

**UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION**

ALEXANDER, *et al.*, Plaintiffs

v.

UNITED BEHAVIORAL HEALTH  
(operating as OPTUMHEALTH  
BEHAVIORAL SOLUTIONS), Defendant

Civil Action No. 3:14-cv-05337-JCS

**NOTICE OF NON-CLASS MEMBERSHIP**

**TO:** Any member of a health benefit plan governed by ERISA whose request for coverage of outpatient treatment or intensive outpatient treatment services for a mental illness or substance disorder was denied by UBH between December 4, 2011 and June 1, 2017, based solely on any ground other than application of UBH's Level of Care Guidelines or UBH's Coverage Determination Guidelines, who (a) did not file an administrative appeal of such denial; (b) appealed such denial and received all benefits sought; or (c) appealed such denial and was again denied coverage at the administrative level of appeal based solely on any ground other than application of UBH's Level of Care Guidelines or UBH's Coverage Determination Guidelines; and to whom a Notice of Pendency of this Action was previously sent.

*A federal court authorized this notice. This is not a solicitation from a lawyer.*

**PLEASE READ THIS NOTICE CAREFULLY AND IN ITS ENTIRETY**

**1. Purpose of this Notice**

The Court has ordered this Notice be sent to you to let you know that, although you previously received a Notice of Pendency of this Action, you are not a member of the Class as defined by the Court. This Notice may affect your legal rights.

**2. Who is Affected by this Change?**

This Notice applies to you if all the following are met:

- You sought coverage for outpatient treatment or intensive outpatient treatment services for a mental illness or substance use disorder; and
- UBH denied your request for coverage between December 4, 2011 and June 1, 2017 on any ground other than application of UBH's Level of Care Guidelines or UBH's Coverage Determination Guidelines; and
- You did not subsequently receive a denial of coverage based, in whole or in part, on UBH's Level of Care Guidelines or UBH's Coverage Determination Guidelines; and
- A Notice of Pendency of this Action was previously sent to you.

**3. About the Lawsuit**

This is a civil lawsuit filed in the United States District Court for the Northern District of California, alleging that defendant United Behavioral Health, or "UBH," (operating as OptumHealth Behavioral Solutions), violated ERISA by developing and applying internal guidelines that were inconsistent with the terms of the class members' health insurance plans.

On September 19, 2016, the Court ruled that the case should be maintained as a class action under Rule 23 of the Federal Rules of Civil Procedure and certified a class (the "Alexander Guidelines Class"). Following a trial in October 2017,

the Court ruled in Plaintiffs' favor on March 5, 2019. The Court's merits ruling defined the *Alexander* Guidelines Class as follows:

Any member of a health benefit plan governed by ERISA whose request for coverage of outpatient or intensive outpatient services for a mental illness or substance use disorder was denied by UBH, in whole or in part, between December 4, 2011 and June 1, 2017, based upon UBH's Level of Care Guidelines or UBH's Coverage Determination Guidelines. The Alexander Guideline Class excludes any member of a fully insured plan governed by both ERISA and the state law of Connecticut, Illinois, Rhode Island or Texas, whose request for coverage of intensive outpatient treatment or outpatient treatment was related to a substance use disorder, except that the Alexander Guideline Class includes members of plans governed by the state law of Texas who were denied coverage of substance use disorder services sought or provided outside of Texas.

#### **4. Why You are Receiving this Notice and How your Legal Rights Are Affected**

In order to be a member of the Class as defined above, among other things, a person must have been denied coverage based, in whole or in part, on UBH's Level of Care Guidelines or UBH's Coverage Determination Guidelines. UBH's records show that you did not receive such a denial. Therefore, notwithstanding the Notice of Pendency you received, you are not, in fact, a class member in this lawsuit and your individual rights and claims are not being addressed or represented in this lawsuit.

Nothing in this Notice is an expression by the Court as to the merits of any claim(s) you may assert. This Notice is intended merely to advise affected individuals that they are ineligible for Class membership.

If you believe that UBH violated the law in connection with its determination of your benefit claim, you may still be able to file an individual claim or lawsuit against United Behavioral Health on your own. You should be aware that any such claim may be subject to a statute of limitations.

#### **5. Additional Information and Inquiries**

Additional information about the Action, including copies of the Court's merits ruling and decertification order, is available on the internet at: [www.UBHGuidelinesClassAction.com](http://www.UBHGuidelinesClassAction.com).

The pleadings and other papers filed in the lawsuit are also available for inspection during business hours at the United States District Court, 450 Golden Gate Ave., 16th Floor, San Francisco, CA 94102.

Any questions you have concerning the matters contained in this Notice should be directed to Plaintiffs' Counsel or the Notice Administrator. **DO NOT CALL THE COURT OR UNITED BEHAVIORAL HEALTH.**

##### **Plaintiffs' Counsel:**

Caroline E. Reynolds  
D. Brian Hufford  
Jason S. Cowart  
ZUCKERMAN SPAEDER LLP  
1800 M Street, NW, Suite 1000  
Washington, DC 20036  
Tel: (202) 778-1800

Meiram Bendat  
PSYCH-APPEAL, INC.  
8560 West Sunset Boulevard, Suite 500  
West Hollywood, CA 90069  
Tel: (310) 598-3690

##### **Class Administrator:**

*UBH Guideline Class Litigation*  
c/o A.B. DATA, LTD.  
P.O. Box 173116  
Milwaukee, WI 53217  
Tel: (877) 884-3642