

NOTICE OF PROPOSED SETTLEMENT OF CLASS ACTION LAWSUIT

Alec Faber, et al. v. Cornell University, Civil Action No. 3:20-cv-467

ATTENTION: ALL STUDENTS ENROLLED IN A DEGREE-BEARING PROGRAM AT CORNELL UNIVERSITY DURING THE SPRING 2020 SEMESTER

The United States District Court for the Northern District of New York has authorized this notice. It is not a solicitation from a lawyer. You are not being sued. If you have received notice of this lawsuit in the mail or by email, you have been identified as a person who is or may be a member of the settlement class in this lawsuit, and the proposed Settlement of this lawsuit, if approved, may affect your legal rights. You should read this notice carefully.

If you (1) were enrolled in a degree-bearing Cornell program for the Spring 2020 semester, and (2) were not enrolled in a program that, at the beginning of the Spring 2020 semester, was intended to be delivered as an online program, and (3) did not withdraw from the University on or before March 1, 2020, you are eligible to be part of the proposed settlement class (a “Settlement Class Member”) affected by this lawsuit.

The purpose of this notice is to inform you of a proposed Settlement relating to a class action lawsuit brought by Plaintiffs, students at the University during the Spring 2020 semester, against the University, on behalf of a putative class of students enrolled in a degree-bearing program for the Spring 2020 semester. The case is captioned *Alec Faber, et al. v. Cornell University*, Civil Action No. 3:20-cv-467 (the “Action”).

In this Action, Plaintiffs alleged the University breached a contract when it transitioned to virtual education in response to the COVID-19 pandemic. Plaintiffs also alleged that the University’s shift to virtual education gave rise to claims of unjust enrichment. Plaintiffs sought a partial refund of their tuition and fees for the Spring 2020 semester. The University denies any breach of contract and denies all other allegations of wrongdoing, and there has been no finding of liability in any court. However, considering the interests of both the University and its students in prompt resolution of the matter, the University has agreed to establish a Settlement Fund to resolve the Action.

The terms of the agreement are set forth in the proposed Settlement that must be approved by the Court. This notice includes information about the proposed Settlement, a Final Approval Hearing scheduled by the Court, and the process for Settlement Class Members to be heard by the Court.

**SUMMARY OF THE OPTIONS AND THE LEGAL EFFECT OF
EACH OPTION FOR SETTLEMENT CLASS MEMBERS**

YOUR OPTIONS	INSTRUCTIONS	DUE DATE
DO NOTHING AND YOU WILL BE A SETTLEMENT CLASS MEMBER; AUTOMATICALLY RECEIVE A PAYMENT	You will be paid by a check issued by the Settlement Administrator to your last known mailing address on file with the University Registrar or as provided by you. You will first be provided a payment distribution email to be sent to your last known email address on file with the University Registrar, wherein you will be provided with a number of alternative payment options, such as PayPal or Venmo, and an option to donate your portion of the Settlement Fund to Cornell’s Student Access Fund.	See Answer 7.
EXCLUDE YOURSELF FROM THE PROPOSED SETTLEMENT	You can choose to “opt out” of the proposed Settlement. Opting out means that you choose not to participate in the proposed Settlement. It also means that you cannot object to the proposed Settlement since you will not be participating in the proposed Settlement (see below for more information). If you opt out, you will not receive a payment and you will keep any individual claims you may have against the University relating to the transition to virtual education in the Spring 2020 semester. For more detailed opt-out instructions, see Answer 11 below.	Postmarked no later than November 9, 2023
OBJECT TO THE PROPOSED SETTLEMENT	You can file an objection with the Court explaining why you believe the Court should reject the proposed Settlement. If your objection is overruled by the Court and the proposed Settlement is approved, then you would be included in the Settlement Class. If the Court agrees with your objection, then the proposed Settlement may not be approved. If you choose to object, you cannot also opt out of the proposed Settlement, as only participating Settlement Class Members may object to a proposed Settlement. For more detailed objection instructions, see Answer 12 below.	Postmarked no later than November 9, 2023

These rights and options—and the deadlines to exercise them—along with the material terms of the proposed Settlement are explained further below in this notice.

BASIC INFORMATION

1. What is this lawsuit about?

The consolidated class action being settled is captioned *Alec Faber, et al. v. Cornell University*, Civil Action No. 3:20-cv-467. This case is a putative class action, meaning that the Settlement Class Representatives—Alec Faber and Ahnaf Rahman—brought this action as individuals acting on behalf of a putative class of students enrolled at the University in the Spring 2020 semester. The Settlement Class Representatives alleged claims for breach of contract and unjust enrichment resulting from the cessation of in-person classes and changes to campus operations as a result of the COVID-19 pandemic. After motion practice as well as substantial class discovery, the Parties reached the proposed Settlement.

2. Why did I receive notice of this lawsuit?

If you received notice of this lawsuit, it is because the University’s records indicate that you were enrolled at the University during the Spring 2020 semester. The Court directed that this notice be made available to all Potential Settlement Class Members because each member has a right to notice of the proposed Settlement and the options available to them before the Court decides whether to approve the proposed Settlement.

3. How do I know if I am part of the Settlement Class?

If you (1) were enrolled in a degree-bearing Cornell program for the Spring 2020 semester, and (2) were not enrolled in a program that, at the beginning of the Spring 2020 semester, was intended to be delivered as an online program, and (3) did not withdraw from the University on or before March 1, 2020, then you potentially qualify as a Settlement Class Member.

4. Why did the Parties Settle?

In any lawsuit, there are risks and potential benefits that come with litigating as compared to settling. It is the Settlement Class Representatives' and their lawyers' ("Class Counsel") job to identify when a proposed Settlement offer is sufficient and justifies settling the case instead of continuing to litigate. In a class action, Class Counsel determines when to recommend settling to the Class Representatives. The Class Representatives then have a duty to act in the best interests of the class as a whole when deciding whether to accept this recommendation. In this case, it is the belief of the Settlement Class Representatives and Class Counsel that this proposed Settlement is in the best interests of all Settlement Class Members.

The University denies the claims asserted and believes that its actions were proper and in accordance with the terms of its policies, agreements, and applicable law, including the Executive Orders issued by the New York State Governor. The University denies that its actions give rise to any claim by the Settlement Class Representatives or any Settlement Class Members. Nevertheless, taking into account the uncertainty and risks inherent in litigation generally and the certainty of a negotiated settlement, including the benefits that current and former students will receive therefrom, Cornell considers it desirable to resolve the Action on the terms and conditions stated in the Settlement to avoid further expense, burden, and distraction from its educational mission.

5. What must happen for the proposed Settlement to be approved?

The Court must decide that the proposed Settlement is fair, reasonable, and adequate before it will give final approval of the proposed Settlement. At this time, the Court has already reviewed and decided to grant preliminary approval of the proposed Settlement, after which this notice is being disseminated to inform Potential Settlement Class Members. The Court will make a final decision regarding the proposed Settlement at a Final Approval Hearing, which is currently scheduled for December 13, 2023 at 11 a.m.

YOUR OPTIONS

6. What options do I have with respect to the proposed Settlement?

If you are a Potential Settlement Class Member, you have three options with respect to this proposed Settlement: (1) Do nothing and be considered a Settlement Class Member eligible to participate in the proposed Settlement and receive the Settlement Benefit allocated to you according to the terms of the proposed Settlement. (2) Opt out of the proposed Settlement. (3) Participate in the proposed Settlement, but object to it. Each of these options is described further below.

7. What are the details and deadlines related to my three options?

- a. If you do nothing, and the proposed Settlement is approved by the Court, you will be considered a Settlement Class Member eligible to participate in the proposed Settlement and to receive the Settlement Benefit allocated to you according to the terms of the proposed Settlement, which includes an election to donate your Settlement Benefit to Cornell's Student Access Fund. You will be paid by a check issued by the Settlement Administrator to your last known mailing address on file with the University Registrar or as provided by you. You will first be provided a payment distribution email to be sent to your last known email address on file with the University Registrar, wherein you will be provided with a number of alternative payment options, such as PayPal or Venmo instead of a check by mail, and an option to donate your portion of the Settlement Fund to Cornell's Student Access Fund. **A valid email address is required to receive digital payment. If your email address on file changes or becomes invalid for any reason, it is your responsibility to provide accurate contact information to the Settlement Administrator to receive a payment.** Payments will be issued sixty (60) days after the Effective Date, as defined in the proposed Settlement. The payment redemption period will end one hundred and eighty (180) days after the Effective Date, as defined in the proposed Settlement. The dates will also be posted on the Settlement Website at www.cornellfeerefundclassaction.com when known, but it will be some time after the Final Approval Hearing currently scheduled for December 13, 2023 at 11 a.m.
- b. If you would like to opt out of the proposed Settlement, your request must be postmarked no later than November 9, 2023. Selecting this option means you will not be considered a Settlement Class Member and therefore not eligible to receive the Settlement Benefit.

- c. If you would like to object to the proposed Settlement, your objection must be postmarked no later than November 9, 2023. Selecting this option means you will be considered a Settlement Class Member eligible to participate in but who objects to the proposed Settlement, with the right to have your objection considered by the Court at the Final Approval Hearing.

8. How do I decide which option to choose?

If you would prefer not to participate in the proposed Settlement, then you may want to consider opting out. If you opt out, you will not receive a payment and you will keep any individual claims you may have against the University relating to the transition to virtual education in the Spring 2020 semester.

If you believe the proposed Settlement is unreasonable, unfair, or inadequate and that the Court should reject the proposed Settlement, you may want to consider objecting to the proposed Settlement. The Court will decide if your objection is valid. If the Court agrees, then the proposed Settlement may not be approved. If your objection (or any other objection) is overruled, and the proposed Settlement is approved, then you will still receive a payment under the proposed Settlement and you will be bound by the proposed Settlement. Note that if you do not object to the proposed Settlement, and the proposed Settlement is approved, you cannot later challenge or appeal that approval order.

9. Do I have to do anything if I want to participate in the proposed Settlement?

No. If you are a Settlement Class Member, you are automatically entitled to a payment and will be paid pursuant to the deadlines set forth under Answer 7(a).

OPTING OUT OF THE PROPOSED SETTLEMENT

10. What happens if I opt out of the proposed Settlement?

If you opt out of the proposed Settlement, you will preserve any claims you may have against the University related to its transition to virtual education in the Spring 2020 semester. However, you will not be entitled to receive a payment from this proposed Settlement, assuming that the proposed Settlement is approved by the Court.

11. How do I opt out of the proposed Settlement?

To opt out of the proposed Settlement, you must send a written request to the Settlement Administrator at: *Faber v. Cornell University* Settlement Administrator, P.O. Box 301172, Los Angeles, CA 90030-1172, which must:

- a. include a statement requesting to opt out of the Settlement Class;
- b. be personally signed by you;
- c. include your name, address, telephone number, and email address;
- d. include the caption for the Action—*Alec Faber, et al. v. Cornell University*, Civil Action No. 3:20-cv-467; and
- e. be postmarked no later than November 9, 2023.

A request to opt out of the proposed Settlement that does not meet the above requirements, or that is sent to an address other than that of the Settlement Administrator, will be invalid and the person sending the defective request will remain in the Settlement Class and, if the proposed Settlement is approved by the Court, will receive a payment and will be bound by the approved Settlement.

A request to opt out of the proposed Settlement must be done on an individual basis. A Potential Settlement Class Member cannot purport to opt others out of the proposed Settlement on a class or representative basis.

OBJECTING TO THE PROPOSED SETTLEMENT

12. How do I object to the proposed Settlement?

You can object to the proposed Settlement, or any part of it, so long as you do not opt out of the proposed Settlement, as only Settlement Class Members have the right to object to the proposed Settlement, including any attorneys' fees sought by Class Counsel and any other payments to be made from the Settlement Fund. To have your objection considered by the Court at the Final Approval Hearing, your objection must:

- a. state that you are a Settlement Class Member;
- b. include your name, address, telephone number, and email address;
- c. be personally signed by you, the objecting Settlement Class Member;
- d. contain a statement that includes all objections, states whether each objection applies only to the objector, to a subset of the Settlement Class, or to the entire Settlement Class, and states the specific reasons for all objections, including any legal arguments and evidentiary support (including copies of any documents relied upon);
- e. state whether you wish to speak at the Final Approval Hearing; and
- f. state whether you are represented by counsel.

Your objection and any accompanying papers must be filed with the Clerk of Court. If you are represented by counsel, the objection must be filed through the Court’s electronic case filing (ECF) system. All objections must also be mailed at the same time to Class Counsel, the University’s Counsel, and the Settlement Administrator at the addresses below. All objections must be postmarked no later than November 9, 2023.

Clerk of Court	Settlement Administrator	Class Counsel	University’s Counsel
Clerk of the Court U.S. District Court Northern District of New York James T. Foley U.S. Courthouse 445 Broadway Albany, NY 12207	<i>Faber v. Cornell University</i> Settlement Administrator P.O. Box 301172 Los Angeles, CA 90030-1172	LYNCH CARPENTER, LLP Attn: (Eddie) Jae K. Kim 1133 Penn Avenue, 5th Floor Pittsburgh, PA 15222	JENNER & BLOCK LLP Attn: Ishan K. Bhabha Paul B. Rietema 353 N. Clark Street Chicago, IL 60654 Email: ibhabha@jenner.com prietema@jenner.com

13. What happens if I object to the proposed Settlement?

If you object to the proposed Settlement, the Court will consider your objection at the Final Approval Hearing. If the Court sustains your objection, or the objection of any other Settlement Class Member, the proposed Settlement may not be approved. If you object, but the Court overrules your objection and any other objections and approves the proposed Settlement, then you will be bound by the approved Settlement, and you may appeal the approval order to the extent that it overrules your objection.

14. What is the difference between objecting and opting out of the proposed Settlement?

Objecting to the proposed Settlement is telling the Court that you do not believe the proposed Settlement is fair, reasonable, and adequate for the Settlement Class, and asking the Court to reject it. If you object to the proposed Settlement and the proposed Settlement is ultimately approved, then you are entitled to a payment and will release any claims related to the University’s transition to virtual education or other services as a result of the COVID-19 pandemic beginning in March 2020, including the implementation or administration of such virtual education and other services. Opting out of the proposed Settlement, however, is telling the Court that you do not want to be a part of the proposed Settlement if it is approved, you do not want to receive a payment, and you will not release claims you might have against the University that would otherwise have been released by participating in the proposed Settlement.

15. Can I opt out and object to the proposed Settlement?

No. To object to the proposed Settlement, you must participate in the proposed Settlement. Thus, you must choose between opting out or objecting to the proposed Settlement.

THE PROPOSED SETTLEMENT PAYMENT

16. How much is this proposed Settlement?

The Parties have agreed to a Settlement Fund in the total amount of \$3,000,000.

As discussed in more detail below, service awards for the Settlement Class Representatives, attorneys' fees and costs, and the costs and expenses of the Settlement Administrator will be paid out of the Settlement Fund. Thereafter, the remaining balance—the Net Settlement Fund—will be divided equally among all Settlement Class Members entitled to payments as outlined in the proposed Settlement and discussed further below in Answer 20.

17. How much of the Settlement Fund will be used to pay for attorneys' fees and costs?

Class Counsel will request that the Court approve attorneys' fees of not more than one-third of the Settlement Fund, and will request that Class Counsel be reimbursed for their out-of-pocket litigation costs incurred in litigating the Action. Class Counsel must submit their request to the Court by October 26, 2023, at which point the amount of the requested attorneys' fees, as well as Class Counsel's motion, will be published on the Settlement Website at www.cornellfeerefundclassaction.com. The Court will then decide the amount of the attorneys' fees and costs based on a number of factors, including the risk associated with bringing the Action, the amount of time spent on the case, the magnitude and complexity of the Action, the quality of the work, and the requested fee in relation to the outcome of the Action.

18. How much of the Settlement Fund will be used to pay the Settlement Class Representatives?

Class Counsel will request that the Settlement Class Representatives, Alec Faber and Ahnaf Rahman, be paid an award in the amount of no more than \$10,000 each, in recognition for their work in connection with this case. The award must be approved by the Court.

19. How much of the Settlement Fund will be used to pay administrative expenses?

A third-party Settlement Administrator was retained to provide notice and administer the payments to Settlement Class Members. The expenses of the Settlement Administrator are projected to not exceed \$150,000. In the event that such expenses exceed \$150,000, such additional amounts shall be paid only after approval by both Class Counsel and the University's Counsel.

20. How much will my payment be?

The balance of the Settlement Fund after paying the awards to the Settlement Class Representatives, administrative costs, and attorneys' fees and costs will be known as the Net Settlement Fund. The Net Settlement Fund will be divided equally so that each Settlement Class Member receives the same amount. More specifically, the Net Settlement Fund will be allocated pro rata to each Settlement Class Member based on the ratio of (a) the total number of Potential Settlement Class Members to (b) the total Net Settlement Fund. The resulting ratio will be multiplied by the Net Settlement Fund to determine each Settlement Class Member's Settlement Benefit. If you qualify as a Settlement Class Member, and the proposed Settlement is approved, you will receive the Settlement Benefit. Should any students opt out of the proposed Settlement, the amount that would have been distributed to such Potential Settlement Class Member had they not filed an opt-out request will instead be distributed to Settlement Class Members, in equal amounts to each Settlement Class Member.

21. When will I receive my payment?

The Court will hold a Final Approval Hearing on December 13, 2023 to consider whether the proposed Settlement should be approved. If the Court approves the proposed Settlement, then payments will be distributed within sixty (60) days of the date after which the proposed Settlement becomes final, as defined in the Settlement Agreement.

THE FINAL APPROVAL HEARING

22. When and where will the Court decide whether to approve the proposed Settlement?

The Court will hold a Final Approval Hearing on December 13, 2023 at 11 a.m. at the Northern District of New York located at the James T. Foley U.S. Courthouse, 445 Broadway, Albany, NY 12207. At this hearing, the Court will consider whether the proposed Settlement is fair, reasonable, and adequate. If objections have been properly submitted, the Court will consider them. The Court may also decide how much to award Class Counsel for attorneys' fees and litigation costs and the amount of the awards to the Settlement Class Representatives. The hearing will be public. The hearing may be virtual, in which case the instructions for viewing the hearing and participating will be posted on the Settlement Website at www.cornellfeerefundclassaction.com. The date and time of the Final Approval Hearing may change without further notice. Please check the Settlement Website for updates.

23. Do I have to come to the Final Approval Hearing?

No. Class Counsel will answer any questions the Court may have. You may attend if you desire to do so. If you have properly submitted an objection, the Court will consider your objection regardless of whether you attend.

24. May I speak at the Final Approval Hearing?

If you are a Settlement Class Member, you may ask the Court for permission to speak at the Final Approval Hearing. If you are objecting and would like to speak at the Final Approval Hearing, you must state in your objection, as described in Answer 12 above, that you wish to be heard at the Final Approval Hearing.

THE LAWYERS REPRESENTING THE CLASS

25. Do I have a lawyer in this case?

The Court has ordered that the law firms of Lynch Carpenter, LLP; Poulin | Willey | Anastopoulos, LLC (formerly known as Anastopoulos Law Firm LLC); Cherundolo Law Firm, PLLC; and Toptani Law Offices will serve as Class Counsel and will represent all Settlement Class Members in this matter.

26. Do I have to pay the lawyers bringing this suit on behalf of the Settlement Class?

No. Class Counsel will be paid directly from the Settlement Fund, subject to the Court's approval.

27. Who determines what the attorneys' fees will be?

The Court will be asked to approve the amount of attorneys' fees at the Final Approval Hearing. Class Counsel will file an application for attorneys' fees and costs, which shall not exceed one-third of the Settlement Fund, plus their out-of-pocket litigation costs, and will specify the amount being sought. Class Counsel must submit their request to the Court by October 26, 2023, at which point the amount of the requested attorneys' fees, as well as Class Counsel's motion, will be published on the Settlement Website at www.cornellfeerefundclassaction.com. Settlement Class Members who would like to object to the amount of attorneys' fees sought by Class Counsel may do so by following the instructions described in Answer 12 above.

GETTING MORE INFORMATION

This notice summarizes the proposed Settlement. More details are contained in the Settlement Agreement, which can be viewed or obtained online at www.cornellfeerefundclassaction.com. In the event of any inconsistency between the Settlement Agreement and this notice, the Settlement Agreement will govern.

For additional information about the proposed Settlement, you should contact the Settlement Administrator as follows:

Faber v. Cornell University Settlement Administrator

P.O. Box 301172

Los Angeles, CA 90030-1172

Toll-Free: 1-866-573-3117

Email: admin@cornellfeerefundclassaction.com

For more information, you may also contact Class Counsel:

LYNCH CARPENTER, LLP

Attn: (Eddie) Jae K. Kim

1133 Penn Avenue, 5th Floor

Pittsburgh, PA 15222

Tel: (213) 463-4423

POULIN | WILLEY | ANASTOPOULO, LLC

Attn: Roy T. Willey, IV

32 Ann Street

Charleston, SC 29403

Tel: (803) 222-2222

CHERUNDOLO LAW FIRM, PLLC

Attn: John C. Cherundolo

120 Madison Street, AXA Tower 2

16th Floor

Syracuse, NY 13202

Tel: (315) 544-3332

**PLEASE DO NOT CONTACT THE COURT OR THE UNIVERSITY
CONCERNING THIS NOTICE OR THE PROPOSED SETTLEMENT**