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**UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA**

TERENCE WALSH, Individually and on
Behalf of All Others Similarly Situated,

Plaintiff,

vs.

PATTERN ENERGY GROUP, INC.,
MICHAEL M. GARLAND, and MICHAEL
J. LYON,

Defendants

Case No.

**CLASS ACTION COMPLAINT FOR
VIOLATION OF THE FEDERAL
SECURITIES LAWS**

JURY TRIAL DEMANDED

Plaintiff Terence Walsh (“Plaintiff”), individually and on behalf of all other persons similarly situated, by his undersigned attorneys, for his complaint against the Defendants named herein, alleges the following based upon personal knowledge as to himself and his own acts, and upon information and belief as to all other matters, based upon, *inter alia*, the investigation conducted by and through Plaintiff’s attorneys, which included, among other things, a review of the Defendants’ public documents, conference calls and announcements made by Defendants, United States Securities and Exchange Commission (“SEC”) filings, wire and press releases published by and regarding Pattern Energy Group, Inc. (“Pattern” or the “Company”), analysts’ reports and advisories about the Company, and information readily obtainable on the Internet. Plaintiff believes that substantial evidentiary support will exist for the allegations set forth herein after a reasonable opportunity for discovery.

NATURE OF THE ACTION

1
2 1. This is a federal securities class action on behalf of a class consisting of all persons other
3 than Defendants who purchased or otherwise acquired common shares of Pattern between May 9, 2016
4 and November 4, 2016, both dates inclusive (the “Class Period”). Plaintiff seeks to recover
5 compensable damages caused by Defendants’ violations of the federal securities laws and to pursue
6 remedies under Sections 10(b) and 20(a) of the Securities Exchange Act of 1934 (the “Exchange Act”)
7 and Rule 10b-5 promulgated thereunder.
8

9 2. Pattern operates as an independent power company that owns and operates power
10 projects in the United States, Canada, and Chile. As of October 18, 2016, the Company had a portfolio
11 of 18 wind power projects with a total owned capacity of 2,644 MW. Pattern sells electricity and
12 renewable energy credits primarily to local utilities and local liquid independent system organizations
13 markets.
14

15 3. The Company was founded in 2012 and is headquartered in San Francisco, California.
16 Pattern’s common stock trades on the NASDAQ Global Select Market (“NASDAQ”) under the ticker
17 symbol “PEGL.”
18

19 4. Throughout the Class Period, Defendants made materially false and misleading
20 statements regarding the Company’s business, operational and compliance policies. Specifically,
21 Defendants made false and/or misleading statements and/or failed to disclose that: (i) Pattern’s
22 operations were deficient with respect to various transaction, process level, and monitoring controls; (ii)
23 as a result, Pattern lacked effective internal financial controls; and (iii) as a result of the foregoing,
24 Pattern’s public statements were materially false and misleading at all relevant times.
25

26 5. On November 7, 2016, Pattern announced its financial and operating results for the
27 quarter ended September 30, 2016 and disclosed a material weakness in internal controls over financial
28 reporting. Pattern stated, in relevant part:

1 [M]anagement believes that the Company's internal control over financial reporting was
2 not effective as of September 30, 2016, due to the aggregation of internal control
3 deficiencies related to the implementation, design, maintenance and operating
4 effectiveness of various transaction, process level, and monitoring controls. These
5 deficiencies largely have arisen during fiscal 2016 because of growth of the Company,
6 increases in employee headcount to support growth, and frequent changes in
7 organizational structure were not adequately supported by elements of its internal control
8 over financial reporting.

6 6. On this news, Pattern's share price fell \$0.76, or 3.52%, to close at \$20.86 on November
7 7, 2016.

8 7. As a result of Defendants' wrongful acts and omissions, and the precipitous decline in
9 the market value of the Company's common shares, Plaintiff and other Class members have suffered
10 significant losses and damages.
11

12 **JURISDICTION AND VENUE**

13 8. The claims asserted herein arise under and pursuant to §§10(b) and 20(a) of the
14 Exchange Act (15 U.S.C. §§78j(b) and 78t(a)) and Rule 10b-5 promulgated thereunder by the SEC (17
15 C.F.R. §240.10b-5).
16

17 9. This Court has jurisdiction over the subject matter of this action under 28 U.S.C. §1331
18 and §27 of the Exchange Act.
19

20 10. Venue is proper in this Judicial District pursuant to §27 of the Exchange Act (15 U.S.C.
21 §78aa) and 28 U.S.C. §1391(b) as Pattern's principal executive offices are located within this Judicial
22 District.

23 11. In connection with the acts, conduct and other wrongs alleged in this Complaint,
24 Defendants, directly or indirectly, used the means and instrumentalities of interstate commerce,
25 including but not limited to, the United States mail, interstate telephone communications and the
26 facilities of the national securities exchange.
27
28

PARTIES

1
2 12. Plaintiff, as set forth in the accompanying Certification, purchased shares of Pattern’s
3 common stock at artificially inflated prices during the Class Period and was damaged upon the
4 revelation of the alleged corrective disclosure.

5 13. Defendant Pattern Energy Group, Inc. is incorporated in Delaware, and the Company’s
6 principal executive offices are located at Pier 1, Bay 3, San Francisco, California 94111. Pattern’s
7 common stock trades on the NASDAQ under the ticker symbol “PEGI.”
8

9 14. Defendant Michael M. Garland has served at all relevant times as the Company’s Chief
10 Executive Officer, President, and Director.

11 15. Defendant Michael J. Lyon has served at all relevant times as the Company’s Chief
12 Financial Officer.
13

14 16. The Defendants referenced above in ¶¶ 14-15 are sometimes referred to herein as the
15 “Individual Defendants.”

16 **SUBSTANTIVE ALLEGATIONS**

17 **Background**

18 17. Pattern operates as an independent power company that owns and operates power
19 projects in the United States, Canada, and Chile. As of October 18, 2016, the Company had a portfolio
20 of 18 wind power projects with a total owned capacity of 2,644 MW. Pattern sells electricity and
21 renewable energy credits primarily to local utilities and local liquid independent system organizations
22 markets.
23
24

25 **Materially False and Misleading Statements Issued During the Class Period**

26 18. The Class Period begins on May 9, 2016, when Pattern issued a press release and filed a
27 Current Report on Form 8-K with the SEC, announcing certain of the Company’s financial and
28

1 operating results for the quarter ended March 31, 2016 (the “Q1 2016 8-K”). For the quarter, Pattern
2 reported a net loss of \$23.67 million, or \$0.32 per diluted share, on revenue of \$87.64 million,
3 compared to a net loss of \$19.90 million, or \$0.30 per diluted share, on revenue of \$64.87 million for
4 the same period in the prior year.

5 19. On May 9, 2016, Pattern also filed a Quarterly Report on Form 10-Q with the SEC (the
6 “Q1 2016 10-Q”). The Q1 2016 10-Q reiterated the financial and operating results announced in the
7 Q1 2016 8-K and reported in full the Company’s financial and operating results for the quarter ended
8 March 31, 2016.

9 20. The Q1 2016 10-Q contained signed certifications pursuant to the Sarbanes-Oxley Act of
10 2002 (“SOX”) by the Individual Defendants, stating that the financial information contained in the Q1
11 2016 10-Q was accurate and disclosed any material changes to the Company’s internal control over
12 financial reporting.

13 21. On August 5, 2016, Pattern issued a press release and filed a Current Report on Form
14 8-K with the SEC, announcing certain of the Company’s financial and operating results for the quarter
15 ended June 30, 2016 (the “Q2 2016 8-K”). For the quarter, Pattern reported a net loss of \$3.22 million,
16 or \$0.04 per diluted share, on revenue of \$93.44 million, compared to net income of \$14.32 million, or
17 \$0.15 per diluted share, on revenue of \$84.67 million for the same period in the prior year.

18 22. On August 5, 2016, Pattern also filed a Quarterly Report on Form 10-Q with the SEC
19 (the “Q2 2016 10-Q”). The Q2 2016 10-Q reiterated the financial and operating results announced in
20 the Q2 2016 8-K and reported in full the Company’s financial and operating results for the quarter
21 ended June 30, 2016.

22 23. The Q2 2016 10-Q contained signed certifications pursuant to SOX by the Individual
23 Defendants, stating that the financial information contained in the Q2 2016 10-Q was accurate and
24 disclosed any material changes to the Company’s internal control over financial reporting.

1 24. The statements referenced in ¶¶ 18-23 above were materially false and/or misleading
2 because they misrepresented and/or failed to disclose the following adverse facts pertaining to the
3 Company’s business, operational and financial results, which were known to Defendants or recklessly
4 disregarded by them. Specifically, Defendants made false and/or misleading statements and/or failed to
5 disclose that: (i) Pattern’s operations were deficient with respect to various transaction, process level,
6 and monitoring controls; (ii) as a result, Pattern lacked effective internal financial controls; and (iii) as a
7 result of the foregoing, Pattern’s public statements were materially false and misleading at all relevant
8 times.
9

10 **The Truth Emerges**

11 25. On November 7, 2016, Pattern announced its financial and operating results for the
12 quarter ended September 30, 2016 and disclosed a material weakness in internal controls over financial
13 reporting. Pattern stated, in relevant part:
14

15 [M]anagement believes that the Company’s internal control over financial reporting was
16 not effective as of September 30, 2016, due to the aggregation of internal control
17 deficiencies related to the implementation, design, maintenance and operating
18 effectiveness of various transaction, process level, and monitoring controls. These
19 deficiencies largely have arisen during fiscal 2016 because of growth of the Company,
20 increases in employee headcount to support growth, and frequent changes in
21 organizational structure were not adequately supported by elements of its internal control
22 over financial reporting.

23 26. On this news, Pattern’s share price fell \$0.76, or 3.52%, to close at \$20.86 on November
24 7, 2016.
25

26 27. As a result of Defendants’ wrongful acts and omissions, and the precipitous decline in
27 the market value of the Company’s common shares, Plaintiff and other Class members have suffered
28 significant losses and damages.

PLAINTIFF’S CLASS ACTION ALLEGATIONS

1
2 28. Plaintiff brings this action as a class action pursuant to Federal Rule of Civil Procedure
3 23(a) and (b)(3) on behalf of a Class, consisting of all those who purchased or otherwise acquired
4 Pattern common shares traded on the NASDAQ during the Class Period (the “Class”) and were
5 damaged upon the revelation of the alleged corrective disclosures. Excluded from the Class are
6 Defendants herein, the officers and directors of the Company, at all relevant times, members of their
7 immediate families and their legal representatives, heirs, successors or assigns and any entity in which
8 Defendants have or had a controlling interest.
9

10 29. The members of the Class are so numerous that joinder of all members is impracticable.
11 Throughout the Class Period, Pattern common stock was actively traded on the NASDAQ. While the
12 exact number of Class members is unknown to Plaintiff at this time and can be ascertained only through
13 appropriate discovery, Plaintiff believes that there are hundreds or thousands of members in the
14 proposed Class. Record owners and other members of the Class may be identified from records
15 maintained by Pattern or its transfer agent and may be notified of the pendency of this action by mail,
16 using the form of notice similar to that customarily used in securities class actions.
17

18 30. Plaintiff’s claims are typical of the claims of the members of the Class as all members of
19 the Class are similarly affected by Defendants’ wrongful conduct in violation of federal law that is
20 complained of herein.
21

22 31. Plaintiff will fairly and adequately protect the interests of the members of the Class and
23 has retained counsel competent and experienced in class and securities litigation. Plaintiff has no
24 interests antagonistic to or in conflict with those of the Class.
25

26 32. Common questions of law and fact exist as to all members of the Class and predominate
27 over any questions solely affecting individual members of the Class. Among the questions of law and
28 fact common to the Class are:

- 1 • whether the federal securities laws were violated by Defendants' acts as alleged herein;
- 2 • whether statements made by Defendants to the investing public during the Class Period misrepresented material facts about the financial condition, business, operations, and management of Pattern;
- 3 • whether Defendants' public statements to the investing public during the Class Period omitted material facts necessary to make the statements made, in light of the circumstances under which they were made, not misleading;
- 4 • whether the Individual Defendants caused Pattern to issue false and misleading SEC filings and public statements during the Class Period;
- 5 • whether Defendants acted knowingly or recklessly in issuing false and misleading SEC filings and public statements during the Class Period;
- 6 • whether the prices of Pattern common shares during the Class Period were artificially inflated because of the Defendants' conduct complained of herein; and
- 7 • whether the members of the Class have sustained damages and, if so, what is the proper measure of damages.

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12 33. A class action is superior to all other available methods for the fair and efficient
13 adjudication of this controversy since joinder of all members is impracticable. Furthermore, as the
14 damages suffered by individual Class members may be relatively small, the expense and burden of
15 individual litigation make it impossible for members of the Class to individually redress the wrongs
16 done to them. There will be no difficulty in the management of this action as a class action.

17
18 34. Plaintiff will rely, in part, upon the presumption of reliance established by the fraud-on-
19 the-market doctrine in that:

- 20 • Defendants made public misrepresentations or failed to disclose material facts during the Class Period;
- 21 • the omissions and misrepresentations were material;
- 22 • Pattern common shares are traded in efficient markets;
- 23 • the Company's shares were liquid and traded with moderate to heavy volume during the Class Period;
- 24 • the Company traded on the NASDAQ, and was covered by multiple analysts;
- 25 • the misrepresentations and omissions alleged would tend to induce a reasonable investor to misjudge the value of the Company's common shares; and
- 26 • Plaintiff and members of the Class purchased and/or sold Pattern common shares between the time the Defendants failed to disclose or misrepresented material facts and the time the true facts were disclosed, without knowledge of the omitted or misrepresented facts.

1 35. Based upon the foregoing, Plaintiff and the members of the Class are entitled to a
2 presumption of reliance upon the integrity of the market.

3 36. Alternatively, Plaintiff and the members of the Class are entitled to the presumption of
4 reliance established by the Supreme Court in *Affiliated Ute Citizens of the State of Utah v. United*
5 *States*, 406 U.S. 128, 92 S. Ct. 2430 (1972), as Defendants omitted material information in their Class
6 Period statements in violation of a duty to disclose such information, as detailed above.
7

8 **COUNT I**
9 **Violation of Section 10(b) of the Exchange Act and Rule 10b-5**
10 **Against All Defendants**

11 37. Plaintiff repeats and realleges each and every allegation contained above as if fully set
12 forth herein.

13 38. This Count is asserted against Defendants and is based upon Section 10(b) of the
14 Exchange Act, 15 U.S.C. § 78j(b), and Rule 10b-5 promulgated thereunder by the SEC.

15 39. During the Class Period, Defendants engaged in a plan, scheme, conspiracy and course
16 of conduct, pursuant to which they knowingly or recklessly engaged in acts, transactions, practices and
17 courses of business which operated as a fraud and deceit upon Plaintiff and the other members of the
18 Class; made various untrue statements of material facts and omitted to state material facts necessary in
19 order to make the statements made, in light of the circumstances under which they were made, not
20 misleading; and employed devices, schemes and artifices to defraud in connection with the purchase
21 and sale of securities. Such scheme was intended to, and, throughout the Class Period, did: (i) deceive
22 the investing public, including Plaintiff and other Class members, as alleged herein; (ii) artificially
23 inflate and maintain the market price of Pattern securities; and (iii) cause Plaintiff and other members of
24 the Class to purchase or otherwise acquire Pattern securities and options at artificially inflated prices.
25 In furtherance of this unlawful scheme, plan and course of conduct, Defendants, and each of them, took
26 the actions set forth herein.
27
28

1 40. Pursuant to the above plan, scheme, conspiracy and course of conduct, each of the
2 Defendants participated directly or indirectly in the preparation and/or issuance of the quarterly reports,
3 SEC filings, and press releases described above, which were designed to influence the market for
4 Pattern securities. Such reports, filings, releases and statements were materially false and misleading in
5 that they failed to disclose material adverse information and misrepresented the truth about the
6 condition of Pattern's business.

7
8 41. By virtue of their positions at Pattern, Defendants had actual knowledge of the
9 materially false and misleading statements and material omissions alleged herein and intended thereby
10 to deceive Plaintiff and the other members of the Class, or, in the alternative, Defendants acted with
11 reckless disregard for the truth in that they failed or refused to ascertain and disclose such facts as
12 would reveal the materially false and misleading nature of the statements made, although such facts
13 were readily available to Defendants. Said acts and omissions of Defendants were committed willfully
14 or with reckless disregard for the truth. In addition, each Defendant knew or recklessly disregarded that
15 material facts were being misrepresented or omitted as described above.
16

17 42. Information showing that Defendants acted knowingly or with reckless disregard for the
18 truth is peculiarly within Defendants' knowledge and control. As the senior managers of Pattern, the
19 Individual Defendants had knowledge of the details of Pattern's internal affairs.
20

21 43. The Individual Defendants are liable both directly and indirectly for the wrongs
22 complained of herein. Because of their positions of control and authority, the Individual Defendants
23 were able to and did, directly or indirectly, control the content of the statements of Pattern. As officers
24 and/or directors of a publicly-held company, the Individual Defendants had a duty to disseminate
25 timely, accurate, and truthful information with respect to Pattern's business practices. As a result of the
26 dissemination of the aforementioned false and misleading reports, releases and public statements, the
27 market price of Pattern securities was artificially inflated throughout the Class Period. In ignorance of
28

1 the adverse facts concerning Pattern's business and financial condition which were concealed by
2 Defendants, Plaintiff and the other members of the Class purchased or otherwise acquired Pattern
3 securities at artificially inflated prices and relied upon the price of the securities, the integrity of the
4 market for the securities and/or upon statements disseminated by Defendants, and were damaged
5 thereby.

6 44. During the Class Period, Pattern securities were traded on an active and efficient market.
7 Plaintiff and the other members of the Class, relying on the materially false and misleading statements
8 described herein, which the Defendants made, issued or caused to be disseminated, or relying upon the
9 integrity of the market, purchased or otherwise acquired shares of Pattern securities at prices artificially
10 inflated by Defendants' wrongful conduct. Had Plaintiff and the other members of the Class known the
11 truth, they would not have purchased or otherwise acquired said securities, or would not have purchased
12 or otherwise acquired them at the inflated prices that were paid. At the time of the purchases and/or
13 acquisitions by Plaintiff and the Class, the true value of Pattern securities was substantially lower than
14 the prices paid by Plaintiff and the other members of the Class. The market price of Pattern securities
15 declined sharply upon public disclosure of the facts alleged herein to the injury of Plaintiff and Class
16 members.
17

18 45. By reason of the conduct alleged herein, Defendants knowingly or recklessly, directly or
19 indirectly, have violated Section 10(b) of the Exchange Act and Rule 10b-5 promulgated thereunder.
20

21 46. As a direct and proximate result of Defendants' wrongful conduct, Plaintiff and the other
22 members of the Class suffered damages in connection with their respective purchases, acquisitions and
23 sales of the Company's securities during the Class Period, upon the disclosure that the Company had
24 been disseminating misrepresented financial statements to the investing public.
25
26
27
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COUNT II
Violation of Section 20(a) of the Exchange Act
Against The Individual Defendants

1
2
3 47. Plaintiff repeats and realleges each and every allegation contained in the foregoing
4 paragraphs as if fully set forth herein.

5 48. During the Class Period, the Individual Defendants participated in the operation and
6 management of Pattern, and conducted and participated, directly and indirectly, in the conduct of
7 Pattern's business affairs. Because of their senior positions, they knew the adverse non-public
8 information about Pattern's business practices.
9

10 49. As officers and/or directors of a publicly owned company, the Individual Defendants had
11 a duty to disseminate accurate and truthful information with respect to Pattern's financial condition and
12 results of operations, and to correct promptly any public statements issued by Pattern which had
13 become materially false or misleading.
14

15 50. Because of their positions of control and authority as senior officers, the Individual
16 Defendants were able to, and did, control the contents of the various reports, press releases and public
17 filings which Pattern disseminated in the marketplace during the Class Period concerning Pattern's
18 results of operations. Throughout the Class Period, the Individual Defendants exercised their power
19 and authority to cause Pattern to engage in the wrongful acts complained of herein. The Individual
20 Defendants therefore, were "controlling persons" of Pattern within the meaning of Section 20(a) of the
21 Exchange Act. In this capacity, they participated in the unlawful conduct alleged which artificially
22 inflated the market price of Pattern securities.
23

24 51. By reason of the above conduct, the Individual Defendants are liable pursuant to Section
25 20(a) of the Exchange Act for the violations committed by Pattern.
26
27
28

PRAYER FOR RELIEF

WHEREFORE, Plaintiff demands judgment against Defendants as follows:

A. Determining that the instant action may be maintained as a class action under Rule 23 of the Federal Rules of Civil Procedure, and certifying Plaintiff as the Class representative;

B. Requiring Defendants to pay damages sustained by Plaintiff and the Class by reason of the acts and transactions alleged herein;

C. Awarding Plaintiff and the other members of the Class prejudgment and post- judgment interest, as well as their reasonable attorneys' fees, expert fees and other costs; and

D. Awarding such other and further relief as this Court may deem just and proper.

DEMAND FOR TRIAL BY JURY

Plaintiff hereby demands a trial by jury.

Dated: November 11, 2016

Respectfully submitted,

POMERANTZ LLP

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Attorneys for Plaintiff

Plaintiff's Certification

I, Terence Walsh, certify that:

1. Plaintiff has reviewed the complaint and authorized its filing.
2. Plaintiff did not purchase the security that is the subject of the complaint at the direction of plaintiff's counsel or in order to participate in any private action arising under this title.
3. Plaintiff is willing to serve as a representative party on behalf of a class, including providing testimony at deposition and trial, if necessary.
4. Plaintiff's transactions in the security that is the subject of the complaint during the class period specified in the complaint are as follows:

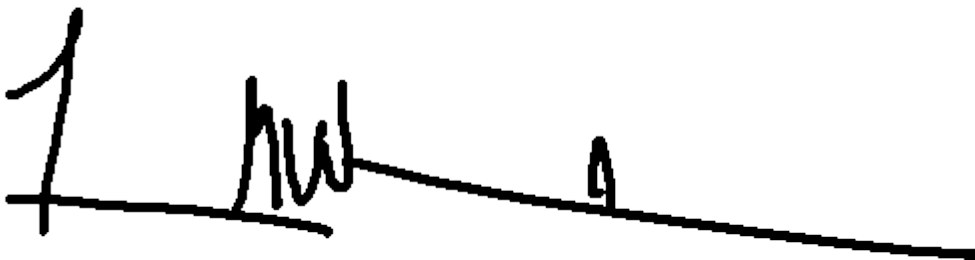
I bought 300 shares on 08/16/2016 at \$23.00
I bought 100 shares on 09/09/2016 at \$24.00
I bought 100 shares on 09/13/2016 at \$23.50
I bought 500 shares on 09/16/2016 at \$23.00

5. Plaintiff has not sought to serve, or served, as a representative party on behalf of a class under this title during the 3-year period preceding the date on which this certification is signed, except as follows:

6. Plaintiff will not accept any payment for serving as a representative party on behalf of a class beyond the plaintiff's pro rata share of any recovery, except as ordered or approved by the court.

I declare under penalty of perjury that the foregoing is true and correct.

Dated: 11/10/2016

A handwritten signature in black ink, appearing to read "T Walsh", is written over a solid black horizontal line.

(redacted)

A large black rectangular redaction box covers the bottom portion of the page.

PATTERN ENERGY GROUP INC (PEGI)

Walsh, Terence

LIST OF PURCHASES AND SALES

DATE	PURCHASE OR SALE	NUMBER OF SHS/UTS	PRICE PER SH/UT
08/16/2016	Purchase	300	\$23.0000
09/09/2016	Purchase	100	\$24.0000
09/13/2016	Purchase	100	\$23.5000
09/16/2016	Purchase	500	\$23.0000

CIVIL COVER SHEET

The JS 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 rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for the use of the Clerk of Court for the purpose of initiating the civil docket sheet. (SEE INSTRUCTIONS ON NEXT PAGE OF THIS FORM.)

I. (a) PLAINTIFFS

TERENCE WALSH, Individually and on Behalf of All Others Similarly Situated,

(b) County of Residence of First Listed Plaintiff Ozaukee County, Wisconsin (EXCEPT IN U.S. PLAINTIFF CASES)

(c) Attorneys (Firm Name, Address, and Telephone Number) Pomerantz LLP 468 North Camden Drive, Beverly Hills, CA 90210 Tel: 818-532-6499

DEFENDANTS

PATTERN ENERGY GROUP, INC., MICHAEL M. GARLAND, and MICHAEL J. LYON,

County of Residence of First Listed Defendant San Francisco County, CA (IN U.S. PLAINTIFF CASES ONLY)

NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF THE TRACT OF LAND INVOLVED

Attorneys (If Known)

II. BASIS OF JURISDICTION (Place an "X" in One Box Only)

- 1 U.S. Government Plaintiff, 2 U.S. Government Defendant, 3 Federal Question (U.S. Government Not a Party), 4 Diversity (Indicate Citizenship of Parties in Item III)

III. CITIZENSHIP OF PRINCIPAL PARTIES (Place an "X" in One Box for Plaintiff and One Box for Defendant)

Table with columns for Plaintiff (PTF) and Defendant (DEF) citizenship: Citizen of This State, Citizen of Another State, Citizen or Subject of a Foreign Country, Incorporated or Principal Place of Business In This State, Incorporated and Principal Place of Business In Another State, Foreign Nation.

IV. NATURE OF SUIT (Place an "X" in One Box Only)

Large table with categories: CONTRACT, REAL PROPERTY, TORTS, CIVIL RIGHTS, PRISONER PETITIONS, FORFEITURE/PENALTY, LABOR, IMMIGRATION, BANKRUPTCY, SOCIAL SECURITY, FEDERAL TAX SUITS, OTHER STATUTES.

V. ORIGIN (Place an "X" in One Box Only)

- 1 Original Proceeding, 2 Removed from State Court, 3 Remanded from Appellate Court, 4 Reinstated or Reopened, 5 Transferred from Another District, 6 Multidistrict Litigation

VI. CAUSE OF ACTION

Cite the U.S. Civil Statute under which you are filing (Do not cite jurisdictional statutes unless diversity): 15 U.S.C. §§78j(b) and §78t(a) and Rule 10b-5 promulgated thereunder by the SEC (17 C.F.R. §240.10b-5) Brief description of cause: Plaintiff seeks to pursue remedies against Pattern Energy for violations of federal securities laws

VII. REQUESTED IN COMPLAINT:

CHECK IF THIS IS A CLASS ACTION UNDER RULE 23, F.R.Cv.P. DEMAND \$ CHECK YES only if demanded in complaint: JURY DEMAND: Yes No

VIII. RELATED CASE(S) IF ANY

(See instructions): JUDGE DOCKET NUMBER

DATE 11/11/2016 SIGNATURE OF ATTORNEY OF RECORD /s/ Jennifer Pafiti

0 FKKHQPCN CUH PO GPV *EklN05/4+

(Place an "X" in One Box Only)

- San Francisco/Oakland, San Jose, Eureka

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INSTRUCTIONS FOR ATTORNEYS COMPLETING CIVIL COVER SHEET FORM JS 44

Authority For Civil Cover Sheet

The JS 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 by the Judicial Conference of the United States in September 1974, is required for the use of the Clerk of Court for the purpose of initiating 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.)
- (c) 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)".
- II. Jurisdiction.** The basis of jurisdiction is set forth under Rule 8(a), F.R.Cv.P., 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.
 United States plaintiff. (1) Jurisdiction based on 28 U.S.C. 1345 and 1348. Suits by agencies and officers of the United States are included here.
 United States defendant. (2) When the plaintiff is suing the United States, its officers or agencies, place an "X" in this box.
 Federal question. (3) This refers to suits under 28 U.S.C. 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. (4) This refers to suits under 28 U.S.C. 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 44 is to be completed if diversity of citizenship was indicated above. Mark this section for each principal party.
- IV. 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.
- V. Origin.** Place an "X" in one of the six boxes.
 Original Proceedings. (1) Cases which originate in the United States district courts.
 Removed from State Court. (2) Proceedings initiated in state courts may be removed to the district courts under Title 28 U.S.C., Section 1441. When the petition for removal is granted, check this box.
 Remanded from Appellate Court. (3) Check this box for cases remanded to the district court for further action. Use the date of remand as the filing date.
 Reinstated or Reopened. (4) Check this box for cases reinstated or reopened in the district court. Use the reopening date as the filing date.
 Transferred from Another District. (5) For cases transferred under Title 28 U.S.C. Section 1404(a). Do not use this for within district transfers or multidistrict litigation transfers.
 Multidistrict Litigation. (6) Check this box when a multidistrict case is transferred into the district under authority of Title 28 U.S.C. Section 1407. When this box is checked, do not check (5) above.
- 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 Rule 23, F.R.Cv.P.
 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 44 is used to reference related pending cases, if any. If there are related pending cases, insert the docket numbers and the corresponding judge names for such cases.
- Date and Attorney Signature.** Date and sign the civil cover sheet.

ClassAction.org

This complaint is part of ClassAction.org's searchable class action lawsuit database and can be found in this post: [Pattern Energy Group Sparks Securities Class Action](#)
