

## ERISA Class Action Litigation

Filing Date	Docket Number	Case Name	Court	Basis of Claim
	No. 13-3467	Danielle Santomenno, Karen Poley, and Barbra Poley v. John Hancock Life	U.S. Court of Appeals- 3rd Circuit	Excessive or unreasonable 401(k) plan fees
10/07/2015	No. 8:15-cv-01614	Urakhchin v. Allianz Asset Mgmt. of Am. L.P. Savings & Retirement Plan	U.S. District Court, California - Central	proprietary mutual funds investments
08/17/2016	No. 2:16-cv-06191	Munro v. Univ. of S. Cal.	U.S. District Court, California - Central	Excessive or unreasonable 401(k) plan fees
2/26/16	No. 2:16-cv-01363	Tom v. Com Dev USA, LLC	U.S. District Court, California - Central	miscalculations of pension plan distributions
11/24/16	No. 2:15-cv-09139	Wilson v. Edison Int'l, Inc.	U.S. District Court, California - Central	employer stock investment losses ("stock-drops")
17/09/2015	No. 8:15-cv-01507	Carter v. San Pasqual Fiduciary Trust Co.	U.S. District Court, California - Central	ESOP mismanagement and self-dealing
04/01/2016	No. 2:16-cv-02251	Wilson v. Fidelity Mgmt. Tr. Co.	U.S. District Court, California - Central	fiduciary deviation from plan investment guidelines; selection and monitoring of investment advisers/managers
05/02/2016	No. 2:16-cv-02990	Haber v. Reliance Standard Life Ins. Co.	U.S. District Court, California - Central	life insurance checkbook payments
09/09/2016	No. 2:16-cv-06794	Marshall v. Northrop Grumman Corp.	U.S. District Court, California - Central	Excessive or unreasonable 401(k) plan fees
10/29/15	No. 5:15-cv-04977	Sulyma v. Intel Corp. Investment Policy Committee	U.S. District Court, California - Northern	excessive or unreasonable 401(k) plan fees
08/25/2016	No. 4:16-cv-04903	Lorenz v. Safeway Inc.	U.S. District Court, California - Northern	Excessive or unreasonable 401(k) plan fees
7/28/16	No. 4:16-cv-04265-CW	Cryer v. Franklin Resources, Inc.	U.S. District Court, California - Northern	<ul style="list-style-type: none"> <li>• excessive or unreasonable 401(k) plan fees</li> <li>• proprietary mutual funds investments</li> </ul>
30/06/2016	No. 5:16-cv-03698	Johnson v. Fujitsu Tech. & Bus. of Am., Inc.	U.S. District Court, California - Northern	excessive or unreasonable 401(k) plan fee
08/18/2016	No. 5:16-cv-04784	Burgess v. HP Inc.	U.S. District Court, California - Northern	Excessive or unreasonable 401(k) plan fees; selection and monitoring of investment advisers/managers
01/07/2016	No. 3:16-cv-03723-RS	Vespa v. Singler-Ernster Inc.	U.S. District Court, California - Northern	<ul style="list-style-type: none"> <li>• ESOP mismanagement and self-dealing</li> <li>• failure to use fair market values in ESOP transactions</li> </ul>
24/06/2016	No. 3:16-cv-03583	Tomassini v. Oracle Corp.	U.S. District Court, California - Northern	employer stock investment losses ("stock-drops")
2/17/16	No. 3:16-cv-00793-MEJ	White v. Chevron Corp.	U.S. District Court, California - Northern	excessive or unreasonable 401(k) plan fees
1/31/16	No. 5:16-cv-00522	Lo v. Intel Corp.	U.S. District Court, California - Northern	excessive or unreasonable 401(k) plan fees
09/29/2016	No. 4:16-cv-05544	Schuman v. Microchip Tech. Inc.	U.S. District Court, California - Northern	
1/22/16	No. 1:16-cv-00175	Troutd v. Oracle Corp.	U.S. District Court, Colorado	excessive or unreasonable 401(k) plan fees
11/14/16	No. 1:16-cv-00094	Krikorian v. Great-West Life & Annuity Ins. Co.	U.S. District Court, Colorado	excessive or unreasonable 401(k) plan fees
09/04/2015	No. 1:15-cv-01927	Kilpatrick v. Great-West Life & Annuity Ins. Co.	U.S. District Court, Colorado	excessive or unreasonable 401(k) plan fees
7/26/16	No. 3:16-cv-01251-VAB	Dezelan v. Voya Retirement Ins. & Annuity Co.	U.S. District Court, Connecticut	<ul style="list-style-type: none"> <li>• excessive or unreasonable 401(k) plan fees</li> <li>• proprietary mutual funds investments</li> </ul>
2/26/16	No. 3:16-cv-00319	Muir v. Prudential Retirement Ins. & Annuity Co.	U.S. District Court, Connecticut	excessive or unreasonable 401(k) plan fees
12/18/15	No. 3:15-cv-01839	Rosen v. Prudential Retirement Ins. & Annuity Co.	U.S. District Court, Connecticut	excessive or unreasonable 401(k) plan fees
08/09/2016	No. 3:16-cv-01345	Vellali v. Yale Univ.	U.S. District Court, Connecticut	Excessive or unreasonable 401(k) plan fees
12/03/2015	No. 3:15-cv-01785	Wood v. Prudential Ret. Ins. & Annuity Co.	U.S. District Court, Connecticut	excessive or unreasonable 401(k) plan fees
4/14/16	No. 1:16-cv-00263	Girardot v. The Chemours Co.	U.S. District Court, Delaware	misrepresentation about projected pension benefits
04/12/2016	No. 1:16-cv-00680	Abraha v. Colonial Parking, Inc.	U.S. District Court, District of Columbia	health insurance plan fiduciary self-dealing
05/06/2016	No. 1:16-cv-00856	White v. Hilton Hotels Ret. Plan	U.S. District Court, District of Columbia	failure to allow eligible employees to participate in plans
09/30/16	No. 3:16-cv-00502	McClain v. Poppell	U.S. District Court, Florida - Northern	
09/30/16	No.: 3:16-CV-00502	Linda McLain and Colleen Gamer v. Samuel Poppell and Emerald Coast Eye	U.S. District Court, Florida - Northern	
22/12/2015	No. 1:15-cv-04444	Pledger v. Reliance Trust Co.	U.S. District Court, Georgia - Northern	excessive or unreasonable 401(k) plan fees
08/11/2016	No. 1:16-cv-02920	Henderson v. Emory Univ.	U.S. District Court, Georgia - Northern	Excessive or unreasonable 401(k) plan fees
11/16/15	No. 1:15-cv-03983	Hoak v. Ledford	U.S. District Court, Georgia - Northern	failure to pay or properly value executive compensation; miscalculations of pension plan distributions
4/29/16	No. 1:16-cv-01132	Allen v. Iowa Health Sys.	U.S. District Court, Illinois - Central	pension funding obligations/delinquent contributions
05/03/2016	No. 1:16-cv-01137	Bailey v. OSF Healthcare System	U.S. District Court, Illinois - Central	pension funding obligations/delinquent contributions
08/17/2016	No. 1:16-cv-08157	Divane v. Nw. Univ.	U.S. District Court, Illinois - Northern	Excessive or unreasonable 401(k) plan fees
09/26/2016	No. 1:16-cv-09238	Mollet v. Hosp. Sisters Health Sys.	U.S. District Court, Illinois - Northern	pension funding obligations/delinquent contributions
28/06/2016	No. 1:16-cv-06782	Bowen v. Wheaton Franciscan Services Inc.	U.S. District Court, Illinois - Northern	pension funding obligations/delinquent contributions
06/06/2016	No. 1:16-cv-05907	Butler v. Holy Cross Hospital	U.S. District Court, Illinois - Northern	pension funding obligations/delinquent contributions
04/11/2016	No. 1:16-cv-04232	Curtis v. Wheaton Franciscan Servs., Inc.	U.S. District Court, Illinois - Northern	pension funding obligations/delinquent contributions
4/29/16	No. 1:16-cv-04773	Matthews v. Reliance Trust Co.	U.S. District Court, Illinois - Northern	ESOP mismanagement and self-dealing
09/14/2016	No. 1:16-cv-08898	Dolins v. Continental Casualty Co.	U.S. District Court, Illinois - Northern	Prohibited transactions by pension plan fiduciaries; New lawsuit accuses Continental Casualty Co. of mismanaging its
4/47/16	No. 3:16-cv-00467	Smith v. OSF Healthcare Sys.	U.S. District Court, Illinois - Southern	pension funding obligations/delinquent contributions

04/08/2016	No. 3:16-cv-00393	Feather v. SSM Health	U.S. District Court, Illinois - Southern	pension funding obligations/delinquent contributions
12/05/2016	No. 3:16-cv-00290	Cappello v. Franciscan Alliance, Inc.	U.S. District Court, Indiana - Northern	pension funding obligations/delinquent contributions
4/22/16	No. 1:16-cv-04589	Jewett v. Franciscan Alliance, Inc.	U.S. District Court, Indiana - Northern	pension funding obligations/delinquent contributions
12/29/15	No. 1:15-cv-02062	Bell v. Anthem, Inc. Pension Comm. of ATH Holding Co. LLC	U.S. District Court, Indiana - Southern	excessive or unreasonable 401(k) plan fees
3/17/16	No. 2:16-cv-00049	Boden v. St. Elizabeth Med. Ctr., Inc.	U.S. District Court, Kentucky - Eastern	pension funding obligations/delinquent contributions
4/21/16	No. 3:16-cv-00258	Nicholson v. Franciscan Missionaries of Our Lady Health Sys.	U.S. District Court, Louisiana - Middle	pension funding obligations/delinquent contributions
08/11/2016	No. 1:16-cv-02835	Kelly v. Johns Hopkins Univ.	U.S. District Court, Maryland	Excessive or unreasonable 401(k) plan fees
4/18/16	No. 1:16-cv-01150	Miller v. Bon Secours Health Sys., Inc.	U.S. District Court, Maryland	pension funding obligations/delinquent contributions
04/11/2016	No. 1:16-cv-01079	Hodges v. Bon Secours Health Sys., Inc.	U.S. District Court, Maryland	pension funding obligations/delinquent contributions
1/27/16	No. 8:16-cv-00238	Gordon v. Cigna Corp.	U.S. District Court, Maryland	failure to pay health insurance claims
08/09/2016	No. 1:16-cv-11620	Tracey v. Mass. Inst. of Tech.	U.S. District Court, Massachusetts	Excessive or unreasonable 401(k) plan fees
1/29/16	No. 3:16-cv-30082	Bishop-Bristol v. Mass. Mutual Life Ins. Co.	U.S. District Court, Massachusetts	excessive or unreasonable 401(k) plan fees
12/11/2015	No. 1:15-cv-14128	Ellis v. Fidelity Mgmt. Trust Co.	U.S. District Court, Massachusetts	excessive or unreasonable 401(k) plan fees
10/13/15	No. 1:15-cv-08038	Malone v. Teachers Ins. & Annuity Assoc. of Am.	U.S. District Court, Massachusetts	excessive or unreasonable 401(k) plan fees; prohibited transactions by pension plan fiduciaries
25/05/2016	No. 1:16-cv-10918	Fleming v. Fidelity Mgmt. Tr. Co.	U.S. District Court, Massachusetts	excessive or unreasonable 401(k) plan fees
11/13/15	No. 1:15-cv-13825	Brotherston v. Putnam Inv. LLC	U.S. District Court, Massachusetts	proprietary mutual funds investments
09/30/16	No. 2:16-cv-13532	Mac v. Blue Cross Blue Shield of Mich.	U.S. District Court, Michigan- Eastern	
12/07/2016	No. 0:16-cv-02400	Knoll v. Target Corp.	U.S. District Court, Minnesota	employer stock investment losses ("stock-drops")
18/05/2016	No. 0:16-cv-01335	Damberg v. LaMettry's Collision, Inc.	U.S. District Court, Minnesota	excessive or unreasonable 401(k) plan fees
15/07/2016	No. 0:16-cv-02421	Simmons v. Target Corp.	U.S. District Court, Minnesota	employer stock investment losses ("stock-drops")
	No. 0:16-cv-03352	Mohr v. UnitedHealth Group Inc.	U.S. District Court, Minnesota	
08/19/2016	No. 4:16-cv-01346	McDonald v. Edward D. Jones & Co.	U.S. District Court, Missouri - Eastern	Excessive or unreasonable 401(k) plan fees; proprietary mutual funds investments
10/05/2016	No. 4:16-cv-00651	Grasle v. Mercy Health	U.S. District Court, Missouri - Eastern	pension funding obligations/delinquent contributions
04/04/2016	No. 4:16-cv-00460-HEA	Beiermann v. SSM Health Care Corp.	U.S. District Court, Missouri - Eastern	pension funding obligations/delinquent contributions
02/12/2016	No. 4:16-cv-00199	Linton v. SunEdison, Inc.	U.S. District Court, Missouri - Eastern	employer stock investment losses ("stock-drops")
02/09/2016	No. 4:16-cv-00173	Dull v. SunEdison, Inc. Investment Committee	U.S. District Court, Missouri - Eastern	employer stock investment losses ("stock-drops")
11/20/16	No. 4:16-cv-00076	Usenko v. SunEdison Inc.	U.S. District Court, Missouri - Eastern	employer stock investment losses ("stock-drops")
30/06/2016	No. 4:16-cv-00737	Wildman v. Am. Century Servs., LLC	U.S. District Court, Missouri - Western	excessive or unreasonable 401(k) plan fee
	No. 4:16-cv-00061	Cleary v. Retirement Plan for Emps. of N. Montana Hosp.	U.S. District Court, Montana	miscalculations of pension plan distributions
09/08/2015	No. 3:15-cv-06726	Luciano v. Teachers Ins. & Annuity Assoc. of Am.-College Retirement	U.S. District Court, New Jersey	miscalculations of pension plan distributions
16/05/2016	No. 2:16-cv-02748	Barker v. St. Joseph's Healthcare Sys., Inc.	U.S. District Court, New Jersey	pension funding obligations/delinquent contributions
13/05/2016	No. 2:16-cv-02740	Garbaccio v. St. Joseph's Hosp. & Med. Ctr.	U.S. District Court, New Jersey	pension funding obligations/delinquent contributions
09/09/2016	No. 1:16-cv-07070	Patrico v. Voya Fin., Inc.; U.S. District Court, New York - Southern	U.S. District Court, New York - Southern	Excessive or unreasonable 401(k) plan fees
08/19/2016	No. 1:16-cv-06568	Patterson v. Morgan Stanley	U.S. District Court, New York - Southern	Excessive or unreasonable 401(k) plan fees; proprietary mutual funds investments
08/02/2016	No. 7:16-cv-06123	Bekker v. Neuberger Berman Grp. LLC	U.S. District Court, New York - Southern	• excessive or unreasonable 401(k) plan fees • proprietary mutual funds investments
3/14/16	No. 1:16-cv-01900	Cooper v. DST Sys., Inc.	U.S. District Court, New York - Southern	excessive or unreasonable 401(k) plan fees; selection and monitoring of investment advisers/managers
12/21/15	No. 1:15-cv-09936	Moreno v. Deutsche Bank Ams. Holding Corp.	U.S. District Court, New York - Southern	excessive or unreasonable 401(k) plan fees
12/08/2015	No. 1:15-cv-09596	Wittman v. N.Y. Life Ins. Co.	U.S. District Court, New York - Southern	excessive or unreasonable 401(k) plan fees
18/07/2016	No. 1:16-cv-05698	Andrus v. N.Y. Life Ins. Co.	U.S. District Court, New York - Southern	Excessive or unreasonable 401(k) plan fees
10/13/15	No. 1:15-cv-08040	Richards-Donald v. Teachers Ins. & Annuity Assoc. of Am.	U.S. District Court, New York - Southern	proprietary mutual funds investments
08/17/2016	No. 1:16-cv-06524	Cates v. Trs. of Columbia Univ.	U.S. District Court, New York - Southern	Excessive or unreasonable 401(k) plan fees
08/17/2016	No. 1:16-cv-06525	Cunningham v. Cornell Univ.	U.S. District Court, New York - Southern	Excessive or unreasonable 401(k) plan fees
08/16/2016	No. 1:16-cv-06488	Doe v. Columbia University	U.S. District Court, New York - Southern	Excessive or unreasonable 401(k) plan fees
08/09/2016	No. 1:16-cv-06284	Sacerdote v. N.Y. Univ.	U.S. District Court, New York - Southern	Excessive or unreasonable 401(k) plan fees
03/06/2016	No. 1:16-cv-04170	Caufield v. Colgate-Palmolive Co.	U.S. District Court, New York - Southern	pension plan amendments violating ERISA's anti-cutback rule
3/15/16	No. 1:16-cv-01932	Lefkowitz v. Teachers Ins. & Annuity Assoc.	U.S. District Court, New York - Southern	excessive or unreasonable 401(k) plan fees
12/03/2015	No. 1:15-cv-09469-SAS	Lau v. Metro. Life Ins. Co.	U.S. District Court, New York - Southern	excessive or unreasonable 401(k) plan fees
12/31/15	No. 1:15-cv-10180	In re: Bank of N.Y. Mellon Corp. Forex Transactions Litig.	U.S. District Court, New York - Southern	excessive or unreasonable 401(k) plan fees

24/06/2016	No. 1:16-cv-04930	Dodd v. L-3 Comm. Corp.	U.S. District Court, New York - Southern	employer stock investment losses ("stock-drops")
04/07/2016	No. 1:16-cv-02627	Farrell v. JPMorgan Chase & Co.	U.S. District Court, New York - Southern	fiduciary deviation from plan investment guidelines
02/11/2016	No. 1:16-cv-01082	Jacobs v. Verizon Communications	U.S. District Court, New York - Southern	selection and monitoring of investment advisers/managers; excessive or unreasonable 401(k) plan fees
01/12/2016	No. 1:16-cv-00228-LAK	Hartline v. Bank of New York Mellon	U.S. District Court, New York - Southern	fiduciary deviation from plan investment guidelines
11/05/2016	No. 1:16-cv-00375	Habib v. M&T Bank Corp.	U.S. District Court, New York - Western	excessive or unreasonable 401(k) plan fees
09/01/2016	No. 1:16-cv-00704	Allen v. M&T Bank Corp.	U.S. District Court, New York - Western	Excessive or unreasonable 401(k) plan fees; proprietary mutual funds investments
09/04/2015	No. 1:15-cv-00732	Bowers v. BB&T Corp.	U.S. District Court, North Carolina - Middle	excessive or unreasonable 401(k) plan fees
10/08/2015	No. 1:15-cv-00841	Smith v. BB&T Corp.	U.S. District Court, North Carolina - Middle	proprietary mutual funds investments
08/10/2016	No. 1:16-cv-01044	Clark v. Duke Univ.	U.S. District Court, North Carolina - Middle	Excessive or unreasonable 401(k) plan fees
29/06/2016	No. 3:16-cv-00502	West v. Continental Auto. Inc.	U.S. District Court, North Carolina - Western	• breaks in service affecting defined benefit pension plans • miscalculations of pension plan distributions
30/06/2016	No. 1:16-cv-00726	Alban v. Mercy Health	U.S. District Court, Ohio - Southern	pension funding obligations/delinquent contribution
05/03/2016	No. 1:16-cv-00518	Whaley v. Mercy Health	U.S. District Court, Ohio - Southern	pension funding obligations/delinquent contributions
3/30/16	No. 1:16-cv-00441	Lupp v. Mercy Health	U.S. District Court, Ohio - Southern	pension funding obligations/delinquent contributions
9/14/15	No. 5:15-cv-01001	McWilliams v. SandRidge Energy Inc.	U.S. District Court, Oklahoma - Western	employer stock investment losses ("stock-drops")
05/06/2016	No. 5:16-cv-00478	Sanzone v. Mercy Health	U.S. District Court, Oklahoma - Western	pension funding obligations/delinquent contributions
8/19/15	No. 5:15-cv-00892	Cummings v. Sandridge Energy Inc.	U.S. District Court, Oklahoma - Western	employer stock investment losses ("stock-drops"); employer stock/ERISA disclosure violations
02/11/2016	No. 1:16-cv-00061	Barchock v. CVS Health Corp.	U.S. District Court, Rhode Island	fiduciary deviation from plan investment guidelines
12/26/16	No. 2:16-cv-00616-CWH	Spires v. Schools	U.S. District Court, South Carolina	employer stock investment losses ("stock-drops")
08/10/2016	No. 3:16-cv-02086	Cassell v. Vanderbilt Univ.	U.S. District Court, Tennessee - Middle	Excessive or unreasonable 401(k) plan fees
11/12/2015	No. 3:15-cv-01215	Hitchcock v. Cumberland University 403(b) DC Plan	U.S. District Court, Tennessee - Middle	failure to make required plan contributions; pension plan amendments violating ERISA's anti-cutback rule
11/06/2016	No. 2:16-cv-02412	Brace v. Methodist Le Bonheur Healthcare	U.S. District Court, Tennessee - Middle	pension funding obligations/delinquent contributions
12/04/2015	No. 1:15-cv-00471-RC	Barton v. Total Petrochemicals USA, Inc.	U.S. District Court, Texas - Eastern	employer stock investment losses ("stock-drops")
4/15/16	No. 4:16-cv-00473	Main v. Am. Airlines, Inc.	U.S. District Court, Texas - Northern	excessive or unreasonable 401(k) plan fees
02/10/2016	No. 3:16-cv-00380	Ortiz v. American Airlines, Inc.	U.S. District Court, Texas - Northern	fiduciary deviation from plan investment guidelines
4/13/16	No. 4:16-cv-00995	Guenther v. BP Retirement Accumulation Plan	U.S. District Court, Texas - Southern	cash balance pension plan conversions and interest rates
29/06/2016	No. 7:16-cv-00248	Mallory v. Lease Supervisors, LLC	U.S. District Court, Texas - Western	failure to make required plan contributions