 25
- 26
- 27 28

- it is estimated that each subclass would have thousands of Members. The Members of the Class are so numerous that joinder of all Members is impracticable and the disposition of their claims in a class action rather than in individual actions will benefit the parties and the courts.
- Typicality: Plaintiff's claims are typical of the claims of the Members of 30. the Class as all Members of the Class are similarly affected by Defendant's wrongful conduct, as detailed herein.
- 31. Adequacy: Plaintiff will fairly and adequately protect the interests of the Members of the Class in that she has no interests antagonistic to those of the other Members of the Class. Plaintiff has retained experienced and competent counsel.
- 32. <u>Superiority</u>: A class action is superior to other available methods for the fair and efficient adjudication of this controversy. Since the damages sustained by individual Class Members may be relatively small, the expense and burden of individual litigation makes it impracticable for the Members of the Class to individually seek redress for the wrongful conduct alleged herein. Furthermore, the adjudication of this controversy through a class action will avoid the potentially inconsistent and conflicting adjudications of the claims asserted herein. There will be no difficulty in the management of this action as a class action. If Class treatment of these claims were not available, Defendant would likely unfairly receive thousands of dollars or more in improper revenue.
- 33. Common Questions Predominate: Common questions of law and fact exist as to all Members of the Class and predominate over any questions solely affecting individual Members of the Class. Among the common questions of law and fact applicable to the Class are:
  - i. Whether Defendant labeled, packaged, marketed, advertised and/or sold Alexia Sweet Potato fries products using illegal packaging and labeling;
  - ii. Whether Defendant's actions constitute violations of the CFPLA. California Business & Professions Code § 12606.2;

- iii. Whether Defendant omitted and/or represented that its Alexia Sweet Potato fries products have quantities that they do not have;
- iv. Whether Defendant's labeling, packaging, marketing, advertising and/or selling of Alexia Sweet Potato fries products constituted an unfair or unlawful practice;
- v. Whether Defendant's packaging of the Alexia Sweet Potato fries products constituted nonfunctional slack-fill;
- vi. Whether, and to what extent, injunctive relief should be imposed on Defendant to prevent such conduct in the future;
- vii. Whether the Members of the Class have sustained damages as a result of Defendant's wrongful conduct;
  - viii. The appropriate measure of damages and/or other relief; and
- ix. Whether Defendant should be enjoined from continuing its unlawful practices.
- 34. The class is readily definable, and prosecution of this action as a Class action will reduce the possibility of repetitious litigation. Plaintiff knows of no difficulty which will be encountered in the management of this litigation which would preclude his maintenance of this matter as a Class action.
- 35. The prerequisites to maintaining a class action for injunctive relief or equitable relief pursuant to Rule 23(b)(2) are met, as Defendant has acted or refused to act on grounds generally applicable to the Class, thereby making appropriate final injunctive or equitable relief with respect to the Class as a whole.
- 36. The prerequisites to maintaining a class action for injunctive relief or equitable relief pursuant to Rule 23(b)(3) are met, as questions of law or fact common to the Class predominate over any questions affecting only individual Members; and a class action is superior to other available methods for fairly and efficiently adjudicating the controversy.

- Plaintiff brings this claim individually and on behalf of the Class for Defendant's violations of California's Consumer Legal Remedies Act ("CLRA"), Cal. Civ. Code 1761(d).
- 41. Plaintiff and the Class Members are consumers who purchased the Alexia Sweet Potato fries products for personal, family or household purposes. Plaintiff and the Class Members are "consumers" as that term is defined by the CLRA in Cal. Civ. Code § 1761(d).
- 42. The Alexia Sweet Potato fries products that Plaintiff and other Class Members purchased from Defendant were "goods" within the meaning of Cal. Civ. Code § 1761(a).
- 43. Defendant's actions, representations, and conduct have violated, and continue to violate the CLRA, because they extend to transactions that intended to result, or which have resulted in, the sale of goods to consumers.

/// 27

16

17

18

19

20

21

22

23

24

25

26

/// 28

- 44. Defendant violated California law because the Alexia Sweet Potato fries products are packaged in containers made, formed or filled to contain non-functional slack-fill.
- 45. California's Consumers Legal Remedies Act, Cal. Civ. Code § 1770(a)(5), prohibits "Representing that goods or services have sponsorship, approval, characteristics, ingredients, uses, benefits, or quantities which they do not have or that a person has a sponsorship, approval, status, affiliation, or connection which he or she does not have." By engaging in the conduct set forth herein, Defendant violated and continues to violate Section 1770(a)(5) of the CLRA, because Defendant's conduct constitutes illegal and unlawful competition.
- 46. Cal. Civ. Code § 1770(a)(9) further prohibits "[a]dvertising goods or services with intent not to sell them as advertised." By engaging in the conduct set forth herein, Defendant violated and continues to violate Section 1770(a)(9), because Defendant's conduct constitutes illegal and unfair methods of competition.
- 47. Given the materiality of Defendant's misrepresentations, absent Class Members are entitled to a presumption of reliance.
- 48. Plaintiff and the Class suffered injuries caused by Defendant because the Alexia Sweet Potato fries product did not have the qualities as promised and were unlawfully packaged.
- 49. On or about June 21, 2018, prior to filing this action, Plaintiff sent a CLRA notice letter to Defendant which complies with California Civil Code 1782(a). Plaintiff sent Lamb Weston Holdings, Inc., individually and on behalf of the proposed Class, a letter via Certified Mail, advising Defendant that it is in violation of the CLRA and demanding that it cease and desist from such violations and make full restitution by refunding the monies received therefrom. A true and correct copy of the letter is attached hereto as Exhibit 1.
- 50. Wherefore, Plaintiff seeks injunctive relief for these violations of the CLRA.

1	PRAYER FOR RELIEF						
2	WHEREFORE, Plaintiff prays for relief and judgment against Defendant as						
3	follows:						
4	(A) For an Order certifying the Class pursuant to Federal Rule of Civil						
5	Procedure 23, appointing Plaintiff as class representatives, and designating						
6	Plaintiff's counsel as counsel for the Class;						
7	(B) For an Order declaring that Defendant's conduct violated the CLRA,						
8	Cal. Civ. Code § 1750, et seq.;						
9	(C) For injunctive relief as pleaded or as the Court may deem proper;						
10	(D) For an order of restitution and all other forms of equitable monetary						
11	relief, as pleaded;						
12	(E) For compensatory damages in amounts to be determined by the Court						
13	and/or jury;						
14	(F) For punitive damages;						
15	(G) For prejudgment interest on all amounts awarded;						
16	(H) For an Order awarding Plaintiff and the Class their reasonable						
17	attorneys' fees and expenses and costs of suit as pleaded pursuant to, inter alia,						
18	Cal. Civ. Code § 1780(e) and Cal. Civ. Proc. Code § 1021.5; and						
19	(I) For such other and further relief as the Court deems just and proper.						
20							
21	Date: August 2, 2018 Respectfully submitted,						
22	PACIFIC TRIAL ATTORNEYS A Professional Corporation						
23							
24	By: /s/Scott J. Ferrell						
25	By: <u>/s/Scott J. Ferrell</u> Scott J. Ferrell Attorneys for Plaintiff						
26							
27							
28							
	- 13 -						

**DEMAND FOR TRIAL BY JURY** Plaintiff, individually and on behalf of all others similarly situated, hereby demands a jury trial on all claims so triable. Date: August 2, 2018 Respectfully submitted, PACIFIC TRIAL ATTORNEYS A Professional Corporation By: /s/Scott J. Ferrell Scott J. Ferrell Attorneys for Plaintiff 

#### Case 3:18-cv-04665 1 Filed 08/02/18 Page 1 of 2

The JS-CAND 44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law,

except as provided by local ru Court to initiate the civil dock	ales of court. This form, approve tet sheet. (SEE INSTRUCTIONS C	ed in its original fo ON NEXT PAGE OF :	orm by the J <i>THIS FORM</i> .)	udicial Conference of	the Unit	ted States in September 19	974, is required for the Clerk of	
<b>I. (a) PLAINTIFFS</b> ANGELA KENNARD, ir	ndividually and on behalf of a	all others similarly	<b>DEFENDANTS</b> LAMB WESTON HOLDINGS, INC., a Delaware corporation; and DOES 1 through 10, inclusive,					
(b) County of Residence of (EXCEPT IN U.S. PLAIN  (c) Attorneys (Firm Name Scott J. Ferrell, Pacifi Suite 800, Newport B	County of Residence of First Listed Defendant (IN U.S. PLAINTIFF CASES ONLY)  NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF THE TRACT OF LAND INVOLVED.  Attorneys (If Known)							
, 1	SDICTION (Place an "X" in	One Roy Only	ш ст	IZENSHIP OF P	RINCI	PAL PARTIES (Place	e an "X" in One Box for Plaintiff	
U.S. Government Plainti     U.S. Government Defend	ff 3 Federal Question (U.S. Government No.	ot a Party)	(For A Citizen Citizen Citizen	of This State of Another State or Subject of a	PTF × 1 2 3		Principal Place 4 4 This State d Principal Place 5 × 5	
W. MATTER OF C			Foreign	n Country				
IV. NATURE OF S CONTRACT	UIT (Place an "X" in One Box			FORFEITURE/PEN	ALTV	RANKDUPTCV	OTHER STATUTES	
110 Insurance 120 Marine 130 Miller Act	PERSONAL INJURY 310 Airplane 315 Airplane Product Liability	367 Health Care/ Pharmaceutical Personal Injury Product Liability 368 Asbestos Personal Injury Product Liability  PERSONAL PROPERTY  X 370 Other Fraud 371 Truth in Lending 380 Other Personal Property Damage 385 Property Damage Product Liability  PRISONER PETITIONS  HABEAS CORPUS 463 Alien Detainee 510 Motions to Vacate Sentence 530 General 535 Death Penalty  OTHER		625 Drug Related Sei Property 21 USC	zure of	### BANKRUPTCY  422 Appeal 28 USC § 158  423 Withdrawal 28 USC  § 157		
140 Negotiable Instrument 150 Recovery of Overpayment Of Veteran's Benefits 151 Medicare Act 152 Recovery of Defaulted Student Loans (Excludes Veterans) 153 Recovery of Overpayment of Veteran's Benefits 160 Stockholders' Suits 190 Other Contract 195 Contract Product Liability 196 Franchise  REAL PROPERTY 210 Land Condemnation 220 Foreclosure 230 Rent Lease & Ejectment 240 Torts to Land 245 Tort Product Liability 290 All Other Real Property	320 Assault, Libel & Slander 330 Federal Employers' Liability 340 Marine 345 Marine Product Liability 350 Motor Vehicle 355 Motor Vehicle Product Liability 360 Other Personal Injury 362 Personal Injury -Medical Malpractice  CIVIL RIGHTS  440 Other Civil Rights 441 Voting 442 Employment 443 Housing/ Accommodations 445 Amer. w/Disabilities— Employment 446 Amer. w/Disabilities—Other 448 Education			LABOR 710 Fair Labor Stand 720 Labor/Managemer Relations 740 Railway Labor A 751 Family and Medicaeve Act 790 Other Labor Litig 791 Employee Retire Income Security IMMIGRATIO 462 Naturalization Application 465 Other Immigration Actions	ent  cet ical gation ment Act	\$ 157  PROPERTY RIGHTS  820 Copyrights 830 Patent 835 Patent—Abbreviated New Drug Application 840 Trademark  SOCIAL SECURITY 861 HIA (1395ff) 862 Black Lung (923) 863 DIWC/DIWW (405(g)) 864 SSID Title XVI 865 RSI (405(g))  PEDERAL TAX SUITS 870 Taxes (U.S. Plaintiff or Defendant) 871 IRS—Third Party 26 USC \$ 7609  \$ 3729(a) 400 State Reapportic 410 Antitrust 430 Banks and Bank 450 Commerce 460 Deportation 470 Racketeer Influe Corrupt Organiza 480 Consumer Cred 490 Cable/Sat TV 850 Securities/Comm Exchange 891 Agricultural Act 895 Freedom of Info Act 896 Arbitration 899 Administrative Pr Act/Review or A Agency Decision	400 State Reapportionment 410 Antitrust 430 Banks and Banking 450 Commerce 460 Deportation 470 Racketeer Influenced & Corrupt Organizations 480 Consumer Credit 490 Cable/Sat TV 850 Securities/Commodities Exchange 890 Other Statutory Actions 891 Agricultural Acts 893 Environmental Matters 895 Freedom of Information Act 896 Arbitration 899 Administrative Procedure Act/Review or Appeal of Agency Decision 950 Constitutionality of State	
X 1 Original Proceeding	State Court	Remanded from Appellate Court	Reope	ened Anothe	er District	(specify) Litigation-		
ACTION 23	8 U.S.C § 1332(d)(l)(B) rief description of cause:							
VII. REQUESTED I COMPLAINT:	IN CHECK IF THIS IS A UNDER RULE 23, Fee		AND \$		CHECK YES only if JURY DEMAND:	demanded in complaint:		
VIII. RELATED CAS	JUDGE			DOCKET N	UMBER			

**DIVISIONAL ASSIGNMENT (Civil Local Rule 3-2)** 

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

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

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

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